

ILLINOIS STATE BOARD OF EDUCATION

College and Career Readiness
100 North First Street, C-215
Springfield, Illinois 62777-0001
217/524-4832

FY2014

**ILLINOIS 21st CENTURY COMMUNITY LEARNING CENTERS PROGRAM
SELF-MONITORING AND CERTIFICATE PACKET**

INTRODUCTION

The Illinois State Board of Education (ISBE) established a monitoring process of Title IV, Part B of the *No Child Left Behind Act* using criteria established in the United States Office of Management and Budget Circular A-133, Compliance Supplement, and other statutory and regulatory requirements. The ISBE is accountable to the Federal government for the proper administration of Federal programs such as 21st Century Community Learning Centers (21st CCLC).

The ISBE program consultants review the submitted packet and monitor the implementation of any proposed corrective action plans. During the review, grantees may be requested to revise the submission and/or provide additional documentation. After a complete packet is reviewed, grantees will be notified that the packet was accepted.

INSTRUCTIONS

For each component, grantees must do the following:

- Review the introduction to the component
- Determine if your program is complying with each compliance item
- Evaluate if documentation to support the compliance item is available and check the documentation available on-file.
- Check appropriate box for "In Compliance", "Needs Improvement", or "Not Applicable"
For a grantee to be "In Compliance", either all boxes must be checked or an explanation must be given in the comment section stating why an area has not been checked.
- Develop a Corrective Action Plan for each item rated as "Needs Improvement" using the Corrective Action Plan form that is provided at the end of this certification document.

After all components and appropriate Corrective Action Plans are complete, the Self-Evaluation Certificate with original signatures should be submitted by January 30, 2014.

Questions concerning the Self-Monitoring and Certificate Packet should be directed to each grantee's assigned ISBE program consultant at 217/524-4832 or via e-mail.

Please note that the Federal and State Monitoring Division recommends that paper copies of attendance and other records should be kept for three years after the end of the grant due to the fact that there are often errors when such records are transferred to electronic files.

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FY2014**ILLINOIS 21st CENTURY COMMUNITY LEARNING CENTERS PROGRAM****SELF-MONITORING AND CERTIFICATE PACKET**

APPLICANT NAME/FISCAL AGENT	REGION, COUNTY, DISTRICT, TYPE CODE	
ADDRESS (Street, City, State, 9 Digit Zip Code)	COHORT YEAR	COUNTY
	TELEPHONE (Include area code)	FAX (Include Area Code)
CONTACT PERSON	E-MAIL	

By signing below I certify that all facts, figures, and representations made in the 2013-2014 Self-Monitoring and Certificate Packet are true, correct, and consistent with the statement of general assurances and specific program assurances contained in the approved 21st CCLC Request for Proposal (RFP). Furthermore, all applicable statutes, regulations, policies, administrative and programmatic requirements, and procedures for fiscal control and maintenance of records are being implemented to ensure proper accountability for the expenditure of funds on this project or measures are being implemented to address areas in need of improvement. All records necessary to substantiate these requirements will be available for review by appropriate state and Federal staff.

☐ **Signed Co-Applicant Assurances for FY13 Continuation Application are attached.**

Applicant Signature(s):

District Name and Number

Original Signature of Superintendent

Community-Based Organization

Original Signature of Chief Executive Officer

Regional Office of Education

Original Signature of Regional Superintendent

Fiscal Agent:

District Name and Number

Original Signature of Superintendent or Authorized Official

Community-Based Organization

Regional Office of Education

SELF-MONITORING OF GENERAL AND PROGRAM-SPECIFIC TERMS OF THE GRANT

ILLINOIS TITLE IV, PART B, 21ST CENTURY COMMUNITY LEARNING CENTERS PROGRAM

The guiding document for program implementation is the grantee's approved project application and continuation applications. The compliance issues in this section represent the many of the statutory and regulatory requirements as well as requirements in the RFP.

Grantees are required to address all of the following items.

1. **The before- or after-school program must take place in a safe and easily accessible facility. The grantee must ensure that any program to be located in a facility other than an elementary school or secondary school is at least as accessible to the students to be served as if the program were located in an elementary school or secondary school.**

The learning center will make available a description of how the students participating in the program carried out by the community learning center will travel safely to and from the center and home.

Buildings that house the 21st Century Community Learning Centers program must meet local standards and codes for public facilities. Indoor and outdoor facilities must be safe and in good repair.

