

**Ohio TechNet Source Documents in preparation for Monitoring Visit**  
**XXX Community College: Date: TBD**

Instructions: Please provide documents, diagrams, photos, and web site links as support for the following monitoring items. The Lead Team will utilize these items while completing the monitoring process of this grant. This document was created to assist you in assembling these documents. In addition to this document, we have created an Excel spreadsheet to help organize and upload these documents. Web links can simply be added to the Excel spreadsheet while all other documents should be uploaded to the Organizations folders under "Submissions" in SharePoint. The documents will then be relocated within our Lead Team Documents.

**Program & Grant Management Systems**

- 1) **Federal Grant Records Retention Policies and Procedures** - *Provide the policy and procedures regarding Federal grant records and retention records. This will include the Time & Effort reporting policy.*
- 2) **Personnel Policies and Procedures** - *Provide a link or document of the schools Personnel Policy and Procedures.*
- 3) **Organizational Chart Identifying Personnel Associated with OTN by Name and their Role/Scope of Responsibilities for each Consortium Member.** - *The org chart should include hierarchy up to the president of the college. You may use the org chart currently being prepared for the August 2016 budget.*
- 4) **Position Descriptions for each Position Identified on the Organizational Chart** - *You may use the org chart currently being prepared for the August 2016 budget.*
- 5) **Federal Assisted Program Equal Opportunity and Section 504 Notice, Policies and Procedures and Contact Information for current EO Officer** - *This should include any documentation to support that these procedures exist. Please also include pictures of Notices that are posted in common areas of your facility. Include in the photos recognizable landmarks that would indicate that this is your facility and the building it is located in. Also include pictures of handicap accessible entrances.*
- 6) **OTN Sustainability Planning Documents** - *Provide documentation that supports the ongoing sustainability of the programs being developed with TAACCCT funding.*
- 7) **Policies and Procedures for Tracking and Reporting Leveraged Funds and Accompanying Fiscal Records Detailing Leverage.** - *Provide documentation with regard to how the school tracks and reports leverage.*
- 8) **Procurement Policies and Procedures** - *Provide a website links or your schools procurement policy.*
- 9) **Federal Grant Property Management Policies and Procedures** - *Provide supporting documentation regarding Grant Property Policies and Procedures.*
- 10) **Federal Grant Property Inventory, Control, and Disposal Records** - *Provide pictures of Equipment that includes the label stating that the equipment was purchased with TAACCCT funds. Provide the policies and procedures regarding Inventory and disposal of equipment.*
- 11) **Procurement Files for each Procurement Activity Including All Equipment and Subcontracts** - *If you have not already provided the Bid Sheet and copies of all bids on equipment please supply them now.*

- 12) **Current Consortium Agreement and any Other MOU/Legal Documents** – *Please provide a copy the school's signed Consortium and OTN Subaward Agreement. You must have a signed copy in your files if the Federal Auditor visits your school.*
- 13) **Copies of most recent A-133 Compliant Single Audit, Management Letters, and Findings** - *Provide a copy of FY14, FY15, FY16, FY17 school audit including the A-133 compliance audit.*
- 14) **Debt Collection Policies and Procedures** – *Please provide a copy of your Debt Collection and repayment procedure for unallowable expenditures.*
- 15) **Management Information Systems Policies and Procedures and Evidence of your school's Quarterly Reporting** - *Please provide a copy of*

### **Financial Management Systems**

- 16) **Fiscal and Administrative Policies and Procedures** - *share any policies you have which outlines how you package your invoices and handle budgetary matters.*
- 17) **OTN Budget**-*No need to submit. We will utilize your August 2016 budget submission.*
- 18) **Cumulative Revenue and Expense Statements for the OTN** – *This is an In-Person review of you Revenue and Expenses from program inception.*
- 19) **Expenditure History from the General Ledger Identifying the OTN Grant** – *Supply a copy of all General Ledger expenditures since inception of the grant.*
- 20) **OTN Chart of Accounts**-*Provide a listing of the Chart of Accounts Utilized for the OTN grant. This may be a listing of your chart of accounts for restricted grants.*
- 21) **Time Sheets, Payroll Records, and Time Activity Reports For Staff charged to OTN**-*This is an In-Person review of a selected transaction. We will ask to see time sheets and payroll records of a selected employee.*
- 22) **Rental or Office Lease Agreements**-*If any part of the TAACCCT program is housed in a rented/leased space then you must supply a copy of the lease agreement.*
- 23) **Policies on Meetings and Meal/Travel Reimbursements**-*Supply a copy of the school's Travel Reimbursement policy.*
- 24) **Curriculum Developers and/or Consultant Contracts/Agreements and Policies** - *Provide copies of all contracts utilized during this grant.*
- 25) **Bank Reconciliations and Evidence of Canceled Checks For Expenses/Bills Paid From the Grant** – *This is an In-Person review of selected transactions to ensure that procedures were followed and checks issued cleared the bank.*
- 26) **Cost Allocation Policies and Procedures** – *Please provide a copy of procedures used to allocate costs to grant programs.*
- 27) **Indirect Cost Rate Agreement for each Consortium Member** – *Please provide a copy or your most current Indirect Cost Rate Agreement. I also need to review in person a copy of your Indirect Cost Rate calculation.*

