New Mexico
Race To the Top
Early Learning Challenge

Ongoing Monitoring Plan

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Section I

INTRODUCTION

New Mexico Race To the Top – Early Learning Challenge (RTT-ELC) Leadership Team has created this plan to describe the process, protocols, and schedule for monitoring sub-recipients (referred in this document as "Contractors") and their sub-recipients (referred in this document as "Subcontractors") who receive funds awarded under the Race To the Top, Early Learning Challenge Grant. The monitoring process includes programmatic and fiscal reviews ensuring compliance with the requirements set forth in the New Mexico Race To the Top approved Application and Scope of Work.

Within the New Mexico RTT-ELC, the responsibility for the monitoring of the operations of the contractors is vested in each RTT-ELC Project Lead (listed in Section III), and it is the responsibility of the Contractors for oversight and compliance of the Subcontractors. In addition to the Project Leads and the NM RTT-ELC Leadership Team, the fiscal monitoring will be conducted by each Department's Fiscal Unit in accordance with New Mexico Procurement and Fiscal regulations.

Ongoing monitoring of the Contractors (and Subcontractors) will help the RTT-ELC team assess the Contractors (and Subcontractors) operations and ensure that necessary steps are being taken to meet Federal Regulations, contractual requirements, and the grant goals, objectives, and activities. The monitoring plan also ensures that appropriate interventions and corrective actions with contractors and subcontractors are taken in a timely manner, should they be necessary.

The regulatory basis for monitoring can be found in EDGAR, section 80.40 (34 CFR section 80.40): Paragraph (a), entitled "Monitoring by grantees" states that: "grantees are responsible for managing the day-to-day operations of grant and subgrant supported activities..."

The ongoing monitoring activities will be conducted at both the Contractor and Subcontractor level. At the Contractor level, monitoring of programmatic, management and fiscal operations occurs and it is conducted by the assigned Project Lead. At the Subcontractor level, subcontracted program services will be monitored by Contractor following the procedures in this plan.

The primary purposes for monitoring the Contractors and Subcontractors program management and fiscal operations are:
1. To determine if the Contractor's performance and fiscal management is in compliance with Federal, State, and local regulations.
2. Flag possible programmatic and legal concerns.
3. Understand implementation of the project.
4. Assist Contractors (and Subcontractors) in program improvement efforts.
5. Provide data about program implementation necessary to support future funding.

6. Show how grant funds are being spent and assure Congress, Department of Education (ED) and the Health and Human Services Department (HHS) and other stakeholders that funds are being spent as intended.
7. To identify the Contractors' training and technical assistance needs for improving program delivery and ensuring sustainability.

OVERVIEW AND SCOPE OF ONGOING MONITORING

The ongoing monitoring of management, fiscal and programmatic operations of the Contractors will be carried out by the assigned Project Lead. Contractors are responsible for monitoring, assessing, and supporting their Subcontractors. Monitoring activities must be consistent with the specifications set in this document following the established timelines. The required work and timelines established in the RTT-ELC Scope of Work specific for each Project are the basis for the implementation of this monitoring process.

The RTT-ELC monitoring system is comprised of the following areas:
1. Monitor administrative, fiscal, and program activities;
2. Summarize and analyze results;
3. Provide written reports to all appropriate parties;
4. Verification of Monitoring results submitted by Contractors for Subcontractors;
5. Track Continuous Quality Improvement Plan (CQIP);
6. Follow-up on identified non-compliance findings;
7. Determination of Risk Factor;
8. Use monitoring data for continuous quality improvement.

Ongoing monitoring activities will occur in three paths. The paths are defined as follows:

1. **Regular ongoing monitoring**. This path is designed to monitor the Contractor (Subcontractor) throughout the year using the Monitoring Framework. The Framework specifies monitoring method, timelines, regular and ongoing reports. Project Leads will monitor and follow-up throughout the year. A Continuous Quality Improvement Plan will be developed for findings and any non-compliance. Risk Factors will be determined after each monitoring process is completed.

2. **Comprehensive Review.** A comprehensive review of each Project (including Contractors, subcontractors and the work of state agency staff) will occur for each at least once every year prior to the completion of the Project's Annual Performance Report. The Comprehensive Review will be coordinated by the New Mexico's Race To the Top Leadership Team. A Continuous Quality Improvement Plan will be developed for findings and non-compliance. Risk Factors will be determined after each monitoring process is completed.

3. **Focused Reviews for Areas of Concern and High Risk Contracts.** This path will be reserved for Contractors or Subcontractors who are considered High Risk as a result from the completion of a monitoring process. The focus of these reviews will be determined by the nature of the concern(s). However, ongoing monitoring of management, fiscal and programmatic aspects will continue based on the monitoring framework timelines.

These paths will ensure that all Projects, Activities and Tasks are reviewed annually.

IMPLEMENTATION PLAN

In an effort to improve the comprehensiveness and effectiveness of monitoring and support services provided to Contractors and Subcontractors the NM RTT-ELC team will be implementing this approach to monitoring. Implementation of this Monitoring System will formally begin July 1, 2013 with training process to Contractors and Subcontractors. Contractors and Subcontractors should expect that each of the activities and tasks specified in the RTT-ELC Application and Scope of Work will be monitored in the course of a program year.

The method by which the assigned Project Lead will obtain information to make the determinations of compliance will be based on Scope of Work and Approved Application. The Project Leads will conduct monitoring activities and/or visit each of their assigned Contractors as specified in the Monitoring Framework.

The monitoring process will consist of multiple modes of inquiry. During the monitoring process, information gathered will be obtained through a 360° approach and noted on the Monitoring Report as follows:
- Observe – Practices, services, training, interactions, etc.
- Interview – Contractors, Subcontractors, participants, customers, community partners, etc.
- Review – Documents, records, reports, billing, contracts, data, meeting minutes, etc.

The Monitoring Framework indicates the methods utilized in the monitoring process, including: ongoing communication, monthly status meetings, desk reviews, announced scheduled visits and unannounced site visits (when applicable).

Frequency and focus of visits and monitoring activities may be modified as needed and noted on the Monitoring Report.

All findings, including demonstration of quality practices, areas of compliance and non-compliance, as well as technical assistance provided, will be discussed with the Contractor and will be communicated formally to the RTT-ELC Leadership through the Monitoring Report.

RTT-ELC Project Leads will meet with Contractors to discuss their status and progress and to develop the Continuous Quality Improvement Plan in order to closely monitor the implementation of all applicable regulations and contractual agreements.

GOALS AND OBJECTIVES

The goal of the New Mexico RTT-ELC ongoing monitoring system is to ensure that the completion of work is in compliance with the Race To the Top – Early Learning Challenge approved Application and Scopes of Work, and all applicable regulations. The monitoring process will assess the Contractors' strengths and challenges, and their performance to ensure compliance with all federal, state and local regulations, using multiple modes of inquiry listed above.

The monitoring process seeks to prevent system and implementation problems by proactively and frequently assessing each Contractor and Subcontractor's work. Early identification of areas that need focus, remediation, maintenance, etc., provides the Project Lead with an opportunity to prevent problems before they occur; thus, avoiding any disruption in the contracted work.

The NM RTT-ELC ongoing monitoring system aims to achieve the following objectives:

- Act as a consultative partner with Contractors and Subcontractors to develop and implement effective services.
- Assist the Contractors and Subcontractors in developing and implementing an efficient and effective process of ongoing monitoring that identifies and corrects any gaps in the service areas to prevent chronic and/or systemic problems.
- Identify gaps in services as measured by the number of findings and/or substantial findings.
- Determine Risk Factors and adjust supports and interventions according to the determination.
- Establish a collaborative partnership with Contractors and Subcontractors to correct all findings, and identify steps to improve work; this may include procedures updates, training and technical assistance needs, indicated by the corrective actions in the Continuous Quality Improvement Plans.
- Verify that Contractors have corrected all findings as identified and measured by the Contractor's Continuous Quality Improvement Plans (CQIPs) within approved pre-established timelines.
- Monitor Contractor's process for their ongoing monitoring of Subcontractors

ROLES AND RESPONSIBILITIES OF RTT-ELC PROJECT LEADS

The following chart indicates the Project Leads responsible for conducting ongoing monitoring activities for each Project. The ongoing monitoring must take place throughout the year through various modes of inquiry including, but not limited to: observations, record/document reviews and interviews.

Project Leads will monitor all the assigned Contractors (and ensure their monitoring of Subcontractors) to ensure that operations of the Contractors effectively provide the services outlined in the Race To the Top Application, Scope of Work, contract provisions and federal, state and local regulations.

Ongoing Monitoring Assignments

Project	Project Lead	Project Contractors
1. Grants Management	Alejandra Rebolledo-Rea	CYFD
2. TQRIS	Terri Tapia	CYFD
	Andy Gomm	DOH
	Katrina Montano-White	CYFD
	Ann Zuni	PED - PreK
3. Early Childhood Investment Zones	Alejandra Rebolledo-Rea	CYFD
	Katrina Montano-White	CYFD
4. Professional Development	Judy Fifield	CYFD
-Infant Mental Health	Katrina Montano-White	CYFD
-T.E.A.C.H	Katrina Montano-White	CYFD
5. Early Childhood Data	Steven Hendrix	CYFD
	Lois Haggard	DOH
	Andy Gomm	DOH
	Brian Salter	PED
6. Kindergarten Entry Assessment	Melinda Webster	PED

REPORTING PROCESS

The Monitoring Report (See Section II monitoring Report Tool) must be submitted to the Race To the Top Coordinator, no later than fifteen calendar days after the monitoring activity takes place. Contractors must submit their monitoring report no later than ten days after their monitoring activity with their subcontractor took place.

FISCAL MONITORING

The Race To the Top Leadership Team (including RTT-ELC Project Coordinator), Project Lead for each project, and Fiscal Management personnel will participate in the ongoing monitoring and comprehensive review process of Contractors. The Ongoing Fiscal Monitoring Instrument will be completed at least two times per year.

The Fiscal Monitoring Team
The RTT-ELC Leadership Team is responsible for the administration of the grant funds and the Fiscal Monitoring process. The ongoing Fiscal Monitoring has been assigned to the Project Leads, Leadership Team and fiscal personnel for the Departments.

The Fiscal Monitoring team will monitor Contractors for adequacy of controls and compliance with Federal, State and local regulations as well as the RTT-ELC approved Application and Scopes of Work, addressing the following areas:

- Cash Flow management and budget forecasting;
- Procurement and general accounting controls, including proper safeguarding of assets;
- Recording program income and expenditures;
- Cost allocations;
- Employee benefits, including vacation trust reserves and pension plans;
- Contract administration;
- Monitoring of Subcontractors;
- Compliance with RTT-ELC Scopes of Work and Contract Scope of Work.

The following identifies the type of reviews performed and provides brief description:

Contracts, Scope of Work and RTT-ELC Scope of Work
The Contract between the State and the Contractor must specify the Scope of Work as related to RTT-ELC Approved Application and Scope of Work. The Contract, Application and Scope of Work will be the basis for the ongoing monitoring process.

