Oklahoma State Department of Education
21st Century Community Learning Centers
Compliance Monitoring Tool

☐ Program is in compliance and no further action is required.

☐ Compliance/Improvement Plan is required.
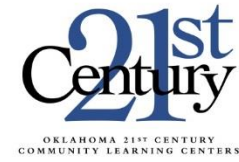
Date of Site Visit: _____   Grantee: _____   Co/Dist/Site Code: _____

Superintendent: _____   Program Director: _____

Site Visited: _____   Site Coordinator: _____

Site Visited: _____   Site Coordinator: _____

Number of sites funded: _____   Number of active sites: _____

Projected Number of students: _____   Average Attendance: _____

Grant Amount: _____   Expenditures to Date: _____

Audit issues corrected: _____   Non-district Independent Audit copy provided: ☐ Yes   ☐ No

_____
Program Director

_____
Date

Monitoring Summary

I certify that documentation has been received or observed and the areas in need of improvement have been corrected, therefore, the program is now deemed to be in compliance.

Certified by:

_____
State Monitor

_____
Print Name

_____
Date

Staff Comments:

Name: _____ Position: _____

Staff Comments:

Name: _____ Position: _____

Student Comments:

Name: _____ Grade: _____

Student Comments:

Name: _____ Grade: _____

Partner Comments:

Name: _____ Organization: _____

Position: _____ Phone: _____ Email: _____

Partner Comments:

Name: _____ Organization: _____

Position: _____ Phone: _____ Email: _____

Monitoring of the 21st Century Community Learning Center (CCLC) grants is a mandate of the United States Department of Education (USDE) and an element of the Oklahoma 21st CCLC Evaluation System. This Monitoring Tool is used by the 21st CCLC State Educational Agency (SEA) during site monitoring visits to evaluate program compliance and management of programming. It is also hoped that this tool is used as a "checklist" for programs in developing high quality afterschool programs.

Monitoring

The monitoring visit will take place over two days. On the first day, the monitor will meet with the program director/site coordinator to review the monitoring tool and observe the program in progress. On day two, the program director and monitor will meet to discuss the results of the monitoring visit and if necessary, create a compliance/improvement plan. The meeting will also include at least one member of each of the following groups: advisory committee, partner, afterschool staff, federal programs, and school leadership.

Preparation for the visit:

- Print the monitoring tool prior to your monitoring visit. Examine the tool and indicate the documentation you have for each item. Include comments to explain how your program meets each requirement. Please consider the monitoring items honestly as the purpose of the tool is to identify how your program can be strengthened. If you find items that may have been overlooked in your program, comment that you don't meet that requirement and consider how those items can be addressed in the future. The monitor will complete the check boxes.
- Schedule the follow-up meeting for day 2 and ensure that all persons listed above are able to attend.
- Prepare supporting documentation for the state monitor to examine. Suggested documentation is provided in the tool.
- Prepare copies of the following for the monitor to include in your file at the SEA office: program schedule, and a list of non-disposable inventory.
- Alert afterschool staff and students that someone will be coming to observe. Let them know to carry on as normal and they are welcome to talk to us or answer questions if we ask them any.

Day one of the monitoring visit:

- The monitor will arrive at the site approximately two hours prior to the beginning of the afterschool program. This time will be spent with the program director/site coordinator reviewing the monitoring document and discussing the program.
- During the afterschool program, the monitor should be given a schedule and map of classrooms and have the freedom to observe the classes and activities of their choice.
- At the end of the day, the monitor will meet briefly with the program director/site coordinator to clarify any questions and to confirm the time and location of the follow-up meeting.

Day two of the monitoring visit:

- The monitor will arrive for the follow-up meeting at the scheduled time and place. This time will be spent reviewing the completed monitoring tool and discussing the monitor's observations. If areas of non-compliance are realized, a compliance/improvement plan will be written during that time. Other invited members from the advisory committee, partners, staff, federal programs, and leadership will collaborate, offer suggestions, and provide resources for strengthening and advancing the program.