28) **Policies and procedures for Federal Grant Cash Management** – *Please provide copies of your procedures regarding the drawdowns of Federal Cash.*

### **Service Delivery**

29) **Inventory of Grant Products and Deliverables** - *Include any new curricula materials developed/modified or enhanced with this grant.*

30) **Targeted Populations Outreach Strategy and Evidence of Implementation** - *Please provide documentation supporting this policy.*

31) **Participant files if you have participants (10 current participants and 10 exiters if possible)** – *This is an In-Person task. We will confirm that all files are located in a secure location and verifying that each document is complete.*

32) **Diagram of participant process from outreach/intake through placement/follow-up** – *Please provide a diagram of the participant process.*

33) **Veterans Priority of Service Policy and Procedure** – *Please provide documentation supporting this policy.*

34) **Selective Service Registration Verification Policy and Procedure** - *Please provide documentation supporting this policy.*

35) **Academic Supportive Services Policies and Procedures** - *Please provide documentation supporting this policy.*

36) **Evidence that Online Content Development is SCORM Compliant** – *If applicable, please provide additional information.*

***If college has online curriculum in place that is grant funded, please document status to be compliant. What is SCORM?***

SCORM is a set of technical standards for e-learning software products. **SCORM tells programmers how to write their code so that it can “play well” with other e-learning software.** It is the de facto industry standard for e-learning interoperability. Specifically, SCORM governs how online learning content and Learning Management Systems (LMSs) communicate with each other. SCORM does *not* speak to instructional design or any other pedagogical concern, it is purely a technical standard.

37) **Intellectual Property Policies and Procedures for Grant Products** – *If applicable, please provide documentation supporting this policy.*

38) **Evidence of Creative Commons Attribution License for each Consortium Member** - *Please provide documentation supporting this policy. This evidence may not be available until the end of*

*the grant. If college has any new on-line courses developed with grant funds, evidence of or stated willingness to acquire Creative Commons Attribution License.*

**39) Arrangements to Interview Several Participants** – This is a an In-Person task. Please make available participants that may be interviewed at the time of monitoring. We realize that exiters and many participants may not be available at the time of monitoring, so we ask that you provide us contact information that we can reach out to these individuals. Co-grantees who are being visited can pre-select and the interviews can be face-to-face or via phone and we are anticipating the interviews not to exceed 30 minutes.

**40) Arrangements to Interview Employer Partner Point of Contact**

*Co-grantees who are being visited need to identify and recruit an employer who has been actively engaged, supportive and familiar with the grant, served on your advisory group, MOU, incumbent worker participant, etc. via phone for interview (estimated 30 minutes). LCCC WILL CALL YOUR DESIGNATED EMPLOYER FOLLOWING THE MONITORING VISIT.*

### **Performance Accountability**

**41) Reporting Policies and Procedures for Consortium Member Programmatic Activities - College needs to demonstrate the local process for capturing and reporting programmatic activities.**

**42) Data Validation Policies and Procedures for Quarterly Progress Reports and Annual Performance Reports - Please document the process for reporting.**

**43) Resumes of Third Party Subject Matter Expert Reviewers (For Grant Products).** - Please provide copies of Resumes for Third Party Subject Matter Experts.

This workforce solution was funded by a grant awarded by the U.S Department of Labor's Employment and Training Administration. The solution was created by the grantee and does not necessarily reflect the official position of the U.S Department of Labor. The Department of Labor makes no guarantees, warranties, or assurances of any kind, express or implied, with respect to such information, including any information on linked sites and including, but not limited to, accuracy of the information or its completeness, timeliness, usefulness, adequacy, continued availability, or ownership.



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