

On-Site Compliance Audit Checklist

Title I, Part A: SES Vendor Contracts

District: _____

Reviewer: _____

Vendor Name: _____

Date: _____

Legislation/Regulation Authority:

Section 1116(e)(3) of the ESEA requires an LEA who enters into a contract with an SES provider to include provisions in the contract to ensure fiscal control and fund accounting procedures that 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 SES services to students in participating Title I schools.

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 SES vendor contracts	Evidence	Compliance			Comments/Corrective Action	Corrective Action Due Date
		Yes	No	N/A		
Contract includes a provision for terminating the agreement if the provider fails to implement the SES Student Learning Plan or is found in violation of the contract/agreement.	Provision(s) in vendor contract					
Contract includes provisions outlining the frequency of payments to providers, which may include provisions addressing missed sessions.	Provision(s) vendor contract					
Contract includes a provision prohibiting the provider from disclosing to the public the identity of any student eligible for or receiving SES without the written permission of the student's parents;	Provision(s) vendor contract					
Contract includes an assurance that the services will be provided in a manner consistent with applicable health, safety, and civil rights laws.	Provision(s) vendor contract					
Contract includes a provision certifying that Delaware criminal offender Record Information checks are performed according to the law for all staff;	Provision(s) vendor contract					