

STATE FISCAL STABILIZATION FUND MONITORING OVERVIEW

Each State and each of the SFSF sub-recipients being monitored in this review* should complete the applicable parts of this document, "Attachment 1: Master Protocol Document," which contains worksheets labeled "State," "LEAs," "IHEs," and "GSF." Many items requested may be part of the same broad document (for example, application guidance documents for LEAs, IHEs, and Government Services Fund (GSF) recipients; an award letter that contains numerous pieces of information). If this is the case, please make a note where applicable in the comments column. If a particular item is not provided, please provide a brief (1 sentence) explanation.

In addition, each entity being monitored should complete the applicable forms among Attachment A (States), Attachment B (LEAs), Attachment C (IHEs), and Attachment D (GSF Recipients). These documents are required ONLY from the entities that the U.S. Department of Education has identified that it will monitor. States are also required to submit "Attachment 2: State Fund Tracking Spreadsheet," and "Attachment 3: State Plan Progress Report."

We ask that the State contact person who is coordinating with the U.S. Department of Education be responsible for gathering and submitting all required documentation to the Department.

** We will be reaching out to each State approximately two months prior to its scheduled review to discuss logistics and planning. At that point, we will identify the specific LEAs, IHEs, and GSF recipients that we will monitor. This will generally include three LEAs, three IHEs, and three GSF recipients in each State. However, the actual number of entities monitored within a State may vary depending on the State's funding situation.*

INSTRUCTIONS**STATE: PLEASE COMPLETE**

Attachment 1: Master Protocol Document. There are five tabs total on this worksheet (instructions page, State, LEAs, IHEs, GSF). Please submit the items required under the "State" tab and have the subrecipients being monitored complete the checklist and provide the items required under their applicable tab. Submit as a cover sheet for each subrecipient.

Attachment 2: State Fund Tracking Spreadsheet. Use this document to track all funds distributed to LEAs, IHEs, and GSF recipient agencies. There are three tabs on this spreadsheet.

Attachment 3: State Plan Progress Report. Use this document to provide updates related to your State's progress toward completion of the plans provided in its SFSF Phase II application.

Attachment A: Monitoring Protocol - State.

SUB-RECIPIENTS BEING MONITORED: PLEASE COMPLETE

Attachment 1: Each sub-recipient that is being monitored should submit documents required for its section of Attachment 1: Master Protocol Document.

Attachment B: Monitoring Protocol - LEAs. The State should forward this form to the LEAs being monitored and have them complete and submit back to the State.

Attachment C: Monitoring Protocol - IHEs. The State should forward this form to the IHEs being monitored and have them complete and submit back to the State.

Attachment D: Monitoring Protocol - GSF. The State should forward this form to the Government Services recipients being monitored and have them complete and submit back to the State.

PLEASE CLEARLY LABEL EVERY DOCUMENT (including document header and title of email attachments) and describe what is being sent in each email to the Department. Use Section Number and Title from this document. For example, "State Name - Section II - Allocations to LEAs - Award Letter." **PLEASE NUMBER ALL PAGES.**

All forms are available online at <http://www2.ed.gov/programs/statestabilization/applicant.html>.

The State should submit all documents in PDF format, except for Attachment 2 (which should be returned in Excel format) to: SFSFMonitoring@ed.gov.

Questions? Please contact SFSFMonitoring@ed.gov.

STATE NAME:

Attachment A - State Documents - to be submitted by State to SFSFMonitoring@ed.gov

Complete this form and clearly label every document with Section Number and Title from this document.
 For example, "State Name - Section II - Allocations to LEAs - Award Letter." PLEASE NUMBER ALL PAGES.

