

New York State 21stCCLC

Site Monitoring Visit Report

Program Name:

Project Number:

Address:

Visit Date: / /

Reviewer(s):

City/State/Zip:

Site(s) Visited:

Date Submitted to Sub-grantee: / /

Program Director/Manager:

Attendees (Name/Role):

Director Email:

Phone: () -

Summary of actions to be taken: <i>*Based on areas of partial compliance and non-compliance</i>	Date (MM/DD/YY):
	/ /
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	/ /
	/ /

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 (CCLC) 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 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 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. If sub-grantee does not have specific documentation to substantiate an indicator at the time of visit, they have **one week** from the day of visit to submit it to the TARC.
- **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 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 TARC support team will follow up with the program on a 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 six months of the date the report is received as per the Action Plan. Once the indicators of success have been substantiated by the sub-grantee and verified by the TARC, the TARC will send a letter confirming full compliance.

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 ¹ 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"/>

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

<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> <ul style="list-style-type: none"> <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> 	<p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></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>Summer programming (if applicable):</p> <ul style="list-style-type: none"> <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"/> (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> 	<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>	<ul style="list-style-type: none"> <input type="checkbox"/> (a) Written, up-to-date Travel/Logistics Procedures* <input type="checkbox"/> (b) Reviewer observation of at least one of the following: participant arrivals, transitions between activities, and/or departures* <input type="checkbox"/> (c) Sign-in and Sign-out sheets² <input type="checkbox"/> (d) Other: 	<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 ³ and FERPA ⁴ regulations.</p>	<ul style="list-style-type: none"> <input type="checkbox"/> (a) Enrollment forms (including health section) * <input type="checkbox"/> (b) Health Documentation (if applicable) ⁵ <input type="checkbox"/> (c) Emergency Care Plans and Medication Administration Record (if applicable) ** <input type="checkbox"/> (d) Participant/Enrollee Database <input type="checkbox"/> (e) 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 Glucagon⁶ (if applicable) ** <input type="checkbox"/> (f) Other: 	<p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p>

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 Health Documentation may include healthcare provider's orders, parental consent regarding medication, or Medication Administration Record

⁶ 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>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 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>
<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>

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)* (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. ⁷	<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^{8, 9*} <input type="checkbox"/> (c) SACC Registration(s)*** Exp: (A) <input type="checkbox"/> (d) CPR and AED Certification ^{10 **} (A) <input type="checkbox"/> (e) 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) ¹¹ 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 * (A) <input type="checkbox"/> (c) Signed acknowledgment page <input type="checkbox"/> (d) Other:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

⁷ Attendance procedures may differ across sites based on age-level groups/programs.

⁸ New York City's Certificate of Occupancy (CO) regulations: <https://www1.nyc.gov/site/buildings/homeowner/certificate-of-occupancy.page>

⁹ 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

¹⁰ Cardiopulmonary Resuscitation and Automated External Defibrillator; School districts are required by Ed Law Article 19 to have at least one person certified in CPR/AED use, along with an AED at all school sponsored functions in a school building. A district-led SACC program with an OCFS waiver will need to comply with all laws schools are required to follow.

¹¹ New York State Child Day Care Regulations, issued by the Office of Child and Family Services (OCFS):

<https://ocfs.ny.gov/programs/childcare/regulations/>

<p>B-7</p>	<p>Staff Schedule(s) 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"/> (a) Staff schedule(s)* (A)</p> <p><input type="checkbox"/> (b) Other:</p>	<p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></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 and work-related reports*</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) 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 Guidance¹²)

