



**Ohio's 21<sup>st</sup> Century Community Learning Centers**

A Guide for the  
Compliance and Performance Assessment (CAPA)  
Monitoring Visit

## FORWARD

This guide has been developed to support administrators of Ohio 21<sup>st</sup> Century Community Learning Centers (21<sup>st</sup> CCLC) as they prepare for the Ohio Department of Education's (ODE) Compliance and Performance Assessment Preparation (CAPA) monitoring visit. These visits occur two times during a five-year award – during year two and year four of the grant – and are designed to meet two purposes:

1. To guarantee compliance with federal and state 21<sup>st</sup> Century Community Learning Centers (CCLC) grant program requirements, including
  - a. U. S. Department of Education, Elementary and Secondary Education Act, Title IV, Part B, as amended by the *No Child Left behind Act of 2001*
  - b. U. S. Department of Education, 21<sup>st</sup> Century Community Learning Centers Non-Regulatory Guidance, February 2003
  - c. Education Department General Administrative Regulations (EDGAR) 34 CFR 80
  - d. Office of Management and Budget (OMB) Circular A-133
2. To support ongoing quality improvement

Grantees' advanced preparation is important to the success of the CAPA monitoring visit. If additional assistance is necessary in support of ODE's visit or any follow-up phases, please feel free to contact Ohio's 21<sup>st</sup> CCLC team members:

- Eva Szabo, Grant Administrator
- Cheryl Kish, Grant Coordinator
- Tim Krier, Grant Coordinator
- Carolyn George, Grant Coordinator
- James Falor, Monitoring Consultant
- Rosetta Brown, Monitoring Consultant

Ohio Department of Education  
25 S. Front Street, MS 303  
Columbus, OH 43215  
Toll free: 800-808-6325  
Local: 614-466-2945  
Fax: 614-752-7613  
E-Mail: [21stcclc@ode.state.oh.us](mailto:21stcclc@ode.state.oh.us)

Web: [www.education.ohio.gov](http://www.education.ohio.gov)  
(enter **21st** into the search box)

# Table of Contents

<i>Topic</i>	<i>Page</i>
<b>I. <u>PREPARING FOR THE MONITORING VISIT</u></b> .....	4
Introduction .....	4
Monitoring Visit Coordinator .....	4
ODE Monitoring Representative .....	4
Scheduling .....	4
Confirmation e-mail .....	4
Binder Documentation Preparation Guidelines (& Tips) .....	4
Understanding / Developing an On-Site Agenda .....	5
On-Site Preparation Checklist .....	5
<b>II. <u>THE MONITORING VISIT</u></b> .....	6
Typical Monitoring Visit Schedule .....	6
Description of the Monitoring Visit .....	6
<b>III. <u>AFTER THE MONITORING VISIT</u></b> .....	7
Telephone Follow-Up .....	7
SRM Results Letter and Completed CAPA .....	7
Corrective Action Plan (CAP) .....	7
<b>Appendix A</b> – CAPA Template	
<b>Appendix B</b> – On-Site Preparation Checklist	
<b>Appendix C</b> – Frequently Asked Questions (FAQ)	

## I. PREPARING FOR THE MONITORING VISIT [\(top\)](#)

**Introduction:** The purpose of the CAPA monitoring visit is to support ongoing quality improvement and to assure compliance, including fiscal, with federal and state 21<sup>st</sup> CCLC grant program requirements.

To ensure the effectiveness of the process, the monitoring visit and related instruments are aligned with federal and state grant requirements as well as *Ohio's Core Knowledge and Competencies for Afterschool Professionals Who Work with Children Ages 5-12* (adopted Fall 2009) and *The National Afterschool Association Standards for Quality School-Age Care*.

Each grant will identify *one* site to be monitored. To ensure the efficiency of the process, the monitoring visit is comprised of two parts that will occur on a single day:

- 1) Binder review of documentation (to assess *prior* year performance)
- 2) Site visit (to assess *current* year performance)

**Monitoring Visit Coordinator:** All grantees are expected to identify someone to serve as the Monitoring Visit Coordinator who will be responsible for scheduling the date with ODE, understanding/organizing the on-site agenda, and being available for the ODE monitoring representative(s) should any questions or issues arise.

**ODE Monitoring Representative:** A one- or two-person monitoring team comprised of staff from the Ohio Department of Education (ODE) that has practical and theoretical understanding of the issues that shape quality out-of-school programming and grant management.

**Scheduling:** By January 20, 2010, contact Tim Krier at 614-466-9221 to schedule the monitoring visit. When scheduling, be prepared to provide the following information:

- Selection of four (4) possible dates (within assigned CAPA window) for monitoring visit:
- Monitoring Visit Coordinator name, phone number, and e-mail:
- Name and address of location for start of visit (for binder review):
- Selected site visit name and address (if different from start of visit):
- Selected site visit start time (for site review):
- Selected Site Visit Coordinator name, phone number & e-mail:

**Confirmation e-mail:** A confirmation e-mail finalizing the agreed-upon visit logistics will be sent to the grantee's Monitoring Visit Coordinator and the lead ODE Monitoring Representative.