If you have any questions, please contact your SEA coordinator, Andrea Hohlier at andrea.hohlier@sde.ok.gov or Jasmine Vasilev at jasmine.vasilev@sde.ok.gov.

A. PROGRAM STRUCTURE AND PROCEDURES

	Grant Requirement	Source	Suggested Documentation	Compliance	Comments
A1	The grantee has designed a staffing plan that yields a student-to-staff ratio that is appropriate for each activity, employs qualified, experienced staff members, and produces minimal staff turnover.	Federal Guidance E-1, F-6 Grant Application	• Attendance sheets • Activity schedule and descriptions • Other:	☐ Compliant ☐ Progressing ☐ Non-Compliant	
A2	Program staff is in place and conducting activities as per approved application and job descriptions.	State Guidance	• Personnel applications • Job descriptions • Timesheets • Other:	☐ Compliant ☐ Progressing ☐ Non-Compliant	
A3	All project staff members receive professional development in program purpose, goals, policies and procedures; active and experiential learning techniques; and a minimum of 5 local, state, and/or national afterschool-specific professional development opportunities.	Federal Guidance E-1 State Guidance	• Staff handbook • Staff meeting agendas/notes • Professional development log • Professional development certificates • Other:	☐ Compliant ☐ Progressing ☐ Non-Compliant	
A4	The program director/coordinator or designated representative participates in all required state meetings and trainings.	Federal Guidance E-1, H-2, H-6 State Guidance	• Meeting sign-ins • Meeting agendas • Other:	☐ Compliant ☐ Progressing ☐ Non-Compliant	
A5	Staff and volunteers are aware of and follow the Federal guidelines prohibiting religious activities during federally-funded program activities.	Federal Guidance F-15	• Staff handbook • Staff meeting agendas/notes • Other:	☐ Compliant ☐ Progressing ☐ Non-Compliant	
A6	All paid staff and volunteers who regularly interact with student participants have appropriate background checks.	Federal Guidance B-1 State Guidance Grant Assurances	• Background Check • District policy • Other:	☐ Compliant ☐ Progressing ☐ Non-Compliant	
A7	All snacks and meals that are provided meet USDA guidelines. Child Nutrition programs are used if possible.	Federal Guidance F-6, B-5 Grant Application	• Meal/snack menus • Reimbursement documentation • Meal/snack count • Other:	☐ Compliant ☐ Progressing ☐ Non-Compliant	
A8	Emergency contact and health information for students and staff is maintained and up-to-date in an easily accessible but secure central location.	Federal Guidance F-3, F-6 Grant Application	• Contact information • Consent/Permission forms • Student/Staff health information • Other:	☐ Compliant ☐ Progressing ☐ Non-Compliant	

A. PROGRAM STRUCTURE AND PROCEDURES – CONTINUED

	Grant Requirement	Source	Suggested Documentation	Compliance	Comments
A9	The grantee has adopted an emergency readiness plan specific to the afterschool program that includes staff training and drills, and has provided notice of this plan to families.	Federal Guidance F-3, F6 Grant Application	• Emergency Plan • Staff meeting notes • Safety drill log • Correspondence to families • Parent handbook • Other: ____	☐ Compliant ☐ Progressing ☐ Non-Compliant	
A10	The grantee follows established procedures for authorized student pick-ups and has provided notice of these procedures to staff and families.	Federal Guidance F-3, F-10 Grant Application	• Parent release form • Sign-in/sign-out sheets • Student release policy • Other: ____	☐ Compliant ☐ Progressing ☐ Non-Compliant	
A11	Vehicles used for transportation are safely maintained and inspected on a regular basis.	Federal Guidance F-10 Grant Application	• Inspection records • District policy • Outside carrier policy • Other: ____	☐ Compliant ☐ Progressing ☐ Non-Compliant	