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 notes 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> <i>Note: If the annual award amount is \$750,000 or more, a Single Audit must be completed for the year (see p. 108 of EDGAR 3rd Edition).</i>	<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"/>	<input type="checkbox"/>	<input type="checkbox"/>	
		<input type="checkbox"/> (b)	FS-25* <i>Date(s)/Frequency submitted:</i>				
		<input type="checkbox"/> (c)	Accounting System printouts*				
		<input type="checkbox"/> (d)	Single Audit record (A-133) * (if applicable)				
		<input type="checkbox"/> (e)	Other:				
C-3	Resource Allocation Plan Program administration coordinates 21 st 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>	<input type="checkbox"/> (a)	Resource allocation plans/activities verified by reviewers verbally with fiscal and program leader(s)*	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
		<input type="checkbox"/> (b)	Other:				
C-4	Personnel Time and Effort tracking system is in place. <i>I.e., time sheets, payroll records, and Personnel Activity Reports (PARs)¹³ 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-5	Fund Allocation Safeguard (Supplement, not Supplant)	<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"/>	

¹² Based on the Education Department General Administrative Regulations (EDGAR), 3rd Edition.

¹³ Federal regulations refer to the established accounting practices of the non-federal entity, NYSED.

	<p>system is in place to ensure that existing funds for a project and its activities <u>are not</u> displaced by federal 21st 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></p>	<p><input type="checkbox"/> (b) Other:</p>	
<p>C-6</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* <input type="checkbox"/> (b) Other:</p>	<p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p>
<p>C-7</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* <input type="checkbox"/> (b) Protocol to report fraud* <input type="checkbox"/> (c) Other:</p>	<p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p>
<p>C-8</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* <input type="checkbox"/> (b) Equipment/Inventory tracking record* <input type="checkbox"/> (c) Other</p>	<p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p>
<p>C-9</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* <input type="checkbox"/> (b) Other:</p>	<p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p>
<p>C-10</p>	<p>Record Retention Policy is established. <i>Note: 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* <input type="checkbox"/> (b) Other:</p>	<p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p>
<p>C-11</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* <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) Explanation of hiring process and required experience for staff * <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="checkbox"/> Fall Conference attendance <input type="checkbox"/> 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 Out of School Time (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 ¹⁴ <input type="checkbox"/> (b) Completed PAIRs or similar* <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/program PD)</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

¹⁴ <http://www.p12.nysed.gov/ssss/documents/Program%20Activity%20Implementation%20Review%2005.14.19.pdf>

Section D Comments

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 participants¹⁵ during the program and at special events.</p>	<p><input type="checkbox"/> (a) Accommodation plans (as needed/ required)</p> <p><input type="checkbox"/> (b) Individual Education Plan/Program (IEP)¹⁶</p> <p><input type="checkbox"/> (c) Equipment Inventory includes Special Equipment/facilities to support students with special needs [Related to C-8]</p> <p><input type="checkbox"/> (d) Reviewer observation of the provision of support for students of special populations</p> <p><input type="checkbox"/> (e) Other: (e.g. Behavioral intervention plans, Home Language Questionnaires, 504 plans)</p>	<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>	<p><input type="checkbox"/> (a) Lesson plans reflect <u>all</u> the following:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Learning Objective(s)* <input type="checkbox"/> Alignment with NYS Learning Standards^{17*} <input type="checkbox"/> Reflect SEDL guidelines/benchmarks^{18*} <p><input type="checkbox"/> (b) Programming, as seen through observations, schedules, and lesson plans, reflects all of the following:</p> <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* <ul style="list-style-type: none"> <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:¹⁹ <p><input type="checkbox"/> (c) Reviewer observation of staff's delivery/implementation of activities demonstrate strong adherence/fidelity to the lesson plans*</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

¹⁵ 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).

¹⁶ Instructional and supportive information from the IEP, relative to program activities, may be shared on a "need to know" basis with parental consent.

¹⁷ New York State Next Generation Learning Standards: <http://www.nysed.gov/next-generation-learning-standards>.

¹⁸ 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: <http://www.p12.nysed.gov/sss/sel>.