**Binder Documentation Preparation Guidelines:** The binder to be reviewed should be one three-ring binder and organized in the following order:

1. 21<sup>st</sup> CCLC Grantee Name and IRN listed on the front and spine of the binder.
2. Cover sheet that includes: grantee name, IRN, grant name, and grant number.
3. Awarded grant application(s), all ODE program and budget approved revision(s), and a copy or copies of the CCIP History Log(s) for the fiscal year(s) being reviewed.
4. Binder divided by categories and identified items within each category. Tab both the categories (A-G) and all identified items ("B1", "B2", "B3", etc.). Column 2 in the CAPA

template identifies both required and/or suggested evidence documents for each item.

**Binder Tips:** *When determining which pieces of evidence to include as documentation of compliance or quality, it is important to consider the following tips:*

- In instances when the CAPA template suggests multiple options to document an item, **we encourage grantees to select no more than 1-2 types of evidence documents that best support each item.**
- When preparing Section A (fiscal review) of the binder, please compile and include only one copy of the evidence documentation listed below. Please note that 2<sup>nd</sup> Year Grantees must include fiscal documentation from *prior* year while 4<sup>th</sup> Year Grantees must include fiscal documentation from *prior two* years:
  - ✓ Copy of ODE Award Letter/CCIP Note
  - ✓ Copy of ODE Approved Budget and any Budget Revisions
  - ✓ Copy of ODE approved Final Expenditure Report (FER)
  - ✓ Current Physical Inventory Policy (if purchased with 21<sup>st</sup> Century Grant funds),
  - ✓ Report of all year-end expenditures
  - ✓ Fund 599 USAS Coded Accounting Records

This evidence may be compiled and tabbed as one section (“A”) in the binder and labeled accordingly.

- In addition, the fiscal review (Section A) is the only part of the monitoring process that is designed to occur in two stages – during and after the monitoring visit. While the binder must contain the fiscal documentation outlined above, the documents listed as “later request” should not be included in the binder. *After reviewing the fiscal documents, an ODE representative will contact the grantee to request purchase orders, invoices and cancelled checks for specific transactions and Bank Statements for the grant period being reviewed.*

### **Understanding / Developing an On-Site Agenda:**

The ODE observation of the Selected Site Visit is guided by the CAPA prompts outlined in Section H. These prompts reflect practices that ODE representatives would expect to see on a *daily* basis in any 21<sup>st</sup> CCLC program. If for some reason the Section H practices to be observed are intermittently scheduled or planned for different days other than when the monitoring visit has been scheduled, please be certain that the site to be visited is prepared to demonstrate these practices.

In some instances, it may be useful to have an agenda created for the ODE representative that outlines when and how some Section H practices are to be executed on the day of the site visit. It is important that the Monitoring Visit Coordinator has reviewed Section H of the CAPA and informed the selected Site Visit Coordinator of the observation expectations to assure both a fair and comprehensive assessment.

### **On-Site Preparation Checklist:**

The Monitoring Visit Coordinator should use the On-Site Preparation Checklist (see Appendix B) to ensure that the grantee is prepared for the ODE monitoring visit. By utilizing the checklist, the grantee can determine readiness and uncover possible issues that could be addressed before the date of the actual monitoring visit.

## II. THE MONITORING VISIT [\(top\)](#)

The total time necessary for a monitoring visit is approximately 3 - 5½ hours. Program size, travel logistics, and other extenuating circumstances may affect this timeframe. Below is an example of a typical monitoring visit schedule.

<u>Typical Stages of a Visit:</u>	<u>Usual Leads:</u>	<u>Approx Time:</u>
<i>ODE Arrival (at Start Location)</i>	<i>Monitoring Visit Coordinator &amp; ODE</i>	<i>(15 minutes)</i>
Introductions	As appropriate	(5 minutes)
Review of Procedures	ODE representative(s)	(5 minutes)
Program Overview	Monitoring Visit Coordinator	(5 minutes)
 <i>Binder Review (at Start Location)</i>	 <i>ODE Representative(s)</i>	 <i>(2 hours)</i>
ODE reviews the grantee's binder documentation using the CAPA template. In cases when clarification of specific items is necessary, the ODE representative(s) will locate the Monitoring Visit Coordinator for assistance.		
 <i>Selected Site Visit</i>	 <i>Monitoring Visit Coordinator &amp; ODE</i>	 <i>(1-3 hours)</i>
Travel	Monitoring Visit Coordinator & ODE	(as necessary)
Introductions & Tour	As appropriate	(5 minutes)
Observation (Section H)	ODE representative(s)	(1-2½ hours)
Departure/Conclusion	Monitoring Visit Coordinator & ODE	(5 minutes)

### **Description of the Monitoring Visit:**

**Start Location:** The ODE Monitoring Representative(s) will arrive at the Visit Start Address approximately 2-2½ hours before the scheduled Selected Site Visit Start Time. This permits the ODE representative(s) to introduce themselves to the Monitoring Visit Coordinator, listen to a 5-10 minute overview of the 21<sup>st</sup> CCLC program, and set up an ODE laptop for the binder review (outlined further in Section II).

