



FLORIDA'S 21ST CENTURY COMMUNITY LEARNING CENTERS

The 2020-21 Monitoring and Compliance Tool

Subrecipient's Agency Name:			
Type of Monitoring:			
Date(s) of Monitoring:			
21st CCLC Monitoring Staff Name and Title:			
Main Contact Name:		Phone:	
Mailing Address:		Email:	
Date of Entrance Interview:			
Date of Exit Interview:			
Project Name	Cohort Number	Project Number (2018-2019)	Project Number (2019-2020)
Center(s) Visited			
Location(s)		Date Visited	

Table of Contents

C01 - Prior Monitoring Activities	3
C02 - Program Income	3
C03 - Secular and Non-ideological	4
C04 - E-Verify	4
C05 - Prohibition of Text Messaging and Emailing While Driving	5
C06 - Independent Evaluator	5
C07 - Students with Special Needs	6
C08 - Equitable Services	6
C09 - Student Attendance	7
C10 - Required Deliverables	8
C11 - Background Screening and Training of all Staff and Volunteers	8
C12 - Student Safety	9
C13 - Academic Focus and Rigor	10
C14 - Collaboration with the regular school day	10
C15 - Target Population, Recruitment and Retention	11
C16 – Sustainability	12
C17 – Program Schedule	12
C18 – Student to Adult Ratios	13
C19 – Policies & Procedures	13
C20 – Allowable Expenses	14
C21 – Procurement Rules and Regulation	15
C22 – Conflict of Interest	16
C23 – Financial Management	16
C24 – Time and Effort	17
C25 – Travel	18
C26 – Property Management	19
C27 – Records Retention	20
C28 – Supplement, Not Supplant	20
C29 – Subgrant	21
C30 – Written Agreement	22
C31 – Grants Fiscal Management Training	22

C01 - Prior Monitoring Activities

Program Requirement:

The subrecipient agrees to fully cooperate with all monitoring, auditing and reporting requirements established by the FDOE and/or authorized representatives. The subrecipient must meet the required additional obligations placed on them as a result of a monitoring, audit, Corrective Action Plan (CAP) and/or Improvement Plans.

MCU Review

Additional obligations:

Evidence of Program Implementation:

- | | | |
|--|---|--|
| <input type="checkbox"/> Policies and Procedures | <input type="checkbox"/> Approved Application | <input type="checkbox"/> Prior Reports |
| <input type="checkbox"/> Observation | <input type="checkbox"/> Corrective Action Plan | <input type="checkbox"/> Other _____ |

MCU Notes

Monitoring Process

Monitoring Outcomes

Performance Level

Choose an item.

Citation(s)

Uniform Grant Guidance (UGG): 2 CFR 200.331(a)(2-3)

Concerns Identified

How the subrecipient may resolve the issue:

C01 Subrecipient Response:

C02 - Program Income

Program Requirement:

The intent of the 21st CCLC program is to establish programs that offer academic assistance and enrichment to students in need and their families. The FDOE does not allow the charging of fees. All income resulting from the collection of fees is deemed program income and is not allowable. Programs may not solicit donations from students and/or their family members.

MCU Review

Additional obligations:

Evidence of Program Implementation:

- | | | |
|--|---|---|
| <input type="checkbox"/> Policies and Procedures | <input type="checkbox"/> General Ledger | <input type="checkbox"/> Staff Interviews |
| <input type="checkbox"/> Observation | <input type="checkbox"/> Program Handbook | <input type="checkbox"/> Other _____ |

MCU Notes

Monitoring Process

Monitoring Results

Performance Level

Choose an item.

Citation(s)

2020-21 RFP Statewide: 2.1; 2020-21 RFA Statewide: 4.3; FDOE Green Book (2015): F1-F3

Concerns Identified

How the subrecipient may resolve the issue:

C02 Subrecipient Response:

C03 - Secular and Non-ideological		
Program Requirement: Services and benefits provided must be secular, neutral and non-ideological. No funds provided pursuant to this program shall be expended to support religious practices, such as religious instruction, worship or prayer. Faith-based organizations (FBOs) may offer such practices, but not as part of the 21 st CCLC program. FBOs should comply with generally applicable cost accounting requirements to ensure that funds are not used to support these activities.		
MCU Review		
Additional obligations:		
Evidence of Program Implementation:		
<input type="checkbox"/> Policies and Procedures	<input type="checkbox"/> General Ledger	<input type="checkbox"/> Staff Interviews
<input type="checkbox"/> Observation	<input type="checkbox"/> Program Handbook	<input type="checkbox"/> Other _____
MCU Notes		
Monitoring Process		
Monitoring Results		
Performance Level <input checked="" type="checkbox"/> Choose an item.	Citation(s) FDOE Green Book (2015), General Assurances, 2020-21 21 st CCLC Subrecipient Assurances	
Concerns Identified		
How the subrecipient may resolve the issue:		
C03 Subrecipient Response:		
C04 - E-Verify		
Program Requirement: The subrecipient must utilize the E-Verify system as stated in the approved RFP/RFA. E-Verify is an internet-based system that compares information from an employee's Form I-9, Employment Eligibility Verification, to data from U.S. Department of Homeland Security and Social Security Administration records to confirm employment eligibility.		
MCU Review		
Additional obligations:		
Evidence of Program Implementation:		
MCU Notes		
Monitoring Process		
Monitoring Results		
Performance Level <input checked="" type="checkbox"/> Choose an item.	Citation(s) State Executive Order: 11-116; 2020-21 RFP Statewide: 2.10; 2020-21 RFA Statewide: 4.11	
Concerns Identified		
How the subrecipient may resolve the issue:		

C04 Subrecipient Response:

C05 - Prohibition of Text Messaging and Emailing While Driving

Program Requirement:
 Federal grant subrecipients, and their grant personnel are prohibited from text messaging while driving a government-owned vehicle, or while driving their own privately-owned vehicle during official grant business, or from using government supplied electronic equipment to text message or email while driving.