Annual Reviews of Contractors Independent Audit Reports
Each year, Contractors are required to submit copies of their independent audit reports to the Department responsible for each RTT-ELC Project. Upon receipt, the audit reports are reviewed by the Fiscal Department staff for areas of non-compliance with Federal Regulations, Office of Management & Budgets (OMB) Circular A-133, and contract requirements, internal control weaknesses, and verification of financial stability. All findings are communicated to the Contractor. The assigned Fiscal Management staff member will follow-up on the findings and inform the Project Lead, and continue through resolution with the Contractors and their independent auditors.

Cost Reports
The Fiscal Monitoring Team will review all cost reports on a monthly basis. The Following will be audited against the submitted cost reports at the site visits: payroll registers; cash receipts; disbursement journals; general ledgers; and financial reports.

Determining Risk Factors
The RTT-ELC Monitoring Team will conduct a risk-based assessment of each Contractor to determine the strengths and weaknesses of fiscal systems and areas where the risk of non-compliance and misappropriation of funds is high. The results of the risk assessment determine the frequency and focus of monitoring visits by the Monitoring Team. The following sources and conditions are utilized in the preparation of the risk assessment:

- Internal Controls Interviews and Monitoring Instrument;
- Annual independent audit report;
- Meetings with Fiscal and RTT-ELC staff;
- RTT-ELC monitoring reports;
- Monthly and quarterly cost reports and supporting documentation;
- Budget Adjustment Requests;
- Any amendments;
- Changes in key personnel, i.e., executive director, fiscal officer, etc.;
- Under performance reports;
- Monthly Status meetings with Project Leads;
- Previous risk assessments;
- Historical information included in previous monitoring visits;
- Continuous Quality Improvement Plan and progress reports.

Upon the completion of the risk assessment, the Monitoring Team reviews and adjusts, if necessary, the monitoring plan for each Contractor. The team will determine the areas of high risk, the monitoring process to take place and the schedule of site visitations. At a minimum, three site visits (reviews) will be scheduled for each high risk Contractor annually. Each visit will include a review of specific high-risk areas and follow-up to the Continuous Quality Improvement Plans and results of previous reviews. A team will be comprised of at least two Monitoring Team members for each site visit. Follow-up to findings will be scheduled on a monthly basis. Risk assessments will be ongoing and Contractor's monitoring plans may be modified on an as needed basis.

Special Conditions

In situations where monitoring findings indicate multiple findings or that a key system is dysfunctional or in deficiency, the RTT-ELC Monitoring Team may determine that the Contractor requires in-depth oversight. When this occurs, the Contractor is placed under Special Conditions. This means that all programmatic, fiscal, and/or administrative decisions must be reviewed and approved by the Project Lead or designee prior to action.

HANDLING OF NON-COMPLIANCE FINDINGS AND DEFICIENCIES

Findings of non-compliance and/or deficiency may result from the ongoing monitoring process. Contractors are provided a specified period of time for resolving non-compliance issues. These time periods are specified in preliminary reports that Contractor will receive at the conclusion of the monitoring visit.

A deficiency exists when the RTT-ELC Project Lead determines that any of these categories occur:
- Misuse of funds received;
- Loss of legal status (as determined by RTT-ELC Leadership team) or financial viability, loss of permits, debarment from receiving Federal grants or contracts, or the improper use of Federal funds;
- Failure to meet any other Federal or State requirement that the Contractors has shown an unwillingness or inability to correct, after notice from the Race To The Top Leadership Team member, within the period specified;
- Unresolved areas of non-compliance;
- Non-compliance with the Continuous Quality Improvement Plan.

A deficiency may also be determined to exist when there are recurring findings that indicate unresolved systemic issues resulting in the Contract's inability to sustain corrections. Also, when the RTT-ELC Monitoring Team has reached consensus that the Contractor is not meeting the intent of the Scope of Work.

The RTT-ELC Team will use a series of measures to support compliance including: intensive training and technical assistance; increased monitoring; and use of a compliance support team, etc. Contractors whose findings rise to the level of deficiency or where more direct intervention is deemed necessary before deficiency occurs, the RTT-ELC Team has identified the following as intervention strategies to bring about compliance.

Requiring a Continuous Quality Improvement Plan (CQIP)
The CQIP must be submitted within the required timeline as identified by the Project Manager. It identifies the non-compliance, deficiency, the actions to be taken to resolve the deficiency, the staff and/or other resources that will be used for resolution, and a time table for completion once submitted and approved by The RTT-ELC Project Lead. The Project Lead will conduct ongoing follow up on the implementation and corrections.

Placing the Contractor under special conditions:
The Project Manager may impose special conditions on a Contractor, by means of a Contract Amendment.

Identification of Special Conditions and Process for Removal:
If special conditions are imposed by the RTT-ELC Leadership, the Contractor will be notified in writing and the notification will include the following items:

- Nature of the special conditions/restrictions
- Reasons for imposing them
- The corrective actions which must be implemented by the Contractors with regard to the special conditions before they will be removed
- Consequences for non-compliance with special conditions
- Time period for the correction of non-compliance
- Technical Assistance if applicable by the RTT-ELC Project Lead

Any or all of the following actions may be imposed in the event special conditions are attached to the contract:

- Requiring additional more detailed financial and/or program reports
- Performing additional project monitoring by RTT-ELC staff
- Requiring the Contractors to obtain technical or management assistance
- Establishing additional prior approvals
- Temporarily withholding cash payments pending correction of the non-compliance or deficiency
- Disallowing (that is, denying both use of funds and any applicable matching credit for) all or part of the cost of the activity or action not in compliance
- Suspending wholly or partly suspending or terminating the current contract
- Withholding further contracts for the project or program
- Taking any other remedies that may be legally available

Contractors placed under special conditions will be advised of the process for removal of the special conditions and timelines which must be met. Failure to resolve special conditions can result in a finding of deficiency.

CONCLUSION

New Mexico RTT-ELC Ongoing Monitoring Plan for Contractors represents continuous efforts to ensure that New Mexico's Race To the Top - Early Learning Challenge grant is successfully implemented within the established timelines. It is the commitment of the RTT-ELC Team to work together and support community programs, ensuring that every child has equitable access to appropriate services and systems that acknowledge their uniqueness and enable them to reach their full potential.

Section II

ONGOING MONITORING FRAMEWORK AND TIMELINES

Ongoing Monitoring Using Multiple Approaches and Modes of Inquiry
Contractors and Subcontractors will be monitored by the Project Leads using multiple approaches. The following Monitoring Frameworks are specific to each Project.

The Ongoing Monitoring Framework and timelines are organized by Project, Activity and will be used as a guide for ongoing monitoring and reporting. Contractors will receive an orientation to the process, the Scope of Work and the Framework prior to the implementation.

The Framework identifies the Contractor(s) (and in some cases Subcontractors) for each one of the Projects and Activities. In the event that a Contractor has not been identified, the description of the Contractor is noted.

Ongoing Monitoring Framework and Timelines

Project # & Name:	#2 FOCUS TQRIS	
Activities (from SOW)**:**	2.1 Contract for FOCUS TQRIS Validation Study 2.20 Complete validation study of FOCUS TQRIS 2.24 Establish a panel of experts who will provide technical assistance for the validation study	
Deliverables (from SOW):	-Follow the state procurement code to develop and release a request for proposals for the FOCUS TQRIS validation study. -After completion of the RFP process, enter into contract with successful bidder. -Manage and coordinate activities related to a rigorous and independent multi-year validation process of the New Mexico FOCUS Tiered Quality Rating and Improvement System (TQRIS). -Through the use of a national research entity, carry out the validation process for FOCUS. -Organize a team of researchers and experts who will work on the validation study which includes the rating of the observation, documentation, curriculum planning process for FOCUS TQRIS -Develop and validate a self-assessment tool for FOCUS programs to use for continuous program improvement -Validation Report that will be submitted at the end of each contract period and final report is due on January 1, 2017	
Contractor:	UNM Center for Education Policy Research (CEPR)	
Subcontractor(s)	Child Trends	
Method 1. Monthly Status meetings	**Frequency:** 1 X Month (by the 15th)	**Describe:** • The SOW template developed by the state to monitor status and deliverables for each activity, task, and milestone • Face to face or using web conference technology • The Monitoring Summary Report will be utilized • Any issues/concerns will be noted with follow up activities stated

Method 2. Desk Review	Frequency: 1 X Quarterly (by the 15th July – Oct – Jan - Apr)	Describe: • The SOW template developed by the state to monitor status and deliverables for each activity, task, and milestone • Monthly invoices will be reviewed
Method 3. Site Visit / Face-to-face (if applicable)	Frequency: (at least 2 X per year)	Describe: • Quarterly face to face site visits will be conducted • Contract and sub-contract records will be reviewed, to include the sub-contract monitoring plan • Contract findings will be documented
Method 4. Other (if applicable)	Frequency: As conference calls are scheduled. Initially, these will be scheduled on a bi-weekly schedule	Describe: • Participate in regularly scheduled conference calls and on site visits with UNM CEPR and Child Trends • Review documents of record including meeting minutes
Fiscal Monitoring	Frequency: • Quarterly • Monthly	Describe: • Utilizing the NM Fiscal Monitoring Instrument • Review invoice
Quality:	Frequency: 1 X Month (by the 15th)	Describe: (How we will measure quality) • Contractor will be in substantial compliance with all contractual obligations • Invoices submitted on a monthly basis • Activities, tasks, and milestones follow the identified start and end dates with deliverables completed as identified in the Race To the Top Scope of Work and the sub-contract Scope of Work with Child Trends

Determining Risk:	How will risk be determined for this contractor?
	• Compliance or non-compliance with all of the contractual obligations and deliverables as identified in the Scope of Work

Project # & Name:	#2 FOCUS TQRIS	
Activities (from SOW)**:**	2.2 Establish Standards, Criteria, and tools for monitoring and verification protocols for FOCUS TQRIS	
Deliverables (from SOW):	-Review FOCUS TQRIS standards criteria, validation tools and process and revise as necessary prior to beginning each cohort of pilot phases for FOCUS implementation -Develop process and format for Pilot participant feedback	
Contractor:	UNM Center for Education Policy Research (CEPR)	
Subcontractor(s)	Child Trends	
Method 1. Monthly Status meetings	**Frequency:** 1 X Month (by the 15th)	**Describe:** • The SOW template developed by the state to monitor status and deliverables for each activity, task, and milestone • Face to face or using current technology • The Monitoring Summary Report will be utilized • Any issues/concerns will be noted with follow up activities stated
Method 2. Desk Review	**Frequency:** 1 X Quarterly (by the 15th July – Oct – Jan - Apr)	**Describe:** • The SOW template developed by the state to monitor status and deliverables for each activity, task, and milestone • Monthly invoices will be reviewed
Method 3. Site Visit / Face-to-face (if applicable)	**Frequency:** (at least 2 X per year)	**Describe:** • Quarterly face to face site visits will be conducted • Contract and sub-contract records will be reviewed, to include the sub-contract monitoring plan • Contract findings will be documented

