

New York State 21stCCLC
Site Monitoring Visit Report

Program Name:

Project Number:

Address:

Visit Date:

City/State/Zip:

Reviewer(s):

Program Type:

**Date Submitted
to Sub-Grantee:**

Site(s) Visited:

Reviewer(s) Signature:

Phone:

Program Director:

Director Email:

Summary of actions to be taken:

Date:

**Based on areas of partial compliance and non-compliance*

Recommendations to Strengthen Practice

Areas that are compliant but need some improvement

Promising Practices

Successful practices observed in this after-school program



Using the Site Monitoring Visit Report

The Site Monitoring Visit (SMV) Report has been developed to help ensure comprehensive and consistent monitoring of 21st Century Community Learning Centers in New York State. While this document is intended for use by program reviewers, it is also recommended for use by sub-grantees to (1) guide program implementation, and (2) assist in preparing for a smooth monitoring visit.

Structure & Definitions

- ❶ The '**Indicators of Success**' column outlines the indicator to be evaluated.
 - All Indicators are coded by the lettered Section (**A-H**) within the Monitoring Tool, and then by ascending numerical order (**1-10**) within that Section.
- ❷ The '**Supporting Documents**' column lists evidence that may be used to support successful implementation of the applicable indicator.
 - Each Indicator is associated with two to five criteria represented under Supporting Documents; these criteria are coded in ascending alphabetical order **[(a)-(e)]**. E.g., **H-2(d)** references Section **H**, Indicator **H-2**, criterion **(d)**.
 - **Required Documentation Key:**
 - * Required documentation for **all** programs
 - ** Required documentation for **district** programs
 - *** Required documentation for programs requiring **School-Age Child Care Registration**
 - (A) Required documentation for **all** sites must be provided to reviewer(s)
- ❸ The '**Compliance**' column is segmented into three rating options – Full, Partial, and Not. Presence/absence of the required criteria listed in the Supporting Documents column determines the rating of compliance for each Indicator.
 - **Guidance for selecting a Compliance Rating:**
 - Full** If all the required criteria are checked, that will equate to a rating of *FULL* compliance for that indicator. If none of the supporting documents are required – i.e., designated by an asterisk – at least one of the choices must be checked in order to be in Full compliance. For programs operating multiple sites, certain supporting documentation may be required for ALL sites in order to receive a Full compliance rating.
 - Partial** If at least one, but not all, of the required criteria are checked, that will equate to a rating of *PARTIAL* compliance for that indicator; this is the case even when all other non-required criteria – e.g., additional supporting evidence of an indicator – are checked. A rating of Partial compliance will also be assigned to programs that do not possess critical required documentation for each operating site (Reviewers will inform programs which critical documents need to be presented for each site during pre-visit communications).
 - Not** If none of the required criteria are checked, that will equate to a rating of *NOT* in compliance for that indicator; this is the case even when any other non-required criteria – e.g., additional supporting evidence of an indicator – are checked.
 - **Definitions & Implications of Indicator Compliance Ratings**
 - Compliant** Meets state and federal guidelines for this Indicator.
 - Partially Compliant** Partially meets state and federal guidelines. Programs receiving this rating must follow the reviewer's recommendations and/or develop an action plan for achieving Full Compliance in this area.
 - Non-Compliant** Does not meet state and federal guidelines. Programs receiving this rating must follow the reviewer's recommendations and develop an action plan for improving compliance in this area.

Site Monitoring Visit Procedure:

1 Pre-Visit:

- **Document Review & Document Preparation (off-site).** Prior to the visit, sub-grantees will be asked by the Technical Assistance Resource Centers (TARCs) or NYSED to send several documents in advance; other documents will need to be made available on site. NYSED recommends that sub-grantees become familiar with the Site Monitoring Visit (SMV) Report template and work to prepare for the visit, in advance. Programs should develop a system to organize all of the required information indicated in the tool. That way, whenever the program is notified that it has been selected to receive a visit, all of the required items have already been gathered and are readily accessible during the review process.
- **Schedule & Agenda.** The TARC's will explain the purpose and process of the site visit. The Program Manager will select which site(s) will be visited and coordinates schedules with the program staff and reviewers to draft an agenda for the day of the visit.
- **Participation of Key Partners/Personnel.** NYSED recommends that the program director, site coordinator(s), fiscal staff and local evaluator be available (in-person or via conference call) at points during the visit to contribute to the thorough review of all components of the program.

2 Day of Visit:

- **Meeting & Document Review Session (on site).** On the day of the visit, members of the review team (TARC and/or NYSED program office staff) will meet with program leaders to review all required documents in the SMV Report. This meeting also provides an opportunity for program leaders/key staff to ask questions, seek clarifications on documents or procedures, and inquire about technical assistance offerings.
- **Program Walk-through.** After this meeting, the program staff and reviewers will visit program site(s) to observe in-session programming and to interact with leaders, staff, students, family members, and/or other program stakeholders. During these walk-throughs, reviewers will refer to the SMV report and review the relevant criteria listed for each of the indicators. Reviewers may utilize multiple methods to gather information during a walk-through; these may include impartial observation, informal interview, focus group discussion (e.g., with multiple students, parents, staff), and artifact review.
- **On-Site Support.** Program reviewers may respond to requests from program personnel for immediate feedback and/or technical assistance to help address a critical need. However, the primary purpose of the visit is to conduct a thorough review of the program, not to deliver support. The RC support team can marshal resources and schedule follow-up technical assistance services to target program needs/ areas for improvement identified during the site monitoring visit walk-through and based on a comprehensive review of the SMV Report findings.