DOCUMENTATION SUPPORTING COMPLIANCE (Check those you have):

All sites:

- ☐ Verification of ADA Compliance
- ☐ Written safety policies and procedures (e.g. building security, emergency exit, student health needs, emergency contact, student use of science labs, machinery, and other potentially dangerous equipment)
- ☐ Documentation of accommodations provided to and attendance records of special needs students

Non-school sites

- ☐ Building Inspection Certificate

School sites:

- ☐ ROE/ISC latest inspection report

CPS school sites:

- ☐ CPS inspection report

Comments:

SELF-MONITORING ASSESSMENT

- ☐ Needs Improvement (Complete Corrective Action form)
- ☐ In Compliance (Has all required documentation)

2. The grantee must ensure that students participating in the program carried out by the community learning center will travel safely to and from the center and home.

Program funds may be used to cover reasonable transportation costs for program participants. If transportation is provided, the transportation plan must be clearly and appropriately related to project activities.

DOCUMENTATION SUPPORTING COMPLIANCE (Check those you have):

- ☐ Student registration forms that include parental consent for mode of transportation for all students, including high school students
- ☐ Field trip specific parental permission for attendance, including transportation to be used to and from trip
- ☐ Transportation policy in handbook/newsletter
- ☐ District transportation policy agreement with CBO/FBO

Comments:

SELF-MONITORING ASSESSMENT

- ☐ Needs Improvement (Complete Corrective Action form)
- ☐ In Compliance (Has all required documentation)

3. Funds under this part will be used to increase the level of state, local, and other nonfederal funds that would, in the absence of funds under Title IV, Part B, be made available for programs and activities authorized under this part, and in no case supplant federal, state, local, or nonfederal funds.

DOCUMENTATION SUPPORTING COMPLIANCE (Check those you have):

- ☐ Time and effort sheets for staff specifically delineating time spent on 21st CCLC program
- ☐ Schedule of activities/programs
- ☐ Copy of approved continuation application

Note: Auditors will check financial records during audit

Comments:

SELF-MONITORING ASSESSMENT

- ☐ Needs Improvement (Complete Corrective Action form)
- ☐ In Compliance (Has all required documentation)

4. The program has identified and is serving eligible students and their families, consistent with the approved application and 21st CCLC program guidelines and requirements.

DOCUMENTATION SUPPORTING COMPLIANCE (Check those you have):

- ☐ Written policies on attendance, recruitment, and retention
- ☐ Written incentive plan(s) (e.g., students who attend a certain number of days may participate in a field trip at the end of the marking period) included in handbook, syllabus, or other distributed program documentation and retention
- ☐ Documentation that adult participants are family members of student participants and not community members at-large
- ☐ Low income and poverty rate data for the current programming year

Comments:

SELF-MONITORING ASSESSMENT

- ☐ Needs Improvement (Complete Corrective Action form)
- ☐ In Compliance (Has all required documentation)

- 5. Applicants must give notice to the community of the intent to submit an application. The application and any waiver request must be made available for public review after submission of the application.**

DOCUMENTATION SUPPORTING COMPLIANCE (Check those you have):

- ☐ Notice to the community of the intent to submit the initial application to ISBE to obtain funds for the 21st CCLC grant. May include newsletter or newspaper notice, school board minutes, local school council minutes, etc.

Comments:

SELF-MONITORING ASSESSMENT

- ☐ Needs Improvement (Complete Corrective Action form)
- ☐ In Compliance (Has all required documentation)

- 6. The program must be developed and carried out in active collaboration with the schools the students attend. At a minimum, grantees must have a letter of collaboration from each school that will have students participating in 21st Century Community Learning Centers program activities. Each school must acknowledge its willingness to provide the program with, at a minimum, copies of participating students' grade records, school attendance records, and information regarding whether or not the participating students were promoted to the next grade level. Schools must receive parental/guardian consent before school records are submitted to the 21st Century Community Learning Center program.**

- ☐ Letter of collaboration with host school(s) for FY 2014
- ☐ Parental consent for sharing student information
- ☐ Written communication plans with school(s) regarding how grades/records will be accessed
- ☐ Agendas/timelines of meetings with schools/grantees
- ☐ Evidence of consultation with private school(s) for FY 2014 (Attachment 11A)
- ☐ Memorandum of Understanding (MOU) between fiscal agent, co-applicant and principals

Comments:

SELF-MONITORING ASSESSMENT

- ☐ Needs Improvement (Complete Corrective Action form)
- ☐ In Compliance (Has all required documentation)

7. The organization selected for funding will meet all statutory and regulatory requirements of this program. In order to ensure that a local grantee, including faith-based organizations, meets the program's purposes and criteria, it shall not discriminate against beneficiaries on the basis of religion. Funds shall be used solely for the purposes set forth in this grant program. No funds provided pursuant to this program shall be expended to support religious practices, such as religious instruction, worship, or prayer. Faith-based organizations may offer such practices, but not as part of the program receiving assistance and faith-based organizations shall comply with generally accepted cost accounting requirements to ensure that funds are not used to support these activities.

