Grant Guidance 2021-2022

NC Department of Public Instruction

21st Century Community Learning Centers

PUBLIC SCHOOLS OF NORTH CAROLINA
State Board of Education | Department of Public Instruction

[1] *See In re Appeal of Clovis Unified School District*, U.S. Dept. of Ed. Remand Order (July 10, 1995).

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SECTION 1: GENERAL INFORMATION

1.A: Purpose of Guidance Document

This document is provided by the North Carolina Department of Public Instruction (DPI) as a resource for North Carolina's 21st Century Community Learning Centers (21st CCLC) program subgrantees. It is intended to provide uniform practices to ensure fidelity in the implementation of the 21st CCLC program. 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 DPI; 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.

The manual is reviewed annually and changes to procedures and policies are shared with subgrantees during their annual training and are available on the 21st CCLC website. DPI 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.

This guidance is not intended to replace the legislation, regulations, and Non-Regulatory Guidance published by the U.S. Department of Education (USED). Therefore, it is highly recommended 21st CCLC grantees consult the appropriate resources online for complete guidance and regulations. The sources listed below are the primary sources for regulations and guidance from the USED to state grantees and from state grantees to local subgrantees.

- North Carolina Department of Public Instruction 21st CCLC
- The Elementary and Secondary Education Act (ESEA) as amended by the Every Student Succeeds Act (ESSA)
- 21st Century Community Learning Centers - Legislation
- 21st Century Community Learning Centers – Guidance
- Elementary and Secondary Education Non-Regulatory Policy Guidance
- Education Department General Administrative Regulations (EDGAR)
- 2 CFR PART 200 – Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance)
- General Education Provisions Act (GEPA)

[1] *See In re Appeal of Clovis Unified School District*, U.S. Dept. of Ed. Remand Order (July 10, 1995).

1.B: Updates to the Guidance

Much of the information provided in this document was available in previous versions. However, many sections have been updated to provide more specific supports to better assist subgrantees to successfully remain in compliance with State and Federal 21st CCLC guidelines.

It is the responsibility of each subgrantee to ensure that all provisions of the guidance document are read and understood.

1.C: Background of the Program

The 21st 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, 21st 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 (DPI) which in turn makes competitive grants available to eligible entities. Generally, a new competition is offered once every three 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. Please visit the 21st CCLC Request for Proposals website for additional information as it becomes available.

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 21st CCLC funds may, but are not required, to support ELP activities. At this time, the North Carolina 21st CCLC program does not include ELPs as defined under the ESSA in the competitive grant program.

1.C.1: Renewability

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 subgrant 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.

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1.D: Purpose of the Grant

The purpose of the 21st 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 21st CCLCs opportunities for active and meaningful engagement in their children's education, including opportunities for literacy and related educational development.

1.E: Eligibility and Absolute Priority

Any public or private organization wanting to provide out-of-school programs for K-12 students in North Carolina is eligible to apply for a 21st CCLC grant. Agencies and organizations eligible under the 21st CCLC program 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.

Under Section 4203 of the ESEA, the State must give priority to applications proposing to primarily serve students who attend schools eligible for Title I, Part A schoolwide programs. Title I, Part A (Title I) of the Elementary and Secondary Education Act, as amended by the Every Student Succeeds Act (ESEA) provides financial assistance to LEAs and schools with high numbers or high percentages of children from low-income families to help ensure that all children meet challenging state academic standards. Based on this requirement, DPI only awards 21st CCLC competitive grants to applicants that will target students who primarily attend schools eligible for schoolwide programs under section 1114 and the families of such students. Applicants must identify all feeder

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schools for the program. The average poverty percentage across all schools must be at least forty (40) percent

NOTE

In NC, local boards of education must offer kindergartens as a part of the public-school system for all children living in the local school administrative unit who are eligible for admission (§ 115C-47). While the ESSA does not expressly prohibit serving preschool children in the 21st CCLC program, North Carolina offers awards to subgrantees that provide services to school-age children enrolled in kindergarten through high school grades.

1.F: Competitive Priorities

Section 4204(b)(2)(H) of the ESEA requires applicants to provide a description of the partnership between an LEA, a CBO, and other public or private organizations, if appropriate. If the local applicant is another public or private organization (e.g., an organization other than a school district), it must provide an assurance that its program was developed and will be carried out in active collaboration with the schools the students attend.

Section 4204(i)(1)(B) of ESEA requires that States must give competitive priority to applications that are submitted jointly between at least one LEA receiving funds under Title I, Part A and at least one public or private community organization. The statute provides an exception to this requirement for an LEA that can demonstrate that it is unable to partner with a public or private community organization in reasonable geographic proximity and of sufficient quality to meet the requirements of the 21st CCLC program.

In addition to joint submissions (as defined above), the State will also give competitive priority to applications which:

1. Propose that all (100%) schools to be served are identified as Comprehensive Support and Improvement (CSI) Schools or a combination of Comprehensive Support and Improvement (CSI) and Targeted Support and Improvement (TSI) schools.Refer to the State CSI/TSI 2018-2019 list.
2. Propose to provide a summer program component.

1.G: Grant Awards and Duration

Organizations are eligible to receive grants of not less than fifty thousand dollars ($50,000) and up to four hundred thousand dollars ($400,000) a year, based on the proposed number of students served, with an opportunity for a second and third year of funding. To determine the level of funding eligibility, organizations will utilize the Wallace Foundation Out-of-School Time Cost

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Calculator and the North Carolina Department of Commerce County Tier Designations. Each organization will complete the Cost Calculator with information tailored to that organization's proposed program and will attach a printout of the results to the application. Among its output, the Cost Calculator will provide an annual total program cost with low, median, and high estimates. Organizations serving schools in counties designated as Tier 1 counties are eligible for 90% of the high annual total program cost; Tier 2 county organizations are eligible to receive 85% of the median annual total program cost; Tier 3 county organizations are eligible to receive 80% of the low annual total program cost. (City organizations will use the Tier designation for the county in which they are located.) No organization is eligible to receive a grant award totaling less than $50,000 or more than $400,000 after Cost Calculator and Tier Designations are applied.

Applicants must implement program plans and structures as approved during the award period. Significant changes to the program design without prior approval from the DPI Federal Program Monitoring and Support Division staff for programmatic amendments may result in delays or loss of funding during subsequent years of the continuation period.

North Carolina 21st CCLC grants may be continued for up to two (2) additional years. Continuation awards are contingent upon availability of federal funds and are based on the program's ability to demonstrate compliance with state and federal laws, progress towards fully implementing the approved program, and progress towards local program goals including enrollment and attendance goals. A subgrantee's continuation of funding may be terminated due to: failure to meet program goals, low ADA, noncompliance with reporting requirements, insufficient fiscal documentation, or misuse of funds.

Each subgrantee can be awarded funds for the academic year starting on July 1st of the initial year and ending on September 30th of the following year (e.g., July 1, 2020 through September 30, 2021). This is a reimbursement grant; funds must be incurred before requests for reimbursement can be made. Reimbursement requests must be based on actual expenditures versus encumbrances made prior to the September 30th deadline. There is no liquidation period. All unspent funds remaining at the end of the grant period of availability will revert to the state.

NOTE

Grant awards will be paid to the subgrantee listed on the application. All bank accounts, correspondence and documentation must use the subgrantee name for the duration of the program.

SECTION 2: Fiscal Management

2.A: Budgets

[1] *See In re Appeal of Clovis Unified School District*, U.S. Dept. of Ed. Remand Order (July 10, 1995).

As stated in the Application Guidance, the proposed budget submitted with the 21st CCLC application is **NOT** the approved budget for release of funds. If the application is approved, subgrantees must submit a final budget for the full amount of the award by line item detail for review and approval by DPI prior to the release of funds. **Please note, if an entity accesses funds prior to the approval of a budget or an amendment for the fiscal year in question, this can result in repayment of funds to DPI.** Subgrantees must complete the budget on Budget Form 208 (FPD 208) and upload the document in the Related Documents section of the Comprehensive Continuous Improvement Plan (CCIP) system for DPI approval. Since 21st CCLC funds are made available on a reimbursement basis, it is strongly encouraged that applicants have secured funding or a line of credit to operate the 21st CCLC program for approximately a three-month period. For additional information on completing the FPD 208 and amendments, see Appendix C. The template for the FPD 208 may be found in Related Documents section of CCIP.

As a rule, program funds may be used only to cover costs that (1) comply with the approved grant application and budget and (2) are reasonable and necessary for the proper and efficient performance and administration of the grant. "A cost is reasonable if, in its nature and amount, it does not exceed that which would be incurred by a prudent person under the circumstances prevailing at the time the decision was made to incur the cost." (2 CFR 200.404)

Subgrantees must be able to demonstrate the extent to which the costs are reasonable in relation to the number of students and adults to be served and the correlation to the anticipated results and benefits. All items included in the budget must clearly relate to activities described in the program design section of the application. Please refer to Section 2.D. of this document for additional information about budgeted salaries.

NOTE

No item should be identified in Budget Form 208 that does not reflect the approved grant and fiscal year plan of implementation. If amendments to the original budget are required throughout the grant cycle, Subgrantees must complete a Budget Amendment Form 209 and submit it through CCIP for DPI approval.

2.B: Chart of Accounts

The Financial and Business Services Division at DPI assigns all funding streams (whether federal, state, or local) to a unique Program Report Code (PRC). The 21st CCLC Grant is identified as PRC 110. Each PRC has a unique Chart of Accounts (COA) to document which purpose or object codes in

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the budget system represent allowable expenditures according to the requirements of that particular funding source.

The account code structure consists of four dimensions. The dimensions are: 1) fund, 2) purpose, 3) program report code, and 4) object:

1. Fund Code - consists of one numeric digit. The fund is an independent fiscal accounting entity with a self-balancing set of accounts. (e.g., federal fund code is 3).
2. Purpose Code - consists of four numeric digits and describes the purpose for which the activity exists or the type of balance sheet account. (e.g., Instructional Services code is 5000).
3. Program Report Code (PRC) - consists of three numeric digits. The program report code describes the funding for each activity, classifying expenditures by program to determine cost. (e.g., PRC 110 for 21st CCLC awards; PRC 050 for Title I, Part A awards).
4. Object Code - consists of three numeric digits. The object is the service or commodity obtained as the result of a specific expenditure. (e.g., Teacher's Salary (Certified/Licensed) is code 121; Supplies and Materials is code 411).

The Federal Program Monitoring and Support Division is responsible for approving the COA for PRC 110 on an annual basis. Subgrantees may request additional object and/or purpose codes for division management to consider by completing the COA Revision Request Form.

NOTE
All budgets must be submitted under approved account codes in the Chart Of Accounts (COA).

2.C: Use of Funds

Grant funds must be used in a manner consistent with all statutory requirements and must be used only to supplement, not supplant, any federal, state or local dollars available to support activities allowable under the 21st CCLC program. Funds may be used to expand or enhance, but not replace, current activities. Proposed budgets must be developed in consideration of costs that are reasonable and necessary to fulfill the goals of the 21st CCLC grant. Subgrantees are strongly encouraged to attend all training provided to assist non-LEAs and LEAs on budget and operational requirements, as related to the 2 CFR PART 200 – Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance). Subgrantees should work with their DPI 21st CCLC Program Administrator (PA) to determine allowable use of funds for a program activity.

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2.C.1 Allowable Purchases

Funds **MAY** be used (i.e., reimbursed) for program implementation as well as for operational expenses, including, but not limited to the following:

- Personnel and personnel benefits (see Section 2.D.)
- Staff development and training
- Consultants, subcontracts and evaluators
- Transportation costs for students (see Section 2.F.)
- Educationally related field trips (see Section 4.I.)
- Approved food purchases (see Section 4.I.4 and Section 4.J.)
- Renting space to the extent that the rates are reasonable and in alignment with 200.465, if necessary
- Teacher substitutes
- Travel reimbursements (see Section 2.G.)
- 21st CCLC program equipment and supplies, including computers and software (see Section 2.C.4)
- Memberships in warehouse clubs or business, technical and/or professional organizations if the membership is in the name of the 21st CCLC Program
- Memberships in any civic or community organization

2.C.2 Clothing Purchase Allowability

- 21st CCLC Programs may use grant funds to purchase program-specific t-shirts as uniforms for staff employed by the 21st CCLC grant.
- Clothing items may be purchased for students if it is needed for safety purposes (e.g., branded t- shirts that students wear on field trips so that they are easily identifiable).
- All clothing items purchased with 21st CCLC funds for both staff and students must have the name of the 21st CCLC grant or the 21st CCLC logo printed on them.
- All clothing costs paid for with 21st CCLC grant funds must have proof of being reasonable and necessary.

