



**Georgia Department of Education  
21<sup>st</sup> Century Community Learning Centers  
Compliance and Performance Assessment Monitoring Form  
2016-2017**



Georgia Department of Education monitor must not be the same person assigned to provide technical assistance to the subgrantee, nor should reviewer provide the subgrantee during the review process with results or determination of the review.

<b>Program Name:</b>		<b>Cohort FY</b> ___
<b>Fiscal Agent:</b>		<b>Superintendent/CEO:</b>
<b>Program Identification Number:</b>		
<b>Program Director/Manager:</b>		
<b>Participating Program Staff:</b>		
<b>Monitoring ERES:</b>		
<b>Monitoring FA:</b>		
<b>Home ERES:</b>		
<b>Home FA:</b>		
<b>Site(s) Visited:</b>		<b>Date(s) of Monitoring Visit:</b>

See attached document for list of participants and signatures.

1. In the column labeled “**Evidence**” each lettered item is a **required** item unless otherwise indicated.

2. Indicators marked with an asterisk (\*) must include documentation from each site. If there is no asterisk next to the indicator number, then the documentation can cover all sites for the subgrant.

## PROGRAMMATIC RESPONSIBILITIES

I: PROGRAM IMPLEMENTATION				
Indicator #	Compliance Area	Evidence	Compliance Status	Verification Received/Comments/Recommendations
<b>P1</b>	The subgrantee implements a recruitment plan that targets the student population(s) and their families as identified in the approved grant application. Recruitment plan is included in the Staff Handbook and the Parent/Student Handbook	a. Provide artifacts that support the full implementation of the approved recruitment plan. Provide evidence to show how and when this information was communicated to (1) internal (e.g., 21 <sup>st</sup> CCLC employees) and (2) external stakeholders (e.g., parents and students). Acceptable documentation must include at least two of the following: <ul style="list-style-type: none"> <li>• Recruitment flyers</li> <li>• Letters</li> <li>• Meeting Notes</li> <li>• Meeting presentations</li> <li>• Dated meeting agendas with corresponding sign-in sheets</li> </ul>	<input type="checkbox"/> Meets  <input type="checkbox"/> Does Not Meet	
		<b>Pre-Monitoring Activity Conducted by Home ERES</b> Provide copy of recruitment plan. Recruitment Plan narrative for the target population(s) should include students with special needs and private school students. <u>Recruitment plan is included in the Staff Handbook and the Parent/Student Handbook.</u>		<b>Pre-Monitoring Activity (Home ERES)</b>
<b>P2*</b>	The subgrantee implements an aggressive attendance plan or procedures to ensure the targeted number of	<b>Pre-Monitoring Activity Conducted by Home ERES</b> <u>Provide written attendance plan or procedures included in parent/student handbook and staff handbook.</u>	<input type="checkbox"/> Meets  <input type="checkbox"/> Does Not Meet	<b>Pre-Monitoring Activity (Home ERES)</b>

Indicator #	Compliance Area	Evidence	Compliance Status	Verification Received/Comments/Recommendations
	students attend the program on a regular and consistent basis. Attendance plan/procedure or policy is included in the staff handbook and the parent/student handbook.	<p><b>Pre-Monitoring Activity Conducted by Monitoring ERES</b></p> <p>a. ADA is 70% and above for each site. b. Review Afterschool 21 Average Daily Attendance report to verify on-target level of attendance (All Sites/Reports/District Monitoring/ADA Summary Report. Select 8/22/16 and date the report is run, then select “Count school days open only” and “Limit last day of attendance to data range”).</p>		<p><b>Pre-Monitoring Activity (Monitoring ERES)</b></p>
<b>P3*</b>	The subgrantee provides the number of hours of programming per week to targeted students as described in the approved grant application.	<p><b>Pre-Monitoring Activity Conducted by Home ERES</b></p> <p>Provide weekly programming schedule for each individual site</p> <p><b>Pre-Monitoring Activity Conducted by Monitoring ERES</b></p> <p>View hours of operation in Cayen Afterschool 21.</p>	<input type="checkbox"/> Meets  <input type="checkbox"/> Does Not Meet	<p><b>Pre-Monitoring Activity (Home ERES)</b></p> <p><b>Pre-Monitoring Activity (Monitoring ERES)</b></p>
<b>P4*</b>	The subgrantee utilizes academic activities designed to increase student performance.	<p>a. Provide a complete list and description of implemented activities and curriculum materials used to support Math and English Language Arts</p> <p>b. Provide a complete list and description of implemented activities and curriculum materials used to support other academic subjects. If not applicable, please provide written statement.</p>	<input type="checkbox"/> Meets  <input type="checkbox"/> Does Not Meet	

