

# Standard Operating Procedures (SOP) 2022-2023

*Revised 10/3/2022*

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**NC Department of Public Instruction**

**21<sup>st</sup> Century Community Learning Centers**

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# SECTION 1: GENERAL INFORMATION

## 1.A Purpose of Standard Operating Procedures (SOPs)

The North Carolina Department of Public Instruction (NCDPI) is required to monitor the quality and effectiveness of the programs operating with funds provided through the 21st Century Community Learning Centers (CCLC) program (Uniform Grant Guidance 2 CFR § 200). NCDPI staff in the Office of Federal Programs (Division) conduct monitoring reviews to ensure compliance with federal and state requirements and verify the implementation of descriptions included within the approved application such as assurances and budgets. Monitoring not only serves to ensure compliance, but also provides a means to identify areas that require additional support and technical assistance.

Written Standard Operating Procedures (SOPs) ensure that regularly recurring operations are carried out correctly and always in the same manner. SOPs offer step-by-step instructions that act as guidelines for employee work processes to control the quality and the consistency of outcomes. The purpose of this document is to describe standard procedures for 21st CCLC subgrantee monitoring. SOPs are reviewed annually and changes to procedures and policies are shared with subgrantees during their annual training and are available on the 21st CCLC website. NCDPI reserves the right to update or change the content of this manual as well as the 21st CCLC program or fiscal requirements, policies, and procedures at any time.

It is the goal of the Office to establish and maintain timelines for the monitoring process that are reasonable under normal operations. However, the Office recognizes that unforeseen circumstances may occur that require timelines to be modified in some cases. In those instances where timelines are modified, staff will receive approval from the Supervisor and document the justification for any modifications to the established schedule, process, or procedure.

This document is organized to provide 21<sup>st</sup> CCLC staff with specific resources and steps to complete the on-site monitoring process through three (3) specific phases: 1) Planning; 2) Fieldwork; and 3) Reporting. All templates and instruments are included in the Appendices section of this document.

## 1.B Background of the Program

The 21<sup>st</sup> Century Community Learning Centers (CCLC) Program is authorized under Title IV, Part B, of the Elementary and Secondary Education Act (ESEA) of 1965 as amended by the Every Student Succeeds Act (ESSA) of 2015. Beginning with grants initially funded in the 2017-2018 school year, 21<sup>st</sup> CCLC programs must comply with the provisions outlined in ESSA. Additional information about ESSA is located [HERE](#).

The U. S. Department of Education (USED) awards formula grants to the North Carolina Department of Public Instruction (NCDPI) which in turn make competitive grants available to eligible entities. Eligible entities include, but are not limited to, local education agencies (LEAs), non-profit agencies, city or county government agencies, community-based organizations (CBOs), faith-based organizations (FBOs), institutions of higher education (IHEs), and for-profit corporations.

Generally, a new competition is held once every three (3) years. Please note that availability of grant funds for new competitions and continuation awards is contingent upon budget approval by the U.S. Congress each year.

Section 4204(a) of the ESSA defines Expanded Learning Programs (ELPs) as enrichment and academic activities that are included as part of a program that provides students at least 300 additional program hours before, during, or after the traditional school day. In addition, ELPs must supplement, but not supplant, regular school day requirements. States receiving 21<sup>st</sup> CCLC funds may, but are not required to, support ELP activities with the federal funds. At this time, the North Carolina 21<sup>st</sup> CCLC program does not include ELPs as defined under the ESSA in the competitive grant program.

Section 4204(j) of the ESSA describes that a state may, but is not required to, renew a subgrant provided under this part to an eligible entity, based on the eligible entity's performance during the preceding subgrant period. While North Carolina does consider subgrantee performance during the preceding year as a part of the continuation award during the three-year award period, North Carolina does not currently offer renewability as allowed under the ESSA.

## 1.C Purpose of the Grant

The purpose of the 21<sup>st</sup> CCLC program is to provide federal funds to establish or expand community learning centers that operate during out-of-school hours with three specific purposes:

1. Provide opportunities for academic enrichment, including providing tutorial services to help students (particularly students in high poverty areas and those who attend low-performing schools) meet state and local student performance standards in core academic subjects such as reading and mathematics.
2. Offer students a broad array of additional services, programs, and activities, such as: youth development activities; service learning; nutrition and health education; drug and violence prevention programs; counseling programs; arts, music, physical fitness and wellness programs; technology education programs; financial literacy programs; environmental literacy programs; mathematics, science, career and technical programs; internship or apprenticeship programs; and other ties to an in-demand industry sector or occupation for high school students that are designed to reinforce and complement the regular academic program of participating students.
3. Offer families of students served by 21<sup>st</sup> CCLCs opportunities for active and meaningful engagement in their children's education, including opportunities for literacy and related educational development.

## 1.D Grant Award Notification (GAN) Workflow

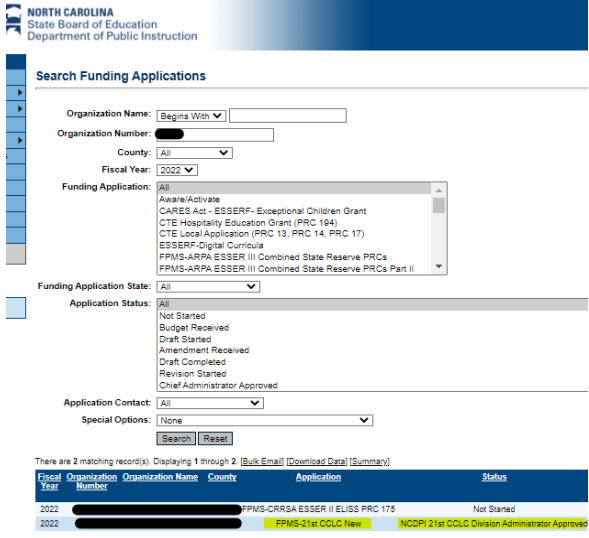
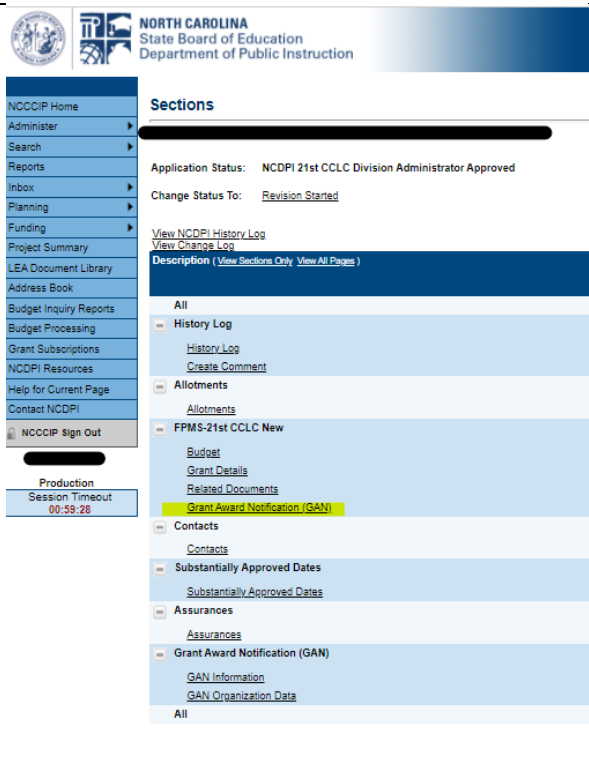
Grant Award Notification (GAN) Letter is a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the recipient award to an eligible subrecipient.

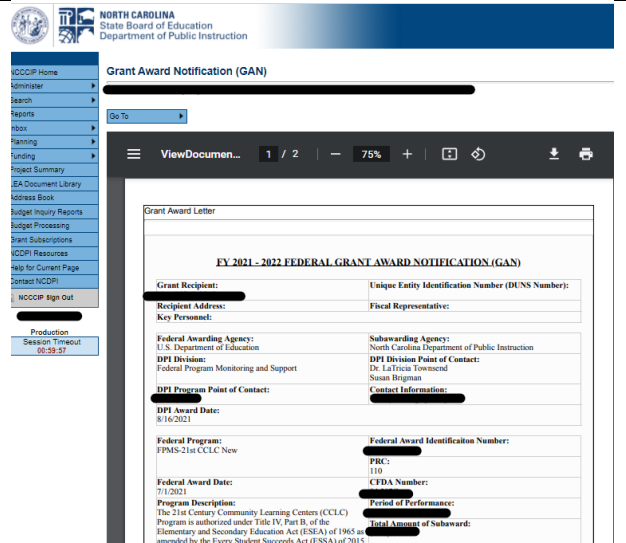
Once the final award decisions are made, the awarding agency (NCDPI) sends a Notice of Award (NOA) to the entities selected for funding. The NOA is the official, legally binding issuance of the award. When an organization accepts the grant (i.e., by signing the grant agreement or by drawing down funds) the organization becomes legally obligated to carry out the full terms and conditions of the grant.

The GAN Letter provides the recipient UEI number, Sub-awarding agency (NCDPI), Federal Award Identification number, Sub-award period of performance (current fiscal year) and Total Amount of Award for current fiscal year.

The chart below provides step by step instructions on how to access a copy of an organization's GAN.

Steps:	Task: Access Grant Award Notification Letter	Screenshot: CCIP
1.	Navigate CCIP	
2.	Login	
3.	Float cursor over search and click Funding Application.	

<p>4.</p>	<p>Search organization number. If the program has multiple grants or cohorts, ensure the appropriate one is selected.</p> <p>*Ensure the most recent Division Administrator Approved Application is selected</p>	
<p>5.</p>	<p>Once you select the organization, click Grant Award Notification (GAN)</p>	

<p>6.</p>	<p>Once you click on the link, a PDF Grant Award Notification (GAN) letter will generate, and you can download or print it.</p>	
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## 1.E Resources

This document is not intended to be used in isolation of the legislation, regulations, and non-regulatory guidance published by the U.S. Department of Education (USED).

- [21<sup>st</sup> Century Community Learning Centers – Legislation and Guidance](#)
- [Uniform Grant Guidance 2 CFR § 200](#)
- [General Education Provisions Act \(GEPA\)](#)



## SECTION 2: COMMONLY USED TERMS

To establish a common language, the following terms used through the SOP are defined as follows:

**BAAS** - BAAS is the Budget and Amendment Approval System (BAAS) at NCDPI. All LEAs and public charter schools must submit budgets and amendments for federal funds through BAAS for approval by appropriate NCDPI program staff.

**Business Days** – Business days will not include holidays and weekends.

**Comprehensive Continuous Improvement Plan (CCIP)** – CCIP is a web-based grants management system used by subgrantees to apply for federal funds. The system consists of a Planning Tool and a Funding Application. The Funding Application component includes a Related Documents section where subgrantees upload supporting documents as required for each federal grant.

**Comprehensive Program Monitoring Review (CPMR)** – A CPMR is a monitoring review that is conducted virtually or on-site at the organization location where program documentation is maintained with visits to individual centers (sites) as appropriate. CPMRs focus on indicators across four (4) compliance strands. Compliance indicators in a CPMR are related to program management and implementation. During the visit, Program Administrators will review documentation, conduct interviews, and provide technical assistance when applicable. CPMRs can result in official findings that require written action plans from subgrantees to resolve. Findings identified during the CPMR will be used to inform the subgrantee's risk level during NCDPI's 21<sup>st</sup> CCLC annual risk assessment for future monitoring events.

**Expenditure Reporting and Cash Application (ERaCA)** – ERaCA is a web-based application used by non-LEA units to process expenditures and cash requests; managed by NCDPI Financial and Business Services. The system gives non-LEA units the ability to: 1) submit expenditures; 2) verify submissions; 3) check funds requirement dates; 4) verify balances; and 5) download financial reports. ERaCA inquiries may be performed by Division staff as part of the monitoring process.

**ERaCA (Disabling the account)** - is the process of denying access to the non-LEA's ERaCA account for an individual subgrantee. When accounts are temporarily disabled, subgrantees may not make reimbursement requests and draw down funds. Disabling the ERaCA account requires Program Administrator (PA)s or Fiscal Monitor (FM)s to notify the Supervisor via email the reason the account should be disabled. The Supervisor reviews the request and emails a Fiscal Monitor to disable the account. Once a corrective action is completed, the account is enabled in ERaCA through the same process.

**Fiscal Agent** – Throughout this document, reference to "organization" or "subgrantee" applies to the fiscal agent for the 21st CCLC grant. It is the fiscal agent's responsibility to 1) maintain accurate and updated contact information for all 21st CCLC sites with NCDPI; 2) ensure adherence to all assurances and certifications associated with the 21st CCLC grant; and 3) assume responsibility for the reconciliation of any audit exception or compliance finding, including as necessary, the repayment of 21st CCLC funds from a non-federal funding source. Failure to comply with federal,

state or grant guidelines may lead to implementation of a corrective action plan, reduction of allocation, suspension of reimbursement, repayment of misused funds, or suspension or closure of program.

**Fiscal Desk Review (FDR)** – An FDR is the process of reconciling one or more ERaCA/BAAS submission(s) by the grantee during the fiscal year in question to ensure that reported expenses are necessary, reasonable and allowable in accordance with federal requirements

**Fiscal Monitoring Review (FMR)** – An FMR is a monitoring review that is conducted on-site at the organization location where fiscal documentation is maintained. FMRs focus on seven (7) indicators of fiscal compliance.

**Fiscal Monitor (FM)** - The FM is the primary individual within the Office that is responsible for completing the fiscal monitoring process.

**Modified Comprehensive Program Monitoring Review (M-CPMR)** - M-CPMRs are conducted virtually or on-site at the organization location where program documentation is maintained with visits to individual centers (sites) as appropriate. The review process utilizes the risk assessment tool, prior subgrantee observation, and other available data to determine which of the following four (4) programmatic compliance strands will be included in the M-CPMR. M-CPMRs typically include review of 1-2 compliance strands. During the visit, Program Administrators will review documentation, conduct interviews, and provide technical assistance when applicable. M-CPMRs can result in official findings that require written action plans from subgrantees to resolve. Findings identified during the M-CPMR will be used to inform the subgrantee's risk level during NCDPI's 21<sup>st</sup> CCLC annual risk assessment for future monitoring events.

**Monitoring Instrument** – A monitoring instrument is used by Program Administrators to conduct CPMRs, M-CPMRs, FMRs and FDRs. The instruments are organized by specific state and federal compliance requirements.

**Monitoring Process** – Monitoring reviews are conducted in one of four (4) ways: 1) Comprehensive Program Monitoring Reviews (CPMRs); 2) Modified Comprehensive Program Monitoring Reviews (M-CPMRs); 3) Fiscal Monitoring Reviews (FMRs); 4) Fiscal Desk Reviews (FDRs). The monitoring process in [Section 3](#) of this document refers to on-site reviews conducted as CPMRs and FMRs. Additional monitoring procedures are described in [Section 6](#).

**Non-LEA** – Non-LEA refers to all subgrantees that are not local school administrative units, referred to as local educational agencies (LEAs). For the 21<sup>st</sup> CCLC grant, non-LEA organizations includes, but is not limited to, faith-based organizations (FBOs), community-based organizations (CBOs), local government organizations, nonprofit organizations, and for-profit organizations.

**Program Administrator (PA)** – The PA is the primary individual within the Federal Program and Monitoring Support Division that is responsible for completing the programmatic monitoring process.

**Program Director** – The 21<sup>st</sup> CCLC Program Director serves as the primary point of contact between NCDPI and the subgrantee and as such, is responsible for ensuring that all relevant communication from NCDPI is provided to appropriate staff at the local level. Additionally, the 21<sup>st</sup>

CCLC Program Director is the main point of contact for NCDPI 21<sup>st</sup> CCLC Program Monitoring events.

**Questioned Cost** – According to the Uniform Grant Guidance 2 CFR § 200.84, “Questioned cost means a cost that is questioned by the auditor because of an audit finding: (a) Which resulted from a violation or possible violation of a statute, regulation, or the terms and conditions of a Federal award, including for funds used to match Federal funds; (b) Where the costs, at the time of the audit, are not supported by adequate documentation; or (c) Where the costs incurred appear unreasonable and do not reflect the actions a prudent person would take in the circumstances.” For the purposes of these procedures, the term “auditor” also applies to fiscal monitoring staff. The identification of any questioned cost may result in suspension of the subgrantee’s funds and repayment.

**Risk Assessment** – A risk assessment is used to determine the type of programmatic and fiscal monitoring an organization will receive. Subgrantees are monitored as an organization, not by individual 21<sup>st</sup> CCLC cohort. Therefore, if a subgrantee is receiving funding from multiple 21<sup>st</sup> CCLC cohorts their annual risk assessment results will be determined based upon a combined assessment of all its programs across all 21<sup>st</sup> CCLC grants.

**Subgrantee** – Subgrantee refers to the organization that is the fiscal agent for the 21<sup>st</sup> CCLC grant. See description for Fiscal Agent above.

**Supervisor** – Supervisor refers to the NCDPI individual that completes the final approval of various parts of the monitoring process. Typically, the Supervisor is the Division Director, Assistant Director, or Section Chief.

**Technical Assistance** – 21<sup>st</sup> CCLC NCDPI staff can provide technical assistance through informal site visits, in-person/virtual meetings, and via email or phone. Technical Assistance calls/meetings/visits do not result in findings and are not considered a monitoring event. PAs may conduct technical assistance visits to any current 21<sup>st</sup> CCLC program. However, PAs often prioritize visiting new 21<sup>st</sup> CCLC subgrantee programs, 21<sup>st</sup> CCLC summer programs, and 21<sup>st</sup> CCLC programs who are not receiving an official programmatic monitoring during the current fiscal year to provide technical assistance.

## SECTION 3: 21<sup>st</sup> CCLC MONITORING PROCESS

NCDPI is required to monitor the quality and effectiveness of the programs operating with funds provided through 21<sup>st</sup> CCLC grants ([2 CFR § 200.331](#)). Monitoring events are conducted to ensure compliance with federal and state requirements and verify compliance with items included within the approved application such as assurances and budgets. Monitoring not only serves to ensure compliance, but also provides a means to identify areas that require additional support and technical assistance. The Office of Federal Programs at NCDPI engages in four types of monitoring of federal programs which may be conducted as announced or unannounced.

### 3.A. Annual Risk Assessment Overview

A risk assessment determines how subgrantees will be monitored throughout the 3-year grant cycle. The risk assessment includes consideration for factors including, but not limited to the following: novice subgrantee status; findings from previous fiscal and program monitoring events; timely submission of 21DC and CCIP data; timely submission of expenditure documentation; repayments or ERaCA disablements; and length of time since last monitoring event. Late submission of data and missed deadlines will be used to inform the subgrantee's risk level during the annual risk assessment process for future monitoring events.

### 3.A.1 Annual Risk Assessment Levels & Associated Monitoring Events

Subgrantees are monitored as an organization, not by individual 21<sup>st</sup> CCLC cohort. Therefore, if a subgrantee is receiving funding from multiple 21<sup>st</sup> CCLC cohorts their annual risk assessment results will be determined based upon a combined assessment of all its programs across all 21<sup>st</sup> CCLC grants.