SECTION NUMBER	TITLE	DOCUMENTATION	PROVIDED (Check X)	NOT PROVIDED (Check X)	NAME OF DOCUMENT SUBMITTED <u>(Use this title consistently for header of document and name of email attachment)</u>	COMMENTS If not provided, please explain why (i.e. not available, not applicable)	
I	LEA Applications	Policies and Procedures for reviewing applications					
		Sample of five (5) approved LEA applications, which must include the three (3) being monitored by ED					
II	Allocations to LEAs	Allocation of State funds to LEAs under the State's primary funding formula. (See Attachment 2.)				Please complete Attachment 2 - submit this document in Excel format.	
		Allocation of SFSF funds to LEAs under the Education Stabilization Fund. (See Attachment 2.)				Please complete Attachment 2 - submit this document in Excel format.	
		Award letter or other information that the State provided to LEAs regarding the <u>allocation</u> of Education Stabilization funds					
		Award letter or other information that the State provided to LEAs regarding the <u>timing and release</u> of Education Stabilization funds					
III	Applications and Allocation Procedures for IHEs	List of all public IHEs (including community colleges) and the amount of Education Stabilization funds each received. (See Attachment 2.)				Please complete Attachment 2 - submit this document in Excel format.	
		Sample of five (5) approved IHE applications, which must include the three (3) being monitored by ED					
		Award letter or other information that the State provided to IHEs regarding the <u>allocation</u> of Education Stabilization funds					
		Award letter or other information that the State provided to IHEs regarding the <u>timing and release</u> of Education Stabilization funds					
IV	Application and Allocation Procedures for Government Services funds	Sample of two (2) approved GSF applications					
		List of recipients of Government Services funds and the amount that each entity received. (See Attachment 2.)				Please complete Attachment 2 - submit this document in Excel format.	
		Award letter or other information that the State provided regarding the <u>allocation</u> of Government Services funds					
		Award letter or other information that the State provided regarding the <u>timing and release</u> of Government Services funds					
V	Fiscal Oversight of SFSF Funds	Financial management policies and procedures, including those pertaining to obligations and drawing down funds and the resolution of audits					
VI	Subrecipient Monitoring	List of entities monitored as of date of receipt of this document					
		Any completed State monitoring reports issued to those entities ED is monitoring (LEAs/IHEs/GSF). <u>If the State has not yet monitored any entity that we are monitoring in a given category these entities, please provide at least one (1) report per category.</u>					
		Any updates to monitoring plans or protocols since submission to ED in march 2010					
VII	Maintenance of Effort	Documents validating reported MOE levels					
VIII	Progress in 4 Reform Areas	Update on progress toward completion of State plans provided in SFSF Phase II application. (See Attachment 3.)				See Attachment 3	
IX	Reporting	State reporting guidelines and protocols					
		Sample of documentation supporting the data in Section 1512 quarterly report					

STATE NAME:

Attachment A - State Documents - to be submitted by State to SFSFMonitoring@ed.gov

Complete this form and clearly label every document with Section Number and Title from this document.
 For example, "State Name - Section II - Allocations to LEAs - Award Letter." PLEASE NUMBER ALL PAGES.

SECTION NUMBER	TITLE	DOCUMENTATION	PROVIDED (Check X)	NOT PROVIDED (Check X)	NAME OF DOCUMENT SUBMITTED <u>(Use this title consistently for header of document and name of email attachment)</u>	COMMENTS If not provided, please explain why (i.e. not available, not applicable)
X	State Guidance Documents	Application guidance provided to LEAs				
		Application guidance provided to public IHEs				
		Application guidance provided to entities receiving Government Services funds				
		Policies and procedures on compliance with cross-cutting ARRA requirements (e.g. Buy America, Davis-Bacon, Infrastructure Certification)				
XI	Completed SFSF Monitoring Protocol Forms	Completed ED monitoring protocol form for State. (See Attachment A)				Attachment A
		Completed ED monitoring protocol form for LEAs. (See Attachment B)				Attachment B
		Completed ED monitoring protocol form for IHEs. (See Attachment C)				Attachment C
		Completed ED monitoring protocol form for GSF recipients. (See Attachment D)				Attachment D

STATE NAME:

LEA NAME:

Attachment B - LEA documents. To be submitted by each LEA being monitored. Please return to State Contact when completed.

Complete this form and clearly label every document with Section Number and Title from this document.
 For example, "LEA name - Section III- Fiscal Oversight of SFSF Funds- Document Name." PLEASE NUMBER ALL PAGES.

