

SURVIVING A FISCAL AUDIT AND CPM

April 24, 2009

BOOST Conference

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Agenda

- Introductions
- Folder review
- CPM Overview
- What happens during CPM?
- Who is involved in the CPM process?
- What are they looking for?
- The “infamous” CPM box
- Preparing for the visit
- A few other “hints”
- The 5 W’s of fiscal audits
- Preparing for the audit
- Question and answer period



Goal and Objectives

■ Goals

- 1. To provide high level overview of the CPM and fiscal audit process to attendees

■ Objectives

- 1.To learn about the CPM and fiscal audit processes and tools
- 2.Discuss how to prepare for a CPM and fiscal audit



CPM Overview

- What is it?
 - Annual compliance monitoring of 20 categorical programs
 - Focused on meeting legal and/or statutory requirements, not focused on program quality
 - Consists of 2 components



CPM Overview Cont.

- Purpose

- To ensure that the statutory and legal requirements of the grant awards are being carried out by the grantee

- Importance

- Provides legitimacy to the program
 - Provides a process for grantees to conduct a self review of grant terms and conditions



CPM Overview Cont.

- When does it take place
 - Four year cycle*
 - Pilot on line process
- LEA selection process
 - criteria includes: PI status, API scores, number of categorical programs, etc.



CPM Overview Cont.

- Who is involved in the CPM?
 - CPM Team: individuals who are either CDE employees and/or contractors : fiscal and program specialists
 - LEA participants: Grants Manager, Program Coordinator/Director, Site Director, Principal or assignee, After school staff, After school students, parents, key community based partners



What happens during a CPM?

- Kick off meeting
- Paper review
- Interviews
- Observations
- Report writing
- Exit interview



What are they looking for?

- 1. Collaboration
- 2. Grade level of students served
- 3. Program hours and days
- 4. Early release policy
- 5. Daily snack
- 6. Reporting and maintenance
- 7. Effective use of public resources



What are they looking for ?: cont.

- 8. Allocation of funds
- 9. Fiscal reports and audits
- 10. Matching funds
- 11. Evaluation requirements and principles of effectiveness
- 12. Staff training



What are they looking for?: cont.

- 13. Student to staff ratio
- 14. Staff qualifications
- 15. Facility and transportation
- 16. Equal access
- 17. Academic and education enrichment activities
- 18. Family literacy



The infamous CPM box

- Notes/minutes from meeting with instructional day staff
- Collaborative notes/meetings/agendas
- List of grade levels served and # of students per grade
- Early release policy
- Snack schedule along with snack calculator print off sheet
- Sign in and sign out sheets
- Site budget with percentages for administration and program
- Matching funds information



The infamous CPM box: cont.

- Program evaluations and results
- Staff training calendar
- Staff list and schedule/hours
- Staff qualifications
- Program plan
- Program schedule
- Program calendar
- Family literacy overview



Preparing for the visit

- Prepare box well in advance, outside review
- Coordinate with LEA staff who handles CPM process
- Prepare staff, students, parents and administrators
- Practice questions/interview
- Coordinate with instructional day staff



A few other “hints”

- General tips sheet
- Findings from 2007-08
- Be flexible



The 5 W's of fiscal audits

- What: early release, attendance, hours of operation, match, allocation of funds
- When: annually
- Who: independent auditing firm
- Why: fiscal and compliance checks and balances
- Where: district office



Preparing for the audit

- Check in with fiscal/acctng. Staff
- Have paperwork ready
 - Early release policy
 - Sign in and out sheets
 - Attendance records including early release
 - Staff schedules and payroll records



Preparing for the audit cont.

- Have paperwork ready cont.
 - program policy and procedures
 - enrollment forms
 - match documentation
 - actual expenditures with indirect, administrative and program expenses clearly marked
- Label and tab items for auditor



Question and Answer Session

All School District Binder
After School Education and Safety Program Audit Program
June 30, 2008

Reference:	
Prepared by:	
Date:	

§ 19846. After School Education and Safety Program

If the local education agency received After School Education and Safety funds, perform the following procedures:

<u>Initials</u>	<u>W/P</u>
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(a) If the local education agency operated an after school program component

(1) Determine whether the local education agency established a policy regarding reasonable early daily release of pupils from the program.

_____	_____
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(2) Select a quarter for which attendance was reported for the after school base grant, and select a representative sample of schools for each program type, as that term is used in the report, for which data was reported in that quarter. Determine whether the reported number of students served, as that term is used in the report, for each selected school is supported by written records that document pupil participation, by tracing the reported numbers through any documentation used to summarize the numbers of students served, to written data origination documentation.

_____	_____
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(3) For each school selected pursuant to subparagraph (a)(2) of this section, determine whether the after school program commenced every day immediately upon the conclusion of the regular schoolday, operated a minimum of 15 hours per week, and operated until at least 6:00 p.m. every regular schoolday, by reviewing, for example, local policies and procedures, program staffing schedules, sign in/out sheets, program brochures, and other relevant documentation.

_____	_____
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(4) For each school selected pursuant to subparagraph (a)(2) of this section, determine whether elementary school pupils participated in the full day of the after school program on every day during which pupils participated, and determine whether pupils in middle or junior high schools attended the after school program a minimum of nine hours a week and three days a week, except as consistent with the established early release policy.

_____	_____
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(5) If any noncompliance is found through the foregoing procedures, include a statement in the Findings and Recommendations section of the audit report, stating that the local education agency did not have a policy on reasonable early daily release from the after school program, if that is the case, and including discrepancies, if any, between the reported numbers of students served and the totals arising from the supporting documentation; failure to operate consistent with the days/hours requirements set forth in subdivision (a)(3), if any; and the portion of reported students served that resulted from attendance, inconsistent with the established early release policy, by elementary school pupils for less than the full day of the after school program, and from attendance by middle or junior high school pupils for less than nine hours a week or fewer than three days a week, if any.

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(b) If the local education agency operated a before school program component:

(1) Determine whether the local education agency established a policy regarding reasonable late daily arrival of pupils to the program.

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Initials

W/P

(2) Select a quarter for which attendance was reported for the before school base grant, and select a representative sample of schools for each program type, as that term is used in the report, for which data was reported in that quarter. Determine whether the reported number of students served, as that term is used in the report, for each selected school is supported by written records that document pupil participation, by tracing the reported numbers through any documentation used to summarize the numbers of students served, to written data origination documentation.

(3) For each school selected pursuant to subparagraph (b)(2) of this section,

(A) Determine whether the local education agency operated the before school program for not less than one and one-half hours per regular schoolday, by reviewing, for example, local policies and procedures, program staffing schedules, sign in/out sheets, program brochures, and other relevant documentation.

(B) Determine whether attendance by pupils for less than one-half of the daily program hours was included in the report of students served.

(4) For each school selected pursuant to subparagraph (b)(2) of this section, determine whether elementary school pupils participated in the full day of the before school program on every day during which pupils participated, and determine whether pupils in middle or junior high schools attended the before school program a minimum of six hours a week and three days a week, except as consistent with the late arrival policy.

(5) If any noncompliance is identified through the foregoing procedures, include a statement in the Findings and Recommendations section of the audit report, stating that the local education agency did not have a policy on reasonable late daily arrival of pupils to the before school program, if that is the case, and including discrepancies, if any, between the reported numbers of students served and the totals arising from the supporting documentation; failure to operate for the required hours each schoolday as set forth in subparagraph (b)(3)(A) of this section, if any; and the portion of reported students served that resulted from attendance, inconsistent with the established late arrival policy, by elementary school pupils for less than the full day of the before school program, and by middle or junior high school pupils for less than six hours a week or fewer than three days a week, if any.

(c) General requirements:

(1) Verify that the local education agency contributed cash or in-kind local funds, equal to not less than one-third of the total state grant, which may have originated from the school district, other governmental agencies, community organizations, or the private sector. Facilities or space usage may fulfill not more than 25 percent of the required local contribution.

(2) Review program expenditures by performing the following procedures:

(A) Verify that expenditures of state funds for indirect costs were the lesser of the local education agency's indirect cost rate as approved by the California Department of Education for the year audited, or 5 percent of the state funding received.

(B) Verify that not more than 15 percent of the state funding was expended for administrative costs, including indirect costs charged to the program.

(C) Verify that not less than 85 percent of the state funding was allocated to schoolsites for direct services to pupils

Initials

W/P

(3) If the local education agency did not meet the minimum cash or in-kind local contribution requirement, spent state program funding on excess indirect costs or on excess administrative costs, provided an insufficient allocation to schoolsites, or any combination of the foregoing, include a finding in the Findings and Recommendations section of the audit report stating, correspondingly, the amount of the local match requirement, the amount by which the local education agency failed to meet the match requirement, the excess amount of the local match requirement fulfilled through facilities or space usage, the amount(s) inappropriately spent, and the amount of the insufficiency in schoolsite allocations.