Method 4. Other (if applicable)	**Frequency:**	**Describe:** • Participate in regularly scheduled conference calls and on site visits with UNM CEPR and Child Trends • Review documents of record including meeting minutes
Fiscal Monitoring	**Frequency:** • Quarterly • Monthly	**Describe:** • Utilizing the NM Fiscal Monitoring Instrument • Review invoices
Quality:	**Frequency:** 1 X Month (by the 15th)	**Describe:** (How we will measure quality) • Contractor will be in substantial compliance with all contractual obligations • Invoices submitted on a monthly basis • Activities, tasks, and milestones follow the identified start and end dates with deliverables completed as identified in the Race To the Top Scope of Work and the sub-contract Scope of Work with Child Trends
Determining Risk:	**How will risk be determined for this contractor?** • Compliance or non-compliance with all of the contractual obligations and deliverables as identified in the Statement of Work	

Project # & Name:	#2 FOCUS TQRIS	
Activities (from SOW):	2.3 Review and revise FOCUS TQRIS criteria, tools, verification process and protocols for Licensed Early Childhood Programs 2.8 Begin Pilot process and establish pilot cohorts 2.9 Implement FOCUS TQRIS pilot process 2.10 Revise FOCUS standards, if needed, after each pilot phase 2.11 Implement FOCUS TQRIS statewide	
Deliverables (from SOW):	-Continue to obtain feedback as TQRIS standards are revised -Develop a final set of FOCUS TQRIS standards prior to statewide implementation -Develop monitoring protocols and verification tools used to rate programs participating in the FOCUS TQRIS	
Contractor:	UNM Center for Education Policy Research (CEPR)	
Subcontractor(s) (If applicable)	Child Trends	
Method 1. Monthly Status meetings	**Frequency:** 1 X Month (by the 15th)	**Describe:** • The SOW template developed by the state to monitor status and deliverables for each activity, task, and milestone • Face to face or using web conference technology • The Monitoring Summary Report will be utilized • Any issues/concerns will be noted with follow up activities stated
Method 2. Desk Review	**Frequency:** 1 X Quarterly (by the 15th July – Oct – Jan - Apr)	**Describe:** • The SOW template developed by the state to monitor status and deliverables for each activity, task, and milestone • Monthly invoices will be reviewed
Method 3. Site Visit / Face-to-face (if applicable)	**Frequency:** (at least 2 X per year)	**Describe:** • Quarterly face to face site visits will be conducted • Contract and sub-contract records

		will be reviewed, to include the sub-contract monitoring plan • Contract findings will be documented
Method 4. Other (if applicable)	**Frequency:**	**Describe:** • Participate in regularly scheduled conference calls and on site visits with UNM CEPR and Child Trends • Review documents of record including meeting minutes
Fiscal Monitoring	**Frequency:** • Quarterly • Monthly	**Describe:** • Utilizing the NM Fiscal Monitoring Instrument • Review invoice
Quality:	**Frequency:** 1 X Month (by the 15th)	**Describe:** (How we will measure quality) • Contractor will be in substantial compliance with all contractual obligations • Invoices submitted on a monthly basis • Activities, tasks, and milestones follow the identified start and end dates with deliverables completed as identified in the Race to the Top Scope of Work and the sub-contract Scope of Work with Child Trends
Determining Risk:	**How will risk be determined for this contractor?** • Compliance or non-compliance with all of the contractual obligations and deliverables as identified in the Scope of Work	

Project # & Name:	#2 FOCUS TQRIS	
Activities (from SOW)**:**	2.5 Develop FOCUS TQRIS Criteria, tools Verification process and protocols for IDEA -Part C - DOH Early Intervention Programs - New Mexico Family Infant Toddler Program (FIT) 2.13 Implement FOCUS TQRIS Pilot Process for FIT Programs	
Deliverables (from SOW):	− Cross walk of FOCUS TQRIS and DOH FIT Essential Elements of Quality − National review of potential tools for measuring quality. − Final IFSP Quality Review tool − FIT FOCUS TQRIS tools are developed − Training for pilot sites developed and delivered.	
Contractor:	To Be Determined	
Subcontractor(s) (If applicable)	NA	
Method 1. Monthly Status meetings	**Frequency:** 1 X Month (by the 15th)	**Describe:** • Monthly status meeting with contractor • Establish agenda ahead of meeting • Utilize web conference software as needed
Method 2. Desk Review	**Frequency:** 1 X Quarterly (by the 15th July – Oct – Jan - Apr)	**Describe:** • Quarterly reports regarding progress towards deliverables • Review of draft versions of documents
Method 3. Site Visit / Face-to-face (if applicable)	**Frequency:** (at least 2 X per year)	**Describe:** • Observe training to FIT Pilots • Interview training participants • Review training records
Method 4. Other (if applicable)	**Frequency:**	**Describe:** **NA**
Fiscal Monitoring	**Frequency:**	**Describe:**

	• Quarterly • Monthly	• Utilizing the NM Fiscal Monitoring Instrument • Review invoice
Quality:	**Frequency:** 1 X Month (by the 15th)	**Describe:** (How we will measure quality) • Review and make recommendations for change -CQIP
Determining Risk:	**How will risk be determined for this contractor?** • Little or no progress towards deliverables • Review of draft deliverables to evaluate whether the assignment is thorough and whether it is to a high standard.	

Project #& Name:	#2 – New Mexico Tiered Quality Rating and Improvement System FOCUS TQRIS	
Activities(from SOW):	2.7.2 – Research quality rating system in other states specific to Home Visiting 2.7.3 – Develop Essential Elements of Quality matrix in order to align Home Visit FOCUS TQRIS with FOCUS TQRIS to establish common and developmentally quality Home Visiting Programs 2.7.4 – Obtain national and other tools to assess quality Home Visiting services in each of sections of the Essential Elements of Quality matrix 2.7.5 – Draft version of the HV Program FOCUS-TQRIS	
Deliverables (from SOW):	- Cross walk of FOCUS TQRIS and Home Visit Essential Elements of Quality - National review of potential tools for measuring quality. - Final Home Visiting Quality Review tool - FIT FOCUS TQRIS tools are developed - Training for pilot sites developed and delivered.	
Contractor:	Region IX Cooperative	
Subcontractor(s)	Consultants with expertise and knowledge on Infant and Toddler non-center care programs	
Method 1. Monthly Status meetings	Frequency: 1 X Month (by the 15th)	Describe: - Monthly status meeting with contractor - Establish agenda ahead of meeting - Utilize web conference software as needed
Method 2. Desk Review	Frequency: 1 X Quarterly (by the 15th July – Oct – Jan - Apr)	Describe: - Quarterly reports regarding progress towards deliverables - Review of draft versions of documents
Method 3. Site Visit / Face-to-face (if applicable)	Frequency: (at least 2 X per year)	Describe: - Observe Training sessions - Interview participants - Review training records
Fiscal Monitoring	Frequency: Quarterly	Describe: Utilizing the NM Fiscal Monitoring Instrument

	• Monthly	• Review invoices
Quality:	**Frequency:** 1 X Month (by the 15th)	**Describe:** (How we will measure quality) • Refer to SOW and Application – Develop CQIP
Determining Risk:	**How will risk be determined for this contractor?** - Timely compliance with deliverables	

Project #& Name:	#3 – Early Childhood Investment Zones
Activities(from SOW):	3.4 Create ECIZ Community Councils 3.5 Assess Communities Readiness, Capacity and Progress 3.6 Make recommendations for funding "Ready Communities" 3.7 Select Additional Investment Zones
Deliverables (from SOW):	– Local Early Childhood Council Membership – Community Readiness Criteria and Report – Identification and support to Early Childhood Investment Zones
Contractor:	To be determined. Community Organizer and liaison
Subcontractor(s)(If applicable)	N/A

Method 1. Monthly Status meetings	**Frequency:** 1 X Month (by the 15th)	**Describe:** • Monthly status meeting with contractor • Establish agenda ahead of meeting • Utilize web conference software as needed • Interview one community council member per month
Method 2. Desk Review	**Frequency:** 1 X Quarterly (by the 15th July – Oct – Jan - Apr)	**Describe:** • Review of ELAC and Community Councils' Meeting minutes • Review Community Action Plans for each community • Review Early Childhood Data report • Review ongoing reports as submitted
Method 3. Site Visit / Face-to-face	**Frequency:** 1 X Quarterly (by the 15th July – Oct – Jan - Apr)	**Describe:** • Observe Community Council Meetings lead by Contractor • Observe presentations to cross system key holders and ELAC by Contractor • Interview the full Community Council • Review progress reports, priority

		issues and validate with the results of the Community Council's reports
Method 4. Other (if applicable) Strategic Meetings	**Frequency:** By-weekly	**Describe:** • Meeting to discuss results and strategize next steps • Address barriers and setbacks • Make necessary adjustments • Prepare report for ELAC and RTT Leadership
Fiscal Monitoring	**Frequency:** • Quarterly • Monthly	**Describe:** • Utilizing the NM Fiscal Monitoring Instrument • Review invoice
Quality:	**Frequency:** 1 X Month (by the 15th)	**Describe:** (How we will measure quality) • Compliance with contracted services, feedback from Community Councils and progress reports. Develop CQIP if necessary
Determining Risk:	**How will risk be determined for this contractor?** • Compliance with timelines and expected deliverables	

Project # & Name:	# - 4 Professional Development	
Activities (from SOW)**:**	4.2 Infant / Early Childhood Mental Health Endorsement	
Deliverables (from SOW):	– Provide training regarding infant mental health and to support the endorsement of early childhood educators and early childhood education faculty – Develop and provide trainings on Reflective Practice to FOCUS management and consultants – Provide information and/or resources to individuals interested in obtaining the New Mexico Infant Mental Health Endorsement	
Contractor:	University of New Mexico Center for Development and Disabilities	
Subcontractor(s) (If applicable)	N/A	
Method 1. Monthly Status meetings	**Frequency:** 1 X Month (by the 15th)	**Describe:** • The SOW template developed by the state will be used to monitor status and deliverables for each activity, task, and milestone • Face-to-face or using web conference technology • The Monitoring Summary Report will be utilized • Any issues/concerns will be noted with follow-up activities stated in the Monitoring Summary Report
Method 2. Desk Review	**Frequency:** 1 X Quarterly (by the 15th July – Oct – Jan - Apr)	**Describe:** • The SOW template developed by the state will be used to monitor status and deliverables for each activity, task, and milestone • Monthly invoices submitted by the Contractor will be reviewed
Method 3. Site Visit / Face-to-face (if applicable)	**Frequency:** (at least 2 X per year)	**Describe:** • Observation of training sessions • Interview participants

		• Review training documentation and resources provided
Method 4. Other (if applicable)	**Frequency:**	**Describe:** •
Fiscal Monitoring	**Frequency:** • Quarterly • Monthly	• **Describe:** • Utilize the NM Fiscal Monitoring instrument • Review all invoices
Quality:	**Frequency:** 1 X Month (by the 15th)	**Describe:** (How we will measure quality) • Contractor will be in substantial compliance with all contractual obligations • Invoices will be submitted to the Department on a monthly basis • Activities, tasks, and milestones follow the identified start and end dates with deliverables completed as identified in the Race To the Top SOW and contractor/subcontractor SOW
Determining Risk:	**How will risk be determined for this contractor?** • Compliance or non-compliance will all contractual obligations and deliverables as identified in the SOW	