DOCUMENTATION SUPPORTING COMPLIANCE (Check those you have):

- ☐ Verify no religious practices during 21st CCLC activities
- ☐ No mention of religious activities in parent consents, handbooks etc.
- ☐ Activity schedules

Note: Auditors will check financial records in Tier V, Part B

Comments:

SELF-MONITORING ASSESSMENT

- ☐ Needs Improvement (Complete Corrective Action form)
- ☐ In Compliance (Has all required documentation)

8. Grantees must keep attendance records of program participants. Participants are required to be enrolled in the before- or after-school program. Drop-in services cannot be funded by 21st Century Community Learning Centers program funds. Grantees are expected to maintain attendance at the level for which funding is requested. Enrollment retention activities should be described in the proposal.

Note: Potential applicants are advised that many of the schools in Title I, Part A, of the No Child Left Behind Act (NCLB) academic improvement status are required to provide Supplemental Education Services (SES) to their students. Since SES may be offered in various program formats, including after-school programs, this may potentially affect the number of students that a 21st Century Community Learning Centers Program applicant is able to recruit, enroll, and retain. 21st Century Community Learning Centers programs that wish to become SES providers must follow all steps required for becoming an approved provider by applying online through the Illinois State Board of Education, Title Grants Administration website at: www.isbe.net/ses/html/application_process.htm.

21st Century Community Learning Centers programs may not provide SES services unless they are on a state-approved list of providers that can be used by school districts. Funding of a proposal does not automatically qualify the recipient to be an SES provider.

DOCUMENTATION SUPPORTING COMPLIANCE (Check those you have):

- ☐ Written attendance policy
- ☐ Written recruitment and retention policy
- ☐ Attendance records (e.g. participant list by grade level)
- ☐ Registration records signed by parents (please provide sample and number of how many parents have signed them for their students)
- ☐ Incentive policies for retention/attendance
- ☐ Activity schedules for activities taking place during the school day and documentation that only parents or pre-kindergarten or part day kindergarten children attend during the day
- ☐ Documentation that only registered 21st CCLC participants may attend field trips

Please note that the Federal and State Monitoring Division recommends that paper copies of attendance and other records should be kept for **three years past the end date** due to the fact that there are often errors when they are transferred to electronic files.

Comments:

SELF-MONITORING ASSESSMENT

- ☐ Needs Improvement (Complete Corrective Action form)
- ☐ In Compliance (Has all required documentation)

9. Grantees must conduct criminal background checks for all program staff and volunteers who have direct contact with children and youth. Grantees are required to have a written protocol on file requiring background checks, as well as evidence of their completion. Further, no person shall be employed who has been convicted of a crime as listed in Section 10-21.9(c) of the School Code (105 ILCS 5/10-21.9(c)).

The position of our agency in regards to Section 10-21.9(f) of the School Code is that, if a contractor holds contracts in more than one school district within the educational service region simultaneously, Section 10-21.9(f) provides that any one of those school districts may ask the ROE to coordinate the background check and provide copies to each of the school boards (with cost sharing to be worked out between the districts). The limitless portability of background checks between districts and ROEs across the state that exists for substitutes and concurrent employees does not exist to the same extent for contractors. The portability that Section 10-21.9(f) does provide for contractors is limited to a contractor holding simultaneous contracts with more than one district within the same ROE region, and allows for those districts to obtain a copy of the background check report from the ROE.

DOCUMENTATION SUPPORTING COMPLIANCE (Check those you have):

- ☐ Written policy on conducting criminal background checks for all program staff and volunteers
- ☐ Copies of background check documents on file for all employees and volunteers

Please note that these expenses are not allowable grant expenditures. This would be considered supplanting because it is in the law. Doing a background check for employees once during the 5 year grant period is sufficient.

Comments:

SELF-MONITORING ASSESSMENT

- ☐ Needs Improvement (Complete Corrective Action form)
- ☐ In Compliance (Has all required documentation)

10. In accordance with the Child Abuse and Neglect Reporting Act (325 ILCS 5), adults working with children and youth under the age of 18 years old are required to be mandated reporters for suspected child abuse and neglect. All 21st Century Community Learning Centers programs must have a written protocol for training their employees about the Act and identifying and reporting suspected incidents of child abuse or neglect.

DOCUMENTATION SUPPORTING COMPLIANCE (Check those you have):

- ☐ Written policy on training all employees to be mandated reporters
- ☐ Evidence of annual training, including staff-sign offs

Comments:

SELF-MONITORING ASSESSMENT

- ☐ Needs Improvement (Complete Corrective Action form)
- ☐ In Compliance (Has all required documentation)

11. Grantees must obtain permission from participants' parents or guardians prior to using students for public relations purposes, gathering data by methods such as youth surveys and interviews, and obtaining academic and school data.

DOCUMENTATION SUPPORTING COMPLIANCE (Check those you have):

- ☐ Signed parental consent forms for public relations and data gathering
- ☐ Signed parental consent forms for use of students in photos and/or videos

Comments:

SELF-MONITORING ASSESSMENT

- ☐ Needs Improvement (Complete Corrective Action form)
- ☐ In Compliance (Has all required documentation)

12. The grantee must certify that it is not delinquent in the payment of any debt to the State (or if delinquent has entered into a deferred payment plan to pay the debt), and the grantee acknowledges that the Illinois State Board of Education may declare the grant agreement void if this certification is false (30 ILCS 500/50-11).

DOCUMENTATION SUPPORTING COMPLIANCE (Check those you have):

- ☐ For CBOs and FBOs, verification of being in good standing from the Secretary of State website
- ☐ Certifications and Assurances of grant copies

Comments:

SELF-MONITORING ASSESSMENT

- ☐ Needs Improvement (Complete Corrective Action form)
- ☐ In Compliance (Has all required documentation)

13. Grantees are required to submit an annual performance report (APR) that describes participants' information, project activities, accomplishments, and outcomes. All information related to the APR must be entered into the 21st CCLC electronic Profile and Performance Information Collection System (PPICS) as required by the U.S. Department of Education. Failure to do so based on the timeline provided by the federal government will result in the freezing of funds until the information is complete. The dual purpose of the APR is to:

1. Demonstrate that substantial progress has been made toward meeting the goals and objectives of the project, and
2. Collect data that addresses the performance indicators for the 21st Century Community Learning Centers program. This information will be aligned with the integrated evaluation system that the Illinois State Board of Education is currently developing. Grantees are also required to conduct needs assessments, parent and student satisfaction surveys, and self-assessments.

Grantees are also required to conduct need assessments, parent and student satisfaction surveys, and self assessments.

DOCUMENTATION SUPPORTING COMPLIANCE (Check those you have):

- ☐ Weekly/monthly/yearly schedule of activities that show a balance of academic and enrichment activities
- ☐ Copy of continuation application(s)
- ☐ Copy of ISBE approval for changes described in continuation application(s) and/or program amendment documents
- ☐ Documentation for measuring objectives/goals with supporting data
- ☐ Evaluation data that supports PPICS data
- ☐ Completed parent/teacher/students surveys
- ☐ PPICS data entered by deadline established by ISBE/USDE

Comments:

SELF-MONITORING ASSESSMENT

- ☐ Needs Improvement (Complete Corrective Action form)
- ☐ In Compliance (Has all required documentation)

14. Grantees are required to attend workshops and trainings offered by the Illinois State Board of Education or another entity contracted for by the state. The workshops and trainings are designed to improve the quality of the program and give technical assistance to the staff for continuous improvement.

DOCUMENTATION SUPPORTING COMPLIANCE (Check those you have):

- ☐ Registration/sign-in /agendas sheets at local level
- ☐ Verification of attendance at ISBE sponsored mandatory workshop

Comments:

SELF-MONITORING ASSESSMENT

- ☐ Needs Improvement (Complete Corrective Action form)
- ☐ In Compliance (Has all required documentation)

- 15. Grantees must evaluate their programs annually as described in the approved proposal. Copies of the evaluation will be made available to the Illinois State Board of Education.**

DOCUMENTATION SUPPORTING COMPLIANCE (Check those you have):

- ☐ Evaluation report for each year of funding or progress report for grantees completing year one.