NOTE: Authority cited: Section 14502.1, Education Code. Reference: Sections 8482.3, 14502.1, 14503 and 41020, Education Code.

Conclusion:

We have applied procedures sufficient to achieve the audit objectives for test of state compliance regarding the After School Education and Safety Program and the results of these procedures are adequately documented in this audit program and accompanying workpapers.

No Child Left Behind (NCLB), Title IV, Part B: 21st Century Community Learning Centers (21stCCLC), 21st Century High School After School Safety and Enrichment for Teens (ASSETs), and After School Education and Safety (ASES) Instrument for Categorical Program Monitoring (CPM): An Ongoing Process

Desired Outcomes

For After School Education and Safety (ASES): Create incentives for establishing locally driven before- and after-school enrichment programs during school days and summer, intersession, or vacation days that partner public schools and communities to provide academic and literacy support and safe, constructive enrichment activities for students. (EC 8482)

For 21st CCLC, ASSETs: Assist students to meet state and local academic achievement standards in core academic subjects and/or pass the high school exit examination. (EC 8421, EC 8482, 20 USC 7171[a][1-3])

For 21st CCLC, ASSETs: Provide students with enrichment activities to complement their regular academic programs. (EC 8482, 20 USC 7171[a][1-3])

For 21st CCLC, ASSETs: Provide families of students with learning opportunities to improve their literacy and educational development. (20 USC 7171[a][1-3])

Program Dimensions

Each categorical program is reviewed using the following interrelated seven dimensions:

- I. Involvement.** Parents, staff, students, and community members participate in developing, implementing, and evaluating core and categorical programs.
- II. Governance and Administration.** Policies, plans, and administration of categorical programs meet statutory requirements.
- II. Funding.** Allocation and use of funds meet statutory requirements for allowable expenditures.
- IV. Standards, Assessment, and Accountability.** Categorical programs meet state standards, are based on the assessed needs of program participants, and achieve the intended outcomes of the categorical program.
- V. Staffing and Professional Development.** Staff members are recruited, trained, assigned, and assisted to ensure the effectiveness of the program.
- VI. Opportunity and Equal Educational Access.** Participants have equitable access to all programs provided by the local educational agency, as required by law.
- VII. Teaching and Learning.** Participants receive core and categorical program services that meet their assessed needs

Note: Because the methodology of the California Department of Education monitoring team includes sampling, the monitoring process cannot produce an all-inclusive assessment of items in this instrument. The local educational agency (LEA) is responsible for operating its categorical programs in compliance with all applicable laws and regulations.

I	Involvement	Parents, staff, students, and community members participate in developing, implementing, and evaluating core and categorical programs.	
<p>I-BASP 1. (ASES, 21st CCLC, ASSETs) The LEA/grantee agency actively collaborates, during both initial program development and ongoing program implementation, with the schools the students attend. (20 USC 7174[b][2][D]; EC 8482.5[b], 8422[b], 8483.3[c][6], 8484.6[a])</p> <p>1.1. (ASES, 21st CCLC, ASSETs) The LEA/grantee agency plans collaboratively with parents, youth, representatives of participating public schools (e.g., school site principals and staff), governmental agencies, such as city and county parks and recreation departments, local law enforcement, community organizations, and the private sector. (EC 8482.5[b], 8422[b], 8483.3[c][6])</p> <p>1. 2. (ASES, 21st CCLC, ASSETs) The program was developed and will be carried out in active collaboration with the schools the students attend and integrated with the regular school day and other extended learning opportunities. (EC 8483.3[c][5]; 20 USC 7174[b][2][D])</p> <p>1. 3. (ASES, 21st CCLC, ASSETs) Offsite programs align the educational and literacy/academic assistance element of the program with participating students' regular school programs. (EC 8484.6[a])</p>			
Evidence Reviewed			
Document		Interview	
<input type="checkbox"/> Grant application <input type="checkbox"/> Planning documents <input type="checkbox"/> Program plan <input type="checkbox"/> Letters, e-mails, memos, Internet posting, newsletters and handbooks, or other materials sent to appropriate entities regarding program collaboration <input type="checkbox"/> Regular day and after school staff meeting agendas and/or minutes <input type="checkbox"/> Collaborative partner meeting agendas and/or minutes <input type="checkbox"/> Student surveys <input type="checkbox"/> Single Plan for Student Achievement <input type="checkbox"/> Flyers/brochures <input type="checkbox"/> Other: _____		<input type="checkbox"/> Grant coordinator <input type="checkbox"/> Site coordinator <input type="checkbox"/> After school program staff <input type="checkbox"/> District staff <input type="checkbox"/> School site staff <input type="checkbox"/> Students <input type="checkbox"/> Parents <input type="checkbox"/> School principal <input type="checkbox"/> Others: _____	
Findings:			
<p>Conclusion <input type="checkbox"/> Meets requirements <input type="checkbox"/> Does not meet requirements <input type="checkbox"/> Not reviewed</p>			

II	Governance and Administration	
Policies, plans, and administration of categorical programs meet statutory requirements.		
II-BASP 2. (ASES, 21st CCLC, ASSETs) The LEA/grantee agency serves pupils in appropriate grade levels at participating schools. (20 USC 7173[a][3][A][iii]; EC 8482.3[a], 8484.8[e][1], 8421[a])		
2.1 (ASES) The LEA/grantee agency serves students in kindergarten and grades 1–9, inclusive, at participating public schools. (EC 8482.3[a]) 2.2 (21 st CCLC) The LEA/grantee agency serves students in elementary and middle grades of eligible public and/or private schools. (20 USC 7173[a][3][A][ii]; EC 8484.8[e][1]) 2.3 (ASSETs) The LEA/grantee agency serves students in grades 9–12, inclusive, of eligible public and/or private schools. (20 USC 7173[a][3][A][ii]; EC 8421[a])		
Evidence Reviewed		
Document <input type="checkbox"/> Grant application <input type="checkbox"/> Program plan <input type="checkbox"/> Single Plan for Student Achievement <input type="checkbox"/> School report card <input type="checkbox"/> Other: _____	Interview <input type="checkbox"/> Grant coordinator <input type="checkbox"/> Site coordinator <input type="checkbox"/> After school program staff <input type="checkbox"/> District staff <input type="checkbox"/> Categorical programs director	
Findings:		
Conclusion <input type="checkbox"/> Meets requirements <input type="checkbox"/> Does not meet requirements <input type="checkbox"/> Not reviewed		
II-BASP 3. (ASES, 21st CCLC, ASSETs) The LEA/grantee agency operates its program the required number of hours per day and days per week on every regular school day. (EC 8483, 8483.1[a][1], 8483.2, 8421[c])		
3.1 (ASES, 21 st CCLC) The after school program component commences immediately upon the conclusion of the regular school day and operates a minimum of 15 hours per week and at least until 6 p.m. on every regular school day. (EC 8483) 3.2 (ASES, 21 st CCLC) Before school programs operate for no less than one and one-half hours each regular school day. (EC 8483.1[a][1]) 3.3 (ASES, 21 st CCLC) The LEA/grantee agency that operates both a before and after school program during summer, intersession, or vacation periods operates these programs a minimum of four and one-half hours per day. (EC 8483.2) 3.4 (ASSETs) The LEA/grantee agency operates a minimum of 15 hours per week, which may include after school and any combination of before school, weekends, summer, intersession, and vacation. (EC 8421[c], 8422 [d] [1,2])		
Evidence Reviewed		
Document <input type="checkbox"/> Grant application <input type="checkbox"/> Evaluation reports <input type="checkbox"/> Program plan <input type="checkbox"/> Annual performance review <input type="checkbox"/> Expenditure reports <input type="checkbox"/> Other: _____ <input type="checkbox"/> Attendance reports	Interview <input type="checkbox"/> Grant coordinator <input type="checkbox"/> Site coordinator <input type="checkbox"/> District staff <input type="checkbox"/> Other: _____	

<input type="checkbox"/> Brochures <input type="checkbox"/> Schedules	
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Findings:

Conclusion Meets requirements Does not meet requirements Not reviewed

II-BASP 4. (ASES, 21st CCLC) The LEA/grantee agency has established policies for reasonable early release of pupils in the after school program and reasonable late daily arrival of pupils in the before school program. (EC 8483[a][1], 8483.1[a][1])