Subrecipients must comply with these conditions under Executive Order 13513, "Federal Leadership on Reducing Text Messaging While Driving," October 1, 2009.

MCU Review

Additional obligations:

Evidence of Program Implementation:

Policies and Procedures Personnel Handbook Staff List
 Other _____

MCU Notes

Monitoring Process

Monitoring Results

Performance Level <input checked="" type="checkbox"/> Choose an item.	Citation(s) 2020-21 21 st CCLC Subrecipient Assurances
---	---

Concerns Identified

How the subrecipient may resolve the issue:

C05 Subrecipient Response:

C06 - Independent Evaluator

Program Requirement:
 The 21st CCLC program must identify an independent evaluator for the program. The 21st CCLC evaluator must be an individual, agency or organization with no vested interest in the operations of the 21st CCLC program. Such individuals as grant writer(s), the subrecipient’s partners, family members of the subrecipients, participants, individuals/agencies that provide trainings to 21st CCLC funded staff and employees of the subrecipient whose performance and/or wages are dependent on the 21st CCLC program cannot be program evaluators.

Evaluation costs include the costs associated with the evaluation of the program including the cost of the purchase of assessment tools, evaluation and assessment trainings, data collection activities, recording and maintenance of data, report writing and any other activities related to the evaluation of the 21st CCLC program.

MCU Review

Additional obligations:

Evidence of Program Implementation:

Approved Application Observation Select Transactions
 Signed Contract with Evaluator Other _____

MCU Notes

Monitoring Process

Monitoring Results		
Performance Level <input checked="" type="checkbox"/> Choose an item.	Citation(s) 2020-21 RFP Statewide: 2.16; 2020-21 RFA Statewide: 2.12	
Concerns Identified		
How the subrecipient may resolve the issue:		
C06 Subrecipient Response:		
C07 - Students with Special Needs		
Program Requirement: Students with special needs must be afforded the same opportunities as students in the general population. Students with special needs include those who may be identified as English language learners (ELLs), homeless, migrant, or with a physical, developmental, psychological and sensory or learning disability, that results in significant difficulties in areas such as communication, self-care, attention or behavior, and may require more structured supervision. Students with special needs shall not be excluded from the 21 st CCLC program, regardless of the level or severity of need, provided that they can be safely accommodated. Subrecipients must provide a concise descriptive narrative of the process the subrecipients will use to ensure equitable access to, and participation of students, teachers, and other program beneficiaries with special needs.		
MCU Review		
Additional obligations:		
Evidence of Program Implementation:		
<input type="checkbox"/> Policies and Procedures	<input type="checkbox"/> Approved Application	<input type="checkbox"/> Program Handbook
<input type="checkbox"/> Observation	<input type="checkbox"/> Other _____	
MCU Notes		
Monitoring Process		
Monitoring Results		
Performance Level <input checked="" type="checkbox"/> Choose an item.	Citation(s) 2020-21 RFP Statewide: 2.19; 2019-20 RFA Statewide: 2.5, and 4.21; 2020-21 21 st CCLC Subrecipient Assurances	
Concerns Identified		
How the subrecipient may resolve the issue:		
C07 Subrecipient Response:		
C08 - Equitable Services		
Program Requirement: Both the Elementary and Secondary Education Act (ESEA) and the Education Department General Administrative Regulations (EDGAR) require that 21 st CCLC-funded programs provide equitable services to eligible private school students, teachers and other education personnel.		
MCU Review		
Additional obligations:		
Evidence of Program Implementation:		
<input type="checkbox"/> Policies and Procedures	<input type="checkbox"/> Approved Application	<input type="checkbox"/> Certified Mail
<input type="checkbox"/> Correspondence	<input type="checkbox"/> Meeting Agendas	<input type="checkbox"/> Other _____

MCU Notes													
Monitoring Process													
Monitoring Results													
Performance Level <input checked="" type="checkbox"/> Choose an item.	Citation(s) 2020-21 RFP Statewide: 1.12; 2020-21 RFA Statewide: 2.6, and 4.22; 2019-20 21 st CCLC Subrecipient Assurances												
Concerns Identified													
How the subrecipient may resolve the issue:													
C08 Subrecipient Response:													
C09 - Student Attendance													
<p>Program Requirement: 21st CCLC programs are not drop-in programs. Students must be recruited and provided continuous services designed to encourage full participation in all the daily activities and long term engagement in the program. Attendance must be recorded and reported for each student served. All programs must have a formal sign-in and out process that records the arrival and dismissal time of each student individually.</p> <p>Programs must record and maintain daily student attendance in a manner consistent with the guidelines provided by the FDOE 21st CCLC Program Office. All 21st CCLC programs must report attendance using the EZ Reports application provided by Florida's 21st CCLC Administrative Team.</p>													
<p>Deliverables Subrecipients that are awarded the Statewide 21st CCLC RFP/RFA are required to submit monthly student attendance Deliverable(s) in approvable form by the date specified in the approved award.</p>													
MCU Review													
Additional obligations:													
<p>Evidence of Program Implementation:</p> <table style="width:100%; border: none;"> <tr> <td style="width: 33%;"><input type="checkbox"/> Policies and Procedures</td> <td style="width: 33%;"><input type="checkbox"/> Approved Application</td> <td style="width: 33%;"><input type="checkbox"/> Observation</td> </tr> <tr> <td><input type="checkbox"/> Deliverable(s)</td> <td><input type="checkbox"/> Site Profile Worksheets</td> <td><input type="checkbox"/> EZ Reports</td> </tr> <tr> <td><input type="checkbox"/> Staff Interviews</td> <td><input type="checkbox"/> Correspondence</td> <td><input type="checkbox"/> Student Sign-in/out Sheets</td> </tr> <tr> <td><input type="checkbox"/> Other _____</td> <td></td> <td></td> </tr> </table>		<input type="checkbox"/> Policies and Procedures	<input type="checkbox"/> Approved Application	<input type="checkbox"/> Observation	<input type="checkbox"/> Deliverable(s)	<input type="checkbox"/> Site Profile Worksheets	<input type="checkbox"/> EZ Reports	<input type="checkbox"/> Staff Interviews	<input type="checkbox"/> Correspondence	<input type="checkbox"/> Student Sign-in/out Sheets	<input type="checkbox"/> Other _____		
<input type="checkbox"/> Policies and Procedures	<input type="checkbox"/> Approved Application	<input type="checkbox"/> Observation											
<input type="checkbox"/> Deliverable(s)	<input type="checkbox"/> Site Profile Worksheets	<input type="checkbox"/> EZ Reports											
<input type="checkbox"/> Staff Interviews	<input type="checkbox"/> Correspondence	<input type="checkbox"/> Student Sign-in/out Sheets											
<input type="checkbox"/> Other _____													
MCU Notes													
Monitoring Process													
Monitoring Results													
Performance Level <input checked="" type="checkbox"/> Choose an item.	Citation(s) 2020-21 RFP Statewide: 3.6; 2020-21 RFA Statewide: 2.3; FDOE Green Book (2015): C1												
Concerns Identified													
How the subrecipient may resolve the issue:													
C09 Subrecipient Response:													

