

## Rhode Island 21<sup>st</sup> Community Learning Centers Monitoring Protocol

**Purpose:** The Rhode Island Department of Education (RIDE) is required to conduct regular, systematic reviews of 21<sup>st</sup> Community Learning Center sub-grantees to monitor for compliance with federal statutes and regulations, applicable state rules and policies, per *Education Department General Administrative Regulations (EDGAR 76.770 and EDGAR 80.40a)*

**Goals:** The goals of RIDE's 21<sup>st</sup> CCLC monitoring process are as follows:

1. Ensure compliance with federal and state requirements;
2. Ensure high-quality programs for children, youth and their families;
3. Ensure that proposed program goals are implemented;
4. Identify technical assistance, professional development, and quality improvement needs of sub-grantees; and
5. To the extent feasible, provide technical assistance, as part of the monitoring process.

**Components:** Monitoring of 21<sup>st</sup> CCLC subgrantees is on-going throughout the year and consists of the following:

1. **Desktop Monitoring** – This includes review of all documents and data submitted to the US Department of Education or to RIDE, including but not limited to:
  - a. Annual Plans and Budgets, as well as Budget Amendments;
  - b. Annual Progress Reports;
  - c. Program data, data currently submitted as part of the PPICS;
  - d. Rhode Island Program Quality Assessment (RIPQA) reports;
  - e. Reimbursement requests, in accordance with the most recent approved budget; and
  - f. Audit reports.
2. **Rhode Island Program Quality Assessment (RIPQA) Process** – This process is managed by the Rhode Island After School Plus Alliance, in partnership with contracted Quality Advisors. Each grant will be on an alternating cycle of “on” years, with full RIPQA implementation and “off” years with targeted technical assistance. Initially, this will be a two-year cycle; as programs mature, they may be transitioned to a three-year cycle (one “on,” two “off”). Key components of RIPQA include:
  - a. Observation of site activities (Form A);
  - b. Assessment of organizational capacity (Form B);
  - c. Maintenance of the “Evidence Binder;” and
  - d. Development of Action Plans.
3. **On-site Monitoring Visits by RIDE Staff** – There are two types of on-site monitoring:
  - a. **Regular Monitoring Visits** – These occur on a regular 3-year cycle.
  - b. **Targeted Review Visits** – These are visits scheduled on an ad hoc basis, based on an annual assessment of need. Certain factors may require that some sub-grantees are visited more frequently or on a different schedule. This may occur, for example, as a follow-up to a previous visit where significant findings were noted and an action plan was required, when a project experiences a change in leadership or other issues in governance, or when potential problems are brought to the attention of RIDE.

**Components of Site Visits:** On-site monitoring visits will include the following elements:

- **Pre-visit review** of relevant documents, including the original 5-year grant proposal and budget, annual plans, annual progress reports, PPICS data, RIPQA reports, and other documents, as relevant;
- **On-site meetings** with key staff, including financial staff;
- **On-site observation** of program activities;
- **On-site review** of the Evidence Binder, financial records, and other documents; and
- **Post-visit review** of relevant documents, as necessary.

**On-Site Monitoring Report:** Following the visit, the sub-grantee will receive a written report outlining the visit results. For each element reviewed, results will fall under one of four categories:

- **Commendation** indicates an area of demonstrable success.
- **Met Requirements** indicates that all required elements are in place.
- **Recommendation** indicates an area where the program is in compliance with statutes and regulations, but where there is an issue that could be improved in the judgment of the visiting team/individual. Recommendations are not required actions.
- **Finding** indicates noncompliance with a specific element of statute or regulations. Each Finding will be accompanied by one or more **Required Action(s)** that indicate(s) how the finding must be corrected.

If there are any findings, the sub-grantee will then have 30 calendar days to submit a written response. The response should either a) submit additional documentation to counter the finding or b) include steps and a timeline for addressing the finding. Other items do not require a response, although a response is welcomed for each Recommendation.

Elements reviewed include:

<ol style="list-style-type: none"> <li>1. Safety               <ol style="list-style-type: none"> <li>a. CPR/First Aid</li> <li>b. Emergency Planning</li> <li>c. Staff/Volunteer Screenings</li> <li>d. Participant Information &amp; Health Needs</li> <li>e. Participant Supervision</li> <li>f. Transportation</li> <li>g. Staff Communications</li> </ol> </li> <li>2. Fiscal Management               <ol style="list-style-type: none"> <li>a. Budgeting</li> <li>b. Financial System &amp; Fiscal Controls</li> <li>c. Supplement Not Supplant</li> <li>d. Procurement &amp; Contracting</li> <li>e. Staff Attendance &amp; Time-and-Effort</li> </ol> </li> <li>3. Governance               <ol style="list-style-type: none"> <li>a. Membership &amp; Structure</li> <li>b. Purpose</li> </ol> </li> </ol>	<ol style="list-style-type: none"> <li>4. Program               <ol style="list-style-type: none"> <li>a. Goals and Objectives</li> <li>b. Student Attendance</li> <li>c. Operational Structure</li> <li>d. Program Offerings</li> <li>e. Program Design &amp; Planning</li> <li>f. Data</li> <li>g. Quality Improvement</li> <li>h. Evaluation</li> <li>i. Staffing</li> <li>j. Professional Development</li> <li>k. Behavior Guidelines</li> <li>l. Private School Services</li> </ol> </li> <li>5. School Linkages               <ol style="list-style-type: none"> <li>a. Communication</li> <li>b. Student Needs</li> <li>c. School Decision-Making</li> <li>d. Curricular Alignment</li> </ol> </li> <li>6. Family, Youth and Community Engagement               <ol style="list-style-type: none"> <li>a. Family Engagement</li> <li>b. Youth Voice</li> <li>c. Community Involvement</li> <li>d. Sustainability</li> </ol> </li> </ol>
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