Evidence Reviewed

Document	Interview
<input type="checkbox"/> Program brochures/schedules <input type="checkbox"/> Operation policies and documents <input type="checkbox"/> Web-based Information <input type="checkbox"/> Attendance reports <input type="checkbox"/> Roll/sign-in sheets <input type="checkbox"/> Staff pay records (hrs/wk) <input type="checkbox"/> Program plan <input type="checkbox"/> Other: _____	<input type="checkbox"/> Grant coordinator <input type="checkbox"/> Site coordinator <input type="checkbox"/> After school program staff <input type="checkbox"/> School principal <input type="checkbox"/> Students <input type="checkbox"/> Parents <input type="checkbox"/> Other: _____

Findings:

Conclusion Meets requirements Does not meet requirements Not reviewed

II-BASP 5. (ASES, 21st CCLC, ASSETs) The program provides a daily nutritious snack/meal for attending students. (EC 8423[c][3], 8483.3[c][8], 8483.1[c])

5.1 (ASES, 21st CCLC, ASSETs) The nutritious snack conforms to the nutrition standards in Article 2.5 of Chapter 9 of Part 27. (EC 8482.3[d])

5.2 (ASES, 21st CCLC) The before school program offers a breakfast meal for attending students as described by Section 49553. (EC 8483.1[c])

Evidence Reviewed

Document	Interview
<input type="checkbox"/> Receipts <input type="checkbox"/> Menus <input type="checkbox"/> Nutrition information <input type="checkbox"/> Budget <input type="checkbox"/> Program plan <input type="checkbox"/> Other: _____	<input type="checkbox"/> Grant coordinator <input type="checkbox"/> Site coordinator <input type="checkbox"/> After school program staff <input type="checkbox"/> District staff <input type="checkbox"/> School principal <input type="checkbox"/> Students

	<input type="checkbox"/> Other: _____
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Findings:

Conclusion Meets requirements Does not meet requirements Not reviewed

II-BASP 6. (ASSETs) The program includes a physical activity element. (EC 8423[c][3])

Evidence Reviewed

Document	Interview	Observe
<input type="checkbox"/> Grant application	<input type="checkbox"/> Grant coordinator	<input type="checkbox"/> Program site
<input type="checkbox"/> Program schedule/brochure	<input type="checkbox"/> Site coordinator	<input type="checkbox"/> Other: _____
<input type="checkbox"/> Lesson plans and activities	<input type="checkbox"/> After school program staff	
<input type="checkbox"/> Curriculum materials	<input type="checkbox"/> School principal	
<input type="checkbox"/> Program plan	<input type="checkbox"/> Students	
<input type="checkbox"/> Other: _____	<input type="checkbox"/> Other: _____	

Findings:

Conclusion Meets requirements Does not meet requirements Not reviewed

II-BASP 7. (ASES, 21st CCLC, ASSETs) The LEA/grantee agency submits data and reports and maintains records as required. (EC 8484.8[b][3], 8482.3[f][5], 8482.3[f][10][A-C])

- 7.1 (ASES, 21st CCLC, ASSETs) The LEA/grantee agency reviews its after school program plan every three years including, but not limited to, program goals, program content, outcome measures, and other information requested by CDE. (EC 8482.3[g][1])
- 7.2 (ASES, 21st CCLC, ASSETs) The LEA/grantee agency maintains documentation of the after school program plan for a minimum of five years. (EC 8482.3[g][1][F])
- 7.3 (ASES, 21st CCLC, ASSETs) The LEA/grantee agency submits program attendance data semiannually and regular school day attendance data annually. (EC 8482.3[f][10][A-C], 8483.55[c][4], 8484.8[e][5], 8426[d])

Evidence Reviewed

Document	Interview	Observe
<input type="checkbox"/> Program brochures/schedules	<input type="checkbox"/> Grant coordinator	<input type="checkbox"/> Program site
<input type="checkbox"/> Operation policies and documents	<input type="checkbox"/> Site coordinator	<input type="checkbox"/> Entry and exit protocols
<input type="checkbox"/> Program plan	<input type="checkbox"/> After school program staff	<input type="checkbox"/> Other: _____
<input type="checkbox"/> Web-based information	<input type="checkbox"/> School principal	
<input type="checkbox"/> Attendance reports	<input type="checkbox"/> Students	
<input type="checkbox"/> Roll/sign-in sheets	<input type="checkbox"/> Parents	
	<input type="checkbox"/> Other: _____	

Staff pay records (hrs/wk)
 Other: _____

Findings:

Conclusion Meets requirements Does not meet requirements Not reviewed

II-BASP 8. (21st CCLC, ASSETs) The LEA/grantee agency coordinates with other federal, state, and local programs to make the most effective use of public resources. (20 USC 7174[b][2][c]; EC 8484.8[e][4], 8421[f][5])

Evidence Reviewed

Document	Interview	Observe
<input type="checkbox"/> Program brochures/schedules	<input type="checkbox"/> Grant coordinator	<input type="checkbox"/> Program site
<input type="checkbox"/> Operation policies and documents	<input type="checkbox"/> Site coordinator	<input type="checkbox"/> Entry and exit protocols
<input type="checkbox"/> Program plan	<input type="checkbox"/> After school program staff	<input type="checkbox"/> Other: _____
<input type="checkbox"/> Single Plan for Student Achievement	<input type="checkbox"/> School principal	
<input type="checkbox"/> Web-based information	<input type="checkbox"/> Students	
<input type="checkbox"/> Attendance reports	<input type="checkbox"/> Parents	
<input type="checkbox"/> Roll/sign-in sheets	<input type="checkbox"/> Other: _____	
<input type="checkbox"/> Staff pay records (hrs/wk)		
<input type="checkbox"/> Other: _____		

Findings:

Conclusion Meets requirements Does not meet requirements Not reviewed

III Funding
 Allocation and use of funds meet statutory requirements for allowable expenditures.

III-BASP 9. (ASES, 21st CCLC) The LEA/grantee agency allocates no less than 85 percent of total grant amount to school sites for direct services to pupils. (EC 8483.9 [c])

- 9.1 (ASES, 21st CCLC, ASSETs) The LEA/grantee agency spends no more than 15 percent of the amount of the grant for administrative costs, which includes any indirect costs. (EC 8483.9[b], 8484.8[e][3][B])
- 9.2 (ASSETs) The LEA/grantee agency spends no more than the greater of 6 percent of the grant amount or seven thousand five hundred dollars (\$7,500) to collect outcome data for evaluation and for reports as required by the CDE. (EC 8426 [g][2])

Evidence Reviewed		
Document <input type="checkbox"/> Expenditure reports <input type="checkbox"/> Line-item budgets <input type="checkbox"/> Time sheets, including time accounting <input type="checkbox"/> Position duty statements <input type="checkbox"/> Contracts <input type="checkbox"/> Other: _____	Interview <input type="checkbox"/> Grant coordinator <input type="checkbox"/> Site coordinator <input type="checkbox"/> After school program staff <input type="checkbox"/> District staff <input type="checkbox"/> Other: _____	
Findings:		
Conclusion <input type="checkbox"/> Meets requirements <input type="checkbox"/> Does not meet requirements <input type="checkbox"/> Not reviewed		
III-BASP 10. (ASES, 21st CCLC, ASSETs) The LEA/grantee agency follows all fiscal and auditing standards required by the CDE. (EC 8482.3[f][5], 8484.8[b][3,4])		
10.1 (ASES, 21 st CCLC, ASSETs) The LEA/grantee agency submits annual budget reports and quarterly expenditure reports. (EC 8482.3[f][5], 8484.8[b][3,4])		
10.2 (21 st CCLC, ASSETs) The LEA/grantee agency conducts an annual fiscal audit. (EC 8484.8[b][3])		
Evidence Reviewed		
Document <input type="checkbox"/> Expenditure reports <input type="checkbox"/> Line-item budgets <input type="checkbox"/> Fiscal and/or state audit <input type="checkbox"/> Time sheets, including time accounting <input type="checkbox"/> Position duty statements <input type="checkbox"/> Contracts <input type="checkbox"/> Other: _____	Interview <input type="checkbox"/> Grant coordinator <input type="checkbox"/> Site coordinator <input type="checkbox"/> After school program staff <input type="checkbox"/> District staff <input type="checkbox"/> Other: _____	
Findings:		
Conclusion <input type="checkbox"/> Meets requirements <input type="checkbox"/> Does not meet requirements <input type="checkbox"/> Not reviewed		
III-BASP 11. (ASES) The LEA/grantee agency operating an ASES program has obtained a local contribution of cash or in-kind local funds equal to not less than one-third of the total grant amount. Facilities or space usage may fulfill not more than 25 percent of the required local match. (EC 8483.7[a][5], 8483.75[a][4]).		
Evidence Reviewed		
Document <input type="checkbox"/> Expenditure reports <input type="checkbox"/> Line-item budgets	<input type="checkbox"/> Position duty statements <input type="checkbox"/> Contracts	Interview <input type="checkbox"/> Grant coordinator <input type="checkbox"/> Site coordinator