3 Post-Visit:

- **Final SMV Report.** Following the visit, the RC reviewer will submit the completed Site Monitoring Visit Report to NYSED for their review and approval. Once that has been completed, the SMV Report will be sent to the program within 30 days of the visit. Reports will identify areas of full and partial compliance and non-compliance. Reports will also provide a summary of actions to be taken by a given date, additional recommendations to strengthen practice, and acknowledgment of promising practices.
- **Action Plan.** If areas of non-compliance or partial compliance are identified, programs are expected to submit an Action Plan to the TARC and NYSED within 30 days of receiving the report; this Action Plan must include a timeline for implementation, and it must identify the specific actions that the program will take to ensure compliance in the areas of greatest need. A member of the RC support team will follow up with the program on a consistent as-needed basis, to check progress implementing the action plan, and to offer support and resources. The objective is for the program to achieve the improvement targets and meet compliance expectations within six months of the implementation of the Action Plan.

A: Environment and Climate

Indicators of Success		Supporting Documents <i>* indicates required criteria</i>	Compliance		
			FULL	PARTIAL	NOT
A-1	Effective Supervision of participants is provided by an approved adult at all times.	<input type="checkbox"/> (a) Written Supervision Policy and Procedures* <input type="checkbox"/> (b) Reviewer observation of staff's supervision practices* <input type="checkbox"/> (c) Other:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
A-2	Security is provided effectively and continuously throughout program hours.	<input type="checkbox"/> (a) Written Security Policy and Procedures <input type="checkbox"/> (b) Reviewer observation of security practices*	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
A-3	Safety Plan & Procedures Approved safety plans and emergency procedures for all sites have been communicated to staff, family, and participants <i>I.e., procedures for emergency situations, closings, dismissals, etc.</i>	<input type="checkbox"/> (a) Approved, up-to-date, Safety Plan(s)* (A) <input type="checkbox"/> (b) Evidence that safety info has been shared with parents and students within 30 days of program start up annually* (A) (e.g., agendas, assembly dates, sign-in sheets, signed verification forms, etc.) <input type="checkbox"/> (c) Evidence that program staff attended annual training which included a review of safety procedures (e.g., training agenda, dates, sign-in sheets, etc.) * (A) <i>Identify at least one of the following training event options:</i> <input type="checkbox"/> Before Sept. 15 th annually as part of district/school staff training <input type="checkbox"/> Separate training for 21 st CLCC staff within 30 days of program start up annually <input type="checkbox"/> (d) 21 st CCLC handbook(s) that outline safety procedures* (A) <input type="checkbox"/> (e) Other:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
A-4	Safety Supplies are accessible, including first aid kits, fire extinguishers, fire alarms, and safety procedures; all fire exits are posted, etc.	<input type="checkbox"/> (a) Safety Supply Inventory records* <input type="checkbox"/> (b) Reviewer observation of the accessibility of safety supplies , and visibility of alarms/exits, etc.*	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

<p>A-5</p>	<p>Safety Drills are conducted at all sites as required, including evacuations, shelter-in-place, and lockdowns.</p>	<p>School year programming:</p> <p><input type="checkbox"/> (a) Shelter-in-place records* (A) SACC programs: <i>Twice yearly</i> District or CBO high school programs: <i>Once a year</i></p> <p><input type="checkbox"/> (b) Evacuation Drills records* (A) SACC programs: <i>Monthly</i> District or CBO high school programs: <i>Twice yearly (fall & spring)</i></p> <p><input type="checkbox"/> (c) Lockdown records** (A) SACC programs: <i>None required, but NYSED recommended</i> District or CBO high school programs: <i>Twice yearly (fall & spring)</i></p>	<p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p>
	<p>Summer programming (if applicable):</p> <p><input type="checkbox"/> (d) Evacuation Drill(s) records* (A) SACC programs: <i>Monthly</i> District or CBO high school programs: <i>Twice during summer</i></p> <p><input type="checkbox"/> (e) Lockdown Drill(s) records** (A) SACC programs: <i>None required, but NYSED recommended</i> District or CBO high school programs: <i>Once during the summer</i></p>	<p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p>	
<p>A-6</p>	<p>Travel & Transition Procedures are in place to ensure safety and ease during arrival, dismissal, field trips and transitions. <i>These procedures specifically include:</i> (✓) <i>participant sign-in/sign-out,</i> (✓) <i>notification of changes in routine, and</i> (✓) <i>locating missing participants.</i></p>	<p><input type="checkbox"/> (a) Written, up-to-date Travel/Logistics Procedures*</p> <p><input type="checkbox"/> (b) Reviewer observation of participant arrivals, transitions between activities, and departures*</p> <p><input type="checkbox"/> (c) Sign-in and Sign-out sheets¹</p> <p><input type="checkbox"/> (d) Other:</p>	<p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p>
<p>A-7</p>	<p>Student Health Information Systems are in place for staff to be prepared to address individual student's health needs that may require immediate attention. Participants' files are updated and shared with staff on a need-to-know basis, and in full compliance with HIPAA ² and FERPA ³ regulations.</p>	<p><input type="checkbox"/> (a) Written, up-to-date Student Health Records*</p> <p><input type="checkbox"/> (b) Enrollment forms (including health section) *</p> <p><input type="checkbox"/> (c) Individual Health Plans (as needed)***</p> <p><input type="checkbox"/> (d) Participant/Enrollee Database</p> <p><input type="checkbox"/> (e) Other:</p>	<p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p>
<p>A-8</p>	<p>Supportive Environment A stimulating, engaging, and welcoming environment is provided for all participants.</p>	<p><input type="checkbox"/> (a) Reviewer observation of the level engagement and support provided to participants*</p> <p><input type="checkbox"/> (b) Other:</p>	<p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p>