2.C.3 Non-Allowable Purchases

Funds may **NOT** be used (i.e., reimbursed) for the following (this is NOT an all-inclusive list):

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- Purchase of vehicles
- Costs for developing the proposal
- Food purchases for staff (see Section 2.G.)
- Fundraising costs
- Land acquisition
- Building or renovation costs
- Leases or contract service agreements
- Cost of conducting an audit if total of all federal grants received is less than $750,000**
- Direct cash or gift cards in any amount for students or their parents
- Field trip tickets purchased in advance for those who do not attend
- Entertainment or any costs associated with entertainment including diversions and social activities
- Charitable contributions
- Bonuses of any kind

Additional fund-use considerations include, but are not limited to, the following for the state of North Carolina:

- All field trips require pre-approval from DPI.
- All technology expenses require pre-approval from DPI if the equipment per unit exceeds $5K.
- Subgrantees must conduct an inventory of equipment purchased with grant funds once every two years and reconcile that information with the property records (§ 200.313d2)
- If a cost benefits two or more projects or activities in proportions that can be determined without undue effort or cost, the cost must be allocated to the projects based on the proportional benefit.
- Equipment purchased for the 21st CCLC Program must be made available for use on other projects or programs. However, care should be taken during the purchasing phase to consider the reason for the purchase. For example, cost allocation should be considered when planning to purchase equipment that is intended primarily for the regular school day hours, or other programming, but also is used by the CCLC program.
- Student incentives are limited to school supply type items with no intrinsic value greater than $25.
- Subgrantees may not pay students or their parents to participate in afterschool programs.
- Subgrantees must contact the DPI 21st CCLC PA prior to disposing of any equipment (see Section 2.O.)

[1] *See In re Appeal of Clovis Unified School District*, U.S. Dept. of Ed. Remand Order (July 10, 1995).

NOTES

- Federal funds generally may not be used for non-educational/entertainment activities; this includes spending program funds on items such as amusement parks fees, ball games, purchasing gift cards, giving monetary incentive awards, etc. Specific costs that might otherwise be considered entertainment that have a programmatic purpose and are authorized in the approved budget for the Federal award or with prior written approval of the Federal agency are allowable (2 CFR § 200.438 & Slide #12 in https://www2.ed.gov/programs/21stcclc/21stcclc-program-income-parent-fee-presentation.pdf).
- If DPI determines any costs to be unallowable, subgrantees are subject to repayment, including interest, of such costs (2 CFR § 200.410).

2.C.4: Equipment & Supply Purchases

The DPI 21st CCLC Program adheres to the following Federal definitions for computing devices, equipment and supplies (2 CFR §200.1):

- Computing Device
    - machines used to acquire, store, analyze, process, and publish data and other information electronically, including accessories (or "peripherals") for printing, transmitting and receiving, or storing electronic information.

- Equipment
    - tangible personal property (including information technology systems) having a useful life of more than one year and a per-unit acquisition cost which equals or exceeds the lesser of the capitalization level established by the non-Federal entity for financial statement purposes, or $5,000.

- Information technology systems
    - computing devices, ancillary equipment, software, firmware, and similar procedures, services (including support services), and related resources.

- Supplies
    - all tangible personal property other than those described in the definition of *equipment*. A computing device is a supply if the acquisition cost is less than the lesser of the capitalization level established by the non-Federal entity for financial statement purposes or $5,000, regardless of the length of its useful life.

When purchasing computing devices, equipment or supplies with 21st CCLC funds, subgrantees should uphold the following policies and procedures:

- Procurement Guidelines (see Section 2.J)

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- Asset Inventory *(2 CFR §200.313).*
    - All equipment, furniture and computing devices purchased with 21st CCLC grant funds must be recorded in an asset inventory.
    - DPI does not provide a template for the asset inventory. All Subgrantee asset inventories must include the following elements:
        - a description of the property, a serial number or other identification number, the source of funding for the property (including the FAIN), who holds title, the acquisition date, and cost of the property, percentage of Federal participation in the project costs for the Federal award under which the property was acquired, the location, use and condition of the property, and any ultimate disposition data including the date of disposal and sale price of the property (2 CFR §200.313).
    - At the end of the grant cycle, a Subgrantee's asset inventory should be reviewed to determine if the assets are no longer needed for the original program or project so that they may be used in other activities
    - Inventory must be physically counted and reconciled every two years.
    - A control system must be developed to ensure adequate safeguards to prevent loss, damage, or theft of the property. Any loss, damage, or theft must be investigated.

2.C.4.1 Guidelines for prorating costs for equipment or supply use outside of the 21st CCLC Program (2 CFR §200.313 and 200.314)

- **Equipment (includes computing devices with a per-unit acquisition cost equal to or exceeding $5,000)**
    - It is allowable for a Subgrantee to use equipment purchased outright with 21st CCLC grant funds to support other programs without a cost-sharing requirement (i.e., prorating acquisition costs of the equipment between multiple funding sources based on percent used). During the grant period the equipment is used in the 21st CCLC Program for which it was acquired, the Subgrantee must also make the equipment available for use on other projects or programs currently or previously supported by the Federal Government, provided that such use will not interfere with the work on the projects or program for which it was originally acquired. First preference for other use must be given to other programs or projects supported by Federal awarding agency that financed the equipment and second preference must be given to programs or projects under Federal awards from other Federal awarding agencies. Use for non-federally-funded programs or projects is also permissible.

- **Supplies (includes computing devices with acquisition costs less than $5,000):**
    - Materials and supplies used for the performance of a Federal award may be charged as direct costs. In the specific case of computing devices, charging as direct costs is

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allowable for devices that are essential and allocable, but not solely dedicated, to the performance of a Federal award (§200.453 (c))

2.D: Salaries

<u>All personnel should receive a W-2 or a 1099</u> for working for the 21st CCLC program. Each program must submit a pay rate schedule to DPI 21st CCLC program staff during the annual budget review and approval process.

As with all expenditures paid from 21st CCLC grant funds, it is the responsibility of each organization to work with the regionally assigned PA to ensure that all costs, including salaries, are reasonable and necessary to implement the afterschool program. The qualifications of the duties to be performed in the 21st CCLC program should match the employee's education level. (§ 200.403-405)

NOTE

If any staff are paid with 21st CCLC funds and are employed in work outside of the 21st CCLC program, documentation must be maintained and may be requested by DPI to justify time and effort for the 21st CCLC program.

2.D.1 Excessive Salaries

§ 200.430 Compensation - personal services.

Reasonableness. Compensation for employees engaged in work on Federal awards will be considered reasonable to the extent that it is consistent with that paid for similar work in other activities of the non-Federal entity. In cases where the kinds of employees required for Federal awards are not found in the other activities of the non-Federal entity, compensation will be considered reasonable to the extent that it is comparable to that paid for similar work in the labor market in which the non-Federal entity competes for the kind of employees involved.

Nonprofit organizations. For compensation to members of nonprofit organizations, trustees, directors, associates, officers, or the immediate families thereof, determination must be made that such compensation is reasonable for the actual personal services rendered rather than a distribution of earnings in excess of costs. This may include directors and executive committee member's fees, incentive awards, allowances for off-site pay, incentive pay, location allowances, hardship pay, and cost-of-living differentials.

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NOTE

DPI reserves the right to ensure that all costs are reasonable, necessary and allocable to ensure the cost meets the needs of the grant.

2.E: Subcontractors

Applicants should exercise caution in selecting subcontractors to implement program components. Subgrantees may not contract with any party which is debarred, suspended, excluded from or ineligible for participation in federal programs under 2 CFR §200.213, "Debarment and Suspension."

- For NC Debarred Vendors, go to https://ncadmin.nc.gov/documents/nc-debarred-vendors.
- To search for federal exclusion records, go to: https://www.sam.gov/SAM/
- To search for eligible contractors, go to: https://www.sosnc.gov/online_services/Search/Business_Registration_profile?Id=15319864

All vendors must have professional qualifications and a taxpayer ID for the business providing the professional service. All payments made for vendor-provided services must have supporting documentation which includes a detailed description of services to be provided and dates services will be delivered. Although it is a best practice and DPI recommends federal exclusion records are reviewed for all vendors, the Uniform Guidance requires this step for vendors with contracts over $25,000.

Contracts must contain clear and specific language regarding the nature of the purchase or service, the time period of the contract, the total contract amount as well as sufficient cost details to facilitate invoice review, and lastly, the specific services/deliverables that must be rendered and accepted prior to payments being received. Deliverables must be specifically related to the contract's scope of work and must be both quantifiable and measurable. The document must also contain sanctions for non-performance. If necessary, it is also advisable to consider including an exit clause. (See **APPENDIX II TO PART 200—CONTRACT PROVISIONS FOR NON-FEDERAL ENTITY CONTRACTS UNDER FEDERAL AWARDS** for required contract terms and conditions).

Contracts that are paid on a reimbursement basis or a fixed rate for a specific time period should require written progress reports to be submitted detailing the activities accomplished for the period of the invoice (see Section 2.F. for transportation of students). Subgrantees are required to administer contracts in a manner that ensures the contractor performs in accordance with the terms, conditions, and specifications of the contract or purchase order.

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Contracts may be more than 12 months in length per grant year. 21st CCLC programs cannot obligate grant funds beyond the applicable budget year.

Commitments or agreements that are written into the grant application that do not follow proper procurement and contract rules and procedures are **NOT** exempt from procurement and contracts rules and regulations. For more information on required procurement practices, please refer to Section 2.J. of this document.

NOTES

- All contracts must be uploaded into CCIP as part of the budget/amendment approval process for review and approval by the PA prior to any contracts going into effect.
- Vendors cannot be 21st CCLC program employees.
- Charter school contracts must contain the following State language required per General Statue 115C-218.105 State and local funds for a charter school: (No indebtedness of any kind incurred or created by the charter school shall constitute an indebtedness of the State or its political subdivisions, and no indebtedness of the charter school shall involve or be secured by the faith, credit, or taxing power of the State or its political subdivisions)
- As it relates to the 21st CCLC Program, construction contracts are not an allowbale cost to be expensed to the grant.
- Family members of program employees cannot be used as contract labor for enrichment services.
- Supplies and other goods cannot be purchased from a company in which a program employee has a financial interest.
- Contracted services to be provided to the 21st CCLC program must be on the letterhead of the entity providing the services.
- Contracts must be signed and dated with printed name(s) of both parties.
- Some LEAs may have certain processes they follow according to the school district's policies. Approval of that process will be evaluated on a case-by-case basis.

2.F: Transportation Costs for Students

Reimbursement of transportation costs (LEAs/Non-LEAs) must be based on total miles driven daily and must be multiplied by the current transportation mileage rate (or lower rate) noted for the

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school district in which the after- school program site resides. Detailed mileage logs must be maintained and provided as requested. Grantees cannot request reimbursement of vehicle maintenance and fuel, as the school transportation rate includes these costs.

When using contractors for student transportation, the same guidance applies as referenced above and must identify the following:

- Dates of transportation
- From/to destination for each day
- Rate per mile as reflected in the contract
- Number of students transported
- Vehicle license plate number
- Total number of miles for the billing period
- Contractor invoice for payment

NOTES

- 21st CCLC funds cannot be used to purchase vehicles.
- Separate costs for vehicle maintenance cannot be charged to the 21st CCLC grant.
- Payment to contractors for transportation cannot be paid until the contract is approved by DPI (see Section 2.E.).
- Personal Vehicles should not be used to transport students.

2.G: Travel Expenses

Program funds may be used to pay for pre-approved travel expenses for employees that are paid from 21st CCLC funds while attending DPI-sponsored meetings or professional development. Reimbursements made to staff for travel expenses must follow the entity's established travel policies and occur after the travel has been completed.