**Binder Review (at Start Location):** The ODE Monitoring Representative(s) will review the prepared binder. A private area with a table, chairs, and electrical access should be available and ready for this work which may take as many as two hours. The Monitoring Visit Coordinator should be available to answer any questions regarding the contents of the binder.

**Travel:** Upon completion of the 2-hour binder review, the ODE Monitoring Representative(s) and the Monitoring Visit Coordinator will travel to the Selected Site Visit location. Ideally, this timeframe will permit the ODE Monitoring Representative(s) to introduce themselves to the site staff and be present when the students arrive and enter the program.

**Observation:** The ODE Monitoring Representative(s) will use the site observation to assess compliance and performance issues (outlined in Section H of the CAPA) and to confirm elements from other sections, as necessary.

**Departure/Conclusion:** The ODE Monitoring Representative(s) will thank the available grantee representatives and summarize the next steps and timelines of the remaining processes.

### III. AFTER THE MONITORING VISIT [\(top\)](#)

**Telephone Follow-Up:** After the monitoring visit, the grantee can expect an ODE-initiated telephone follow-up requesting the fiscal documents for Item A4.

**SRM Results Letter and Completed CAPA:** Following the site visit and subsequent document reviews, ODE will send a Sub-Recipient Monitoring (SRM) results letter and completed CAPA. The letter and completed CAPA will outline:

1. Compliance and non-compliance assessments for all CAPA items (Section A-H)
  - If non-compliance is determined, the documents will detail the grantee's required Corrective Action Plan (CAP) including required action steps and deadline(s).
2. Exceptional quality items (i.e., those items assessed as *Excellent* or *Weak*)

**Corrective Action Plan:** An ODE representative will be available to discuss the monitoring report contents by phone or e-mail, and to help the grantee explore and identify resources needed to address compliance and quality improvement priorities. Quality issues are based upon state and national standards and are designed to provide a level of feedback to grantees about the perceived quality of the program. Quality items are assessed using the following scale:

- Excellent
- Satisfactory
- Some Progress
- Weak

A grantee will not be required to submit a Corrective Action Plan (CAP) for any quality item.

In some instances, the grantee may need to complete a Corrective Action Plan (CAP) to address required compliance improvements. Compliance items are assessed using the following scale:

- Compliant
- Non-compliant
- Not Applicable

If a compliance item is assessed as "Non-compliant," the grantee will be required to develop, submit, and follow a Corrective Action Plan. Failure to submit a CAP by the required deadline and meet its required action steps may result in further ODE actions as detailed in Education Department General Administrative Regulations (EDGAR) 80.43.

## Appendix A

# 21<sup>st</sup> Century Community Learning Centers Grant Compliance and Performance Assessment (CAPA) (Binder Review & Site Visit)

ODE Monitoring Team:		
Site Visit Date:	Program Review Date:	Fiscal Review Date:
Sub-recipient Name:		Sub-recipient IRN:
Sub-recipient Address:		
Sub-recipient Monitoring Visit Coordinator Name:		
Sub-recipient Monitoring Visit Coordinator Telephone #:		
Sub-recipient Monitoring Visit Coordinator E-mail:		
Sub-recipient Fiscal Officer Name:		
Sub-recipient Fiscal Officer Telephone #:		
Sub-recipient Fiscal Officer E-mail:		

Grant Name:
Grant #:
Fiscal Year of Award:

Selected Site Visit Name:
Selected Site Visit Address:
Selected Site Visit Coordinator Name:
Selected Site Visit Coordinator Telephone #:
Selected Site Visit Coordinator E-mail:

# 21<sup>st</sup> Century Community Learning Centers Grant Compliance and Performance Assessment (CAPA) (Binder Review & Site Visit)

## Category A. Fiscal

For Section A of the binder, please provide only one copy of each evidence documentation listed below:

- Required:** Copy of ODE Award Letter/CCIP Note, Copy of ODE Approved Budget and any Budget Revisions, Copy of ODE approved Final Expenditure Report (FER), Current Physical Inventory and Policy, (if purchased with 21<sup>st</sup> Century Grant funds); Report of all year-end expenditures and Fund 599 USAS Coded Accounting Records.
  - 2<sup>nd</sup> Year Grantees must include fiscal documentation from *prior* year.
  - 4<sup>th</sup> Year Grantees must include fiscal documentation from *prior two* years.

