

On-Site Compliance Audit Checklist

Title I, Part A: Private School Vendor Contracts

District: _____

Reviewer: _____

Vendor Name: _____

Date: _____

Legislation/Regulation Authority:

Section 9306(a)(1) and (2) of the ESEA requires an LEA who enters into a contract with a third party provider for the delivery of Title I services to the private school participants, their teachers, or families such contracts to provide technical descriptions of the Title I services with detail sufficient to enable LEAs to determine that all Title I statutory and regulatory requirements will be met.

Section 9306(a)(5) of the ESEA requires an LEA, when submitting a consolidated application, to use fiscal control and fund accounting procedures that will ensure proper disbursement of, and accounting for, Federal funds paid to the LEA.

Section 443 of the General Education Provisions Act (GEPA) requires each recipient of federal funds, such as an LEA, to keep records which fully disclose the amount and disposition of the funds, the total costs of the activity for which the funds were used...and such other records as will facilitate an effective financial and programmatic audit.

Intent of the Legislation/Regulation:

To ensure federal funds are used for allowable and intended expenditures and proper documentation is available to confirm such planned activities and expenditures.

Focus of Review:

To ensure LEAs ensure proper oversight of 3rd party providers that are providing Title I services to private school students.

Method of Assessment: (Check all that apply)

- Document Review
- Observation
- Interview

Location of Audit: (Check all that apply)

- LEA Office..... Excludes Charters
- Elementary School..... Excludes Charters
- Middle School Excludes Charters
- High School..... Excludes Charters
- Other Agency

Over the past three years, what guidance, technical assistance, and/or professional development has been offered to the districts and charters regarding this regulation?

Regional Title I technical assistance sessions and guidance documents

Required LEA Compliance Items of Title I, Part A Private School Vendor Contracts	Evidence	Compliance			Comments/Corrective Action	Corrective Action Due Date
		Yes	No	N/A		
Contract outlines agreed upon administrative activities and associated administrative budget(s) associated with the third party providers services.	Provision(s) in vendor contract					
Contract outlines an invoicing procedure which includes a description as to how the contractor will list administrative and instructional costs separately	Provision(s) vendor contract					
Contract describes the LEAs monitoring process that will be used to monitor the contractor's performance and a list of steps the LEA will take if the contractor is not in compliance	Provision(s) vendor contract					
Contract outlines a timeline for the delivery of services	Provision(s) vendor contract					
Contract provides a list of required deliverables with due dates	Provision(s) vendor contract					
Contract includes an assurance that all equipment purchased with Title I funds are the property of the LEA and not the contractor	Provision(s) vendor contract					
Contract include a statement or assurance that the contractor will comply with all Title I statutory and regulatory requirements	Provision(s) vendor contract					
Contract includes a statement or assurance that the LEA has the right to withhold payment if any requirements are not met	Provision(s) vendor contract					
Contract includes a statement or assurance that the contract may be modified if there is a reauthorization of ESEA during the performance of the contract	Provision(s) vendor contract					