C10 - Required Deliverables

Program Requirement:
 All funded subrecipients are required to submit evidence of completion of activities that directly relate to the goals and objectives of the program, commonly referred to as deliverables. A complete list of required program deliverables can be found in Section 7. The deliverables include an array of reports, evaluation data, daily attendance or activity reporting, and other documentation as appropriate for the 21st CCLC program. Daily attendance reporting is required every month. The deliverables are due on the 15th day of each month. Deliverables will be reviewed and monitored to determine compliance with the program requirements.

The timeliness, quality and accuracy of the submission of deliverable documentation will be considered in determining subrecipient risk and performance.

MCU Review

Additional obligations:

Evidence of Program Implementation:

MCU Notes

Monitoring Process

Monitoring Results

Performance Level <input checked="" type="checkbox"/> Choose an item.	Citation(s) 2020-21 RFP Statewide: 2.4; 2020-21 RFA Statewide: 4.6
---	--

Concerns Identified

How the subrecipient may resolve the issue:

C10 Subrecipient Response:

C11 - Background Screening and Training of all Staff and Volunteers

Program Requirement:
 All 21st CCLC staff and contractors must be cleared through a Level II background screening as described in s. 39, 402 and 409, F.S. Volunteers that assist more than 10 hours per month must also be cleared through a Level II background screening as described in s. 39, 402 and 409, F.S.

MCU Review

Additional obligations:

Evidence of Program Implementation:

<input type="checkbox"/> Approved Application	<input type="checkbox"/> Staff Timesheets	<input type="checkbox"/> Deliverable(s)
<input type="checkbox"/> Correspondence	<input type="checkbox"/> Policy and Procedure	<input type="checkbox"/> Staff Interviews
<input type="checkbox"/> Staff List	<input type="checkbox"/> Letter from HR	<input type="checkbox"/> Level II Background Checks
<input type="checkbox"/> Other _____		

MCU Notes

Monitoring Process

Monitoring Results

Performance Level <input checked="" type="checkbox"/> Choose an item.	Citation(s) 2020-21 RFP Statewide: 3.10; 2020-21 RFA Statewide: 2.10
---	--

Concerns Identified

How the subrecipient may resolve the issue:

C11 Subrecipient Response:

C12 - Student Safety

Program Requirement:
 Subrecipients must ensure that all procedures and regulations for health, fire, safety, pick-ups, parental/guardian consents, transportation, field trips, food, medical and other emergency procedures, etc. are clearly listed and widely disseminated, and that they conform to applicable local and state standards. Subrecipients must take reasonable measures to safeguard protected personally identifiable information and other sensitive information.

Facilities
 According to ESEA Sec. 4204(b)(2)(A)(i), all 21st CCLC programs must take place in a safe and easily accessible facility. The approved facility must be as available and accessible to students and their adult family members as the students' local school. The facility must have sufficient resources to provide all proposed and required activities, such as a computer lab, library, eating area, safe recreational area and study area. The center must provide sufficient space and facilities to maintain and secure equipment and resources. The center must afford students a safe and healthy environment.

CPR and First Aid Certification
 21st CCLC programs shall maintain at least one staff member on site at all times with CPR and First Aid certification that includes the face-to-face component. In order to meet this requirement, programs should ensure that at least two staff members are certified per site.

Childcare Licensing
 The 21st CCLC program centers must comply with s. 402.26-402.319, F.S. This Florida Statute, together with Rule 65C-22.008, F.A.C., define childcare and set forth the requirements for licensing. Subrecipients must submit a valid license or exemption must be received by the 21st CCLC program office.

The FDOE does not make licensing determinations or provide exemptions or waivers. Only the Florida Department of Children and Families (DCF) or the appropriate local licensing agencies have the legal authority to do so. The FDOE reserves the right to confirm the accuracy of the information and documentation provided with the DCF or the appropriate local licensing agency.

MCU Review

Additional obligations:

Evidence of Program Implementation:

<input type="checkbox"/> Approved Application	<input type="checkbox"/> Deliverable(s)	<input type="checkbox"/> Policy and Procedure
<input type="checkbox"/> Staff List	<input type="checkbox"/> Letter from HR	<input type="checkbox"/> CPR and First Aid Certification
<input type="checkbox"/> Other _____		

MCU Notes

Monitoring Process

Monitoring Results

Performance Level <input checked="" type="checkbox"/> Choose an item.	Citation(s) 2020-21 RFP Statewide: 3.12; 2020-21 RFA Statewide: 2.11; 2019-20 21 st CCLC Subrecipient Assurances
---	---

Concerns Identified

How the subrecipient may resolve the issue:

Concerns Identified		
How the subrecipient may resolve the issue:		
C12 Subrecipient Response:		
C13 - Academic Focus and Rigor		
Program Requirement:		
<p>All 21st CCLC programs are required to operate in a manner that will maximize the program’s impact on the academic performance of the participating students. Programs must provide a breadth of activities and services that offer opportunities for students to learn new skills, develop creative ways to approach challenges and achieve academic success.</p> <p>All academic services must be aligned with the curriculum in the core subject areas of each of the schools attended by the participating students. Lesson and/or unit plans for academic enrichment activities must be required as part of the deliverable(s). Each student in the program must be afforded of the full breadth of programming each week as described in the awarded application. The programs or activities must be based on research that shows that the students will meet challenging State academic standards.</p> <p>Homework assistance and tutoring should be offered as part of the afterschool programming. If a classroom, school or district does not give homework to students, an alternate academic enrichment activity should be scheduled in the absence of homework.</p> <p>Academic enrichment must be supervised by a certified teacher, defined as a teacher with a valid Florida Professional Educator’s certificate or a temporary certificate (see SBE Rule 6A-4.001). Academic enrichment activities are those that are designed and implemented to improve the student’s performance in the core subjects (e.g., mathematics, English language arts, science) as well as homework assistance and tutoring.</p>		
MCU Review		
Additional obligations:		
Evidence of Program Implementation:		
<input type="checkbox"/> Approved Application	<input type="checkbox"/> Deliverable(s)	<input type="checkbox"/> PBL Plan
<input type="checkbox"/> Florida Standard	<input type="checkbox"/> Lesson Plans	<input type="checkbox"/> Staff Interviews
<input type="checkbox"/> Select Transactions	<input type="checkbox"/> Program Schedule	Other _____
MCU Notes		
Monitoring Process		
Monitoring Results		
Performance Level	Citation(s)	
<input checked="" type="checkbox"/> Choose an item.	2020-21 RFP Statewide: 2.4, 3.9, and 7; 2020-21 RFA Statewide: 2.1 and 2.2; 2020-21 21st CCLC Subrecipient Assurances	
Concerns Identified		
How the subrecipient may resolve the issue:		
C13 Subrecipient Response:		
C14 - Collaboration with the regular school day		
Program Requirement:		

21st CCLC programs must be designed and carried out in active collaboration with the regular school day attended by the students participating in the 21st CCLC activities. As such, the program plan and activities must be designed in coordination with the regular schools attended by the students and implemented to support what the students are learning during the regular school day.

All academic services must be aligned with the curriculum in the core subject areas of each of the schools attended by the participating students.

MCU Review

Additional obligations:

Evidence of Program Implementation:

- | | | |
|---|--|--|
| <input type="checkbox"/> Approved Application | <input type="checkbox"/> Deliverable(s) | <input type="checkbox"/> Collaboration Log |
| <input type="checkbox"/> Correspondence | <input type="checkbox"/> Meeting Agendas | <input type="checkbox"/> Other _____ |

MCU Notes

Monitoring Process

Monitoring Results

Performance Level	Citation(s)
<input checked="" type="checkbox"/> Choose an item.	2020-21 RFP Statewide: 2.4, and 7; 2020-21 RFA Statewide: 2.8

Concerns Identified

How the subrecipient may resolve the issue:

C14 Subrecipient Response:

C15 - Target Population, Recruitment and Retention

Program Requirement:

Students enrolled in 21st CCLC programs must attend the target school(s). Students must be recruited and provided continuous services designed to encourage full participation in all the daily activities and long term engagement in the program. 21st CCLC programs are not drop-in programs. Students are expected to participate in 21st CCLC programs on a regular basis. Positive outcomes for students are strongly linked to a higher number of days of participation in a quality program. Programs must implement strategies to maximize the number of participation days for each student. Regularly participating students are those students that participate in the 21st CCLC program for 30 days or more.

MCU Review

Additional obligations:

Evidence of Program Implementation:

- | | | |
|---|--|--|
| <input type="checkbox"/> Approved Application | <input type="checkbox"/> Deliverable(s) | <input type="checkbox"/> Policies and Procedures |
| <input type="checkbox"/> Observation | <input type="checkbox"/> Correspondence | <input type="checkbox"/> Site Profile Worksheets |
| <input type="checkbox"/> Meeting Agendas | <input type="checkbox"/> Attendance Data | <input type="checkbox"/> Other _____ |

MCU Notes

Monitoring Process

Monitoring Results

Performance Level	Citation(s)
<input checked="" type="checkbox"/> Choose an item.	2020-21 RFP Statewide: 3.4; 2020-21 RFA Statewide: 1.5

Concerns Identified

How the subrecipient may resolve the issue:

C15 Subrecipient Response:

C16 – Sustainability

Program Requirement:
 In accordance with ESEA Sec. 4204 (b)(2)(K), the subrecipients must have at least a preliminary plan for how the 21st CCLC program will continue after funding ends. Programs should plan to sustain their 21st CCLC program by building partnerships and collaborating with other school and community agencies to build support for resources needed to sustain the program

In order to ensure broad-based community, school and student involvement and support, all 21st CCLC programs are required to establish a local 21st CCLC Advisory Board. The focus of the advisory board meetings should include at a minimum current or future program needs and/or concerns, program evaluation results, program operations and active recruitment of resources to implement the sustainability plan.

MCU Review

Additional obligations:

Evidence of Program Implementation:

<input type="checkbox"/> Approved Application	<input type="checkbox"/> Deliverable(s)	<input type="checkbox"/> Sustainability Plan
<input type="checkbox"/> Correspondence	<input type="checkbox"/> Meeting Agendas	<input type="checkbox"/> Other _____

MCU Notes

Monitoring Process

Monitoring Results

Performance Level	Citation(s)
<input checked="" type="checkbox"/> Choose an item.	2020-21 RFP Statewide: 3.13, and 7; 2020-21 RFA Statewide: 2.14

Concerns Identified

How the subrecipient may resolve the issue:

C16 Subrecipient Response:

C17 – Program Schedule

Program Requirement:
 The subrecipient’s program schedule must reflect an appropriate balance of academic and enrichment activities that clearly support the objectives of the 21st CCLC program. 21st CCLC programs must offer an array of activities including academic enrichment and personal enrichment activities that support the development of healthy strong youth.