<input type="checkbox"/> Time sheets, including time-accounting methods <input type="checkbox"/> Memorandum of Understanding (MOU)	<input type="checkbox"/> Other: _____ <input type="checkbox"/> Other: _____	<input type="checkbox"/> After school program staff <input type="checkbox"/> District staff <input type="checkbox"/> Other: _____
Findings:		
Conclusion		
<input type="checkbox"/> Meets requirements	<input type="checkbox"/> Does not meet requirements	<input type="checkbox"/> Not reviewed

IV	Standards, Assessment, and Accountability Categorical programs meet state standards, are based on the assessed needs of program participants, and achieve the intended outcomes of the categorical program.
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IV-BASP 12. (21st CCLC, ASSETs) The program developed by the LEA/grantee agency meets evaluation requirements and principles of effectiveness:

- (a) Program is based upon an assessment of objective data regarding the need for before and after school programs (including during summer recess periods) and activities in schools and communities;
- (b) Program is based upon an established set of performance measures aimed at ensuring the availability of high-quality academic enrichment activities;
- (c) Program is based upon scientifically based research that will help the students meet state and local academic achievement standards (if appropriate);
- (d) Program undergoes a periodic evaluation to assess progress toward providing high-quality opportunities for academic enrichment;
- (e) The results of evaluations are used to refine and improve the program and its performance measures; and
- (f) The results of evaluations are made available to the public upon request with public notice of such availability provided. (20 USC 7175[b][1-2])

Evidence Reviewed

Document	Interview
<input type="checkbox"/> Grant application <input type="checkbox"/> Program plan <input type="checkbox"/> Program schedule/brochure <input type="checkbox"/> Collaborative partners' meeting minutes <input type="checkbox"/> Lesson plans and activities <input type="checkbox"/> Curriculum materials <input type="checkbox"/> California Healthy Kids Survey data <input type="checkbox"/> School accountability report card <input type="checkbox"/> Evaluation report <input type="checkbox"/> Documentation of how evaluation results were used to refine, improve, and strengthen the program	<input type="checkbox"/> Evaluation plan <input type="checkbox"/> Notice of public availability of evaluation results <input type="checkbox"/> Program plan <input type="checkbox"/> Attendance and truancy reports <input type="checkbox"/> Reports to board <input type="checkbox"/> Other: _____ <input type="checkbox"/> Grant coordinator <input type="checkbox"/> Site coordinator <input type="checkbox"/> After school program staff <input type="checkbox"/> District staff <input type="checkbox"/> Teachers <input type="checkbox"/> Other: _____

Findings:

Conclusion Meets requirements Does not meet requirements Not reviewed

IV-BASP 13. (ASES, 21st CCLC, ASSETs) The LEA/grantee agency submits required annual outcome-based data for evaluation. (EC 8484, 8427[a])

Evidence Reviewed

Document	Interview
<input type="checkbox"/> Grant application	<input type="checkbox"/> Grant coordinator
<input type="checkbox"/> Program plan	<input type="checkbox"/> Site coordinator
<input type="checkbox"/> Program schedule/brochure	<input type="checkbox"/> After school program staff
<input type="checkbox"/> Collaborative partners' meeting minutes	<input type="checkbox"/> District staff
<input type="checkbox"/> Lesson plans and activities	<input type="checkbox"/> Teachers
<input type="checkbox"/> Curriculum materials	<input type="checkbox"/> Other: _____
<input type="checkbox"/> California Healthy Kids Survey data	<input type="checkbox"/> Documentation of how evaluation results were used to refine, improve, and strengthen the program
<input type="checkbox"/> School accountability report card	<input type="checkbox"/> Program plan performance indicators
<input type="checkbox"/> Evaluation report	<input type="checkbox"/> Evaluation plan
	<input type="checkbox"/> Notice of public availability of evaluation results
	<input type="checkbox"/> Program plan
	<input type="checkbox"/> Attendance and truancy reports
	<input type="checkbox"/> Reports to board
	<input type="checkbox"/> Other: _____

Findings:

Conclusion Meets requirements Does not meet requirements Not reviewed

V **Staffing and Professional Development**
Staff members are recruited, trained, assigned, and assisted to ensure the effectiveness of the program.

V-BASP 14. (ASES, 21st CCLC, ASSETs) The LEA/grantee agency provides staff training and development. (EC 8483.3[c][4])

Evidence Reviewed

Document	Interview
<input type="checkbox"/> Training sign-in sheets	<input type="checkbox"/> Grant coordinator
<input type="checkbox"/> Personnel records	<input type="checkbox"/> Site coordinator
<input type="checkbox"/> Training schedule	<input type="checkbox"/> After school program staff
<input type="checkbox"/> Professional development/training materials	<input type="checkbox"/> District staff
<input type="checkbox"/> Other: _____	<input type="checkbox"/> Other: _____

Findings:

Conclusion <input type="checkbox"/> Meets requirements <input type="checkbox"/> Does not meet requirements <input type="checkbox"/> Not reviewed		
V-BASP 15. (ASES, 21st CCLC, ASSETs) The LEA/grantee agency ensures that programs maintain a student-to-staff ratio of no more than 20 to 1. (EC 8483.4)		
Evidence Reviewed		
Document <input type="checkbox"/> Attendance records <input type="checkbox"/> Personnel records <input type="checkbox"/> Other: _____	Interview <input type="checkbox"/> Grant coordinator <input type="checkbox"/> Site coordinator <input type="checkbox"/> After school program staff <input type="checkbox"/> District staff <input type="checkbox"/> Other: _____	Observe <input type="checkbox"/> Program site <input type="checkbox"/> Other: _____
Findings:		
Conclusion <input type="checkbox"/> Meets requirements <input type="checkbox"/> Does not meet requirements <input type="checkbox"/> Not reviewed		
V-BASP 16. (ASES, 21st CCLC, ASSETs) The LEA/grantee agency ensures that all staff members who directly supervise pupils meet the minimum qualifications for an instructional aide according to the policies of the school district. (EC 8483.4)		
Evidence Reviewed		
Document <input type="checkbox"/> District policy <input type="checkbox"/> Recruitment and training documents <input type="checkbox"/> Personnel records <input type="checkbox"/> Other: _____	Interview <input type="checkbox"/> Grant coordinator <input type="checkbox"/> Site coordinator <input type="checkbox"/> After school program staff <input type="checkbox"/> District staff <input type="checkbox"/> Other: _____	
Findings:		
Conclusion <input type="checkbox"/> Meets requirements <input type="checkbox"/> Does not meet requirements <input type="checkbox"/> Not reviewed		

VI	Opportunity and Equal Educational Access Participants have equitable access to all programs provided by the LEA as provided by law.
VI-BASP 17. (ASES, 21st CCLC, ASSETs) The LEA/grantee agency provides services in a safe and easily accessible facility that ensures students travel safely to and from the program site and home. (20 USC 7174[2][A]; EC 8484.6[a])	
17.1 (21 st CCLC, ASSETs) If the program is located in a facility other than an elementary or secondary school, the LEA/grantee agency has ensured that the program will be at least as accessible to the students to be served as if the program were located in an elementary or secondary school. (20 USC 7174[c])	

17.2 (ASES, 21st CCLC, ASSETs) If an LEA/grantee agency locates a program off school grounds, safe transportation is provided to the pupils enrolled in the program. (EC 8484.6[a])

Evidence Reviewed

Document	Interview	Observe
<input type="checkbox"/> District policy <input type="checkbox"/> Parent notification materials <input type="checkbox"/> Training materials related to student access <input type="checkbox"/> Collaborative partner meeting agendas and minutes <input type="checkbox"/> Local maps with student travel routes <input type="checkbox"/> Program plan <input type="checkbox"/> School safety plan <input type="checkbox"/> Other: _____	<input type="checkbox"/> Grant coordinator <input type="checkbox"/> Site coordinator <input type="checkbox"/> After school program staff <input type="checkbox"/> District staff <input type="checkbox"/> Principal <input type="checkbox"/> Special education specialist <input type="checkbox"/> Teachers <input type="checkbox"/> Students <input type="checkbox"/> Parents <input type="checkbox"/> Others: _____	<input type="checkbox"/> Location surroundings <input type="checkbox"/> Program site <input type="checkbox"/> Posted health and safety information <input type="checkbox"/> Other: _____