Comments:

SELF-MONITORING ASSESSMENT

- ☐ Needs Improvement (Complete Corrective Action form)
- ☐ In Compliance (Has all required documentation)

- 16. The grantee certifies that any course offered for state required graduation credits meets the minimum requirements of the school district that will be issuing the credit for the course. The school district superintendent further certifies that this course will be taught by an appropriately qualified individual and providing this course in the before-school, after-school, or summer school setting does not reduce the number of such offerings at the school and in no way supplants other federal, state, or local funds.**

DOCUMENTATION SUPPORTING COMPLIANCE (Check those you have):

- ☐ Listing of all courses for graduation credits, number enrolled, qualified teacher, when offered (weeks, day, time of day)
- ☐ Written statements from School District regarding attendance and requirements to earn credit
- ☐ Certification by superintendent that courses meet the requirements above
- ☐ Certification by superintendent that courses in no way supplant other federal, state, or local funds

Comments:

SELF-MONITORING ASSESSMENT

- ☐ Needs Improvement (Complete Corrective Action form)
- ☐ In Compliance (Has all required documentation)

- 17. Grantee implemented a sustainability plan.**

DOCUMENTATION SUPPORTING COMPLIANCE (Check those you have):

- ☐ Documentation of a current, written plan for sustainability
- ☐ Agenda/minutes from sustainability planning meetings
- ☐ Advisory teams/committee notes

Comments:

SELF-MONITORING ASSESSMENT

- ☐ Needs Improvement (Complete Corrective Action form)
- ☐ In Compliance (Has all required documentation)

18. The program offers academic and enrichment activities centered around reading and math that align with the new Illinois Learning Standards, incorporating the Common Core. These activities are offered in accordance with the hours of operation outlined in the approved grant application.

DOCUMENTATION SUPPORTING COMPLIANCE (Check those you have):

- ☐ Reliability/validity/scientifically researched documents for curricular and computer programs used by grantees
- ☐ Evidence of professional development regrading Illinois Learning Standards, incorporating the Common Core; research based curricula, such as agendas for meetings that indicate ILS as a discussion topic
- ☐ Weekly/monthly schedules that document regular math, reading and/or science activities
- ☐ Schedules that show a balance of homework assistance, academic component and enrichment/recreational activities
- ☐ Samples of curriculum alignment of documents to show that academic and enrichment activities are aligned with standards

Comments:

SELF-MONITORING ASSESSMENT

- ☐ Needs Improvement (Complete Corrective Action form)
- ☐ In Compliance (Has all required documentation)

19. Grantee has implemented Innovative Best Practice Programs

These programs must supplement what is already being provided and cannot take the place of program currently being implemented. The programs must utilize evidence-based practices and include strategies that will make an impact on improving student achievement, closing achievement gaps, decreasing dropout rates, increasing high school graduation rates, or increasing college enrollment.

DOCUMENTATION SUPPORTING COMPLIANCE (Check those you have):

- ☐ Weekly/Monthly schedule of activities/programs
- ☐ Activity sign-in sheets
- ☐ Documentation that these programs are evidence-based practices and strategies that make an impact on improving student achievement, closing achievement gaps, decreasing dropout rates, increasing high school graduation rates, or increasing college enrollment.

Comments:

SELF-MONITORING ASSESSMENT

- ☐ Needs Improvement (Complete Corrective Action form)
- ☐ In Compliance (Has all required documentation)

20. The program encourages family engagement through various methods of communication and has a family engagement component within the program as outlined in the original application and required by the designated cohort year.

DOCUMENTATION SUPPORTING COMPLIANCE (Check those you have):

- ☐ Proof of program correspondence to families
- ☐ Parent attendance sheets/activity sign-in sheets
- ☐ Schedule/calendar of parent events
- ☐ Parent handbook

Comments:

SELF-MONITORING ASSESSMENT

- ☐ Needs Improvement (Complete Corrective Action form)
- ☐ In Compliance (Has all required documentation)

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ILLINOIS 21st CENTURY COMMUNITY LEARNING CENTERS PROGRAM

CORRECTIVE ACTION FORM

Directions: Use a separate sheet for each item for which you, the grantee, checked "Needs improvement".

APPLICANT NAME/FISCAL AGENT	REGION, COUNTY, DISTRICT, TYPE CODE	
ADDRESS (Street, City, State, 9 Digit Zip Code)	COHORT YEAR	COUNTY
	TELEPHONE (Include area code)	
CONTACT PERSON	FAX (Include Area Code)	
EMAIL	ENTER THE COMPLIANCE ITEM NUMBER FOR THIS CORRECTIVE ACTION	

Corrective Action Plan:

A. Who will be responsible for implementing the Corrective Action?

B. What action(s) will be taken to correct the finding?

C. What are the expected dates of implementation and completion?

D. How will the actions be documented?

E. How will the results of the action be evaluated to determine of the improvement occurred?

Project Director's name (Typed or Printed)

Original Signature

Date

Administrator's name (Typed or Printed)

Original Signature

Date