

**Kentucky Department of Education  
Nita M. Lowey 21st Century Community Learning Program  
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
Newest Award Cycle	6 months	Technical Assistance visit	On-site Observation Interviews with program staff Documentation overview
2 <sup>nd</sup> Year	Oct/Nov	On-site Compliance 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
	Sept/Oct	Center for Evaluation, Policy, & Research (CEPR)  Quality Site Visit	SEA picks sites Rigorous Academic Achievement School Day Linkages Individual Support & Positive Interactions Community Relationships  Chart provided below for all levels
3 <sup>rd</sup> Year	6 Months Prior end of 3 <sup>rd</sup> Year	Continuation Progress Report	KDE Review of Report Determines 4 <sup>th</sup> & 5 <sup>th</sup> year funding
4 <sup>th</sup> Year		Review: Quarterly Reimbursement Requests Full Detailed MUNIS Data Review Reports Grantee Center Profile	Full MUNIS, QRR demonstrating spending per quarter, DRR focusing on attendance, parent/family involvement quarterly and program data review.

**Kentucky Department of Education  
Nita M. Lowey 21st Century Community Learning Program  
Monitoring Processes**

5 <sup>th</sup> Year		Review: Quarterly Reimbursement Requests Full Detailed MUNIS Data Review Reports Grantee Center Profile Closeout Procedures	Full MUNIS QRR demonstrating spending per quarter DRR focusing on attendance, parent/family involvement quarterly, and program data review Closeout Procedures
All Grants	Quarterly	Quarterly Reimbursement Requests Data Review Reports Purchase Requests Amendments	QRR and full MUNIS report demonstrating spending per quarter. QRR includes salaries, fringe, travel, purchases, supplies/equipment, contractual, transportation, and other.  DRR quarterly focusing on student attendance and parent/family skill building activities.
All Grants	Annually/Fall Oct/Nov	Center Profile Review	KDE Review of Site Data
All Grants	Annually	Training Attendance	The KDE ensures grantees are present during required trainings.

● **Center for Evaluation, Policy, & Research (CEPR) Quality Site Visit**

Protocol for the site visits is based on review of afterschool research and what the research tells us are indicators of high-quality after school programs. 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 homework help and all other activities that are offered that day are observed. CEPR staff note

## Kentucky Department of Education Nita M. Lowey 21st Century Community Learning Program Monitoring Processes

things like the number of staff and students present, the quality of the interactions between students and staff, and the nature of the activities. The purpose of the visit:

- To assess the extent to which activities geared toward rigorous academic enrichment are incorporated into 21<sup>st</sup> CCLC programs;
- To identify the ways in which the after school activities of 21<sup>st</sup> CCLC programs are linked to the regular school day;
- To determine the extent to which 21<sup>st</sup> CCLC programs provide opportunities for youth to receive support from adults and experience positive interaction with their peers.
- To examine the ways in which program sites established relationships with schools, parents, and other community constituents.

Sites are rated in 12 separate areas. Interview responses and observations will be used when determining ratings. The table below provides an overview of the 12 items that will be assessed, and the necessary data elements required for assessment. Sites are selected by the SEA.

1. High Quality Homework Help/Tutoring
2. Supplemental Academic Enrichment (Elem./MS)
2. Credit Recovery/Remediation (HS)
3. Opportunities for Active Learning (Elem./MS)
3. Goal Setting/Career Development/Life Skills (HS)
4. Links to the School Curriculum/School Standards
5. School Personnel Actively Involved with the Program
6. Academic Activities are Tailored to Individual Student Needs
7. Opportunities for Individual Support (Elem./MS)
Opportunities for Interest-Based Choices (HS)
8. Opportunities for Positive Interaction with Adults (Elem./MS)
9. Youth are Engaged in Program Decisions and Development (HS)
10. Opportunities for Positive Interaction with Peers (Elem./MS)
11. Opportunities for Positive Interaction with Adults and Peers (HS)
12. Program is Well-Integrated with School and Shares School Resources

### • Technical Assistance (TA) Visit (6 months 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 non-compliance, and concerns or issues. Grantees receive a report of the visit to address any

**Kentucky Department of Education**  
**Nita M. Lowey 21st Century Community Learning Program**  
**Monitoring Processes**

findings prior to their On-Site Visit in the fall. The visit will cover an overview of the following areas:

Interviews with program staff, teachers, administrators  
Program observation  
Programmatic and Financial document overview

● **On-Site Visit (Compliance)** (Beginning 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
- Sustainability
- Program highlight
- Program challenge
- Program needs
- Other type of assistance or training needs

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

The Continuation Progress Report is a MANDATORY 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 reports 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

**Kentucky Department of Education**  
**Nita M. Lowey 21st Century Community Learning Program**  
**Monitoring Processes**

of the 21st Century Community Learning Center under full funding and to present your 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, as stated in the original grant application within the first three years;

- Maintain the scope of the original level of programs and services to the same number of students at reduced grant allocation in the fourth year;

- Maintain the scope of the original level of programs and service to the same number of students at reduced grant allocation in the fifth year or beyond. (The minimum grant award during any one year will be \$95,000); and

- Provide documentation of completed state reports as required.

- **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/fringe, travel, supplies, equipment, contractual, professional development, field trips, and transportation. Reports are reviewed for correct spending codes, allowable expenditures, and required approvals.

- **Data Review Reports (DRRs)** - Program attendance and parent/family involvement activities are monitored on a quarterly basis. The form provides grantees a method for continuously tracking program attendance in order to meet proposed number of regular attendees to be served in the grant application. The state reviews DRRs based on attendance reported in Cayen, Center Profiles, Adult Skill-Building, and Family Engagement.

- **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:

- Attendance
- Student demographics
- Grades
- State assessment scores
- Student surveys, and
- Teacher surveys
- Program location
- Number of parent/guardian and/or family members who attended activities

**Kentucky Department of Education**  
**Nita M. Lowey 21st Century Community Learning Program**  
**Monitoring Processes**

- Number of community partners
- Number of school day teachers (paid/volunteer)
- Number of K-3 students receiving reading interventions and met benchmarks
- Number of summer programming weeks
- Academic activities
- CCR activities
- Enrichment activities
- Adult activities; and
- Character education activities

The school district, as fiscal agent or co-applicant, agrees to provide the individual designated as responsible for data collection and reporting timely access to necessary demographic and academic data in accordance with grant reporting requirements. Including, but not limited to, mandatory information for completion of Annual Performance Report (APR) data collection. (Examples of current requirements include grades, attendance, demographic information, disciplinary infractions, and state assessment scores).

If a non-governmental agency (CBO or FBO) serves as the fiscal agent, the school district/school must provide the individual designated as responsible for data collection and reporting, timely access to necessary demographic and academic data in accordance with grant reporting requirements. Including, but not limited to, mandatory information for completion of Annual Performance Report (APR) data collection. (Examples of current requirements include grades, attendance, demographic information, disciplinary infractions, and state assessment scores). Programs receive a profile annually. Profiles are used daily by KDE staff for providing technical assistance, review of program requests, and state-level data review.

**Corrective Action Plan (CAP)**

A CAP is sent to programs with the on-site visit report if non-compliances are identified. The KDE completes the CAP for the district to ensure efforts at the local level support compliance. The grantee has 60 days to implement from the approval date on the form. Depending on non-compliance, the KDE Consultant may determine compliance by receiving required documentation in an email or through another on-site visit. If the 60 days extends beyond the school year from receipt of the CAP, and another visit is required, the KDE will visit the program the following school year in October.

Failure to comply with these deadlines, provide acceptable evidence, or adhere to other conditions identified by KDE, will result in further actions as allowable under Sections [200.338-200.342](#) of Uniform Grant Guidance.

**Kentucky Department of Education**  
**Nita M. Lowey 21st Century Community Learning Program**  
**Monitoring Processes**

● **Grant Termination Process** - The Kentucky Department of Education, by written notice, may terminate the grant award for non-performance by the sub-grantee at anytime during the term of the award. Examples of “High Risk” non-performance/non-compliance include, but are not limited to, the failure to:

- A. Provide a high quality program with evidence of academic progress;
- B. Implement the program as described in the application;
- C. Serve number of regular attendee students as stated in the application;
- D. Meet the minimum hours of operations (hrs./days/weeks/summer)
- E. Adhere to assigned assurances;
- F. Submit required reports and documentation in a timely manner;
- G. Use funds in a responsible and appropriate manner;
- H. Resolve a non-compliance audit/monitoring finding within required timeframe;
- I. Submit required data within the timeframe; and,
- J. Implement a required Corrective Action Plan.

● **CONTINUATION FUNDING** - Pending adherence to state and federal guidelines of the grant, continued federal appropriations and improved academic performance of students, applicants will receive continuation funding for grant years four and five. During year three, KDE will review programs to determine eligibility for an additional two years of funding. If continued, in years four and five, programs must maintain the original level of programs and services to the same number of students.

\*The applicant understands that termination of the grant due to non-compliance, or if applicant withdraws mid-cycle from a successfully funded grant, the applicant will be ineligible to re-apply for a future grant to serve the identified school(s) for the remainder of years in the grant cycle. This period will be no less than five years from the date of termination or withdrawal. At that time, the grantee may re-apply as a continuation

● **RISK ASSESSMENT** – Grantees and areas of non-compliance are identified through the TA Visit and On-site Visit. Grantees are formally monitored the first three years of programming. Findings are used to refine state-level trainings, make changes to the RFA, improve guidance documentation, and review how the KDE provides technical assistance.