Per Uniform Guidance 200.475, costs incurred by employees and officers for travel, including costs of lodging, other subsistence, and incidental expenses, must be considered reasonable and otherwise allowable only to the extent such costs do not exceed charges normally allowed by the non-Federal entity in its regular operations as the result of the non-Federal entity's written travel policy. In addition, if these costs are charged directly to the Federal award documentation must justify that:

(1) Participation of the individual is necessary to the Federal award; and

(2) The costs are reasonable and consistent with non-Federal entity's established travel policy.

In the absence of an acceptable written policy regarding travel costs, grantees must follow the Federal travel and subsistence rates established by the General Services Administration.

[1] *See In re Appeal of Clovis Unified School District*, U.S. Dept. of Ed. Remand Order (July 10, 1995).

Employees must pay for their own meals and submit expenditures on a travel reimbursement request form. Subgrantee organization credit cards cannot be used to pay for staff meals during travel.

An entity should ensure that travel costs are reasonable and necessary to accomplish the goals of subgrantee's 21st CCLC program. A reasonable per diem would be those generally in alignment with Federal or State rates. **NCDPI recommends meal costs should only be reimbursed if there is an overnight stay or if the number of hours required for travel includes the entire workday.**

The following travel costs cannot be paid with 21st CCLC funds:

- Cost of upgrading airline seats, unless required for medical reasons
- Travel insurance
- Additional Baggage fees (checked or extra weight) *(revised 7/20)*
- Daily pass fees for airline clubs if flights are cancelled/delayed

Additionally, reimbursement for plane tickets cannot be requested until round-trip travel has occurred.

2.H: Internal Controls

21st CCLC subgrantees must operate their federal grants in accordance with the Code of Federal Regulations. Each organization must establish and maintain effective fiscal control and fund accounting procedures (internal controls) over the Federal award that provide reasonable assurance that the organization is compliantly managing the Federal award. Internal controls can be defined as a process, implemented by an organization designed to provide reasonable assurance regarding the achievement of objectives in the following categories: effectiveness and efficiency in operations, reliability of reporting for internal and external use, and compliance with applicable laws and regulations (2 CFR §200.1).). Internal controls also help to reduce fraud, waste and abuse in the use of Federal funds.

Per Government Accountability Office's (GAO) Standards for Internal Control in the Federal Government (the "Green Book"), internal controls are comprised of the plans, methods, policies, and procedures used to fulfill the mission, strategic plan, goals, and objectives of the entity. Internal control serves as the first line of defense in safeguarding assets. In short, internal control helps managers achieve desired results through effective stewardship of public resources.

These internal controls should be in compliance with guidance in "Standards for Internal Control in the Federal Government" issued by the Comptroller General of the United States or the "Internal Control Integrated Framework", issued by the Committee of Sponsoring Organizations of the Treadway Commission (COSO).

[1] *See In re Appeal of Clovis Unified School District*, U.S. Dept. of Ed. Remand Order (July 10, 1995).

Standards for financial management systems include, but are not limited to:

- Effective control and accountability must be maintained for all grant cash, real and personal property, and other assets.
- Subgrantees must adequately safeguard all such property and must assure that it is used solely for authorized purposes and protected against loss from unauthorized use or disposition.
- Subgrantees must maintain certified time and effort documentation that corresponds to payroll records for all staff including management.
- Actual expenditures or outlays must be compared with corresponding budgets for each grant.
- Transactions must be properly recorded. Accounting records must be supported by such source documentation such as cancelled checks, paid bills, payrolls, time and attendance records, contract and sub-grant award documents.

The entity must implement internal controls to address various areas identified in the Uniform Guidance. While the required internal controls mentioned in the following chart are not required to be in writing, the entity must still adhere to these requirements. Addressing the topics in writing helps to ensure that all staff will consistently follow procedures and may reduce the risk of monitoring or audit findings.

Internal Control	Authorizing Citation
Accounting Records Reconciliation Reporting	Accounting Records – 2 CFR §200.302(b)(3) Reconciliation – 2 CFR §200.302(b)(5) Reporting – 2 CFR §200.302(b)(2)
Basic Considerations	2 CFR§200.402-411
Contract Oversight	2 CFR §200.318(b)
Drawdown Procedures	2 CFR §200.305(b)(3)
Expenditure Authorization by Program	2 CFR §200.303
General Provisions for Selected Items of Cost	2 CFR §200.420-475
Period of Performance	2 CFR 200.309, 200.403(g); 34 CFR §76.707
Records Retention	2 CFR § 200.335; 34 CFR §81.31(c)
Source Documentation	2 CFR §§200.302(b)(3), 200.403(g)
Supplement Not Supplant	ESSA, IDEA
Suspension and Debarment	2 CFR §200.212, 2 CFR Part 180

[1] *See In re Appeal of Clovis Unified School District*, U.S. Dept. of Ed. Remand Order (July 10, 1995).

H.1 Required Written Procedures

As defined by the GAO, written policies and procedures are one form of internal control. Some written policies and procedures are required, see Required Internal Control and Written Policy and Procedure chart below, and others are recommended as a best practices. Some written policies and procedures are captured in an entity's board policies and some are documented in the entity's internal written procedures. Written policies and procedures governing the entity's implementation of federal grants should be reviewed routinely and revised as needed. If, in the course of monitoring and audits, a revision of internal controls is required, entities must take prompt action.

As a best practice, written procedures for financial management should address:

- Organization accounting system(s)
- How budgets are loaded onto the system
- Process for comparing budgets to expenditures
- Process for drawing down funds
- Process and authorizations for budget revisions
- Period of performance and when obligations are made
- Process for carryover
- Process for completing the completion reports
- Incorporate state agency requirements, if applicable.

Uniform Guidance requires written policies and procedures for some areas as noted in the table below:

Required Internal Control	Requirement	Authorizing Citation
Cash Management	Written Procedures that minimize the time elapsing between the transfer of funds and disbursement by the non-Federal entity, and financial management systems that meet the standards for fund control and accountability as established in 2 CFR 200.305.	§200.302(b)(6), §200.305
Allowability	Written Procedures for determining the allowability of costs in accordance with subpart E of this part and the terms and conditions of the Federal award.	§200.302(b)(7)
Equipment Management	Written Procedures for managing equipment must meet the following requirements (summarized): (1) Property records must be maintained that include a description of the property, a serial number or other identification number, the source of funding, who holds title, the acquisition date, and cost, percentage of Federal participation in the project costs, the location, use and condition of the property, and any ultimate disposition data. (2) A physical inventory every two years.	§200.313(d)

[1] *See In re Appeal of Clovis Unified School District*, U.S. Dept. of Ed. Remand Order (July 10, 1995).

	(3) Safeguards to prevent loss, damage, or theft of the property. Any loss, damage, or theft must be investigated. (4) Adequate maintenance procedures. (5) Proper sales procedures, if applicable.	
Conflict of Interest	Written Standards of Conduct covering conflicts of interest and governing the actions of its employees engaged in the selection, award and administration of contracts. No employee, officer, or agent may participate in the selection, award, or administration of a contract supported by a federal award if he or she has a real or apparent conflict of interest. … The officers, employees, and agents of the non-Federal entity may neither solicit nor accept gratuities, favors, or anything of monetary value from contractors or parties to subcontracts. However, non-Federal entities may set standards for situations in which the financial interest is not substantial, or the gift is an unsolicited item of nominal value. The standards of conduct must provide for disciplinary actions.	§200.318(c)
Procurement (Specific levels described in §200.67, §200.88, §200.320 – subject to change.)	Written Procedures for procurement transactions. These procedures must ensure that all solicitations: (1) Incorporate a clear and accurate description of the technical requirements for the material, product, or service to be procured. Such description must not, in competitive procurements, contain features which unduly restrict competition…. (2) Identify all requirements which the offerors must fulfill and all other factors to be used in evaluating bids or proposals.	§200.319(d)
Procurement: Competitive Proposals	Written Method for conducting technical evaluations of the proposals received and making selections.	§200.320(e)(2)(ii)
Compensation – Personal Services (Time and Effort, Stipends, Bonuses etc.)	Written Policy to address whether compensation and allowability of costs of compensation are allowable including procedures to determine if the cost is reasonable for the services rendered and conforms to the established written policy of the non-Federal entity. Policy must be consistently applied to both Federal and non-Federal activities.	§200.430(a)(1)
Travel	Written Travel Policy to cover costs incurred by employees and officers for travel normally allowed by the non-Federal entity in its regular operations.	§200.474(b)

2.I: Conflicts of Interest

According to the general procurement standards, the non-Federal entity must maintain written standards of conduct covering conflicts of interest and governing the actions of its employees engaged in the selection, award and administration of contracts. No employee, officer, or agent may participate in the selection, award, or administration of a contract supported by a Federal award if

[1] *See In re Appeal of Clovis Unified School District*, U.S. Dept. of Ed. Remand Order (July 10, 1995).

he or she has a real or apparent conflict of interest. Such a conflict of interest would arise when the employee, officer, or agent, any member of his or her immediate family, his or her partner, or an organization which employs or is about to employ any of the parties indicated herein, has a financial or other interest in or a tangible personal benefit from a firm considered for a contract. The officers, employees, and agents of the non-Federal entity may neither solicit nor accept gratuities, favors, or anything of monetary value from contractors or parties to subcontracts. The standards of conduct must provide for disciplinary actions to be applied for violations of such standards by officers, employees, or agents of the non-Federal entity. (2 CFR §200.318)

Within the 21st CCLC program, conflicts of interest include but are not limited to:

- Employing immediate family members as contract labor for services.
- Having a program employee serve as a vendor.
- Any purchase from a company in which a program employee has a financial interest or would receive a financial benefit.

While Uniform Guidance does not stipulate a specific accounting system, the accounting system must provide detailed information regarding each transaction using 21st CCLC funds. For example, it is not enough to record that $5,000 was spent on equipment. The accounting system must maintain $5,000 was spent on a computer from [NAME] Company and the date of the purchase.

NOTES

- All 21st CCLC subgrantees must provide training to 21st CCLC staff to ensure staff understands and follows written fiscal procedures. Documentation of training (e.g., agendas, sign-in sheets, etc.) must be maintained for review during monitoring reviews.
- North Carolina General Statute (G.S. 115C-12.2) defines "immediate family member" as a spouse, parent, child, brother, sister, grandparent, or grandchild. The term also includes the step, half, and in-law relationships.

[1] *See In re Appeal of Clovis Unified School District*, U.S. Dept. of Ed. Remand Order (July 10, 1995).

2.J: Procurement

Procurement transactions (purchases) of both goods and services must be conducted in a manner to provide open and free competition. Procurement transactions must consider price, quality, service, and other factors important to the subgrantee as set out in the Uniform Grant Guidance (UGG) (2 CFR §200.218 - §200.227).

Procurement Requirements Using Federal Funds for Services and Goods*

Procurement Method	Goods	Services
Micro-Purchase - No required quotes. However, must consider price as reasonable, and, to the extent practical, distributed equitably among suppliers.	$10,000 or less Must use more restrictive $10,000 federal threshold.	$10,000 or less
Small Purchase Procedures (Informal) - Obtain/document quotes from a reasonable number of qualified sources (at least three).	$10,000.01 - $90,000 Must use more restrictive $90,000 state threshold instead of $250,000 federal threshold. for LEA's, LAB, ISD, regional schools. Charter Schools and nonprofits are not subject to State procurement laws and can use a $250,000 threshold.	$10,000.01 - $250,000 Service contracts not subject to state competitive bidding requirements. LEAs utilize UG process (or local if more restrictive).
Sealed Bids / Competitive Bids (Formal)	$90,000.01 or more Must use more restrictive $90,000 state threshold for LEA's, LAB, ISD, regional schools. Charter Schools and nonprofits are not subject to State procurement laws and can use a $250,000 threshold. instead of $250,000 federal threshold	$250,000 or more Service contracts subject to state competitive bidding requirements. for LEA's, LAB, ISD, regional schools. Charter Schools and nonprofits are not subject to State procurement laws and can use a $250,000 threshold. LEAs must utilize UG process (or local if more restrictive).
Noncompetitive proposals	Appropriate only when: • Available only from a single source (sole source) • Public emergency	

[1] *See In re Appeal of Clovis Unified School District*, U.S. Dept. of Ed. Remand Order (July 10, 1995).