SECTION NUMBER	TITLE	DOCUMENTATION	PROVIDED (Check X)	NOT PROVIDED (Check X)	NAME OF DOCUMENT SUBMITTED <i>(Use this title consistently for header of document and name of email attachment)</i>	COMMENTS <i>If not provided, please explain why (i.e. not available, not applicable)</i>
I	LEA Applications	No documentation required from LEA for Section I				No documentation required from LEA for Section I
II	Allocations to LEAs	No documentation required from LEA for Section II				No documentation required from LEA for Section II
III	Fiscal Oversight of SFSF Funds	Policies and procedures regarding LEA obligations and drawing down of funds				
		LEA financial management policies and procedures, including documentation that SFSF funds are tracked separately, such as ledgers or other documentation for the most recent quarter LEA policies and procedures on compliance with cash management requirements, including transaction details (such as accounting journals) for the most recent quarter showing that obligations were liquidated to meet immediate obligation needs (i.e. within 3-5 days)				
IV	Progress in 4 Reform Areas	No documentation required from LEA for Section IV				No documentation required from LEA for Section I V
V	Subrecipient Monitoring	Documentation evidencing actions taken in response to State monitoring recommendations				
VI	Reporting	Sample of documentation supporting data provided to the State in Section 1512 quarterly report for the most recent quarter				

STATE NAME:

IHE NAME:

Attachment C - IHE documents. To be submitted by each IHE being monitored. Please return to State Contact when completed.

PLEASE CLEARLY LABEL EVERY DOCUMENT with Section Number and Title from this document.
 For example, "IHE name - Section II - Fiscal Oversight of SFSF Funds- Document Name." PLEASE NUMBER ALL PAGES.

SECTION NUMBER	TITLE	DOCUMENTATION	PROVIDED (Check X)	NOT PROVIDED (Check X)	NAME OF DOCUMENT SUBMITTED <u>(Use this title consistently for header of document and name of email attachment)</u>	COMMENTS If not provided, please explain why (i.e. not available, not applicable)
I	Public IHE applications and allocations	No documentation required from IHE for Section I				No documentation required from IHE for Section I
II	Fiscal Oversight of SFSF Funds	IHE financial management policies and procedures, including documentation that SFSF funds are tracked separately, such as ledgers or other documentation for the most recent quarter IHE policies and procedures on compliance with cash management requirements, including transaction details (such as accounting journals) for the most recent quarter showing that obligations were liquidated to meet immediate obligation needs (i.e. within 3-5 days)				
III	Progress in 4 Reform Areas	No documentation required from IHE for Section III				No documentation required from IHE for Section III
IV	Subrecipient Monitoring	Documentation evidencing actions taken in response to State monitoring recommendations				
V	Reporting	Sample of documentation supporting data provided to the State in Section 1512 quarterly report for the most recent quarter				

STATE NAME:

GSF RECIPIENT NAME:

Attachment D - GSF Recipient documents. To be submitted by each GSF Recipient being monitored. Please return to State Contact when completed.

PLEASE CLEARLY LABEL EVERY DOCUMENT with Section Number and Title from this document. For example, "Agency Name - Section II - Fiscal Oversight of SFSF Funds - Document Name." PLEASE NUMBER ALL PAGES.

SECTION NUMBER	TITLE	DOCUMENTATION	PROVIDED (Check X)	NOT PROVIDED (Check X)	NAME OF DOCUMENT SUBMITTED <i>(Use this title consistently for header of document and name of email attachment)</i>	COMMENTS If not provided, please explain why (i.e. not available, not applicable)
I	GSF applications and allocations	No documentation required from GSF Recipient for Section I				No documentation required from GSF Recipient for Section I
II	Fiscal Oversight of SFSF Funds	Recipient's financial management policies and procedures, including documentation that SFSF funds are tracked separately, such as ledgers or other documentation for the most recent quarter				
		Recipient's policies and procedures on compliance with cash management requirements, including transaction details (such as accounting journals) for the most recent quarter showing that obligations were liquidated to meet immediate obligation needs (i.e. within 3-5 days)				
III	Progress in 4 Reform Areas	No documentation required from Recipient for Section III				No documentation required from Recipient for Section III
IV	Subrecipient Monitoring	Documentation evidencing actions taken in response to State monitoring recommendations				
V	Reporting	Sample of documentation supporting data provided to the State in Section 1512 quarterly report for the most recent quarter				