Indicator #	Compliance Area	Evidence	Compliance Status	Verification Received/Comments/Recommendations
<b>P5*</b>	The subgrantee provides a broad array of enrichment activities that complement the regular academic program of the targeted population identified in the approved grant application.	a. Provide complete list and description of implemented student enrichment activities	<input type="checkbox"/> Meets <input type="checkbox"/> Does Not Meet	
<b>P6</b>	The subgrantee adheres to the staff-to-student ratio as described in the approved grant application.	<b>Pre-Monitoring Activity Conducted by Home ERES</b>  Compare site visit forms staff-to-student ratio information gathered to the ratio(s) described in the approved grant application.	<input type="checkbox"/> Meets <input type="checkbox"/> Does Not Meet	<b>Pre-Monitoring Activity (Home ERES)</b> Verify staff-to-student ratio information
<b>P7*</b>	The subgrantee provides activities for participant families focusing on literacy and related education services, as described in the approved grant application.	a. Provide a current calendar and/or schedule of events for families for each site b. Provide parent/family activity sign-in sheets and agendas (other than orientation) c. Provide <u>one or more</u> of the following artifacts. Must correspond with sign-in sheets and relate to literacy and educational services: <ul style="list-style-type: none"> <li>• Newspaper/public service announcements</li> <li>• Parent letters or invitations</li> <li>• Flyers</li> </ul> Note: If activity is co-sponsored by another program, then the 21 <sup>st</sup> CCLC <u>and</u> the other program name must be listed on the artifacts.	<input type="checkbox"/> Meets <input type="checkbox"/> Does Not Meet	

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<p><b>P8*</b></p>	<p>The subgrantee provides services and appropriate accommodations to children with special needs and is encouraging their active and equal participation in the program as described in their approved grant application and Funding Request Worksheet.</p>	<p>a. Provide the number of students with IEPs served by the program. Numbers should be listed by site. <b>(Student IEPs should not be provided.)</b></p> <p>b. Provide list of accommodations and/or modifications provided by site during program hours with special needs students</p> <p>c. See recruitment compliance area in P1 to ensure students with special needs are included</p>	<p><input type="checkbox"/> Meets</p> <p><input type="checkbox"/> Does Not Meet</p>	
		<p><b>Pre-Monitoring Activity Conducted by Monitoring ERES</b> View Cayen AfterSchool 21 Report (Sub-grant/site/district admin 1/Search Tab/Find Records/View Report/Print Demographics Report. Note number of special ed. students).</p>		<p><b>Pre-Monitoring Activity (Monitoring ERES)</b></p>
<p><b>P9</b></p>	<p>The subgrantee provides equitable opportunities for the participation of both public and private school students in the geographic area served by the grant. Opportunities for consultation with private school officials are provided.</p>	<p>a. Provide list of private schools located within the geographic area served by the grant</p> <p>b. Provide proof of consultation, occurring within the first 60 days of program operation, to/with private schools with <u>one or more</u> of the following pieces of evidence:</p> <ul style="list-style-type: none"> <li>• Certified mail receipts</li> <li>• Sign-in sheets and agenda from consultation meetings</li> </ul> <p>c. See recruitment and attendance compliance areas in P1 and P2 to ensure private school students are included</p>	<p><input type="checkbox"/> Meets</p> <p><input type="checkbox"/> Does Not Meet</p> <p><input type="checkbox"/> Not Applicable (no private schools within demographic area)</p>	
<p><b>P10</b></p>	<p>The subgrantee provides activities and services that align with the goals and objectives, as described in the approved grant application.</p>	<p>a. Provide the most recently approved program goals and objectives</p> <p>b. See program activities provided in P4 and P5</p>	<p><input type="checkbox"/> Meets</p> <p><input type="checkbox"/> Does Not Meet</p>	

Indicator #	Compliance Area	Evidence	Compliance Status	Verification Received/Comments/Recommendations
<p><b>P11*</b></p> <p>The subgrantee has developed written procedures and/or protocols to effectively manage the program and has made these available to all stakeholders.</p>		<p>a. Provide evidence to show how and when this information was communicated to (1) internal (e.g., 21st CCLC employees) and (2) external stakeholders (e.g., parents and students). Acceptable documentation must include at least one of the following:</p> <ul style="list-style-type: none"> <li>• Dated meeting agenda with corresponding sign-in sheets</li> <li>• Meeting minutes</li> <li>• Signed acknowledgement page from handbooks</li> </ul>	<input type="checkbox"/> Meets  <input type="checkbox"/> Does Not Meet	
		<p><b>Pre-Monitoring Activity Conducted by Home ERES</b> Provide written procedures and/or protocols as published in student/parent handbook and staff handbook. Review handbooks to ensure written procedures and/or protocols are included.</p>		<p><b>Pre-Monitoring Activity (Home ERES)</b></p>
<p><b>P12</b></p> <p>The subgrantee enters all data into Cayen After-School 21 in a timely manner, complies with all GaDOE data entry requirements, and meets all data deadlines as prescribed by GaDOE.</p>		<p><b>Pre-Monitoring Activity Conducted by Monitoring ERES</b></p> <p>a. No Cayen After School 21 red flags are present (with the exception of Objectives).</p> <p>b. Data entered into After School 21 is complete, up to date, and accurate. View After-School 21 Report (Sub-grant/all sites/district admin 1/Reports/District Monitoring/District Site Summary Report/View Report).</p>	<input type="checkbox"/> Meets  <input type="checkbox"/> Does Not Meet	<p><b>Pre-Monitoring Activity (Monitoring ERES)</b></p>

## II: STAFFING

Indicator #	Compliance Area	Evidence	Compliance Status	Verification Received/Comments/Recommendations
<b>P13</b>	The subgrantee ensures that all staff, volunteers, and contractors who come in regular contact (more than once) with program participants have current national criminal background checks that have cleared the subgrantee's hiring process. A copy of the subgrantee's hiring policy/protocol is included in the staff handbook, which includes a statement outlining the action taken when a background check has questionable results.	a. The Human Resources department, must provide a signed letter stating access to copies of current national criminal background checks is not permitted and provide documentation specifying: <ul style="list-style-type: none"> <li>• each staff member and their position</li> <li>• date of their last national criminal background check</li> <li>• date of clearance or no clearance</li> </ul>	<input type="checkbox"/> Meets  <input type="checkbox"/> Does Not Meet	
		<b>Pre-Monitoring Activity Conducted by Home ERES</b> Provide copy of hiring policy/protocol <u>included in staff handbook</u> used to determine employment eligibility upon completing the background check requirement. This should include a statement outlining the steps taken when a background check comes back with questionable results.		Pre-Monitoring Activity (Home ERES)
		<b>Pre-Monitoring Activity Conducted by Monitoring ERES</b> View Cayen AS21 report (Sub-grant/all sites/district admin1/Reports/Staff/Staff Background Checks/APR Year: 2016-2017/All Sites/View Report). During monitoring, ERES will compare report to evidence presented.		Pre-Monitoring Activity (Monitoring ERES)
<b>P14*</b>	The subgrantee provides professional learning opportunities to staff. Program Director provides a written professional learning plan	a. Provide dated training agenda and corresponding sign-in sheets b. Provide one or more of the following artifacts: <ul style="list-style-type: none"> <li>• Needs assessments</li> <li>• Training materials from</li> </ul>	<input type="checkbox"/> Meets  <input type="checkbox"/> Does Not Meet	

Indicator #	Compliance Area	Evidence	Compliance Status	Verification Received/Comments/Recommendations
	that is included in the staff handbook.	<p>professional learning sessions</p> <p>Professional learning opportunities are unique to 21<sup>st</sup> CCLC staff and applicable to the 21<sup>st</sup> CCLC program</p>		
		<p><b>Pre-Monitoring Activity Conducted by Home ERES</b></p> <p>Provide professional learning plan/schedule for the year and summer (if summer is applicable) <u>included in staff handbook</u></p>		<p><b>Pre-Monitoring Activity (Home ERES)</b></p>
<p><b>P15*</b></p>	<p>Program director develops a written plan for conducting and documenting regularly occurring classroom observations, formal mid-year, and formal end-of-year evaluations of all instructional staff and ensures these observations/evaluations are done. Feedback is given to staff on a regular basis (minimum of two instances) for continuous performance improvement. The evaluation plan is included in the staff handbook.</p>	<p>a. Provide copies of <u>completed</u> informal classroom observation forms</p> <p>b. Provide copies of <u>completed formal</u> mid-year evaluations with feedback that supports continuous improvement</p> <p>c. Provide a sample of the formal end-of-year evaluation instrument to be used for staff evaluations</p>	<p><input type="checkbox"/> Meets</p> <p><input type="checkbox"/> Does Not Meet</p>	
		<p><b>Pre-Monitoring Activity Conducted by Home ERES</b></p> <p>Provide a current, written copy of classroom observation, formal mid-year and formal end-of-year evaluation plan <u>included in the staff handbook</u>. Plan should specify who completes observations and evaluations, how often, and when they will be completed.</p>		<p><b>Pre-Monitoring Activity (Home ERES)</b></p>



### III: COMMUNICATION

Indicator #	Compliance Area	Evidence	Compliance Status	Verification Received/Comments/Recommendations
<b>P16*</b>	See Compliance Areas A-D below	<p><b>Pre-Monitoring Activity Conducted by Home ERES</b> Provide a written communication plan that incorporates sections A-D of compliance area. Each of the four sections should be easily identifiable within the plan and must be <u>included in the Staff Handbook</u>.</p> <p>Note: If no ELL students/families currently participate, the program must still include a communication plan within the written communication plan for ELL students/families should they enroll.</p>	<input type="checkbox"/> Meets  <input type="checkbox"/> Does Not Meet	<b>Pre-Monitoring Activity (Home ERES)</b>
	A. The subgrantee uses a formal process for regular and effective communication between <u>school day instructional staff and 21<sup>st</sup> CCLC instructional staff</u> to coordinate the academic instructional component of the approved program.	<p>a. Include <u>one or more</u> of the following artifacts:</p> <ul style="list-style-type: none"> <li>• Sample of standard reoccurring correspondence (routine emails, notes, letters, anecdotal information, etc.) that clearly support the academic instructional component of the program</li> <li>• Meeting schedules or calendars</li> <li>• Dated meeting agenda with corresponding sign-in sheet</li> <li>• Dated meeting minutes</li> </ul> <p>Note: Each artifact should be labeled 16A - Day teacher and 21<sup>st</sup> CCLC teacher with specific site name.</p>		
	B. The subgrantee <u>program director and site coordinator(s)</u> communicate regularly and effectively with <u>school principal(s) and administration</u> to coordinate resources and use of school facilities and the implementation of the	<p>a. Include <u>one or more</u> of the following artifacts:</p> <ul style="list-style-type: none"> <li>• Sample of standard reoccurring correspondence (routine emails, notes, letters, anecdotal information, progress reports etc.)</li> <li>• Meeting schedules or calendars</li> <li>• Dated meeting agenda with corresponding sign-in sheet</li> </ul>		

	<p>goals and objectives of the program.</p>	<ul style="list-style-type: none"> <li>• Meeting minutes</li> </ul> <p>Note: Each artifact should be labeled 16B – Principal and Program Director with specific site name.</p>		
	<p>C. The <u>subgrantee</u> regularly and effectively communicates with <u>parents/guardians</u> of participating students about their behavior, experiences, successes, and challenges.</p>	<p>a. Include <u>one or more</u> of the following artifacts:</p> <ul style="list-style-type: none"> <li>• Sample of standard reoccurring correspondence (routine emails, notes, letters, anecdotal information, etc.)</li> <li>• Meeting schedules or calendars</li> <li>• Dated meeting agenda with corresponding sign-in sheet</li> <li>• Dated meeting minutes</li> </ul> <p>Note: Each artifact should be labeled 16C and specific site name.</p>		
	<p>D. The <u>subgrantee</u> provides regular and effective communication to <u>parents/guardians with limited English proficiency</u> in modes that are appropriate and easily understood (if applicable).</p>	<p>a. Include <u>one or more</u> of the following artifacts:</p> <ul style="list-style-type: none"> <li>• Sample of standard reoccurring correspondence (routine emails, notes, letters, anecdotal information, etc.)</li> <li>• Meeting schedules or calendars</li> <li>• Dated meeting agenda with corresponding sign-in sheet</li> <li>• Dated meeting minutes</li> </ul> <p>If no ELL student/families currently participating, the program must provide a document stating no ELL students are currently participating in program.</p> <p>Note: Each artifact should be labeled 16D and specific site name.</p>		

**IV: COLLABORATION AND SUSTAINABILITY**

<b>Indicator #</b>	<b>Compliance Area</b>	<b>Evidence</b>	<b>Compliance Status</b>	<b>Verification Received/Comments/Recommendations</b>
<b>P17</b>	The subgrantee ensures the integration of existing collaborating groups/partners – parents, community members, Advisory Council members, volunteers, and social services agencies/organizations – in the planning and evaluation of the 21 <sup>st</sup> CCLC program, as described in the approved application. Must hold at least two Advisory Council meetings per year, with at least one occurring prior to the monitoring visit.	Provide the following evidence corresponding with at least one Advisory Council meeting: a. Meeting announcements b. Dated agendas and minutes c. Dated sign-in sheets	<input type="checkbox"/> Meets  <input type="checkbox"/> Does Not Meet	
<b>P18</b>	The subgrantee utilizes an updated sustainability plan to increase collaboration and community support, beyond the initial approved grant application. The program uses a wide variety of methods to identify and secure material, financial and human resources.	<b>Pre-Monitoring Activity Conducted by Home ERES</b> Provide written and updated sustainability plan. An updated plan lists or describes new actions unique to FY17	<input type="checkbox"/> Meets  <input type="checkbox"/> Does Not Meet	<b>Pre-Monitoring Activity (Home ERES)</b>

**V: HEALTH/SAFETY/NUTRITION**

Indicator #	Compliance Area	Evidence	Compliance Status	Verification Received/Comments/Recommendations
P19	The subgrantee provides safe and appropriate facilities that are accessible to students and their families and can safely accommodate the number of students, families, and activities identified in the approved grant application.	<b>Pre-Monitoring Activity Conducted by Home ERES</b>	<input type="checkbox"/> Meets <input type="checkbox"/> Does Not Meet	<b>Pre-Monitoring Activity (Home ERES)</b>
P20	The subgrantee provides plans for safely transporting or escorting students to or from program sites and/or activities, and includes those plans in the Parent/Student handbook and Staff handbook	a. If non-traditional school buses are being used to transport students provide: <ul style="list-style-type: none"> <li>• A list of current drivers</li> <li>• National criminal background check clearance date of driver</li> <li>• Current driver qualifications</li> <li>• Current driver training and date(s) of training</li> <li>• Current vehicle maintenance records</li> </ul>	<input type="checkbox"/> Meets <input type="checkbox"/> Does Not Meet	
		<b>Pre-Monitoring Activity Conducted by Home ERES</b> Provide written student transportation plan or policy for the 21 <sup>st</sup> CCLC program that must be <u>included in the student/parent handbook and staff handbook</u> .		<b>Pre-Monitoring Activity (Home ERES)</b>

Indicator #	Compliance Area	Evidence	Compliance Status	Verification Received/Comments/Recommendations
		<b>Pre-Monitoring Activity Conducted by Monitoring ERES</b> If traditional school buses are used, annual GaDOE self-assessment completion by Superintendent must be completed and noted in Consolidated Application		<b>Pre-Monitoring Activity (Monitoring ERES)</b>
<b>P21*</b>	The subgrantee has written procedures for authorized student pick-up and drop-off and has included this information in the parent/student and staff handbooks.	a. Provide copies of completed sign-in and/or sign-out forms per site	<input type="checkbox"/> Meets  <input type="checkbox"/> Does Not Meet	
		<b>Pre-Monitoring Activity Conducted by Home ERES</b> Written procedures/policies for student pick-up/drop-off are included in student/parent and staff handbooks. Provide copies of student/parent handbooks.		<b>Pre-Monitoring Activity (Home ERES)</b>
<b>P22*</b>	The subgrantee maintains updated emergency student and staff contact information in an easily accessible central location and at each program site.	a. Provide brief narrative or statement referencing where student and staff emergency contact information is kept at each site for easy accessibility b. Provide sample completed student emergency contact information forms for each site c. Provide sample completed staff emergency contact information forms for each site. (This is contact information whereby staff's family members may be contacted in case of emergency.)	<input type="checkbox"/> Meets  <input type="checkbox"/> Does Not Meet	

Indicator #	Compliance Area	Evidence	Compliance Status	Verification Received/Comments/Recommendations
<p><b>P23*</b></p>	<p>The subgrantee has clear standards for student behavior, has written policy/plan/protocol for student discipline, and has communicated this policy/plan/protocol to students, all staff, and parents.</p>	<p>a. Provide sample copies of completed student discipline records by site</p> <p>b. Provide evidence to show how and when this information was communicated to (1) internal (e.g., 21st CCLC employees) and (2) external stakeholders (e.g., parents and students) <u>within 60 days of the grant award</u>. Acceptable documentation must include at least two of the following:</p> <ul style="list-style-type: none"> <li>• Dated meeting agendas with corresponding sign-in sheets</li> <li>• Meeting minutes</li> <li>• Signed acknowledgement page for parent/student handbook</li> <li>• Signed acknowledgement page for staff handbook</li> </ul>	<p><input type="checkbox"/> Meets</p> <p><input type="checkbox"/> Does Not Meet</p>	
		<p><b>Pre-Monitoring Activity Conducted by Home ERES</b></p> <p>Provide copy of behavior management plan <u>included in parent/student handbook and staff handbook</u>.</p>		<p><b>Pre-Monitoring Activity (Home ERES)</b></p>
<p><b>P24*</b></p>	<p>The subgrantee has a written emergency preparedness plan that is program/site specific to program operating hours/times and has shared this plan with students, parents and staff.</p>	<p>a. Provide evidence to show how and when emergency preparedness plan was communicated to (1) internal (e.g., 21st CCLC employees) and (2) external stakeholders (e.g., parents and students) <u>within 60 days of the grant award</u>. Acceptable documentation must include at least two of the following:</p> <ul style="list-style-type: none"> <li>• Dated meeting agendas with corresponding sign-in sheets</li> <li>• Meeting minutes</li> <li>• Signed acknowledgement page for parent/student handbook</li> <li>• Signed acknowledgement page for staff handbook</li> </ul>	<p><input type="checkbox"/> Meets</p> <p><input type="checkbox"/> Does Not Meet</p>	

Indicator #	Compliance Area	Evidence	Compliance Status	Verification Received/Comments/Recommendations
		<p><b>Pre-Monitoring Activity Conducted by Home ERES</b>            Provide copy of emergency preparedness plan, specific to program operating hours, for each site <u>included in the student/parent handbook and staff handbook.</u></p>		<p><b>Pre-Monitoring Activity (Home ERES)</b></p>
<p><b>P25*</b></p>	<p>The subgrantee conducts regularly (at least 2 drills each semester) scheduled safety drills during program hours to include fire, tornado/inclement weather, and lockdown drills. It is recommended that one fire drill, one tornado drill, and one lockdown drill be conducted each semester.</p>	<p>a. Provide copies of safety drill logs from each site with the type of drill conducted and dates and times that are specific to program operation hours</p>	<p><input type="checkbox"/> Meets  <input type="checkbox"/> Does Not Meet</p>	
<p><b>P26*</b></p>	<p>See Compliance Areas A-B below.</p>	<p><b>Pre-Monitoring Activity Conducted by Home ERES</b>            a. Provide copy of child abuse reporting procedures <u>included in staff handbook.</u>            b. Provide copy of sexual harassment reporting procedures <u>included in staff handbook.</u></p>	<p><input type="checkbox"/> Meets  <input type="checkbox"/> Does Not Meet</p>	<p><b>Pre-Monitoring Activity (Home ERES)</b></p>

Indicator #	Compliance Area	Evidence	Compliance Status	Verification Received/Comments/Recommendations
	A. The subgrantee has written procedures for mandated reporting of <b>child abuse</b> and ensures compliance with procedures for mandated reporting of child abuse. The subgrantee has informed program staff of these procedures/protocols and has included the child abuse reporting procedures/protocols in the staff handbook.	<p><b>Section A:</b></p> <p>a. Provide evidence to show how and when the procedures were communicated to program staff <u>within 60 days of the grant award</u>. Acceptable documentation must include at least two of the following:</p> <ul style="list-style-type: none"> <li>• Dated meeting agendas with corresponding sign-in sheets</li> <li>• Meeting minutes</li> <li>• Signed acknowledgement page for staff handbook</li> </ul>		
	B. The subgrantee has written procedures for mandated reporting of <b>sexual harassment</b> and ensures compliance with procedures for mandated reporting of sexual harassment. The subgrantee has informed program staff of these procedures/protocols and has included the sexual harassment procedures/protocols in the staff handbook.	<p><b>Section B:</b></p> <p>a. Provide evidence to show how and when the procedures were communicated to program staff <u>within 60 days of the grant award</u>. Acceptable documentation must include at least two of the following:</p> <ul style="list-style-type: none"> <li>• Dated meeting agendas with corresponding sign-in sheets</li> <li>• Meeting minutes</li> <li>• Signed acknowledgement page for staff handbook</li> </ul>		
<b>P27</b>	The subgrantee utilizes an Acceptable Usage Policy for students and staff to include internet usage, the transmission of any inappropriate material, and violation of copyright. The Acceptable Usage Policy is included in the parent/student handbook	<p><b>Pre-Monitoring Activity Conducted by Home ERES</b></p> <p>Provide copy of Acceptable Usage Policy <u>included in student/parent handbook and staff handbook</u></p>	<input type="checkbox"/> Meets  <input type="checkbox"/> Does Not Meet	<b>Pre-Monitoring Activity (Home ERES)</b>



Indicator #	Compliance Area	Evidence	Compliance Status	Verification Received/Comments/Recommendations
	and staff handbook.			
<b>P28*</b>	The subgrantee provides nutritious snacks to participating students.	a. Provide copy of snack menus per site	<input type="checkbox"/> Meets <input type="checkbox"/> Does Not Meet	

### VI: PROGRAM EVALUATION

Indicator #	Compliance Area	Evidence	Compliance Status	Verification Received/Comments/Recommendations
<b>P29</b>	The subgrantee utilizes information collected through program evaluation in decision making and program revision for the purpose of continuous improvement.	a. Program <u>revisions</u> based upon the FY16 June summative evaluation results are documented by one or more of the following: <ul style="list-style-type: none"> <li>• Meeting notes detailing recommendations and/or revisions to program</li> <li>• Written correspondence/notes regarding program revisions</li> <li>• Approved program amendments of program revisions based on summative evaluation outcomes</li> </ul> b. Continuous program or academic <u>revisions</u> are documented by one or more of the following: <ul style="list-style-type: none"> <li>• Revisions based upon results of report cards, test scores, student progress reports, and periodic</li> </ul>	<input type="checkbox"/> Meets <input type="checkbox"/> Does Not Meet	

		<p>assessment results of student performance. Documentation may include meeting notes, data results/revisions, written correspondence regarding program revisions, and approved program amendments</p> <ul style="list-style-type: none"> <li>• If available, revisions based upon results of the FY17 formative evaluation such as meeting notes, written correspondence regarding program revisions, and approved program amendments based on formative evaluation recommendations.</li> </ul>		
<b>P30</b>	<p>Evaluation results (formative, summative, and/or other periodic evaluations such as report cards and surveys) and recommendations are regularly and effectively communicated to staff, partners, parents, students, and other stakeholders.</p>	<p>a. Provide <u>one or more</u> of the following supporting artifacts:</p> <ul style="list-style-type: none"> <li>• Notifications of <u>most recent</u> evaluation results (formative/summative evaluations, report card results, surveys) to staff, partners, students, stakeholders</li> <li>• Newsletter articles containing <u>most recent</u> evaluation results</li> <li>• Letters communicating <u>most recent</u> evaluation results</li> <li>• <u>Most recent</u> evaluation results posted on website</li> <li>• Agendas and/or sign in sheets to communicate <u>most recent</u> evaluation results to stakeholders</li> </ul>	<p><input type="checkbox"/> Meets</p> <p><input type="checkbox"/> Does Not Meet</p>	

## FISCAL RESPONSIBILITIES

### VII: MANAGEMENT & ACCOUNTABILITY

Indicator #	Compliance Area	Evidence	Compliance Status	Verification Received/Comments/Recommendations
<b>F1</b>	<p><u>Board acceptance</u> The subgrantee assumes responsibility and support for the 21<sup>st</sup> CCLC program and documents official acceptance of grant award on a <u>yearly basis</u>.</p>	<p>Provide:</p> <p>a. Minutes of meetings with official acceptance of <u>current year</u> award (indicated by subgrant name and dollar amount) by Board of Education (LEAs) or Board of Directors (Non-LEAs). Meeting must occur after State Board of Education approval on July 14, 2016, but no later than November 30, 2016.</p>	<p><input type="checkbox"/> Meets</p> <p><input type="checkbox"/> Does Not Meet</p>	
<b>F2</b>	<p><u>Internal Controls</u> The subgrantee establishes clear written policies and procedures to ensure sufficient internal controls to comply with federal grants management compliance. Provide copies of official written policy/procedures.</p> <p>Subgrantee maintains adequate segregation of fiscal duties in relation to purchase and payment processes (to the extent possible based on the number of staff).</p>	<p>Provide:</p> <p>a. Flowcharts that demonstrate segregation of duties and show which positions are responsible for performing these tasks. GaDOE staff to determine that at least two employees are required to complete tasks listed in the compliance area</p> <p>b. Written cash management procedures</p> <p>c. Written allowability procedures</p> <p>d. Written conflict of interest policy</p> <p>e. Written travel policy</p> <p>f. Written nepotism policy</p>	<p><input type="checkbox"/> Meets</p> <p><input type="checkbox"/> Does Not Meet</p>	
<b>F3</b>	<p><u>Reporting of fraud, waste, abuse, and non-compliance</u> The subgrantee has</p>	<p>Provide:</p> <p>a. Published policy or procedures for reporting fraud, waste, abuse,</p>	<p><input type="checkbox"/> Meets</p>	

Indicator #	Compliance Area	Evidence	Compliance Status	Verification Received/Comments/Recommendations
	developed, implemented, and <u>clearly communicated</u> a policy that clearly defines the process stakeholders must use to report fraud, waste, abuse, or noncompliance of goods and services purchased with 21 <sup>st</sup> CCLC program funds.	<p>or noncompliance in (1) student/parent <b>and</b> (2) staff handbooks</p> <p>b. Evidence showing how and when this information was communicated to (1) internal (e.g., 21<sup>st</sup> CCLC employees) <b>and</b> (2) external stakeholders (e.g., parents, partners).</p>	<input type="checkbox"/> Does Not Meet	
<b>F4</b>	<p><u>Program income</u> The subgrantee has written policies and procedures to identify and record program income correctly.</p> <p>Program income includes, but is not limited to income from fees for services performed, the use of personal property acquired with grant funds, and the sale of commodities or items fabricated under a grant agreement.</p>	<p>Provide:</p> <p>a. Written approval from GaDOE for the current year allowing program to charge fees/tuition/generate income of any kind</p> <p>b. Policy and procedures for the collection of program income and how the income will be used. Program income may be used in one of three methods: 1) deducted from outlays, 2) added to the project budget, or 3) used to meet matching requirements</p> <p>c. General ledger report or other documentation summarizing the amount of program income that has been collected and utilized since the beginning of the fiscal year to the most recent month closed</p>	<input type="checkbox"/> Meets <input type="checkbox"/> Does Not Meet <input type="checkbox"/> Not applicable (Subgrantee has not generated any program income)	
<b>F5</b>	<p><u>Reporting</u> Subgrantee's most recent 21<sup>st</sup> CCLC completion report</p>	<p>Provide:</p> <p>a. Most recent completion report</p>	<input type="checkbox"/> Meets <input type="checkbox"/> Does Not Meet	

Indicator #	Compliance Area	Evidence	Compliance Status	Verification Received/Comments/Recommendations
	reconciles to their financial records.	submitted to GaDOE b. General ledger report (for the same time period as the most recent completion report submitted to GaDOE), which shows all 21 <sup>st</sup> CCLC expenditures c. If the amounts in item (a) and item (b) are different, provide documentation demonstrating “a” has been reconciled with “b”.		

**VIII: LEVEL OF EFFORT – SUPPLEMENT NOT SUPPLANT**

Indicator #	Compliance Area	Evidence	Compliance Status	Verification Received/Comments/Recommendations
<b>F6</b>	<u>Level of effort – supplement not supplant</u> The subgrantee uses 21 <sup>st</sup> CCLC funds to supplement other funding sources. If other funding sources provided similar services in previous year(s), current level of services must have increased in proportion to the level of 21 <sup>st</sup> CCLC program’s share.	Note: Examples of instances where it is presumed that supplanting has occurred: a. Subgrantee used Federal funds to provide services that the subgrantee was required to make available under other Federal, state, or local laws b. Subgrantee used Federal funds to provide services that the subgrantee provided with non-Federal funds in the prior year If any of the above situations occur, subgrantee must provide: a. Current year general ledger report showing all expenditures from all fund sources b. Prior year general ledger showing all expenditures from all fund sources c. Other documentation as needed	<input type="checkbox"/> Meets <input type="checkbox"/> Does Not Meet <input type="checkbox"/> Not applicable (no indications that supplanting has occurred)	

**IX: PROCUREMENT AND SUSPENSION AND DEBARMENT**

Indicator #	Compliance Area	Evidence	Compliance Status	Verification Received/Comments/Recommendations
<p align="center"><b>F7</b></p>	<p><u>Procurement</u> The subgrantee shall use procurement procedures that conform to all applicable laws, regulations, and standards. Provide copies of official written policies and procedures.</p>	<p>Provide:</p> <ul style="list-style-type: none"> <li>a. Written procurement procedures</li> <li>b. Written method for conducting technical evaluations of proposals and selecting recipients</li> <li>c. Documentation which shows that the procurement procedures for competitive processes, if applicable, are followed for 21<sup>st</sup> CCLC purchases</li> <li>d. For payments made to contractors provide a copy of the contract used to pay the contractors. Determine if the services are adequately documented and necessary for the program. Determine if the rates paid to the contractors are reasonable</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Meets</li> <li><input type="checkbox"/> Does Not Meet</li> </ul>	
<p align="center"><b>F8</b></p>	<p><u>Suspension and debarment</u> The subgrantee is prohibited from contracting with or making sub-awards under covered transactions to parties that are suspended or debarred or whose principals are suspended or debarred.</p>	<p>Provide:</p> <ul style="list-style-type: none"> <li>a. Evidence, such as a printout or screenshot, which shows that the subgrantee checked the System for Award Management (www.sam.gov) website before doing business with a vendor or contractor</li> <li>b. Evidence which shows that the subgrantee checked the State's suspended and debarred suppliers list</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Meets</li> <li><input type="checkbox"/> Does Not Meet</li> </ul>	

**X: PERSONNEL**

Indicator #	Compliance Area	Evidence	Compliance Status	Verification Received/Comments/Recommendations
<b>F9</b>	<u>Support of Salaries, Wages, and Benefits</u> Subgrantee adheres to all applicable laws, policies and procedures for personnel hired to work on 21 <sup>st</sup> CCLC program funds.	Provide the necessary time and effort documentation, as appropriate: <ol style="list-style-type: none"> <li>a. Timesheets</li> <li>b. Semi-annual certifications</li> <li>c. Personnel activity reports (PARs) or equivalent</li> </ol> Please note all documentation must be signed, dated, and completed after-the-fact and represent the actual activity of each employee. Please refer to section VIII, G “Salaries, Wages, and Benefits” of the FY17 Subgrantee Operations Manual for more information.	<input type="checkbox"/> Meets  <input type="checkbox"/> Does Not Meet	