The 21<sup>st</sup> CCLC Annual Risk Assessments for Programmatic and Fiscal Monitoring have (4) levels of risk. Each level of risk is associated with a specific type of monitoring and/or support:

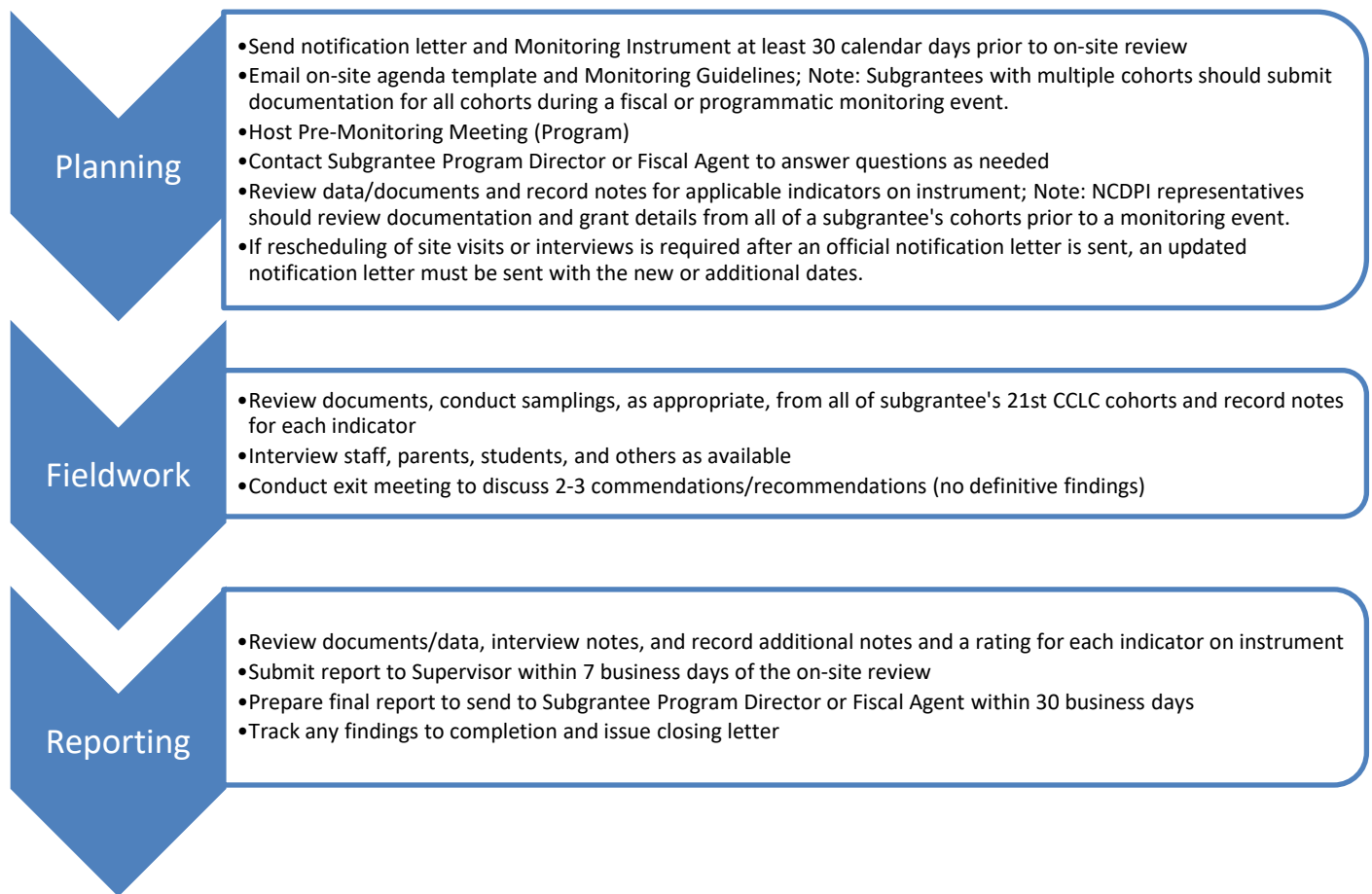
Risk Level	Associated Monitoring Event
New/Novice Program	Fiscal & Programmatic Technical Assistance Visits (up to 3 during Year 1 of grant cycle)
High Risk	CPMR/FMR
Moderate Risk	M-CPMR/FDR
Low Risk	No Programmatic or Fiscal Monitoring Event unless in Year 3 of grant cycle with no previous CPMR or FMR

### 3.B Monitoring Event Process Overview

The monitoring review process for each scheduled on-site review occurs in three phases:

1. Planning – work performed prior to the on-site visit
2. Field Work – work performed during the on-site review
3. Reporting – work performed after the on-site review is completed

The following graphic provides a general overview of the steps completed in each phase of the process:



### 3.B General Roles and Responsibilities

To ensure internal controls are maintained, the monitoring review process is conducted with a separation of duties performed by individual staff members.

**Administrative Assistant** – The Administrative Assistant is responsible for sending out all formal communications regarding the monitoring review. The Administrative Assistant proofreads Notifications and Cover Letters and ensures that the correct letterhead is used. In addition, the Administrative Assistant is responsible for maintaining a tracking log of all parts of the process.

**Fiscal Monitor (FM)**- A FM is assigned to serve as lead monitor for each fiscal on-site or desk review scheduled for the fiscal year (e.g., July 1, 2022 to June 30, 2023). They are responsible for collecting current templates, reviewing data, providing informal communication with subgrantees, maintaining documentation, and adhering to established timelines to ensure that reviews are conducted as scheduled, and reports are completed in a timely manner.

**Program Administrator (PA)** – A PA is assigned to serve as lead monitor for each programmatic on-site or virtual monitoring event scheduled for the fiscal year (e.g., July 1, 2022 to June 30, 2023). They are responsible for collecting current templates, reviewing data, providing informal

communication with subgrantees, maintaining documentation, and adhering to established timelines to ensure that reviews are conducted as scheduled, and reports are completed in a timely manner.

**Secondary PA/FM** – Responsible for taking notes, serving as a second set of eyes and ears for the review. Provides additional assistance for the lead PA/FM on the date of an on-site monitoring visit.

**Supervisor** – Supervisors have final approval on all monitoring schedules and activities. Supervisors are responsible for reviewing and approving all formal communications prior to sending to the Administrative Assistant for distribution. The Supervisor may periodically review the tracking log to determine if the monitoring process is conducted in a timely manner and in adherence to established timelines.

#### NOTE

NCDPI reserves the right to conduct unannounced visits if significant risk is determined through external audits, public complaints, or non-compliance with data submission and reporting requirements

### 3.C Procedures for Comprehensive Monitoring Events (CPMR, M-CPMR, & FMR)

Comprehensive monitoring events include CPMRs, M-CPMRs and FMRs. All comprehensive monitoring events can result in either programmatic or fiscal findings requiring a written response from subgrantees within ten (10) days for FMR and within thirty (30) days for CPMRs/M-CPMRs after the report is issued and received by the organization.

#### 3.C.1 Planning Phase for Comprehensive Monitoring Events

##### Planning

- Send notification letter and Monitoring Instrument at least 30 calendar days prior to on-site review
- Email on-site agenda template and Monitoring Guidelines; Note: Subgrantees with multiple cohorts should submit documentation for all cohorts during a fiscal or programmatic monitoring event.
- Host a regional monthly meeting for Subgrantee Program Director or Fiscal Agent to review monitoring preparation and procedures and to answer questions as needed
- Review data/documents and record notes for applicable indicators on instrument; Note: NCDPI representatives should review documentation and grant details from all of a subgrantee's cohorts prior to a monitoring event.
- If rescheduling of site visits or interviews is required after an official notification letter is sent, an updated notification letter must be sent with the new or additional dates.

To complete a comprehensive monitoring review, the lead PA will need to gather the following for each type of monitoring:

#### CPMRs & M-CPMRs

- CPMR Notification Template ([Appendix A](#)) or M-CPMR Notification Template ([Appendix B](#))

- CPMR Instrument with Sample Documentation ([Appendix I](#)) (NOTE: M-CPMRs use the CPMR instrument, but only review 1-2 strands as indicated on the first page of the report)
- Monitoring Guidelines ([Appendix K](#)) and Programmatic Monitoring Event Agenda Template (Appendix G)
- Follow-up Monitoring Event email template ([Appendix E-F](#))
- Monitoring Event Prep Meeting Outline ([Appendix H](#))
- Documentation maintained at the state level (e.g., Related Documents in CCIP, 21DC, etc.)

#### FMRs

- FMR Notification Template ([Appendix C](#))
- FMR Instrument ([Appendix I](#))

#### Comprehensive Monitoring Event Planning Phase Workflow & Associated Roles and Responsibilities

Who	What	When
Program Administrator / Fiscal Monitor	<ul style="list-style-type: none"> <li>• Updates the 1) Notification Letter and 2) Program Information Sheet in SharePoint</li> <li>• Notifies Supervisor via email the letter is ready for review</li> </ul>	Send at least 5 days prior to start of 30-day timeline for subgrantee notification
Supervisor	<ul style="list-style-type: none"> <li>• Reviews Notification Letter and Program Information Sheet</li> <li>• Emails Approvals to Administrative Assistant</li> </ul>	Approve prior to 30 days of the scheduled review
Administrative Assistant	<ul style="list-style-type: none"> <li>• Emails Notification Letters and Monitoring Instrument to Subgrantees</li> <li>• Place email notifications in SharePoint</li> <li>• Documents dates in tracking log</li> </ul>	Send prior to 30 days of the scheduled review
Program Administrator / Fiscal Monitor	<ul style="list-style-type: none"> <li>• Sends follow-up email to subgrantee Program Director or Fiscal Agent and provides an agenda template and the Monitoring Guidelines document</li> <li>• <u>Programmatic Monitoring</u>: Regional PAs (East/West) host monthly meetings for all subgrantees in the region receiving a monitoring event in the coming month to review procedures and protocols and answer any subgrantee questions</li> </ul>	Within one week after notification is emailed
Program Administrator / Fiscal Monitor	<ul style="list-style-type: none"> <li>• Reviews the submission of subgrantee documents; Reviews grant details and program goals for all 21<sup>st</sup> CCLC cohorts associated with the subgrantee.</li> <li>• Documents notes in the Monitoring Instrument to prepare for the interview process and list additional items to request</li> </ul>	Prior to the beginning of the review
Program Administrator / Fiscal Monitor	<ul style="list-style-type: none"> <li>• Sends requests regarding changes in monitoring event dates (inclusive of interviews and/or site visits) via email to</li> </ul>	Prior to scheduled dates on original notification letters

	<p>Section Chief for approval; Once approved, Program Administrators/Fiscal Monitors will prepare an updated notification with the new dates and follow the above approval process for re-issuing to the subgrantee.</p> <ul style="list-style-type: none"> <li>• Sends requests regarding changes to secondary support via email to Section Chief for approval.</li> </ul>	
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### 3.C.3 Fieldwork Phase for Comprehensive Monitoring Events

Fieldwork

- Review documents, conduct samplings, as appropriate, from all of subgrantee's 21st CCLC cohorts and record notes for each indicator
- Interview staff, parents, students, and others as available
- Conduct exit meeting to discuss 2-3 commendations/recommendations (no definitive findings)

To complete the Fieldwork Phase, the lead PA or FM will need the following:

- Copy of CPMR/M-CPMR/FMR Instrument with current notes
- Programmatic Monitoring Interview Protocol ([Appendix L](#))
- List of additional documents to request

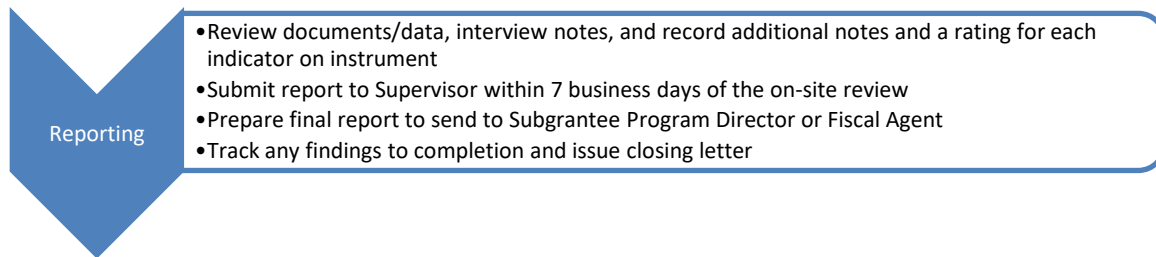
### Comprehensive Monitoring Event Fieldwork Phase Workflow & Associated Roles and Responsibilities

Who	What	When
Program Administrator / Fiscal Monitor	<ul style="list-style-type: none"> <li>• Conducts on-site review at program locations for selected center(s):               <ul style="list-style-type: none"> <li>○ Additional document review</li> <li>○ Interviews with staff and others as appropriate</li> <li>○ Conduct samplings for applicable indicators (e.g., equipment inventory, contracts, etc.)</li> <li>○ Conducts site visit to at least (1) 21<sup>st</sup> CCLC Program site; Note: NCDPI reserves the right to visit all 21<sup>st</sup> CCLC program sites associated with the subgrantee.</li> </ul> </li> <li>• Documents results of review in the Monitoring Instrument and Interview Guide</li> </ul>	During site visit



	<ul style="list-style-type: none"> <li>• Conducts exit conference with an overview of any findings/commendations/concerns</li> </ul>	
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### 3.C.4 Reporting Phase for Comprehensive Monitoring Events



To complete the reporting phase, the lead PA or FM will need to gather the following:

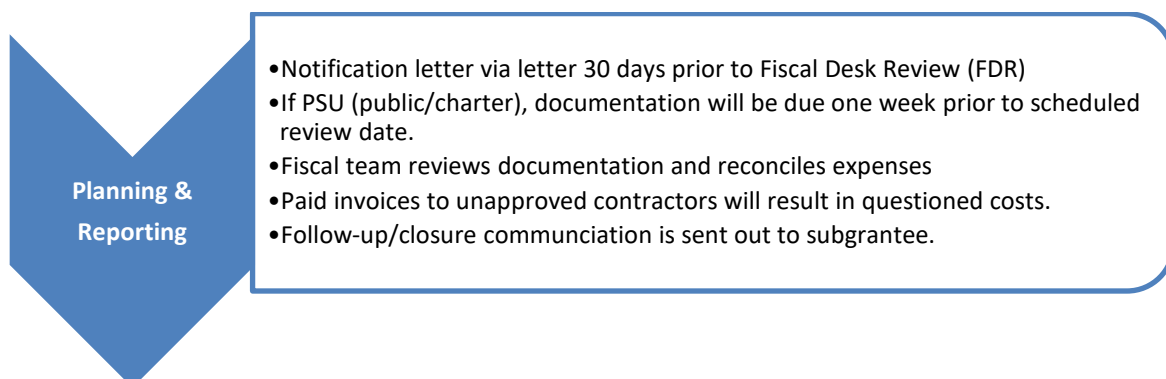
- Completed CPMR/M-CPMR/FMR Instrument
  - CPMR/M-CPMR Report ([Appendix I](#)) or FMR Report [Appendix J](#))
  - Cover Letter – CPMR Report with Findings (Appendix N), M-CPMR Report with Findings (Appendix M) or FMR Report with Findings (Appendix N)
- OR
- Closing Letter – No Findings or Findings Resolved (Appendix O)
  - Subgrantee Risk Assessment tracking log to record any findings; Identified findings will be taken into consideration during NCDPI's annual risk assessment and may result in increased risk levels for subgrantees.

### Comprehensive Monitoring Event Reporting Phase Workflow & Associated Roles and Responsibilities

Who	What	When
Program Administrator / Fiscal Monitor	<ul style="list-style-type: none"> <li>• Completes Monitoring Report with Final Ratings and narrative for all indicators rated as Meets Requirements with Recommendations and Findings.</li> <li>• Updates Cover or Closing Letter with contact information, dates, etc. and saves in SharePoint</li> <li>• Saves Monitoring Report in SharePoint and notifies the Supervisor via email that the report is ready for review</li> <li>• Maintains copies of the documented process in SharePoint <ul style="list-style-type: none"> <li>○ Completed monitoring report</li> <li>○ Cover letter (with findings)</li> </ul> </li> </ul>	Within 7 business days of the completed on-site review unless granted an extension by Supervisor

	<ul style="list-style-type: none"> <li>○ Closing letter (no findings or findings resolved)</li> <li>○ Finding response approval email</li> <li>• Additional documents collected after the on-site review, as applicable</li> </ul>	
Supervisor	<ul style="list-style-type: none"> <li>• Reviews completed Monitoring Report and Cover or Closing Letter</li> <li>• Emails PA/FA if revisions are needed OR</li> <li>• Notifies Administrative Assistant that report and cover or closing letter are approved</li> </ul>	Within 7 business days of receipt of the report
Program Administrator / Fiscal Monitor	<ul style="list-style-type: none"> <li>• Insert approved monitoring event results into Annual Risk Assessment Tracking Log</li> </ul>	Within 7 business days of report approval
Administrative Assistant	<ul style="list-style-type: none"> <li>• Accesses approved Monitoring Reports and Cover or Closing Letters in SharePoint</li> <li>• Sends out approved Monitoring Reports and Cover or Closing Letter to Subgrantee Primary Contact</li> <li>• Documents dates in the Tracking Log</li> <li>• Maintains copies of the documented process in SharePoint               <ul style="list-style-type: none"> <li>○ Final monitoring report</li> <li>○ Cover letter (with findings)</li> <li>○ Closing letter (no findings or findings resolved)</li> <li>○ Report Approval Email</li> <li>○ Closing Email</li> <li>○ Additional documents as applicable</li> </ul> </li> </ul>	Within 7 business days of receipt of the report
Program Administrator / Fiscal Monitor	<ul style="list-style-type: none"> <li>• If applicable, insert official monitoring event close-out results into Annual Risk Assessment Tracking Log once findings are resolved.</li> </ul>	Within 7 business days of close-out letter approval

### 3.D Fiscal Desk Reviews (FDR)



Fiscal Desk Reviews are conducted at NCDPI each year based on documentation submitted by each organization to the Office of Federal Programs to support program and fiscal compliance. For 21<sup>st</sup> CCLC programs, the review includes, but is not limited to, an assessment of the approved project, budgets and amendments, and documents uploaded into the 21<sup>st</sup> CCLC Related Documents section of the Comprehensive Continuous Improvement Plan (CCIP) and one-two ERaCA drawdowns with supporting documents. Approvals and requests for revisions of budgets, amendments, and uploaded Related Documents are documented in CCIP.