¹ Sign in and Sign out procedures may differ across sites based on age-level groups/programs.
² Health Information Portability and Accountability Act (HIPAA) regulations: <https://www2.ed.gov/policy/gen/guid/fpco/doc/ferpa-hipaa-guidance.pdf>.
³ Family Educational Rights and Privacy Act (FERPA) regulations: <http://www.p12.nysed.gov/sss/schoolhealth/schoolhealthservices/#FERPA>.

<p>A-9</p>	<p>Culture of Respect A culture of support, inclusion, and mutual respect is provided; one which embraces dignity for all participants, fosters a sense of belonging, and promotes physical and emotional safety.</p>	<p><input type="checkbox"/> (a) Written policy/procedure for reporting harassment, bullying and discrimination*</p> <p><input type="checkbox"/> (b) Code(s) of Conduct*</p> <p><input type="checkbox"/> (c) Reviewer observation of respectful interactions*</p> <p><input type="checkbox"/> (d) Other:</p>	<p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p>
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Section A Comments

B: Program Administration/Organization

Indicators of Success		Supporting Documents <i>* indicates required criteria</i>	Compliance		
			FULL	PARTIAL	NOT
B-1	Recruitment Program is recruiting and serving the specific population of students and their families as identified in the approved grant application.	<input type="checkbox"/> (a) Up-to-date Recruitment plan <input type="checkbox"/> (b) Evidence of recruitment efforts (e.g., meeting notes, correspondence records, distribution of promotional materials, etc.) <input type="checkbox"/> (c) Student selection protocol <input type="checkbox"/> (d) Other:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
B-2	Program/Activity Schedule(s) for all sites are current, accurate and include room assignments and assigned staff.	<input type="checkbox"/> (a) Program/Activity schedule(s)* [E-3(e)] (A) <input type="checkbox"/> (b) Other:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
B-3	Activity Attendance Procedures are in place for taking daily attendance of individual students for each activity. ⁴	<input type="checkbox"/> (a) Activity attendance sign-in sheets* <input type="checkbox"/> (b) Other:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
B-4	Certificates & Licenses All applicable required documents are maintained for program site(s).	<input type="checkbox"/> (a) Insurance certificate* <input type="checkbox"/> (b) Certificate of Occupancy^{5, 6*} <input type="checkbox"/> (c) SACC Registration(s)*** Exp: (A) <input type="checkbox"/> (d) Other:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
B-5	Staff to Student Ratio Program maintains updated rosters for each activity and follows appropriate staff-to-school age participant ratios, as per OCFS' School-Age Child Care (SACC) ⁷ regulation, when applicable.	<input type="checkbox"/> (a) Enrollment rosters for each scheduled activity* <input type="checkbox"/> (b) Reviewer observation of staff-student ratios maintained during each activity * <input type="checkbox"/> (c) Other:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
B-6	Staff Guidance & Expectations Program's internal policies, procedures and professional expectations are communicated to all program staff. <i>E.g., staff orientation, training, etc.</i>	<input type="checkbox"/> (a) Employee handbook* <input type="checkbox"/> (b) Meeting agendas with attendance records documenting the communication of expectations for employees <input type="checkbox"/> (c) Signed acknowledgment page <input type="checkbox"/> (d) Other:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
B-7	Staff Schedule	<input type="checkbox"/> (a) Staff schedule*	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

⁴ Attendance procedures may differ across sites based on age-level groups/programs.

⁵ New York City's Certificate of Occupancy (CO) regulations: <https://www1.nyc.gov/site/buildings/homeowner/certificate-of-occupancy.page>

⁶ Information about Fire Safety and Certificates of Occupancy, issued by NYSED's Office of Facilities Planning:

http://www.p12.nysed.gov/facplan/articles/B08_certificate_of_occupancy_referen.html and

http://www.p12.nysed.gov/facplan/FireSafety/fire_safety_report_homepage.html

⁷ New York State Child Day Care Regulations, issued by the Office of Child and Family Services (OCFS):

<https://ocfs.ny.gov/main/childcare/reg/414-SACC.docx>

	<p>Current staffing schedule shows days and hours of employment for all program staff along with their title/role in the program.</p>	<p><input type="checkbox"/> (b) Other:</p>	
<p>B-8</p>	<p>Personnel files are maintained for all staff, including documentation for required fingerprinting of staff.</p>	<p><input type="checkbox"/> (a) Up-to-date Personnel files, résumés, work history reports* [D-1(a)]</p> <p><input type="checkbox"/> (b) Fingerprinting documentation*</p> <p><input type="checkbox"/> (c) Volunteers' files* (<i>if applicable</i>)</p> <p><input type="checkbox"/> (d) Completed Program Activity Implementation Reviews (PAIRs) or similar* [D-3(b)]</p> <p><input type="checkbox"/> (e) Other:</p>	<p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p>
<p>B-9</p>	<p>Resource Allocation Plan Program administration coordinates 21st CCLC funding with other federal, State, and local programs to effectively utilize public resources. <i>These federal programs include, but are not limited to: Title 1, US Department of Agriculture (USDA), Health and Human Services (HHS), Department of Justice (DOJ), etc.</i></p>	<p><input type="checkbox"/> (a) Resource allocation plans/activities verified via in-person interview conducted with program leader(s)*</p> <p><input type="checkbox"/> (b) Other:</p>	<p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p>

