



21st CCLC SEA Site Visit Protocol

This Site Visit Protocol is intended to assist program staff as they discuss and assess the 21st CCLC programs during site visits. Some or all of the protocol may be used, as appropriate to the nature of the visit.

MONITORING RESOURCES

20 USC 7171 21st Century Community Learning Centers Legislation

21st Century Community Learning Centers SEA Consolidated State Plans

Education Department General Administrative Regulations (EDGAR) 34 CFR 74, 75, 76, 80

Office of Management and Budget (OMB) Circular A-133 and Compliance Supplement

Profile and Performance Information Collection System Data (PPICS)

21st Century Community Learning Centers Non-Regulatory Guidance, February 2003

PRE-SITE VISIT ACTIVITIES/REVIEW

Contact SEA and arrange the site visit date

Discuss List of Key Persons to Interview

Chief State School Officer or representative (not mandatory), 21st CCLC SEA Coordinator, Fiscal or Budget Officer, Audit Coordinator, Program Officers (*responsible for monitoring and grants administration*), Professional Development Providers, Evaluator

Send Notification Letters to Chief State School Officer and copy to 21st CCLC SEA Coordinator

Review Pre-Visit Briefing Packet

State _____

Date of Monitoring Visit _____

Background Information

Number of Grantees: _____ Date of Upcoming Competition: _____

Number of Grants Awarded in the Previous Fiscal Year: _____ Range of Awards: _____

Duration of Project Grants: _____

Suggested Key Personnel to Interview During Site Visit

Key Program Contacts

Name	Title	Email Address	Phone Number
	21st CCLC SEA Coordinator		
	Chief State School Officer (optional)		
	Program Director		
	Fiscal or Budget Officer		
	Audit Coordinator		
	Program Officers/Monitors		
	Professional Development Providers		
	Partner(s)		
	Evaluator		

SEA's Administrative Grants Competition

SEA may use up to 5% for State Administration and activities.

Critical Element I. – The SEA complies with the legislative requirements to award sub-grants to eligible entities on a competitive basis

Requirements	Citation	Documentation	Status <ul style="list-style-type: none"> • Exceptional • Sufficient Progress • Needs Improvement • In Non-Compliance
1. Did the SEA manage a competition, which is in compliance, this fiscal year for awarding funds to new grantees?	§4204(b)	-RFP or request for application -Other notification(s) or announcements	<i>Select status</i>
2. Did the SEA establish State priorities or special criteria for the competition (not a requirement)? If so, what were they?	§4203(a)(4)	-RFP listing the priorities -Documentation supporting the need for the State priority	<i>Select status</i>
3. Has the State established and implemented a peer review process for awarding grants on a competitive basis?	§4204(e)	-Selection criteria -Sample of funded applications -SEA written policy or guidance about sub-grant process -Peer review panel composition	<i>Select status</i>
4. How does the State comply with statutory requirements of targeting funds to serve students who primarily attend schools eligible for Title I school-wide programs or students from low-performing schools and the families of the students described as being served?	§4203(a)(3)(A)	- RFP or request for applications with those requirements and other materials such as listing of schools -Selection criteria -Sample of reviewers comments -Evidence of this requirement was demonstrated in the selection of grant recipients	<i>Select status</i>
5. How does the SEA ensure that sub-grants are sufficient in size and scope to support high-quality, effective programs that are consistent with legislative purpose and made in amounts of at least \$50,000 per year?	§4203(a)(5)(A)-(B)	-Funded grant award slates with funding amounts -Sample grant applications with budgets -Evidence the SEA researched or made an informed judgment regarding size and scope	<i>Select status</i>
6. How does the SEA ensure that <ul style="list-style-type: none"> • Applicant will provide a safe and easily accessible facility? • Applicant’s students will travel safely to and from centers? • Applicant will disseminate information about the center to the community? • Funds will supplement and not supplant other Federal, State and local public funds to provide allowable programs and activities? 	§4203(a)(9) §4203(a)(10) §4204(b)(2)(A)(i) §4204(b)(2)(A)(ii) §4204(b)(2)(A)(iii) §4204(b)(2)(G)	-RFP or grant application package stating the requirements -Sample grant applications that address the requirement -Assurances provide by applicants -Written SEA guidance on supplement not supplant rule -Evidence the SEA monitors for expenditures regarding these requirements	<i>Select status</i>

