

Program & Fiscal Monitoring of the 2013-2014
Regional Assistance Grant (RAG)
Program and Financial Documents & Artifacts for Review

- **Supporting program artifacts, documents and data that each project must be prepared to provide to MDE for desk and on-site monitoring of the 2013-2014 RAG grant:**

Required:

- Source document data that supports implementation of services requested and identified in the Service Plans for the Priority schools.
- Intermediate School District (ISD) and School Team meeting documentation: agendas, minutes, sign-in sheets and materials related to RAG grant planning and process meetings.
- Training and Professional Development documentation: copies of all training and professional development (PD) implemented and funded by the RAG, including: attendee sign-in sheets, agendas and materials distributed, Power Points from workshops, workshop written materials and any hand-outs.
- Quarterly Reports: summary documentation of work performed by project staff which supports the project Service Plans.
- List of ISD employed and/or contracted staff performing work on behalf of RAG project and services, and # of staff hours required for completion of work.

Requested Supporting Documents:

- Data collection plan, if collected,
- Data analysis work, if collected,
- Staff & Stakeholder survey results, if collected,
- Lesson study team notes/minutes,
- Protocols for reviewing formative assessments, curriculum pacing guides, etc.,
- Noted and collected changes in student achievement data, and reports,
- ISD RAG project staff schedules and schools served by staff,
- Documentation of superintendent and administrator "walkthroughs."

- **Supporting financial artifacts, documents and data that each project must be prepared to provide to MDE for desk and on-site monitoring of the 2013-2014 RAG grant:**

Required:

The following items, at minimum, must be available for review during the MDE monitoring. (These items will encompass all of the Examples of Evidence as noted in the RAG Fiscal Monitoring document):

- ISD Board minutes documenting approval of budgets, amendments, and contracts
- Personnel information
 - List of RAG assigned personnel
 - Job descriptions
 - Copies of contracts for ISD RAG contractual staff
 - ISD-employed and contracted staff time and time sheets
 - LEA building staff time and time sheets, if building staff are charged to the grant
 - Copies of all RAG project related contracts, e.g. contract for PD, conference/workshop events paid for with RAG funds
 - Coaches' time sheets
 - Semi-annual certifications of ISD employed RAG project staff time and effort as required by Office of Management and Budget Circular A-87, prepared at least every six months and signed by the supervisory official having first-hand knowledge of the work performed by the employee
 - Personnel Activity Reports (PARS), as required by EDGAR for all project staff, prepared at least monthly and coincide with one or more pay periods; and be signed by the employee
 - Time and attendance records
 - Documentation of any stipends paid to substitute teachers
 - Staff/coach/contractor activity reports describing the work performed
 - Payroll Distribution Report and all payroll records
 - Invoices and documentation of payment for contracted consultants (cancelled checks and bank statements or electronic records of payment)
 - Evidence of all expenditures charged to the grant
- ISD policy and procedures on internal control, including
 - Payables
 - ISD documentation of monitoring of expenditures to ensure payments do not exceed budget, and that payments to contracted staff do not exceed contract awards
- ISD purchasing policy and procedures
 - ISD detail budget report
 - Purchase orders, contracts, invoices, etc. available on site
 - Copies of Request(s) for Proposals, if applicable

- Documentation of competitive bids received for goods and services
- Evaluation of bids, contracts, and/or awards and rationale for selection of successful bidder for contract or award
- Proof of advertisements (documenting methods of dissemination or posting, and length of posting for RFPs or other solicitation for purchase of good and services)
- Evidence that the ISD has checked the federal List of Suspended Parties to ensure that proposed vendors, or sub-grantees, are not suspended or debarred prior to the awarding of contracts or sub-grants
- Evaluation documentation
- Documentation of Board approval of awards and contract, if required by policy/procedures
- Contracts with terms and conditions, if applicable
- Documentation of purchase of supplies and materials for staff and teacher use, etc.
- Professional fees for PD, development and associated expenses, e.g. travel, food and lodging for presenters
- Expenses, e.g. stipends, payment to staff for travel, lodging for ISD or school staff to enable participation in PD
- Documentation of all payment of RAG expenditures, including copies of cancelled checks, warrants or electronic documentation of fund transfers
- Cash Management
 - Documentation that supports CMS requests for funds
- Inventory of Assets/Supplies/Materials/Equipment purchased with RAG funds, including the date of purchase, source of funds, tagging, and current location of items purchased

For additional information see also the document, *MDE Indicators Of Fiscal Compliance For On-Site Monitoring And Review*.