ITEMS	EVIDENCE DOCUMENTATION	PERFORMANCE LEVEL ( <i>check one</i> )	COMMENTS and DUE DATE for FURTHER ACTION
A1. The grantee has a mechanism in place to review the budget monthly, track expenses, and adjust the approved budget, as needed.	<input type="checkbox"/> Copy of ODE Award Letter/CCIP Note and Copy of ODE Approved Budget and any Budget Revisions	<input type="checkbox"/> Compliant <input type="checkbox"/> Non-compliant <input type="checkbox"/> Not Applicable	
A2. The grantee submits FERs as appropriate to ODE by due dates.	<input type="checkbox"/> Copy of ODE approved Final Expenditure Report (FER)	<input type="checkbox"/> Compliant <input type="checkbox"/> Non-compliant <input type="checkbox"/> Not Applicable	
A3. The grantee has a current, accurate physical inventory and policy in place.	<input type="checkbox"/> Current Physical inventory and Policy, (if purchased with 21 <sup>st</sup> Century Grant funds)	<input type="checkbox"/> Compliant <input type="checkbox"/> Non-compliant <input type="checkbox"/> Not Applicable	
A4. The grantee has Accounting Records that are complete, accurate and include USAS coding.	<input type="checkbox"/> Report of all year-end expenditures and Fund 599 USAS Coded Accounting Records  <i>Upon Later Request:</i> <input type="checkbox"/> Purchase Orders, Invoices and Cancelled Checks for specific transactions <input type="checkbox"/> Bank Statements for the Grant Period being Reviewed	<input type="checkbox"/> Compliant <input type="checkbox"/> Non-compliant <input type="checkbox"/> Not Applicable	
A5. The grantee has a report that identifies all grant expenditures that tie back to accountability reports.	<input type="checkbox"/> Report of all year-end expenditures and Fund 599 USAS Coded Accounting Records	<input type="checkbox"/> Compliant <input type="checkbox"/> Non-compliant <input type="checkbox"/> Not Applicable	

# 21<sup>st</sup> Century Community Learning Centers Grant Compliance and Performance Assessment (CAPA) (Binder Review & Site Visit)

## Category B. Program Administration

ITEMS	EVIDENCE DOCUMENTATION	PERFORMANCE LEVEL ( <i>check one</i> )	COMMENTS and DUE DATE for FURTHER ACTION
B1. The grantee has identified and is serving eligible students consistent with the original grant application (or approved amendments).	<b>Required:</b> <input type="checkbox"/> Roster matrix including: <input checked="" type="checkbox"/> Names of all enrolled students <input checked="" type="checkbox"/> Names of feeder schools <input checked="" type="checkbox"/> Individual income eligibility <input checked="" type="checkbox"/> Individual achievement eligibility <input checked="" type="checkbox"/> Attendance records (January of <i>prior year</i> )	<input type="checkbox"/> Compliant <input type="checkbox"/> Non-compliant <input type="checkbox"/> Not Applicable	
B2. The grantee is conducting outreach to eligible students as described in the original grant application (or approved amendments).	<input type="checkbox"/> Fliers (including distribution information) <input type="checkbox"/> School staff meeting agenda <input type="checkbox"/> Assessment data <input type="checkbox"/> Recommendation forms <input type="checkbox"/> Other: _____	<input type="checkbox"/> Compliant <input type="checkbox"/> Non-compliant <input type="checkbox"/> Not Applicable	
B3. The grantee is providing the number of hours of programming and the program is held in an accessible location as described in the original grant application (or approved amendments).	<input type="checkbox"/> Calendar <input type="checkbox"/> Staff handbook <input type="checkbox"/> Parent handbook <input type="checkbox"/> Other: _____	<input type="checkbox"/> Compliant <input type="checkbox"/> Non-compliant <input type="checkbox"/> Not Applicable	
B4. The grantee is implementing research-based reading and mathematics activities as described in the original grant application (or approved amendments).	<input type="checkbox"/> Exemplar lesson plans <input type="checkbox"/> Assessment data <input type="checkbox"/> Program calendar <input type="checkbox"/> Other: _____	<input type="checkbox"/> Compliant <input type="checkbox"/> Non-compliant <input type="checkbox"/> Not Applicable	
B5. The grantee is implementing positive youth development activities/programming as described in the original grant application (or approved amendments).	<input type="checkbox"/> Exemplar lesson plans <input type="checkbox"/> Assessment data <input type="checkbox"/> Program calendar <input type="checkbox"/> Other: _____	<input type="checkbox"/> Compliant <input type="checkbox"/> Non-compliant <input type="checkbox"/> Not Applicable	
B6. The grantee is implementing parent/family programming or activities.	<input type="checkbox"/> Needs assessments <input type="checkbox"/> Fliers (including distribution information) <input type="checkbox"/> Sign-in sheets <input type="checkbox"/> Exemplar lesson plans <input type="checkbox"/> Program calendar <input type="checkbox"/> Advisory group representation <input type="checkbox"/> Other: _____	<input type="checkbox"/> Compliant <input type="checkbox"/> Non-compliant <input type="checkbox"/> Not Applicable	

# 21<sup>st</sup> Century Community Learning Centers Grant Compliance and Performance Assessment (CAPA) (Binder Review & Site Visit)