MCU Review

Additional obligations:

Evidence of Program Implementation:

<input type="checkbox"/> Approved Application	<input type="checkbox"/> Policies and Procedures	<input type="checkbox"/> Observation
<input type="checkbox"/> Site Profile Worksheets	<input type="checkbox"/> Correspondence	<input type="checkbox"/> Lesson Plans
<input type="checkbox"/> EZ Reports	<input type="checkbox"/> Inventory	<input type="checkbox"/> Attendance
<input type="checkbox"/> Other _____		<input type="checkbox"/> Documentation

MCU Notes

Monitoring Process

Monitoring Results

Performance Level	Citation(s)	
<input checked="" type="checkbox"/> Choose an item.	2020-21 RFP Statewide; 2020-21 RFA Statewide: 2.1 and 2.2	
Concerns Identified		
How the subrecipient may resolve the issue:		
C17 Subrecipient Response:		
C18 – Student to Adult Ratios		
Program Requirement:		
It is recommended that programs have student to adult ratios that are no more than 10 students to one instructional staff person (10:1) for all academic enrichment. Ratios should be designed to meet the needs of the students targeted by the program and should be appropriate to support the efforts to improve their academic achievement and personal growth goals. Personal enrichment activity (e.g., art, music, health and wellness) ratios should be no more than 20:1. Subrecipients must meet the student to adult ratios stated in their approved award.		
MCU Review		
Additional obligations:		
Evidence of Program Implementation:		
<input type="checkbox"/> Approved Application	<input type="checkbox"/> Observation	<input type="checkbox"/> Site Profile Worksheets
<input type="checkbox"/> Payroll Register	<input type="checkbox"/> EZ Reports	<input type="checkbox"/> Attendance
<input type="checkbox"/> Other _____		<input type="checkbox"/> Documentation
MCU Notes		
Monitoring Process		
Monitoring Results		
Performance Level	Citation(s)	
<input checked="" type="checkbox"/> Choose an item.	2020-21 RFP Statewide: 3.9 and 3.10; 2020-21 RFA Statewide: 2.10	
Concerns Identified		
How the subrecipient may resolve the issue:		
C18 Subrecipient Response:		
C19 – Policies & Procedures		
Program Requirement:		
Uniform Guidance requires that programs receiving federal funds develop policies/procedures in the following areas: financial management, allowability, time and effort, procurement, travel, property management, records retention and conflict of interest. Subrecipients should also have the leadership and organizational structure needed to implement these policies with fidelity.		
Subrecipients should have experience in providing out of school time programming using public funds. In addition to the experience managing public funds, Subrecipients should have the capacity within their organizations to create accounting systems to properly account for budgeted funds as well as track expenditures.		
<i>*For details related to each policy and procedure please see the relevant indicator</i>		
MCU Review		

Additional obligations:		
Evidence of Program Implementation:		
MCU Notes		
Monitoring Process		
Monitoring Results		
Performance Level <input checked="" type="checkbox"/> Choose an item.	Citation(s) 2020-21 RFP Statewide ; UGG: 2 CFR §200.303	
Concerns Identified		
How the subrecipient may resolve the issue:		
C19 Subrecipient Response:		
C20 – Allowable Expenses		
Program Requirement: All expenditures must be consistent with the approved application, as well as applicable state and federal laws, regulations and guidance.		
In accordance with 2 CFR 200.403, costs must meet the following general criteria in order to be allowable under federal awards:		
<ul style="list-style-type: none"> • Be necessary and reasonable for the performance of the 21st CCLC program. • Be allocable to the 21st CCLC program. • Conform to any limitations or exclusions set forth 2 CFR 200, Subpart E, Cost Principles or in the Federal award as to types or amount of cost items. • Be consistent with policies and procedures that apply uniformly to both federally-financed and other activities of the subrecipient. • Be accorded consistent treatment. (A cost may not be assigned to a Federal award as a direct cost if any other cost incurred for the same purpose in like circumstances has been allocated to the Federal award as an indirect cost.) • Be determined in accordance with generally accepted accounting principles (GAAP). • Be adequately documented. 		
In addition, the subrecipient’s current RFA/RFP identifies several items of cost that may not be charged to the grant directly or indirectly. Subrecipients are expected to consult the FDOE 21 st CCLC program office with questions regarding allowable costs.		
MCU Review		
Additional obligations:		
Evidence of Program Implementation:		
<input type="checkbox"/> Policies and Procedures	<input type="checkbox"/> Select Transactions	<input type="checkbox"/> Observation
<input type="checkbox"/> Staff Interviews	<input type="checkbox"/> Lesson Plans	<input type="checkbox"/> Other _____
MCU Notes		
Monitoring Process		
Monitoring Results		
Performance Level	Citation(s)	

<input checked="" type="checkbox"/> Choose an item.	2020-21 RFP Statewide: 2.6 and 2.7; 2020-21 RFA Statewide: 4.8 and 4.9; UGG: 2 CFR 200.403	
Concerns Identified		
How the subrecipient may resolve the issue:		
C20 Subrecipient Response:		
C21 – Procurement Rules and Regulation		
Program Requirement:		
Subrecipients must comply with the procurement rules and regulation of the State of Florida and the procurement policies of their agency. When a conflict exists between the state and the agency requirement, the more restrictive requirement governs.		
The Uniform Guidance requires that all costs be reasonable transactions conducted in a manner providing full and open competition. Subrecipients must obtain price or rate quotes from an adequate number of qualified sources. Subrecipients must obtain at least three quotes, or an approved alternative, to meet this requirement.		
Cost Analysis		
Subrecipients must maintain a cost analysis for all expenditures that ensures each cost is allowable, reasonable and necessary as required. A cost analysis must be included in the application as an attachment for the following cost items:		
<ul style="list-style-type: none"> • Salaries of the agency leadership positions if any portion of that salary is included in the program budget; • Equipment with a unit cost of \$1,000 or more; and • Contractors with an agreement totaling \$5,000 or more on an annual basis. • Cost exceeding \$3,000 per full day of service or deliverable. • Aggregate purchases with a single vendor totaling \$10,000 or more. 		
Debarment		
Subrecipients must ensure that all vendors and contractors (e.g., contractor, consultant) are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from transactions with a federal or state department or agency.		
MCU Review		
Additional obligations:		
Evidence of Program Implementation:		
<input type="checkbox"/> Approved Application	<input type="checkbox"/> Select Transactions	<input type="checkbox"/> Policies and Procedures
<input type="checkbox"/> Correspondence	<input type="checkbox"/> General Ledger	<input type="checkbox"/> Other _____
MCU Notes		
Monitoring Process		
Monitoring Results		
Performance Level	Citation(s)	
<input checked="" type="checkbox"/> Choose an item.	2020-21 RFP Statewide: 2.17; 2020-21 RFA Statewide: 4.19; FDOE Green Book (2015): C20; UGG: 2 CFR 200.318 - 200.326; 216.3475 F.S; OMB Memorandum M-18-18	
Concerns Identified		
How the subrecipient may resolve the issue:		
C21 Subrecipient Response:		