Project # & Name:	# - 4 Professional Development	
Activities (from SOW):	4.3 Develop, establish, and operate a practitioner registry database	
Deliverables (from SOW):	– Develop a Request for Proposals (RFP) for the development and establishment of a fully operational practitioner registry – Follow state procurement code for the RFP process and enter into a multi-year contract with successful bidder who will develop and establish the practitioner registry – Establish and operate a fully functional practitioner registry	
Contractor:	University of New Mexico – Continuing Education	
Subcontractor(s) (If applicable)	WELS Systems Foundation, LLC	
Method 1. Monthly Status meetings	**Frequency:** 1 X Month (by the 15th)	**Describe:** • The SOW template developed by the state will be used to monitor status and deliverables for each activity, task, and milestone • Face-to-face or using web conference technology • The Monitoring Summary Report will be utilized • Any issues/concerns will be noted with follow-up activities stated in the Monitoring Summary Report
Method 2. Desk Review	**Frequency:** 1 X Quarterly (by the 15th July – Oct – Jan - Apr)	**Describe:** • The SOW template developed by the state will be used to monitor status and deliverables for each activity, task, and milestone • Monthly invoices submitted by the Contractor will be reviewed
Method 3. Site Visit / Face-to-face (if applicable)	**Frequency:** (at least 2 X per year)	**Describe:** • Quarterly face-to-face site visits will be conducted • Contractor monitoring plan will be reviewed

		• Sub-contractor/s monitoring plan will be reviewed • Findings will be documented
Method 4. Other (if applicable)	**Frequency:** As meetings and conference calls are scheduled	**Describe:** • Participate in regularly scheduled on-site meetings and conference calls with UNM CE and WELS • Review documents of record including meeting minutes
Fiscal Monitoring	**Frequency:** • Quarterly • Monthly	• **Describe:** • Utilize the NM Fiscal Monitoring instrument • Review all invoices
Quality:	**Frequency:** 1 X Month (by the 15th)	**Describe:** (How we will measure quality) • Contractor will be in substantial compliance with all contractual obligations • Invoices will be submitted to the Department on a monthly basis • Activities, tasks, and milestones follow the identified start and end dates with deliverables completed as identified in the Race To the Top SOW and contractor/subcontractor SOW
Determining Risk:	**How will risk be determined for this contractor?** • Compliance or non-compliance will all contractual obligations and deliverables as identified in the SOW	

Project # & Name:	# 4 - Professional Development
Activities (from SOW)**:**	4.4 Develop "training of trainers" modules and conduct training specific to incorporating the New Mexico Early Learning Guidelines into trainings and conduct a Faculty Institute specific to incorporating the New Mexico Early Learning Guidelines in all Early Childhood Education courses at the AA level and BA level
Deliverables (from SOW):	– Hold a Faculty Institute for all full-time regular faculty and adjunct faculty – Conduct training for FOCUS Consultants and Early Childhood Training and Technical Assistance Programs (TTAPs) – Offer training on the New Mexico Early Learning Guidelines
Contractor:	Region IX Education Cooperative
Subcontractor(s) (If applicable)	Region IX will Subcontract with experts in the area of ELG and Train the Trainer

Method 1. Monthly Status meetings	**Frequency:** 1 X Month by the 15th of each month.	**Describe:** • The SOW template developed by the state will be used to monitor status and deliverables for each activity, task, and milestone • Face-to-face or using web confernce technology • The Monitoring Summary Report will be utilized • Any issues/concerns will be noted with follow-up activities stated in the Monitoring Summary Report
Method 2. Desk Review	**Frequency:** 1 X Quarterly (by the 15th July – Oct – Jan - Apr)	**Describe:** • The SOW template developed by the state will be used to monitor status and deliverables for each activity, task, and milestone • Monthly invoices submitted by the Contractor will be reviewed • Review of documents, plans, meeting notes, data

		• Follow up on CQIP if applicable
Method 3. Site Visit / Face-to-face (if applicable)	**Frequency:** (at least 2 X per year)	**Describe:** • Quarterly face-to-face site visits will be conducted • Contractor and Sub-Contractor monitoring plan will be verified • Findings will be documented • Follow up on CQIP if applicable
Method 4. Other (if applicable)	**Frequency:** As scheduled	**Describe:** • Participate in all planning meetings • Attend the "training of trainers" sessions • Attend the Faculty Institute
Fiscal Monitoring	**Frequency:** • Quarterly • Monthly	• **Describe:** • Utilize the NM Fiscal Monitoring instrument • Review all invoices
Quality:	**Frequency:** 1 X Month (by the 15th)	**Describe:** (How we will measure quality) • Contractor will be in substantial compliance with all contractual obligations • Invoices will be submitted to the Department on a monthly basis • Activities, tasks, and milestones follow the identified start and end dates with deliverables completed as identified in the Race To the Top SOW and contractor SOW
Determining Risk:	**How will risk be determined for this contractor?** • Compliance or non-compliance will all contractual obligations and deliverables as identified in the SOW	

Project # & Name:	# 4 - Professional Development	
Activities (from SOW):	4.5 Provide Scholarships for Early Childhood Workforce	
Deliverables (from SOW):	− Recruit and select scholarship candidates − Provide scholarship to early childhood workforce following TEACH® requirements	
Contractor:	New Mexico Association for the Education of Young Children	
Subcontractor(s) (If applicable)	N/A	
Method 1. Monthly Status meetings	**Frequency:** 1 X Month by the 15th of each month.	**Describe:** • Contact with the Association to determine project status, barriers and strategies
Method 2. Desk Review	**Frequency:** 1 X Quarterly (by the 15th July – Oct – Jan - Apr)	**Describe:** • Review of contracts • Meeting minutes • Recruitment reports • Participants lists
Method 3. Site Visit / Face-to-face (if applicable)	**Frequency:** 1 X Quarterly (by the 15th July – Oct – Jan - Apr)	**Describe:** • Quarterly face-to-face meetings with the TEACH Committee • Observation of Reports provided to the ELAC • Interview participants
Method 4. Other (if applicable)	**Frequency:** As scheduled	**Describe:** • Participate in all planning meetings and develop strategies with Higher Education Task Force

Fiscal Monitoring	**Frequency:** • Quarterly • Monthly	• **Describe:** • Utilize the NM Fiscal Monitoring instrument • Review all invoices
Quality:	**Frequency:** 1 X Month (by the 15th)	**Describe:** (How we will measure quality) • Contractor will be in substantial compliance with all contractual obligations • Invoices will be submitted to the Department on a monthly basis • Activities, tasks, and milestones follow the identified start and end dates with deliverables completed as identified in the Race To the Top SOW and contractor SOW
Determining Risk:	**How will risk be determined for this contractor?** • Compliance or non-compliance will all contractual obligations and deliverables as identified in the SOW	

Project # & Name:	# 5 - Early Childhood Data	
Activities (from SOW)**:**	5.2 Expanding Use of Unique ID Database 5.3 Development of a Data Warehouse	
Deliverables (from SOW):	– Functional Requirements Document (FRD) regarding needed changes to accommodate unique Id into FIT-KIDS application. – Functional Requirements Document (FRD) regarding needed changes to FIT-KIDS application to collect data to meet Common Educational Standards and transfer defined data set.	
Contractor:	MAXMIMUS	
Subcontractor(s) (If applicable)	AgreeYa	
Method 1. Monthly Status meetings	**Frequency:** 1 X Month (by the 15th)	**Describe:** • Monthly status meeting with MAXIMUS and AgreeYa and FIT Program team • Establish agenda ahead of meeting • Utilize web conference software as needed
Method 2. Desk Review	**Frequency:** 1 X Quarterly (by the 15th July – Oct – Jan - Apr)	**Describe:** • Quarterly reports regarding progress towards deliverables • Review of draft versions of FRD
Method 3. Site Visit / Face-to-face (if applicable)	**Frequency:** (at least 2 X per year)	**Describe:** • NA •
Method 4. Other (if applicable)	**Frequency:** N/A	**Describe:** N/A
Fiscal Monitoring	**Frequency:** • Quarterly	**Describe:** • Utilizing the NM Fiscal Monitoring Instrument

	• Monthly	• Review invoice
Quality:	**Frequency:** 1 X Month (by the 15th)	**Describe:** (How we will measure quality) • Review and make recommendations for change • Conduct User Acceptance Testing for all changes
Determining Risk:	**How will risk be determined for this contractor?** • Little or no progress towards deliverables • User Acceptance Testing failure • Independent Validation and Verification entity to review process and make recommendations of changes needed to be successful.	

Project # & Name:	#5 - Early Childhood Data System	
Activities (from SOW):	5.4 Identify and document geospatial data needs	
Deliverables (from SOW):	Written document containing protocols and guidelines that describe methods Assessment of RTT dataset address information for geocoding. Provide training to state Contractors staff (including DOH and other RTT Contractors) on address cleaning and geocoding.	
Contractor:	University of New Mexico, Dr. William Athas	
Subcontractor(s)	n/a	
Method 1. Monthly Status meetings	Frequency: 1 X Month (by the 15th)	Describe: • Will meet in person or over the phone to discuss contract deliverables and progress.
Method 2. Desk Review	Frequency: n/a	Describe: n/a
Method 3. Site Visit / Face-to-face (if applicable)	Frequency: n/a	Describe: n/a
Method 4. Other (if applicable)	Frequency: n/a	Describe: n/a
Fiscal Monitoring	Frequency: • Quarterly • Monthly	Describe: • Utilizing the NM Fiscal Monitoring Instrument • Review invoice
Quality:	Frequency: 1 X Month (by the 15th)	Describe: (How we will measure quality) • DOH staff will apply Dr. Athas' methods and use his data files. • Feedback will be provided to Dr. Athas at least monthly.

Determining Risk:	How will risk be determined for this contractor?
	• If deliverables are not timely or are of insufficient quality, and the contractor does not address either issue within one month of communication to him.