## Category C. Program Management

ITEMS	EVIDENCE DOCUMENTATION	PERFORMANCE LEVEL ( <i>check one</i> )	COMMENTS and DUE DATE for FURTHER ACTION
C1. The program implements policies and procedures to ensure students participate on a regular, consistent basis.	<input type="checkbox"/> Attendance policy <input type="checkbox"/> Registration form <input type="checkbox"/> Other: _____	<input type="checkbox"/> Excellent <input type="checkbox"/> Satisfactory <input type="checkbox"/> Some Progress <input type="checkbox"/> Weak	
C2. The program manager communicates regularly and effectively regarding linkages between day and before and/or after-school with the school administration.	<input type="checkbox"/> Meeting agendas <input type="checkbox"/> Meeting calendar <input type="checkbox"/> Meeting minutes <input type="checkbox"/> Progress reports <input type="checkbox"/> Other: _____	<input type="checkbox"/> Excellent <input type="checkbox"/> Satisfactory <input type="checkbox"/> Some Progress <input type="checkbox"/> Weak	
C3. The program welcomes parent input regarding programming and activities.	<input type="checkbox"/> Meeting agendas <input type="checkbox"/> Assessment data <input type="checkbox"/> Advisory group representation <input type="checkbox"/> Other: _____	<input type="checkbox"/> Excellent <input type="checkbox"/> Satisfactory <input type="checkbox"/> Some Progress <input type="checkbox"/> Weak	
C4. The program holds regular staff and partnership meetings that are more than administrative in nature, and that engage staff and partners in collaboration and sharing promising practices.	<input type="checkbox"/> Meeting agendas <input type="checkbox"/> Meeting minutes <input type="checkbox"/> Other: _____	<input type="checkbox"/> Excellent <input type="checkbox"/> Satisfactory <input type="checkbox"/> Some Progress <input type="checkbox"/> Weak	

# 21<sup>st</sup> Century Community Learning Centers Grant Compliance and Performance Assessment (CAPA) (Binder Review & Site Visit)

## Category D. Staffing and Professional Development

ITEMS	EVIDENCE DOCUMENTATION	PERFORMANCE LEVEL (check one)	COMMENTS and DUE DATE for FURTHER ACTION
D1. The program implements a standard hiring process that ensures all staff and volunteers have the personal attributes, ability to learn needed skills and professional qualifications for their position.	<input type="checkbox"/> Hiring policy and sample application <input type="checkbox"/> Job descriptions <input type="checkbox"/> Interview questions <input type="checkbox"/> Other: _____	<input type="checkbox"/> Excellent <input type="checkbox"/> Satisfactory <input type="checkbox"/> Some Progress <input type="checkbox"/> Weak	
D2. The program has a certified teacher that oversees the program's academic curriculum, lesson plans, etc.	<input type="checkbox"/> Contract or MOU/MOA <input type="checkbox"/> Job description <input type="checkbox"/> Lesson plans (approved or created by teacher) <input type="checkbox"/> Other: _____	<input type="checkbox"/> Excellent <input type="checkbox"/> Satisfactory <input type="checkbox"/> Some Progress <input type="checkbox"/> Weak	
D3. The program staff is trained in program policies and procedures. Staff is aware of program goals, job description and the relationship of program activities to those goals.	<input type="checkbox"/> Orientation schedule <input type="checkbox"/> Training agendas <input type="checkbox"/> Staff handbook <input type="checkbox"/> Other: _____	<input type="checkbox"/> Excellent <input type="checkbox"/> Satisfactory <input type="checkbox"/> Some Progress <input type="checkbox"/> Weak	
D4. The program staff participates in ongoing and data-based professional development that addresses the diverse needs of their students and families in meeting program goals.	<input type="checkbox"/> Strategic planning agendas <input type="checkbox"/> Professional development agendas <input type="checkbox"/> Individualized professional development plans <input type="checkbox"/> Certificates of completion or sign-in sheets <input type="checkbox"/> Other: _____	<input type="checkbox"/> Excellent <input type="checkbox"/> Satisfactory <input type="checkbox"/> Some Progress <input type="checkbox"/> Weak	
D5. The program implements a personnel evaluation process that ensures all staff develops the personal attributes, necessary skills and enhanced professional capacity for their position.	<input type="checkbox"/> Performance review policy <input type="checkbox"/> Individualized professional development plans <input type="checkbox"/> Other: _____	<input type="checkbox"/> Excellent <input type="checkbox"/> Satisfactory <input type="checkbox"/> Some Progress <input type="checkbox"/> Weak	
D6. The program makes efforts to retain quality staff, providing a consistent and stable staffing base for the program.	<input type="checkbox"/> Shared leadership and governance (agendas, policies, or minutes) <input type="checkbox"/> Recognition plan <input type="checkbox"/> Appreciation events <input type="checkbox"/> Other: _____	<input type="checkbox"/> Excellent <input type="checkbox"/> Satisfactory <input type="checkbox"/> Some Progress <input type="checkbox"/> Weak	

# 21<sup>st</sup> Century Community Learning Centers Grant Compliance and Performance Assessment (CAPA) (Binder Review & Site Visit)