#### FDRs Documented through Direct Communication

1. Expenditure vs. Budget – Desk Reviews are conducted by NCDPI staff to compare approved budgets to expenditure reports. Expenditures are compared to budgets to ensure that expenditures of any approved budget line item have been included in the approved budget/amendment with the corresponding documentation timeline. After the review is completed, the organization may receive an email that the subgrantee needs to submit a budget amendment copying the assigned PA, if applicable ([Appendix X](#)). The process is documented through emails and amendment forms submitted in the Related Documents section of CCIP to demonstrate issues are resolved.
2. For organizations utilizing the Expenditure Reporting and Cash Application (ERaCA) system, the Desk Review includes a sampling of supporting documents submitted to NCDPI on a monthly basis reconciled to cash drawdowns. All non-LEA organizations must submit supporting documentation (i.e., proof of payment) for reimbursement requests on the same day (not including holidays and weekends) of the cash request submission in ERaCA. All documents are submitted to the Administrative Assistant via email and maintained in SharePoint.
3. Desk reviews for organizations utilizing the Budget and Amendment System (BAAS), must submit at the request of the fiscal monitor via email, documentation (i.e. proof of payment) to support those totals reported in BAAS for reimbursement of 21<sup>st</sup> CCLC expenses.

The sampling of reconciliations is performed by Fiscal Monitors and/or Program Administrators. The ultimate purpose of these submissions is to verify that there is proof of purchase for the requested reimbursement. If issues are identified through the review process, the FM will email the subgrantee and request additional information be provided. The process is documented through emails until issues are resolved.

4. During a Fiscal Desk Review, the subgrantee's Written Policies and Procedures are reviewed to ensure the required 2 CFR components are included.

***\* NOTE: NCDPI reserves the right to conduct additional ERaCA Reconciliations if significant risk is determined through external audits, public complaints, or non-compliance with data submission and reporting requirements.***

### 3.E Technical Assistance Visits

Technical Assistance Visits (TAV) are less-formal visits that allow for conversations about strategies to improve program quality in any of the compliance strands associated with the CPMR/FMR protocols. TAVs are conducted based on prior observation, available monitoring event data, novice subgrantee status or subgrantee requests for specific support. All novice/new subgrantees will receive a series of (2-3) technical assistance visits over the course of the first year of the 21<sup>st</sup> CCLC grant. Additionally, those subgrantees identified as both high risk on the programmatic and fiscal risk assessments will receive a single technical assistance visit in the fall prior to scheduled monitoring events.

TAVs provide an opportunity to check on compliance and provide targeted areas of support and resources to subgrantees. TAVs are not designed to identify specific compliance findings; rather, 21<sup>st</sup> CCLC Program and Fiscal Administrators utilize TAVs to provide support and to promote program quality and fiscal best practice. Any concerns found during the TAV will not result in findings unless the concerns are related to safe and effective learning spaces or questioned costs. Concerns identified during TAVs may be used to inform the subgrantee's risk level during NCDPI's 21<sup>st</sup> CCLC annual risk assessment for future monitoring events

## SECTION 4: RESOLUTION OF FINDINGS

### 4.A Findings Overview

Once the Monitoring Review process is completed (i.e., Monitoring Report with Final Ratings is sent to subgrantee's Program Director or Fiscal Agent, each PA or FM must work in collaboration with the subgrantee's Program Director or Fiscal Agent to resolve all findings. Timelines are established to ensure that 1) subgrantees receive reports in a reasonable amount of time; and 2) corrective actions are completed in a timely manner. *See Repayment of Funds section for findings related to questioned cost.*

- **Meets Requirements** – Reports issued with all indicators rated as Meets Requirements will be issued to the subgrantee with a cover letter that serves as the closing letter. No additional action is required on the part of the PA, FM or the subgrantee.
- **Meets Requirements with Recommendations** – Reports issued with no Findings, but with Recommendations will be issued to the subgrantee with a cover letter that serves as the closing letter. No additional action is required on the part of the PA, FM or the subgrantee.
- **Finding(s)** – Reports issued with one or more Findings require a written response from the subgrantee as follows:
  - **CPMR/M-CPMR Report** – Subgrantees must respond in writing to each item marked as Finding(s) within thirty (30) business days of receipt of the report. The organization's response must demonstrate the required action has already been addressed by including supporting documentation with the written response.

- **FMR Report** – Subgrantees must respond in writing to each item marked as Finding(s) within ten (10) business days of receipt of the report. The organization’s response must 1) demonstrate the required action has already been addressed by including supporting documentation with the response, or 2) describe a specific action plan for completing the required action with a detailed timeline and persons responsible.

The PA or FM that conducted the on-site monitoring event must review all information and/or documentation to determine if compliance requirements have been met. If compliance requirements have not been met upon the first submission of additional documentation, the PA or FM must use the approved email template ([Appendix T](#)) to continue to follow-up with the subgrantee and request additional documentation via email until all findings are resolved. Once all Findings have met compliance, a closing letter is issued to the subgrantee.

All findings identified during a comprehensive monitoring event, as well as the length of time to close the findings, will be tracked by PAs and FMs and the data will be used to inform upcoming risk assessments. The total number of findings identified during a comprehensive monitoring event may result in a higher risk status for a subgrantee during NCDPI’s annual programmatic and fiscal risk assessments during the next fiscal year.

***NOTE: Subgrantee responses should reference the applicable indicators and be written in a separate document as the monitoring report is a PDF.***

## 4.B Subgrantee Response to Findings

### 4.B.1 Subgrantee Responds Within Established Timeline

When responses to findings for CPMRs/M-CPMRs and FMRs/FDRs (unless questioned costs are identified) are received, the PA or FM sends the email notification to subgrantee acknowledging the receipt of responses, using the approved email template ([Appendix T](#)). The notification is used throughout the resolution process until all findings are resolved and a closing letter can be issued. The template will acknowledge the receipt of the response indicating one of the following:

- The data submitted sufficiently addresses the compliance concerns communicated in the report, and a closing letter will be emailed indicating the subgrantee’s program is in good standing.
- Additional documentation is required. Each subgrantee must provide the additional requested documentation within 10 business days of receipt of email to demonstrate compliance and to avoid any possible punitive action against their program.

If the additional written responses and/or documentation provided by the subgrantee does not meet compliance within the established timeline, the PA or FM should consult with the Supervisor to determine what additional actions may be required which may include, but is not limited to, implementation of a corrective action plan, voluntary reduction or termination of funds, suspension of reimbursement, or suspension or closure of program\*.

#### **\*NOTES**

- ***If any subgrantee is unable to provide evidence to resolve issues of questioned costs,***

***then funds must be repaid, regardless of the amount (i.e., less than \$500.00).***

- ***NCDPI must follow procedural due process to terminate a grant and seek final approval from the State Board of Education.***

#### 4.B.2 Subgrantee Does Not Respond Within Established Timeline

Subgrantees that do not respond in writing within the established timeline will be subject to immediate suspension of funds. The PA or FM must notify the Supervisor that a written response has not been received to initiate the suspension of funds process. The Supervisor will notify the subgrantee via email that funds are suspended.

Subgrantees are required to respond in writing to findings within the designated timeframe. Late submission of written finding responses will be tracked by NCDPI for all subgrantees. Late submissions may result in a higher risk status for a subgrantee during NCDPI's annual programmatic and fiscal risk assessments during the next fiscal year.

#### 4.C Repayment of Funds & Questioned Costs

If a fiscal review (FMR/FDR) identifies questioned costs (see [Section 2](#)) more than \$500 total, the subgrantee's funds are immediately suspended (non-LEA). Questioned costs associated with unapproved contracts will require repayment. If questioned costs are not sufficiently resolved within the established timeline (i.e., 10 business days for FMRs), the following steps are completed:

1. Letter of Repayment is issued to the subgrantee via email. The subgrantee must submit payment within 10 business days (see [Appendix P & Q](#)).
2. If repayment is not received, a second Letter of Repayment is issued to the subgrantee via email and with an additional 10 business days to submit payment to NCDPI (see [Appendix R](#)).
3. If repayment is not received within 10 business days following the second letter, then NCDPI may contact the office of the Attorney General at the NC Department of Justice to determine the next steps which may include recovery of funds and/or permanent debarment or suspension from receiving federal funds.
4. When repayment is received, an acknowledgement letter is sent to the subgrantee (see [Appendix S](#)) and funds are made available.

## SECTION 5: APPEALS PROCESS

In accordance with federal rules, NCDPI provides applicants or recipients with the opportunity for a hearing to appeal NCDPI's final action under an applicable federal program. See 34 C.F.R. § 76.401(a), 34 C.F.R. § 76.783 and 20 U.S.C. 1231b-2. Specifically, the applicant or recipient must allege that NCDPI violated State or Federal law, rules, regulations, or guidelines in:

- 1) disapproving or failing to approve its application or program in whole or part,
- 2) failing to provide funds in amounts in accord with the requirements of laws and regulations,
- 3) ordering, in accordance with a final State audit resolution determination, the repayment of misspent or misapplied Federal funds, or
- 4) terminating further assistance for an approved program.

No other grounds for appeal will be accepted or considered.

To request a hearing, the appellant must file a full and complete written appeal, including the issue(s) in dispute, the legal authority or other basis for the appeal position, and the remedy sought within 30 days of the NCDPI's action (e.g., notification of any action under 1 through 4 above). The request must have an original signature of the authorized agent who signed the application, if available. If that individual is not available, the request must have the original signature of another individual who is authorized to sign official documents.

An original and two copies of the request for a hearing must be submitted by one of the following methods:

1. Certified mailed with a return receipt required (within 30 days based on the postmark) to:

**Mailing Address:**

Dr. Latricia Townsend, Senior Director  
Office of Federal Programs  
North Carolina Department of Public Instruction  
Mail Service Center 6307  
Raleigh, NC 27699

2. Hand-delivered to:

**Physical Address:**

Dr. Latricia Townsend, Senior Director  
Office of Federal Programs  
North Carolina Department of Public Instruction  
Mail Service Center 6307  
Raleigh, NC 27699

Within 30 days of receiving the hearing request, NCDPI will hold a hearing on the record to review its action. Pursuant to *In re Appeal of Clovis Unified School District*,<sup>1</sup> the applicant or recipient will receive notice of the hearing and have the opportunity to participate and be represented by counsel.

The hearing will be conducted by an impartial hearing officer. During the hearing, the parties will have the opportunity to present and challenge evidence in an orderly fashion before an impartial decision maker.<sup>2</sup> No later than 10 days after the hearing, the hearing officer, as the impartial decision maker, will issue a written ruling on behalf of NCDPI including findings of fact and reasons for the ruling. The parties may waive these deadlines by mutual consent in writing.

NCDPI will rescind its action if it determines the action conflicts with Federal or State laws and regulations governing the applicable program. If after review, NCDPI does not rescind its action, the applicant or recipient may appeal to the Secretary of the U.S. Department of Education within 20 days of being notified of the result.

NCDPI will make all records pertaining to any review or appeal of the applicant or recipient available at reasonable times and places to the applicant or recipient. This includes records of other applicants.

## SECTION 6: OTHER COMPLIANCE MONITORING PROCEDURES

In addition to on-site reviews, NCDPI conducts other forms of monitoring throughout the year. Regardless of the type of monitoring conducted, a review that identifies questioned costs in excess of \$500.00 will result in the immediate suspension of funds (see [Repayment of Funds](#)). Timely submission of data and reporting will be tracked by NCDPI for all subgrantees, and results will be used to determine risk levels during NCDPI's annual programmatic and fiscal risk assessments.

### 6.A Review of Documents in the Comprehensive Continuous Improvement Plan (CCIP)

The 21<sup>st</sup> CCLC Team will approve/deny/return for edits, documents in CCIP. 21<sup>st</sup> CCLC staff should use the standard comments found in [Appendix V](#) when inserting comments into CCIP.

Type of Review	Description	Timeline	Responsible Party
Budget Review/Approval	Initials budgets must be reviewed and approved.	Review and provide a response to subgrantee within 10 business days of receipt	Fiscal Monitor
Fiscal Amendment Review/Approval	Amendments to initial budgets must be compared to the project narrative to determine if amendments are reasonable and necessary for accomplishing the goals of the project as approved.	Review and provide a response to subgrantee within 10 business days of receipt	Fiscal Monitor



Programmatic Amendment Review/Approval	Amendments to initial grant application must be compared to the project narrative to determine if amendments are reasonable and necessary for accomplishing the goals of the project as approved.	Review and provide a response to subgrantee within 10 business days of receipt	Program Administrator
Programmatic Document Uploads	Documents uploaded into CCIP must be reviewed for completion. Programmatic CCIP documents include, but are not limited to, the following: <ul style="list-style-type: none"> <li>• Basic Program Information</li> <li>• Private Schools Consultation</li> <li>• Annual Program Evaluation</li> <li>• SAM Registration</li> <li>• Updated Assurances Document</li> <li>• Debarment and Criminal Background Check certification</li> <li>• Documentation of Safe Program Space (fire inspection/building maintenance reports)</li> <li>• Conflict of Interest Agreement</li> <li>• Programmatic Amendments</li> <li>• Reduction in Funding Forms</li> </ul>	Review within 10 days of Fiscal initial review.  <b>Note:</b> PA can start review prior to fiscal approval and place comments in CCIP History Log; however, they cannot approve the programmatic related documents until fiscal approval is received.	Program Administrator
Fiscal Document Uploads	Documents uploaded into CCIP must be reviewed for completion. Fiscal CCIP documents include, but are not limited to, the following: <ul style="list-style-type: none"> <li>• Budget 208</li> <li>• Written Fiscal Procedures</li> <li>• Organization Chart with Names</li> <li>• Pay Rate Schedule</li> <li>• Contracts **</li> <li>• Reduction in Funding Form</li> </ul>	Initial review within 10 business days of receipt	Fiscal Monitor

\*Questioned costs associated with unapproved contracts will require repayment.

## 6.B Google Drive Management

Google Shared Drive is utilized by 21st CCLC to assist with the collection of documents from subgrantees. Documents are needed to complete programmatic and fiscal monitoring events. While some documents are collected from subgrantee CCIP applications, other pertinent documents may be requested by the Program Administrator (PA) or Fiscal Monitor (FM) via the OFP Shared Drive. This method of obtaining documentation is more secure than sending sensitive documents via email and more efficient as Shared Drives does not have a file size capacity.

The following procedures must be followed for maintenance of the OFP Shared Drive.

1. The PA/FM will send a follow up email explicitly stating the deadline by which supporting documents should be shared.
2. The PA / FM will ensure the follow up email includes the individual Shared Google Drive Link to the specific program being monitored.
3. Once the deadline for supporting documents has passed, the PA/FM will “disable” uploads from third party emails.

## 6.C Disposition or Transfer of 21<sup>st</sup> CCLC Equipment Protocol

At the termination or completion of the 21<sup>st</sup> CCLC Grant or Cycle, NCDPI will collaborate with the subgrantee for the disposition/transfer of equipment.

The following procedures related to inventory transfer are unique for LEAs and non-LEAs.

Procedures for LEAs / Charters	Procedures for Non-LEAs	Procedures related to both LEAs & Non-LEAs
<ol style="list-style-type: none"> <li>1. NCDPI's Regional Program Administrator will communicate with the closing 21st CCLC Program.</li> <li>2. NCDPI's Regional Program Administrator will notify the NCDPI Program Administrators assigned the transfer of equipment responsibility of the closing and required transfer.</li> <li>3. Program Director or 21st CCLC program representative will create and share an inventory list for preview by NCDPI's Program Administrators assigned the transfer of equipment responsibility.</li> <li>4. If an LEA does not continue a 21st CCLC funded program and they are a Title I school, the LEA can transfer the equipment for use in another federal program.</li> <li>5. If the LEA does not continue an afterschool program and is not considered a Title I school, the LEA must offer the equipment to another 21st CCLC program in the district.</li> <li>6. Additionally, if there is any residual inventory of unused supplies exceeding \$5,000 in total aggregate fair market value upon termination (close-out) or completion of a grant, the supplies should be first offered to another 21st CCLC program within the district/area.</li> <li>7. If the supplies are not needed by another 21st CCLC program, the supplies/equipment may be offered to another federally sponsored school/program/project within the community.</li> </ol>	<ol style="list-style-type: none"> <li>1. NCDPI's Regional Program Administrator will communicate with the closing 21st CCLC Program.</li> <li>2. NCDPI's Regional Program Administrator will notify the NCDPI Program Administrators assigned the transfer of equipment responsibility of the closing and required transfer.</li> <li>3. Program Director or 21st CCLC program representative will create and share an inventory list for preview for NCDPI's Program Administrator assigned the transfer of equipment responsibility.</li> <li>4. Inventory will be offered to the closest 21st CCLC Program or LEA designated as Title I.</li> <li>5. Additionally, if there is any residual inventory of unused supplies exceeding \$5,000 in total aggregate fair market value upon termination (close-out) or completion of a grant, the supplies should be first offered to another 21st CCLC program within the district / area.</li> <li>6. If the supplies are not needed by another 21st CCLC program, the supplies/equipment may be offered to another federally sponsored school / program / project within the community.</li> <li>7. NCDPI and the 21st CCLC Program will coordinate a date and time with the receiving agency to collect inventory. (The receiving non-LEA/LEA must have transportation and staff in place to pick up inventory.)</li> </ol>	<ol style="list-style-type: none"> <li>1. LEA's /Non-LEAs must coordinate all transfers of property with NCDPI's Program Administrator. (Section 2.N.3, 2022-2023 Grant Guidance)</li> <li>2. When the receiving unit has collected the inventory, an inventory receipt with signature will be required by the closing LEA/non-LEA, the receiving unit, NCDPI's Program Administrator, and a member of the NCDPI Leadership Team.</li> <li>3. The LEA/non-LEA will upload a final copy of inventory list in CCIP and move to Chief Administrator Approved for final review and approval by NCDPI's Program Administrator and Division Leadership.</li> <li>4. If no federal program needs nor accepts the property/equipment/supplies, disposition of the items will be determined by NCDPI.</li> </ol>

8. NCDPI and the 21st CCLC Program will coordinate a date and time with the receiving agency to collect inventory. (The receiving non-LEA/LEA must have transportation and staff in place to pick up inventory.)		
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## 6.D North Carolina Office of the State Auditor

The Office of the State Auditor (OSA) performs an array of work, including financial statement audits, financial related audits, performance audits, information technology audits, and investigative reports. OSA examines all facets of state government, including education, health, transportation, computer systems, regulatory processes, and public safety. OSA conduct special studies as requested by the Legislature and audit federal grant programs to ensure North Carolina can continue to receive federal money. Investigations are conducted pursuant to *North Carolina General Statute §147-64.6*. Article 5A, Chapter 147 of the North Carolina General Statutes, gives the Auditor broad powers to examine all books, records, files, papers, documents, and financial affairs of every state agency and any organization that receives public funding. The Auditor also has the power to summon people to produce records and to answer questions under oath.



If a Fiscal Monitor or Program Administrator receives a request to produce records or answer questions about an 21<sup>st</sup> CCLC organization who receives public funding, the following procedures should be followed:

- 1) Notify the immediate supervisor of the OSA request.
- 2) Document the OSA request on the Fiscal Risk Assessment and work with Supervisor to determine if additional monitoring is needed.
- 3) Provide OSA requested information in a timely manner.
- 4) Notify the immediate supervisor when an official report from OSA is issued.