B. PROGRAM IMPLEMENTATION AND EFFECTIVENESS

	Grant Requirement	Source	Suggested Documentation	Compliance	Comments
B1	The grantee has identified and actively recruited the targeted population to ensure that those PK-12 students most in need are being served.	Federal Guidance D-1, F-4 Grant Application State Guidance	• Recruitment plans and activities • Enrollment and attendance records • Program handbook • Other:	☐ Compliant ☐ Progressing ☐ Non-Compliant	
B2	The grantee demonstrates that all equitable access to and equitable participation in the program's activities is conducted in compliance with applicable federal civil rights laws, including Title VI of the Civil Rights Act of 1964, Section 504 of the Rehabilitation Act of 1973, Title IX of the Education Amendments of 1972, the Age Discrimination Act of 1975.	Federal Guidance G-4	• Enrollment policies • Hiring policies • Other:	☐ Compliant ☐ Progressing ☐ Non-Compliant	
B3	The grantee provides services that are equally accessible to all students targeted for services, regardless of location, transportation, or their ability to pay. The program is as accessible as a public school, safe transportation to and from the program has been addressed, and a sliding scale is used if fees are charged for the program.	Federal Guidance F-10, G-14 State Guidance	• Policies for serving all students • Parent handbooks • Sliding Scale document • Activity fee printout • Other:	☐ Compliant ☐ Progressing ☐ Non-Compliant	
B4	The grantee employs both an effective marketing strategy that results in the program and its achievements being well known and respected, and celebrating of student achievement by showcasing student work within the school and to the wider community. All materials include recognition of 21st CCLC funds.	Federal Guidance F-3 State Guidance Grant Application	• Flyers, letters to parents • Marketing plan • Newspapers/newsletters • Other:	☐ Compliant ☐ Progressing ☐ Non-Compliant	
B5	The grantee communicates its goals and objectives to staff, participants, families of the students, and the community.	Federal Guidance F-3	• Handbooks • Meeting minutes/agendas • Program handouts/flyers • Newspaper articles • Other:	☐ Compliant ☐ Progressing ☐ Non-Compliant	

B. PROGRAM IMPLEMENTATION AND EFFECTIVENESS - CONTINUED

	Grant Requirement	Source	Suggested Documentation	Compliance	Comments
B6	The grantee is providing the number of hours of programming as described in the original grant during non-school hours (a minimum of 10 hours per week).	Federal Guidance F-11 State Guidance Grant Application	• Calendar and schedule of activities • Parent handbooks and promotional materials • Enrollment information • Other:	☐ Compliant ☐ Progressing ☐ Non-Compliant	
B7	The grantee implements an attendance policy that emphasizes the importance of regular attendance for students to reap the benefits of the extended learning time, staff to maintain accurate records, and should spell out the expectations for both the students and the parents.	Federal Guidance F-6, F-11	• Written policies/handbooks • Attendance records • Contact log • Other:	☐ Compliant ☐ Progressing ☐ Non-Compliant	
B8	The grantee has a formal process for regular and effective communication with school day staff regarding students' academic and behavioral progress and how they can provide individualized assistance and supplement regular school educational activities.	Federal Guidance G-8, H-8 State Guidance	• Communication plan • Meeting schedules/notes • Correspondence • Other:	☐ Compliant ☐ Progressing ☐ Non-Compliant	
B9	Program enrichment and activities reflect the goals outlined in the original grant application, and are aligned with the school's improvement strategies.	Federal Guidance F-2, F-6, G-1, G-8	• Lesson/activity plans, with specific grant goals and objectives • Descriptions of activities • Other:	☐ Compliant ☐ Progressing ☐ Non-Compliant	
B10	The grantee is implementing the evidence-based academic and enrichment activities described in the original grant application (or approved amendments) that meet the *Principles of Effectiveness* and support but are different from the regular school day activities.	Federal Guidance B-2, F-6, G-1, G-8	• Activity schedules and descriptions • Other:	☐ Compliant ☐ Progressing ☐ Non-Compliant	

B. PROGRAM IMPLEMENTATION AND EFFECTIVENESS - CONTINUED

	Grant Requirement	Source	Suggested Documentation	Compliance	Comments
B11	The program offers a broad array of services, programs, and activities, based on scientific research (if appropriate) in the approved areas: Homework assistance, Tutoring, Reading/LA activities, STEM, Civic Education, Technology, Drug and Violence Prevention, Character Education, Physical Education and Wellness activities, Art and Music.	Federal Guidance H-3, H-4	• Activity schedules and descriptions • Parent communication • Program Handbook • Other:	☐ Compliant ☐ Progressing ☐ Non-Compliant	
B12	The activities provided in the program are selected based on student needs and student interest surveys.	Federal Guidance F-3	• Student surveys • Teacher reports • Activity schedule • Other:	☐ Compliant ☐ Progressing ☐ Non-Compliant	
B13	The grantee provides literacy and related education services for the families of the enrolled students and family services to meet the needs for the community described in the original grant application.	Federal Guidance G-2	• Activity schedules and descriptions • Advertising/Communication • Sign-in sheets • Family surveys • Other:	☐ Compliant ☐ Progressing ☐ Non-Compliant	
B14	The grantee provides regular communication with and outreach to participants' families, including information regarding students' experiences, behavior, and achievements in the program in modes that are appropriate and easily understood by all families including those with limited English proficiency.	Federal Guidance F-3 Grant Application	• Communications • Communication plan • Other:	☐ Compliant ☐ Progressing ☐ Non-Compliant	

C. DATA AND PROGRAM EVALUATION

	GRANT REQUIREMENTS	Source	Possible Documentation	Compliance	Comments
C1	The grantee uses data, staff input, and assessment reports in decision-making, program refinement, and for purposes of quality improvement.	Federal Guidance H-2, H-6 Grant Application	• Staff meeting notes • Documentation of procedure changes • Other:	☐ Compliant ☐ Progressing ☐ Non-Compliant	
C2	The grantee participates in reporting procedures to meet the Federal and state monitoring and evaluation requirements in a timely and complete manner.	Federal Guidance H-6 State Guidance	• YPQA reports • Federal data reports • Weikart data completion reports • Other:	☐ Compliant ☐ Progressing ☐ Non-Compliant	
C3	The grantee shows progress in improving areas identified in previous monitoring visits.	Federal Guidance H-6	• Previous monitoring reports/ compliance plans • Leading Indicator report • Other:	☐ Compliant ☐ Progressing ☐ Non-Compliant	
C4	The grantee holds a consensus meeting with staff members after different self-assessments have occurred to score one self-assessment tool and submit on Scores Reporter.	Federal Guidance H-6	• Notes from meeting(s) • Agenda • Sign-in sheet(s) • Other:	☐ Compliant ☐ Progressing ☐ Non-Compliant	

D. ORGANIZATIONAL CAPACITY AND COMMITMENT

	GRANT REQUIREMENTS	Source	Possible Documentation	Compliance	Comments
D1	The grantee has developed a written sustainability plan which includes strategies for securing other sources of funding or in-kind resources to maintain the level of program services as grant support decreases and ends. Plan is reviewed regularly.	Federal Guidance F-3	• Written sustainability plan • Meeting agenda/notes • Contact log • Other:	☐ Compliant ☐ Progressing ☐ Non-Compliant	
D2	The grantee has identified other Federal, state, and local programs that also offer afterschool services that they could collaborate with to meet mutual goals including Title I, USDA Food and Nutrition Services for Afterschool snacks and Summer Food Service, TANF, and Title V-OJJDP programs.	Federal Guidance B-5, F-13, G-7	• Meeting notes/agenda • Email/written/phone correspondence • Other:	☐ Compliant ☐ Progressing ☐ Non-Compliant	
D3	The grantee uses 21st CCLC funds appropriately: supplementing and not replacing funds that would have been available to conduct activities had 21st CCLC funds not been available.	Federal Guidance B-2, F-13	• GMS Claim auditing • Purchase invoices • Other:	☐ Compliant ☐ Progressing ☐ Non-Compliant	
D4	The grantee communicates with the OSDE for any significant programmatic and/or budgetary changes, requesting approval for single item purchases over $1,000 and combined purchases over $2,500 prior to the purchase.	EDGAR I-1 State Guidance Use of Funds	• Emails • GMS budget printout • Other:	☐ Compliant ☐ Progressing ☐ Non-Compliant	
D5	Grantee maintains a list of all non-consumable items purchased with 21st CCLC funds, has items marked as "21st CCLC", and items are used solely for the purposes of the afterschool program with the exception of those items purchased as shared costs.	EDGAR I-1 State Guidance	• Inventory List • Observation of items • Other:	☐ Compliant ☐ Progressing ☐ Non-Compliant	
D6	The grantee has documentation that any revenue from the program is expended for the program.	Federal Guidance G-14	• Activity fund reports • Other:	☐ Compliant ☐ Progressing ☐ Non-Compliant	
D7	The grantee maintains appropriate documentation for administrators, staff, and volunteers of the grant program.	State Guidance	• Personnel files • Job applications • Timesheets • Emergency contact forms • Other:	☐ Compliant ☐ Progressing ☐ Non-Compliant	
D8	The grantee files claims for reimbursement of 21st CCLC funds from OSDE on a monthly basis.	State Guidance	• GMS printout • Other:	☐ Compliant ☐ Progressing ☐ Non-Compliant	

E. ADVISORY BOARD, PARTNERSHIPS AND COLLABORATIONS

	GRANT REQUIREMENTS	Source	Possible Documentation	Compliance	Comments
E1	The Advisory Committee: • Represents the community (students, parents, partners, staff, and administrators); • Meets quarterly; • Discusses program planning, implementation, assessment, and sustainability; and • Is actively involved in the program	Federal Guidance F-3, F-9 Grant Application	• Advisory Committee members and roles • Meeting agendas/notes • Calendar • Meeting sign-in sheets • Other:	☐ Compliant ☐ Progressing ☐ Non-Compliant	
E2	The grantee and at least one significant partner (community organization/public school) are working collaboratively on implementing the program.	Federal Guidance F-9	• Partnership Agreement • Partner roles and responsibilities • Staff/Advisory Committee sign-in/ notes • Other:	☐ Compliant ☐ Progressing ☐ Non-Compliant	
E3	All individuals or entities providing goods and services are selected based on prior experience, qualifications, and where applicable, specialized training and/or certification.	Federal Guidance E-1, F-6, H-3, H-4 Grant Application	• Mission of organization • Description of organization activities • Hiring process • Other:	☐ Compliant ☐ Progressing ☐ Non-Compliant	
E4	Grantee has formal written agreements with partners and subcontractors that clearly specify roles, responsibilities, services and resources, and deadlines.	Federal Guidance F-3, F-9	• Written Agreements • Verification of services provided • Activity schedule • Other:	☐ Compliant ☐ Progressing ☐ Non-Compliant	
E5	The grantee holds regular staff and partnership meetings that review progress toward program goals, discuss and resolve barriers to program implementation, and that engage staff and partners in collaboration and sharing promising practices.	Federal Guidance F-3, F-9 Grant Application	• Meeting sign-in sheets • Meeting agenda • Meeting notification • Meeting notes • Emails/written communication • Other:	☐ Compliant ☐ Progressing ☐ Non-Compliant	
E6	The grantee makes efforts to recruit new and retain established partners to address unmet needs and ensure long-term commitments of resources, including human capital.	Federal Guidance F-3, F-9 Grant Application	• Needs Assessment • Self/External assessment • Leading Indicator Report • Partner communication • Partner agreements • Other:	☐ Compliant ☐ Progressing ☐ Non-Compliant	
E7	The grantee communicates with partners and subcontractors regularly keeps them informed of program activities.	Federal Guidance F-3, F-9	• Communication • Other:	☐ Compliant ☐ Progressing ☐ Non-Compliant	

F. PARTNER FEEDBACK		
F1	What is your role with the 21st CCLC program?	
F2	What is the frequency of your interaction with the grantee?	
F3	How has your partnership been mutually beneficial, supporting both of your missions or goals?	
F4	What do you see as the program's successes?	
F5	What do you see as the program's challenges?	

G. PROGRAM CHALLENGES AND SUCCESSES

G1	What challenges/barriers have you faced in your program this year?	
G2	Describe any growth or successes you have seen in your program as a whole or in particular situations.	
G3	In what areas would you like to have technical assistance and training available?	