## Category E. Programming

ITEMS	EVIDENCE DOCUMENTATION	PERFORMANCE LEVEL <i>(check one)</i>	COMMENTS and DUE DATE for FURTHER ACTION
E1. There is evidence of appropriate student choice and voice in program planning and implementation.	<input type="checkbox"/> Assessment data <input type="checkbox"/> Advisory group representation <input type="checkbox"/> Exemplar lesson plans <input type="checkbox"/> Other: _____	<input type="checkbox"/> Excellent <input type="checkbox"/> Satisfactory <input type="checkbox"/> Some Progress <input type="checkbox"/> Weak	
E2. Program activities are based on students' differentiated instructional needs and interests.	<input type="checkbox"/> Assessment data <input type="checkbox"/> Exemplar lesson plans <input type="checkbox"/> Other: _____	<input type="checkbox"/> Excellent <input type="checkbox"/> Satisfactory <input type="checkbox"/> Some Progress <input type="checkbox"/> Weak	
E3. The program addresses positive youth development by providing diverse recreational, cultural and resiliency-building activities.	<input type="checkbox"/> Assessment data <input type="checkbox"/> Program calendar <input type="checkbox"/> Exemplar lesson plans <input type="checkbox"/> Other: _____	<input type="checkbox"/> Excellent <input type="checkbox"/> Satisfactory <input type="checkbox"/> Some Progress <input type="checkbox"/> Weak	
E4. The program enables students to explore community resources and issues in real world contexts.	<input type="checkbox"/> Exemplar lesson plans <input type="checkbox"/> Program calendar <input type="checkbox"/> Other: _____	<input type="checkbox"/> Excellent <input type="checkbox"/> Satisfactory <input type="checkbox"/> Some Progress <input type="checkbox"/> Weak	

# 21<sup>st</sup> Century Community Learning Centers Grant Compliance and Performance Assessment (CAPA) (Binder Review & Site Visit)

## F. Partnerships

ITEMS	EVIDENCE DOCUMENTATION	PERFORMANCE LEVEL ( <i>check one</i> )	COMMENTS and DUE DATE for FURTHER ACTION
F1. The grantee frequently collaborates with at least one partner in support of the program goals and objectives.	<input type="checkbox"/> Meeting agendas <input type="checkbox"/> Meetings minutes <input type="checkbox"/> Other: _____	<input type="checkbox"/> Compliant <input type="checkbox"/> Non-compliant <input type="checkbox"/> Not Applicable	
F2. The program seeks additional collaborators to address unmet needs and/or to expand and enhance program services.	<input type="checkbox"/> Strategic planning agendas <input type="checkbox"/> MOU/MOA <input type="checkbox"/> Other: _____	<input type="checkbox"/> Excellent <input type="checkbox"/> Satisfactory <input type="checkbox"/> Some Progress <input type="checkbox"/> Weak	
F3. The program establishes linkages among other federal, state and/or local agencies which encourage staff to connect community resources to the students and families.	<input type="checkbox"/> Strategic planning agendas <input type="checkbox"/> MOU/MOA <input type="checkbox"/> Parent handbook <input type="checkbox"/> Counseling services and referral forms <input type="checkbox"/> Exemplar lesson plans <input type="checkbox"/> Other: _____	<input type="checkbox"/> Excellent <input type="checkbox"/> Satisfactory <input type="checkbox"/> Some Progress <input type="checkbox"/> Weak	
F4. The grantee has a sustainability plan or process in place and efforts support progress towards maintaining and expanding the program and services without 21 <sup>st</sup> CCLC funds.	<input type="checkbox"/> Strategic planning agendas <input type="checkbox"/> Sustainability plan <input type="checkbox"/> MOU/MOA or board resolution <input type="checkbox"/> In-kind contribution tracking records <input type="checkbox"/> Other: _____	<input type="checkbox"/> Excellent <input type="checkbox"/> Satisfactory <input type="checkbox"/> Some Progress <input type="checkbox"/> Weak	

# 21<sup>st</sup> Century Community Learning Centers Grant Compliance and Performance Assessment (CAPA) (Binder Review & Site Visit)

## Category G. Evaluation and Outcomes

ITEMS	EVIDENCE DOCUMENTATION	PERFORMANCE LEVEL (check one)	COMMENTS and DUE DATE for FURTHER ACTION
G1. The program has adopted and applies an internal evaluation process to monitor on-going progress and measure achievement of program goals and outcomes. This evaluation includes qualitative and quantitative program information and data on participation, performance, and outcomes.	<input type="checkbox"/> Strategic planning agendas <input type="checkbox"/> Assessment calendar <input type="checkbox"/> Plan for evaluating program effectiveness <input type="checkbox"/> Other: _____	<input type="checkbox"/> Compliant <input type="checkbox"/> Non-compliant <input type="checkbox"/> Not Applicable	
G2. The program is making progress toward meeting the goals set out in the grant application.	<input type="checkbox"/> Analysis of assessment data <input type="checkbox"/> Strategic planning agendas <input type="checkbox"/> Annual report <input type="checkbox"/> Other: _____	<input type="checkbox"/> Excellent <input type="checkbox"/> Satisfactory <input type="checkbox"/> Some Progress <input type="checkbox"/> Weak	
G3. The program uses information collected through an internal evaluation process in strategic decision-making and continuous improvement.	<input type="checkbox"/> Assessment data and calendar <input type="checkbox"/> Strategic planning agendas <input type="checkbox"/> Other: _____	<input type="checkbox"/> Excellent <input type="checkbox"/> Satisfactory <input type="checkbox"/> Some Progress <input type="checkbox"/> Weak	
G4. Internal evaluation findings are regularly and effectively communicated to staff, collaborators, parents, students, and other stakeholders.	<input type="checkbox"/> Annual report <input type="checkbox"/> Meeting agendas <input type="checkbox"/> Meeting minutes <input type="checkbox"/> Other: _____	<input type="checkbox"/> Excellent <input type="checkbox"/> Satisfactory <input type="checkbox"/> Some Progress <input type="checkbox"/> Weak	

# 21<sup>st</sup> Century Community Learning Centers Grant Compliance and Performance Assessment (CAPA) (Binder Review & Site Visit)

## Category H. Selected Site Visit

ITEMS	OBSERVED EVIDENCE	PERFORMANCE LEVEL ( <i>check one</i> )	COMMENTS and DUE DATE for FURTHER ACTION
H1. The site is an accessible location (as described in the original grant application or approved amendments) and provides the required hours of programming.	<input type="checkbox"/> Observe that center was open within the published hours of operation	<input type="checkbox"/> Compliant <input type="checkbox"/> Non-compliant <input type="checkbox"/> Not Applicable	
H2. The site provides a daily, nutritional snack.	<input type="checkbox"/> Observe snack time <input type="checkbox"/> Observe snack prep or serving area <input type="checkbox"/> Ask students	<input type="checkbox"/> Compliant <input type="checkbox"/> Non-compliant <input type="checkbox"/> Not Applicable	
H3. The site implements research-based reading and mathematics activities as described in the original grant application (or approved amendments).	<input type="checkbox"/> Observe current lesson plan and implementation	<input type="checkbox"/> Compliant <input type="checkbox"/> Non-compliant <input type="checkbox"/> Not Applicable	
H4. The site implements positive youth development activities as described in the original grant application (or approved amendments).	<input type="checkbox"/> Observe current lesson plan and implementation	<input type="checkbox"/> Compliant <input type="checkbox"/> Non-compliant <input type="checkbox"/> Not Applicable	
H5. The program staff applies adopted behavior standards effectively and appropriately.	<input type="checkbox"/> Observe teacher-student interaction <input type="checkbox"/> Other: _____	<input type="checkbox"/> Excellent <input type="checkbox"/> Satisfactory <input type="checkbox"/> Some Progress <input type="checkbox"/> Weak	
H6. The daily schedule is flexible and offers enough security, independence, and engagement to meet the needs of all children and youth.	<input type="checkbox"/> Calendar Activities align to schedule and calendar, as appropriate <input type="checkbox"/> Ask students <input type="checkbox"/> Other: _____	<input type="checkbox"/> Excellent <input type="checkbox"/> Satisfactory <input type="checkbox"/> Some Progress <input type="checkbox"/> Weak	
H7. The grantee has a current, accurate physical inventory policy in place.	<input type="checkbox"/> Randomly verify inventory against current physical inventory list (if purchased with 21 <sup>st</sup> Century Grant funds)	<input type="checkbox"/> Compliant <input type="checkbox"/> Non-compliant <input type="checkbox"/> Not Applicable	
H8. The grantee has identified and is serving eligible students consistent with the original grant application (or approved amendments).	<input type="checkbox"/> Randomly verify participating students with <i>current</i> roster matrix (as described in B1) or enrollment forms	<input type="checkbox"/> Compliant <input type="checkbox"/> Non-compliant <input type="checkbox"/> Not Applicable	

**APPENDIX B**  
**On-Site Preparation Checklist**

**On-Site Preparation Checklist:**

The Monitoring Visit Coordinator should use this checklist to ensure that the grantee is prepared for ODE's Monitoring Visit.

Item Completed?	Yes	No	Issues
Communicate the monitoring visit, processes and logistics to stakeholders, including: <ul style="list-style-type: none"> <li>• <i>Program Manager</i></li> <li>• <i>Site Coordinator(s)</i></li> <li>• <i>Principal(s)</i></li> <li>• <i>Superintendent(s)/Executive Director(s)</i></li> <li>• <i>Treasurer/Fiscal Representative(s)</i></li> <li>• <i>Community Partner(s)</i></li> <li>• <i>Students</i></li> <li>• <i>Parents</i></li> <li>• <i>Volunteers</i></li> </ul>			
Reserve a suitable place for reviewing records (private area with a table, chairs, and electrical access)			
Contact ODE representative with selection of possible dates and required visit logistics outlined in "Scheduling" section.			
Review the awarded grant application, ODE-approved revisions, & relevant goals, objectives, and program outcomes with staff and other relevant stakeholders.			
Identify any stakeholders who may want to be available during the monitoring visit.			
Prepare the Binder according to the organizational guidelines outlined in this document.			
Identify the necessary program components aligned to Section H of the CAPA and developed an agenda for the monitoring team's use during the observation.			

## APPENDIX C Frequently Asked Questions (FAQ)

**Q. This document is helpful, but are there other resources that can assist our program in preparing for this monitoring visit?**

**A:** Besides carefully reviewing the CAPA template (Appendix A) and this guidance document, there are three tiers of technical assistance and support that should be of assistance:

**TIER 1** – Overview via an online Elluminate training session. Please be sure to visit the website for the most current dates and times.

**TIER 2** – Additional resources or documents that might be of assistance include:

- Ohio's 21<sup>st</sup> Century Community Learning Centers Sub-grant Request for Application
- 21<sup>st</sup> Century Community Learning Centers Submitted Sub-grant Application
- Profile and Performance Information Collection System (PPICS)
- Ohio Quality Assessment Rubric (O-QAR)

**TIER 3** – Contact with the 21<sup>st</sup> CCLC team by e-mail, [21stcclc@ode.state.oh.us](mailto:21stcclc@ode.state.oh.us), or toll free telephone, (800) 808-6325.

**Q: Should we share this CAPA process with our staff, students, families, and partners prior to the ODE monitoring visit?**

**A:** Informing stakeholders about this visit and the necessary preparation is an important way for sites to organize a successful CAPA review. The ODE monitoring representative(s) often talks with and asks questions of staff and students during the visit as a way to note evidence of compliance and performance. In addition, this helps both the transparency of the process and ODE's understanding of 21<sup>st</sup> CCLC best practices across the state.

**Q: I noticed that the CAPA template does not seem to address licensing issues. Will the monitoring visit address areas already covered by our licensing efforts?**

**A:** The monitoring visit and CAPA template were developed to address the compliance and quality issues unique to Ohio's 21<sup>st</sup> CCLC efforts and funding. The 21<sup>st</sup> CCLC Sub-Recipient Monitoring visit will not review licensing issues.

**Q: What do we do if inclement weather closes the program on the scheduled monitoring visit date?**

**A:** In cases when the facilities are closed due to inclement weather, the Monitoring Visit Coordinator should phone the Lead ODE Monitoring Representative as identified in the Confirmation e-mail. Additional arrangements will be arranged.

**Q: What do we do if we need to reschedule the visit?**

**A:** The 21<sup>st</sup> CCLC SRM process is only rescheduled in instances of facilities closing due to inclement weather or other emergency.

**Q: If the CAPA binder is reviewed on site, why does the ODE monitoring team also need to keep it? Additionally if we are required to keep all documents of the grant for ten (10) years from the grant award, can we assume that our CAPA binder stored at ODE is part of our record-keeping?**

**A:** State and federal auditors require that Ohio Department of Education keep these records to demonstrate monitoring efforts and program review. The binder documents should not include originals nor should the binder be considered part of a grantee's ten years of record keeping. Previously monitored grantees have sometimes found it useful to create a duplicate binder for their own records to assist future years' efforts.

**Q: If we are the fiscal agent for multiple grants that are in year 2 and/or year 4, can we schedule one ODE Monitoring Visit?**

**A:** If a fiscal agent would prefer to have more than one grant monitored on the same visit, the Monitoring Visit Coordinator should consult the ODE scheduling coordinator.

**Q. If the CAPA monitoring visit is only one part of the Sub-Recipient Monitoring (SRM) process, what are the other parts?**

**A.** The USDOE requires that each 21<sup>st</sup> CCLC sub-recipient participate in a SRM process. This process has been developed and implemented by ODE. The SRM process is comprised of the following three required components:

1. **PPICS** – an annual submission, by the sub-grant recipient, of Profile and Performance Information Collection System (PPICS) data. The purpose of PPICS is to collect basic information about the characteristics associated with 21<sup>st</sup> CCLC projects funded through federally funded, state-administered programs. The outcomes of these programs are a result of providing services to students and adult family members attending the programs. PPICS reporting includes basic demographic information, center information, annual performance reports, teacher survey, proficiency outcomes and multiple surveys.
2. **O-QAR** – an annual submission, by the sub-grant recipient, of Ohio Quality Assessment Rubric (O-QAR) data. The O-QAR is a self-assessment tool that provides project directors with perception data from various stakeholder groups that are involved in the delivery and consumption of the program. The reported data will be analyzed by a highly credentialed independent contractor that has been secured by ODE. The contractor will provide an evaluation report and feedback to program directors. The intent of the O-QAR is to assist program directors in strategic planning and assist with improving program quality and sustainability. Additionally, O-QAR results inform ODE of technical assistance needs.

The O-QAR report meets the federal requirement of having the program reviewed by an external evaluator. The evaluation provides program directors with the data needed to assess the program's implementation and progress toward achieving its goals, especially the goal of providing high quality opportunities for academic enrichment. The information will also assist sub-recipients with identifying the academic progress and impact the 21<sup>st</sup> CCLC program is having on target participants and stakeholders. The results of the evaluation must be used to refine, improve and strengthen the program, and to refine program strategies and performance measures established in the grant application. Secondly, the results of the evaluation must be made available to the public upon request.

**Q. What should be in a second- and fourth-year CAPA binder?**

**A.** Detailed SRM announcement letters are sent to second and fourth year grantees outlining expectations, required documentation, visit preparation, etc. For more information regarding the SRM process, please refer to the entirety of this document.

**Q. Will the SRM guidelines remain the same every year?**

**A.** The initial SRM guidelines were developed for the FY08 reviews. SRM guidelines will be revised annually to incorporate changes and improvements for the current year.

**Q. Why can't binders be submitted before a site visit so that problems can be discovered beforehand?**

**A.** Due to grantee feedback regarding the cost of mailing the binders and a few binders being lost in the mail, the process has been revised to include ODE picking up the binder while at the site visit. All documents should fit into one 3-ring binder.