

New York State 21stCCLC

Site Monitoring Visit Report

Program Name:

Project Number:

Student Participation Target:

Type of Visit: Virtual In-person

Annual Award Amount:

Visit Date:

SACC program: Yes No

Reviewer(s):

Site(s) Visited:

Date Submitted

Other Site(s) in the program:

to Subgrantee:

Name of Program Director/Manager:

Attendees (Name/Role):

Program Director/Manager Email:

Partnering Agencies:

Summary of actions to be taken:

Date

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

(MM/DD/YY):

Recommendations to Strengthen Practice

Areas that are compliant but need some improvement

Promising Practices

Successful practices observed in this Out of School Time (OST) 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 (CCLC) in New York State. While this document is intended for use by program reviewers, it is also recommended for use by subgrantees 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 Sections (**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 criteria represented under Supporting Documents, and are coded in ascending alphabetical order **[(a)-(g)]**. E.g., **H-2(b)** references Section **H**, Indicator **H-2**, criterion **(b)**.
 - **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, subgrantees 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 subgrantees 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 the required information indicated in the tool. That way, whenever the program is notified that it has been selected to receive a visit, all the required items have already been gathered and are readily accessible during the review process. Depending on when the visit occurs, reviewers may have to review documents for the previous year. If subgrantee does not have specific documentation to substantiate an indicator at the time of visit, they must provide it the next day.
- **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 coordinate 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 clarification 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. 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 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 within two weeks of receiving the report; this Action Plan must identify the specific actions that the program will take to ensure compliance in the areas of greatest need. A member of the TARC support team will follow up with the program on an as-needed basis, to check progress implementing the action plan, and to offer support and resources. The objective is for the program to achieve full compliance expectations within the dates stipulated by the RC's approval of the Action Plan. Once the indicators of success have been substantiated by the subgrantee and verified by the TARC, the TARC will send a letter confirming full compliance.

A: Environment and Climate

Indicators of Success		Supporting Documentation	Compliance		
			Full	Partial	Not
A-1	Effective Supervision of participants is provided by an approved adult at all times.	<input type="checkbox"/> (a) Reviewer observation of staff's supervision practices* <input type="checkbox"/> (b) Other:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
A-2	Security is provided effectively and continuously throughout program hours. Examples of security includes sign-in/out procedures, visitor procedures, designated entrances, security guards, security cameras	<input type="checkbox"/> (a) Reviewer observation of security practices*	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
A-3	Safety Plan & Procedures Approved safety plans ¹ and emergency procedures for all sites have been communicated to staff, family, and participants <i>I.e., procedures for emergency situations, closings, dismissals, locating missing participants, etc.</i>	<input type="checkbox"/> (a) Approved, up to date Safety Plan (A)* <input type="checkbox"/> (b) 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"/>
A-5	Safety Drills are conducted at all sites as required, including evacuations, shelter-in-place, and lockdowns. Drills must occur during the 21 st CCLC program hours. Include current- or prior-year completed drills.	School Year programming: <input type="checkbox"/> (a) Shelter-in-place records* (A) <i>SACC programs: Twice yearly</i> <i>District or CBO high school programs: Once a year</i> <input type="checkbox"/> (b) Evacuation Drills records* (A) <i>SACC programs: Monthly [OCFS LDSS-4439 form]</i> <i>District or CBO high school programs: Twice yearly (fall & spring)</i> <input type="checkbox"/> (c) Lockdown records** (A) <i>SACC programs: None required, but NYSED recommended</i> <i>District or CBO high school programs: Twice yearly (fall & spring)</i> Summer programming (if applicable): <input type="checkbox"/> (d) Evacuation Drill(s) records* (A) <i>SACC programs: Monthly</i> <i>District or CBO high school programs: Twice during summer</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

¹ SACC programs need to have safety plans approved by OCFS/DOH and district-run programs' safety plans need to be approved by district