Section B Comments

C: Fiscal Administration/Organization (based on the Federal Uniform Guidance⁸)

Indicators of Success		Supporting Documents <i>* indicates required criteria</i>			Compliance		
					FULL	PARTIAL	NOT
C-1	Cooperative Budget Management Program administration and the fiscal department of the lead agency work together to prepare the budget and monitor spend-down. (See p. 22 and 31 of EDGAR 3 rd Edition)	<input type="checkbox"/> (a)	Meeting agenda(s), with date(s), specifying a planned, cooperative budget discussion between program leaders and fiscal managers*	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
		<input type="checkbox"/> (b)	Meeting minutes reflecting this cooperative budget discussion [see C-1(a)] *				
		<input type="checkbox"/> (c)	Other:				
C-2	Financial Management system is in place for identifying and tracking costs that are allocated specifically to the 21 st CCLC program. <i>Fiscal records are readily available, complete, and up to date.</i> N.B.: If the annual award amount is \$750,000 or more, a Single Audit must be completed for the year (see p. 108 of EDGAR 3 rd Edition).	<input type="checkbox"/> (a)	On time submission of financial forms: <input type="checkbox"/> FS-10* <input type="checkbox"/> FS-10-F* <input type="checkbox"/> FS-10A <input type="checkbox"/> FS-25	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
		<input type="checkbox"/> (b)	Accounting System printouts*				
		<input type="checkbox"/> (c)	Single Audit record* (if applicable)				
		<input type="checkbox"/> (d)	Other:				
C-3	Personnel Time and Effort tracking system is in place. <i>I.e., time sheets, payroll records, and Personnel Activity Reports (PARs)⁹ are available, complete, and up to date in accordance with federal regulations (see pp 140-142 of EDGAR 3rd Edition)</i>	<input type="checkbox"/> (a)	Time Sheets*	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
		<input type="checkbox"/> (b)	Payroll records*				
		<input type="checkbox"/> (c)	Personnel Activity Reports (PARs)*				
		<input type="checkbox"/> (d)	Other:				
C-4	Fund Allocation Safeguard (Supplement, not Supplant) system is in place to ensure that existing funds for a project and its activities <u>are not</u> displaced by federal 21 st CCLC funds and reallocated for other organizational expenses. <i>Federal law prohibits recipients of federal funds from replacing/supplanting state, local, or agency funds with federal funds (see page 31 of EDGAR 3rd Edition).</i>	<input type="checkbox"/> (a)	Written, up-to-date Safeguard Policy documenting appropriate allocation of funds by funding source*	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
		<input type="checkbox"/> (b)	Other:				

⁸ Based on the Education Department General Administrative Regulations (EDGAR), 3rd Edition.

⁹ Federal regulations refer to the established accounting practices of the non-federal entity, NYSED.

<p>C-5</p>	<p>Internal Control System is in place to provide reasonable assurance of the effectiveness and efficiency of operations, reliability of reporting for internal and external use, and compliance with applicable laws and regulations. <i>(See pp.108-109 of EDGAR 3rd Edition)</i></p>	<p><input type="checkbox"/> (a) Written, up-to-date Internal Control Policy and Procedures documenting program's operating, reporting, and compliance procedures*</p> <p><input type="checkbox"/> (b) Other:</p>	<p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p>
<p>C-6</p>	<p>Fraud Detection & Prevention system is in place to detect, prevent, and mitigate fraud. <i>(See pp.108-109 of EDGAR 3rd Edition).</i></p>	<p><input type="checkbox"/> (a) Written, up-to-date Fraud Detection & Prevention Policy and Procedures*</p> <p><input type="checkbox"/> (b) Protocol to report fraud*</p> <p><input type="checkbox"/> (c) Other:</p>	<p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p>
<p>C-7</p>	<p>Equipment Inventory Control system is in place. <i>Equipment (including computers) is properly tagged and recorded; a disposal process is in place. (See pp.116-117 of EDGAR 3rd Edition).</i></p>	<p><input type="checkbox"/> (a) Written, up-to-date Equipment Inventory Control Policy and Procedures*</p> <p><input type="checkbox"/> (b) Equipment/Inventory tracking record*</p> <p><input type="checkbox"/> (c) Other</p>	<p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p>
<p>C-8</p>	<p>Procurement/Purchasing Policy is established to guide micro-purchases, small purchases, sealed bids, competitive bids, and non-competitive or "sole source" bids. <i>(See pp.120-121 of EDGAR 3rd Edition).</i></p>	<p><input type="checkbox"/> (a) Written, up-to-date Purchasing Policy and Procedures*</p> <p><input type="checkbox"/> (b) Other:</p>	<p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p>
<p>C-9</p>	<p>Record Retention Policy is established. <i>N.B.: New York State requires record retention for seven years, which supersedes the current federal requirement. (See p.126 of EDGAR 3rd edition)</i></p>	<p><input type="checkbox"/> (a) Written, up-to-date Record Retention Policy and Procedures*</p> <p><input type="checkbox"/> (b) Other:</p>	<p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p>
<p>C-10</p>	<p>Work-Related Employee Travel A travel policy for employees is established. <i>(See pp.161-162 of EDGAR 3rd Edition)</i></p>	<p><input type="checkbox"/> (a) Written, up-to-date Employee Travel Policy and Procedures*</p> <p><input type="checkbox"/> (b) Other:</p>	<p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p>