<p>7. The SEA made awards for not less than 3 years and not more than 5 years and required eligible organizations applying for funds to describe how the community-learning center will continue after 21st CCLC funding ends.</p>	<p>§4203(a)(8)</p>	<ul style="list-style-type: none"> -RFP or grant application package -Grant award slant with terms -Sample applications that describe sustainability plans 	<p><i>Select status</i></p>
<p>8. What kind of outreach efforts does the SEA have to inform eligible entities about the grant competition?</p> <p>In particular how does the SEA inform faith-based and community- based organizations about the competition?</p> <p>Does the SEA provide training or technical assistance for potential applicants?</p> <p>How does the SEA consult with private schools and/or charter schools about grant opportunities and availability of services for their students?</p>	<p>§4201(b)(3) §4202(c)(3)(D) §9501</p>	<ul style="list-style-type: none"> -SEA materials, mailing list and marketing information -Agenda from bidder's workshop -Evidence the SEA made information about competition widely available -Announcements and ways of soliciting applications -Staff describes how application is disseminated to eligible entities (CBOs and FBOs). -Copy of agendas for workshops -Evidence of meetings with non-public school officials -SEA procedures for providing services to students attending non-public schools 	<p><i>Select status</i></p>
<p>9. Did the SEA develop the application in consultation with appropriate State officials?</p>	<p>§4203(a)(11)</p>	<ul style="list-style-type: none"> -List of officials consulted -Copy of minutes of meetings -Evidence SEA used advice -Advisory Committee formed as a result 	<p><i>Select status</i></p>
<p>10. How does the SEA make noncompetitive continuation awards to sub-grantees?</p>		<ul style="list-style-type: none"> -Review procedures and forms used by SEA for making continuation awards -Evidence that the SEA uses regarding sub-grantees making substantial progress -Names of any grantees that have not received continuation awards and reasons 	<p><i>Select status</i></p>

Critical Element II. – SEA uses standards, assessments and monitoring to hold sub-grantees accountable			
Requirements	Citation	Documentation	Status <ul style="list-style-type: none"> • Exceptional • Sufficient Progress • Needs Improvement • In Non-Compliance
1. Does the SEA conduct regular, systematic reviews of grantees to monitor for compliance with Federal statutes and regulations, applicable State rules and policies?	EDGAR §76.770 EDGAR §80.40(a)	-Monitoring plan and protocol -Monitoring procedures -Schedule of monitoring/site visits	Select status
2. Does the SEA provide capacity-building, training and technical assistance specific to grantees?	§4202(c)(3)(B) §4202(c)(3)(D)	-Description of the kinds of assistance SEA offers -Schedule of opportunities provided -SEA agenda of sub-grantee meeting	Select status
3. How does the SEA ensure the sub-grants are in compliance meeting the statutory requirements, such as: <ul style="list-style-type: none"> • Providing academic enrichment activities designed to improve student achievement? • Offering a broad array of activities to complement the school day (arts, music, recreation, dance, drama, school skills)? • Addressing transportation needs of children? • Using the results of its needs assessment to provide needed services? • Housing activities in a safe and accessible facility? • Disseminating information about the center’s operations to community members? • Planning for sustainability? • Are encouraging and using appropriate solutions effectively? • Providing participating family members literacy and other educational opportunities? • Meeting the Principles of Effectiveness: <ul style="list-style-type: none"> a. based on objective data regarding the need for before- and afterschool programs? b. based on an established set of performance measures aimed at ensuring the availability of high-quality academic enrichment opportunities? c. if appropriate, based upon scientifically based research that provides evidence that the program or activity will help students 	§4201(a)(3) §4204(b)(2)(A)(i) §4204(b)(2)(A)(ii) §4204(b)(2)(A)(iii) §4204(b)(2)(B) §4204(b)(2)(E) §4204(b)(2)(I) §4204(b)(2)(K) §4205(a) §4205(b)(1)(A)-(C)	-Site visit protocols addressing each of these requirements -Site visit report findings -Materials disseminated to community, such as: Materials announcing center opportunities, School schedules, Curriculum materials, Program announcement(s), Sustainability plans, etc. -Evidence from discussion with SEA staff that the person is familiar with the requirements and how they are being met -Records of attendance and student achievement data -Examples demonstrating evaluations are used for program improvement	Select status

meet the State and local student academic achievement standards?			
4. Does the SEA note creative enrichment activities, promising projects and distinctive ties between school and after-school programs and extended learning programs?	§4203(a)(6)	-SEA staff describes grantees that are unique, promising or exemplary and why -Database exists with promising programs of sub-grantees	<i>Select status</i>
5. How are grantees notified of recommendations, findings and corrective actions?	§4202(c)(3)(A)	-Written SEA procedures for corrective actions -Written correspondence regarding findings and corrective action to sub-grantee(s) -Audits (reports /findings)	<i>Select status</i>
6. Does the SEA conduct a comprehensive evaluation (directly or through a grant or contract) on the effectiveness of programs and activities based on State needs? <ul style="list-style-type: none"> • How does the SEA ensure that the evaluation is comprehensive? (Does the evaluation use statewide data or a statewide sample? Are outcomes of participants compared to nonparticipants?) • What are the performance indicators and performance measures used to evaluate programs? • How does the SEA disseminate the (statewide) evaluation findings of funded programs to the public at large and to its grantees in particular? • How does the State use its evaluation findings to improve programs or inform guidance to sub-grantees? • Does the State conduct an internal evaluation? If so, what is process? • About how much does the State spend per year on evaluation its evaluation efforts? 	§4203(a)(13)(A)-(B) §4205(b)(1)(A)-(C) §4205(b)(2)(A)-(B) Non-Regulatory Guidance H-5	--Statement of Work or similar solicitation document for evaluation contract -- Evaluation plan and name of evaluator, if relevant --Document with performance indicators and measures --Any interim evaluation reports or findings --Any documentation of how the SEA used evaluation results	<i>Select status</i>
7. How does the SEA communicate and monitor requirements for sub-grantee evaluations to ensure that all requirements are met? <ul style="list-style-type: none"> • How does the SEA ensure that sub-grantees' evaluations are based on performance indicators and the principles of effectiveness? • How does the SEA ensure that sub-grantees use evaluation results to improve programs or refine performance measures? • How does the SEA ensure that sub-grantee evaluations measure students' academic progress? • What type of evaluation related technical assistance (TA) is provided to the sub-grantees? What is the frequency of this evaluation TA? 	§4205(b)(1)(A)-(C) §4205(b)(2)(A)-(B) Non-Regulatory Guidance H-5 Non-Regulatory Guidance H-6	--Application forms and instructions for local entities --Other evaluation guidance documents for sub-grantees --Documentation of evaluation training for sub-grantees --Sub-grantee evaluation plans --Sub-grantee evaluation reports --Documentation that sub-grantee evaluations were made available to the public --Documentation that sub-grantees used evaluation	<i>Select status</i>

<ul style="list-style-type: none"> How does the SEA ensure that sub-grantees make evaluation findings available to the public? 		results to improve programs	
<p>8. Does the SEA monitor grantees to ensure that PPICS data are submitted?</p> <p>What procedures are in place to verify the data gathered are accurate and submitted on time?</p>	<p>EDGAR §76.770 EDGAR §80.40(a)</p>	<p>-Written communication and guidance to sub-grantees regarding PPICS collection efforts -Quality assurance procedures for data collection efforts -Sanctions are in place for sub-grantees not in compliance</p>	Select status
<p>9. What option did the State choose to report for student achievement and behavioral changes?</p> <p>Student grades</p> <ol style="list-style-type: none"> State assessment current year State assessment cross year Federal teacher survey State-developed teacher survey 		<p>-Data -Narrative -Specific examples cited</p>	Select status
<p>10. Describe how the program is meeting the prescribed selected indicators.</p>	§4203(a)(13)(A)	<p>-Data -Narrative -Specific examples cited</p>	Select status

Critical Element III. – Fiduciary Indicators

The SEA complies with the allocation requirements for State administration and technical assistance

Requirements	Citation	Documentation	Status <ul style="list-style-type: none"> Exceptional Sufficient Progress Needs Improvement In Non-Compliance
<p>1. Are financial management systems in place to provide fiscal oversight and cash disbursement to programs?</p>	<p>§4202(c) EDGAR §80.26</p>	<p>-Records of allocations for State administration, training, technical assistance and evaluation are within the statutory maximum – 3% and 2% - Written procedures -Technical assistance contracts, sub-grants or cooperative agreements -Accounting documents</p>	Select status
<p>2. Does the SEA have a procedure to determine the amount of funds each sub-grantee expended during the period of availability, such as monitoring drawdowns?</p>	EDGAR §80.26	<p>-Records of any reallocation -Accounting documents -Evidence of appropriate and timely drawdowns</p>	Select status
<p>3. Describe the auditing process for the SEA and sub-grantees.</p> <ol style="list-style-type: none"> What is the audit cycle? 	EDGAR §80.26	<p>-Written policy and procedures -Audits conducted</p>	Select status

b. What organization performs the audit? c. Does the SEA ensure corrective actions are implemented? d. For how many years does the SEA maintain records?			
4. Does the SEA have a written policy on allowable carryover funds?		-Policy	Select status
5. Does the SEA provide oversight that grantees coordinate Federal funds with other programs as appropriate? (Title I, USDA, HHS, DOJ, SES)	§4203(a)(7) §4204(b)(2)(C)	-Financial records -Examples of how funds are coordinated	Select status
6. How many positions are supported by 21 st CCLC funds at the State level? Describe the methods in place to document time and effort.		-Review of timecards -Copy of organizational chart	Select status

Critical Element IV. – Post-Site-Visit Requirements for Program Officers		
Requirements	Documentation	Status
1. Prepare a site visit monitoring report written 30 working days of site visit.		<input type="checkbox"/> Completed Date: _____
2. Provide written feedback to SEA within 30 working days of site visit.		<input type="checkbox"/> Completed Date: _____
3. Place all appropriate documentation collected and site visit monitoring report in State grant file.		<input type="checkbox"/> Completed Date: _____
4. Follow up with SEA as needed.		<input type="checkbox"/> TA Needed Date: _____ <input type="checkbox"/> TA Not Needed at this time