		<input type="checkbox"/> (e) Lockdown Drill(s) records** (A) <i>SACC programs: None required, but NYSED recommended</i> <i>District or CBO high school programs: Once during the summer</i>			
A-6	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</i>	<input type="checkbox"/> (a) Reviewer observation of at least one of the following: participant arrivals, transitions between activities, and/or departures* <input type="checkbox"/> (b) Sign-in and Sign-out sheets² <input type="checkbox"/> (c) Other:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
A-7	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 ³ and FERPA ⁴ regulations.	<input type="checkbox"/> (a) Sample of completed Enrollment forms⁵ (including health section) * <input type="checkbox"/> (b) Health Documentation (<i>if applicable</i>) ⁶ <input type="checkbox"/> (c) Sample of completed Emergency Care Plans and Medication Administration Record (<i>if applicable</i>) ** <input type="checkbox"/> (d) Individual Health Plans and/or Log of Medication Administration [OCFS-LDSS 7022 and 7004 forms, as needed] *** <input type="checkbox"/> (e) Other:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
A-8	Supportive Environment & Culture of Respect A stimulating, engaging, and welcoming environment is provided for all participants. 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.	<input type="checkbox"/> (a) Reviewer observation of engagement and support provided to participants* <input type="checkbox"/> (b) Reviewer observation of respectful student-to-student and staff-to-student interactions* <input type="checkbox"/> (c) Other:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Section A Notes:

² Sign in and sign out procedures may differ across sites based on age-level groups/programs. Sign out is only required if leaving the program early.
³ Health Information Portability and Accountability Act (HIPAA) regulations: <http://www.p12.nysed.gov/sss/schoolhealth/schoolhealthservices/#HIPAA>
⁴ Family Educational Rights and Privacy Act (FERPA) regulations: <http://www.p12.nysed.gov/sss/schoolhealth/schoolhealthservices/#FERPA> and <https://studentprivacy.ed.gov/resources>.
⁵ For sample and translated enrollment forms, see: <https://www.nys21cclc.org/forms>
⁶ Health Documentation may include healthcare provider's orders, parental consent regarding medication, or Medication Administration Record

B: Program Administration/Organization

Indicators of Success		Supporting Documentation	Compliance		
			Full	Partial	Not
B-1	<p>Recruitment</p> <p>Program is recruiting and serving the specific population of students and their families as identified in the approved grant application.</p>	<input type="checkbox"/> (a) Evidence of recruitment efforts* (e.g., recruitment plan, meeting notes, correspondence records, distribution of promotional materials, etc.) <input type="checkbox"/> (b) Verbal discussion of student selection protocol and program target population <input type="checkbox"/> (c) Other:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
B-2	<p>Attendance</p> <p>Program/Activity schedules and activity rosters for all sites are current, accurate and assigned staff. <i>Schedules should offer a blend of high-quality academic support, including tutoring and or homework help appropriate to the program as well as enrichment opportunities in the arts, recreation and health</i></p>	<input type="checkbox"/> (a) Program/Activity schedule(s) * (A) <input type="checkbox"/> (b) Enrollment rosters for each scheduled activity in EZReports* <input type="checkbox"/> (c) Reviewer observation of staff-student ratios maintained during each activity *** <input type="checkbox"/> (d) Other:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
B-3	<p>EZReports Data Entry</p> <p>Programs are required to enter program participation data, by student, by participation hour, regularly throughout the program year, as often as daily or no less frequently than monthly. The data must be entered by program staff into data system called EZReports. <i>Note: Students ID's must be accurate: 10-digit NYSSIS #s for ROS and 9-digit OSSIS #s for NYC subgrantees)</i></p>	<input type="checkbox"/> (a) EZReports reflects <u>all</u> the following: <input type="checkbox"/> Student enrollment <input type="checkbox"/> Staffing <input type="checkbox"/> Accurate Student ID <input type="checkbox"/> Up-to-date attendance <input type="checkbox"/> Program Contacts are up-to-date <input type="checkbox"/> (b) RC verification of data checks to ensure APR windows can be met* <input type="checkbox"/> (c) Identification of a Data Manager*	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
B-4	<p>Certificates & Licenses</p> <p>All applicable required documents are maintained for program site(s).</p>	<input type="checkbox"/> (a) Insurance certificate* <input type="checkbox"/> (b) Certificate of Occupancy^{7, 8*} <input type="checkbox"/> (c) SACC Registration(s)*** (A) Exp: <input type="checkbox"/> (d) Other:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

⁷ New York City's Certificate of Occupancy (CO) regulations: <https://www1.nyc.gov/site/buildings/homeowner/certificate-of-occupancy.page>