Project # & Name:	# 5 - Early Childhood Data System	
Activities (from SOW)**:**	5.5 - Develop EPICS (Enterprise Provider Information Constituent Services) system for CYFD Early Childhood program	
Deliverables (from SOW):	- Project Management - Business Process - Infrastructure - Database - User Interface - Server Components - Reporting - Data Migration - Knowledge Transfer/Training - Production Implementation	
Contractor:	TEKSystem, ACRO Service Corp	
Subcontractor(s) (If applicable)	N/A	
Method 1. Monthly Status meetings	**Frequency:** 1 X Month (by the 15th)	**Describe:** Ongoing Status meetings
Method 2. Desk Review	**Frequency:** 1 X Quarterly (by the 15th July – Oct – Jan - Apr)	**Describe:** - Review reports - Workflow Analysis; - Business Process Review Analysis; - Business Rule Definition; - Issue Management; - Change Management; - Documentation
Method 3. Site Visit / Face-to-face (if applicable)	**Frequency:** (at least 2 X per year) N/A	**Describe:** **N/A**
Method 4. Other (if applicable)	**Frequency:** Daily, Multiple Times Weekly	**Describe:** Development Team: Hold daily meetings with the developers to

	and/or Weekly	ensure development iterations are on task.
		• Web Supervisor, Business Supervisor, Business Lead and Lead Technical Developer monitor tasks in Redmine to ensure development iterations are on task.
		• Project Manager meets daily with Lead Technical Developer to review project status;
		• Weekly Status meetings with Business Units and Project Manager, Web Supervisor, Business Supervisor and Lead Technical Developer
Fiscal Monitoring	**Frequency:** • Monthly	**Describe:** • All Contractors contracts are deliverable based and are negotiated and implemented for each state fiscal year. Invoices are submitted monthly by each contract vendor for deliverables completed in the prior month. The EPICS IT Project Manager is responsible for reviewing and approving each invoice based on project status and total amount billed. The approved invoice is then used to create a purchase document which delivers payment to the contract vendor. Contracts are monitored monthly by the IT Business Unit for payments and contract balances. Contract fiscal information is reported monthly to the state Department of Information Technology (DoIT) as part of the monthly EPICS project management reporting.
Quality:	**Frequency:**	**Describe:** (How we will measure quality) • Technical Lead: Utilize agile

	• Ongoing	methodology and tools to document requirements. Involve key program staff in the process. • Web Supervisor and lead developer monitor tasks in Redmine to ensure development interations are on task.
Determining Risk:	**How will risk be determined for this contractor?** Department of Information Technology Certification and Oversight Process All state of New Mexico IT projects over $200K are required to go through a formal project certification process with the state Department of Information Technology (DoIT). The state Contractors is required to submit detailed project management documentation to DoIT for review and approval. The state Contractors is also required to go through a formal project certification process before the state can expend any project funds. Once a state Contractors IT project is certified, the Contractors is required to report overall project status, deliverable status and fiscal reporting to DoIT on a monthly basis. In addition, the state Contractors is required to maintain all project documentation throughout the life of the project and provide formal project status reports to an oversight committee on a predetermined frequency. **Independent Verification and Validation (IV&V)** All state Contractors IT projects certified by the state Department of Information Technology (DoIT) are required to secure an Independent Verification and Validation (IV&V) contract vendor to provide project oversight to DoIT. The IV&V contract vendor provides detailed project status reports in a format defined by DoIT. In order to complete the state Contractors reporting, the state Contractors is responsible for providing detailed project documentation to the IV&V contract vendor. The IV&V contract vendor creates the reports and submits the reports directly to DoIT.	

Project # & Name:	#5 - Early Childhood Data System
Activities (from SOW)**:**	5.5 Develop EPICS (Enterprise Provider Information Constituent Services) system for CYFD Early Childhood program
Deliverables (from SOW):	This contract will provide ongoing, State level, IV&V required oversight to ensure the project deliverables are achieved by adhering to the following pre-determined IV&V requirements within the timelines specified: – Prepare an initial risk assessment report at project inception. This assessment will include recommended mitigation activity to reduce the impact and probability of the identified risk. – Prepare an initial status report at project inception to disclose the effectiveness of project management and whether the documented project activities are meeting the objectives set forth by project. – Prepare interim reports based on the phases as indicated within the project schedule. Included in the report will be an evaluation on whether product development requirements are being met, project management is effective, continuing risk analysis, and how the project is implementing previous recommended risk mitigation strategies. – Prepare a post-implementation assessment at project close to indicate whether project objectives were met based on the project's scope and acceptance criteria. – Submit each risk assessment report, status report, interim report, and post implementation assessment report to the Department within five (5) business days of each deliverable due date as indicated on the project schedule. All reports must be submitted to the Contractors directors and the Department.
Contractor:	Horizons NM (IV&V Oversight)
Subcontractor(s) (If applicable)	

Method 1. Monthly Status meetings	**Frequency:** 1 X Month (by the 15th)	**Describe:** NA
Method 2. Desk Review	**Frequency:** 1 X Quarterly (by the 15th July – Oct – Jan - Apr)	**Describe:** NA
Method 3. Site Visit / Face-to-face	**Frequency:** (at least 2 X per year)	**Describe:** NA

Method 4. Other (if applicable)	Frequency: • Ongoing or as determined by contractor.	Describe: • All project team members are available as deemed necessary to meet with the IV&V contractor.
Fiscal Monitoring	Frequency: • Monthly	Describe: • All Contractors contracts are deliverable based and are negotiated and implemented for each state fiscal year. Invoices are submitted monthly by each contract vendor for deliverables completed in the prior month. The EPICS IT Project Manager is responsible for reviewing and approving each invoice based on project status and total amount billed. The approved invoice is then used to create a purchase document which delivers payment to the contract vendor. Contracts are monitored monthly by the IT Business Unit for payments and contract balances. Contract fiscal information is reported monthly to the state Department of Information Technology (DoIT) as part of the monthly EPICS project management reporting.
Quality:	Frequency: • Ongoing	Describe: (How we will measure quality) • Ensure required reports are submitted to DoIT within parameters and guidelines prescribed.
Determining Risk:	How will risk be determined for this contractor? DoIT Certification and Oversight Process: All state of New Mexico IT projects over $200K are required to go through a formal project certification process with the state Department of	

	Information Technology (DoIT). The state Contractors is required to submit detailed project management documentation to DoIT for review and approval. The state Contractors is also required to go through a formal project certification process before the state can expend any project funds. Once a state Contractors IT project is certified, the Contractors is required to report overall project status, deliverable status and fiscal reporting to DoIT on a monthly basis. In addition, the state Contractors is required to maintain all project documentation throughout the life of the project and provide formal project status reports to an oversight committee on a predetermined frequency.
	Independent Verification and Validation (IV&V):
	All state Contractors IT projects certified by the state Department of Information Technology (DoIT) are required to secure an Independent Verification and Validation (IV&V) contract vendor to provide project oversight to DoIT. The IV&V contract vendor provides detailed project status reports based on project deliverables. In order to complete the state Contractors reporting, the state Contractors is responsible for providing detailed project documentation to the IV&V contract vendor. The IV&V contract vendor creates the reports and submits the reports directly to DoIT.

Project # & Name:	#5 – Early Childhood Data	
Activities (from SOW):	5.6 Develop, establish, and operate a data system for FOCUS TQRIS	
Deliverables (from SOW):	– Develop a Request for Proposals (RFP) for the development and establishment of a fully operational practitioner registry – Follow state procurement code for the RFP process and enter into a multi-year contract with successful bidder who will develop and establish the practitioner registry – Establish and operate a fully functional practitioner registry	
Contractor:	University of New Mexico – Continuing Education	
Subcontractor(s) (If applicable)	WELS Systems Foundation, LLC	
Method 1. Monthly Status meetings	Frequency: 1 X Month (by the 15th)	Describe: • The SOW template developed by the state will be used to monitor status and deliverables for each activity, task, and milestone • Face-to-face or using web conference technology • The Monitoring Summary Report will be utilized • Any issues/concerns will be noted with follow-up activities stated in the Monitoring Summary Report
Method 2. Desk Review	Frequency: 1 X Quarterly (by the 15th July – Oct – Jan - Apr)	Describe: • The SOW template developed by the state will be used to monitor status and deliverables for each activity, task, and milestone • Monthly invoices submitted by the Contractor will be reviewed
Method 3. Site Visit / Face-to-face (if applicable)	Frequency: (at least 2 X per year)	Describe: • Quarterly face-to-face site visits will be conducted

		• Contractor monitoring plan will be reviewed • Sub-contractor/s monitoring plan will be reviewed • Findings will be documented
Method 4. Other (if applicable)	**Frequency:** As meetings and conference calls are scheduled	**Describe:** • Participate in regularly scheduled on-site meetings and conference calls with UNM CE and WELS • Review documents of record including meeting minutes
Fiscal Monitoring	**Frequency:** • Quarterly • Monthly	• **Describe:** • Utilize the NM Fiscal Monitoring instrument • Review all invoices
Quality:	**Frequency:** 1 X Month (by the 15th)	**Describe:** (How we will measure quality) • Contractor will be in substantial compliance with all contractual obligations • Invoices will be submitted to the Department on a monthly basis • Activities, tasks, and milestones follow the identified start and end dates with deliverables completed as identified in the Race To the Top SOW and contractor/subcontractor SOW
Determining Risk:	**How will risk be determined for this contractor?** • Compliance or non-compliance will all contractual obligations and deliverables as identified in the SOW	

Project # & Name:	#5 - Early Childhood Data System	
Activities (from SOW)**:**	5.7 NM-IBIS Map Service	
Deliverables (from SOW):	Software Development, contractor will work with our primary IBIS software developer to develop the "Map Widget" that will provide the web-based map service.	
Contractor:	(Expected contractor) University of New Mexico, Earth Data Analysis Center	
Subcontractor(s)	n/a	
Method 1. Monthly Status meetings	**Frequency:** 1 X Month (by the 15th)	**Describe:** • Will meet in person or over the phone to discuss contract deliverables and progress.
Method 2. Desk Review	**Frequency:** n/a	**Describe:** n/a
Method 3. Site Visit / Face-to-face (if applicable)	**Frequency:** n/a	**Describe:** n/a
Method 4. Other (if applicable)	**Frequency:** n/a	**Describe:** n/a
Fiscal Monitoring	**Frequency:** • Quarterly • Monthly	**Describe:** • Utilizing the NM Fiscal Monitoring Instrument • Review invoices
Quality:	**Frequency:** 1 X Month (by the 15th)	**Describe:** (How we will measure quality) • DOH staff and primary software developer will test the software code as it becomes available.
Determining Risk:	**How will risk be determined for this contractor?** • If deliverables are not timely or are of insufficient quality, and the contractor does not address either issue within one month of communication of our concerns.	

Project # & Name:	#5 - Early Childhood Data System	
Activities (from SOW):	5.8 NM-IBIS Software Development	
Deliverables (from SOW):	Software Development, enhancements to the IBIS software to accommodate RTT data and maps. NM-IBIS interactive maps and a data dashboard that will run off the IBIS indicator reports.	
Contractor:	Software Technology Group, Inc.	
Subcontractor(s) (If applicable)	n/a	
Method 1. Monthly Status meetings	**Frequency:** 1 X Month (by the 15th)	**Describe:** Will meet in person or over the phone to discuss contract deliverables and progress.
Method 2. Desk Review	**Frequency:** n/a	**Describe:** n/a
Method 3. Site Visit / Face-to-face (if applicable)	**Frequency:** n/a	**Describe:** n/a
Method 4. Other (if applicable)	**Frequency:** n/a	**Describe:** n/a
Fiscal Monitoring	**Frequency:** - Quarterly - Monthly	**Describe:** - Utilizing the NM Fiscal Monitoring Instrument - Review invoice
Quality:	**Frequency:** 1 X Month (by the 15th)	**Describe:** (How we will measure quality) DOH staff will test the software code regularly (at least monthly) as it becomes available.
Determining Risk:	**How will risk be determined for this contractor?** If deliverables are not timely or are of insufficient quality, and the contractor does not address either issue within one month of communication of our concerns.	