	• Expressly authorized by awarding or pass-through agency in response to written request from district • After soliciting a number of sources, competition is deemed inadequate. • A waiver must be obtained from DPI. See the Fiscal Guidance | NC DPI website for instructions on obtaining pre-approval.

Self-Certification Option for Higher Micro-Purchase Threshold

The updates to the Uniform Guidance did not change the micro-purchase threshold; the current micro-purchase threshold remains $10,000. A subrecipient does not need to solicit competitive price or rate quotations when awarding a micro-purchase if it considers the price to be "reasonable based on research, experience, purchase history or other information and documents it files accordingly".

However, 2 CFR 200.320 provides PSUs with the ability to raise, via annual self-certification, the micro-purchase threshold to a "higher threshold consistent with State, local, tribal laws and regulations" and which cannot exceed $50,000. State and local procurement laws must be addressed in any higher threshold that is established. (2 CFR 300.17 and 2 CFR 300.18) LEA's, Regional, LAB, and Charter Schools are subject to different procurement requirements and the thresholds allowed will be different.

LEA's, Regional, and LAB schools are subject to North Carolina procurement laws, under the new Uniform Guidance requirements, an LEA, Regional, or LAB school that completes the annual self-certification may raise the micro-purchase threshold of $10,000 via annual self-certification up to the North Carolina State threshold of $30,000 for the purchase of "goods" or the purchase of "construction or repair work", and to $50,000 for service contracts other than those subject to the Mini-Brooks Act. Local and tribal procurement laws may be more restrictive and must be addressed in certifying a higher threshold.

Charter Schools are not subject to North Carolina procurement laws. Under the new Uniform Guidance requirements, a Charter School that completes the annual self-certification may raise the micro-purchase threshold of $10,000 via annual self-certification up to the $50,000 threshold. Local procurement laws may be more restrictive and must be addressed in certifying a higher threshold. A PSU must maintain documentation supporting the self-certification of a higher micro-purchase threshold and must make such documentation available to a Federal awarding agency or auditor upon request in accordance with 2 C.F.R. 200.334. When self-certifying a higher micro-purchase threshold, a

PSU self-certification must include:

1. a justification for the threshold;
2. a clear identification of the threshold amount; and
3. supporting documentation of any of the following:
    - a qualification as a low-risk auditee, in accordance with the criteria in § 200.520 for the most recent audit;

[1] *See In re Appeal of Clovis Unified School District*, U.S. Dept. of Ed. Remand Order (July 10, 1995).

- an annual internal institutional risk assessment to identify, mitigate, and manage financial risks; or
- for public institutions, a higher threshold consistent with State law.

The self-certified micro purchase threshold only applies to federal awards received after November 12, 2020, the effective date of the Uniform Guidance revisions.

Under the Uniform Guidance, NC DPI *does not* need to approve a PSU's self-certification to a higher micro-threshold. However, to ensure that DPI can effectively monitor compliance with procurement requirements during standard fiscal monitoring activities, DPI plans to establish a process for PSUs to provide formal notice to NC DPI of approved increases in their micro-purchase threshold. Additional information may be required to substantiate compliance with the self-certification process during normal monitoring activities.

To ensure smooth implementation of these new requirements, DPI recommends following:
1. The self-certification should be approved by the PSU's Board. UNC SOG recently suggested a resolution process to self-certify. This document has been reviewed by DPI and can be found in the following blog post.
2. Self-certification procedures should be clearly documented.
3. Responsibility for implementing the annual self-certification procedures should be clearly assigned.
4. If a PSU does not qualify as a low-risk auditee, the PSU should be sure to address all elements of the required risk assessment, which should result in a systematic way of identifying, mitigating, and managing financial risks.

More information about procurement may be found in Appendix I.

NOTES
- In addition, procurement procedures must be maintained to avoid any potential conflicts of interest. Potential conflicts of interest that may arise as a result of a contract must be disclosed to DPI in advance of entering into a contract with an individual or company (EDGAR 2 CFR §200.319).
- Equipment purchases, regardless of method of procurement, must be approved in the Budget Form 208.
- DPI requires prior approval for all "technology equipment" purchases.
- Federal Guidance places a threshold amount of $10k or more to require quotes/bids; however, the Federal Government allows the State Education Agency (SEA) to set a more restrictive limit. DPI places the threshold at $500 or more.
- DPI does allow for circumstances whereas the grantee can only secure equipment from a source without going through the quote/bid process, on a case by case basis

[1] *See In re Appeal of Clovis Unified School District*, U.S. Dept. of Ed. Remand Order (July 10, 1995).

2.K: Time and Effort Reporting

The purpose of time and effort reporting is to certify and verify that the employee's compensation from the grant funds is commensurate with his/her percent of effort worked on the grant. Compensation for personal services, 2 CFR 200.430, by an individual employed by the PSU includes all remuneration, paid currently, or accrued, for services of employees rendered during the period of performance under the Federal award, including but not necessarily limited to wages and salaries. Compensation may also include fringe benefits. Costs of compensation are allowable to the extent that they satisfy the specific requirements noted below and that the total compensation for individual employees:

- Is reasonable for the services rendered and conforms to the established written policy of the non-Federal entity consistently applied to both Federal and non-Federal activities.
- Follows an appointment made in accordance with the non-Federal entity's laws or written policies.
- Is determined and supported by appropriate documentation.

Uniform Guidance no longer explicitly requires semi-annual certifications or personnel activity reports (PARs) as support for compensation expenses. However, entities should continue to use their current internal control system of semi-annual certifications, PAR reports, or approved substitute systems but are not required to use these controls. If an entity decides not to use semi-annual certifications or PAR reports, the entity is still required to maintain auditable "time and effort" documentation that describes how each employee, paid in part or whole from federal funds, has spent his or her compensated time. 2 CFR 200.430i requires the following as *Standards for*

Documentation of Personnel Expenses:

Charges to Federal awards for salaries and wages must be based on records that accurately reflect the work performed. These records must:

- Be supported by a system of internal control which provides reasonable assurance that the charges are accurate, allowable, and properly allocated;
- Be incorporated into the official records of the non-Federal entity;
- Reasonably reflect the total activity for which the employee is compensated by the non-Federal entity, not exceeding 100% of compensated activities (for IHE, this per the IHE's definition of IBS);
- Encompass federally-assisted and all other activities compensated by the non-Federal entity on an integrated basis, but may include the use of subsidiary records as defined in the non-Federal entity's written policy;
- Comply with the established accounting policies and practices of the non-Federal entity (See paragraph (h)(1)(ii) above for treatment of incidental work for IHEs.); and
- [Reserved]

[1] *See In re Appeal of Clovis Unified School District*, U.S. Dept. of Ed. Remand Order (July 10, 1995).

- Support the distribution of the employee's salary or wages among specific activities or cost objectives if the employee works on more than one Federal award; a Federal award and non-Federal award; an indirect cost activity and a direct cost activity; two or more indirect activities which are allocated using different allocation bases; or an unallowable activity and a direct or indirect cost activity.
- Budget estimates (i.e., estimates determined before the services are performed) alone do not qualify as support for charges to Federal awards, but may be used for interim accounting purposes, provided that:
    - The system for establishing the estimates produces reasonable approximations of the activity actually performed;
    - Significant changes in the corresponding work activity (as defined by the non-Federal entity's written policies) are identified and entered into the records in a timely manner. Short term (such as one or two months) fluctuation between workload categories need not be considered as long as the distribution of salaries and wages is reasonable over the longer term; and
    - The non-Federal entity's system of internal controls includes processes to review after-the-fact interim charges made to a Federal award based on budget estimates. All necessary adjustment must be made such that the final amount charged to the Federal award is accurate, allowable, and properly allocated.

Because practices vary as to the activity constituting a full workload (for IHEs, IBS), records may reflect categories of activities expressed as a percentage distribution of total activities.

Cost Objective(s)	Criteria	Supporting Documentation Examples
Single Cost Objective	• Employee works solely on a single Federal award or cost objective.	<u>Semi-annual certification</u> • Prepared at least semi-annually; and • Signed after-the-fact by the employee or a supervisory official having firsthand knowledge of the work performed by the employee.

[1] *See In re Appeal of Clovis Unified School District*, U.S. Dept. of Ed. Remand Order (July 10, 1995).

Multiple Cost Objectives	• More than one Federal award; • Federal award & non-Federal award; • Indirect cost activity & direct cost activity; • Two or more indirect activities that are allocated using different allocation bases; or • Unallowable activity & a direct or indirect cost activity	Personnel activity reports (PAR) • Reflect an after-the-fact distribution of the actual activity of the employee; • Account for the total activity for which each employee is compensated; • Be prepared at least monthly & coincide with one or more pay periods; and • Signed after-the-fact by the employee & a supervisory official having firsthand knowledge of the work performed by the employee.

Important Reminders Regarding Time and Effort if PARS and Semi-annual Certifications are Elected as Documentation for Employees[1]

1. Semi-annual (periodic) certifications are needed for all employees not required to maintain PARs.
2. Appropriate time and effort documentation for all employees include time sheets for hourly paid employees with single cost objectives or (PAR) for employees with multiple cost objectives or with multiple roles within single cost objectives.
3. Semi-annual (periodic) certification must be signed by the employee or supervisory official having firsthand knowledge of the work performed by the employee. Timesheets and PARS must be dated and signed by both the employee and his/her supervisor.
4. All time and effort documentation should reflect after-the-fact distribution of the actual activity of each employee.
5. PARs should account for the total activity (21st CCLC and non-21st CCLC) for which the employee is compensated by the organization.
6. Time period (start and end dates) of time and effort documentation such as time sheets and PARs must be prepared at least monthly and coincide with one or more pay periods/cycles.
7. Documents must present breakdown of the benefits/payroll taxes paid on behalf of the employees being paid through 21st CCLC funds.
8. DPI may request documents relating to proof of payment/transfer of payroll.

NOTE

Official electronic signatures for Time and Effort Reporting are allowable with appropriate documentation as referenced above.

[1] An 'employee', for tax purposes, means whether federal (and state) income taxes must be withheld from the person's pay and whether the employee and employer must pay FICA taxes (for Social Security and Medicare benefits). In these circumstances, the opposite of an employee is an independent contractor.

[1] *See In re Appeal of Clovis Unified School District*, U.S. Dept. of Ed. Remand Order (July 10, 1995).

2.L: Indirect Cost

The USED has given DPI authority to issue indirect cost rates for all subgrantees. Subgrantees that receive their indirect cost rates from DPI use the rates to recover organization-wide administrative costs of managing federal grants, such as costs related to accounting, budgeting, purchasing, auditing, and payroll processing. Subgrantees may spend no more than the calculated rate of each year's budget on activities related to the fiscal agent's administration of the 21st CCLC grant. All LEA organizations are to utilize their assigned federal indirect cost rate as with all other federal grants. All non-LEA organizations should utilize the statewide average restricted indirect cost rate provided annually. Documentation to support expenses for indirect cost must be maintained and provided during a fiscal monitoring or desk review.

2.M: Budget Amendment or Revision Process

Post-award changes in budgets and projects require the prior written approval of DPI, and submission of a Budget Amendment Form (FPD 209). Budget amendments/revisions (changes to the budget) can be submitted anytime through CCIP during the approved grant period. Budget Amendment Forms (FPD 209) along with appropriate justification narrative and programmatic change (if applicable) should be uploaded to CCIP for review and approval by your assigned 21st CCLC PA. In addition to submitting Budget Amendment Form (FPD 209) in CCIP, LEAs are expected to submit and receive approval in the Budget and Amendment Approval System (BAAS). The template for the FPD 209 may be found in Related Documents section of CCIP.

2.N: Close-Out Processes

2.N.1: Records Retention

Financial records, supporting documents, statistical records, and all other non-Federal entity records pertinent to a Federal award must be retained for a period of five (5) years from the date of submission of the final expenditure report or, for continuation award, from the date of the submission of the annual continuation application. If any litigation, claim, or audit is started before the expiration of the 5-year period, the records must be retained until all litigation, claims, or audit findings involving the records have been resolved and the final action taken. Records for real property and equipment acquired with Federal funds must be retained for 5 years after final disposition (2 CFR §200.333).