C22 – Conflict of Interest

Program Requirement:
 Uniform Guidance requires that programs receiving federal funds must have a written conflict of interest policy and procedure that ensures the following:

- No employee, officer, or agent may participate in the selection, award, or administration of a contract supported by a Federal award if he or she has a real or apparent conflict of interest.
- If the subrecipient has a parent, affiliate, or subsidiary organization that is not a state, local government, or Indian tribe, the subrecipient must also maintain written standards of conduct covering organizational conflicts of interest. Organizational conflicts of interest mean that because of relationships with a parent company, affiliate, or subsidiary organization, the subrecipient is unable or appears to be unable to be impartial in conducting a procurement action involving a related organization.

Subrecipient must disclose in writing any potential conflict of interest to the 21st CCLC program office, including all familial relationships in their staff and contractors working with the 21st CCLC program.

MCU Review

Additional obligations:

Evidence of Program Implementation:

<input type="checkbox"/> Policies and Procedures	<input type="checkbox"/> Select Transactions	<input type="checkbox"/> Correspondence
<input type="checkbox"/> Staff Interviews	<input type="checkbox"/> Other _____	

MCU Notes

Monitoring Process

Monitoring Results

Performance Level <input checked="" type="checkbox"/> Choose an item.	Citation(s) 2019-20 RFP Statewide: 3.9; 2019-20 RFA Statewide: 2.10; UGG: 2 CFR 200.112 -200.113, and 200.318(c)(1-2); FDOE Green Book (2015): D5-D7
---	--

Concerns Identified

How the subrecipient may resolve the issue:

C22 Subrecipient Response:

C23 – Financial Management

Program Requirement:
 Subrecipients must implement cash management and financial management systems which reflect applicable Federal and State regulations, provided that the procurements conform to applicable Federal laws and the Uniform Guidance.

MCU Review

Additional obligations:

Evidence of Program Implementation:

<input type="checkbox"/> Approved Application	<input type="checkbox"/> Policies and Procedures	<input type="checkbox"/> General Ledger
<input type="checkbox"/> Staff Interviews	<input type="checkbox"/> Select Transactions	<input type="checkbox"/> Other _____

MCU Notes

Monitoring Process

Monitoring Results

Performance Level <input checked="" type="checkbox"/> Choose an item.	Citation(s) 2019-20 RFP Statewide: 2.3; 2019-20 RFA Statewide: 4.2 and 4.3; UGG: 2 CFR § 200.302, 200.303, 200.305, 200.403, 200.327 200.328
---	---

Concerns Identified

How the subrecipient may resolve the issue:

C23 Subrecipient Response:

C24 – Time and Effort

Program Requirement:
Subrecipients must have the necessary internal controls in place to ensure that time and effort is accurately being tracked. Subrecipients must maintain appropriate documentation for all employees paid with 21st CCLC funds.

Federal regulations require that subrecipients have a written time and effort policy and procedure that includes the requirements for how time and effort is tracked and a procedure for how time and effort is approved.

Personnel Activity Reporting (PAR)
Employees who work on multiple activities or cost objectives need to record a distribution of their salaries and wages and this distribution needs to be supported with a personnel activity report (PAR) or equivalent documentation. This PAR must be signed by the employee and align with the pay period.

Semi-Annual Certification
Employees that work on a single federal award or cost objective, such as the 21st CCLC program only, must complete a semi-annual certification. Federal regulations require that charges for the employee’s salaries and wages need to be supported by period certifications and that the employees worked solely on that program for the period covered by the certification. These certifications need to be prepared at least semi-annually and need to be signed by the employee or supervisory official having first-hand knowledge of the work performed by the employee.

Florida School District Substitute Time Distribution Reporting System
Federal regulations allow for states to approve substitute processes or systems for allocating salaries and wages to Federal awards. School districts may enter into an agreement with the FDOE to utilize a substitute time distribution reporting system. The LEA must submit a management certification certifying that only eligible employees will participate in the substitute system and that the system used to document employee work schedules includes sufficient controls to ensure that the schedules are accurate.

- Under the Florida School District Substitute agreement, PARs must be:**
- Completed daily during the reporting months.
 - Completed three times a year; September, January and May
 - Completed and signed by the employee and a supervisor having first-hand knowledge of the work performed.
 - Reviewed and signed by the project manager.

The LEA may use alternative documentation – such as a teacher’s course schedule—instead of PARs to document time and effort of an individual who works on multiple activities or cost objectives on a predetermined fixed schedule. Certifying time and effort for these employees would be permitted on a semi-annual basis.