Section C Comments

D: Staffing and Professional Development

Indicators of Success		Supporting Documents <i>* indicates required criteria</i>	Compliance		
			FULL	PARTIAL	NOT
D-1	Experience of Personnel Activity leaders/instructional staff have appropriate work experience in content specific areas that they are facilitating.	<input type="checkbox"/> (a) Personnel résumés on file* [B-8(a)] <input type="checkbox"/> (b) Reviewer observation of staff demonstrating practices which adhere to general expectations/ programs' goals and objectives * <input type="checkbox"/> (c) Other:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
D-2	Regional & Statewide Conference Attendance Director and/or program staff attend required fall and spring state conferences.	<input type="checkbox"/> (a) Conference attendance records for <u>BOTH</u> fall & spring* <input type="radio"/> Fall Conference attendance <input type="radio"/> Spring Conference attendance <input type="checkbox"/> (b) Other: <i>(e.g. national conference)</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
D-3	Assessment & Support of Staff An internal method for assessing and supporting staff with the implementation of high-quality program activities and consistent use of evidence-based OST best practices is in place and occurs at least twice a program year. <i>Providing adequate support, guidance and coaching to staff includes the use of targeted performance feedback.</i>	<input type="checkbox"/> (a) Program Activity Implementation Review (PAIR) form or similar* ¹⁰ <input type="checkbox"/> (b) Completed PAIRs or similar* [B-8(d)] <input type="checkbox"/> (c) Other:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
D-4	Collaborative Planning Time Program has designated collaborative planning time for all program staff which includes lead agency and partners to plan program activities that correspond to the needs of the participants and ensure that the entire program operates as one.	<input type="checkbox"/> (a) Meeting attendance records indicating the presence of representatives from both program and partners * <input type="checkbox"/> (b) Meeting agendas, and/or meeting notes/minutes evidencing the collaboration between program and partners <input type="checkbox"/> (c) Other:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
D-5	Professional Development of Personnel Targeted professional development for all program staff takes place that focuses on strengthening their use of effective instructional practices, their provision of enrichment opportunities, and engages them in the achievement of the program's student outcome goals.	<input type="checkbox"/> (a) PD event attendance records* <input type="checkbox"/> (b) PD agendas (with learning objectives) * <input type="checkbox"/> (c) PD schedules <input type="checkbox"/> (d) Other: <i>(e.g. TARC PD, district/school PD)</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

¹⁰ <http://www.p12.nysed.gov/sss/documents/Program%20Activity%20Implementation%20Review%2005.14.19.pdf>

Section D Comments

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E: Programming & Activities

Indicators of Success		Supporting Documents <i>* indicates required criteria</i>	Compliance		
			FULL	PARTIAL	NOT
E-1	<p>Support for Students of Special Populations</p> <p>Provides reasonable accommodations including special materials, equipment, and specially designed instruction as necessary for all participants¹¹ during the program and at special events.</p>	<input type="checkbox"/> (a) Accommodation plans (as needed/ required) <input type="checkbox"/> (b) Individual Education Program (IEP) ¹² <input type="checkbox"/> (c) Equipment Inventory includes Special Equipment/facilities to support students with special needs <i>Related to [C-7(b)]</i> <input type="checkbox"/> (d) Reviewer observation of the provision of support for students of special populations <input type="checkbox"/> (e) Other: (e.g. Behavioral intervention plans, Home Language Questionnaires, 504 plans)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
E-2	<p>Academic Enrichment and Additional Services</p> <p>Program activities include both academic enrichment and a broad array of additional services that support both academic and social emotional development through active learning designs not typically offered during the regular school day.</p>	<input type="checkbox"/> (a) Lesson plans reflect <u>all</u> the following: <input type="checkbox"/> Learning Objective(s)* <input type="checkbox"/> Alignment with NYS Learning Standards ^{13*} <input type="checkbox"/> Reflect SEDL guidelines/benchmarks ^{14*} <input type="checkbox"/> (b) Programming reflects all of the following: <input type="checkbox"/> Academic Enrichment experiences to help students deepen their understanding of the academic subject and broaden their skills* <input type="checkbox"/> Active Learning designs to help students practice and apply a holistic set of skills* <i>E.g. (mark all that apply):</i> <input type="checkbox"/> Experiential Learning <input type="checkbox"/> Hands-on Learning <input type="checkbox"/> Project-based Learning <input type="checkbox"/> Service Learning <input type="checkbox"/> Other eligible activities: ¹⁵ <input type="checkbox"/> (c) Reviewer observation of staff's delivery/implementation of activities demonstrate strong adherence/fidelity to the lesson plans*	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

¹¹ According to US ED's General Education Provisions Act (GEPA), programs must ensure equitable access to meet the needs of special populations (e.g. students with disabilities, English Language Learners, and socio-economic status).