2.N.2: Equipment & Supplies

Inventory records for items identified as *furniture/equipment* should be retained for 5 years following the close-out of the grant. A written description and/or narrative must be provided to DPI as to how the retention and storage of all 21st CCLC records, reports, files and documents will be stored and maintained.

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[1] *See In re Appeal of Clovis Unified School District*, U.S. Dept. of Ed. Remand Order (July 10, 1995).

2.N.3: LEAs Disposition of Equipment (§200.313(e)) and Supplies (§200.314)

If the LEA closes one cohort and is granted another 21st CCLC cohort, the grantee can retain the equipment for use in the new cohort.

If the LEA does not continue an afterschool 21st CCLC program and they are a Title I school, they can transfer the equipment to that program.

If the LEA does not continue an afterschool program and not considered a Title I school, they must then offer the equipment to another 21st CCLC program in the district.

In addition to equipment, if there is residual inventory of unused supplies *exceeding* $5000 in total aggregate fair market value upon termination (close-out) or completion of a grant, the supplies should first be offered to another 21st CCLC program within the district/area. If they are not needed by another 21st CCLC program, the supplies/equipment may be offered to another federally sponsored school/program/project within the community (*with coordination from DPI's Program Administrator).*

***If no federal program needs nor accepts the property/equipment/supplies, disposition of the items will be determined by the DPI.*

2.N.4: Non-LEAs Disposition of Equipment (§200.313(e)) and Supplies (§200.314)

If the non-LEA closes one cohort and is granted a successive 21st CCLC cohort, the grantee can retain the equipment and excess supplies for use in the new cohort.

If the program ends, the grantee must first offer to transfer equipment and items to other federally funded 21st CCLC programs within the district/area of the current grant; and then to other federal educational programs, such as Title 1 funded schools/programs (this is *with coordination from DPI's Program Administrator).*

In addition to equipment, if there is residual inventory of unused supplies *exceeding* $5000 in total aggregate fair market value upon termination (close-out) or completion of a grant, the supplies should first be offered to another 21st CCLC program within the district/area. If they are not needed by another 21st CCLC program, the supplies/equipment may be offered to another federally sponsored school/program/project within the community (*with coordination from DPI's Program Administrator).*

*** If no federal program accepts the property/equipment/supplies, disposition of the equipment/supplies will be determined by DPI.*

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[1] *See In re Appeal of Clovis Unified School District*, U.S. Dept. of Ed. Remand Order (July 10, 1995).

2.N.5: Transfer/Redistribution of Assets Protocol for LEAs/Non-LEAs

21st CCLC Transfer/Redistribution of Assets Protocol	
STEP 1	NCDPI Program Administrator and 21st CCLC Program Director identify either another federally funded Title 1 or extended learning program in the district (LEAs) or a qualifying feeder school (Non-LEAs)
STEP 2	NCDPI Program Administrator, 21st CCLC Program Director and a point of contact from transfer agency determine an agreed upon date of transfer of assets.
STEP 3	**Transfer/Redistribution of Assets** All parties (NCDPI Representative, 21st CCLC Program Director and point of contact from transfer agency) must be present on the day of the scheduled transfer of assets. During the on-site visit, the NCDPI Representative will inventory the 21st CCLC Program's assets. Once the assets are inventoried, the NCDPI Representative will transfer ownership of all materials to the identified transfer agency representative. The inventory check and transfer of asset ownership will be logged for recordkeeping by the NCDPI Representative.

2.N.6: Data and Reporting

21st CCLC grantees remain responsible for the following:

- Providing required data to DPI for submission to the 21 APR system.
- Providing programmatic, financial, evaluation data to DPI as required at the end of the grant.
- Submission of any performance reports required by DPI at the end of the grant (no later than 90 calendar days at the end of the grant).

2.N.7: Later Disallowance & Adjustments

The close-out of a grant does not affect the following:

- DPI's right to disallow and recover funds on the basis of a ***later audit***** or review.
- The grantee's obligation to return any funds due as a result of later refunds, corrections or other transactions.
- Records retention as required by federal law.

***This is usually an entity outside of DPI (USED, Office of the State Auditor, etc.)*

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[1] *See In re Appeal of Clovis Unified School District*, U.S. Dept. of Ed. Remand Order (July 10, 1995).

SECTION 3: FUND DISTRIBUTION AND REIMBURSEMENT

3.A: Allotments

21st CCLC funds are allotted in three installments with the second and third installments based on the subgrantee's demonstration of progress toward enrollment goals as follows:

1. Programs are eligible for initial installments equal to 34% of total approved grant award upon approval of budget and other required documentation (e.g., field trip requests, proposed contracts, Basic Info).
2. Programs are eligible for second installments equal to 34% of the total approved grant award after 50% of their RFP enrollment goal is met. Students must attend the program for at least 15 hours to be counted towards the attendance goal.
3. Programs are eligible for third installments equal to 32% of the total approved grant award after 75% of their RFP enrollment goal is met. Students must attend the program for at least 15 hours to be counted towards the attendance goal.

Please note that attendance data will be carefully monitored to determine if average attendance data will be used for the release of installments in future years.

3.B: LEA Subgrantees

Once a subgrantee's Budget Form 208 for PRC 110 is approved in CCIP by DPI program staff and the first allotment installment is released, the grant funds are deposited directly in the LEA account via electronic transfer. LEAs work with approved third-party vendors to post budgets and to account for program expenditures by object and purpose code. Vendor products must electronically interface with BAAS, which is managed by DPI. The BAAS system is connected to DPI's Cash Management System, which in turn, is connected to the NC Department of the State Treasurer. Transactions in BAAS generate a report which automatically feeds entries to the external General Ledger (GL) and North Carolina Accounting System (NCAS). The DPI Cash Management Section then draws the funds down from the State Treasurer account according to the NCAS and GL data. The LEAs' accounting systems are automatically linked to BAAS to track their approved use of state and federal funds which pass through DPI.

DPI serves as the flow-through agency to LEAs for an extremely large number of state and federally funded programs; however, there are several distinct characteristics about the 21st CCLC program that require a unique approach to how DPI and the subgrantees manage the operational budgets, allotments, and even the monitoring process. Some of the ways that PRC 110 varies from most other PRCs includes the following:

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[1] *See In re Appeal of Clovis Unified School District*, U.S. Dept. of Ed. Remand Order (July 10, 1995).

- PRC 110 has no planning allotment.
- Subgrantees must submit the Budget Form FPD 208 as an upload in the CCIP grants management system and receive an approval from DPI before the LEA's budget can be approved in the BAAS accounting system.
- To accommodate summer programming, the period of availability is set to fifteen (15) months; however, there is no liquidation period.
- The allotment is distributed in three (3) separate installments during the program year.

LEA grantees are required to maintain documentation to support expenditures reflected on the end of month BAAS reports. In the event of a fiscal monitoring or desk review, documentation to support incurred expenses will be requested for reconciliation with BAAS reports.

3.C: Non-LEA Subgrantees

The School Business Section at DPI assigns a unique banking vendor number for each non-LEA entity which has been approved by the State Board of Education to receive federal or state funds through DPI. Prior to the DPI approval of the budget or release of funds, the non-LEA subgrantees must complete and submit a Vendor Electronic Payment Form and state provided W-9 Form to DPI, so the Cash Management Section can register the organizations' checking accounts with the Office of the State Controller. Once the checking account is registered with DPI, DPI program staff must approve the Budget Form FPD 208 and other required documentation (e.g., field trip requests, proposed contracts, Basic Info) in CCIP. After approval is completed, the first installment of the allotment is released and subgrantee organizations can begin submitting cash reimbursement requests.

NOTE

A copy of the Vendor Electronic Payment Form and state provided W-9 Form may be found in Appendix C. 21st CCLC organizations, please DO NOT submit forms directly to the Office of the State Controller. Please submit completed forms to DPI.

Non-LEAs enter their reimbursement requests in the online Expenditure Reporting and Cash Application (ERaCA) system. To access ERaCA, non-LEAs are required to register with the North Carolina Identity Management (NCID) system. The NCID system verifies the identity of the user and authorizes specific rights within ERaCA.

After non-LEAs login with their NCID credentials, the ERaCA system tracks the availability of allotted funds and ensures the dollar amounts of the organizations' requests are limited to available

[1] *See In re Appeal of Clovis Unified School District*, U.S. Dept. of Ed. Remand Order (July 10, 1995).

balance. Non-LEAs may submit one reimbursement request per week into ERaCA and they will generally receive the funds via direct deposit within ten (10) business days.

Once a sub-grantee submits for reimbursement in the ERaCA system, they will not be able to submit for another submission for that PRC until their first request has been processed. DPI encourages all non-LEAs to submit for reimbursement in ERaCA at least once monthly, after the grantee's first allotment has been released. This will reduce the likelihood of a higher risk assessment in determining on-site fiscal monitoring throughout the 3-year cohort. Additionally, it helps the grantee to establish better internal controls over their fiscal operations.

In addition to submitting the documentation with a printed copy of the ERaCA Expenditure/Cash Request Data Inquiry Screen, non-LEA subgrantees must provide the ERaCA Reconciliation Cover Sheet. Non-LEAs that receive 21st CCLC grant awards in more than one cohort, must provide back-up documentation separately for each cohort. The ERaCA Reconciliation Cover Sheet must be signed by the Chief Administrator for the non-LEA as listed on the Basic Program Information form.

Reconciliations and corresponding documentation must be aligned with ERaCA submissions for each reimbursement request. The ultimate purpose of these submissions is to verify that there is proof of purchase for the requested reimbursement. Below is a list (***this is not all inclusive, Appendix F for additional information***) of documents grantees should submit to the fiscal team to verify allowable expenses:

- Reports from ERaCA to confirm date(s) of the reimbursement request, and under which, approved budget codes the expenditures and subsequent cash request have been posted – receipts should have director/management initials and date of review
- Payroll Support: payroll registers including employee name, job title, rate of pay, and pay period, daily timesheets with employee and supervisor signatures and duties performed
- Expense Support: itemized invoices indicating vendor name, date paid, check number, amount, and the corresponding COA (chart of account) code used when entering into ERaCA
- Payment Support: paid receipts, cancelled checks (with front and back images), credit card statements, and/or bank statements
- Other documents as needed to match cash requests for the ERaCA submission

Non-LEA subgrantees must scan and email all back-up documentation to the attention of: Melba Strickland at Melba.Strickland@dpi.nc.gov.

NOTE
Non-LEA subgrantees must submit the documentation with 1) the ERaCA Reconciliation Cover Sheet; and 2) a printed copy of the ERaCA Expenditure/Cash Request Data Inquiry Screen (see sample in Appendix D).

[1] *See In re Appeal of Clovis Unified School District*, U.S. Dept. of Ed. Remand Order (July 10, 1995).

The ERaCA system creates an interface file to an external General Ledger (GL) and enters the cash request into the Cash Management System (CMS). The CMS produces a report and generates entries to the external GL and NCAS. The DPI Cash Management Section draws the funds down per the report.

Error with ERaCA Submission

If a grantee has determined that an error was made when submitting for reimbursement in the ERaCA system (whether an expense was over or under reported in a specific chart of account code), the grantee will make the correction in the next ERaCA submission and retain documentation within their records for future reference.

3.D: LEA Documentation

21st CCLC LEA programs will be required to submit documentation when requested by DPI in a timely manner and in accordance with any fiscal and/or programmatic monitoring scheduled to take during the fiscal year in review.

SECTION 4: PROGRAM MANAGEMENT

4.A: Location of Program Centers/Sites

In addition to public school campuses, 21st CCLC program centers or sites may be located in a variety of facilities, including, but not limited to, community centers, church activity buildings, college campuses, local government buildings, or even rented commercial spaces. The 21st CCLC program facilities must be at least as available and accessible to the participants as if the program were in a school and meet the same criteria for safe and effective learning including fire codes for safe egress. Program officials are reminded of their obligation under Section 504 of the Rehabilitation Act to ensure that facilities for community learning center programs must be accessible to persons with disabilities. If the programs are operated in facilities other than a school building, the organization must ensure the facility still meets state, federal, and local standards for safety and general accessibility. For more information about building code and safety guidelines, review resources provided by the Office of the State Fire Marshall and the NC Existing Building Codes provided by the NC Department of Insurance.