⁸ 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

B-5	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) Agenda and attendance records of annual staff training documenting the communication of expectations for employees, which included a review of safety procedures. Training must occur within 30 days of program start up. New employees who begin after program start up must also receive training. * (A) <input type="checkbox"/> (b) Other:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
B-6	Staff Schedule(s) Current staffing schedule shows days and hours of employment for all program staff along with their title/role in the program.	<input type="checkbox"/> (a) Staff schedule(s)* (A) <input type="checkbox"/> (b) Other:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
B-7	Personnel files are maintained for all staff, including documentation for required fingerprinting of staff. Activity leaders/instructional staff have appropriate work experience in content specific areas that they are facilitating.	<input type="checkbox"/> (a) Sample personnel files May include resume, clearance for background check <input type="checkbox"/> (b) Fingerprinting documentation* <input type="checkbox"/> (c) Volunteer files <input type="checkbox"/> (d) Evidence of at least one staff trained (by an RN, MD, DO, PA or NP) for participants who have orders for Epinephrine Auto Injector and/or Glucagon⁹ (if applicable)** <input type="checkbox"/> (e) Explanation of hiring process and required experience for staff* <input type="checkbox"/> (f) Other:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
B-8	21st CCLC Staff Handbook An updated Staff Handbook specific to the 21 st CCLC program includes the following written policies.	<input type="checkbox"/> (a) Supervision Policy and Procedures * <i>Effective Supervision of participants is provided by an approved adult at all times.</i> <input type="checkbox"/> (b) Security Policy and Procedures* <i>Security is provided effectively and continuously throughout program hours.</i> <i>Examples of security includes sign-in/out procedures, visitor procedures, designated entrances, security guards, security cameras</i> <input type="checkbox"/> (c) Safety procedures* (A) (see indicator A-3)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

⁹ Education law permits schools to train unlicensed persons to administer both medications to students who have orders for such. A school nurse can train the staff.

		<p><i>Approved safety plans¹⁰ and emergency procedures for all sites have been communicated to staff. I.e., procedures for emergency situations, closings, dismissals, locating missing participants, etc.</i></p> <p><input type="checkbox"/> (d) Transition Procedures, including sign in/out and field trip procedures* (see indicator A-6) <i>Transition Procedures are in place to ensure safety and ease during arrival, dismissal, field trips and transitions. These procedures specifically include:</i> <i>(✓) participant sign-in/sign-out,</i> <i>(✓) notification of changes in routine</i></p> <p><input type="checkbox"/> (e) Policy/procedure for reporting harassment, bullying and discrimination* <i>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.</i></p> <p><input type="checkbox"/> (f) Signed acknowledgement page (see indicator B-5)</p>			
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Section B Notes:

¹⁰ SACC programs need to have safety plans approved by OCFS/DOH and district-run programs' safety plans need to be approved by district

C: Fiscal Administration/Organization (based on the Federal Uniform Guidance¹¹)

Indicators of Success		Supporting Documentation	Compliance		
			Full	Partial	Not
C-1	<p>Cooperative Budget Management. Program administration and the fiscal department of the lead agency work together to prepare the budget and monitor spend-down and ensure proper cash management procedures are being followed. (2 CFR §200.308, 200.302)</p>	<p><input type="checkbox"/> (a) Meeting records specifying a planned, cooperative budget discussion between program leaders and fiscal managers*</p> <p><input type="checkbox"/> (b) Other:</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
C-2	<p>Financial Management & Resource Allocation Plan. Financial Management system is in place for identifying and tracking costs that are allocated specifically to the 21st CCLC program.</p> <p><i>Fiscal records are readily available, complete, and up to date. Note: If the annual award amount is \$750,000 or more, a Single Audit must be completed for the year. (2CFR §200.302, 200.501).</i></p> <p>Program administration coordinates 21st CCLC funding with other federal, State, and local programs to effectively utilize public resources.</p> <p><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. (ESEA: 20 U.S.C. 7174(b)(2)(C))</i></p>	<p><input type="checkbox"/> (a) Proof of on time email submission of financial forms:</p> <p><input type="checkbox"/> FS-10* (Annually by May 15)</p> <p><input type="checkbox"/> FS-10-F* (Annually by Sept. 30)</p> <p><input type="checkbox"/> FS-10-A (Annually by March 1)</p> <p><input type="checkbox"/> (b) FS-25*</p> <p><input type="checkbox"/> (c) Accounting System printouts showing allocation of resources.*</p> <p><input type="checkbox"/> (d) Single Audit record (2 CFR Part 200 Subpart F)* <i>(if applicable)</i></p> <p><input type="checkbox"/> (e) Other:</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
C-3	<p>Personnel Time and Effort tracking system is in place.</p> <p><i>I.e., time sheets, payroll records, and Personnel Activity Reports (PARs) are available, complete, and up to date in accordance with federal regulations. (2 CFR §200.430)</i></p>	<p><input type="checkbox"/> (a) Time sheets*</p> <p><input type="checkbox"/> (b) Payroll records*</p> <p><input type="checkbox"/> (c) Personnel Activity Reports (PARs)*</p> <p><input type="checkbox"/> (d) Other:</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
C-4	<p>Equipment Inventory Control system is in place.</p> <p><i>Equipment (including computers) is properly tagged and recorded; a disposal process is in place. (2 CFR §200.313)</i></p>	<p><input type="checkbox"/> (a) Equipment/Inventory tracking record*</p> <p><input type="checkbox"/> (b) Other:</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