Project # & Name:	#5 - Early Childhood Data System	
Activities (from SOW)**:**	5.8 NM-IBIS S=Dashboard Interface 5.9 Training users	
Deliverables (from SOW):	Software Development, contractor will work with our primary IBIS software developer to develop the "dashboard" type interface that will display the web-based maps to the end users.	
Contractor:	(Expected contractor) TEKSystems, Albuquerque, NM	
Subcontractor(s) (If applicable)	n/a	
Method 1. Monthly Status meetings	**Frequency:** 1 X Month (by the 15th)	**Describe:** • Will meet in person or over the phone to discuss contract deliverables and progress.
Method 2. Desk Review	**Frequency:** n/a	**Describe:** n/a
Method 3. Site Visit / Face-to-face (if applicable)	**Frequency:** n/a	**Describe:** n/a
Method 4. Other (if applicable)	**Frequency:** n/a	**Describe:** n/a
Fiscal Monitoring	**Frequency:** • Quarterly • Monthly	**Describe:** • Utilizing the NM Fiscal Monitoring Instrument • Review invoice
Quality:	**Frequency:** 1 X Month (by the 15th)	**Describe:** (How we will measure quality) • DOH staff and primary software developer will test the software code as it becomes available.
Determining Risk:	**How will risk be determined for this contractor?** • If deliverables are not timely or are of insufficient quality, and the contractor does not address either issue within one month of communication of our concerns.	

Project # & Name:	#6 - Kindergarten Entry Assessment (KEA)	
Activities (from SOW)**:**	6.3 Implement Validation Study	
Deliverables (from SOW):	6.3 Published Document: "Status of New Mexico Children's Kindergarten Readiness – and Contributing Factors" 6.3.1 Training plan, training schedule, attendance record	
Contractor:	To be determined; RFP has not yet been released	
Subcontractor(s) (If applicable)	Unknown	
Method 1. Monthly Status meetings	**Frequency:** 1 X Month (by the 15th)	**Describe:** • Initial face-to-face meeting with contractor; in-state partners, PED staff. Subsequence meetings will be held via web conference if winning bidder is out of state • Update on progress towards scope of work
Method 2. Desk Review	**Frequency:** 1 X Quarterly (by the 15th July – Oct – Jan - Apr)	**Describe:** • PED Literacy Program Director will review the scope of work and timelines with the contractor • PED Literacy Program Director will review draft documents (Status Report and Training plan) • Determine if timelines for releasing documents will be followed
Method 3. Site Visit / Face-to-face	**Frequency:** (at least 2 X per year)	**Describe:** • Contractor will present validation report on the New Mexico. Observational Assessment. • Contractor will present training module for kindergarten teachers and administrators to PED staff for review. • Contractor will present plan to

		insure inter-rater reliability.
		• Contractor will present validation report on the New Mexico KEA.
Fiscal Monitoring	**Frequency:** • Quarterly • Monthly	**Describe:** • Utilizing the NM Fiscal Monitoring Instrument • Review invoice
Quality:	**Frequency:** 1 X Month (by the 15th)	**Describe:** (How we will measure quality) • PED staff will attend the training provided by the contractor • PED staff will review documents and training to determine if the appropriate measures and outcomes have been achieved
Determining Risk:	**How will risk be determined for this contractor?** • Contractor has not provided any part of the scope of work within the timeframe established in the contract. • School district personnel report concerns with interactions with contractor.	

Project # & Name:	#6 - Kindergarten Entry Assessment (KEA)	
Activities (from SOW)**:**	6.5 Provide professional development for teachers and administrators on Kindergarten Entry Assessment and use of data to drive instruction.	
Deliverables (from SOW):	Training calendar, training schedule, sign-in sheets, training evaluations	
Contractor:	Intergovernmental Agreement (IGA) with a Regional Education Center (REC) to be determined	
Subcontractor(s)	To be determined	
Method 1. Monthly Status meetings	**Frequency:** 1 X Month (by the 15th)	**Describe:** • Initial face-to-face meeting with contractor • Subsequence meetings may be held via web conference
Method 2. Desk Review	**Frequency:** 1 X Quarterly (by the 15th July – Oct – Jan - Apr)	**Describe:** • PED Literacy Program Director will review the scope of work and timelines with the contractor • PED Literacy Program Director will review the draft deliverables for fidelity to the KEA assessment training previously developed by the KEA contractor.
Method 3. Site Visit / Face-to-face (if applicable)	**Frequency:** (at least 2 X per year)	**Describe:** • PED staff will visit training sites to determine fidelity and appropriateness of training presented to teachers • PED staff will meet with contractor and a select group of administrators and program staff following the first training for feedback on the training process • Work with contractor to make adjustments to training based on feedback.

Fiscal Monitoring	Frequency:	Describe:
	• Quarterly • Monthly	• Utilizing the NM Fiscal Monitoring Instrument • Review invoice
Quality:	Frequency: 1 X Month (by the 15th)	Describe: (How we will measure quality) • PED staff will visit training sites to determine fidelity to the assessment protocol and appropriateness of training presented to teachers. • PED staff will review training evaluation forms. • PED staff will visit schools to observe KEA process and discuss use of data.
Determining Risk:	How will risk be determined for this contractor? • Contractor has not provided any part of the scope of work within the timeframe established in the contract. • School district personnel report concerns with interactions with contractor or training.	

Section II

ONGOING MONITORING TOOLS

New Mexico Race To The Top – Early Learning Challenge

Ongoing Monitoring Report

☐ Grants Management   ☐ TQRIS
☐ EC Investment Zones   ☐ Professional Development
☐ Early Childhood Data   ☐ Kindergarten Entry Assessment

Reviewer: _____   Date: _____

Signature/Title _____

Activity _____	**Areas Reviewed:**						
			☐		☐		☐
			☐		☐		☐
			☐		☐		

Records Review:				

Complete section below for Training/Technical assistance, if applicable.

T/TA -note topic(s)

Strengths:

_____

_____

_____

Please indicate strengths and prioritize weaknesses noted during the contact. When listing major problems, please list specific areas, or other pertinent document, and attach. Indicate level of urgency by checking one of the numbers from 1 through 5, **with 1 being the highest priority**. For high Issues a CQIP must be requested.

Issues/Problem(s) Requiring Action

	Level of Urgency	Attachment(s) #

1.
☐ ☐ ☐ ☐ ☐
1   2   3   4   5

2.
☐ ☐ ☐ ☐ ☐
1   2   3   4   5

3.
☐ ☐ ☐ ☐ ☐
1   2   3   4   5

4.
☐ ☐ ☐ ☐ ☐
1   2   3   4   5

5
☐ ☐ ☐ ☐ ☐
1   2   3   4   5

6.
☐ ☐ ☐ ☐ ☐
1   2   3   4   5

7.
☐ ☐ ☐ ☐ ☐
1   2   3   4   5

8.
☐ ☐ ☐ ☐ ☐
1   2   3   4   5

_____

Check if *No Urgent Action Needed* ☐

(For Urgent Action Only, Requiring Immediate Response – address below the #1 Issue/Problem Identified above)

Task(s) or Steps to Immediately Correct #1 Above (Be specific and realistic)	Position(s) responsible (List primary position first)	Major Progress Deadline	Final Deadline Date	Follow-up Visit Date	Pending $$ auth. If applicable

New Mexico Race To The Top – Early Learning Challenge

Ongoing Fiscal Monitoring Tool

Project Name _____ **Project #** _____ **Activity** _____

Grantee/Vendor: _____ **Contact Person:** _____

Reviewer/Monitor Signature: _____ **Date of Visit:** _____

Purpose: This onsite and desk monitoring tool is to be completed at least twice per year for all services purchased or contracted (or subcontracted) under Race To the Top - Early Learning Challenge grant. The site visit or desk review enables the Project Leads and the RTT-ELC Coordinator to discuss progress to date, review performance and documentation, review financial management, consider the need to modify the project as necessary to achieve the goals and objectives of the project and/or to evaluate training initiatives/staff development outcomes.

Criteria: The measures used to guide the review of performance and documentation is based upon the stipulations in the RTT-ELC Grant Application and Scope of Work, Contractor's Scope of Work, and all subsequent approved modifications. Verification of compliance with all stipulations will be based upon the documentation in the records maintained on-site by the Contractor

*Any questions or concerns regarding the Regulations can be referred to in the New Mexico RTT-ELC Monitoring Plan

1. Financial Management

Item	Requirement	Verification of Required Documentation	Regulations
1.1	Written policies and procedures are in place related to participation of finance staff and program staff regarding fiscal requirements: ☐ To determine the availability of grant funds ☐ To approve, document, and report expenditures ☐ To project needs and determine need for amendment requests	Reviewed documentation of interactions between finance and office staff such as: ☐ Meeting agenda/meeting notes ☐ Organizational chart ☐ Job descriptions ☐ Email notifications of past and upcoming meetings and other documentation that are deemed appropriate by monitoring staff Reviewed communication of supervisory/management review of reports, evidence of internal quality control, and follow up on irregularities and deficiencies ☐ Yes ☐ No ☐ N/A	Monitoring and Reporting Program Performance: 34 CFR §80.40; Internal Control – Effectiveness and Efficiency of Operations: OMB circular A-133 (1-3)

Comments/Action

Financial Management

Item	Item	Item	Item
1.2	Comingling of funds is prevented. ☐ Yes ☐ No	Reviewed documentation such as: ☐ Accounting system (chart of accounts) that provides separate identification of federal, state, local and private transactions and allocation of transactions applicable to each. The system must also provide information pertaining to grant or sub grant awards and authorizations, obligations, unobligated balance sheets and liabilities ☐ Reports provided timely to managers for review and appropriate action ☐ Reconciliation and reviews to ensure accuracy of reports	Prohibition against comingling: 34 CFR §303.123 Standards for financial management systems: 34 CFR §80.20; 34 CFR §74.21

Comments/Action

Financial Management

Item	Requirement	Verification of Required Documentation	Regulations
1.3	The Contractor submitted all required reports and met all deliverables ☐ Yes ☐ No ☐ N/A The reports were submitted by report deadline (monthly, quarterly, annually) ☐ Yes ☐ No ☐ N/A	☐ Reviewed program and financial reports on file at the State to determine whether all goals were met and if not, why ☐ Grantee reported to RTT-ELC Project Lead any significant developments ☐ Grantee used forms provided	Monitoring and reporting program performance: 34 CFR §80.40 Standards for financial management systems: 34 CFR §74.21 Financial reporting: 34 CFR §80.41

Comments/Action

Financial Management

Item	Requirement	Verification of Required Documentation	Regulations
1.4	Policies and processes established to maintain financial and programmatic records	Reviewed: ☐ Financial records ☐ Supporting documents including program outlays and income ☐ Statistical records ☐ All other records pertinent to an award to ensure that records have been maintained for the appropriate period (3 years from the date of submission of the final expenditure report)	Retention and access requirements for records: 34 CFR §80.42; 34 CFR §74.53

Comments/Action

Item	Requirement	Verification of Required Documentation	Regulations
1.5	Controls are in place to ensure that spending does not occur prior to the receipt of the Notice of Award ☐ Yes ☐ No ☐ N/A	☐ Reviewed expenditure records All pre-award costs are incurred at the Contractor's risk (i.e., the awarding agency is under no obligation to reimburse such costs of for any reason the recipient does not receive an award or if the award is less than anticipated and inadequate to cover such costs).	Revision and budget program plans: 34 CFR §75.263