# **SECTION 7: APPENDICES**

## Appendix A: Comprehensive Program Monitoring Review (CPMR) Notification Template

**TO**                **XXXX**, Program Director  
Program Name  
Unit #/Cohort(s) #

**FROM**            Dr. LaTricia Townsend, Director   
Office of Federal Programs  
  
Susan Brigman, Section Chief ~ Specialty Programs   
Office of Federal Programs

**DATE**            September 28, 2022

### **21<sup>st</sup> Century Community Learning Centers (21<sup>st</sup> CCLC) Comprehensive Program Monitoring Review**

Please be informed that a 21<sup>st</sup> CCLC Comprehensive Program Monitoring Review (CPMR) is scheduled for the week of **October 31, 2022**. A North Carolina Department of Public Instruction (NCDPI) Program Administrator (PA) will follow-up with you with additional information to help you prepare for the CPMR. The CPMR will be conducted virtually or in-person due to travel restrictions, safety/health concerns and CDC/NCDHHS guidelines at the time of the monitoring event.

Monitoring of the 21<sup>st</sup> CCLC subgrantees focuses on indicators across four (4) compliance strands: Program Management; Program Implementation; Family Engagement; and Federal, State and Local Statutes. The process begins with a review of documentation that supports compliance with applicable federal program requirements. Documentation for this part of the review must be submitted electronically no later than **5:00 p.m. on Tuesday, October 25, 2022**. Late submission of documentation will be used to inform the subgrantee's risk level during NCDPI's 21<sup>st</sup> CCLC annual risk assessment for future monitoring events.

The CPMR will take place on **Thursday, November 3, 2022**. The CPMR will focus upon the transitions to afterschool for students and the daily programming and instruction that have taken place in the 2022-2023 school year. The CPMR will also involve interviews with all the following stakeholder groups: 21<sup>st</sup> CCLC staff and students, feeder school personnel, and caregivers. Volunteers, community partners, or other program supporters may also be included if available the day of the visit. The CPMR will conclude with an exit conference with the Program Director and / or other appropriate program designees to discuss preliminary observations. A final report will be issued to the 21<sup>st</sup> CCLC Program within 30 business days of the exit conference. If applicable, the subgrantee must respond in writing to each item marked as Finding within thirty (30) business days of receipt of the report. The subgrantee's response must demonstrate the required action has been sufficiently addressed by including supporting documentation with the written response. Findings identified during the CPMR will be used to inform the subgrantee's risk level during NCDPI's 21<sup>st</sup> CCLC annual risk assessment for future monitoring events.


The Lead Program Administrator (PA) for your review is **PA Name** and can be contacted at **PA email and phone number**. All communication regarding your 21<sup>st</sup> CCLC CPMR should be referred to your Lead PA who will contact you to finalize the details of the monitoring review. Thank you for your support in meeting the needs of the families and children served by the 21<sup>st</sup> CCLC Program.


LT:SB:ms

c: NAME, NCDPI Lead Program Administrator

## Appendix B: Modified Comprehensive Program Monitoring Review (M-CPMR) Notification Template

**TO** XXXX, Program Director  
Unit Name/Number/Cohort

**FROM** Dr. LaTricia Townsend, Director   
Office of Federal Programs

Susan Brigman, Section Chief ~ Specialty Programs   
Office of Federal Programs

**DATE**

### 21st Century Community Learning Centers (21st CCLC) Modified Comprehensive Program Monitoring Review

Please be informed that a 21st CCLC Modified Comprehensive Program Monitoring Review (Modified-CPMR) is scheduled for the week of October 31, 2022. A North Carolina Department of Public Instruction (NCDPI) Program Administrator (PA) will follow-up with you with additional information to help you prepare for the Modified-CPMR. The Modified-CPMR will be conducted virtually or in-person due to travel restrictions, safety/health concerns and CDC/NCDHHS guidelines at the time of the monitoring event.

The Modified-CPMR focuses on indicators for 1-2 of the following compliance strands: Program Management; Program Implementation; Family Engagement; and Federal, State and Local Statutes. The process begins with a review of documentation that supports compliance with applicable federal program requirements. Documentation for this part of the review must be submitted electronically no later than 5:00 p.m. on Tuesday, October 25, 2022. Late submission of documentation will be used to inform the subgrantee's risk level during NCDPI's 21st CCLC annual risk assessment for future monitoring events.

The Modified-CPMR will take place on Thursday, November 3, 2022. The Modified-CPMR will focus upon the transitions to afterschool for students and the daily programming and instruction that have taken place in the 2022-2023 school year. The Modified-CPMR will also involve interviews with some, or all the following stakeholder groups as determined by your Lead Program Administrator: 21st CCLC staff and students, feeder school personnel, and caregivers. Volunteers, community partners, or other program supporters may also be included if available the day of the visit. The Modified-CPMR will conclude with an exit conference with the Program Director and / or other appropriate program designees to discuss preliminary observations. A final report will be issued to the 21st CCLC Program within 30 business days of the exit conference. If applicable, the subgrantee must respond in writing to each item marked as Finding within thirty (30) business days of receipt of the report. The subgrantee's response must demonstrate the required action has been sufficiently addressed by including supporting documentation with the written response. Findings identified during the Modified-CPMR will be used to inform the subgrantee's risk level during NCDPI's 21st CCLC annual risk assessment for future monitoring events.

The Lead Program Administrator (PA) for your review is PA Name and can be contacted at PA email and phone #. All communication regarding your 21st CCLC Modified-CPMR should be referred to your Lead PA who will contact you to finalize the details of the monitoring review. Thank you for your support in meeting the needs of the families and children served by the 21st CCLC Program.

LT:SB:ms

c: NAME, NCDPI Lead Program Administrator

## Appendix C: Fiscal Monitoring Review (FMR) Notification Template

**TO** Angie Knight, 21<sup>st</sup> CCLC Fiscal Agent  
Graham County Schools, 380/Cohort 13

**FROM** Dr. LaTricia Townsend, Director  
Office of Federal Programs

Susan Brigman, Section Chief ~ Specialty Programs  
Office of Federal Programs

**DATE** [Click here to enter text.](#)

### 21<sup>ST</sup> CENTURY COMMUNITY LEARNING CENTERS (21<sup>ST</sup> CCLC) FISCAL MONITORING REVIEW 2022-2023

This letter is written to inform you that a Fiscal Monitoring Review (FMR) is scheduled for your afterschool program(s) funded with the 21<sup>st</sup> Century Community Learning Centers (21<sup>st</sup> CCLC) grant for the week of **October 25, 2022**. A North Carolina Department of Public Instruction (NCDPI) Fiscal Monitor (FM) will follow-up with you with additional information to help you prepare for the FMR. The FMR will be **in-person or virtually** due to travel restrictions, safety/health concerns and CDC/NCDHHS guidelines at the time of the monitoring event.

Fiscal monitoring of the 21<sup>st</sup> CCLC subgrantees focuses on indicators across seven (7) compliance strands. The process begins with a review of documentation that supports compliance with applicable federal program requirements. Documentation for this part of the review must be submitted electronically no later than **5:00 p.m. on Tuesday, October 19, 2022**. Late submission of documentation will be used to inform the subgrantee's risk level during NCDPI's 21<sup>st</sup> CCLC annual risk assessment for future monitoring events.

During the fiscal review process, NCDPI staff will review source documentation and test the sub-grantee's fiscal procedures through a sampling of the entire fiscal year in areas such as payroll, time and effort reporting, expenditure accounting, inventory, and adherence to indirect cost rates (non-LEAs only). In preparation for the upcoming fiscal monitoring for selected 21<sup>st</sup> CCLC programs, NCDPI is requesting that documentation (receipts, payroll records, timesheets, contracts, etc.), as well as any inventory, be prepared and readily available to address any questions. The review will be completed within one business day; therefore, incomplete documentation may result in compliance findings and potential repayment of funds.

The Fiscal Monitor (FM) for your review is \_\_\_\_\_ and can be contacted at \_\_\_\_\_ [@dpi.nc.gov](mailto:_____@dpi.nc.gov). All communication regarding your FMR should be referred to your FM.

Thank you for your support in meeting the needs of children served by your 21<sup>st</sup> CCLC Program(s).

c: NAME, 21<sup>st</sup> CCLC Program Director  
NAME, 21<sup>st</sup> CCLC Chief Finance Officer  
NAME, NCDPI Section Chief ~ Specialty Programs  
NAME, NCDPI Fiscal Monitor  
NAME, NCDPI Program Administrator



## Appendix D: Fiscal Desk Review (FDR) Notification Template

**TO** Dr. Dietrich Danner, 21st CCLC Fiscal Agent  
Durham Public Schools, 320, Cohort 14

**FROM** Dr. Latricia Townsend, Director  
Office of Federal Programs



Susan Brigman, Section Chief ~ Specialty Programs  
Office of Federal Programs



**DATE** February 22, 2022

### 21<sup>ST</sup> CENTURY COMMUNITY LEARNING CENTERS (21<sup>ST</sup> CCLC) FISCAL DESK REVIEW ~ NON-LEAs

This letter is written to inform you that a Fiscal Desk Review (FDR) is scheduled for your afterschool program(s) funded with the 21<sup>st</sup> Century Community Learning Centers (21<sup>st</sup> CCLC) grant for the week of **April 25, 2022.**

The purpose of the FDR is to reconcile the subgrantee's incurred expenses to ensure they are allowable, properly documented, and in alignment with the Chart of Account codes found in the subgrantee's latest approved budget. During the FDR process, the 21<sup>st</sup> CCLC fiscal monitoring team will review backup documentation (i.e., receipts, invoices, bank/credit card statements, payroll records, timesheets, etc.) to support one-two drawdowns from the ERaCA system of reimbursement. If you have not submitted a 21<sup>st</sup> CCLC reimbursement thus far, please do so within the next five days to ensure the review can take place in a timely manner.

Fiscal desk reviews take place through direct communication (via email or phone call). They are not conducted through virtual calls or on-site visits. Upon completion of the FDR, an official DPI letter will be emailed detailing the results of the review and will provide required further steps to close out the desk review.

The Fiscal Monitor (FM) for your review is \_\_\_\_\_ and can be contacted at \_\_\_\_\_@dpi.nc.gov. All communication regarding your FDR should be referred to your FM.

Thank you for your support in meeting the needs of children served by your 21<sup>st</sup> CCLC Program(s).

LT:SB:ms

c: NAME, 21st CCLC Program Director  
NAME, NCDPI 21<sup>st</sup> CCLC Fiscal Monitor  
NAME, NCDPI 21st CCLC Program Administrator

## Appendix E: Programmatic Monitoring Event Notification Follow-Up Email Template - CPMR

Good Morning/Afternoon,

I hope this email finds you well. This email is a follow up to the virtual or in person Comprehensive Program Monitoring Review (CPMR) notification letter you have already received. CPMRs are conducted by the North Carolina Department of Public Instruction (DPI) for subgrantees receiving 21st CCLC funds to promote continued compliance and program improvement. CPMRs include Required Evidence Samples intended to focus on key aspects of the program without being prescriptive.

Attached to this email you will find a copy of the ***Comprehensive Program Monitoring Review Instrument and Agenda Template*** for **Program Name (Cohort #)** 21st CCLC's upcoming monitoring event scheduled for the **week of Month Day, Year**. This instrument details the specific documentation required to demonstrate compliance for each strand. Please forward this to anyone who may need access. The documents supporting compliance for each strand and the completed agenda will need to be submitted electronically **by 5:00 pm Tuesday, Month Day, Year**.

Organization of documents should adhere to the following:

- One folder for each Strand; and a subfolder for each Indicator
- If a document supports compliance for multiple strands – place duplicate documents in each indicator folder
- For meetings/trainings, please include any sign-in sheets, agendas, and presentation materials
- For contracts, please include completed contracts approved in CCIP as documented evidence
- Include as many documents from August 2022-June 2023 as possible to demonstrate how your 21st CCLC programs are operating during the 2022-2023 school year.
- For the agenda, please feel free to move around the meeting times and on-site visit times to better fit with the program schedule. ***However, please do not schedule any meetings prior to 12PM Noon if possible.***

Attached to this email you will also find a copy of the ***Monitoring Guidelines*** to assist you in preparing the agenda and scheduling interviews. In the event the site visit and interviews will be virtual, we will utilize platforms such as Microsoft Teams, WebEx, Zoom, Google Meets, etc. Please ensure email addresses are accurate for all interviewees as I will send meeting invites to all stakeholders on the agenda earlier in the week of your scheduled visit.

I will be completing the virtual or on-site visit for your 21<sup>st</sup> CCLC program on **Day, Month, Year**. Prior to the visit, I will be hosting a Virtual Monitoring Prep Meeting **on Month, Day, Year at Time**. During this meeting, the monitoring process will be discussed in greater detail, and you will have time to ask questions and receive any technical assistance needed to ensure you are adequately prepared for the monitoring event. The process for submitting documentation for review will also be provided during this meeting. Documentation will be uploaded utilizing the following link which includes an individual Shared Google Drive Link to your specific program for monitoring.

**[Insert Google Drive Link]**

Please click on the link below to join the meeting on the day of the scheduled meeting:

**[Insert Prep Meeting Link]**

I look forward to learning more about your program and how I can support you in providing quality after-school services to the children of North Carolina.

## Appendix F: Programmatic Monitoring Event Notification Follow-Up Email Template – M-CPMR

Good Morning/Afternoon,

This email is a follow up to the virtual or in person Modified Comprehensive Program Monitoring Review (M-CPMR) notification letter you have already received. Modified CPMRs are conducted by the North Carolina Department of Public Instruction (DPI) for subgrantees receiving 21st CCLC funds to promote continued compliance and program improvement. Modified CPMRs include Required Evidence Samples intended to focus on key aspects of the program without being prescriptive.

Attached to this email you will find a copy of the ***Comprehensive Program Monitoring Review Instrument and Agenda Template*** for **Program Name (Cohort #)** 21st CCLC's upcoming monitoring event scheduled for the **week of Month Day, Year**. This instrument details the specific documentation required to demonstrate compliance with your assigned strands. Please forward this to anyone who may need access.

For your review, please provide documentation to support the following Strands:

- **Strand #**
- **Strand #**
- **Strand # (if applicable; remove line if not)**

The documents supporting compliance for each assigned strand above will need to be submitted electronically **by 5:00 pm Tuesday, Day, Month, Year**. Organization of documents should adhere to the following:

- One folder for each Strand; and a subfolder for each Indicator
- If a document supports compliance for multiple strands – place duplicate documents in each indicator folder
- For meetings/trainings, please include any sign-in sheets, agendas, and presentation materials
- For contracts, please include completed contracts approved in CCIP as documented evidence
- Include as many documents from August 2021-June 2022 as possible to demonstrate how your 21st CCLC programs are operating during the 2021-2022 school year.
- For the agenda, please feel free to move around the meeting times and on-site visit times to better fit with the program schedule. ***However, please do not schedule any meetings prior to 12PM Noon if possible.***

Attached to this email you will also find a copy of the ***Monitoring Guidelines*** to assist you in preparing the agenda and scheduling interviews. In the event the site visit and interviews will be virtual, we will utilize platforms such as Microsoft Teams, WebEx, Zoom, Google Meets, etc. Please ensure email addresses are accurate for all interviewees as I will send meeting invites to all stakeholders on the agenda earlier in the week of your scheduled visit.

I will be completing the virtual or on-site visit for your 21<sup>st</sup> CCLC program on **Day, Month, Year**. Prior to the visit, I will be hosting a Virtual Monitoring Prep Meeting **on Month, Day, Year at Time**. During this meeting, the monitoring process will be discussed in greater detail, and you will have time to ask questions and receive any technical assistance needed to ensure you are adequately prepared for the monitoring event. The process for submitting documentation for review will also be provided during this meeting. Documentation will be uploaded utilizing the following link which includes an individual Shared Google Drive Link to your specific program for monitoring.

**[Insert Google Drive Link]**

Please click on the link below to join the meeting on the day of the scheduled meeting:

**[Insert Prep Meeting Link]**

I look forward to learning more about your program and how I can support you in providing quality afterschool services to the children of North Carolina.

## Appendix G: Program Monitoring Event Agenda

### North Carolina Department of Public Instruction 21<sup>st</sup> Century Community Learning Centers Program Monitoring Event Agenda

Program Name:	Unit #:	Cohort:
Program Director:	Program Address:	
Monitoring Event Date:	NCDPI Staff:	
Monitoring Event Type: <input type="checkbox"/> CPMR <input type="checkbox"/> M-CPMR		

Program Monitoring Event interviews can take place any time during the school day or during the 21<sup>st</sup> CCLC program based on requested stakeholders' availability. Below please include the specific meeting times for each stakeholder group along with stakeholder contact information.

- **Program Director/Site Coordinator Interviews** (Note: Review additional documentation as needed upon Program Administrator request)
  - Suggested Timeframe: 1 hour
  - Interview Time:
    - Participant Name and Email
    - Participant Name and Email
    - Participant Name and Email
  
- **Stakeholder Interviews** (Note: Please list emails for participating stakeholders, so meeting invitations can be sent. Subgrantees can include 1-3 stakeholders per interview slot)
  - **Feeder School Staff (e.g., Principals, Assistant Principals, Guidance Counselors, Teachers, etc.):**
    - Suggested Timeframe: 30 min. – 1 hour
    - Interview Time(s):
      - Participant Name, Role/Title and Email
      - Participant Name, Role/Title and Email
      - Participant Name, Role/Title and Email
  
  - **21<sup>st</sup> CCLC Staff/Teacher Interviews:**
    - Suggested Timeframe: 30 min. – 1 hour
    - Interview Time(s):
      - Participant Name and Email
      - Participant Name and Email
      - Participant Name and Email
  
  - **21<sup>st</sup> CCLC Caregiver Interviews**
    - Suggested Timeframe: 30 min. – 1 hour
    - Interview Time:
      - Participant Name and Email
      - Participant Name and Email
      - Participant Name and Email
  
- **Site Observation(s)**
  - **21<sup>st</sup> CCLC Program Times:**
  - **21<sup>st</sup> CCLC Program Location(s):**
    - Classroom or Activity Being Observed; Time Frame
    - Classroom or Activity Being Observed; Time Frame
    - Classroom or Activity Being Observed; Time Frame
  
- **Exit Conference – NCDPI will insert time based on the above agenda**

## Appendix H: Programmatic Monitoring Event Prep Meeting Agenda

### Programmatic Monitoring Event Prep Meeting Outline

#### Prep Work (prior to sending follow-up email to Program Director):

- Complete Basic Info box on monitoring tool template Edit Agenda Template as needed

#### Prep Meeting Flow:

- Review Monitoring Event template and Agenda Template (sent from PA via email to each Program Director 2-business days after official Notification Letter).
  - Ask all meeting attendees to pull up on their own computer; can also screenshare, if needed.
  - Monitoring Event Template
    - Ask Program Directors to complete the top portion of the form (program info); The number for the “Number of Students” section will come on the day of the monitoring visit, as it refers to the number of students in attendance on that specific day.
    - Review the “Required Evidence Samples” column - emphasize all of the document/evidence types listed are required to be in the folder; if something is missing it may result in a finding or concern.
    - Review Narrative Box; Include where any findings and follow-up action items will be listed (if applicable)
  - Documentation:
    - Review the due date for all documentation with the group (the Tuesday BEFORE their official visit week). Regarding documentation, remind the group of the following:
      - No late documentation will be accepted - check, double check and even triple check to ensure your documents are correctly uploaded into your Google Shared Drive and shared appropriately with and visible to your PA. If you are missing documentation, it can result in a finding, concern or recommendation.
      - You only need to submit documents for the strands being monitored during this visit - Provide 1-3 examples per required evidence bullet point listed. Use the bullet points as a guide for determining which documents are best suited as evidence supporting the program indicators.
      - If you have multiple cohorts of 21st CCLC grants - Program Directors must be sure to upload documents for all cohorts associated with the monitoring event
        - If there is overlap (EX: A staff member works for multiple programs across 2 cohorts), it must be very clear in the documentation when they’re doing work for one cohort vs. the other.

- Include as many documents from August 2022-June 2023 as possible to demonstrate how your 21st CCLC programs are operating during the 2022-2023 school year.
- **Meeting Agendas:**
  - Completed Agendas are also part of required documentation for the monitoring event
    - Need to make sure your agenda has the name and email address of each contact the PA will be meeting with.
    - For the agenda, please feel free to move around the meeting times and on-site visit times to better fit with the program schedule. *However, please do not schedule any meetings prior to 12PM Noon if possible.*
    - Program Directors should designate on the agenda specific times when interviews will occur within the allotted time frame.
    - If PA is conducting a program site visit, Program Director must include the name of the class, the time, and the specific classroom link (if virtual) or location on the agenda.
    - The exit conference can occur the next day (or later in certain instances) if needed depending on the PAs schedule.
- Ask if the group has any additional questions regarding the monitoring event or prep needed.
  - Remind the group:
    - CPMRs and M-CPMRs can result in findings which require written follow-up from the subgrantee within 30 days.
    - PQRs do not result in findings. However, they can result in concerns. Concerns do not require written follow-up from the subgrantee.
    - Findings and concerns identified during a monitoring event will be used to inform the subgrantee's risk level during NCDPI's 21<sup>st</sup> CCLC annual risk assessment for future monitoring events.
- After this meeting, please send us a follow-up email to let your PA know if you'd like to have an on-site or virtual visit based on the public health guidelines and restrictions in your county/city.

Appendix I: CPMR / M-CPMR Instrument with Sample Documentation



CPMR Instrument with Sample Documentation

The State Educational Agency (SEA) is required to monitor the quality and effectiveness of the programs operating with funds provided through 21st Century Community Learning Centers (21st CCLC) grant program ([EDGAR, 2 CFR § 200.331](#)). Monitoring of the 21st CCLC subgrantees focuses on indicators across four (4) compliance strands: Program Management; Program Implementation; Family Engagement; and Federal, State and Local Statutes.

Program Administrators use the instrument to review documentation and conduct interviews compared to the data and narrative descriptions submitted in the SBE-approved application. Each indicator within a compliance strand is rated as follows:

Meets Requirements	Meets Requirements with Recommendations	Findings	Not Reviewed
Compliance indicator is 100% met and supported by all required evidence(s).  All required documents are provided and support compliance.  Interviews support documentation, processes, and implementation. Compliance is consistent at program level and sites sampled.	Basic compliance requirements are met; recommendations are provided for improvement.	Evidence or lack of evidence show compliance indicator has not been met.  Incomplete or lack of required documentation.  Interviews lack understanding or support of documentation, processes, and implementation.  Compliance is inconsistent at program level and sites sampled.	Accountability standard was not reviewed during a modified CPMR.

21 <sup>st</sup> CCLC Program Basic Information:			
Organization Name:		Unit Number:	
Program Director Name:		Program Director Email Address:	
County:		Number of Program Sites:	
Number of Students Projected to be Served:		Grant Award Amount:	

Number of Students Enrolled:		Number of Students Present on Date of Visit:	
Date Documentation Due:		Date Documentation Received:	<input type="checkbox"/> On Time <input type="checkbox"/> Late
Date of Review:		NCDPI Employee(s) Conducting Review:	
Full or Modified CPMR	<input type="checkbox"/> Full <input type="checkbox"/> Modified	Strands Reviewed	<input type="checkbox"/> I <input type="checkbox"/> II <input type="checkbox"/> III <input type="checkbox"/> IV

Following the review, a report with all ratings will be provided to the primary contact for the 21st CCLC program subgrantee. The subgrantee must respond in writing to each item marked as Finding within thirty (30) business days of receipt of the report. The subgrantee’s response must demonstrate the required action has been sufficiently addressed by including supporting documentation with the written response. Late submission of documentation will be used to inform the subgrantee’s risk level during NCDPI’s 21<sup>st</sup> CCLC annual risk assessment for future monitoring events.

*NOTE: Because the methodology of the 21st CCLC monitoring includes sampling, the monitoring process cannot produce an all-inclusive assessment of items in this instrument. The 21<sup>st</sup> CCLC program is responsible for operating its categorical programs in compliance with all applicable laws and regulations.*

STRAND I. PROGRAM MANAGEMENT

21<sup>st</sup> CCLC programs must be managed as described in the approved project during non-school hours or periods when school is not in session (such as before and after school or during summer recess). (*Section 4201(b)(1)(A); Section 4204(b)(2)*)

Indicator	Description	Required Evidence Samples	Notes	Rating	Date Finding(s) Resolved (DPI Internal Use)
1.1	Program targets students who primarily attend schools eligible for schoolwide programs under Section 1114.	<div><input type="checkbox"/> Program amendments (if feeder school changes have occurred)</div> <div><input type="checkbox"/> Roster of enrolled students indicating feeder school</div> <div><input type="checkbox"/> Identification of feeder school is Title I school</div> <div><input type="checkbox"/> Sample of daily attendance records for each site</div>	<div><u>Interview Responses:</u></div> <div><u>Documentation Reviewed:</u></div> <div><u>Missing Documentation:</u></div>	<div><input type="checkbox"/> Meets Requirement</div> <div><input type="checkbox"/> Meets Requirement with Recommendation(s)</div> <div><input type="checkbox"/> Finding(s)</div> <div><input type="checkbox"/> Not Reviewed</div>	
1.2	Program consistently serves projected number of students and/or can demonstrate recruitment efforts to maintain or increase the number of	<div><input type="checkbox"/> Enrollment and daily attendance records for each site</div> <div><input type="checkbox"/> Program Attendance Update form</div> <div><input type="checkbox"/> Recruitment plan/marketing materials</div>	<div><u>Interview Responses:</u></div> <div><u>Documentation Reviewed:</u></div> <div><u>Missing Documentation:</u></div>	<div><input type="checkbox"/> Meets Requirement</div> <div><input type="checkbox"/> Meets Requirement with Recommendation(s)</div> <div><input type="checkbox"/> Finding(s)</div>	



	students served according to the description in the SBE-approved application.	<input type="checkbox"/> Verification of total average daily attendance (ADA) at time of visit		<input type="checkbox"/> <u>Not Reviewed</u>	
1.3	Program operates outside of the regular school day for a minimum of 12 hours per week at each site.	<input type="checkbox"/> Feeder school(s) calendar(s)/hours of school day <input type="checkbox"/> Programmatic schedule with student contact days/hours of operation	<u>Interview Responses:</u>  <u>Documentation Reviewed:</u>  <u>Missing Documentation:</u>	<input type="checkbox"/> <u>Meets Requirement</u>  <input type="checkbox"/> <u>Meets Requirement with Recommendation(s)</u>  <input type="checkbox"/> <u>Finding(s)</u> <input type="checkbox"/> <u>Not Reviewed</u>	
1.4	Program maintains daily attendance at each program site and adheres to written policies and procedures for attendance data entry into the Attendance Module of 21DC.	<input type="checkbox"/> Evidence of staff implementation of written policies/procedures <input type="checkbox"/> Evidence of timely completion of required reporting <input type="checkbox"/> Written policies/procedures <input type="checkbox"/> Samples of daily attendance records at each site <input type="checkbox"/> Evidence of staff implementation documenting policies/procedures	<u>Interview Responses:</u>  <u>Documentation Reviewed:</u>  <u>Missing Documentation:</u>	<input type="checkbox"/> <u>Meets Requirement</u>  <input type="checkbox"/> <u>Meets Requirement with Recommendation(s)</u>  <input type="checkbox"/> <u>Finding(s)</u> <input type="checkbox"/> <u>Not Reviewed</u>	
1.5	Program hires qualified staff for roles outlined in the SBE-approved application and evaluates their performance.	<input type="checkbox"/> Job descriptions of key personnel <input type="checkbox"/> Organization chart <input type="checkbox"/> Documented hiring and evaluation procedures	<u>Interview Responses:</u>  <u>Documentation Reviewed:</u>  <u>Missing Documentation:</u>	<input type="checkbox"/> <u>Meets Requirement</u>  <input type="checkbox"/> <u>Meets Requirement with Recommendation(s)</u>  <input type="checkbox"/> <u>Finding(s)</u> <input type="checkbox"/> <u>Not Reviewed</u>	
1.6	Program maintains ongoing communication and collaboration with feeder schools.	<input type="checkbox"/> Samples of communications (e.g., memos, letters, emails, etc.) with feeder schools <input type="checkbox"/> Schedule of communication with feeder schools for each site	<u>Interview Responses:</u>  <u>Documentation Reviewed:</u>  <u>Missing Documentation:</u>	<input type="checkbox"/> <u>Meets Requirement</u>  <input type="checkbox"/> <u>Meets Requirement with Recommendation(s)</u>  <input type="checkbox"/> <u>Finding(s)</u> <input type="checkbox"/> <u>Not Reviewed</u>	
1.7	Program communicates information about the community learning	<input type="checkbox"/> Evidence of sustainability plan implementation as described in the approved project (e.g.,	<u>Interview Responses:</u>  <u>Documentation Reviewed:</u>	<input type="checkbox"/> <u>Meets Requirement</u>	

	center (including its location) to clearly communicate efforts to sustain your program beyond 21 <sup>st</sup> CCLC dollars the community in a manner that is understandable and accessible.	records of matching contributions, letters of support, etc.) <input type="checkbox"/> Samples of communication with stakeholders (e.g., brochures, flyers, social media examples, etc.)	<u>Missing Documentation:</u>	<input type="checkbox"/> <u>Meets Requirement with Recommendation(s)</u>  <input type="checkbox"/> <u>Finding(s)</u> <input type="checkbox"/> <u>Not Reviewed</u>	
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**STRAND II. PROGRAM IMPLEMENTATION**

21<sup>st</sup> CCLC programs must use award funds to offer students a broad array of services and activities that are designed to reinforce and complement the regular academics of participating students described in the grant. (Section 4201(a)(2); Section 4204(b)(2))

Indicator	Description	Required Evidence Samples	Notes	Rating	Date Finding(s) Resolved <i>(DPI Internal Use)</i>
2.1	Program offers student activities that are 1) focused on reading/language arts and mathematics; and 2) are aligned to the NC Standard Course of Study (NCSOS).	<input type="checkbox"/> Evidence of alignment to NCSOS (e.g., listed goals, objectives, etc. within lesson planning) <input type="checkbox"/> Samples of daily program schedules for each site <input type="checkbox"/> Samples of lesson plans <input type="checkbox"/> Samples of student materials	<u>Interview Responses:</u>  <u>Documentation Reviewed:</u>  <u>Missing Documentation:</u>	<input type="checkbox"/> <u>Meets Requirement</u>  <input type="checkbox"/> <u>Meets Requirement with Recommendation(s)</u>  <input type="checkbox"/> <u>Finding(s)</u> <input type="checkbox"/> <u>Not Reviewed</u>	
2.2	Program offers students a broad array of additional enrichment services, programs, and activities.	<input type="checkbox"/> Documented enrichment activities as described in the approved project (e.g., sample lesson plans, materials, field trip follow- up activities, etc.) <input type="checkbox"/> Samples of daily program schedules for each site	<u>Interview Responses:</u>  <u>Documentation Reviewed:</u>  <u>Missing Documentation:</u>	<input type="checkbox"/> <u>Meets Requirement</u>  <input type="checkbox"/> <u>Meets Requirement with Recommendation(s)</u>  <input type="checkbox"/> <u>Finding(s)</u> <input type="checkbox"/> <u>Not Reviewed</u>	
2.3	Program uses a variety of strategies and/or activities to address various learning interests, grade levels, and abilities	<input type="checkbox"/> Samples of lesson plans that correspond with staff training reflecting instructional strategies  <input type="checkbox"/>	<u>Interview Responses:</u>  <u>Documentation Reviewed:</u>  <u>Missing Documentation:</u>	<input type="checkbox"/> <u>Meets Requirement</u>  <input type="checkbox"/> <u>Meets Requirement with Recommendation(s)</u>	

	per SBE-approved application.	Program Assessment Document that is current or in progress		<input type="checkbox"/> Finding(s) <input type="checkbox"/> Not Reviewed	
2.4	Program monitors student progress to ensure that activities are expected to improve student academic achievement as well as overall student success.	<input type="checkbox"/> Data collection schedule and persons identified responsible to ensure data is available for timely improvement and annual reporting <input type="checkbox"/> Samples of data collections on student progress (e.g., assessments, work samples, teacher feedback, school attendance, disciplinary referrals, surveys, progress reports, etc.) <input type="checkbox"/> Program Assessment Summary <a href="#">Assessing Program Quality – SERVE Center (uncg.edu)</a>	<u>Interview Responses:</u>  <u>Documentation Reviewed:</u>  <u>Missing Documentation:</u>	<input type="checkbox"/> Meets Requirement  <input type="checkbox"/> Meets Requirement with Recommendation(s)  <input type="checkbox"/> Finding(s) <input type="checkbox"/> Not Reviewed	
2.5	Program offers staff training on written policies and procedures as well as professional development for staff/volunteers that is aligned to specific program goals and priorities.	<input type="checkbox"/> Agendas, sign-in sheets, materials from trainings and professional development opportunities for staff <input type="checkbox"/> Sample evaluations of professional learning activities <input type="checkbox"/> Written professional learning plans <input type="checkbox"/> Yearly schedule of professional learning opportunities <input type="checkbox"/> Samples of written communication with staff members <input type="checkbox"/> Staff handbook	<u>Interview Responses:</u>  <u>Documentation Reviewed:</u>  <u>Missing Documentation:</u>	<input type="checkbox"/> Meets Requirement  <input type="checkbox"/> Meets Requirement with Recommendation(s)  <input type="checkbox"/> Finding(s) <input type="checkbox"/> Not Reviewed	

STRAND III. FAMILY ENGAGEMENT

21<sup>st</sup> CCLC programs must offer families of students served by community learning centers opportunities for active and meaningful engagement in their children’s education, including opportunities for literacy and related educational development. (*Section 4201(a)(3)*)

Indicator	Description	Required Evidence Samples	Notes	Rating	Date Finding(s) Resolved (DPI Internal Use)
3.1	Program maintains a communication plan for reaching out to and engaging families of the students to be served.	<div><input type="checkbox"/> Evidence of communications and attestation page with signatures aligned to the approved project for each site</div> <div><input type="checkbox"/> Written family communication plan</div>	<u>Interview Responses:</u>  <u>Documentation Reviewed:</u>  <u>Missing Documentation:</u>	<div><input type="checkbox"/> Meets Requirement</div> <div><input type="checkbox"/> Meets Requirement with Recommendation(s)</div> <div><input type="checkbox"/> Finding(s)</div> <div><input type="checkbox"/> Not Reviewed</div>	
3.2	Program involves caregivers in the planning of program activities, as appropriate.	<div><input type="checkbox"/> Samples of completed caregiver surveys</div> <div><input type="checkbox"/> Samples of caregiver meetings for stakeholder input (e.g., agendas, sign-in sheets, etc.)</div>	<u>Interview Responses:</u>  <u>Documentation Reviewed:</u>  <u>Missing Documentation:</u>	<div><input type="checkbox"/> Meets Requirement</div> <div><input type="checkbox"/> Meets Requirement with Recommendation(s)</div> <div><input type="checkbox"/> Finding(s)</div> <div><input type="checkbox"/> Not Reviewed</div>	
3.3	Program offers activities for family engagement around support for students’ academic needs including literacy and related educational development.	<div><input type="checkbox"/> Agendas, sign-in sheets, materials for family engagement activities</div> <div><input type="checkbox"/> Evaluations of family engagement activities</div> <div><input type="checkbox"/> Schedule of family engagement activities for each site (should host at minimum 1 literacy training/activity)</div>	<u>Interview Responses:</u>  <u>Documentation Reviewed:</u>  <u>Missing Documentation:</u>	<div><input type="checkbox"/> Meets Requirement</div> <div><input type="checkbox"/> Meets Requirement with Recommendation(s)</div> <div><input type="checkbox"/> Finding(s)</div> <div><input type="checkbox"/> Not Reviewed</div>	
3.4	Program establishes procedures for communication with non-English speaking and/or illiterate caregivers, if applicable.	<div><input type="checkbox"/> Samples of communications targeting non-English speaking and/or illiterate caregivers</div> <div><input type="checkbox"/> Written communication procedures</div>	<u>Interview Responses:</u>  <u>Documentation Reviewed:</u>  <u>Missing Documentation:</u>	<div><input type="checkbox"/> Meets Requirement</div> <div><input type="checkbox"/> Meets Requirement with Recommendation(s)</div> <div><input type="checkbox"/> Finding(s)</div> <div><input type="checkbox"/> Not Reviewed</div>	

STRAND IV: FEDERAL, STATE, AND LOCAL STATUTES

21<sup>st</sup> CCLC programs must adhere to all applicable federal, state, and local health, safety, and civil rights laws. *(Section 4204(b)(2)(N); Section 4204(c); Section 8501(a)-(d))*

Indicator	Description	Required Evidence Samples	Notes	Rating	Date Finding(s) Resolved <i>(DPI Internal Use)</i>
4.1	Program conducts criminal background checks for all staff, including volunteers, prior to working with students.	<div><input type="checkbox"/> Samples of dated background check results for staff and/or volunteers, as applicable (10% of all staff or 5 whichever is greater)</div> <div><input type="checkbox"/> Statement of assurance, if LEA, for ongoing background checks from human resources office</div>	<div><u>Interview Responses:</u></div> <div><u>Documentation Reviewed:</u></div> <div><u>Missing Documentation:</u></div>	<div><input type="checkbox"/> <u>Meets Requirement</u></div> <div><input type="checkbox"/> <u>Meets Requirement with Recommendation(s)</u></div> <div><input type="checkbox"/> <u>Finding(s)</u></div> <div><input type="checkbox"/> <u>Not Reviewed</u></div>	
4.2	Program adheres to consultation requirements with private school officials prior to and during program implementation.	<div><input type="checkbox"/> Agendas, sign-in sheets, minutes of all consultation meetings (i.e., pre-award, post-award, and during program implementation for participating private schools)</div> <div><input type="checkbox"/> Evidence of communication with private school officials after grant is awarded</div> <div><input type="checkbox"/> Evidence of ongoing communication with private school officials during the implementation of the program</div> <div><input type="checkbox"/> Evidence of communication with private school officials prior to grant being awarded (e.g., Private Schools Consultation form, certified mail receipts, emails, etc.)</div> <div><input type="checkbox"/> List of private schools operating in the feeder school areas of the program</div>	<div><u>Interview Responses:</u></div> <div><u>Documentation Reviewed:</u></div> <div><u>Missing Documentation:</u></div>	<div><input type="checkbox"/> <u>Meets Requirement</u></div> <div><input type="checkbox"/> <u>Meets Requirement with Recommendation(s)</u></div> <div><input type="checkbox"/> <u>Finding(s)</u></div> <div><input type="checkbox"/> <u>Not Reviewed</u></div>	

		<input type="checkbox"/> Letter dated and signed by Program Director if no private schools exist			
4.3	Program implements policies/procedures for expectations for student conduct and disciplinary practices.	<input type="checkbox"/> Samples of written policies/procedures with attestation signatures to show these policies/procedures were communicated to staff, students, and caregivers	<u>Interview Responses:</u>  <u>Documentation Reviewed:</u>  <u>Missing Documentation:</u>	<input type="checkbox"/> <u>Meets Requirement</u>  <input type="checkbox"/> <u>Meets Requirement with Recommendation(s)</u>  <input type="checkbox"/> <u>Finding(s)</u> <input type="checkbox"/> <u>Not Reviewed</u>	
4.4	Program implements procedures to ensure student and staff safety for 21 <sup>st</sup> CCLC Program.	<input type="checkbox"/> Schedule of safety drills conducted (should include drills for fire, tornado and other adverse weather, and active shooter/intruder.) <input type="checkbox"/> Written emergency preparedness policy/plan (if LEA, plan must specifically address the 21 <sup>st</sup> CCLC program) <input type="checkbox"/> Written adverse weather policy/plan (if LEA, plan must specifically address the 21 <sup>st</sup> CCLC program)	<u>Interview Responses:</u>  <u>Documentation Reviewed:</u>  <u>Missing Documentation:</u> None	<input type="checkbox"/> <u>Meets Requirement</u>  <input type="checkbox"/> <u>Meets Requirement with Recommendation(s)</u>  <input type="checkbox"/> <u>Finding(s)</u> <input type="checkbox"/> <u>Not Reviewed</u>	
4.5	Program implements policies/procedures to ensure safe usage of the Internet, as applicable specific to 21 <sup>st</sup> CCLC Program.	<input type="checkbox"/> Samples of signed Internet usage consent forms for students under the age of 13, if applicable <input type="checkbox"/> Written Internet usage policies/procedures	<u>Interview Responses:</u>  <u>Documentation Reviewed:</u>  <u>Missing Documentation:</u>	<input type="checkbox"/> <u>Meets Requirement</u>  <input type="checkbox"/> <u>Meets Requirement with Recommendation(s)</u>  <input type="checkbox"/> <u>Finding(s)</u> <input type="checkbox"/> <u>Not Reviewed</u>	
4.6	Program takes place in a safe and easily accessible facility.	<input type="checkbox"/> Evidence of accessibility to persons with disabilities <input type="checkbox"/> Evidence of regular facility maintenance (must provide	<u>Interview Responses:</u>  <u>Documentation Reviewed:</u>	<input type="checkbox"/> <u>Meets Requirement</u>  <input type="checkbox"/> <u>Meets Requirement with Recommendation(s)</u>	

		<div>current fire inspection report, and building inspection report)</div> <div><input type="checkbox"/> Evacuation maps</div> <div><input type="checkbox"/> Occupancy capacity certification</div>	<div>Missing Documentation:</div>	<div><input type="checkbox"/> Finding(s)</div> <div><input type="checkbox"/> Not Reviewed</div>	
4.7	Program ensures that students transition safely within the program and travel safely to and from the center and home, if applicable.	<div><input type="checkbox"/> Samples of transition times within daily schedules</div> <div><input type="checkbox"/> 21<sup>st</sup> CCLC program-specific transportation policy/procedures</div> <div><input type="checkbox"/> Daily drop-off/pick-up schedules for each site</div> <div><input type="checkbox"/> Evidence of student emergency list availability on buses/vans</div> <div><input type="checkbox"/> Specific transportation/vehicle information:<div><div><input type="checkbox"/> Copies of student bus rosters</div><div><input type="checkbox"/> Copies of daily vehicle maintenance checklist and inspection reports</div></div></div>	<div>Interview Responses:</div> <div>Documentation Reviewed:</div> <div>Missing Documentation:</div>	<div><input type="checkbox"/> Meets Requirement</div> <div><input type="checkbox"/> Meets Requirement with Recommendation(s)</div> <div><input type="checkbox"/> Finding(s)</div> <div><input type="checkbox"/> Not Reviewed</div>	

21<sup>st</sup> CCLC CPMR Narrative:

Each indicator rated as Finding(s) outlines specific areas of noncompliance and provides the Action Required to meet compliance. Indicators rated as Meets Requirements with Recommendation(s) outline how basic compliance is met but provides recommendations for improvement. Responses from subgrantees are NOT required for indicators rated as Meets Requirements with Recommendation(s).

Commendations:

Recommendations:

Strand X, Indicator XX- Description  
Meets Requirements with Recommendation(s):  
Actions Required: NO RESPONSE IS REQUIRED

Findings:

Strand X, Indicator XX- Description

Finding(s):

Actions Required:

1.

Documentation must be received in thirty (30) business days of receiving the report.

I hereby certify that I have no personal interest or conflict, either in fact or in appearance, that would compromise my ability to conduct an independent review.

(Signature of Program Administrator Completing Review)

(Date)



Appendix J: FMR Instrument & Fiscal Monitoring Report

21st Century Community Learning Centers (21st CCLC) Fiscal Monitoring Review (FMR)		
Program Name:	Organization # / Cohort #:	Fiscal Year:
		2023
Date of Review:	Total Number of Students:	Total Number of Sites:
Date Documentation Due:	Date Documentation Received:	On Time / Late:
Fiscal Monitor & Support:	Met With:	Site/Location:

The State Educational Agency (SEA) is required to monitor the quality and effectiveness of the programs operating with funds provided through the 21st Century Community Learning Centers (21st CCLC) grant program (Uniform Grant Guidance, 2 CFR § 200.331). Fiscal monitoring of the 21st CCLC subgrantees focuses on seven (7) compliance indicators to determine if the subgrantee’s financial management systems provide for effective control over and accountability for grant funds, property, and other assets and ensure they are used solely for authorized purposes.

Fiscal Monitors use the instrument to review documentation and conduct interviews. Each indicator is rated as follows:

Meets Requirements	Meets Requirements with Recommendation(s)	Finding(s)	NA - Not Applicable
Compliance indicator is 100% met and supported by all required evidence(s).	Basic compliance requirements are met; recommendations are provided for improvement.	Evidence or lack of evidence show compliance indicator has not been met.	Accountability standard is not applicable.

The results of the monitoring review are provided in the FMR in two parts: 1) Final Ratings for each indicator provided in the table; and 2) A written narrative for indicators rated as Meets Requirements with Recommendation(s) and Findings with Action Required for compliance.

The FMR is provided to the Fiscal Agent Contact for the 21st CCLC program subgrantee.

- 1. It is the responsibility of the Fiscal Agent Contact to ensure the FMR is shared with all individuals within the subgrantee organization that are responsible for applicable written responses.
- 2. The subgrantee must provide written responses to each item marked as Finding(s) within ten (10) business days of receipt of the report.
- 3. The subgrantee’s response must 1) demonstrate the required action has already been addressed by including supporting documentation with the response, or 2) describe a specific action plan for completing the required action with a detailed timeline and persons responsible.
- 4. No response is required for indicators rated as Meets Requirements with Recommendation(s).
- 5. If questioned costs in the amount of \$500 or more are identified, access to funds will be disabled immediately. When repayment is received or documentation is provided to substantiate the identified questioned costs, the account will be enabled.

Indicator 1: Fiscal Management System (2 CFR §200.302)		
Indicator 1: Compliance	Comments	Rating
1.1 The subgrantee's financial management system provides accountability and effective control over the grant funds, property and assets to ensure that they are used for authorized purposes.		NA - Not Applicable
Indicator 1. Finding(s) and/or Required Actions	Date Finding(s) Resolved	
Indicator 1.X. Finding: Required Action:		
Indicator 1. Recommendation(s) and/or Best Practices		

Indicator 2: Written Fiscal Policies & Procedures (2 CFR §200)		
Indicator 2: Compliance	Comments	Rating
2.1. The subgrantee ensures all costs are reasonable, necessary, and allocable, are properly documented, consistent across grant programs, and not used for any other federal-financed program, or to meet any cost-sharing/matching requirements, and are legal under local, state and federal laws. (2 CFR §200.403(c)-405)		NA - Not Applicable

2.2. The subgrantee has written policies and procedures in compliance with the Uniform Grant Guidance, Cost Principles, and Audit Requirements for Federal Awards (2 CFR 200): a. Cash Management b. Allowability c. Equipment Management d. Conflict of Interest e. Procurement f. Procurement for Competitive Proposals g. Compensation h. Travel		NA - Not Applicable
Indicator 2. Finding(s) and/or Required Actions	Date Finding(s) Resolved	
Indicator 2.X. Finding: Required Action:		
Indicator 2. Recommendation(s) and/or Best Practices		

Indicator 3: Subcontractors & Procurement Standards (2 CFR §200.318 & §200.319)		
Indicator 3: Compliance	Comments	Rating
3.1. The subgrantee has a policy and procedure to ensure contract vendors are not on debarred, suspended, excluded from or ineligible for participation in federal programs. (2 CFR §200.213)		NA - Not Applicable
3.2. The subgrantee follows documented procurement policies and procedures to ensure compliance with 2 CFR §200.218 - §200.220. (General Procurement Standards - Conflict of Interest, Competition, and Methods of Procurement and Selection)		NA - Not Applicable
3.3. The subgrantee's pre-approved contracts match the invoices submitted for payment (transportation, parental involvement, bookkeeping, or any charge under the 300 Object Code).		NA - Not Applicable
3.4. The subgrantee ensures a conflict of interest does not exist.		NA - Not Applicable

Indicator 3. Finding(s) and/or Required Actions	Date Finding(s) Resolved
<b>Indicator 3.X.</b> <b>Finding:</b> <b>Required Action:</b>	
Indicator 3. Recommendation(s) and/or Best Practices	

Indicator 4: Compensation (2 CFR §200.430)		
Indicator 4: Compliance	Comments	Rating
4.1. The subgrantee has policies and procedures for accurately recording time and effort worked by all staff paid with 21st CCLC funds. (Section 2.K. 21st CCLC Grant Guidance)		NA - Not Applicable
4.2. The subgrantee ensures that all compensation paid with 21st CCLC funds is commensurate with the percentage of effort worked on the grant. (Section 2.K. 21st CCLC Grant Guidance)		NA - Not Applicable
4.3. The subgrantee has internal controls in place to ensure that all compensation is necessary, reasonable, and allocated accurately.		NA - Not Applicable
4.4. The subgrantee has internal controls in place for employees who are paid from more than one funding source. (Multiple Cohorts and/or Multiple Grants)		NA - Not Applicable
4.5. The subgrantee has policies and procedures for hours worked when students are not in session.		NA - Not Applicable
4.6. Subgrantees have a documented policy and procedure for all paid-time off and fringe benefits that are paid using 21st CCLC grant funds. (holidays, vacation, sick, retirement, insurances, etc.)		NA - Not Applicable
4.7. The subgrantee ensures that the qualifications of all 21st CCLC employees match the duties performed in the 21st CCLC program.		NA - Not Applicable
4.8. The subgrantee ensures 21st CCLC personnel receive a W-2 or a 1099 for all compensation received from grant funds.		

Indicator 4. Finding(s) and/or Required Actions	Date Finding(s) Resolved
Indicator 4.X. Finding: Required Action:	
Indicator 4. Recommendation(s) and/or Best Practices	

Indicator 5: Budget (2 CFR §200.302 & §200.308)		
Indicator 5: Compliance	Comments	Rating
5.1. The subgrantee receives written approval for all budgets and/or amendments prior to expenditures.		NA - Not Applicable
5.2. The subgrantee submits their initial Budget 208 by the September 30, 2021 deadline.		NA - Not Applicable
5.3. The subgrantee's expenditures are made under approved budgeted account codes. All expenditures are reasonable/necessary for the performance of the grant and are in alignment with the grant application details.		NA - Not Applicable
5.4. The subgrantee has methods for recording actual costs versus budgeted costs to ensure they are operating within their approved budget.		NA - Not Applicable
5.5. The subgrantee's accounting of indirect costs is in accordance with NCDPI Grant Guidance.		NA - Not Applicable
5.6. The subgrantee documents all indirect cost expenditures.		NA - Not Applicable
Indicator 5. Finding(s) and/or Required Actions	Date Finding(s) Resolved	
Indicator 5.X. Finding: Required Action:		
Indicator 5. Recommendation(s) and/or Best Practices		

Indicator 6: Inventory & Equipment Management (2 CFR §200.313 & §200.403(c))		
Indicator 6: Compliance	Comments	Rating

6.1. The subgrantee maintains capitalized asset inventory (acquisition cost is ≥ \$5,000/item).		NA - Not Applicable
6.2. The subgrantee has written policies on maintaining inventory (all equipment, furniture, and computing devices).		NA - Not Applicable
6.3. The subgrantee has a documented method for the disposition of inventory.		NA - Not Applicable
6.4. The subgrantee has adequate safeguards to deter equipment being lost, stolen or destroyed.		NA - Not Applicable
6.5. The subgrantee's equipment, furniture, and computing devices has been visually verified. The storage processes of these items meet or exceed the expected standard for safekeeping.		NA - Not Applicable
Indicator 6. Finding(s) and/or Required Actions	Date Finding(s) Resolved	
Indicator 6.X. Finding: Required Action:		
Indicator 6. Recommendation(s) and/or Best Practices		

Indicator 7: Expenditure Testing (2 CFR §200.302, §200.402, §200.403, & §200.405)		
Indicator 7: Compliance	Comments	Rating
7.1. The subgrantee ensures 21st CCLC grant funds are used to supplement and not supplant state/local and/or other federal funds.		NA - Not Applicable
7.2. The subgrantee has internal controls to approve expenditures and payments.		NA - Not Applicable
7.3. The subgrantee ensures appropriate signatures or initials, dates and Chart of Account (COA) codes are evident on all documents.		NA - Not Applicable

7.4. The subgrantee's expenditures are requested on a reimbursement basis.		NA - Not Applicable
7.5. The subgrantee ensures all parental meetings / trainings that offer snacks and / or meals are documented with copies of sign-in forms and agendas for the event.		NA - Not Applicable
7.6. Expenditures selected for testing are: a. Necessary, reasonable and allocable (2 CFR Part 200 Subpart E); b. Conforms with federal, state, and local laws and policies d. Consistently treated as either direct cost or an indirect cost; e. In accordance with Generally Accepted Accounting Principles (GAAP); f. Are adequately documented and present no questioned cost.		NA - Not Applicable
Indicator 7. Finding(s) and/or Required Actions	Date Finding(s) Resolved	
Indicator 7.X. Finding: Required Action:		
Indicator 7. Total Questioned Costs	Date Finding(s) Resolved	
Questioned Costs:		
Indicator 7. Recommendation(s) and/or Best Practices		

21st CCLC FMR Summary	
Each indicator rated as a Finding(s) outlines specific areas of noncompliance and provides an Action Required to meet compliance. Indicators rated as Meets Requirements with Recommendation(s) outline how basic compliance is met but provides recommendations for improvement. Responses from subgrantees are NOT required for indicators rated as Meets Requirements with Recommendation(s).	
Commendations	
Findings and/or Questioned Cost with Required Actions	Date Finding(s) Resolved

<b>Indicator XX-</b> Description <b>Finding:</b> <b>Required Action:</b>	
I hereby certify that I have no personal interest or conflict, either in fact or in appearance, that would compromise my ability to conduct an independent review.	
(FISCAL SIGNATURE)	(DATE)
<b>(Signature of Fiscal Monitor Completing Review)</b>	<b>(Date)</b>



## Appendix K: Monitoring Guidelines

### Guidelines for the Federal Program Monitoring Process [PROGRAM NAME (UNIT NUMBER) GRANT YEAR]

#### Introduction

These *Guidelines* are intended to help your program staff prepare for the North Carolina Department of Public Instruction (NCDPI) 21<sup>st</sup> Century Community Learning Centers (CCLC) Comprehensive Federal Monitoring Process (CPMR). The three sections that follow reflect the main parts of the process:

- 1 – Online Document Review
- 2 – 21<sup>st</sup> CCLC Program Site Visit
- 3 – Interviews and Exit Conference

#### 1 - Online Document Review

The requested documents are described in the *Comprehensive Program Monitoring Review (CPMR) Instrument*, which is organized by 5 compliance strands, based on federal law.

- 1) Please share the documents with your Lead Program Administrator (PA) *electronically*, using a platform of your choice. Many 21<sup>st</sup> CCLC programs use Google Drive, Drop Box, or OneDrive. All documents must be available for review by Tuesday, November 1, 2022 at 5:00 PM. IMPORTANT: The ratings of the applicable compliance strands and the monitoring report will be based on documents that are submitted by the due date or those that are already available on your program's webpages or in the CCIP grant management tool. Late documents cannot be accepted. Please contact your Lead PA if you have any questions about the documents needed for any of the strands.
- 2) Please organize the folders by compliance strand number, creating a main folder that includes the name of your program (e.g., "BCDI'G's 21<sup>st</sup> CCLC Cohort 12"). Your program name will help distinguish your folder from other 21<sup>st</sup> CCLC programs who follow the same protocols. Within that folder, simply create one folder for each compliance strand number. The folder names should be in numerical order and should include the title of each strand (e.g., Strand III. – Family and Community Engagement). Within each Strand folder, it is also beneficial to create subfolders by the indicators for each strand so documentation for each indicator is easily accessible. Drop the relevant document(s) into each sub-folder.
- 3) Lead PAs will feel obligated to open and examine all documents provided. Therefore, when adding documents to the folders, please provide a distinct, concise and manageable selection for the given strand. In other words, please do not provide a folder full of any and all documents that relate to the activities in the strand; only provide enough to illustrate compliance with the strand. If you have any questions about this as you are collecting documents, please let your Lead PA know.

- 4) If one document satisfies more than one compliance strand, please upload it into all applicable folders. This may seem redundant, but it makes it easier for you and NCDPI staff to keep track of documents shared and previously reviewed.
- 5) For many of the compliance strands/indicators, the *CPMR Instrument* provides multiple examples of types of possible evidence that could demonstrate compliance. Please note you do not have to supply every possible type of item listed for any given indicator. NCDPI staff will look for evidence of a practice.
- 6) Please note you do not need to provide an exhaustive set of a particular kind of document. For example, to demonstrate that a particular group has met 12 times during the year, simply supply the artifacts related to one or two of those meetings, as long as those artifacts reflect what is described in the given indicator. You would not need to include artifacts from all the other meetings. However, you should include a calendar or schedule showing the other meeting dates, to give a comprehensive view.
- 7) Items can be provided in the following formats: PDFs, Word files, TXT files, Excel files, CSV files, PowerPoints, or JPEGs. **If other formats are included, please check with your Lead PA before you upload them. Files that are created by special online platforms or apps cannot be opened with the software on NCDPI computers.**

## **2 - 21<sup>st</sup> CCLC Program Site Visit**

A Lead PA and Secondary Monitor will visit your 21<sup>st</sup> CCLC program for a couple of hours on the visitation day. An Onsite Agenda Template will be provided by your Lead PA and will provide the framework for our onsite visit including the interviews described in the next section. If you feel that the proposed timeframe of site visits and / or interviews needs to be adjusted or if you have any questions regarding the Onsite Agenda in general, please contact the Lead PA at least one week prior to the monitoring event.

Please let the program staff, feeder schools, and students know that NCDPI staff will be visiting and that they should not make any special plans for this visit. NCDPI staff would like the opportunity to visit classrooms and prefer a Program Director led tour.

## **3 - Interviews and Exit Conference**

NCDPI staff will interview afterschool program staff, parents, and feeder school administrators and teachers, as described below. Aside from the Program Director interview, the additional group interviews will usually average about 15 to 20 minutes each. The last 30 minutes of the day will be used for an exit conference where NCDPI staff will share general impressions with the Program

Director and receive feedback about the monitoring process and the federal program support provided by NCDPI.

Program Director & Site Coordinator(s) Interview: This interview will include any administrative staff (including Fiscal Agent) necessary to discuss the topics and the supporting documentation summarized in the *CPMR Instrument*. Typically, this is the first interview conducted once the NCDPI staff arrives on-site and it occurs before 21<sup>st</sup> CCLC programming begins. This interview will allow NCDPI staff to ask for clarification on any loose ends that remain after online documentation review.

Feeder School Administrator and Teacher(s) Interviews: Please confirm an interview with feeder school administrator(s) and teacher(s) on the date of the on-site visit. If your program operates off-site of the feeder school, please let your Lead PA know the location of this interview.

21<sup>st</sup> CCLC Program Teacher Interviews: Please select, at minimum, two to three teachers for a group interview with no others present. This should include mostly lead teachers, but it can also include a few others who work primarily with students such as a teacher assistant. A variety of grade levels and teaching areas should be represented.

21<sup>st</sup> CCLC Program Parent Interviews: Please select, at minimum, two to three parents for a group interview with no others present. Please choose from parents who are not employees of the 21<sup>st</sup> CCLC grant.

Exit Conference: The last portion of the visit will serve as an exit conference lasting approximately 15-30 minutes. This will be an opportunity for NCDPI staff to give you some feedback on their observations based on the visit, interviews and review of documents. However, keep in mind that a full report will not be available until a later date. Finally, the exit conference will give you an opportunity to provide feedback to NCDPI staff on the monitoring process and their support regarding your 21<sup>st</sup> CCLC program.

## Appendix L: Programmatic Monitoring Interview Protocol

# 21<sup>st</sup> CCLC Programmatic Monitoring Interview Protocol

Informal/Semi-Structured Interviews are conducted with pre-selected Key Staff implementing the program on the ground (e/g., Program Director, Site Coordinator(s), Program Staff, Fiscal Agent or Finance Officer, Feeder School Administrators and Teachers, and Caregivers)

### Purpose

Review project operations, activities, enrollment, changes, expenditures, etc. to provide additional context to evidence reviewed to demonstrate compliance on the 21<sup>st</sup> CCLC Comprehensive Program Monitoring Report or Program Quality Review (hereafter, the Report) template. Program Administrators will ask semi-structured questions about their Program Management, Program Implementation, Family Engagement and Federal, State, and Local Statutes.

### Output

Brief notes on pages below of what was learned from interview(s) will remain an internal file. Condensed notes can then be added to the Report in the Notes section if needed to demonstrate compliance. Additionally, information from the interviews can be referenced in the Commendations, Recommendations, or Findings/Concerns narrative section of the final Report which is provided to 21<sup>st</sup> CCLC Grantees.

### 21<sup>st</sup> CCLC Interview Questions and Observation Notes

Grantee Organization Name:	
Grantee Organization Unit #:	
Date of Interview(s):	
NCDPI Staff Conducting Interviews:	

STAKEHOLDER GROUP #1: PROGRAM LEADERSHIP		
21 <sup>ST</sup> CCLC PROGRAM LEADERSHIP STAFF INTERVIEWED (NAME AND TITLE):		
Associated Indicator(s)	Questions	Notes/Responses
1.1	<p>Have you had any problems focusing services in schools that are designated as Title 1?</p> <p>If you are providing services in schools that are not designated as Title 1, what criteria were used to select them for 21<sup>st</sup> CCLC programming?</p>	
1.2	<p>To what extent has the program enrolled/served the number of students projected in its SBE-approved application or NCDPI-approved Program Amendment?</p> <p>How have you advertised the 21<sup>st</sup> CCLC Program to community stakeholders?</p>	
1.4	How do you maintain daily attendance records? What are your policies and procedures for maintaining updated attendance data in 21DC?	
1.3	Have you been able to maintain all proposed program components of your SBE-approved weekly/monthly schedule? Have there been any challenges in meeting the weekly requirement of 12-student contact hours?	
1.6	How does your program collaborate/interact with feeder school stakeholders (principal(s), teachers, counselors, etc.) of targeted Title 1 schools? Challenges?	
1.5	How do you ensure the staff you are hiring are qualified to successfully meet the desired program outcomes of your 21 <sup>st</sup> CCLC program?	
4.1	Provide me with a sampling of 21 <sup>st</sup> CCLC staff background checks (10% of staff or 5, whichever is greater).	

	How do you ensure your background check policies and procedures are aligned with the Uniform Guidance?	
2.3	How do you ensure your 21 <sup>st</sup> CCLC staff have the training and support required to address various learning interests, grade levels, and abilities of participating students?	
4.6	Have there been any challenges with facility accessibility or maintenance? If yes, how have the issues been resolved?	
4.2	Describe your annual private school consultation efforts. Did your consultations lead to any private school students enrolling in your 21 <sup>st</sup> CCLC Program?	
4.7	How do you ensure any vehicles you are using (buses, vans, etc.) are meeting safety standards?	

STAKEHOLDER GROUP #2: 21 <sup>ST</sup> CCLC PROGRAM STAFF		
21 <sup>ST</sup> CCLC PROGRAM STAFF INTERVIEWED (NAME AND TITLE):		
Associated Indicator(s)	Questions	Notes/Responses
2.1	What key types of Reading/Language Arts and Math activities, programs, or services are offered by your 21 <sup>st</sup> CCLC program? Please describe any research-based curriculum tools you are implementing in the 21 <sup>st</sup> CCLC program.	
	How do you ensure your academic programming is aligned with NCSOS?	
2.2	What other key types of Enrichment activities, programs, or services are offered by your 21 <sup>st</sup> CCLC program? Please describe any research-based curriculum tools you are implementing in the 21 <sup>st</sup> CCLC program.	
2.4	What specific things are you doing to improve students':	

	<ul style="list-style-type: none"> <li>• Academic outcomes (e.g., grades, demonstrating proficiency of standards, etc.)?</li> <li>• Behavioral outcomes (e.g., school attendance, attitudes, engagement, socio-emotional development, etc.)?</li> </ul>	
4.5	How do you ensure students are following internet policies and procedures during the 21 <sup>st</sup> CCLC Program?	
4.3	What are your policies and procedures for supporting and sustaining student engagement during 21 <sup>st</sup> CCLC program hours?	
	In what ways is your program prepared to support students who are not engaged/meeting behavior expectations?	
3.1	Describe the various communication methods you use to engage caregivers.	
4.4	How were you trained on safety protocols for the afterschool hours?	
	What safety drills have been practiced to-date during the 21 <sup>st</sup> CCLC program?	
	What procedures are utilized on the program site(s) to mitigate the spread of COVID-19?	
4.7	What are your policies and procedures for ensuring students safely transition within the 21 <sup>st</sup> CCLC Program as well as to and from the 21 <sup>st</sup> CCLC Program?	
2.5	What Professional Development opportunities have you been provided from 21 <sup>st</sup> CCLC Program Leadership? Are there any topics you would like to learn more about in future professional development workshops?	
1.5	How frequently does the program director or program leadership visit classrooms and provide feedback on your instruction?	

	How are you evaluated? And, have you been trained on observation tools?	
	Do you have any additional suggestions for improvement in the 21 <sup>st</sup> CCLC program?	

STAKEHOLDER GROUP #3: FEEDER SCHOOL STAFF		
21 <sup>ST</sup> CCLC PROGRAM FEEDER SCHOOL STAFF INTERVIEWED (NAME AND TITLE):		
Associated Indicator(s)	Questions	Notes/Responses
1.2	How do you assist in promoting enrollment for the 21 <sup>st</sup> CCLC Program? What is the selection process for the student participants?	
1.7	What input and resources do you provide to the 21 <sup>st</sup> CCLC program? in-kind contributions?	
	Do you receive marketing materials from the 21 <sup>st</sup> CCLC Program?	
1.6	How are Feeder School Administrators and Teachers informed about student progress in the 21 <sup>st</sup> CCLC afterschool program?	
2.4	How is Feeder School data used to support the instructional component of the 21 <sup>st</sup> CCLC program?	
	How does the 21 <sup>st</sup> CCLC program review and update their program goals with Feeder School staff?	
	Have you seen improvement in students' behavior and/or academic engagement and performance since attending the 21 <sup>st</sup> CCLC program?	
1.6	Have Feeder School staff ever visited the 21 <sup>st</sup> CCLC program?	
	Do you know about the required teacher/instructional staff surveys distributed by the 21 <sup>st</sup> CCLC program? Have you ever completed one?	
	Do you have any additional suggestions for improvement in the 21 <sup>st</sup> CCLC program?	



STAKEHOLDER GROUP #4: 21 <sup>ST</sup> CCLC PROGRAM CAREGIVERS AND FAMILIES		
21 <sup>st</sup> CCLC Caregiver and Family Stakeholders Interviewed:		
Associated Indicator(s)	Questions	Notes/Responses
3.1	How does the 21 <sup>st</sup> CCLC program communicate with you?	
	Were you informed about a caregiver orientation? Did you attend?	
	Were you provided a Family Handbook that reviewed the 21 <sup>st</sup> CCLC program's policies and procedures?	
3.2	How does the 21 <sup>st</sup> CCLC program involve families in the decisions for the afterschool program?	
3.3	What family engagement activities have you been offered to date that support your students' academic needs? What additional family activities would you be interested in attending?  Have you ever completed a survey or given feedback on the types of family involvement workshops you feel would be helpful to you?	
3.1 & 2.4	How do you know how well your child is doing in the 21 <sup>st</sup> CCLC afterschool program? In what ways is this progress shared with you?	
4.7	What are the check-out procedures for picking up your child?	
3.4	Are the program's communication methods accessible to non-English speaking and/or illiterate caregivers in your community?	
	Do you have any additional suggestions for improvement in the 21 <sup>st</sup> CCLC program?	

<b>Grantee:</b>	
<b>Date:</b>	
<b>Location:</b>	
<b>What was observed?</b>	
<b>Notes on observation:</b>	

## Appendix M: CPMR/M-CPMR Closing Letter – With Findings

DATE

Program Director Name

Program Name Unit ###, Cohort 14

Program Address

Dear Program Director Name:

The North Carolina Department of Public Instruction (NCDPI) conducted a compliance review of Program Name, Unit ###, on DATE. Enclosed is the monitoring report which documents the results of the Federal Program Review. The monitoring visit included an examination of program files and interviews with you, program staff and stakeholders.

The 21st CCLC Program Director or designee must respond within thirty (30) business days of receipt of this report regarding each item identified for “Required Action(s).” For each “Required Action,” the program must provide documentation/evidence proving the status of the identified compliance concern has been corrected. Send the completed responses to NCDPI via email attachment to your 21st CCLC Program Administrator, Program Administrator Name at PA email@dpi.nc.gov and also forward a copy to Administrative Assistant Melba Strickland at [melba.strickland@dpi.nc.gov](mailto:melba.strickland@dpi.nc.gov). Your response is due on or before Date, 2022 (30 business days). Failure to respond in writing within 30 business days of receipt of this report will result in the immediate suspension of funds.

Thank you for your continued efforts in supporting North Carolina’s school-aged children and their families. If you need additional assistance with this report, please contact your 21st CCLC Program Administrator in time to meet the deadline for a response.

Sincerely,

A handwritten signature in black ink, appearing to read 'LT Townsend', with a stylized, flowing script.

Dr. LaTricia Townsend, Director

LT:ms

c: Program Administrator Name, 21st CCLC Program Administrator  
Susan Brigman, Section Chief ~ Specialty Programs

## Appendix N: Cover Letter – FMR Report with Findings – No Questioned Costs

[MONTH DATE, YEAR]

[PRIMARY CONTACT]

[PROGRAM NAME, UNIT, COHORT]

[STREET ADDRESS]

[CITY, STATE ZIP]

Dear [PRIMARY CONTACT]

The North Carolina Department of Public Instruction (NCDPI) conducted a fiscal compliance review of the (Program Name – Organization Number), on Month, Date, Year. **In accordance with NCDPI and the Federal Program Monitoring and Support Division, all monitors and program administrators participating in and/or reviewing information related to this virtual review, have no affiliation that would compromise their ability to conduct an independent review.**

Enclosed is the fiscal monitoring report which documents the results of the federal fiscal compliance review. During the review process, NCDPI staff reviewed source documentation and tested the subgrantee's fiscal procedures through a sampling of the entire fiscal year in areas such as payroll, time and effort reporting, expenditure accounting, inventory, and adherence to indirect cost rates (non-LEAs only).

Please review the attached compliance monitoring report used during the review, with an emphasis on **"Indicators 2, 3 and 4"** of the report. The 21<sup>st</sup> CCLC Fiscal Agent, Program Director or designee must respond within ten (10) business days of receipt of this report regarding each item identified for "Required Action(s)." For each "Required Action," the program must provide documentation/evidence proving the status of the identified compliance concern has been corrected or provide a specific action plan for completing the required action with a detailed timeline and persons responsible.

Failure to respond in writing within 10 business days of receipt of this report will result in the immediate disablement of funding. Your response is due on or before **November 19, 2022**. Late submission of documentation will be used to inform the subgrantee's risk level during NCDPI's 21<sup>st</sup> CCLC annual risk assessment for future monitoring events. In addition, if your organization's response along with any supporting documentation reveals questioned costs, repayment may be required.

Thank you for your continued interest in serving North Carolina students in afterschool programs.

Sincerely,

[NAME], Director

c: [NAME], Section Chief  
[NAME], Lead Fiscal Monitor

## Appendix O: Closing Letter – No Findings or Findings Resolved

XXXX 2022

Program Director  
Grantee Name, Unit #, Cohort  
Address  
Address

Dear Program Director:

The **PROGRAM NAME** 21<sup>st</sup> Century Community Learning Centers (CCLC) Program has successfully met all federal and state statutory compliance requirements related to the Comprehensive Program Monitoring Review conducted by the North Carolina Department of Public Instruction on **DATE, 2022**.

Thank you for working closely with your 21<sup>st</sup> CCLC Program Administrator(s) to provide a quality academic enrichment program and extended learning opportunities for the youth and families in your community. The State 21<sup>st</sup> CCLC Team looks forward to our continued support of your program toward meeting its goals.

Sincerely,

A handwritten signature in black ink, appearing to read 'LT', with a stylized flourish extending to the right.

Dr. LaTricia Townsend, Director

LT:ms

c: XXX, 21<sup>st</sup> CCLC Lead Program Administrator  
Susan Brigman, Section Chief ~ Specialty Programs

## Appendix P: Letters of Repayment - Questioned Costs Over \$500

[PRIMARY CONTACT]  
[PROGRAM NAME, UNIT, COHORT]  
[STREET ADDRESS]  
[CITY, STATE ZIP]

Dear [PRIMARY CONTACT]:

The North Carolina Department of Public Instruction (NCDPI) conducted a Fiscal Monitoring Review of (Program Name, Unit Number), on Day, Month, Year. **In accordance with NCDPI and the Federal Program Monitoring and Support Division, all monitors and program administrators participating in and/or reviewing information related to this virtual review, have no affiliation that would compromise their ability to conduct an independent review.**

Enclosed is the fiscal monitoring report which documents the results of the federal fiscal compliance review. During the review process, NCDPI staff reviewed source documentation and tested the sub-grantee's fiscal procedures through a sampling of the entire fiscal year in areas such as payroll, time and effort reporting, expenditure accounting, inventory, and adherence to indirect cost rates (non-LEAs only).

Please review the attached compliance monitoring report used during the FMR, with an emphasis on **"Indicators 2, 3, 6, and 7"** of the report. The 21<sup>st</sup> CCLC Fiscal Agent, Program Director or designee must respond within ten (10) business days of receipt of this report regarding each item identified for "Required Action(s)." For each "Required Action," the program must provide documentation/evidence proving the status of the identified compliance concern has been corrected or provide a specific action plan for completing the required action with a detailed timeline and persons responsible. Late submission of documentation will be used to inform the subgrantee's risk level during NCDPI's 21<sup>st</sup> CCLC annual risk assessment for future monitoring events.

Additionally, outstanding questioned costs totaling **[amount over \$500]** were identified. If the questioned costs cannot be addressed with documentation to support the expense, those funds must be returned to NCDPI. Payment must be from local funds.

Your response is due on or before **Month, Day, Year** (10 business days). Please note all reviews with questioned costs greater than \$500.00 result in the program's ERaCA account being disabled until all questioned costs are reconciled. Until payment or documentation is provided your ERaCA account will remain disabled.

Please send additional responses and supporting documentation to NCDPI via email attachments to the 21<sup>st</sup> CCLC Fiscal Monitor, \_\_\_\_\_ at \_\_\_\_\_@dpi.nc.gov and also forward a copy to Administrative Assistant Melba Strickland at [melba.strickland@dpi.nc.gov](mailto:melba.strickland@dpi.nc.gov).

Please forward all required repayments to the address below:

(USPS only)  
**NCDPI**  
**Attn: Melba Strickland**

**NCDPI**  
**Attn: Melba Strickland**

**6307 Mail Service Center  
Raleigh, NC 27699-6307**

**or**

**301 N. Wilmington Street  
Raleigh, NC 27601**

Thank you for your continued interest in serving North Carolina students in afterschool programs.

Sincerely,

[NAME], Director

[AUTHOR: TYPIST INITIALS]

c: [NAME], 21<sup>st</sup> CCLC Program Director  
[NAME], NCDPI Section Chief - Specialty Programs  
[NAME], NCDPI Lead Fiscal Monitor  
[NAME], NCDPI Fiscal Analyst  
[NAME], NCDPI Program Administrator

## Appendix Q: Letters of Repayment-Questioned Costs Under \$500

[PRIMARY CONTACT]

[PROGRAM NAME, UNIT, COHORT]

[STREET ADDRESS]

[CITY, STATE ZIP]

Dear [PRIMARY CONTACT]:

Dear Mr. Faison:

The North Carolina Department of Public Instruction (NCDPI) conducted a Fiscal Monitoring Review of (Program Name, Unit Number) on Day, Month, Day, Year. **In accordance with NCDPI and the Federal Program Monitoring and Support Division, all monitors and program administrators participating in and/or reviewing information related to this virtual review, have no affiliation that would compromise their ability to conduct an independent review.**

Enclosed is the fiscal monitoring report which documents the results of the federal fiscal compliance review. During the review process, NCDPI staff reviewed source documentation and tested the sub-grantee's fiscal procedures through a sampling of the entire fiscal year in areas such as payroll, time and effort reporting, expenditure accounting, inventory, and adherence to indirect cost rates (non-LEAs only).

Please review the attached compliance monitoring report used during the FMR, with an emphasis on **"Indicators 2, 3, 6, and 7"** of the report. The 21<sup>st</sup> CCLC Fiscal Agent, Program Director or designee must respond within ten (10) business days of receipt of this report regarding each item identified for "Required Action(s)." For each "Required Action," the program must provide documentation/evidence proving the status of the identified compliance concern has been corrected or provide a specific action plan for completing the required action with a detailed timeline and persons responsible. Late submission of documentation will be used to inform the subgrantee's risk level during NCDPI's 21<sup>st</sup> CCLC annual risk assessment for future monitoring events.

Additionally, outstanding questioned costs totaling **(Amount under \$500)** were identified. If the questioned costs cannot be addressed with documentation to support the expense, those funds must be returned to NCDPI. Payment must be from local funds. Your response is due on or before **Day, Month, Year** (10 business days).

Please send additional responses and supporting documentation to NCDPI via email attachments to the 21<sup>st</sup> CCLC Fiscal Monitor, \_\_\_\_\_ at \_\_\_\_\_@dpi.nc.gov and also forward a copy to Administrative Assistant Melba Strickland at [melba.strickland@dpi.nc.gov](mailto:melba.strickland@dpi.nc.gov).

Please forward all required repayments to the address below:

(USPS only)

**NCDPI**

**Attn: Melba Strickland  
6307 Mail Service Center  
Raleigh, NC 27699-6307**

**or**

**NCDPI**

**Attn: Melba Strickland  
301 N. Wilmington Street  
Raleigh, NC 27601**

Thank you for your continued interest in serving North Carolina students in afterschool programs.



Sincerely,

c: [NAME], Program Director  
[NAME], Finance Officer  
[NAME], NCDPI Section Chief ~ Specialty Programs  
[NAME], NCDPI Fiscal Monitor  
[NAME], NCDPI Fiscal Analyst  
[NAME], NCDPI Program Administrator

## Appendix R: Letters of Repayment-Repayment not received

[PRIMARY CONTACT]

[PROGRAM NAME, UNIT, COHORT]

[STREET ADDRESS]

[CITY, STATE ZIP]

Dear [PRIMARY CONTACT]:

The North Carolina Department of Public Instruction (NCDPI) conducted an on-site fiscal compliance review of (Name of Program) , Unit # \_\_\_\_, on (Date). **In accordance with NCDPI and the Federal Program Monitoring and Support Division, all monitors and program administrators participating in and/or reviewing information related to this site visit, have no affiliation that would compromise their ability to conduct an independent review.** Enclosed is the fiscal monitoring report which documents the results of the federal fiscal compliance review. During the on-site review process, NCDPI staff reviewed source documentation and tested the sub-grantee's fiscal procedures through a sampling of the entire fiscal year in areas such as payroll, time and effort reporting, expenditure accounting, inventory, and adherence to indirect cost rates (non-LEAs only). Additionally, NCDPI staff provided technical assistance and informal feedback during this site visit. Therefore, you may have already implemented corrective actions based on the feedback provided. However, evidence of compliance must be submitted to NCDPI in order to finalize the 2019-20 monitoring process.

Your organization's response on (DATE) *sufficiently addressed some/did not sufficiently address* areas of non-compliance as indicated in the original fiscal monitoring report. As a result, the questioned costs in the amount of \$\_\_\_\_\_ identified in the original report *remain / have been reduced to* \$\_\_\_\_\_. Your account in ERaCA remains suspended and payment is requested.

Please review the attached compliance monitoring report used during the on-site visit, with an emphasis on "**Indicators \_\_\_\_\_**" of the report. The 21<sup>st</sup> CCLC Fiscal Agent, Program Director or designee must respond within ten (10) business days of receipt of this report regarding each item identified for "Required Action(s)." For each "Required Action," the program must provide documentation/evidence proving the status of the identified compliance concern has been corrected.

Send the completed responses to NCDPI via email attachment to 21<sup>st</sup> CCLC Fiscal Monitor, [NAME] at [\[EMAIL\]](#) and also forward a copy to Administrative Assistant Melba Strickland at [Melba.Strickland@dpi.nc.gov](mailto:Melba.Strickland@dpi.nc.gov).

Please forward all required repayments to the address below:

**NCDPI**

Attn: Melba Strickland  
6307 Mail Service Center  
Raleigh, NC 27699-6307

or via overnight to:

**NCDPI**

Attn: Melba Strickland  
301 N Wilmington Street,  
Raleigh, NC 27601

Thank you for your continued interest in serving North Carolina students in afterschool programs.

Sincerely,

Dr. LaTricia Townsend, Director  
Office of Federal Programs

c: [NAME], Lead Fiscal Monitor

## **Appendix S: Acknowledgement Letter – Repayment of Funds**

[MONTH DATE, YEAR]

[PRIMARY CONTACT]

[PROGRAM NAME, UNIT, COHORT]

[STREET ADDRESS]

[CITY, STATE ZIP]

Dear [PRIMARY CONTACT]:

This correspondence acknowledges the receipt of your responses to the corrective action(s) outlined in the monitoring report for the 2022-2023 Fiscal Monitoring Review of your 21<sup>st</sup> Century Community Learning Center (21<sup>st</sup> CCLC) program. The documentation submitted sufficiently addresses the findings and any outstanding questioned costs, no further action is required at this time. Effective immediately, access to the ERaCA system has been re-enabled for your entity.

Thank you for your continued efforts in supporting North Carolina's school-aged children and their families. Please continue to work with your 21<sup>st</sup> CCLC Program Administrator for continued support in program quality and compliance.

Sincerely,

[NAME], Director

c: [NAME], Lead Fiscal Monitor

## Appendix T: Acknowledgement of Receipt Email

Dear 21<sup>st</sup> CCLC Subgrantee,

This correspondence acknowledges the receipt of your program's response to the Finding(s) as documented in the [CPMR/FMR] Report from the onsite review of your 21st Century Community Learning Centers (21st CCLC) program on [DATE].

The information provided in your program response resulted in the following action:

- ☐ The data submitted sufficiently addresses the compliance concerns communicated in the report, and a closing letter will be issued indicating that your program is currently in good standing.
- ☐ Additional documentation is required (see comments below). Provide the requested documentation within ten (10) business days of receipt of this email to demonstrate compliance and to avoid any possible punitive action against your program including the disablement of funds. Send the information to me via email and copy to Program Assistant Melba Strickland at melba.strickland@dpi.nc.gov.

Thank you for your efforts to adhere to all Federal and State regulations related to the implementation of your 21st CCLC Program. NCDPI will continue to work with you to support your program's ongoing compliance and overall quality of services to the students and parents in your community.

- Documentation is due on \_\_\_\_\_ (10 business days):

Sincerely,

[NAME], Director

c: [NAME], Lead Fiscal Monitor

## **Appendix U: Allowable Costs Checklist for Federal Programs**

### ***Is the cost:***

#### **Necessary (2 C.F.R. § 200.403(a))**

- Is the cost necessary to carry out the plan of the federal program?

#### **Reasonable (2C.F.R. § 200.404)**

- Did the LEA follow its purchasing or procurement procedures?
- Is the cost in line with fair market prices for comparable goods or services?
- Would a “prudent person” agree that the item is reasonable?

#### **Conforming to Limitations or Exclusions (2 C.F.R. § 200.403(b))**

- Is the cost permissible and not explicitly disallowed under the specific items of cost found in the Uniform Grant Guidance 2 C.F.R. § 200.420-475?
- Is the cost permissible under the program statute and regulations?
- Is the cost permissible under the terms and conditions of the sub award?
- Is the cost permissible under state statute?
- Is the cost permissible under the LEA’s policies?

#### **Consistent with Policies and Procedures (2 C.F.R. § 200.403(c))**

- Are the LEA’s policies and procedures consistent among funding sources?
- Do the LEA’s policies and procedures apply the same rules for federal programs as they do for state and local programs?
- Would the cost be the same amount if it was funded by a state or local program?

#### **Accorded Consistent Treatment (2C.F.R. § 200.403(d))**

- Is the cost excluded from the LEA’s indirect cost rate?
- Is the cost treating the same for the federal program as it is for state and local programs?

#### **Allocable (2 C.F.R. § 200.405(a))**

- Is the cost incurred specifically for the federal program?
- If the cost benefits the federal program and other work of the agency, was the cost distributed in proportions that may be approximated using reasonable methods?
- Determined in Accordance with Generally Accepted Accounting Principles (GAAP) (2C.F.R. § 200.403(e)) Is the cost determined in accordance with Generally Accepted Accounting Principles (GAAP) or as otherwise provided for in the Uniform Grant Guidance?
- Not used for cost sharing or matching requirements (2 C.F.R. § 200.403(f))
- Is the cost not being used to meet cost sharing or matching requirements of any other federally-financed program?

#### **Adequately Documented (2 C.F.R. § 200.403(g) and 2 C.F.R. § 200.302(b)(3))**

- Is there documentation demonstrating the need, the purchase, and use of the item?
- Are there records that identify the source and application of funds and contain information regarding authorizations, obligations, unobligated balances, assets, expenditures, income and interest that are supported by source documentation?

#### **Supplemental**

- Does the cost meet the supplemental requirements of the federal grant program?

***Except where otherwise authorized by statute, costs must meet the general criteria in order to be allowable under federal awards. A “Yes” response to all the preceding questions implies that a cost may be allowable***

## Appendix V: Standard CCIP Comments

### FY23 21<sup>st</sup> CCLC Standard History Log Comments for CCIP

#### Extension Request Approvals

The request for a 2-week extension to submit the application and budget for *Program Name* has been reviewed and approved. Your new submission deadline is **Friday, DATE**. Please be reminded that late submission of an application will be used to inform the subgrantee's risk level during NCDPI's 21<sup>st</sup> CCLC annual risk assessment for future monitoring events.

#### **NEW! Program Comment for Feedback Prior to Approval by Fiscal**

Currently, your budget and required fiscal related documents are under review by the NCDPI fiscal team. As you await the approval for these items, please note the following programmatic issues that you may begin correcting prior to changing the status back to Chief Administrator Approved if your budget and/or related documents are returned for edits.

- **Bullet issues**

The final review of your application and required programmatic related documents will be conducted once the budget and required fiscal related documents are approved. If you have any questions, please feel free to contact me at [xxxx.xxxx@dpi.nc.gov](mailto:xxxx.xxxx@dpi.nc.gov).

**\*\*Please do not return/change status of the application when entering this type of comment.**

#### Initial Approvals & Denials

For initial approvals for PRC 110 for Cohorts 14,15 and 16:

*The Application, Budget, and Related Documents for PRC 110 have been reviewed and approved. Program Name is now eligible for the first installment of funds for FY23. LEA Organizations should now input the correlating budget for 34% of the grant award into BAAS.*

For initial denials for PRC 110 for Cohorts 14,15 and 16:

*The Application, Budget, and Related Documents for PRC 110 have been reviewed and denied for the following reasons:*

- **Bullet reasons**

*Once corrections have been made, please resubmit by moving the application to Chief Administrator Approved. If you have any questions, please feel free to contact Your Name at email address.*

For initial approvals with contingencies for PRC 110 for Cohorts 14, 15, and 16:

- *The application, including all related documents, and budget for PRC 110 for Program Name have been reviewed and approved with the following conditions:*
  - **Bullet Conditions**

*The above edits must be completed, and the documents uploaded to CCIP by DATE. Once corrections have been made, please resubmit by moving the application to Chief Administrator Approved. If you have any questions, please feel free to contact PA*

#### FISCAL Denial Comment

**The FY23 Budget and following Fiscal Required Documents for PRC 110 (Boys & Girls Clubs of the Coastal Plain - E02) have been reviewed and denied for the following reasons:**

- **Budget 208**
  - Inconsistent codes on positions tab. Please change 5350-131 to \$15,000 to match with the FY 23 Tab
- **Contracts**
  - The terms of the Red Coats Contract agreement ends June 20, 2022. Please upload renewal contract for fiscal approval.

Once corrections have been made to the budget, missing contracts are uploaded, and all revisions are made please resubmit by moving the application to Chief Administrator Approved. If you have any questions, please feel free to contact \_\_\_\_\_ at \_\_\_\_\_@dpi.nc.gov.

#### FISCAL Approval Comment

**The FY23 Budget and following fiscal Required Documents for PRC 110 (Boys & Girls Clubs of the Coastal Plain - E02) have been reviewed and approved by the East Fiscal Team:**

- **Budget 208**
- **Written Policies and Procedures (Received - Will be reviewed for approval during Fiscal Monitoring.)**
- **Organizational Chart**
- **Pay Rate Schedule**
- **Fiscal Questionnaire Self-Assessment**
- **Contracts**
  - Sylvan Tutors
  - Red Coats Cleaning
  - Audit (Blackman & Sloop)
- **Financial Status Statement (990)**

***The Program Administrator can move forward with the final review of the application.***

#### Amendment Approvals & Denials

**For budget amendment approvals:**

***The budget amendment Form 209 for PRC 110 for Program Name has been reviewed and approved.***

**For budget amendment denials:**

***The budget amendment Form 209 for PRC 110 for Program Name has been reviewed and denied for the following reasons:***

- ***Bullet each reason for the denial***

***Once corrections have been made, please resubmit by moving the application to Chief Administrator Approved. If you have any questions, please feel free to contact Your Name at email address.***

**For programmatic amendment approvals:**

***The programmatic amendment for PRC 110 for Program Name has been reviewed and approved.***

**For programmatic amendment denials:**

***The programmatic amendment for PRC 110 for Program Name has been reviewed and denied for the following reasons:***

- ***Bullet each reason for the denial***

***Once corrections have been made, please resubmit by moving the application to Chief Administrator Approved. If you have any questions, please feel free to contact Your Name at email address.***

#### Budget-Related Approvals & Denials

##### **Second/Third installment approvals:**

*Based on document and data review, Program Name has met their attendance goals for this point in the program year and is eligible for the second installment of PRC 110 funds.*

*Based on document and data review, Program Name has met their attendance goals for this point in the program year and is eligible for the third installment of PRC 110 funds.*

##### **Second/Third installment denials:**

*Based on document and data review, Program Name has not met their attendance goals for this point in the program year and is not eligible for the second installment of PRC 110 funds. Once the attendance goal is met, please resubmit by moving the application to Chief Administrator Approved. If you have any questions, please feel free to contact Your Name at email address.*

*Based on document and data review, Program Name has not met their attendance goals for this point in the program year and is not eligible for the third installment of PRC 110 funds. Once the attendance goal is met, please resubmit by moving the application to Chief Administrator Approved. If you have any questions, please feel free to contact Your Name at email address.*

##### **Summer Carryover Budget Approvals**

*The Summer Carryover Budget for PRC 110 for Program Name has been reviewed and approved. LEA Organizations should now input the correlating carryover budget into BAAS.*

##### **Summer Carryover Budget Denials**

*The Summer Carryover Budget for PRC 110 for Program Name has been reviewed and denied for the following reasons:*

- *Bullet each reason for the denial*

*Once corrections have been made, please resubmit by moving the application to Chief Administrator Approved. If you have any questions, please feel free to contact Your Name at email address.*

#### Summer Basic Info Approvals & Denials

##### **Summer Program Document Approvals**

*The Summer Program documents for PRC 110 for Program Name has been reviewed and approved.*

##### **Summer Program Document Denials**

*The Summer Program documents for PRC 110 for Program Name has been reviewed and denied for the following reasons:*

- *Bullet each reason for the denial*

*Once corrections have been made, please resubmit by moving the application to Chief Administrator Approved. If you have any questions, please feel free to contact Your Name at email address.*

#### Close-out Comments

##### **For Program Evaluations:**

*The 21<sup>st</sup> CCLC Annual Program Evaluation for Program Name has been received.*

##### **Asset Inventory Approvals**

*The Asset Inventory for PRC 110 for Program Name has been reviewed and approved.*

##### **Asset Inventory Denials**



***The Asset Inventory for PRC 110 for Program Name has been reviewed and denied for the following reasons:***

- ***Bullet each reason for the denial***

***Once corrections have been made, please resubmit by moving the application to Chief Administrator Approved. If you have any questions, please feel free to contact Your Name at email address.***

#### Contract-Related Comments

##### **Contract Approvals After Initial Application Submitted**

***The Type of Contract(s) and budget for PRC 110 for Program Name has been reviewed and approved by the fiscal team. The Program Administrator can move forward with the final review of the application.***

##### **Contract Denials After Initial Application Submitted**

***The Type of Contract(s) and budget for PRC 110 for Program Name has been reviewed by the fiscal team and is denied for the following reasons:***

- ***Bullet each reason for the denial***

***Once corrections have been made, please resubmit by moving the application to Chief Administrator Approved. If you have any questions, please feel free to contact Your Name at email address.***

#### Summer Mini-Grant Initial Approvals & Denials

**For initial approvals for PRC 110 for FY23 SMG:**

***The Application, Budget, and Related Documents for PRC 110 – FY23 Competitive Summer Mini-Grant have been reviewed and approved. Program Name is now eligible for the SBE-approved grant award. LEA Organizations should now input the correlating budget for the grant award into BAAS.***

**For initial denials for PRC 110 for FY23 SMG:**

***The Application, Budget, and Related Documents for PRC 110 – FY23 Competitive Summer Mini-Grant have been reviewed and denied for the following reasons:***

- ***Bullet reasons***

***Once corrections have been made, please resubmit by moving the application to Chief Administrator Approved. If you have any questions, please feel free to contact Your Name at email address.***

**Financial Status Statement:** If the organization has been awarded over \$500,000 in state and/or federal grant funds, the organization would upload a copy of your latest Yellow Book Audit. If you have not received over \$500,000 (and are therefore not subject to Yellow Book audit requirements), the organization would upload the most recent 990 or 1120 tax filing or an internal (unaudited) income statement from the most recent fiscal year end.

#### REDUCTION IN FUNDS Comments

##### **Current Grant Year**

The Reduction in Funds forms for **Program Name** have been reviewed and approved. The Program's grant award will be reduced by **\$XX**, resulting in a new FY23 grant award total of **\$XX**. Please note, the reduction in funds approval only applies to the 2022-2023 fiscal year. The Program must upload a Budget Amendment 209 into CCIP for the revised grant award for review and approval by the NCDPI 21<sup>st</sup> CCLC Fiscal Team.

##### **Remainder of Grant Cycle**

The Reduction in Funds form for **Unit # Program Name – Cohort xx** has been reviewed and approved. The program's grant award will be reduced by **\$xx**, resulting in a new FY23 grant award total of **\$xx**. Please note, the reduction in funds approval applies for the remainder of the grant cycle. The Program must upload a Budget 208 or Budget 209 Amendment into CCIP for the revised grant award for review and approval by the NCDPI 21<sup>st</sup> CCLC Fiscal Team.