¹¹ Based on the Education Department General Administrative Regulations (EDGAR) and [Electronic Code of Federal Regulations: https://www.ecfr.gov/cgi-bin/text-idx?SID=6214841a79953f26c5c230d72d6b70a1&tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl](https://www.ecfr.gov/cgi-bin/text-idx?SID=6214841a79953f26c5c230d72d6b70a1&tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl) .

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

<p>C-5</p>	<p>Fiscal Manual <i>An updated Fiscal Manual contains the following written policies. The program may provide the organization's fiscal manual if it meets all of the 21st CCLC requirements based on EDGAR and includes all of the following policies; otherwise, a fiscal manual specific to 21st CCLC requirements in necessary.</i></p>	<p><input type="checkbox"/> (a) Safeguard Policy documenting appropriate allocation of funds by funding source*. <i>Fund Allocation Safeguard (Supplement, not Supplant) system is in place to ensure that existing funds for a project and its activities are not displaced by federal 21st CCLC funds and reallocated for other organizational expenses. Federal law prohibits recipients of federal funds from replacing/supplanting state, local, or agency funds with federal funds. (ESEA: 20 U.S.C. 7174(b)(2)(G)</i></p> <p><input type="checkbox"/> (b) Internal Control Policy and Procedures documenting program's operating, reporting, and compliance procedures* <i>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. (2 CFR §200.303)</i></p> <p><input type="checkbox"/> (c) Fraud Detection & Prevention Policy and Procedures, including a protocol to report fraud* <i>Fraud Detection & Prevention system is in place to detect, prevent, and mitigate fraud. (2 CFR §200.303)</i></p> <p><input type="checkbox"/> (d) Equipment Inventory Control Policy and Procedures* <i>Equipment Inventory Control system is in place. Equipment (including computers) is properly tagged and recorded; a disposal process is in place. (2 CFR §200.313)</i></p> <p><input type="checkbox"/> (e) Purchasing Policy and Procedures* <i>Procurement/Purchasing Policy is established to guide micro-purchases, small purchases, sealed bids, competitive bids, and non-competitive or "sole source" bids. (2 CFR §200.320)</i></p> <p><input type="checkbox"/> (f) Record Retention Policy and Procedures* <i>Record Retention Policy is established. Note: New York State requires record retention for seven years, which supersedes the current</i></p>	<p><input type="checkbox"/></p>	<p><input type="checkbox"/></p>	<p><input type="checkbox"/></p>
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federal requirement. (2 CFR §200.334)

- (g) **Employee Travel Policy and Procedures***

A travel policy for employees is established. (2 CFR §200.475)