Comments/Action

Financial Management

Item	Requirement	Verification of Required Documentation	Regulations
1.6	Actual expenditures and encumbrances are consistent with the approved budget ☐ Yes ☐ No ☐ N/A	☐ Reviewed documentation to ensure that the Contractor liquidated all obligations as specified in the terms and conditions of the award, including variance reports from the Contractor's financial system. ☐ Compared expenditures with budgeted amounts	Standards for financial management systems: 34 CFR §80.20(b)(4) Closeout procedures: Subpart D- Post award requirements, OMB Circular A-110.71

Comments/Action

1.7	Expenditures were allowable as outlined in the Education Department General Administrative Regulations (EDGAR), program regulations, applicable Office of Management and Budget (OMB) rules, State assurances, and the RTT-ELC Application and Scope of Work ☐ Yes ☐ No ☐ N/A	☐ Reviewed expenditures to determine if the costs meet the following general criteria Factors affecting allowability of costs: ☐ Necessary and reasonable ☐ Allowable ☐ Applicable credits ☐ Composition of costs ☐ Direct costs ☐ Indirect costs Examples of unallowable costs: (1) the cost of severance payments, (except when allowed) sabbatical leave, and bonuses; (2) payments for unused sick or annual leave except when employee terminates or retires; (3)	Allowable costs: 34 CFR §80.22 Standards for financial management systems – Allowable cost and source documentation: 34 CFR §80.20(b)(5)(6) Management Systems: Subpart C – Post award requirements: OMB Circular A-110.21(b); OMB Circular A-122 (Private; Non-Profit) OMB Circular A-21 (Educational Institutions) OMB Circular A-84 (Government Institutions) the RTT-ELC Application and Scope of Work

| | | alcoholic beverages; (4) bad debts; (5) advertising and public relations costs – other than specified in Selected Items of Cost; (6) costs of meetings, conventions, convocations, or other events related to other activities of the governmental unit; (7) costs of promotional items and memorabilia, including models, gifts, and souvenirs; and (8) entertainment costs.

Accounting records must be supported by cancelled checks, paid bills, payrolls, time and attendance records, contract and subcontract documents. | |

Comments/Action

Financial Management

Item	Requirement	Verification of Required Documentation	Regulations
1.8	Expenditures were charged to the proper object/category codes ☐ Yes ☐ No ☐ N/A	☐ Reviewed sample of expenditures that permit the tracing of funds to ensure that funds were used for their designed purpose ☐ Source documentation was provided	Standards for financial management systems: 34 CFR §80.20(a)(b); 34 CFR §74.21(b)(7) Financial statement account definitions: pgs. 39-45. *Financial Reporting Manual for New Mexico Public Schools, Revised 2009* Fiscal control and fund accounting procedures: 34 CFR §76.702

Comments/Action

1.9	Prior years expenditures were charged to the current year grant ☐ Yes ☐ No ☐ N/A	☐ Reviewed general ledger (GL) system safeguards and policies and procedures to minimize the time elapsing between the transfer of funds and disbursement by the Contractor and Subcontractor	Standards for financial management systems: 34 CFR §80.20

Comments/Action

Financial Management

Item	Requirement	Verification of Required Documentation	Regulations
1.10	Bulk adjustments were charged to the first quarter of the grant ☐ Yes ☐ No ☐ N/A	If yes, ☐ Reviewed expenditure reports covering the grant period	Standards for financial management systems: 34 CFR §80.20 and 34 CFR §80.21

Comments/Action

1.11	Expenditures were properly documented and disclosed ☐ Yes ☐ No ☐ N/A	Reviewed samples of: ☐ Invoices ☐ Contracts ☐ Purchase orders ☐ Payroll accounts to verify expenditures, and accurate documentation.	Standards for financial management systems: 34 CFR §80.20; 34 CFR §74.21 Monitoring and program performance 34 CFR §74.51

Comments/Action

Financial Management

Item	Requirement	Verification of Required Documentation	Regulations
1.12	Grant funds were held in an interest bearing account at a minority bank ☐ Yes ☐ No ☐ N/A	If yes, was it over $100.00 ☐ Reviewed verification of interest bearing account(s) Interest earned on advances by Contractors is required to be submitted promptly, but at least quarterly. Up to $100.00 per year may be kept for administrative expenses.	Financial and program management: 34 CFR §80.21(h)(2)(i) Cash Management: OMB Circular A-133

Comments/Action

Item	Requirement	Verification of Required Documentation	Regulations
1.13	**Indirect charges** were: computed in the budget ☐ Yes ☐ No ☐ N/A calculated according to the agreement between the grantee and the agency ☐ Yes ☐ No ☐ N/A	If yes, ☐ Examined expenditure report for account codes for indirect/administrative charges applied against the grant. Rate used: _____	Establishing an indirect costs rate (ICR) – Negotiations and approval of ICR: OMB Circular A-122, Appendix A General indirect cost rates; exception: 34 CFR §76.560

Comments/Action

Financial Management

Item	Requirement	Verification of Required Documentation	Regulations
1.14	Duties are adequately segregated in the review and authorization of costs to ensure that federal and/or state funds are not misappropriated ☐ Yes ☐ No ☐ N/A	☐ Reviewed internal controls to ensure that no one person has complete control over all aspects of financial transactions	Basic considerations – Allocable costs, Internal Controls: 2 CFR §220-C4(d)(2)

Comments/Action

Item	Requirement	Verification of Required Documentation	Regulations
1.15	Written standards are in place for employee and officers' conduct ☐ Yes ☐ No ☐ N/A	Reviewed written standards of conduct governing: ☐ The performance of employees engaged in the award and administration of contracts if a real or apparent conflict of interest would be involved. ☐ Officers, employees, and agents of recipient with regard to soliciting or accepting gratuities, favors, or anything of monetary value from contractors, or parties to sub agreements	Procurement standards – Post-award requirements: Subpart C, OMB Circular A-110.42 Codes of Conduct: 34 CFR §74.42; 34 CFR §80.36(b)(3)

Comments/Action

Financial Management

Item	Requirement	Verification of Required Documentation	Regulations
1.16	The contract/sub-contract was terminated ☐ Yes ☐ No ☐ N/A	☐ Reviewed written termination agreement for termination conditions, reasons, including the effective date, and in case of a partial termination, the portion to be terminated.	Termination for convenience: 34 CFR §80.44 New Mexico RTT-ELC Contract Scope and Conditions

Comments/Action

2. Amendments

Item	Requirement	Verification of Required Documentation	Regulations
2.1	Budget/program amendments and/or extensions were filed. ☐ Yes ☐ No ☐ N/A	Reviewed documentation for written prior approval requests for: ☐ change in the scope or the objective of the project/program (even if there is not associated budget revision requiring prior approval) ☐ change in the key person specified in the application award document ☐ the absence for more than 3 months or a 25 percent reduction in time devoted to the project, by the approved project director or the principal investigator (PI) ☐ the transfer of funds to other categories OR the transfer of funds budgeted for indirect costs to absorb increases in direct costs, or vice versa ☐ change in the grant period	Revision of budget and program plans: 34 CFR §80.30; 34 CFR §74.25 Revision of budget and program plans: Subpart C, OMB Circular A-110.25(b)(c)(1-7)

Comments/Action

Amendments

Item	Requirement	Verification of Required Documentation	Regulations
2.2	Amendments were submitted timely and in accordance with grant administrative requirements ☐ Yes ☐ No ☐ N/A	☐ Reviewed amendments on file with progress reports to ascertain that budget/program changes were filed appropriately.	State Amendment - BAR

Comments/Action

Amendments

Item	Requirement	Verification of Required Documentation	Regulations
2.3	There are controls in place to ensure that program and budget changes were not implemented prior to obtaining written approval. ☐ Yes ☐ No ☐ N/A	☐ Reviewed policies and procedures that prohibit the implementation of changes before approval is received	Revision of budget and program plans 34 CFR 34 CFR §80.20; 80.30

Comments/Action

3. Subcontracts

Item	Requirement	Verification of Required Documentation	Regulations
3.1	The Contractor entered into **Subcontract** for work to be completed under this grant ☐ Yes ☐ No ☐ N/A	If yes, reviewed samples of contracts that are sound and complete. At a minimum, contracts must include the following components: ☐ description /scope of services(s) ☐ estimate of time required ☐ rate of compensation ☐ termination of provisions including legal remedies for a contract breach ☐ qualifications of the individual rendering service(s) ☐ description of deliverable (including date(s) due). ☐ Review Monitoring procedures and reports	Standards for financial management systems: 34 CFR §80.20(b)(6) Contract provisions: 34 CFR §74.48 Professional services costs: 2 CFR §230 (37)(a)(b) Recipient responsibility: 34 CFR §74.41 Monitoring by grantees:34 CFR §80.40(a) Monitoring and reporting program performance: 34 CFR §74.51

Comments/Action

Subcontracts

Item	Requirement	Verification of Required Documentation	Regulations
3.3	Procedures are in place to ascertain that contractors or sub-contractors have not been suspended or debarred from doing business with the federal and/or state government ☐ Yes ☐ No ☐ N/A	Reviewed policies and procedures to satisfy debarment and suspension requirements, (irrespective of award amount) to ensure that: ☐ sub-contractors searched the Excluded Parties List System (EPLS) to determine eligibility to participate in covered transactions, OR ☐ the subcontractor provided certification stating that s/he has not been suspended or debarred from doing business with the U.S. Government and/or State of New Mexico	Debarment and Suspension: 34 CFR §74.13 Sub-awards to debarred and suspended parties: 34 CFR §80.35 Executive Order 12549, "Debarment and Suspension." OMB Circular A-102-d "Debarment and Suspension

Comments/Action

Subcontracts

Item	Requirement	Verification of Required Documentation	Regulations
3.4	Written selection procedures are in place for vendor/subcontractor selection ☐ Yes ☐ No ☐ N/A	Reviewed written selection procedures for procurement transactions to ensure: ☐ recipients avoid purchasing unnecessary items ☐ clear and accurate description of the technical requirements for the service/product to be produced ☐ identification of all requirements which the offerors must fulfill and all other factors to be used in evaluating bids/proposals ☐ cost/price analysis is documented	Procurement procedures: 34 CFR §74.44 Competition: 34 CFR §74.43 Cost and price analysis: 34 CFR §74.45 Procurement standards: Competition, procurement procedures: OMB Circular A-110.43-44

		e.g., comparison of price quotations, market prices, and similar indicia	
		☐ efforts were made to utilize small businesses, minority owned firms, and women enterprises, wherever possible	
		☐ consideration was given to breaking out procurements to obtain a more economical purchase (e.g., lease v. purchase)	

