

## Checklist for Subgrantee Monitoring

As part of the Charter School Programs (CSP) grant requirements for state entities (SEs), grantees must allocate at least 90% of their funds to subgrantees and perform subgrantee monitoring to ensure proper use of funds. This checklist is intended as a guide to help SE grantees facilitate the subgrantee monitoring process. This checklist is not intended to replace a SE-generated subgrantee monitoring tool and procedures, but rather is a tool for SEs to use to ensure their monitoring process covers the necessary areas. This is not a comprehensive list and SEs may monitor and review subgrantees on additional factors beyond this checklist.

<b>Verifications (some may be done during the application process)</b>	
<input type="checkbox"/>	Articles of incorporation
<input type="checkbox"/>	List of current board members
<input type="checkbox"/>	Does not charge tuition (ASBCS Operation Framework dashboard)
<input type="checkbox"/>	Approved charter/contract with authorizer
<input type="checkbox"/>	Non-sectarian
<input type="checkbox"/>	Facility occupancy permit/certification
<input type="checkbox"/>	Meets the federal definition of a charter school
N/A*	Replication/expansion schools continue to meet the definition of high-quality
<input type="checkbox"/>	Admits students based on a lottery
<input type="checkbox"/>	Complies with all federal/state mandates
<input type="checkbox"/>	Meets all applicable Federal, State, and local health and safety requirements
<b>Check Subgrantee has these Policies</b>	
<input type="checkbox"/>	Conflict of interest
<input type="checkbox"/>	School closure
<input type="checkbox"/>	Disposition of assets
<input type="checkbox"/>	Admissions lottery policy (including preferences/weights)
<input type="checkbox"/>	Purchasing/procurement policy
<input type="checkbox"/>	Document retention
<input type="checkbox"/>	Student discipline (suspension/expulsion)
<b>Review Approved Application Against Current Reality</b>	
<input type="checkbox"/>	Grades served versus those proposed
<input type="checkbox"/>	Number of available seats versus those proposed
<input type="checkbox"/>	Number of students enrolled versus those proposed
<input type="checkbox"/>	Number of faculty/staff versus those proposed
<input type="checkbox"/>	Student demographics versus those proposed
<input type="checkbox"/>	Student academic results
N/A*	Student retention rates
<input type="checkbox"/>	Percent special education students compared to local schools
<input type="checkbox"/>	Percent EL students compared to local schools
<input type="checkbox"/>	Components within subgrant application are being followed/adhered
<input type="checkbox"/>	Milestones/benchmarks are being met
<b>Fiscal Controls and Use of Funds - Review conducted by Grants Management</b>	
<input type="checkbox"/>	Review subgrantee approved budget
<input type="checkbox"/>	Review subgrantee expenditures
<input type="checkbox"/>	Ensure all expenditures meet the definition of allowable, allocable, and reasonable

<input type="checkbox"/>	Review invoices/accounting documentation
<input type="checkbox"/>	Review inventory list of items purchased with grant funds
<input type="checkbox"/>	Ensure inventory items are appropriately tagged
<input type="checkbox"/>	Review any subcontractor/consultant contracts, invoices, and role
<input type="checkbox"/>	Review how the school follows internal control policies
<input type="checkbox"/>	Review how the school manages and oversees the subgrant budget
<input type="checkbox"/>	Review financial statements (e.g., profit/loss, budget vs. actual)
<b>Other Documents to Review</b>	
<input type="checkbox"/>	Charter or performance contract
<input type="checkbox"/>	Communications with authorizer
<input type="checkbox"/>	Authorizer reports or corrective action notes
N/A*	Most recent audit
<input type="checkbox"/>	Recent board meeting agendas and minutes
<input type="checkbox"/>	Evidence of student academic achievement results
<input type="checkbox"/>	School calendar/schedule
<input type="checkbox"/>	Student recruitment/application/enrollment materials
<input type="checkbox"/>	CMO/Operator contract
<input type="checkbox"/>	Transportation plan
<input type="checkbox"/>	Evaluation plan/report
<input type="checkbox"/>	Multiyear sustainability plan
<input type="checkbox"/>	Project/program logic model
<b>Other Things to Consider</b>	
<input type="checkbox"/>	School has autonomy and flexibility
<input type="checkbox"/>	All grant special/specific conditions were met
<input type="checkbox"/>	Review for access/appropriate transfer of student records
<input type="checkbox"/>	Relationship with authorizer (e.g., regular communications, compliance, reporting)
<input type="checkbox"/>	How school engages/gathers input from families/community
<input type="checkbox"/>	Ensure the school has not received CSP funds directly from ED for the same purpose
N/A*	School has no significant issues in the areas of student safety, financial and operational management, or statutory or regulatory compliance
<input type="checkbox"/>	Subgrant periods (no more than 60 months, no more than 18 months for planning)
<input type="checkbox"/>	Meets the needs to educationally disadvantaged students as described in the subgrantee application

(This document has been modified to align with Arizona charter law, AZCSP application, and AZCSP monitoring documents/processes.)

\*N/A refers to items on the checklist that are not applicable at the beginning of the first year of operation but will be reviewed at a later date as a part of AZCSP's ongoing monitoring processes.