Prior to Budget 208 Form approval, Subgrantees will need to submit documentation to CCIP demonstrating the 21st CCLC Program occurs in a location that meets the criteria for accessibility

[1] *See In re Appeal of Clovis Unified School District*, U.S. Dept. of Ed. Remand Order (July 10, 1995).

and is safe for effective learning. Documentation provided to DPI to demonstrate compliance can include, but is not limited to:

- Annual Building Maintenance and Fire Inspection Reports
- Evacuation Routes specific to 21st CCLC classrooms and learning spaces
- Maps indicating wheelchair accessible entrances, exits and bathrooms within proximity to 21st CCLC classrooms and learning spaces

4.B: Program Income[2]

The intent of the 21st CCLC program is to ensure equal access to all students (and their families) targeted for services; therefore, fees cannot be collected for participation in the 21st CCLC program. Additionally, Subgrantees may not charge late fees to caregivers who arrive after a Program's scheduled end time to pick up their student(s). If fees have been collected for student participation or late pick-ups in the past, no fees can be collected by Subgrantees for participation or late pick-ups going forward. As of the 2021-2022 funding period, programs found to be collecting fees for late pick-ups and/or student participation in 21st CCLC programs or denying student access to 21st CCLC programs because of inability to contribute to the costs of the program will be ineligible for 21st CCLC funds or continuation of 21st CCLC funds and may be required to repay funds received through 21st CCLC grants to the State.

4.C: Program Enrollment

According to 21st CCLC federal guidance, 21st CCLC Programs must serve a minimum of 50 students each year. Students participating in public schools providing instructional programs for *Kindergarten* through 12th grade are eligible to enroll. In North Carolina, Pre-K students are not eligible to be served by 21st CCLC Programs, noting this restriction also applies to rising kindergarteners during the summer.

4.C.1: 21st CCLC Program Enrollment Procedures

All 21st CCLC Programs in North Carolina must host an orientation for potential participants and their families prior to the start of both academic year and summer programs. 21st CCLC Program Orientations must at a minimum include a review of the following items:

- Program Goals and Impact Measures.
- Program Schedules / Calendars.

2 *Program Income is the gross income earned by the non-Federal entity that is directly generated by a supported activity or earned as a result of the Federal award during the period of performance (2 CFR §200.80). More information may be found in the USED Presentation.*

[1] *See In re Appeal of Clovis Unified School District*, U.S. Dept. of Ed. Remand Order (July 10, 1995).

- Family Engagement Requirements.
- Data Sharing Agreements with the Feeder School.
- Review of Parent/Student Handbook (including, but not limited to, review of attendance policies, behavior management policies, internet safety policies, and emergency preparedness plans).

Whenever possible, all 21st CCLC Program orientation materials and translation support services should be made available in the home language(s) of interested families.

4.C.2: 21st CCLC Program Enrollment Forms

All students participating in academic year and summer 21st CCLC Programs are required to have an enrollment form on file. When enrolling students in 21st CCLC programming, enrollment forms should at a minimum include the following elements:

- Student Full Name, Grade Level, Feeder School
- Primary parent(s)/guardian(s) full name(s), email address(es), and phone number(s)
- (3) Emergency Contacts
- Parent/Guardian signatures with date stating agreement to uphold 21st CCLC Program Policies and Procedures as described in the Parent/Student Handbook
- Parent/Guardian signatures with date noting if providing consent for: photo releases (including social media); data sharing with feeder school
- Parent/Guardian signatures with date and authorization for Internet access for children ages thirteen (13) and under.

Whenever possible, enrollment forms should be made available in the home language. Enrollment forms may be electronic or hardcopy. 21st CCLC Program orientation and enrollment information must be made available to DPI upon request.

4.D: Required Hours of Operation and Student Attendance

4.D.1: Program Hours Requirements

Organizations awarded a 21st CCLC Grant award must offer students educational opportunities outside the traditional school hours. In addition to after school, programs may be offered before school, evenings, weekends, summers or during student intercession periods. The operational hours should demonstrate that adequate contact time is being spent with students and families each week. As a condition of the grant in NC, subgrantee programs **must offer a minimum of twelve (12) hours of programming each week at each site** (i.e., center) for participating students within the regular-school-year program component. Each enrolled student must be given the opportunity to attend academic and enrichment activities a minimum of 12 hours each week to

[1] *See In re Appeal of Clovis Unified School District*, U.S. Dept. of Ed. Remand Order (July 10, 1995).

provide a quality program that fosters maximum positive impact on students' development and learning.

Travel time does not count towards the 12-hour minimum requirement and quality contact time should encompass the entire targeted student population each day (e.g., cannot serve boys on Monday and Wednesday and girls on Tuesday and Thursday).

4.D.2: Student Attendance Requirements

To maximize the potential impact on student achievement and overall success, subgrantee programs should make every attempt to promote regular attendance of the same students that are served each day of operation throughout the program year. Per federal grant guidance, 21st CCLC Programs cannot operate as drop-in programs. Therefore, in the state of North Carolina 21st CCLC student participants are not counted towards a subgrantees overall enrollment total until they have attended the 21st CCLC Program for **at least 15 hours**. Additionally, students in grades 1-5 who attend the 21st CCLC Program for 15 or more hours are required to have a completed instructional staff survey prior to 21DC data submission at the end of the school year and summer (if applicable). DPI 21st CCLC Program Administrators will provide subgrantees with updated instructional staff survey templates each Spring.

4.E: Program Activities

All 21st CCLC programs must implement academic support programming activities that are aligned to the North Carolina Standard Course of Study. For information, go to the Standard Course of Study homepage. Programming may vary from site to site, but the awarded organization must use the grant funds to carry out a variety of activities designed to support student academic achievement, and those activities must adhere to the federal Measures of Effectiveness. According to section 4205(b) of the ESEA, as amended by the ESSA, activities for the afterschool program must meet the following criteria:

> *(A) be based upon an assessment of objective data regarding the need for before and after school (or summer recess) programs and activities in the schools and communities;*
> *(B) be based upon an established set of performance measures aimed at ensuring the availability of high-quality academic enrichment opportunities;*
> *(C) if appropriate, be based upon evidence-based research that the program or activity will help students meet the challenging State academic standards and any local academic standards;*
> *(D) ensure that measures of student success align with the regular academic program of the school and the academic needs of participating students and include performance indicators and measures described in section 4203(a)(14)(A); and*
> *(E) collect the data necessary for the measures of student success described in subparagraph.*

[1] *See In re Appeal of Clovis Unified School District*, U.S. Dept. of Ed. Remand Order (July 10, 1995).

Subgrantees may use the award funds to carry out a broad array of activities that advance student academic achievement and support student success. In North Carolina, subgrantees must provide a focus on math and reading/language arts, and other activities may include, but are not limited to, the following based on the needs of the population served:

- Academic enrichment learning programs, mentoring programs, remedial education activities, and tutoring services, that are aligned with the challenging State academic standards and local academic standards
- Local curricula that are designed to improve student academic achievement;
- Well-rounded education activities, including such activities that enable students to be eligible for credit recovery or attainment
- Literacy education programs, including financial literacy programs and environmental literacy programs
- Programs that support a healthy and active lifestyle, including nutritional education and regular, structured physical activity programs
- Services for individuals with disabilities
- Programs that provide after-school activities for students who are English learners that emphasize language skills and academic achievement;
- Cultural programs
- Telecommunications and technology education programs
- Expanded library service hours
- Parenting skills programs that promote parental involvement, healthy living and family literacy
- Programs that provide assistance to students who have been truant, suspended, or expelled to allow the students to improve their academic achievement
- Drug and violence prevention programs and counseling programs
- Programs that build skills in science, technology, engineering, and mathematics (referred to as 'STEM'), including computer science, and that foster innovation in learning by supporting nontraditional STEM education teaching methods
- Programs that partner with in-demand fields of the local workforce or build career competencies and career readiness and ensure that local workforce and career readiness skills are aligned with the Carl D. Perkins Career and Technical Education Act of 2006 (20 U.S.C. 2301 et seq.) and the Workforce Innovation and Opportunity Act (29 U.S.C. 3101 et seq.)

4.F: Schedule of Program Activities

The subgrantee must develop and maintain a daily schedule of program activities. The schedule provides students, staff, and volunteers with clear expectations for each day of the program. The program schedule must be aligned to the proposed schedule described in the approved application.

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[1] *See In re Appeal of Clovis Unified School District*, U.S. Dept. of Ed. Remand Order (July 10, 1995).

The schedule should be readily available to students, parents, and staff. In addition, the program schedule should demonstrate the following characteristics:

- A focus on NC Standard Course of Study standards for math and reading/language arts (at a minimum)
- Non-academic activities that will complement the regular academic program and/or promote whole-child development
- A variety of strategies and/or activities to address various learning interests, grade levels and ability
- Transition time between activities
- Parent engagement activities when appropriate (parent activities may also be provided separately)

4.G: Summer and Intersession Components

21st CCLC Summer Programs must adhere to the same guiding principles as the school-year program.

For year-round schools, the block of time that students are scheduled to be away from school is referred to as the *intersession* or *track-out* time. For the purposes of the 21st CCLC program, subgrantees who serve feeder schools on a year-long school calendar may select one or more intercession periods to serve as the summer program component(s).

21st CCLC Summer Program schedules and structures, total student enrollment, and number of proposed weeks must match the approved summer program plans in the subgrantee's RFP. Should a subgrantee need to make changes to their 21st CCLC summer program plans, subgrantees must submit a program amendment form in CCIP for DPI approval. Depending on changes requested, subgrantees may also need to submit a Budget Amendment Form 209 for additional DPI approval.

As with 21st CCLC programming during the traditional school year, summer and intercession programming should involve:

- Academic activities that are aligned to North Carolina Standard Course of Study
- Quality enrichment activities designed to reinforce and complement the summer program's academic activities
- Demonstrated partnership between the local school district and the community at-large
- Hours of operation necessary to meet program goals (required minimum of 12 student contact hours per week)
- Enroll a minimum of 50 students
- Adherence to the section 4205(b) of the ESEA, as amended by the ESSA, Measures of Effectiveness

[1] *See In re Appeal of Clovis Unified School District*, U.S. Dept. of Ed. Remand Order (July 10, 1995).

4.H: Transition Safety

4.H.1: School Day to Out of School Time Transition

When students transition from the regular school day to an out-of-school program, written procedures must be in place to ensure student safety. Subgrantees should have formal written transition procedures in their 21st CCLC Staff Handbooks, as well as in their Parent/Student Handbooks. Transition written procedures should be made available to DPI upon request. Additionally, transition times between the school day to out of school time, as well as transition times between activities during the out of school time program should be designated on the 21st CCLC Program's daily/weekly schedules.

4.H.2: Transportation Transitions

When students travel from a feeder school to a program site located off site, procedures must ensure that students transition safely. Subgrantees should have formal written transportation transition procedures in their 21st CCLC Staff Handbooks, as well as in their Parent/Student Handbooks. Transportation transition written procedures should be made available to DPI upon request. Formal written transportation transition materials should include at a minimum the following policies and procedures:

- Maintaining accurate bus/van student rosters with emergency contact information
- Staff supervision during offsite travel
- Ensuring bus/van drivers must be appropriately licensed, adhere to motor vehicle laws, and be trained on procedures in the event of an emergency on the bus/van.

NOTE

Whether a bus or transit van is used, all motor vehicle safety laws, especially those related to passenger safety must be followed.

4.I: Field Trips

Educationally related field trips must be included in the approved budget and require DPI approval at least 30 days in advance of the field trip (see seasonal approval due dates below). Educationally related field trips can take place virtually or in-person. Field trips must support the approved program goals and objectives listed in a subgrantee's RFP and correlate to a curriculum being implemented during the 21st CCLC Program at the time of the field trip. Field trips for entertainment or recreational purposes (i.e., field trips not connected to an approved program goal or objective and not aligned with a curriculum currently being implemented in the 21st CCLC program) are not allowable. To ensure field trips are aligned with a 21st CCLC Program's approved goals, the 21st CCLC subgrantee should develop policies and procedures that address the following:

[1] *See In re Appeal of Clovis Unified School District*, U.S. Dept. of Ed. Remand Order (July 10, 1995).

- Is the expense of the trip the most reasonably priced and available activity to yield the desired educational outcomes for the student?
- How will consent and medical emergency (including insurance) information be received from parents/guardians?
- How will staff / volunteers be trained, allocated, and available for supervision?
- Is the field trip accessible to all students?
- What form of transportation will be used and is it in compliance with safe transport of students?
- Has safety and evacuation training been provided to all students prior to any trip?
- What adult-to-student ratio is needed to ensure adequate supervision for the field trip?
- What is the relevance of proposed field trip to a learning objective?
- What instructional activities or student work product will occur prior to, during and after the field trip that will tie into the goals of the approved grant project?
- How will the trip's educational value be assessed upon completion of the trip?
- What is the impact of the trip on available program budget resources?

Careful attention must be given to trip selection, pre-visit preparation, appropriate follow up activities, and evaluation of the impact of field trips especially as it relates to overall goals and objectives for the 21st CCLC program. Documentation must be maintained to identify the students that participated in each field trip (e.g., sign-in sheets). Please contact your 21st CCLC PA with questions regarding a specific field trip.

4.I.1: Field Trip Approval Due Dates

- **Fall:** Last business day in September for field trips taken October – January
- **Spring:** Last business day in January for field trips taken February – May
- **Summer:** Last business day in April for field trips taken June - August

NOTES

- Field trips must be approved at least 30 days in advance of the actual trip date.
- No fees of any kind can be collected from parents for field trip participation- reference Section 4 - Program Income in the 21st CCLC Guidance document. (revised 10/19)
- Alternative activities must be identified for registered 21st CCLC program participants who are unable to attend the field trip if the trip is scheduled during regular program hours.

[1] *See In re Appeal of Clovis Unified School District*, U.S. Dept. of Ed. Remand Order (July 10, 1995).

4.I.2: Field Trip Approval Process:

- A Field Trip Request Form for each planned 21st CCLC field trip must be emailed to eric.rainey@dpi.nc.gov **by the designated seasonal due date and** at least 30 days prior to the anticipated trip date for DPI review and approval. All field trips must be pre-approved by DPI prior to any expenditure related to the trip.
- Any proposed changes to approved field trips during the grant year must be emailed to eric.rainey@dpi.nc.gov for review and approval no later than ten (10) days prior to the field trip.
- Subgrantees should always submit the current fiscal years field trip request form. **Please do not submit field trip requests on an old form.**

4.I.3: Parent/Caregivers, Chaperones and Staff Field Trip Expenses

21st CCLC grant funds can be used to pay for field trip admission for parents/caregivers and 21st CCLC staff members acting as chaperones while attending DPI-approved field trips. Additionally, 21st CCLC funds can be used to pay for admission for parents/caregivers to attend educational field trips with their registered 21st CCLC student(s) if it is stated as a part of the Subgrantee's annual family engagement initiative in the SBE-approved application or DPI-approved continuation application for the current grant year.

4.I.4: Food on Field Trips

To provide food for day field trips during the grant year, 21st CCLC Programs should partner with the school's food /nutrition department and/or other funding sources (See Section J). If partnering with the school's food/nutrition department or other funding sources is not an option, 21st CCLC grant funds can be used to pay for a brown-bag student lunch that is reasonable and appropriate in cost and falls within USDA nutritional guidelines.

21st CCLC Programs can use grant funds to purchase items to pre-make brown bag lunches **to bring on field trips**. The brown-bag lunches can cost no more than $3.00 per lunch per student. All field trip food purchases should be detailed on your Field Trip Approval form prior to DPI approval.

Chaperone and Staff food costs cannot be covered by 21st CCLC Funds.

All 21st CCLC Programs using grant funds to purchase brown-bag lunch supplies should keep up-to-date records for future program and/or fiscal monitoring events. To ensure food costs are reasonable and necessary, 21st CCLC Programs may be asked to show documentation demonstrating the number of lunches purchased matched to daily student attendance on a given field trip day. Discrepancies between these two numbers may result in a program's inability to be fully reimbursed for food purchases.

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[1] *See In re Appeal of Clovis Unified School District*, U.S. Dept. of Ed. Remand Order (July 10, 1995).

4.J: Providing Healthy Snacks

4.J.1: Daily Program Snacks

Providing nutritious snacks in out-of-school programs promotes healthy eating behaviors and can be incorporated into an educational activity related to healthy life choices. However, the 21st CCLC grant is not designed to fund all anticipated program costs. All programs should pursue opportunities to access other funding sources to cover food costs/after school snacks such as:

- National School Lunch Program
- After School Snacks Summer Food Service Program
- Child and Adult Care Food Program (CACFP)
- Local Food Banks

Programs are required to document efforts to offset food costs including the date, person contacted and final resolution. If snacks cannot be provided by a food service program or the local food bank, programs should work to ensure the 21st CCLC program can purchase nutritional snacks that are reasonable and appropriate in cost (see below) and fall within USDA nutritional guidelines.

21st CCLC Programs may use grant funds to purchase daily nutritional snacks based on the following guidelines:

- 21st CCLC Program operates for ***4 hours or less per day***: (1) snack per day per student allowable
- 21st CCLC Program operates for ***more than 4 hours per day***: (2) snacks per day per student allowable

All funds used to purchase daily snacks for 21st CCLC Programs will only be reimbursed up to $0.96 per snack per student. Any costs over $0.96/snack will need to be covered by another non-21st CCLC funding source. When submitting for reimbursement of daily snack purchases, 21st CCLC Programs will be required to send in their daily attendance documentation to demonstrate the costs are reasonable and fall within appropriate guidelines.

[1] *See In re Appeal of Clovis Unified School District*, U.S. Dept. of Ed. Remand Order (July 10, 1995).

Here is a sample snack menu for afterschool programs developed by School Nutrition Services at DPI:

Monday	Tuesday	Wednesday	Thursday	Friday
Whole Grain-rich Blueberry Muffin, 2 oz Apple Juice, ¾ cup	Hard Pretzels, .8 oz Skim Chocolate Milk, 1 cup	Carrot Sticks, 3/8 cup Celery Sticks, 3/8 cup Low-fat Ranch Dip, 1 oz 1% Unflavored Milk, 1 cup	Low-fat Cheese Stick, 1 oz Whole Grain-rich crackers, .8 oz Water	Whole Apple, 125 ct, 1 cup Skim Chocolate Milk, 1 cup
Bagel, 1 oz Low-fat cream cheese, 1 oz Orange Juice, ¾ cup	Low-fat yogurt, 4 oz Graham Crackers, 1 oz Water	Ready to Eat Cereal, 1 oz eq 1% Unflavored Milk, 1 cup	Whole Grain-rich Bread, 1 oz Peanut Butter, 2 Tbsp Water	Animal Crackers, 1 oz Grape Juice, ¾ cup

4.J.2: Providing Food for Family Engagement Events

NOTES

- The above menu is provided as a sample to be used by grantees to measure the appropriate cost to the line item for snacks. DPI will continue to work with all 21st CCLC grantees to accommodate the needs in their specific community related to snacks.
- Programs should maintain appropriate snacks to address students that have disclosed dietary restrictions and/or food allergies. Due to the health risk posed with either situation, the purchase of a reasonable number of snacks to address these criteria could be paid with 21st CCLC funds.

Subgrantees can use 21st CCLC funds to purchase food for family engagement events. Subgrantees should uphold the following policies and procedures when purchasing food for family engagement events:

- Subgrantees should spend no more than $5/attendee (including parents, siblings, etc,).
- Subgrantees will only be reimbursed the cost of food for the actual number of attendees, not the projected number of attendees.
- To demonstrate compliance, Subgrantees should provide DPI sign-in sheets AND agendas for family engagement events to be reimbursed for food costs.

SECTION 5: STAFFING

[1] *See In re Appeal of Clovis Unified School District*, U.S. Dept. of Ed. Remand Order (July 10, 1995).

5.A: Recruitment, Hiring, and Retention

5.A.1: Recruitment and Hiring

Subgrantees must ensure that all 21st CCLC staff roles have clearly written job descriptions. The 21st CCLC Program must also have formal written hiring policies and procedures to not only be shared with all 21st CCLC staff members, but also with DPI upon request. Subgrantees should ensure all 21st CCLC employees are well informed about their job descriptions, performance expectations, and information regarding the evaluation of their job performance . When recruiting and hiring staff and volunteers, 21st CCLC management should make every attempt to match potential staff with 21st CCLC positions that align with their strengths. **All personnel must have a clear criminal background check and screening on file. see Section**

5.A.2: 21st CCLC Staff Retention

Once subgrantees have hired their 21st CCLC Program staff, Programs will be monitored by DPI to ensure they are taking the following measures to best support their staff members for high quality out-of-school program implementation:

- Providing time for regular staff meetings to discuss program impact, program improvement as well as individual student and large group needs
- Ensuring staff members have access to materials and resources that inform their work
- Providing staff continual formal and informal feedback on how to improve their practice
- Offering all 21st CCLC staff regular professional development opportunities throughout the academic year (see Section 5.D below)
- Providing time for the comparison of collected program impact data to approved subgrantee program goals with 21st CCLC staff, students, parents/guardians, and feeder school stakeholders.

5.B: 21st CCLC Leadership Positions Program Director and Site Coordinator

5.B.1: Required Leadership Position(s):

- *21st CCLC Program Director*
  - The Program Director acting on behalf of the subgrantee serves as the leader for the local 21st CCLC program office and all the program sites.
  - The 21st CCLC Program Director is responsible for the implementation of the approved program grant. The Program Director recruits and trains staff, maintains collaborative partnerships to build program sustainability, oversees data collection for program evaluation, ensures program policies and procedures are written and followed, and that the overall out of school program remains in compliance with DPI and federal 21st CCLC Grant Guidance.

[1] *See In re Appeal of Clovis Unified School District*, U.S. Dept. of Ed. Remand Order (July 10, 1995).

- The 21st CCLC Program Director serves as the primary point of contact between DPI and the subgrantee and as such, is responsible for ensuring that all relevant communication from DPI is provided to appropriate staff at the local level. Additionally. The 21st CCLC Program Director is the main point of contact for DPI 21st CCLC Program Monitoring events.

- *21st CCLC Fiscal Agent Chief Administrator*
    - The 21st CCLC Fiscal Agent Chief Administrator is responsible for:
        - Developing and maintaining the annual grant budget
        - Preparing and submitting required financial reports for the grant
        - Maintaining a balanced grant budget and submitting budget amendments as needed
        - Reviewing financial information and reports
        - Supervising day-to-day staff (bookkeeper, admin asst.)
    - The 21st CCLC Fiscal Agent Chief Administrator works to oversee and manage the following processes:
        - Payroll and billing
        - Procurement and bid proposals
        - Audits and fiscal reviews

Please note the above lists are not all inclusive of responsibilities for 21st CCLC Fiscal Agent Chief Administrators or Program Directors.

5.B.2: Optional Leadership Position(s):

- *21st CCLC Site Coordinator(s)*
    - Although not required, Site Coordinators may be beneficial to support program oversight when subgrantees have multiple 21st CCLC program sites (also referred to as 'centers').
    - The Site Coordinator may be responsible for maintaining and organizing resources at a 21st CCLC site to ensure project activities are implemented consistently so that program goals are achieved.
    - When subgrantees have programs located at multiple sites, the Site Coordinator is critical for ensuring that accurate enrollment and attendance records are maintained for submission to DPI.

5.C: Volunteers

Volunteers should be appropriately trained by the Program Director, Site Coordinator, and/or another appropriate staff to maximize the successful use of the volunteers. Once trained, volunteers

[1] *See In re Appeal of Clovis Unified School District*, U.S. Dept. of Ed. Remand Order (July 10, 1995).

should be partnered with staff to guide the implementation of the activity. **As with all personnel who interact with children, volunteers, including parent volunteers, must maintain clear criminal background checks (see Section 7.B.).**

5.D: Staff Training/Professional Development

A well-trained staff is critical to the success of a 21st CCLC program. Initial and ongoing staff training increases the likelihood that all program goals will be met. All staff and volunteers should be provideda 21st CCLC Staff Handbook that includes formal written policies and procedures for creating and maintaining a safe and high quality out-of-school learning environment. . All 21st CCLC Program staff, including volunteers, must receive appropriate training in the following areas at a minimum:

- Federal and State requirements for the 21st CCLC program
- Awareness and understanding of the approved 21st CCLC grant proposal's goals and strategies, program design, timelines, deliverables, and evaluation strategies
- 21st CCLC Program Safety procedures (see Section 10)
- Fiscal procedures, as appropriate
- Subgrantee-specific 21st CCLC Program policies and procedures as outlined in the Staff Handbook. 21st CCLC Staff Handbooks should include at a minimum:
    - Behavior Management Policies and Procedures
    - 21st CCLC-specific safety policies and procedures (See Section XX)
    - Data Collection Plans and Procedures
    - Communication policies and procedures with families and feeder school staff
    - Transition policies and procedures for student arrival, departure and during program time
    - Procedures for formal staff performance evaluations
    - 21DC Policies and Procedures

Evidence of staff training, including dated agendas with sign-in sheets and presentation materials (e.g., presentation slides, handouts, etc.), should be retained on file and provided during monitoring events for review by DPI staff.