Findings:

Conclusion Meets requirements Does not meet requirements Not reviewed

VI- BASP 18. (ASES, 21st CCLC, ASSETs) The LEA/grantee agency makes services equally accessible to all students and families of students targeted for services regardless of their ability to pay. (EC 8482.6)

18.1 (21st CCLC, ASSETs) If the LEA/agency does charge fees, it uses a sliding scale of fees and scholarships for those who cannot afford to participate. (20 USC 7174[d] [2])

Evidence Reviewed

Document	Interview
<input type="checkbox"/> Parent notification materials <input type="checkbox"/> Training materials related to student access <input type="checkbox"/> Letters, newsletters, handbooks, e-mails, or other materials <input type="checkbox"/> IEPs (individualized education programs) for students in BASP <input type="checkbox"/> Outreach documents <input type="checkbox"/> Program plan <input type="checkbox"/> District policies <input type="checkbox"/> Fee schedule <input type="checkbox"/> Other: _____	<input type="checkbox"/> Grant coordinator <input type="checkbox"/> Site coordinator <input type="checkbox"/> After school program staff <input type="checkbox"/> District staff <input type="checkbox"/> Teachers <input type="checkbox"/> Parents <input type="checkbox"/> Students <input type="checkbox"/> School administrator <input type="checkbox"/> Other: _____

Findings:

Conclusion Meets requirements Does not meet requirements Not reviewed

VII Teaching and Learning
 Participants receive core and categorical program services that meet their assessed needs.

VII-BASP 19. (ASES, 21st CCLC, ASSETs) The LEA/grantee agency provides opportunities for:
a. Academic enrichment to help students to meet state and local academic standards in core academic subjects such as reading and mathematics
b. Educational enrichment services, programs, and activities that are designed to reinforce and complement the regular academic program of participating students. (EC 8482.3[c][2]; 20 USC 7171 [a][1,2])

Evidence Reviewed

Document	Interview	Observe
<input type="checkbox"/> Academic achievement documents (e.g., California Standards Test [CST])	<input type="checkbox"/> Grant coordinator	<input type="checkbox"/> Program site
<input type="checkbox"/> Test scores	<input type="checkbox"/> Site coordinator	<input type="checkbox"/> Other: _____
<input type="checkbox"/> Program plan	<input type="checkbox"/> After school program staff	
<input type="checkbox"/> Program schedules	<input type="checkbox"/> District staff	
<input type="checkbox"/> Curriculum materials	<input type="checkbox"/> Teachers	
<input type="checkbox"/> Lesson plans	<input type="checkbox"/> Parents	
<input type="checkbox"/> Outreach documents and brochures	<input type="checkbox"/> Students	
<input type="checkbox"/> Memoranda of Understanding (MOU)	<input type="checkbox"/> Other: _____	
<input type="checkbox"/> Other: _____		

Findings:

Conclusion Meets requirements Does not meet requirements Not reviewed

VII –BASP 20. (21st CCLC, ASSETs) The LEA/grantee agency provides literacy and related educational development for families of students served. (20 USC 7171[a][3])

Evidence Reviewed:

Document	Interview	Observe
<input type="checkbox"/> Grant application	<input type="checkbox"/> Grant coordinator	<input type="checkbox"/> Program site
<input type="checkbox"/> Program plan	<input type="checkbox"/> Site coordinator	<input type="checkbox"/> Other: _____
<input type="checkbox"/> Brochures/course offerings	<input type="checkbox"/> After school program staff	
<input type="checkbox"/> Training materials	<input type="checkbox"/> District staff	

<input type="checkbox"/> Program descriptions and schedules	<input type="checkbox"/> Site principal	
<input type="checkbox"/> MOUs	<input type="checkbox"/> Parents	
<input type="checkbox"/> Curriculum materials	<input type="checkbox"/> Other: _____	
<input type="checkbox"/> Lesson plans		
<input type="checkbox"/> Other: _____		
Findings:		
Conclusion <input type="checkbox"/> Meets requirements <input type="checkbox"/> Does not meet requirements <input type="checkbox"/> Not reviewed		

No Child Left Behind (NCLB), Title IV, Part B: 21st Century Community Learning Centers (21stCCLC), 21st Century High School After School Safety and Enrichment for Teens (ASSETs), and After School Education and Safety Program (ASES) Ongoing Program Self-Evaluation Tool (OPSET) for Categorical Program Monitoring (CPM): An Ongoing Monitoring Process

Background

Both state and federal laws require the California Department of Education (CDE) to monitor categorical programs operated by local educational agencies (LEAs) and other grantee agencies. This state oversight is accomplished in part by conducting annual monitoring of one-quarter of the categorical programs administered by LEAs/grantee agencies. The CDE monitors for compliance with requirements of each categorical program, including fiscal requirements.

In 2005, the CDE instituted the Categorical Program Monitoring (CPM) cycle to monitor current state and federal legal requirements. All the legal requirements are organized under seven program dimensions operating within six processes that lead to documented actions.

Desired Outcomes

Categorical programs are established by state or federal law that identifies the intent of the program. This intent is the desired outcome for the required actions and use of program funds. CPM is organized around the desired outcomes.

Seven Dimensions of CPM

Categorical program requirements can be organized under the following interrelated seven dimensions:

- I. Involvement.** Parents, staff, students, and community members participate in developing, implementing, and evaluating core and categorical programs.
- II. Governance and Administration.** Policies, plans, and administration of categorical programs meet statutory requirements.
- III. Funding.** Allocation and use of funds meet statutory requirements for allowable expenditures.
- IV. Standards, Assessment, and Accountability.** Categorical programs meet state standards, are based on the assessed needs of program participants, and achieve the intended outcomes of the categorical program.
- V. Staffing and Professional Development.** Staff members are recruited, trained, assigned, and assisted to ensure the effectiveness of the program.
- VI. Opportunity and Equal Educational Access.** Participants have equitable access to all programs provided by the local educational agency, as required by law.
- VII. Teaching and Learning.** Participants receive core and categorical program services that meet their assessed needs.

Six Processes Used in the CPM Cycle

- The following six processes are not listed in hierarchical order:
- Seek input.
- Reaffirm or revise goals.

- Revise improvement strategies and expenditures.
- Inform governing board or seek its approval.
- Monitor implementation.
- Measure effectiveness of improvement strategies.

Documented Actions

- Documented actions are the artifact or evidence indicating that program requirements have been met. Documented actions address the following:
- What action was taken
- Who received or provided the action
- When the action took place

Why the action was taken; what the context was

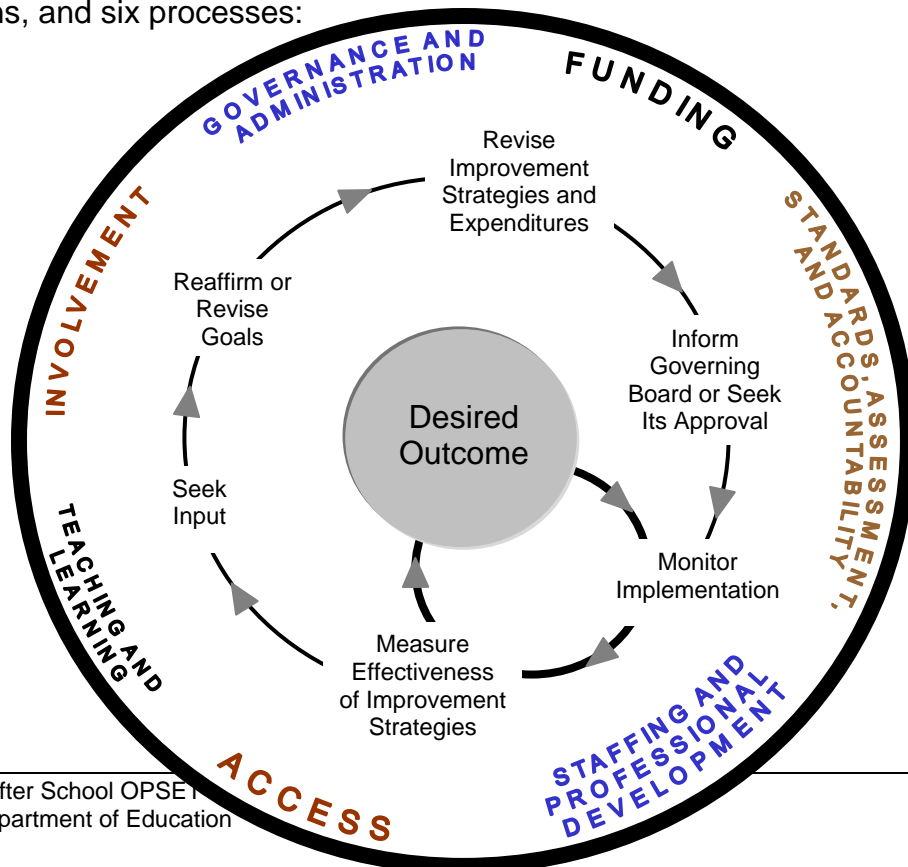
Required actions are stipulated in statute. However, if statute does not stipulate specific actions, then the local governing body determines the action. The LEA/grantee agency is responsible for documenting the action and showing that the required action took place.

Model of Ongoing Monitoring

- CPM incorporates a general model of ongoing improvement for the following items:
- ASES, 21st CCLC, ASSETs application/program plan
- LEA/grantee agency ongoing self-monitoring

CDE monitoring process

The diagram represents this model and incorporates the desired outcomes, seven dimensions, and six processes:



Desired Outcomes

- Create incentives for establishing locally driven before and after school programs that partner public schools and communities to provide academic and literacy support and safe constructive enrichment activities for students.
- Assist students to meet state and local academic achievement standards in core academic subjects and/or pass the high school exit examination.
- Offer students enrichment activities to complement the regular academic program.
- Provide opportunities to improve the literacy and educational development of families of students.

(20 USC 7171[a][1-3]; EC 8482, 8421)

I	<p>Involvement Parents, staff, students, and community members participate in developing, implementing, and evaluating core and categorical programs.</p>
<p>Synthesis of Requirements</p> <p>ASES, 21st CCLC and ASSETs programs are planned, implemented and operated with the collaboration of all interested parties. This includes collaboration with the schools the students attend during the regular school day. Program sites must align the educational and literacy element of the program with the participating pupils' regular school programs. This also applies to programs that operate off site.</p>	
<p>Core and Supporting Items</p> <p>I-BASP 1. (ASES, 21st CCLC, ASSETs) The LEA/grantee agency actively collaborates, during both initial program development and ongoing program implementation, with the schools the students attend. (20 USC 7174[b][2][D]; EC 8482.5[b], 8422[b], 8483.3[c][6], 8484.6[a])</p> <p>1.1. (ASES, 21st CCLC, ASSETs) The LEA/grantee agency plans collaboratively with parents, youth, representatives of participating public schools (e.g., school site principals and staff), governmental agencies such as city and county parks and recreation departments, local law enforcement, community organizations, and the private sector. (EC 8482.5[b], 8422[b], 8483.3[c][6])</p> <p>1. 2. (ASES, 21st CCLC, ASSETs) The program was developed and will be carried out in active collaboration with the schools the students attend and integrated with the regular school day and other extended learning opportunities. (EC 8483.3[c][5]; 20 USC 7174[b][2][D])</p> <p>1. 3. (ASES, 21st CCLC, ASSETs) Off-site programs align the educational and literacy/academic assistance element of the program with participating students' regular school programs. (EC 8484.6[a])</p>	
<p>Examples of Evidence: <i>Evidence of compliance may be derived from single or multiple sources. Complex compliance items may require several sources of evidence.</i></p>	
<p>Documents</p> <ul style="list-style-type: none"> • Grant application(s) • Planning documents • Program plan • Letters, e-mails 	

- Memos to staff, parents, and the community
- Handbooks
- Newsletters
- Internet posting
- Flyers/brochures
- Student surveys
- Parent surveys
- Reports to the school board
- Records of meetings: collaborative partner, regular day, and after school staff meeting agendas and/or minutes
- Attendees and representatives of parents, the community at large, law enforcement, and youth-serving organizations
- Rosters of representative groups

Suggested Prompts for Ongoing Compliance

- With what entities did you consult during initial program development?
- What coordination occurred as a result of consultation?
- When and how often were parents, community members, and private school representatives consulted in the design and development of the program or activity?
- Give an example of parents, community members, and private school representatives' contribution to the design, development, and administration of the program or activity.
- What methods were used to obtain ideas and suggestions from students, parents, and community members?
- Were private school representatives consulted in the design and development of the program?
- Give an example of active collaboration/alignment with the schools students attend during the regular school day. How does this vary for any programs that are operated off site?
- Give an example of how the LEA/grantee agency interacts with other public or private agencies in the collaborative.

Resources

After School Programs Office. <http://www.cde.ca.gov/ls>
California Basic Educational Data System (CBEDS). <http://www.cde.ca.gov/ds/ds>
California Healthy Kids Survey. http://www.wested.org/pub/docs/chks_home.html
California laws and codes. <http://www.leginfo.ca.gov>
California Learning Resource Network (CLRN). <http://www.clrn.org>
Dataquest. <http://data1.cde.ca.gov/dataquest/>
Southwest Educational Development Laboratory (SEDL). <http://www.sedl.org>
21st Century Community Learning Centers Non-Regulatory Guidance.
<http://www.ed.gov/programs/21stccclc/legislation.html>
United States Code. <http://www.access.gpo.gov/uscode/title20/title20.html>

II	<p>Governance and Administration Policies, plans, and administration of categorical programs meet statutory requirements.</p>
<p>Synthesis of Requirements</p>	
<p>The administrative program requirements for ASES, 21st CCLC, and ASSETs include:</p> <ul style="list-style-type: none"> • Student eligibility • Hours of operation • Attendance policies • Nutritious snack/meals • Physical activity element • Data and reports • Effective use of public resources 	
<p>Core and Supporting Items</p>	
<p>II-BASP 2. (ASES, 21st CCLC, ASSETs) The LEA/grantee agency serves pupils in appropriate grade levels at participating schools. (20 USC 7173[a][3][A][ii]; EC 8482.3[a], 8484.8[e][1], 8421[a])</p> <p>2.1 (ASES) The LEA/grantee agency serves students in kindergarten and grades 1–9, inclusive, at participating public schools. (EC 8482.3[a])</p> <p>2.2 (21st CCLC) The LEA/grantee agency serves students in elementary and middle grades of eligible public and/or private schools. (20 USC 7173[a][3][A][ii]; EC 8484.8[e][1])</p> <p>2.3 (ASSETs) The LEA/grantee agency serves students in grades 9–12, inclusive, of eligible public and/or private schools. (20 USC 7173[a][3][A][ii]; EC 8421[a])</p> <p>II-BASP 3. (ASES, 21st CCLC, ASSETs) The LEA/grantee agency operates its program according to the required number of hours per day and days per week on every regular school day. (EC 8483, 8483.1[a][1], 8483.2, 8421[c])</p> <p>3.1 (ASES, 21st CCLC) The after school program component commences immediately upon the conclusion of the regular school day and operates a minimum of 15 hours per week and at least until 6 p.m. on every regular school day. (EC 8483)</p> <p>3.2 (ASES, 21st CCLC) Before school programs operate for no less than one and one-half hours each regular school day. (EC 8483.1[a][1])</p> <p>3.3 (ASES, 21st CCLC) The LEA/grantee agency that operates both a before and after school program during summer, intersession, or vacation periods operates these programs a minimum of four and one-half hours per day. (EC 8483.2)</p> <p>3.4 (ASSETs) The LEA/grantee agency operates a minimum of 15 hours per week, which may include after school and any combination of before school, weekends, summer, intersession, and vacation. (EC 8421[c], 8422[d] [1,2])</p> <p>II-BASP 4. (ASES, 21st CCLC) The LEA/grantee agency has established policies for reasonable early release of pupils in the after school program and reasonable late daily arrival of pupils in the before school program. (EC 8483[a][1], 8483.1 [a][1])</p> <p>II-BASP 5. (ASES, 21st CCLC, ASSETs) The program provides a daily nutritious snack/meal for attending students. (EC 8423[c][3], 8483.3[c][8], 8483.1[c])</p> <p>5.1 (ASES, 21st CCLC, ASSETs) The nutritious snack conforms to the nutrition standards in Article 2.5 of Chapter 9 of Part 27. (EC 8482.3[d])</p> <p>5.2 (ASES, 21st CCLC) The before school program offers a breakfast meal for attending</p>	

students as described by Section 49553. (EC 8483.1[c])

II-BASP 6. (ASSETs) The program includes a physical activity element. (EC 8423[c][3])

II-BASP 7. (ASES, 21st CCLC, ASSETs) The LEA/grantee agency submits data and reports and maintains records as required. (EC 8484.8[b][3], 8482.3[f][5], 8482.3[f][10][A-C])

7.1 (ASES, 21st CCLC, ASSETs) The LEA/grantee agency reviews its after school program plan every three years including, but not limited to, program goals, program content, outcome measures, and other information requested by the CDE. (EC 8482.3[g][1])

7.2 (ASES, 21st CCLC, ASSETs) The LEA/grantee agency maintains documentation of the after school program plan for a minimum of five years. (EC 8482.3[g][1][F])

7.3 (ASES, 21st CCLC, ASSETs) The LEA/grantee agency submits program attendance data semiannually and regular school day attendance data annually. (EC 8482.3[f] [10] [A-C], 8483.55[c][4], 8484.8[e][5], 8426[d])

II-BASP 8. (21st CCLC, ASSETs) The LEA/grantee agency coordinates with other federal, state, and local programs to make the most effective use of public resources. (20 USC 7174[b][2][c]; EC 8484.8[e][4], 8421 [f][5])

Examples of Evidence: *Evidence of compliance may be derived from single or multiple sources. Complex compliance items may require several sources of evidence*

Documents

- Grant application
- Program plan
- Operation policies and documents
- Web-based information
- Attendance reports
- Roll/sign-in sheets
- Staff pay records (hrs/wk)
- Receipts
- Menus
- Nutrition information
- Budget
- Expenditure reports
- Brochures
- Schedules
- Lesson plans and activities
- Curriculum materials
- Single plan for student achievement
- School report card

Suggested Prompts for Ongoing Compliance

- What grade levels are served with your program?
- What is your early release and late arrival policy?
- What are the operating hours of your program for eligible students?
- How do you determine the eligibility of individual students?

- Please describe the snacks and meals provided to students in the last week.
- Describe how the program works to make the most effective use of public resources.



Funding

Allocation and use of funds meet statutory requirements for allowable expenditures.

Synthesis of Requirements

ASES, 21st CCLC and ASSETs programs spend no more than 15 percent of the grant amount on administrative costs, including indirect costs.

ASES and 21st CCLC programs allocate at least 85 percent of the total grant amount to school sites for direct services to pupils.

ASES, 21st CCLC and ASSETs programs follow all fiscal and auditing requirements.

ASES programs include matching resources of not less than one-third of the total grant amount.

ASSETs programs are limited in the amount spent for the collection of outcome data for evaluation and reports.

Core and Supporting Items

III-BASP 9. (ASES, 21st CCLC) The LEA/grantee agency allocates no less than 85 percent of the total grant amount to school sites for direct services to pupils. (EC 8483.9 [c])

9.1 (ASES, 21st CCLC, ASSETs) The LEA/grantee agency spends no more than 15 percent of the amount of the grant for administrative costs, which includes any indirect costs. (EC 8483.9[b], 8484.8[f][7][B])

9.2 (ASSETs) The LEA/grantee agency spends no more than the greater of 6 percent of the grant amount or seven thousand five hundred dollars (\$7,500) to collect outcome data for evaluation and for reports as required by the CDE. (EC 8426[g][2])

III-BASP 10. (ASES, 21st CCLC, ASSETs) The LEA/grantee agency follows all fiscal and auditing standards required by the CDE. (EC 8482.3[f]5, 8484.8[b][3,4])

10.1 (ASES, 21st CCLC, ASSETs) The LEA/grantee agency submits annual budget reports and quarterly expenditure reports. (EC 8484.8[b][3,4])

10.2 (21st CCLC, ASSETs) The LEA/grantee agency conducts an annual fiscal audit. (EC 8484.8[b][3,4])

III-BASP 11. (ASES) The LEA/grantee agency operating an ASES program has obtained a local contribution of cash or in-kind local funds equal to not less than one-third of the total grant amount. Facilities or space usage may fulfill not more than 25 percent of the required local match. (EC 8483.7[a][5], 8483.75[a][4])

Examples of Evidence: *Evidence of compliance may be derived from single or multiple sources. Complex compliance items may require several sources of evidence.*

Documents

- Expenditure reports
- Line-item budgets
- Time sheets, including time-accounting methods
- Position duty statements
- Contracts

<ul style="list-style-type: none"> • Federal and/or state audit records* • Memorandum of Understanding (MOU) • Letters or e-mails <p><i>*Where noted, indicates documentation required by law or regulation.</i></p> <p>Suggested Prompts for Ongoing Compliance</p> <ul style="list-style-type: none"> • Explain how expenditures are consistent with federal and state requirements (e.g., what percent of grant funds are used for administrative costs?). • Describe accounting procedures for paying staff in multifunded positions. • When was the last time the program was audited for fiscal operations?
<p>Resources</p> <p>Education Code. http://www.leginfo.ca.gov</p> <p>21st Century Community Learning Centers Non-Regulatory Guidance.</p> <p>United States Code. http://www.access.gpo.gov/uscode/title20/title20.html</p>

IV	<p>Standards, Assessment, and Accountability</p> <p>Categorical programs meet state standards, are based on the assessed needs of program participants, and achieve the intended outcomes of the categorical program.</p>
<p>Synthesis of Requirements</p> <p>The LEA/grantee agency implemented the five principles of effectiveness and evaluation. Required outcome data are collected and reported on a periodic basis.</p>	
<p>Core and Supporting Items</p> <p>IV-BASP 12. (21st CCLC, ASSETs) The program developed by the LEA/grantee agency meets evaluation requirements and principles of effectiveness:</p> <ul style="list-style-type: none"> (a) The program is based upon an assessment of objective data regarding the need for before and after school programs (including during summer recess periods) and activities in schools and communities. (b) The program is based upon an established set of performance measures aimed at ensuring the availability of high-quality academic enrichment activities. (c) The program is based upon scientifically based research that will help the students meet state and local academic achievement standards (if appropriate). (d) The program undergoes a periodic evaluation to assess progress toward providing high-quality opportunities for academic enrichment. (e) The results of evaluations are used to refine and improve the program and its performance measures. (f) The results of evaluations are made available to the public upon request with public notice of such availability provided. (20 USC 7175[b][1-2]) <p>IV-BASP 13. (ASES, 21st CCLC, ASSETs) The LEA/grantee agency submits required annual outcome based data for evaluation. (EC 8484, 8427[a])</p>	
<p>Examples of Evidence: <i>Evidence of compliance may be derived from single or multiple sources. Complex compliance items may require several sources of evidence.</i></p>	
<p>Documents</p>	

- Grant application needs assessment
- Program plan
- Program schedule/brochure
- Collaborative partners' meeting minutes
- Lesson plans and activities
- Documentation of how evaluation results were used to refine, improve, and strengthen the program
- Curriculum materials
- Program plan
- Notice of public availability of evaluation results
- Attendance and truancy reports
- Reports to board or collaborative partners
- Program plan performance indicators
- California Healthy Kids Survey results
- Curriculum council meeting minutes
- Board meeting minutes
- Reports to the California Department of Education

Suggested Prompts for Ongoing Compliance

- What evaluation data and/or needs assessment led to your plan for the after school program?
- What are some examples of how the program uses scientifically based research to help students meet state and local academic standards?
- How do you use data to periodically review and evaluate your program's progress?
- What research supports the strategies used by the district/school to improve student achievement?
- How are the results of evaluations used to refine and improve the program?
- What performance measures are used to ensure high-quality academic enrichment activities for students in the program?

Resources

California Academic Content Standards. <http://www.cde.ca.gov/be/si/ss/index.BASP>
California Curriculum Frameworks. <http://www.cde.ca.gov/re/pn/fd/>
California Healthy Kids Survey. http://www.wested.org/pub/docs/chks_home.html
California Learning Resource Network (CLRN). <http://www.clrn.org>
Education Code. <http://www.leginfo.ca.gov>
Southwest Educational Development Laboratory (SEDL). <http://www.sedl.org>
21st Century Community Learning Centers Non-Regulatory Guidance.
United States Code. <http://www.access.gpo.gov/uscode/title20/title20.html>

V

Staffing and Professional Development

Staff members are recruited, trained, assigned, and assisted to ensure the effectiveness of the program.

Synthesis of Requirements
Program staff members that directly supervise students are qualified, according to school district policies, to perform these services and student-to-staff ratios are appropriate. Training and development opportunities for staff are provided.
Core and Supporting Items
V-BASP 14. (ASES, 21st CCLC, ASSETs) The LEA/grantee agency provides staff training and development. (EC 8483.3[c][4])
V- BASP 15. (ASES, 21st CCLC, ASSETs) The LEA/grantee agency ensures that programs maintain a student-to-staff ratio of no more than 20 to 1. (EC 8483.4)
V-BASP 16. (ASES, 21st CCLC, ASSETs) The LEA/grantee agency ensures that all staff members who directly supervise pupils meet the minimum qualifications for an instructional aide according to the policies of the district. (EC 8483.4)
Examples of Evidence: <i>Evidence of compliance may be derived from single or multiple sources. Complex compliance items may require several sources of evidence</i>
Documents <ul style="list-style-type: none">• Recruitment and training documents• Training sign-in sheets• Personnel records• Training schedule• Class enrollment and attendance records• Professional development/training materials• District/board policy• Program attendance records
Suggested Prompts for Ongoing Compliance <ul style="list-style-type: none">• Describe the hiring and training processes for ASES, 21st CCLC, ASSETs staff members.• How do you ensure that appropriate staff-to-student ratios are maintained?• What is the district policy on minimum qualifications for an instructional aide?• Do you have a copy of the district policy for instructional aide/paraprofessionals?
Observe <ul style="list-style-type: none">• Program site
Resources
<i>Education Code.</i> http://www.leginfo.ca.gov Southwest Educational Development Laboratory (SEDL). http://www.sedl.org 21 st Century Community Learning Centers Non-Regulatory Guidance. <i>United States Code.</i> http://www.access.gpo.gov/uscode/title20/title20.html

VI	Opportunity and Equal Education Access Participants have equitable access to all programs provided by the local educational agency (LEA), as required by law.
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Synthesis of Requirements

The LEA/grantee agency does not discriminate in the provision of services to students and families and provides safe and equally accessible facilities for the delivery of services. Services are available to students and families of students regardless of their ability to pay.

Core and Supporting Items

VI- BASP 17. (ASES, 21st CCLC, ASSETs) The LEA/grantee agency provides services in a safe and easily accessible facility that allows students to travel safely to and from the program site and home. (20 USC 7174[2][A]; EC 8484.6[a])

17.1 (21st CCLC, ASSETs) If the program is located in a facility other than an elementary or secondary school, the LEA/grantee agency has ensured that the program will be at least as accessible to the students to be served as if the program were located in an elementary or secondary school. (20 USC 7174[c])

17.2 (ASES, 21st CCLC, ASSETs) If an LEA/grantee agency locates a program off school grounds, safe transportation is provided to the pupils enrolled in the program. (EC 8484.6[a])

VI-BASP 18. (ASES, 21st CCLC, ASSETs) The LEA/grantee agency makes services equally accessible to all students and families of students targeted for services regardless of their ability to pay. (EC 8482.6)

18.1 (21st CCLC, ASSETs) If the LEA/agency does charge fees, it uses a sliding scale of fees and scholarships for those who cannot afford to participate. (20 USC 7174[d][2])

Examples of Evidence: *Evidence of compliance may be derived from single or multiple sources. Complex compliance items may require several sources of evidence*

Documents

- Outreach documents
- District/board policy
- Parent notification materials
- Training materials related to student access
- Collaborative partner meeting agendas and minutes
- Letters, newsletters, handbooks, e-mails, or other materials
- IEPs for students in the BASP
- School safety plan
- Program plan
- Fee schedule policy
- Local maps with student travel routes clearly identified

Suggested Prompts for Ongoing Compliance

- Describe how the transportation needs of students in the program are met.

Observe

- Local surroundings
- Program site
- Students traveling to and from programs
- Posted health and safety information

Resources
Education Code. http://www.leginfo.ca.gov Health and Safety Code. http://www.leginfo.ca.gov 21 st Century Community Learning Centers Non-Regulatory Guidance. United States Code. http://www.access.gpo.gov/uscode/title20/title20.html

VII	Teaching and Learning Participants receive core and categorical program services that meet their assessed needs.
Synthesis of Requirements	
ASES, 21 st CCLC, and ASSETs programs provide instruction and activities for academic and educational enrichment that support the diverse needs and interests of all students. ASSETs and 21 st CCLC program activities include literacy and related educational development activities for the families of students served.	
Core and Supporting Items	
VII- BASP 19. (ASES, 21st CCLC, ASSETs) The LEA/grantee agency provides opportunities for: a. Academic enrichment, to help students to meet state and local student academic achievement standards in core academic subjects such as reading and mathematics; b. Educational enrichment services, programs and activities that are designed to reinforce and complement the regular academic program of participating students. (EC 8482.3[c][1,2]; 20 USC 7171[a][1,2])	
VII-BASP 20. (21st CCLC, ASSETs) The LEA/grantee agency provides literacy and related educational development for families of students served. (20 USC 7171[a][3])	
Examples of Evidence: <i>Evidence of compliance may be derived from single or multiple sources. Complex compliance items may require several sources of evidence.</i>	
Documents <ul style="list-style-type: none">• Academic achievement documents (e.g., CST)• Curriculum materials• Program descriptions and schedules• Outreach documents and brochures• Program plan• Lesson plans• Test scores• Memorandum of Understanding (MOU)• Student work• Grant application• Brochures/course offerings	
Suggested Prompts for Ongoing Compliance	

- What support services are provided to students and families?
- What supplemental services are provided to English learners?
- Describe how the instructional methods and strategies provide for an enriched and accelerated curriculum.
- Describe how instructional methods, materials, and curriculum are aligned with the regular school day.

Observe

- Program site

Resources

California Learning Resource Network (CLRN). <http://www.clrn.org>

California State Curriculum Frameworks. <http://www.cde.ca.gov/re/pn/fd/>

California Academic Content Standards. <http://www.cde.ca.gov/be/si/ss/index.BASP>

Education Code. <http://www.leginfo.ca.gov>

Southwest Educational Development Laboratory (SEDL). <http://www.sedl.org>

21st Century Community Learning Centers Non-Regulatory Guidance.

United States Code. <http://www.access.gpo.gov/uscode/title20/title20.html>

I-CP 1. For No Child Left Behind (NCLB) programs, the LEA consulted with appropriate private school officials during the development of the program concerning:

- (a) Identification of students' needs (20 USC 6320[b][1][A], 7881[c][1][A])**
- (b) What services will be offered (20 USC 6320[b][1][B], 7881[c][1][B])**
- (c) Service delivery options, including services through a contract with a third-party provider (20 USC 6320[b][1][C][G], 7881[c][1][C])**
- (d) Assessment and improvement of services (20 USC 6320[b][1][D], 7881[c][1][D])**
- (e) The size and scope of services and the proportion of funds allocated (20 USC 6320[b][1][E], 7881[c][1][E])**
- (f) Program delivery options (20 USC 6320[b][3], 7881[c][4])**
- (g) Reasons for not using a contractor preferred by private school officials (20 USC 6320[b][1][H], 7881[c][2])**

The above items apply to the following programs: BASP (21st CCLC, ASSETs), CE (Title I, Part A), EL (Title III), ITQ, ME, NorD, PI, and S&DATE

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II-CP 7. The LEA provides parents with information on school and parent activities in a format and, to the extent practicable, in a language the parents can understand. (20 USC 6318[e][5])

7.1 When 15 percent of students enrolled in a public school speak a single primary language other than English, as determined by the previous year's language census data, all notices, reports, statements, and records sent to parents of such students must be written in English and the primary language. (EC 48985)

The above items are monitored in reference to the following categorical program instruments: BASP_(ASES, 21st CCLC, ASSETs), CE, CS, CSF, CTE, EL, GATE, HE, HIV/AIDS, ME, NorD, PI, and S&DATE

II-CP 8. For all categorical programs, the LEA maintains an inventory record for each piece of equipment, with an acquisition cost of \$500 or more per unit, that is purchased with state and/or federal funds. The record describes the acquisition by:

- (a) Type**
- (b) Model**
- (c) Serial number**
- (d) Funding source**
- (e) Acquisition date**
- (f) Cost**
- (g) Location**
- (h) Current condition**
- (i) Transfer, replacement, or disposition of obsolete or unusable equipment (EC 35168; 5 CCR 3946; 34 CFR 80.32[d][I])**

8.1 The school district has conducted a physical check of the inventory of equipment within the past two years and has reconciled the result with inventory records. (34 CFR 80.32[d][2])

The above items apply to the following programs: BASP (ASES, 21st CCLC, ASSETs), AE, CD, CE, CSF, CTE, EL, HE, ITQ, ME, NorD, PI, and S&DATE

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II-CP 9. Governing board policy prohibits sexual harassment as a form of sexual discrimination and provides notification of available remedies. (EC 231.5[a], [b], [c])

9.1 The LEA notifies students, parents, employees and others that it does not discriminate on the basis of sex. (34 CFR 106.9[a])