MCU Review

Additional obligations:

Evidence of Program Implementation:

<input type="checkbox"/> Approved Application	<input type="checkbox"/> Policies and Procedures	<input type="checkbox"/> Staff List
<input type="checkbox"/> Timesheet	<input type="checkbox"/> Semi-Effort	<input type="checkbox"/> Personnel Action Report (PAR)
<input type="checkbox"/> Other _____	<input type="checkbox"/> Certifications	

MCU Notes		
Monitoring Process		
Monitoring Results		
Performance Level <input checked="" type="checkbox"/> Choose an item.	Citation(s) UGG: 2 CFR 200.430; FLDOE’s Agreement On A Substitute Time Distribution Reporting System; FDOE Green Book (2015): D19	
Concerns Identified		
How the subrecipient may resolve the issue:		
C24 Subrecipient Response:		
C25 – Travel		
Program Requirement: All subrecipients are required to conduct travel in a manner that is compliant with applicable laws, regulations, and the terms and conditions of the award.		
Travel policies must include the process for initiating a travel request, its approval, and the reimbursement of approved travel expenses to the traveler. Travel reimbursements must include the following documentation:		
<ul style="list-style-type: none"> • Meal reimbursements (\$6 for breakfast, \$11 for lunch and \$19 for dinner or \$36 per day), a maximum of \$175 per night for hotel stay, and .445 cents per mile. • A printed map for the computation of mileage, such as the official state road map issued by the Department of Transportation or available through websites. • A copy of agenda for meetings. • Copies of receipts (hotel, rental car, gas, tolls, etc.). • Copies of paid checks or bank statements. • All travel-related expenses must have a DOE C-676C (travel form) for each traveler signed by the traveler and his supervisor. 		
Section 112.061(14), Florida Statutes, Applicability to Counties, County Officers, District School Boards, Special Districts, and Metropolitan Planning Organization, establishes statutory authority allowing specified entities to establish travel reimbursement rates other than those established by Section 112.061 (6)(a), (6)(b), and (7)(d), Florida Statutes. Each entity must comply in accordance with the statute and include with the project application a copy of the applicable document, e.g., ordinance, resolution, policy, or rule, and have a detailed description on the project budget form.		
Changes in travel rate(s) based on, Section 112.061(14), Florida Statutes. Documentation must be included with the project amendment and have a detailed description of the budget change.		
MCU Review		
Additional obligations:		
Evidence of Program Implementation:		
<input type="checkbox"/> Approved Application	<input type="checkbox"/> Policies and Procedures	<input type="checkbox"/> Select Transactions
<input type="checkbox"/> Other _____		
MCU Notes		
Monitoring Process		
Monitoring Results		
Performance Level	Citation(s)	

<input checked="" type="checkbox"/> Choose an item.	FDOE Travel Manual; FDOE Green Book (2015): C21 and D23						
Concerns Identified							
How the subrecipient may resolve the issue:							
C25 Subrecipient Response:							
C26 – Property Management							
<p>Program Requirement: Federal Requirement Any equipment purchased under this program must follow the Uniform Guidance. Uniform Guidance, Section 200.313 Equipment requires that property records be maintained and provide an accurate accounting of equipment purchased with grant funds.</p> <p>State Requirement According to Rule 69I-72.002, F.A.C., “All tangible personal property with a value or cost of \$1,000 or more and having a programmed useful life of one year or more shall be recorded in the state’s financial system as property for inventory purposes.” According to Rule, 69I-72.003, Recording of Property, “A physical inventory of the property must be taken and the results reconciled with the property records at least once yearly.”</p> <p>The FDOE Green Book states that “small attractive items with a purchase value of less than \$1,000, whether classified as equipment, technological items or supplies must be safeguarded. Recipients should have a written policy on how these items will be tracked and accounted for.”</p> <p>21st CCLC Program Requirement To ensure that Florida adequately monitors equipment purchased with federal funds, subrecipients must record <u>all</u> equipment with a unit cost of \$1,000 or more on the Budget Narrative Form (DOE 101). All additional equipment purchases with a unit cost of \$1,000 or more and not listed on the original budget approved by the FDOE, require an amendment submission and approval by the FDOE prior to purchase.</p> <p>LEA or Agency Requirements If the LEA or agency/organization threshold requirements are lower than the state’s \$1,000, the LEA or agency/organization must adhere to and use the lower threshold.</p> <p>All 21st CCLC programs must have a process to secure all program equipment and supplies.</p> <p>Subrecipients must maintain documentation for materials and equipment purchased with 21st CCLC funds as required in the approved application, awarded RFP/RFA, applicable laws and regulations, and the subrecipient’s own policies and procedures.</p>							
MCU Review							
Additional obligations:							
<p>Evidence of Program Implementation:</p> <table border="0"> <tr> <td><input type="checkbox"/> Policies and Procedures</td> <td><input type="checkbox"/> Approved Application</td> <td><input type="checkbox"/> Inventory Sheets</td> </tr> <tr> <td><input type="checkbox"/> Observation</td> <td><input type="checkbox"/> Select Transactions</td> <td><input type="checkbox"/> Other _____</td> </tr> </table>		<input type="checkbox"/> Policies and Procedures	<input type="checkbox"/> Approved Application	<input type="checkbox"/> Inventory Sheets	<input type="checkbox"/> Observation	<input type="checkbox"/> Select Transactions	<input type="checkbox"/> Other _____
<input type="checkbox"/> Policies and Procedures	<input type="checkbox"/> Approved Application	<input type="checkbox"/> Inventory Sheets					
<input type="checkbox"/> Observation	<input type="checkbox"/> Select Transactions	<input type="checkbox"/> Other _____					
MCU Notes							
Monitoring Process							
Monitoring Results							
<p>Performance Level</p> <input checked="" type="checkbox"/> Choose an item.	<p>Citation(s)</p> 2020-21 RFP Statewide: 2.14; UGG 2 CFR 200.313; F.A.C. 69I-72.003, FDOE Green Book (2015): C18						

Concerns Identified

How the subrecipient may resolve the issue:

C26 Subrecipient Response:

C27 – Records Retention

Program Requirement:

All subrecipients must maintain appropriate and sufficient documentation to show evidence of compliance with federal, state and local regulations. It is the responsibility of the subrecipient to retain all financial and program records in an auditable manner to be accessed and provided to the USED, FDOE, the Florida Department of Financial Services, the Florida Auditor General, or their designees at any time.