Section C Notes

D: Staffing and Professional Development

	Indicators of Success	Supporting Documentation	Compliance		
			Full	Partial	Not
D-1	<p>21st CCLC Conference Attendance Director and/or program staff attend required fall and spring 21st CCLC conferences.</p> <p><i>If the conference(s) in the current academic year have not yet occurred, please provide evidence of conference attendance for the previous academic year.</i></p> <p><i>When conference sessions occur virtually, the subgrantee must meet webinar attendance requirements.</i></p>	<input type="checkbox"/> (a) Conference attendance records for <u>BOTH</u> fall & spring* <input type="checkbox"/> Fall Conference attendance certificate <input type="checkbox"/> Spring Conference attendance certificate <input type="checkbox"/> (b) Other (e.g., US ED symposium):	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
D-2	<p>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 Out of School Time (OST) best practices is in place and occurs at least twice a program year.</p> <p><i>Providing adequate support, guidance and coaching to staff includes the use of targeted performance feedback.</i></p>	<input type="checkbox"/> (a) Sample of completed staff observation forms (Program Activity Implementation Review (PAIR) or similar)* <i>Check all that apply:</i> <input type="checkbox"/> Fall observation forms <input type="checkbox"/> Spring observation forms <input type="checkbox"/> (b) Other:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
D-3	<p>Collaborative Planning Time Program has designated collaborative planning time (CPT) 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.</p> <p><i>Please note: CPT is not the same as the Advisory Board. The Advisory Board focuses on large scale planning, while CPT focuses on smaller scale/day-to-day planning. Both meetings include program partners.</i></p>	<input type="checkbox"/> (a) Meeting attendance and agendas or notes indicating the presence of representatives from both program and partners* <input type="checkbox"/> (b) Other	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
D-4	<p>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. <i>PD may</i></p>	<input type="checkbox"/> (a) PD event attendance records* <input type="checkbox"/> (b) PD agendas (with learning objectives)* <input type="checkbox"/> (c) Other:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

<p><i>include, but not limited to, instructional practices, lesson planning, Trauma Informed Care, project-based learning, SEL.</i></p> <p><i>PD does not include the required staff orientation or 2^{1st} CCLC Fall and Spring Conferences.</i></p>				
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Section D Notes:

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E: Programming & Activities

Indicators of Success	Supporting Documentation	Compliance		
		Full	Partial	Not
E-1 Support for Students of Special Populations Provides reasonable accommodations including special materials, equipment, and specially designed instruction as necessary for all participants ¹² during the program and at special events.	<i>To be fully compliant, the subgrantee must provide evidence of at least one of the following:</i> <ul style="list-style-type: none"> <input type="checkbox"/> (a) Supplies or equipment used to support students with special needs <input type="checkbox"/> (b) Reviewer observation of the provision of support for students of special populations <input type="checkbox"/> (c) Other: 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
E-2 Academic Enrichment and Additional Services 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. <i>Examples of Active Learning Designs include experiential learning, hands-on learning, project-based learning, and service learning.</i>	<ul style="list-style-type: none"> <input type="checkbox"/> (a) Lesson plans reflect all of the following: <ul style="list-style-type: none"> <input type="checkbox"/> Learning objective(s)* <input type="checkbox"/> Alignment with NYS Learning Standards* <input type="checkbox"/> Reflect SEL guidelines/benchmarks^{13*} <input type="checkbox"/> (b) Programming, as seen through observations, schedules, and lesson plans, reflects all of the following: <ul style="list-style-type: none"> <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* <input type="checkbox"/> Other eligible activities: <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"/>
E-3 Adherence to Program's Grant Proposal	<ul style="list-style-type: none"> <input type="checkbox"/> (a) Verbal conversation about Program Modification requests* (if applicable) 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

¹² 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).

¹³ Social Emotional Learning benchmarks and other guidance are available: <http://www.p12.nysed.gov/sss/sel>.

	Programming aligns with the Template for Goals and Objectives as it appears in proposal and/or <i>NYSED-approved</i> program modifications.	<input type="checkbox"/> (b) Other:			
E-4	<p>Culturally Responsive-Sustaining (CR-S) Education ¹⁴</p> <p>CR-S Education is grounded in a cultural view of learning and human development in which multiple expressions of diversity are recognized and regarded as assets for teaching and learning. Program activities that are intentionally designed to include student voice and choice – as well as designed to encompass the <u>four principals of culturally responsive sustaining education</u>:</p> <ul style="list-style-type: none"> • Welcoming and Affirming Environment • High Expectations and rigorous instruction • Inclusive curriculum and assessment • Ongoing professional learning <p>CR-S Education 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.</p>	<p><i>To be fully compliant, the subgrantee must provide evidence of at least one of the following:</i></p> <p><input type="checkbox"/> (a) Program & activity lesson plans demonstrate adherence to principles and evidence-based practices that support CR-S Education</p> <p><input type="checkbox"/> (b) Reviewer observation of staff's delivery of evidence-based practices that support CR-S Education</p> <p><input type="checkbox"/> (c) Family outreach materials (i.e., flyers, event agendas/plans) reflecting CR-S Education principles and content</p> <p><input type="checkbox"/> (d) Event sign-in sheets</p> <p><input type="checkbox"/> (e) Other:</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
E-5	<p>Student and Family Handbook(s)</p> <p>An updated Student and Family Handbook specific to the 21st CCLC program includes the following written policies.</p> <p>The handbook is translated in all pertinent languages, as applicable. (For more information see indicator referenced in parenthesis)</p>	<p><input type="checkbox"/> (a) Safety Plan & Procedures (see indicator A-3)*</p> <p><i>Approved safety plans and emergency procedures for all sites have been communicated to families and participants</i></p> <p><i>I.e., procedures for emergency situations, closings, dismissals, etc.</i></p> <p><input type="checkbox"/> (b) Policy/procedure for reporting harassment, bullying and discrimination*</p> <p><i>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.</i></p> <p><input type="checkbox"/> (c) Student Code of Conduct with signed acknowledgement page*</p> <p><input type="checkbox"/> (d) Other:</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

¹⁴ Culturally Responsive-Sustaining Education Framework is available as an additional resource: <http://www.nysed.gov/crs>

E-6	Communication of Participation Expectations to Students and Families Expectations, responsibilities, rules for program participation, and opportunities for family involvement, have been communicated clearly to students' families in all pertinent languages.	<input type="checkbox"/> (a) Evidence that the 21 st CCLC Student and Family Handbook (see indicator E-5) has been shared with parents and students within 30 days of program start up annually and/or in alignment with rolling enrollment * (A) (e.g., agendas, assembly dates, sign-in sheets, signed verification forms, etc.) <input type="checkbox"/> (b) Evidence of ongoing family communication (e.g., informational flyers, announcements, etc.) <input type="checkbox"/> (c) Other	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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Section E Notes:

F: Establishes Strong Links to the School Day

Indicators of Success		Supporting Documentation	Compliance		
			Full	Partial	Not
F-1	<p>Communication regarding alignment with school day programming and student progress</p> <p>Activities are aligned with the regular school day content and are coordinated with program and school day staff.</p> <p>Program personnel communicate regularly with school-day staff to remain informed of the academic and behavioral progress of students.</p>	<p><input type="checkbox"/> (a) Evidence of Educational Liaison activity*</p> <p><input type="checkbox"/> (b) Evidence of programming aligned with school day curriculum</p> <p><input type="checkbox"/> (c) Correspondence records demonstrating communication between education liaison and school or program* (i.e., agendas, minutes, notes, etc.)</p> <p><input type="checkbox"/> (d) Other</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
F-2	<p>Communication regarding data</p> <p>Program maintains on-going communication with school administration, helping to ensure a mutually supportive relationship, in order to access all relevant data required for Annual Performance Report (APR) and program evaluation.</p> <p><i>Note: Some programs may need to apply for the required APR data to be released through an Institutional Review Board (IRB).</i></p>	<p>Rest of State:</p> <p><input type="checkbox"/> (a) Meeting records documenting the communication/ contact between program and school-day leaders regarding data*</p> <p><input type="checkbox"/> (b) Institutional Review Board (IRB) approval <i>(if necessary) *</i></p> <p><input type="checkbox"/> (c) Other</p> <p>New York City:</p> <p><input type="checkbox"/> (a) Not applicable</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Section F Notes:					

G: Participation, Engagement, & Partnerships

Indicators of Success		Supporting Documentation	Compliance		
			Full	Partial	Not
Engaging & Communicating with Students					
G-1	<p>Gathering Student Participants' Input about Program Offerings¹⁵</p> <p>Regularly elicits input from participants at all sites to determine programming that matches students' needs and interests.</p>	<p><i>To be fully compliant, the subgrantee must provide evidence of at least one of the following:</i></p> <p><input type="checkbox"/> (a) Student Interest Surveys developed & administered to gather input about program offerings (A)</p> <p><input type="checkbox"/> (b) Focus group protocols & notes documenting discussions with participants to be used to inform program design/activity offerings</p> <p><input type="checkbox"/> (c) Other</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Engaging & Communicating with Families					
G-2	<p>Gathering Family Members' Input about Program Offerings</p> <p>Regularly elicits input from families to inform program decision-making and planning at all sites.</p>	<p><input type="checkbox"/> (a) Parent/Guardian/Family surveys are developed and administered to gather input about program design/activity offerings*</p> <p><input type="checkbox"/> (b) Other</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Advisory Board					
G-3	<p>Advisory Board Membership, Attendance, and Schedule</p> <p>Advisory Board¹⁶ includes a wide array of stakeholders which may include superintendents, school principals, parents, students, program partners, other community members, elected local officials, and evaluator. Members regularly attend meetings and actively participate in proceedings.</p> <p>Advisory Board meetings are scheduled in advance and take place at least <i>four times</i> per year.</p>	<p><input type="checkbox"/> (a) Member roster(s)* (A)</p> <p><i>Includes all of the following:</i></p> <p><input type="checkbox"/> School administration (e.g., principals, teachers, etc.)</p> <p><input type="checkbox"/> Representation from all program partners</p> <p><input type="checkbox"/> Families</p> <p><input type="checkbox"/> Evaluator</p> <p><input type="checkbox"/> Age-appropriate students (middle/high school)</p> <p><input type="checkbox"/> Other</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

¹⁵ **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.*

¹⁶ If subgrantees use other platforms to discuss 21st CCLC programming (e.g. Community School Team/School Leadership Team, etc.) they must show evidence of attendance and/or supporting documentations, such as agenda and meeting minutes that are specific to 21C, as well as attendance representation from 21C partners, 21C evaluator, 21C parents, etc.

		<input type="checkbox"/> (b) Attendance records , including names of all attendees with title/roles* (A) <input type="checkbox"/> (c) Advisory Board Meeting Schedule* (A) <input type="checkbox"/> Advisory Board #1 (July-Sept) <i>Include date/scheduled:</i> <input type="checkbox"/> Advisory Board #2 (Nov-Dec) <i>Include date/scheduled:</i> <input type="checkbox"/> Advisory Board #3 (Feb-Mar) <i>Include date/scheduled:</i> <input type="checkbox"/> Advisory Board #4 (May-June) <i>Include date/scheduled:</i> <input type="checkbox"/> (d) Advisory Board Meeting agendas and/or minutes*			
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Support & Learning Opportunities for Adults

G-4	Support Services & Learning Needs Assessment An annual check-in with adults has been implemented at all sites to help program staff understand & identify families' needs, capacity, and interest in educational programming and support service information.	<input type="checkbox"/> (a) Needs Assessment is administered to adult family members of participants * [e.g., this could take the form of an inventory, survey, individual interviews, focus group] (A) Date last administered: <input type="checkbox"/> (b) Summary of Needs Assessment results/findings* <input type="checkbox"/> (c) Other	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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G-5	Adult Learning Opportunities Program offers opportunities for families that support empowerment, including but not limited to, family literacy, parenting skills, English as a Second Language, résumé building, financial and computer literacy ¹⁷ .	<input type="checkbox"/> (a) Schedule of family educational programming that reflect Needs Inventory findings* [Related to G-5(a)] <input type="checkbox"/> (b) Attendance Records from family events* <input type="checkbox"/> (c) Evidence of sessions' resources/materials for adult education programs/events <input type="checkbox"/> d) Other	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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Section G Notes:

¹⁷ See RFP p. 16 for Eligible Activities

H: Measuring Outcomes, Evaluation, and Program Sustainability

Indicators of Success		Supporting Documentation			Compliance		
					Full	Partial	Not
Joint Responsibility – Local Evaluator AND Program Administration							
H-1	<p>Evaluation Reports & Visits All required elements of local evaluation, as per the Local Evaluation Framework and Timeline, have been met. <i>Include current or prior completed reports.</i></p>	<input type="checkbox"/> (a) Proof of timely email and submission of Annual Evaluation Report (due Sept. 30) * <input type="checkbox"/> (b) 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., AER or fidelity of implementation checklist ¹⁸) <input type="checkbox"/> (c) Evidence of improvement activities informed by recommendations in the AER* <input type="checkbox"/> (d) Proof of timely email and submission of Interim Evaluation Report to program managers (recommended Feb/March annually) * <input type="checkbox"/> (e) Evidence of two site visits per site in each program year* (e.g., observation summary notes; dated memo outlining the protocol used, activities observed, persons interviewed, etc.) <input type="checkbox"/> Site Visit #1 Evidence (Nov-Dec) <input type="checkbox"/> Site Visit #2 Evidence (Mar-May; Point of Service Quality Review) <input type="checkbox"/> (f) Other:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
H-2	<p>Evaluability is established, and Program Fidelity is maintained, through active collaboration between program manager and evaluator. <i>Program Fidelity refers to how well the program, as implemented, adheres to the program's plan described in the NYSED-approved grant application</i></p>	<input type="checkbox"/> (a) Evaluability Checklist (Year 1 only) * Date submitted: <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"/>		

¹⁸ 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.

A sample checklist: <http://www.p12.nysed.gov/sss/documents/LGFidelityChecklistredacted.pdf>

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>

	<i>and program modifications (if applicable).</i>				
H-3	Ongoing communication with local program evaluator(s) is maintained, in addition to attendance and participation in the Advisory Council. <i>[Related to G-5]</i>	<input type="checkbox"/> (a) Correspondence records between the program and evaluator* <input type="checkbox"/> (b) 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>Note: Instruments and items related to soliciting student choice in programming are evidence of Indicator G-1</i>	<input type="checkbox"/> (a) Surveys and/or other sources of feedback, (interviews, focus groups, rap sessions, etc.), as appropriate for the population, have been administered to all student participants with items assessing <u>both</u> of the following: <input type="checkbox"/> Satisfaction with services provided* (Satisfaction indicators focus on the quality of the implementation of the program as experienced by participants – offerings, delivery, interactions with the staff, the space, etc.) <input type="checkbox"/> Perceived impact of the program* (Impact indicators focus on participants' perceptions of their own change as a <u>result</u> of the program – in attitudes, behavior, confidence, self-efficacy, problem solving, schoolwork, etc.)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Program's Responsibility regarding Evaluation					
H-5	Program Quality Self-Assessment (QSA) is completed at <i>least two times</i> each year and is used to promote ongoing program improvement.	<input type="checkbox"/> (a) Completed QSAs* <input type="checkbox"/> (b) Dates of QSA Administration*: <input type="checkbox"/> (c) Meeting(s) to discuss QSA results* (Advisory or other) <i>(e.g., notes, minutes, correspondence)</i> <input type="checkbox"/> (d) Action Plans and/or evidence of improvement activities informed by QSA results/ findings* <i>(e.g., notes, minutes, correspondence)</i> <input type="checkbox"/> (e) Other:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
H-6	Communication of Evaluation Findings Families and community stakeholders at all sites are actively informed about program evaluation. <i>Results of the evaluation must be made available to public upon request, in format that is accessible</i>	<input type="checkbox"/> (a) Evidence of evaluation report and/or summaries being distributed/presented via a communication mechanism.* Check all that apply: <input type="checkbox"/> Program/district/school website <input type="checkbox"/> E-blasts	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

	<p><i>to a lay audience, with public notice of such availability provided and kept continuously up to date using <u>at least one</u> of the specified communication methods.</i></p>	<ul style="list-style-type: none"> <input type="checkbox"/> 21st CCLC school/site bulletin board <input type="checkbox"/> Electronic distribution of brochure <input type="checkbox"/> Use of other media platforms <input type="checkbox"/> Stakeholder meeting agendas <input type="checkbox"/> (b) Other: 			
H-7	<p>Sustainability Plan A preliminary plan for sustainability is in place or there is a long-term plan for sustaining the afterschool program, including multi-year funding plan with diversified sources of funding. The plan should include a plan to sustain the program when there is turnover in key staff positions.</p>	<ul style="list-style-type: none"> <input type="checkbox"/> (a) Verbal discussion about the Sustainability Plan per proposal, including annual updates* <input type="checkbox"/> (b) Partnership Agreements/MOUs/MOAs/Contracts <input type="checkbox"/> (c) Additional funding efforts <input type="checkbox"/> (d) Verbal discussion of preparation/planning for staffing issues in extenuating circumstances <input type="checkbox"/> (e) Other: 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Section H Notes: