

Nita M. Lowey 21st Century Community Learning Centers Program Kentucky Monitoring Processes

All forms of monitoring may be conducted as announced or unannounced.
Monitoring serves to ensure compliance and to identify areas that require additional support and technical assistance.

GRANT	TIMELINE	PROCESS	DESCRIPTION
1st Year Cycle	Sept/Oct of first year	Technical Assistance visit	On-site w/observation Interviews with program staff Walk-through of TA Tool
2nd Year Cycle	Feb/March of second year	On-site Compliance Monitoring visit	On-site Full day Program Observation Interviews (district personnel, school administrators, teachers, parents, students, program staff, co-applicant, other school staff, and other grant partners) Review of Programmatic and Financial Documentation Walk-through of Monitoring Tool Corrective Action Plan
3rd Year Cycle	6 Months Prior end of 3 rd Year	Continuation Progress Report	KDE Review of Report Determines 4 th & 5 th year funding
4th & 5th Year Cycles	June	Risk Assessment	Program Director and/or Site Coordinator Experience/years Program Attendance Reporting Requirements Unspent Funds Training Attendance Communication Finance Previous Compliance Findings

Nita M. Lowey 21st Century Community Learning Centers Program Kentucky Monitoring Processes

All forms of monitoring may be conducted as announced or unannounced.
Monitoring serves to ensure compliance and to identify areas that require additional support and technical assistance.

All Grants	Quarterly/Weekly/Daily	Quarterly Reimbursement Requests (QRR) Purchase Requests Technology Requests Budget Amendments Program Amendments Technical Assistance	QRR and full MUNIS report demonstrating spending per quarter. QRR includes salaries, fringe, travel, purchases, supplies/equipment, contractual, transportation, and other.
All Grants	Annually	Center Profile Review	KDE Review of Site Data
All Grants	Annually	Training Attendance	The KDE ensures grantees are present during required trainings.
10 Sites Selected by SEA	Annually	Quality Site Visit Center for Evaluation, Policy, and Research (CERP)	Site visits include a site coordinator interview lasting about an hour and includes questions about activities, links to the school day, and partnerships with parents, the school, and the community. Visits also include a brief interview with a school day teacher to get their perspective on the program's communication efforts and its impact on students. Finally, visits include an observational component in which we observe homework help and all other activities that are offered that day.

Nita M. Lowey 21st Century Community Learning Centers Program Kentucky Monitoring Processes

All forms of monitoring may be conducted as announced or unannounced.
Monitoring serves to ensure compliance and to identify areas that require additional support and technical assistance.

●Technical Assistance (TA) Visit (2-3 months first year of programming)

New grantees and grantees that have not had funding for more than six months, receive a technical assistance visit that includes interviews, documentation review, and program observation. Progress towards goals and objectives is discussed. The Exit Interview addresses any concerns and recommendations. Grantees receive a report of the visit to address any concerns prior to their On-Site Visit in the fall. The visit will cover the following areas:

- | | |
|-------------------------------|---|
| -Attendance | -Summer Programming |
| -Fiscal | -Goals & Objectives progress |
| -Partnerships & Collaboration | -Sustainability |
| -Parents & Families | -Program challenge |
| -Student Ratio | -Program needs |
| -Staff Development | -Program observation |
| -Program Design | -Final report includes Strengths, |
| -Program Hours | Recommendations, and Required Actions (if |
| -Data Entry | applicable) |
| -Activities | |

●On-Site Compliance Monitoring Visit (February/March 2nd year of programming)

Monitoring visit will cover state and federal requirements of the 21st CCLC program and verify compliance with items included within the approved application such as assurances and expenditures. Monitoring not only serves to ensure compliance, but also provides a means to identify areas that require additional support and technical assistance. The visit will include interviews with program staff, school leadership, teachers, parents, students, community partners, the co-applicant, and other school staff. The visit will cover the following:

- Attendance
- Fiscal
- Partnerships & Collaboration
- Parents & Families
- Student Ratio
- Staff Development
- Program Design
- Program Hours
- Data Entry
- Activities
- Summer Programming
- Goals & Objectives progress

Nita M. Lowey 21st Century Community Learning Centers Program Kentucky Monitoring Processes

All forms of monitoring may be conducted as announced or unannounced.
Monitoring serves to ensure compliance and to identify areas that require additional support and technical assistance.

- Sustainability
- Program observation
- Other type of assistance or training needs
- Final report addresses Strengths, Recommendations, and Required Actions (if applicable)

●Continuation Progress Report (CPR) (6 months prior to end of third year programming)

The Continuation Progress Report is a form that must be completed during the third year of the grant cycle at least six months prior to accessing fourth year funds. Failure to complete the report within the time frame listed will result in a delay and possible forfeiture of fourth- and fifth-year funding. This report goes to the state administrator/consultants for review and approval. The purpose of this report is to show progress made in the first three years of the 21st Century Community Learning Center under full funding and to present the sustainability plan for years 4 and 5.

Grantees must respond to the following:

- Ability to demonstrate substantial progress has been made toward meeting the stated goals and objectives, in measurable terms, focused on increasing student academic achievement, as stated in the original grant application within the first three years.
- Describe programmatic changes to implement during years four and five that address goals that have not been met.
- Demonstrate how the program will maintain the scope of the original level of programs and services to the same number of students at reduced grant allocation in the fourth and fifth years.
- Submit a budget template for years four and five demonstrating reduced funding amounts.

●Quarterly Reimbursement Requests (QRRs) - The QRR form is used to request reimbursement for services rendered during each quarter of operation. Submitted quarterly, the request must include financial spending on salary, travel, supplies, equipment, contractual, professional development, field trips, and transportation. Reports are reviewed for correct spending codes, allowable expenditures, and required approvals. The program office reviews QRRs.

●Center Profile - The Center Profile summarizes data collection by staff at the program level during the given APR year (i.e., summer and school year), including:

Nita M. Lowey 21st Century Community Learning Centers Program Kentucky Monitoring Processes

All forms of monitoring may be conducted as announced or unannounced.

Monitoring serves to ensure compliance and to identify areas that require additional support and technical assistance.

- Program characteristics
- Program length
- Staffing
- Attendance summary
- School year attendance
- At-risk detail
- Attendance by grade level/hour bands
- Program outcomes
- Assessment Data Reading/Math
- GPA (unweighted)
- School Day Attendance
- In-School Suspensions
- Engagement in Learning (Teacher/Staff surveys)
- K-3 Reading Intervention
- Academic activities
- Transition Readiness activities
- Enrichment activities
- Adult Skill-Building activities
- Family Engagement activities
- Character Education activities
- Remote or Virtual support and activities
- Program location
- Number of parent/guardian and/or family members who attended activities
- Number of community partners
- Number of school day teachers (paid/volunteer)
- Number of K-3 students receiving reading interventions and met benchmarks
- Summer programming

●**Risk Assessment** – The KDE maintains an EXCEL list of grantees and areas of non-compliance, identified through the TA Visit and the On-site Compliance Monitoring Visit. Because grantees

Nita M. Lowey 21st Century Community Learning Centers Program Kentucky Monitoring Processes

All forms of monitoring may be conducted as announced or unannounced.
Monitoring serves to ensure compliance and to identify areas that require additional support and technical assistance.

are formally monitored the first three years of programming, the KDE completes a risk assessment for years four and five with the risk assessment tool. Based on findings, the following processes are determined: increased technical assistance, on-site visit, or corrective action plan. The KDE also uses finding to refine grantee trainings, make changes to the RFA, improve guidance documentation, and review how we provide technical assistance overall. Risk categories are outlined below:

Risk Category	Definition	Evidence	Assigned Point Value
Program Director and/or Site Coordinator	While not always the case, probability suggests that someone new to a position/district/role is in greater need of technical assistance and more likely to make errors when administering a program or navigating systems unique to a new district. While not always the case, coordinators that serve multiple roles within the district have higher workloads.	Less than two years' experience Part-time site coordinator School Day teacher Turnover District office staff	20pts.
Program Attendance	Attendance is a strong indicator of student interest in programs and activities. Based on state and federal guidelines, the effectiveness of the grant program is measured by the number of regular attendees, and research finds that	Number of regular attendees ADA & morning attendance	20pts

Nita M. Lowey 21st Century Community Learning Centers Program Kentucky Monitoring Processes

All forms of monitoring may be conducted as announced or unannounced.
Monitoring serves to ensure compliance and to identify areas that require additional support and technical assistance.

	more days and years of active participation in after-school programming leads to better student outcomes.		
Reporting Requirements	When required reporting is not submitted promptly it demonstrates that the fiscal agent is not continuously tracking relevant programmatic data to meet state reporting requirements. Therefore, negatively impacting progress toward performance goals, indicators, and outcomes.	None/late Federal APR Inventory Center Profile Summer Plans Continuation Progress Report TA prior documentation Compliance Self-Assessment	10pts
Unspent Funds	A lack of timely spending, as outlined in the awarded application budget, is an indicator of risk and demonstrates a lack of internal and financial controls.	Quarterly balances 50% or more funds	20pts
Training Attendance	Attendance at 21st CCLC training ensures districts, schools, community, and faith-based organizations are up to date on requirements and other necessary information.	Training registration and attendance Technical assistance	10pts

Nita M. Lowey 21st Century Community Learning Centers Program Kentucky Monitoring Processes

All forms of monitoring may be conducted as announced or unannounced.
Monitoring serves to ensure compliance and to identify areas that require additional support and technical assistance.

Communication	When 21st CCLC state-level staff must email a grantee numerous times to get a response, this is an indicator of risk, and negatively affects direct services to students.	Email Phone	10pts
Finance	Not adhering to state and federal spending guidelines demonstrates a lack of fiscal responsibility and program oversight.	Adhering to spending guidelines (Contractual agreements, quarterly reimbursement requests, purchases, technology, budget amendments, prior approval)	10pts
Previous Compliance Findings	The fiscal agent had issues identified during monitoring that resulted in the program being non-compliant.	CAP over timeline	10pts
Site Coordinator Turnover	Turnover leads to the loss of experienced and trained staff who understand the requirements and goals of the program. RFA Assurance 6 - The fiscal agent must designate an alternate person to ensure there is no lapse in programming. The alternate person must submit required reporting, complete data entry, and meet	In-house program contact list RFA Assurances	10pts

**Nita M. Lowey 21st Century Community Learning Centers Program
Kentucky Monitoring Processes**

All forms of monitoring may be conducted as announced or unannounced.
Monitoring serves to ensure compliance and to identify areas that require additional support and technical assistance.

	<p>all state and federal requirements as outlined in the RFA.</p> <p>Before the departure of the site coordinator, the fiscal agent must ensure all pertinent information is accessible for the alternate person. This must include a copy of the grant application, inventory list, program schedule, training timeline, CAYEN access for data entry, list of all program staff, advisory council meeting schedule and minutes, partners, USDA snack program, and distribution of snacks to participants.</p>		
--	--	--	--