**XI: EQUIPMENT MANAGEMENT**

Indicator #	Compliance Area	Evidence	Compliance Status	Verification Received/Comments/Recommendations
<b>F10</b>	<u>Equipment Management – Assets not Capitalized (inventory)</u> The subgrantee’s policies and procedures cover the management and disposition of inventory, property and equipment, including highly pilferable equipment, acquired with 21 <sup>st</sup> CCLC program funds of items with a useful life of more than a year and under \$5,000 per unit but tracked on their asset inventory.	Provide: <ol style="list-style-type: none"> <li>a. Written equipment management procedures</li> <li>b. Documentation that the subgrantee has recorded the following information on the equipment:                             <ul style="list-style-type: none"> <li>• A description of the property</li> <li>• A serial number or other identification number</li> <li>• The source of funding</li> <li>• Title holder</li> <li>• The acquisition date</li> <li>• The cost of the property</li> </ul> </li> </ol>	<input type="checkbox"/> Meets  <input type="checkbox"/> Does Not Meet  <input type="checkbox"/> Not applicable (subgrantee has not purchased any equipment)	

		<ul style="list-style-type: none"> <li>• The percent allocated to the source</li> <li>• The location</li> <li>• The condition of the property</li> </ul> <p>c. During the on-site examination (if applicable) physically inspect a random sample of equipment to ensure that the subgrantee is following their policies and procedures and that the equipment is being used in the 21<sup>st</sup> CCLC program.</p>		
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**XII: GaDOE PRE-MONITORING REVIEW- For GaDOE use only**

Indicator #	Compliance Area	Evidence	Compliance Status	Verification Received/Comments/Recommendations
<b>F11</b>	<u>Allowable Cost/Unallowable Costs</u> Subgrantee has spent 21 <sup>st</sup> CCLC funds only on activities allowed under the grant. Grant awards may be used to carry out a broad array of out-of-school activities that advances student academic achievement. Except where otherwise authorized by statute, costs must meet the following general criteria in order to be allowable under federal awards: <ul style="list-style-type: none"> <li>• Be necessary, reasonable, and allocable</li> <li>• Conform with federal law and grant terms</li> <li>• Be consistent with state and local policies</li> <li>• Be accorded consistent treatment</li> <li>• Be in accordance with</li> </ul>	Review: <p>a. For expenditures that have incurred and have been submitted for reimbursement and review documentation to determine if the cost is consistent with policies and procedures that apply uniformly to both federally financed and other activities of the subgrantee.</p> <p>b. Grant awards may be used to carry out a broad array of before and after school activities that advance student academic achievement including:</p> <ul style="list-style-type: none"> <li>• Remedial education activities and academic enrichment learning programs</li> <li>• Mathematics and science education activities</li> <li>• Arts and music education activities</li> <li>• Entrepreneurial education programs</li> </ul>	<input type="checkbox"/> Meets  <input type="checkbox"/> Does Not Meet	



Indicator #	Compliance Area	Evidence	Compliance Status	Verification Received/Comments/Recommendations
	GAAP <ul style="list-style-type: none"> <li>• Not included as match</li> <li>• Be adequately documented</li> <li>• Be net of applicable credits</li> </ul>	<ul style="list-style-type: none"> <li>• Tutoring services and mentoring programs</li> <li>• Programs that provide after school activities for limited English proficient students</li> <li>• Recreational activities</li> <li>• Telecommunications and technology education programs</li> <li>• Expanded library service hours</li> <li>• Programs that promote parental involvement and family literacy</li> <li>• Programs that provide assistance to students who have been truant, suspended, or expelled to allow students to improve their academic achievement</li> <li>• Drug and violence prevention programs, counseling programs, and character education programs.</li> </ul>		
F12	<u>Non-LEAs Only:</u> The subgrantee submitted required documentation in accordance with terms and conditions of the grant, award letter, and program specific assurances.	Review: <ol style="list-style-type: none"> <li>a. Fidelity Bond</li> <li>b. Liability Insurance</li> </ol>	<input type="checkbox"/> Meets <input type="checkbox"/> Does Not Meet <input type="checkbox"/> Not applicable (LEA)	

**PARTICIPANTS AND SIGNATURES - FY17 MONITORING**

**Program Name:** \_\_\_\_\_ **Date:** \_\_\_\_\_

NAME	TITLE	ORGANIZATION	SIGNATURE

## REFERENCES & RESOURCES

21<sup>ST</sup> CCLC FY17 Subgrantee Operational Manual

<http://www.gadoe.org/School-Improvement/Federal-Programs/Pages/21st-Century-Community-Learning-Centers.aspx>

21<sup>ST</sup> CCLC Non-Regulatory Guidance:

<http://www2.ed.gov/programs/21stcclc/guidance2003.pdf>

2 C.F.R. Part 200 - Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards

<http://www.ecfr.gov/>

Financial Management for Georgia LUAs Manual

<http://www.gadoe.org/Finance-and-Business-Operations/Financial-Review/Pages/LUAS-Manual.aspx>

Regulations:

<http://www2.ed.gov/policy/elsec/leg/esea02/pg55.html>

State Board of Education Rules:

<http://www.gadoe.org/External-Affairs-and-Policy/State-Board-of-Education/SBOE%20Rules/160-5-2-.23.pdf> (160-5-2-23)

The Office of Business and Management

<https://www.whitehouse.gov/omb>