¹⁹ 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 checklist²⁰)</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) Other:</p>	<p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p>
<p>E-4</p>	<p>Culturally Responsive Education (CRE)²¹ 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</p> <p><input type="checkbox"/> (f) Other:</p>	<p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p>

Section E Comments

²⁰ 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>

²¹ 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 Activities are aligned with the regular school day content and are coordinated with program and school day staff.</p>	<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)</p> <p><input type="checkbox"/> (b) School day curriculum map, scope and sequence</p> <p><input type="checkbox"/> (c) Other:</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
F-2	<p>Communication regarding students' progress 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) Correspondence records demonstrating communication between program and school-day staff including school-day leaders*</p> <p><input type="checkbox"/> (b) Meeting records, e.g.: agendas, minutes, notes, etc.</p> <p><input type="checkbox"/> (c) Other:</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
F-3	<p>Communication regarding data 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 (e.g., test scores, grades, attendance, Office Discipline Referrals, and etc.). <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>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
		<p>New York City:</p> <p><input type="checkbox"/> (a) Not Applicable</p>			

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 Offerings²² 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 Interest 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 [related to A-9(b)] <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 attendance records indicating the presence of families at input-gathering meetings <input type="checkbox"/> (b) Meeting agendas/minutes evidencing the gathering of input from families <input type="checkbox"/> (c) Parent/Guardian surveys are developed and administered to gather input about program design/activity offerings* <input type="checkbox"/> (d) Other:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
G-4	<p>Communication of Participation Expectations to Families Expectations, responsibilities, rules for program participation, and opportunities for family involvement,</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>) *	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		

²² 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>have been communicated clearly to students' families in all pertinent languages.</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>) * <input type="checkbox"/> (c) Meeting records evidencing family orientation process/ verbal discussion with family members explaining the program expectations <input type="checkbox"/> (d) Sign-in sheets from the meetings [Related to G-4(c)] <input type="checkbox"/> (e) Other:</p>	
Advisory Board			
<p>G-5</p>	<p>Membership & Attendance Advisory Board²³ 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)* (A) Required: <input type="checkbox"/> School administration* <input type="checkbox"/> Representation from all program partners* <input type="checkbox"/> Parents* <input type="checkbox"/> Evaluator(s)* <input type="checkbox"/> Age-appropriate students (middle/high school) * <input type="checkbox"/> Other <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) <input type="checkbox"/> (b) Advisory Board Meeting agendas* (A) <input type="checkbox"/> (c) Advisory Board Meeting minutes* (A) <input type="checkbox"/> (d) Other:</p>	<p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p>
Support & Learning Opportunities for Adults			
<p>G-7</p>	<p>Support Services & Learning Needs Inventory 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.</p>	<p><input type="checkbox"/> (a) Check-in process is administered to adult family members of participants* [e.g., this could take the form of an inventory, survey, individual interviews, focus group] (A) <i>Date last administered:</i> <input type="checkbox"/> (b) Summary of inventory results/findings* (A) <input type="checkbox"/> (c) Action plan or evidence of improvement activities informed by the inventory <input type="checkbox"/> (d) Other:</p>	<p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p>

²³ If sub-grantees 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.

<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 Inventory findings* [Related to G-7(b)]</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) * <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., observation summary notes; dated memo outlining the protocol used, activities observed, persons interviewed, etc.)</i> <input type="checkbox"/> Fall Site Visit Evidence <input type="checkbox"/> Spring Site Visit Evidence	<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 Program Fidelity is maintained, through active collaboration between program manager and evaluator. Program Fidelity refers to how well the program, as implemented, adheres to the program's plan described in the NYSED-approved grant application and program modifications (if applicable). <i>Note: Program Fidelity is also evident in E3(a)</i>	<input type="checkbox"/> (a) Evaluability Checklist (Year 1 only) * <i>Date submitted:</i>	<input type="checkbox"/> (b) Up-to-date/annually reviewed Program Logic Model ²⁴ (Years 2-5) *			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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) Verification of APR data entry submitted on time*	<input type="checkbox"/> (b) Correspondence records*	<input type="checkbox"/> (c) 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* <i>(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.)</i>	<input type="checkbox"/> Perceived impact of the program* <i>(Impact indicators focus on participants' perceptions of their own change as a result of the program – in attitudes, behavior, confidence, self-efficacy, problem solving, schoolwork, etc.)</i>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

²⁴ 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>

<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/district 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 Sustainability Plan*</i></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