¹² Instructional and supportive information from the IEP, relative to program activities, may be shared on a "need to know" basis with parental consent.

¹³ New York State Next Generation Learning Standards: <http://www.nysed.gov/next-generation-learning-standards>.

¹⁴ New York State Social Emotional Development & Learning (SEDL) Guidelines : <http://www.p12.nysed.gov/sss/documents/SEDLguidelines.pdf>. SEDL guidelines were included in the applicant's proposal; however, new Social Emotional Learning benchmarks and resources are now available for programs.

¹⁵ The complete list of Eligible Activities is described in the ESSA, Title IV Part B: 21st Century Community Learning Centers Grant Application, p. 16.

<p>E-3</p>	<p>Adherence to Program’s Grant Proposal Programming aligns with the <i>Template for Goals and Objectives</i> as it appears in proposal and/or NYSED-approved program modifications.</p>	<p><input type="checkbox"/> (a) Documentation that programming is aligned with Template for Goals & Objectives submitted with Grant Proposal and reflecting any approved modifications (<i>if applicable</i>) * (e.g., fidelity of implementation checklist¹⁶)</p> <p><input type="checkbox"/> (b) Reviewer observation of program’s adherence to specified plans/ designs*</p> <p><input type="checkbox"/> (c) Approved Program Modifications forms *(<i>if applicable</i>)</p> <p><input type="checkbox"/> (d) Program Logic Model [H-2(b)]</p> <p><input type="checkbox"/> (e) Program Schedule(s) [B-2(a)]</p> <p><input type="checkbox"/> (f) Other:</p>	<p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p>
<p>E-4</p>	<p>Culturally Responsive Education (CRE)¹⁷ Program activities (✓) help students and families build awareness and sensitivity to issues affecting human relations, and (✓) actively teach respect for diversity. <i>CRE includes but is not limited to the acknowledgement of differences in race, religion, ethnicity, language, mental or physical ability, sexual orientation, gender identity, and/or sex.</i></p>	<p><input type="checkbox"/> (a) Program & activity lesson plans demonstrate adherence to principles and evidence-based practices that support CRE</p> <p><input type="checkbox"/> (b) Reviewer observation of staff’s delivery of evidence-based practices that support CRE</p> <p><input type="checkbox"/> (c) Family outreach materials reflecting CRE principles and content</p> <p><input type="checkbox"/> (d) Event agendas/plans offered to families and community members reflecting CRE principles and content</p> <p><input type="checkbox"/> (e) Event sign-in sheets [Related to E-5(d)]</p> <p><input type="checkbox"/> (f) Other:</p>	<p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p>

Section E Comments

¹⁶ A number of programs partner with their local evaluators to create and complete a **checklist or inventory** to help them review **fidelity of implementation** – i.e., how well the program services, as delivered, adhere to the program services, as originally described in the grant application and any other approved modifications. Other programs may assess fidelity of implementation as part of their QSA process, studying a representative sample of Program Activity Implementation Reviews (PAIRs) from staff, etc.

¹⁷ Culturally Responsive-Sustaining Education Framework: <http://www.nysed.gov/common/nysed/files/programs/crs/culturally-responsive-sustaining-education-framework.pdf>

F: Establishes Strong Links to the School Day

Indicators of Success		Supporting Documents <i>* indicates required criteria</i>	Compliance		
			FULL	PARTIAL	NOT
F-1	<p>Communication regarding alignment with school day programming</p> <p>Activities are aligned with the regular school day content and are coordinated with program and school day staff.</p>	<input type="checkbox"/> (a) Presence & activity report of the Educational Liaison/ i.e., an individual who serves in the role of supporting the link between the school day and the program <input type="checkbox"/> (b) School day curriculum map , scope and sequence <input type="checkbox"/> (c) Other:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
F-2	<p>Communication regarding students' progress</p> <p>Program personnel communicate regularly with school-day staff to remain informed of the academic and behavioral progress of students.</p>	<input type="checkbox"/> (a) Correspondence records demonstrating communication between program and school-day staff* <input type="checkbox"/> (b) Meeting records, e.g.: agendas, minutes, notes, etc. <input type="checkbox"/> (c) Other:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
F-3	<p>Communication Between Program & School-Day Leaders</p> <p>Program maintains on-going communication with school administration, helping to ensure (✓) a mutually supportive relationship, and (✓) access to all relevant data required for Annual Performance Report (APR) and program evaluation (e.g., test scores, grades, attendance, Office of Discipline Referrals (ODRs, etc.).</p> <p><i>N.B.: Some programs may need to apply for the required APR data to be released through an Institutional Review Board (IRB).</i></p>	<input type="checkbox"/> (a) Correspondence records demonstrating communication between program and school-day leaders* <input type="checkbox"/> (b) Meeting records documenting the communication/ contact between program and school-day leaders <input type="checkbox"/> (c) Presence & activity log of the Educational Liaison <input type="checkbox"/> (d) Institutional Review Board (IRB) approval <i>(if necessary) *</i> <input type="checkbox"/> (e) Other:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Section F Comments

G: Participation, Engagement & Partnerships

Indicators of Success		Supporting Documents <i>* indicates required criteria</i>			Compliance		
					FULL	PARTIAL	NOT
Engaging & Communicating with Students							
G-1	<p>Gathering Student Participants' Input about Program Offerings¹⁸ Regularly elicits input from participants at all sites to determine programming that matches students' needs and interests.</p>	<input type="checkbox"/> (a) Reviewer observation of program efforts to solicit input and choice from student participants <input type="checkbox"/> (b) Student Surveys developed & administered to gather input about program offerings (A) <input type="checkbox"/> (c) Focus group protocols & notes documenting discussions with participants to be used to inform program design/activity offerings <input type="checkbox"/> (d) Other:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
G-2	<p>Communication of Participation Expectations to Students Expectations, responsibilities, and rules for program participation have been communicated clearly to students in all pertinent languages.</p>	<input type="checkbox"/> (a) Student Participation Guidelines* <input type="checkbox"/> Guidelines have been published and distributed/ made available* <input type="checkbox"/> Guidelines are translated in all pertinent languages (<i>if applicable</i>) * <input type="checkbox"/> (b) Record of student orientation process/ verbal discussion with participants explaining the program expectations <input type="checkbox"/> (c) Student Code of Conduct signed acknowledgement page [<i>related to A-9(b)</i>] <input type="checkbox"/> (d) Other:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
Engaging & Communicating with Families							
G-3	<p>Gathering Family Members' Input about Program Offerings Regularly elicits input from families to inform program decision-making and planning at all sites.</p>	<input type="checkbox"/> (a) Meeting agendas/minutes evidencing the gathering of input from families <input type="checkbox"/> (b) Meeting attendance records indicating the presence of families at input-gathering meetings <input type="checkbox"/> (c) Parent/Guardian surveys are developed and administered to gather input about program design/activity offerings* <input type="checkbox"/> (d) Other documented family outreach efforts involving input-gathering <input type="checkbox"/> (e) Other:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		

¹⁸ **Indicator G-1** is focused on engaging participants in the *design and selection of program activities* – i.e., student choice. This can be differentiated from **Indicator H-4** which focuses on the collection of feedback from participants regarding their *satisfaction with the quality of program service delivery and their perceptions of program impact*.

<p>G-4</p>	<p>Communication of Participation Expectations to Families Expectations, responsibilities, rules for program participation, and opportunities for family involvement, have been communicated clearly to students' families in all pertinent languages.</p>	<p><input type="checkbox"/> (a) Parent/Family Participation guidelines* <input type="checkbox"/> Guidelines have been published and distributed/ made available* <input type="checkbox"/> Guidelines are translated in all pertinent languages (<i>if applicable</i>) *</p> <p><input type="checkbox"/> (b) Parent Communication documents (e.g. informational flyers, announcements, etc.) * <input type="checkbox"/> Communication docs have been published and distributed/ made available* <input type="checkbox"/> Communications are translated in all pertinent languages (<i>if applicable</i>) *</p> <p><input type="checkbox"/> (c) Meeting records evidencing family orientation process/ verbal discussion with family members explaining the program expectations</p> <p><input type="checkbox"/> (d) Sign-in sheets from the meetings [<i>Related to G-4(c)</i>]</p> <p><input type="checkbox"/> (e) Other:</p>	<p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p>
<p>Advisory Board</p>			
<p>G-5</p>	<p>Membership & Attendance Advisory Board includes a wide array of stakeholders which may include superintendents, school principals, parents, students, program partners, other community members, elected local officials, evaluator, et al. Members regularly attend meetings and actively participate in proceedings.</p>	<p><input type="checkbox"/> (a) Advisory Board - Member Roster(s)* Required: Principal(s), representation from all program partners i.e. participating schools and CBO's, parents, evaluators, and age-appropriate students</p> <p><input type="checkbox"/> (b) Advisory Board attendance records, including names of all attendees with title/roles* (A)</p>	<p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p>
<p>G-6</p>	<p>Meeting Schedule Advisory Board meetings are scheduled in advance and take place at least <i>four times</i> per year.</p>	<p><input type="checkbox"/> (a) Advisory Board Meeting schedule* (A)</p> <p><input type="checkbox"/> (b) Advisory Board Meeting agendas* (A)</p> <p><input type="checkbox"/> (c) Advisory Board Meeting minutes* (A)</p> <p><input type="checkbox"/> (d) Other:</p>	<p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p>
<p>Adult Learning Opportunities</p>			
<p>G-7</p>	<p>Needs Assessment A needs assessment process has been implemented at all sites to help program staff understand & identify families' needs, capacity, and interest in educational programming to support adult literacy.</p>	<p><input type="checkbox"/> (a) Needs Assessment administered to adult family members of participants* (A) <i>Date last administered:</i></p> <p><input type="checkbox"/> (b) Summary of Needs Assessment results/findings* (A)</p> <p><input type="checkbox"/> (c) Action plan or evidence of improvement activities informed by the Needs Assessment</p> <p><input type="checkbox"/> (d) Other:</p>	<p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p>

<p>G-8</p>	<p>Adult Learning Opportunities Program offers families of participants programming to support adult literacy, parenting skills, English as a Second Language, résumé building, financial literacy, etc.</p>	<p><input type="checkbox"/> (a) Schedule of family literacy initiatives that reflect Needs Assessment findings*</p> <p><input type="checkbox"/> (b) Attendance/sign-in sheets from family literacy/adult education events*</p> <p><input type="checkbox"/> (c) Lesson plans for adult education programs/events</p> <p><input type="checkbox"/> (d) Other:</p>	<p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p>
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Section G Comments

H: Measuring Outcomes, Evaluation and Program Sustainability

Indicators of Success		Supporting Documents <i>* indicates required criteria</i>		Compliance		
				FULL	PARTIAL	NOT
Local Evaluator's Responsibility						
H-1	Evaluation Reports & Visits All required elements of local evaluation, as per the Evaluation Manual, have been met.	<input type="checkbox"/> (a) Annual Evaluation Report (due Sept. 30 annually) * <i>Date last submitted:</i> <input type="checkbox"/> (b) Interim Evaluation Report (recommended Feb/March) * <i>Date last submitted to program:</i> <input type="checkbox"/> (c) Evidence of two site visits per site* <i>(e.g., protocol, notes, etc.)</i> <input type="checkbox"/> (d) Other:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Joint Responsibility - Local Evaluator AND Program Administration						
H-2	Evaluability is established and maintained through active collaboration between program manager(s) and the local evaluator.	<input type="checkbox"/> (a) Evaluability Checklist (Year 1) * <i>Date last submitted:</i> <input type="checkbox"/> (b) Up-to-date/annually reviewed Program Logic Model ¹⁹ (Years 2-5) *	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
H-3	Ongoing communication with local program evaluator(s) is maintained including attendance and participation in the Advisory group (<i>also called an Advisory Council, Advisory Board, etc.</i>).	<input type="checkbox"/> (a) Verification of APR data entry submitted on time* <input type="checkbox"/> (b) Correspondence records* <input type="checkbox"/> (c) Evidence of Evaluator attendance and active participation at Advisory group meetings* <i>(e.g., attendance sign-in sheets and agenda/minutes)</i> <input type="checkbox"/> (d) Other:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
H-4	Students' satisfaction and perception of program impact is formally assessed at least once annually for all participants at each program site.* <i>N.B.: Instruments and items related to soliciting student choice in programming are evidence of Indicator G-1</i>	<input type="checkbox"/> (a) Surveys have been administered to all student participants with items assessing <u>both</u> of the following: <input type="checkbox"/> Satisfaction with services provided* <input type="checkbox"/> Perceived impact of the program* <input type="checkbox"/> (b) For program sites serving students who cannot participate in surveys, ²⁰ another method of obtaining this information is employed, if applicable* <i>(e.g., gathering verbal feedback via focus groups, check-ins with participants, etc.)</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

¹⁹ Requirements for the co-creation of a program Logic Model at the end of Year 1, and subsequent annual review of this document, are specified on Page 17 in New York State's 21st CCLC Evaluation Manual: <http://www.p12.nysed.gov/sss/21stCCLC/NYSEvaluationManual.pdf>

²⁰ Students for whom standard, written surveys may not be the most appropriate method to use could include K-3 students, students with learning disabilities, et al.

<p>H-5</p>	<p>Data Driven Program Improvement Formative & Summative Evaluation findings are used to inform continuous program improvement.</p>	<p><input type="checkbox"/> (a) AERs Years 1-5 include actionable recommendations linked to key, implementation and impact evaluation findings*</p> <p><input type="checkbox"/> (b) Action Plans and/or evidence of improvement activities informed by evaluation findings & recommendations* (e.g., notes, minutes, correspondence)</p> <p><input type="checkbox"/> (c) Other:</p>	<p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p>
<p>Program’s Responsibility regarding Evaluation</p>			
<p>H-6</p>	<p>Program Quality Self-Assessment (QSA) is completed at <i>least two times</i> each year and is used to promote ongoing program improvement.</p>	<p><input type="checkbox"/> (a) Completed QSAs*</p> <p><input type="checkbox"/> (b) Dates of QSA Administration*</p> <p><input type="checkbox"/> (c) Meeting(s) to discuss QSA results* (Advisory or other) (e.g., notes, minutes, correspondence)</p> <p><input type="checkbox"/> (d) Action Plans and/or evidence of improvement activities informed by QSA results/ findings* (e.g., notes, minutes, correspondence)</p> <p><input type="checkbox"/> (e) Other:</p>	<p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p>
<p>H-7</p>	<p>Communication of Evaluation Findings Families and community stakeholders at all sites are actively informed about program evaluation. <i>Evaluation findings and/or other collected data are made available to the general public, using at least one of the specified communication methods</i></p>	<p><input type="checkbox"/> (a) Program website communicates Evaluation report and/or summaries</p> <p><input type="checkbox"/> (b) Evidence of evaluation report and/or summaries distributed/presented via another program communication mechanism (e.g., electronic distribution of brochures, use of other media platforms, stakeholder meeting agendas)</p>	<p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p>
<p>H-8</p>	<p>Sustainability Plan A preliminary plan for sustainability is in place or has a long-term plan for sustaining the afterschool program, including multi-year funding plan with diversified sources of funding.</p>	<p><input type="checkbox"/> (a) Written, <i>current</i> Sustainability Plan*</p> <p><input type="checkbox"/> (b) Agreements/MOUs/Contracts</p> <p><input type="checkbox"/> (c) Additional funding efforts</p> <p><input type="checkbox"/> (d) Other:</p>	<p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p>

Section H Comments