All accounts, records and other supporting documentation pertaining to all costs incurred shall be maintained for five (5) years from the last program activity, typically the submission of the final project disbursement report or longer if there is an ongoing investigation, monitoring or audit.

Supporting documentation for expenditures is required for all funding methods. Examples of such documentation include, but are not limited to: invoices with check numbers verifying payment, and/or bank statements; time and effort logs for staff, salary/benefits schedules for staff.

MCU Review

Additional obligations:

Evidence of Program Implementation:

- | | | |
|--|---|---|
| <input type="checkbox"/> Policies and Procedures | <input type="checkbox"/> Select Transactions | <input type="checkbox"/> Inventory Sheets |
| <input type="checkbox"/> Staff Interviews | <input type="checkbox"/> Programmatic Documentation | <input type="checkbox"/> Other _____ |

MCU Notes

Monitoring Process

Monitoring Results

Performance Level <input checked="" type="checkbox"/> Choose an item.	Citation(s) 2020-2 RFP Statewide: 2.12; 2020-21 RFA Statewide: 4.14; 21 st CCLC Subrecipient Assurances for the 2020-21 program year
---	---

Concerns Identified

How the subrecipient may resolve the issue:

C27 Subrecipient Response:

C28 – Supplement, Not Supplant

Program Requirement:

21st CCLC awards include the federal “supplement, not supplant” provision. Supplement typically means “create something to add to a program”; supplant typically means “to replace something that already exists.”

21st CCLC funds can only be used to start a new program or to supplement an existing non-21st CCLC program. As such, 21st CCLC funds may not be used to supplant existing programs that are similar to 21st CCLC programs or funding that is used for programs that are similar to 21st CCLC programs. Any expenditure that supplants existing programs or funding is not allowable. Subrecipients

seeking to supplement an existing 21st CCLC-like program must clearly describe how the 21st CCLC funds will supplement and not supplant other funds.

MCU Review

Additional obligations:

Evidence of Program Implementation:

<input type="checkbox"/> Policies and Procedures	<input type="checkbox"/> Staff Timesheets	<input type="checkbox"/> Observation
<input type="checkbox"/> Staff Interviews	<input type="checkbox"/> Select Transactions	<input type="checkbox"/> Programmatic Documentation
<input type="checkbox"/> Other _____		

MCU Notes

Monitoring Process

Monitoring Results

Performance Level	Citation(s)
<input checked="" type="checkbox"/> Choose an item.	2020-21 RFP Statewide: 2.9; 2020-21 RFA Statewide: 2.13 and 4.10

Concerns Identified

How the subrecipient may resolve the issue:

C28 Subrecipient Response:

C29 – Subgrant

Program Requirement:
 21st CCLC subrecipients cannot further subgrant the 21st CCLC program or any part thereof. Prior to entering into a relationship with any outside entity, funded agencies should complete a subrecipient and contractor determination as described in 2 C.F.R. Part 200.330 and maintain documentation to support that the determination was completed prior to engaging the outside entity.

21st CCLC programs may use contracts to fulfill some of the needs of the program. Contractors can provide ancillary services to the program but cannot provide or be responsible for the program. Contracts may be an allowable expense but cannot account for more than 25 percent of the total budget amount. Individual subcontracts with certified teachers and transportation costs are exempt from this limitation. These exempt subcontracts must be clearly labeled in the approved budget.

MCU Review

Additional obligations:

Evidence of Program Implementation:

<input type="checkbox"/> Policies and Procedures	<input type="checkbox"/> Program Handbook	<input type="checkbox"/> Observation
<input type="checkbox"/> Staff Interviews	<input type="checkbox"/> Select Transactions	<input type="checkbox"/> Other _____

MCU Notes

Monitoring Process

Monitoring Results

Performance Level	Citation(s)
<input checked="" type="checkbox"/> Choose an item.	2020-21 RFP Statewide: 2.8

Concerns Identified

How the subrecipient may resolve the issue:

C29 Subrecipient Response:	
C30 – Written Agreement	
Program Requirement: All relationships with contractors must be based on a written agreement that clearly identifies the scope of work to be completed by the contractor; clear, quantifiable and specific deliverable(s) and the assigned payment for each deliverable; financial consequences for non-performance; and any other information as required by applicable federal, state, and local rules and regulations. Contracts that exceed \$5,000 must have a cost analysis included in the application.	
MCU Review	
Additional obligations:	
Evidence of Program Implementation:	
<input type="checkbox"/> Policies and Procedures	<input type="checkbox"/> Written Contract
<input type="checkbox"/> Staff Interviews	<input type="checkbox"/> Select Transactions
<input type="checkbox"/> Other _____	<input type="checkbox"/> Observation <input type="checkbox"/> Programmatic Documentation
MCU Notes	
Monitoring Process	
Monitoring Results	
Performance Level <input checked="" type="checkbox"/> Choose an item.	Citation(s) 2020-21 RFP Statewide: 2.8
Concerns Identified	
How the subrecipient may resolve the issue:	
C30 Subrecipient Response:	
C31 – Grants Fiscal Management Training	
Program Requirement: Community-Based Organizations (CBOs), Faith-Based Organizations (FBOs) and other private organizations that are recipients or subrecipients of FDOE grants are required to complete Grants Fiscal Management Training offered by the FDOE within 60 days of the signature date of the DOE 200. The Grants Fiscal Management Training and Assessment Test must be completed by the agency head/CEO or CFO/Head of Finance.	
MCU Review	
Additional obligations:	
Evidence of Program Implementation:	
<input type="checkbox"/> Approved Application	<input type="checkbox"/> Policies and Procedures
<input type="checkbox"/> Other _____	<input type="checkbox"/> Grants Fiscal Management Training and Assessment Test
MCU Notes	
Monitoring Process	
Monitoring Results	
Performance Level <input checked="" type="checkbox"/> Choose an item.	Citation(s) 2020-21 RFP Statewide: 2.13; 2019-20 RFA Statewide: 4.15
Concerns Identified	

How the subrecipient may resolve the issue:

C31 Subrecipient Response: