21st Century Community Learning Centers

Monitoring Session

Whole Child • Whole School • Whole Community
AGENDA

There are two parts to the Monitoring Process

- The Risk Analysis
- Monitoring and Support
Six Areas of the Risk Analysis

- Program Organization
- Academic Programming Practices and Ensuring the Quality of Activities
- Build Supportive Relationships in Afterschool
- Project Design
- Fiscal
- Quality Assurance

21st Century Community Learning Centers
Soaring Beyond Expectations
Six Areas of the Risk Analysis

- Each area has its own weight and point scale.
- Each of the six areas use current and past data in the analysis.
- This is due to some data being a year behind such as the submission of local evaluation data.
- The risk analysis may use up to two years of data in any category.
Six Areas of the Risk Analysis

- Some areas now have an increased focus:
  - Timely submission of documentation or data
  - Submission of the Equitable Partnership of Private Schools form or MOUs
  - Continuation grant submission with multiple revisions
  - Multiple years of Corrective Action Plans
Six Areas of the Risk Analysis

- These changes will make our monitoring process stronger.
- These changes are measurable and easier to access.
- Also it addresses the concerns and recommendations from the U.S. Department of Education.
What’s New with Monitoring and Support

All grantees will receive monitoring in the form of Biannual Calls instead of the Self-Monitoring Evaluation.

Level of additional monitoring will be determined by the risk analysis. Grantees will also be assigned at least one on-site visit during their grant cycle.

Each grantee may receive a review from Federal and State Monitoring during their 5-year grant cycle.
Monitoring and Support Cycle

Data review of all Risk Analysis areas

Biannual Calls

Determine Risk Levels for all Grantees; which could be low, medium, or high

Tier II monitoring (medium risk) and Tier III monitoring (high risk)

Biannual Calls

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Monitoring and Support

Biannual Calls

- Each grantee will receive notification as to when their call will take place.
- Grantees will be told which week it will occur and will need to agree upon the day/time with their principal consultant.
- The principal consultant will discuss things such as programming, number of students being served, budget spending, Corrective Action Plans (if applicable), or other topics as needed.
- The conversation will be documented and saved in each grantee’s electronic file.
Tier II and Tier III Monitoring

**Desktop Audit**
- Determined by Risk Analysis
- Receive Notification
- Have 14 days to submit evidence required on checklist
- Will receive compliance/non-compliance notification
- Follow through on Corrective Action Plan(s) where needed

**On-Site Visit**
- Determined by Risk Analysis or scheduled visit during grant cycle
- Receive Notification, list of needed documentation, and pre-site visit form
- Have 3 weeks to submit required documentation
- Visits will consist of
  - The interview
  - The walk through
  - The Debriefing
- Conference call to finalize report
- Will receive compliance/non-compliance notification
- Follow through on Corrective Action Plan(s)
What is a desktop audit?

The purpose of a desktop audit is to ensure that grantees and their programs are in compliance with the 21st CCLC legislation, are meeting the goals outlined in their proposals, are offering quality programming to participants and to identify any technical assistance that may be needed.
Desktop Audit

Who receives a desktop audit?

- It is determined by the grantees’ level of risk. If a grantee is determined to be medium risk a desktop audit is received.

How often are desktop audits implemented?

- Annually
- Late February or Early March
Desktop Audit

How to submit a desktop audit

- Submitted through attachment manager
- Submit items in order as they appear on the desktop checklist
- Each area submitted should be clearly labeled
- Each item submitted should be clearly labeled
- If an item is asked in more than one section of the checklist – the item should be included in each area
- Be cognizant of the submission deadline
# Desktop Audit

## Checklist:

<table>
<thead>
<tr>
<th>Program Organization:</th>
<th>Documentation Needed</th>
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| **Desktop Audit Checklist** | Written policy on conducting criminal background checks for all program staff and volunteers  
Written policy on training all employees to be mandated reporters and evidence of annual training |
| **Policies for staff background checks and training** | Meeting agendas of staff meetings*  
Emails/Correspondence  
Minutes from staff meetings  
Staff calendar of meeting dates*  
Staff attendance sheets/sign-in*  
Other |
| **The program management maintains ongoing communication with program staff (teachers, volunteers, etc.) to program activities are coordinated and delivered in accordance with the approved application.** | Travel notification approvals  
Proof of training/professional development* such as:  
Conference agenda/registrations  
Certificate of completion or attendance documents  
Training materials  
List of trainings to date  
Sign in sheets for trainings  
Policy/procedure for training new employees*  
Other |
| **Program staff and managers have received ongoing professional development.** | |
Desktop Audit

- Example:

  **Program Organization**
  1. Written policy on conducting criminal background checks for all program staff and volunteers
  2. Written policy on training all employees to be mandated reporters and evidence of annual training
  3. 3a. 3b. Meeting agendas of staff meetings*
  4. Emails/Correspondence
  5. Minutes from staff meetings
  6. 6a. 6b. Staff calendar of meeting dates*
  7. 7a. 7b. Staff attendance sheets/sign-in*
  8. **NA** - Travel notification approvals – Professional development meetings occur in Chicago and do not require approval for travel (Staff drive themselves or take CTA)
  9. Proof of training/professional development* such as:
     - 9a. Conference agenda, 9.b Training materials, 9.c Conference registrations
  10. 10a 10b. Policy/procedure for training new employees*
Corrective Action Forms

- When are corrective actions forms required?
  - Items were missing
  - Items weren’t clearly labeled
  - Did not include the correct number of requested documents
Desktop Audit

Corrective Action Forms

- Submitting a corrective action form
  - A corrective action form needs to be completed for each area where an item is missing
  - Attach appropriate evidence to the corrective action form or date by which evidence will be provided

- Outstanding corrective action forms will be resolved with your consultant and discussed during biannual calls
Any Questions?