Comments/Action

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| |
| |

Subcontracts

Item	Requirement	Verification of Required Documentation	Regulations
3.5	Procurement was through solicitation of a proposal from only one source (noncompetitive proposals) ☐ Yes ☐ No ☐ N/A	Reviewed procurement records and files for purchases in excess of the small purchase threshold. Small purchase procedures are those relatively simple and informal procurement methods for securing services, supplies, or other property that do not cost more than the simplified acquisition threshold (currently set at $100,000).. Documentation must include the following components at a minimum: ☐ basis for contractor selection ☐ price or rate quotations obtained from an adequate number of qualified sources ☐ after solicitation of a number of sources, competition is determined inadequate ☐ justification for the lack of competition when competitive bids or offers are not obtained ☐ basis for award cost price, and ☐ a system for contract administration to ensure contractor conformance with the terms, conditions, and specifications of the contract.	Procurement – Competition: 34 CFR §80.36 –C-3 Procurement – Competition: *Methods of Procurement to be Followed*: 34 CFR §80.36-C-4-d Procurement records: 34 CFR §74.46; 74.74 Procurement standards: OMB Circular A-110-.40

Comments/Action

Subcontracts

Item	Requirement	Verification of Required Documentation	Regulations
3.6	The primary purpose of internal meetings and conferences charged to the grant are defined ☐ Yes ☐ No ☐ N/A	Reviewed documentation to verify that the primary purpose was the dissemination of technical information. At a minimum review: ☐ list of participants/attendees ☐ agenda ☐ meeting evaluations ☐ funding to ensure only expenses incidental to the meeting were covered (entertainment expenses are not allowable)	Meetings and conferences: 2 CFR §230, Appendix B (29)(33); A-110.21(2)(7)

Comments/Action

Subcontracts

Item	Requirement	Verification of Required Documentation	Regulations
3.7	Funds were expended for training ☐ Yes ☐ No ☐ N/A	Reviewed documentation for costs associated with: ☐ preparation and maintenance of a program of instruction including, but not limited to, on-the-job, classroom, and apprenticeship ☐ classroom training designed to increase the vocational effectiveness of employees, training materials, and textbooks ☐	Training costs: 2 CFR §230, Appendix B, 49; 2 CFR 220, J.51

Comments/Action

4. Equipment and Supplies

Item	Requirement	Verification of Required Documentation	Regulations
4.1	1. Written policies and procedures are in place for inventory management and information maintenance regarding equipment, sensitive items, and other valuable items not categorized as equipment ☐ Yes ☐ No ☐ N/A 2. Equipment was purchased with grant funds ☐ Yes ☐ No ☐ N/A 3. Sensitive items , or other valuable items, not categorized as equipment,	☐ Reviewed policies and procedures regarding equipment, and supplies and how unused items will be handled at the end of the grant Equipment – a movable or fixed unit of furniture or furnishing, an instrument, a machine, an apparatus, or a set of articles **that meet all** of the following: ☐ It lasts longer than 1 year ☐ It is better to replace than to repair ☐ It retains its original shape, appearance, and character with use ☐ It does not lose its identity through fabrication or incorporation into a different	Supplies: 34 CFR §80.33 Equipment – Management requirements: 34 CFR §80.32(d)

	were purchased with grant funds ☐ Yes ☐ No ☐ N/A	or more complex unit or substance ☐ It exceeds capitalization level equal to the lesser of a minimum dollar value established by the entity for financial statement purposes or $500.00 ☐ It is a **sensitive item** with an acquisition cost of $500.00 or more* *sensitive items** are capital or non-capital items such as recording devices, portable tools, cameras, notebook computers, and other small items that are prone to theft and are concealable in a bag/briefcase.	

Comments/Action

Equipment and Supplies

Item	Requirement	Verification of Required Documentation	Regulations
4.2	Described the system used for managing equipment and sensitive items, acquired in whole or part, with federal and /or state grant funds ☐ Yes ☐ No ☐ N/A	Reviewed records that showed: ☐ the description, manufacturer serial #, model #, award #, acquisitions date, acquisition cost, location and condition ☐ that a physical inventory was taken and results reconciled ☐ that a control system is in effect to ensure adequate safeguards to prevent loss, damage, or theft. Any loss shall be investigated and fully documented and the awarding agency notified. ☐ That grant sponsored property is used for grant-related purposes	Internal control: 34 CFR §80.20(b)(3) Equipment – Management requirements: 34 CFR §80.32(d) Management standards for equipment purchased with federal funds: Subpart C- Post-award requirements, OMB Circular A-110.34(a)-(g)

Comments/Action

Equipment and Supplies

Item	Requirement	Verification of Required Documentation	Regulations
4.3	1. There are equipment items purchased under this grant that are no longer needed for the original project ☐ Yes ☐ No ☐ N/A 2. Procedures are in place for the disposition of equipment acquired under a grant when it is no longer needed for the original project or other activities supported with federal funds	☐ Reviewed evidence of the procedure(s) for the disposition of equipment that has a value less than $5,000 and may be retained or sold ☐ Reviewed documentation for the disposal of items ☐ Reviewed documentation for items with a fair market value exceeding $5,000 to which the funding agency has a right to its share of the proceeds	Equipment – Disposition: 34 CFR §80.32(d)(e) Internal Control – Compliance with applicable laws and regulations: A-133(3)

Comments/Action

5. Time and Effort Reporting

Item	Requirement	Verification of Required Documentation	Regulations
5.1	1. Salaries/budgeted time were charged to more than one funding source ☐ Yes ☐ No ☐ N/A 2. There was a reconciliation of budgeted time and actual time charged to the grant ☐ Yes ☐ No ☐ N/A	If yes, ☐ reviewed Personnel Activity Reports (PARs) to confirm the distribution of activity Charges to Federal awards for salaries and wages, whether treated as direct or indirect costs, will be based on approved payroll documentation. Where employees work on multiple activities or cost objectives, a distribution of their salaries or wages will be supported by personnel activity reports or equivalent documentation. Such documentary support will be required where employees work on: - more than one Federal award; - a Federal award and a non-Federal award; - an indirect cost activity and a direct cost activity; - An allowable activity ad a direct or indirect cost activity Personnel activity reports or equivalent documentation must meet the following standards: - They must be supported by records indicating the total number of hours worked each day - They must reflect an after-the-fact distribution of activity of each employee - They must account for the total activity for which each employee is compensated - They must be prepared at least monthly and must coincide with one or more periods - They must be signed by the employee	Support of salaries and wages: Appendix A to 2 CFR §230 – General Principles

Comments/Action

Time and Effort Reporting

Item	Requirement	Verification of Required Documentation	Regulations
5.2	Charges for salaries and wages were paid from a single Federal award or cost objective/fund source ☐ Yes ☐ No ☐ N/A	If yes, ☐ Reviewed Personnel Activity Reports (PARs) to confirm the distribution of activity ☐ Reviewed supporting documentation to show that the time charged to the grant/funding source was reconciled For all staff whose compensation is charged to one Federal award or cost objective/fund source, documentation will be as follows: - Certifications done semi-annually - Signed by the employee OR supervisory official having firsthand knowledge of the work performed by the employee	Payroll distribution: 2 CFR §220, J(10)(b)(2)(d-f)

Comments/Action

Time and Effort Reporting

Item	Requirement	Verification of Required Documentation	Regulations
5.3	Actual salary costs were reflected in the fiscal reports ☐ Yes ☐ No ☐ N/A	☐ Reviewed reconciliation between budgeted salaries and actual effort	Financial reporting: 34 CFR §80.20(a)(b)

Comments/Action

6. Single Audit

Item	Requirement	Verification of Required Documentation	Regulations
6.1	The Single Audit Report was submitted to the Department responsible for the specific RTT-ELC Project ☐ Yes ☐ No ☐ N/A Date Submitted: _____	☐ Reviewed latest Audit Report The provisions of Circular A-133 are applicable to recipients expending federal awards of more than $500,000* * can be a combination of several different federally funded grants awarded to a single agency that when totaled equal $500,000 or more	Audit requirements: OMB Circular A-133, Compliance Supplement (6/97), (3-M-1) Non Federal Audits: 34 CFR §80.26; 34 CFR §74.26

Comments/Action

Single Audit

Item	Requirement	Verification of Required Documentation	Regulations
6.2	1. There were findings from the grantee's latest audit ☐ Yes ☐ No ☐ N/A If yes, list the findings and prepare a summary schedule of prior audit findings 2. The findings have some impact/effect on the provisions of Early Childhood services ☐ Yes ☐ No ☐ N/A 3. Corrective actions have been implemented to correct identified findings ☐ Yes ☐ No ☐ N/A 4. The Corrective Action Plans (CAPs) have been closed ☐ Yes ☐ No ☐ N/A	☐ Reviewed audit finding(s) ☐ Verified evidence of implementation of Corrective Action Plan (CAP) If closed, document closure of CAP Corrective action means action taken by the auditee that: - Corrects identified deficiencies; - Produces recommended improvements; or - Demonstrates that audit findings are either invalid or do not warrant auditee action	Corrective Action Plan, Audit Findings: OMB Circular A-133 Compliance Supplement, 3-M Compliance requirements: OMB A-133 (3-M-1) Audit findings follow up: OMB Circular A-133, Subpart C §315

Comments/Action

7. Monitoring Reports

Item	Requirement	Verification of Required Documentation	Regulations
7.1	1. Date of the most recent RTT-ELC fiscal and/or programmatic monitoring _____ Findings: ☐ Yes ☐ No ☐ N/A 2. Continuous Quality Improvement Plan (CQIP) actions have been implemented within the timeline ☐ Yes ☐ No ☐ N/A 3. The Continuous Quality Improvement Plans (CQIP) were closed in the established timeline ☐ Yes ☐ No ☐ N/A	Reviewed monitoring reports for: ☐ findings ☐ evidence of implementation of CAP ☐ CQIP ☐ CQIP closure	Sub-grants: 34 CFR §80.37 Compliance requirements: OMB Circular A-133 (3-M-1) Audit findings follow-up: OMB Circular A-133, Subpart C §315

Comments/Action

8. Intellectual Property

Item	Requirement	Verification of Required Documentation	Regulations
8.1	Work was developed, published, or copyrighted under this award ☐ Yes ☐ No ☐ N/A	If yes, ☐ reviewed agreement on intellectual property rights for works created with grant funds	Intangible property: Subpart C – Post award requirements, OMB Circular A-110.36; 34 CFR §74.36 Copyrights: 34 CFR §80.34

Comments/Action

9. Special Conditions – High Risk Contractors

Item	Question	Verification/Required Documentation	Regulations
9.1	a. Has this Contractor/Subcontractor deemed as High Risk? ☐ Yes ☐ No ☐ N/A b. Is the Contractor under special conditions? ☐ Yes ☐ No ☐ N/A c. Describe _____	If yes: 1) Reviewed the special condition(s) determination ☐ Yes ☐ No ☐ N/A 2) Reviewed: a) the plan of action, ☐ Yes ☐ No ☐ N/A b) the steps taken, and documented progress that the special conditions requirements are being satisfied. ☐ Yes ☐ No ☐ N/A	Special grant or subgrant conditions for high risk grantees: 34 CFR §80.12 Monitoring and reporting program performance: 34 CFR §80.40 (a)

Comments/Action

New Mexico Race To The Top – Early Learning Challenge

Continuous Quality Improvement Plan (CQIP)

Project Name/Number	Contractor/Sub Contractor
Activity/Task	Data Source
Submitted by	Date

Objectives/Areas of Improvement	Action Steps	Result / Evidenced By	Person(s) Responsible	Time Frame	Status	Verified by

Reviewed by: _____   Date _____

Approved	Not Approved