Identifying the needed skills and knowledge of each staff member and providing ongoing feedback and resources, supports all staff working with school-age children in out-of-school programs. DPI requires all 21st CCLC Programs survey staff members to gather professional development topics of interest at the beginning of the academic year and then use the collected feedback to develop an annual professional development calendar for 21st CCLC Program staff members. Annual 21st CCLC Program staff professional development calendars should include the following information at a minimum:

- Workshop date (month, day, year) and time
- Workshop topic and facilitator

[1] *See In re Appeal of Clovis Unified School District*, U.S. Dept. of Ed. Remand Order (July 10, 1995).

- Required and optional attendees

Additionally, at the end of each professional development workshop, subgrantees are required to issue a feedback survey to all attendees to determine if the workshop was successful in implementation style and providing 21st CCLC staff with applicable knowledge.

[1] *See In re Appeal of Clovis Unified School District*, U.S. Dept. of Ed. Remand Order (July 10, 1995).

SECTION 6: COLLABORATIONS

The establishment of collaborative partners is critical to both the implementation and sustainability of the 21st CCLC program. Collaborative partners provide resources which may be defined as contributions of expertise, facilities, in-kind or other types of services. Identify the partnering organization contributing each resource. A collaborative partner provides routine, regular, and ongoing services to the program as outlined in a signed partnership agreement or Memorandum of Understanding (MOU).

NOTE
Vendors are not considered to be collaborative partners, but are paid contractors who provide specific, time-limited services.

6.A: Joint Partnerships between LEAs and Non-LEAs

Section 4204(i)(1)(B) of ESEA also requires that States must give competitive priority to applications that are submitted jointly between at least one LEA receiving funds under Title I, Part A and at least one public or private community organization. Joint applications are those where the LEA and participating organization(s) are applying together and share equal responsibility for the 21st CCLC program.

If an awarded subgrantee received priority points for a joint application submission, all required documents must be signed by the person with signatory authority for all participating organizations and uploaded to CCIP in the appropriate Related Documents section. Each joint 21st CCLC Program must have all the following documents signed by the LEA superintendent (or designee) and the community organization's chief executive officer:

- Basic Organization Information
- Statement of Assurances
- Debarment Certification
- Criminal Background Checks
- CCLC Data Integrity and Confidentiality Certification
- Memorandum of Understanding (MOU) detailing each partner's responsibility
- Organizational Chart (illustrating executive and key personnel of fiscal agent and partners)

All completed (i.e., signed and dated for current fiscal year) joint documents must be approved by a 21st CCLC Program Administrator and be made available to DPI for review upon request.

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[1] *See In re Appeal of Clovis Unified School District*, U.S. Dept. of Ed. Remand Order (July 10, 1995).

6.B: Collaboration with Feeder Schools

Feeder schools refers to the schools that students attend during the regular school day. As previously noted, subgrantees must provide an assurance that its program was developed and will be carried out in active collaboration with the schools the students attend. On an annual basis, subgrantees must confirm the various feeder schools served by the 21st CCLC program as part of the continuation funding application. Subgrantees must track and report the participating student's academic and social behavior during the school day as part of the 21st CCLC program's ongoing self-evaluation and to complete the 21st CCLC Annual Performance Report requirement for the USED. Documentation must be maintained by the 21st CCLC Program to demonstrate active communication with feeder schools throughout the grant cycle. During annual 21st CCLC program monitoring events DPI will review the following information to determine a subgrantee's level of compliance and implementation of collaborative feeder school partnerships:

- Formal dated meeting notes and agendas between 21st CCLC Program Director and Feeder School Principals/District Administrators
- Formal dated meeting notes and agendas between 21st CCLC Program Director/Staff and Feeder School Teaching Staff
- Signed and dated impact data sharing agreements between 21st CCLC Program and Feeder School Site(s)/District(s)
- Written impact data collection and evaluation plan including regular meetings focused on sharing 21st CCLC Program impact goals and outcomes with feeder school stakeholders

6.C: Private Schools

Section 8501 of the ESEA, as amended by the ESSA, outlines the requirements for 21st CCLC programs and consultation with private schools.

1. During the development of the grant proposal, the applicant organization is required to contact private school officials in the proposed program's attendance zone (as determined by the proposed feeder schools in the application) to inform them of the opportunity for the private school students and their families to receive 21st CCLC services. Organizations must attest to consultation requirements as a component of applying for funds through the CCIP system.
2. If funds are awarded, subgrantees must consult with private school officials and upload one Private Schools Consultation Form for each private school in the Related Documents section of CCIP (see Appendix J).
3. During the continuation grant years, subgrantees must contact those private schools each year to ensure that private school children and their families have an equitable opportunity to participate in the 21st CCLC program.

[1] *See In re Appeal of Clovis Unified School District*, U.S. Dept. of Ed. Remand Order (July 10, 1995).

The consultation required must occur before the agency, consortium, or entity makes any decision that affects the opportunities of eligible private school children, teachers, and other educational personnel to participate in 21st CCLC programs. Ongoing consultation with private school officials must continue throughout the implementation and assessment of 21st CCLC activities.

Efforts to contact the private schools is monitored by DPI as part of the Program Quality Review (PQR) and Comprehensive Program Monitoring Review (CPMR) Processes.

For more information regarding the consultation requirements with private schools, see Section 8501 of the ESEA, as amended by the ESSA. For a list of private schools in the feeder schools attended by students, refer to the NC Directory of Private Schools.

6.D: Parent and Family Engagement

Successful 21st CCLC programs foster parent/ guardian engagement, promote school and family collaborations, and encourage effective family engagement in consideration of several key factors.

1. **Involve families in program planning**: Programs designed to include families and children in the planning of the 21st CCLC program draw greater support from participants and their families and from the community at large.
2. **Attend to the schedules of working parents***:* Family engagement should be designed to accommodate to the daily schedules of working parents/guardians.
3. **Identify family needs***:* Adult and family services may vary from site to site, but based upon the identified needs and the approved grant, 21st CCLC parent/family educational opportunities may include:
   - English Learner (EL) training
   - Literacy training in English and mathematics
   - GED preparation classes
   - High school completion classes
   - Parenting education classes
   - Computer training programs

Documentation must be maintained by the 21st CCLC Program to demonstrate active communication with families throughout the grant cycle. During annual 21st CCLC program monitoring events DPI will review the following information to determine a subgrantee's level of compliance and implementation of parent/guardian engagement and communication requirements:

- 21st CCLC Program Parent/Student Handbook
  - 21st CCLC Program Parent/Student Handbooks should include at a minimum:
    - Program Goals/Outcomes

[1] *See In re Appeal of Clovis Unified School District*, U.S. Dept. of Ed. Remand Order (July 10, 1995).

- Daily/Weekly Program Schedules
    - Attendance Policies
    - Arrival/Departure Procedures
    - Bus/Transit Procedures
    - Behavior Management Policies and Procedures
    - Homework/Academic Support Procedures
    - Emergency Policies and Procedures
    - Internet Use and Consent Agreements
    - Family Engagement Requirements
    - Consent for data sharing/communication with feeder school, photo releases (including social media), including space for parents/guardians to initial/sign
    - Signature Page for parents/guardians to agree to uphold policies and procedures for duration of student(s) participation in 21st CCLC Program
- Family Engagement Interest Survey templates and completed samples for current grant year
- Dated family engagement workshop and event sign-in sheets with handwritten or electronic signatures and supporting workshop agendas/materials for the current grant year
- Family Engagement Workshop Feedback Survey templates and completed samples for current grant year
- Written annual family communication plan including dates and times for orientations, regular family workshops/events, as well as meetings focused on sharing 21st CCLC Program impact goals and outcomes
- Written annual family communication plans for engaging and supporting non-native English speaking families in 21st CCLC programming

[1] *See In re Appeal of Clovis Unified School District*, U.S. Dept. of Ed. Remand Order (July 10, 1995).

SECTION 7: SAFETY POLICIES AND PROCEDURES

7.A: Written Policies and Procedures

In addition to the required written fiscal policies, written policies and procedures must be developed for the safe and effective operations of the 21st CCLC program. Subgrantees who are also Local Education Agencies (LEAs) may need to expand existing policies to ensure safe and effective learning occurs at out-of-school program sites and during out-of-school time hours. Non-LEA subgrantees may need to access LEA policies to ensure applicable state and federal laws are contained within written policies and procedures. At a minimum, 21st CCLC written emergency preparedness policies and procedures must address at a minimum:

- Procedures for maintaining participant emergency contact information
- Criminal background checks
- Disciplinary policies for violence and bullying
- Emergency preparedness plans including:
    - Fire safety (including evacuation route maps from all 21st CCLC classrooms and schedules for 21st CCLC-specific fire drills)
    - Adverse weather (including schedules for 21st CCLC-specific fire drills)
    - Lockdowns, lockouts and safe family reunification
- Internet usage

Written emergency policies and procedures must also be provided to parents, guardians, and community members in an easily understood format and to the extent possible, written in the language spoken in the home. All written policies and procedures must be maintained on file and available to DPI upon request.

All 21st CCLC staff, volunteers and students must be trained on site-specific 21st CCLC emergency policies and procedures and evidence of training such as agendas, meeting minutes, and sign in sheets must be retained. In addition, Program Directors must develop written agreements and require that staff, volunteers, parents/guardians and students sign that acknowledge that they have received and read each of the policies. Signed agreements must be maintained on file and available for review during annual program monitoring events. DPI may immediately suspend a subgrantee's funds if DPI determines that a threat exists to the health or safety of students, including a lack of staff training.

Additional details for developing required emergency preparedness policies and procedures for the 21st CCLC program can be found below.

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[1] *See In re Appeal of Clovis Unified School District*, U.S. Dept. of Ed. Remand Order (July 10, 1995).

7.B: Criminal Background Check Policies and Procedures

Organizations awarded the 21st CCLC Grant must certify that all employees, direct-service contractors, and volunteers who work with the program have approved criminal background checks on file prior to their work with the program. In accordance with State 21st CCLC guidelines, the organization's procedure regarding criminal background checks must meet the following requirements:

1. Must comply with the criminal background check policy and personnel procedures of the program feeder schools' district(s) [district is also referred to as the Local Education Agency (LEA)], or that of the Subgrantee's governing board.
2. In the absence of an LEA or Subgrantee's governing board policy, the Subgrantee must obtain background checks that meet the following criteria at a minimum:
   - Criminal background checks are run against national and state criminal databases, and must include the North Carolina Sex Offender Database and the National Sex Offender Database.
   - Criminal record checks must be completed and cleared for all new or existing employees, volunteers, or contractors prior to their interaction with children or handling of 21st CCLC funds. All criminal background checks from program employees are considered expired by DPI at the end of a Subgrantees 3-year 21st CCLC grant cycle.
   - Statewide criminal background checks must include all states in which the employee or volunteer lives or has lived for the previous five (5) years.
   - All criminal background checks must be obtained directly and kept on file by the Subgrantee; background checks obtained/submitted by employees are not acceptable. The Subgrantee maintains responsibility to ensure that the background check data is accurate and current.
   - All criminal background checks must include the following:
     - Date criminal history check was obtained;
     - Name of agency that completed criminal history check;
     - Name or identity code of the person who ran the background check; and
     - Results of the criminal history check (i.e., "no record," "record attached," etc.).
3. Individuals convicted of a felony (of any kind) or any offense involving sexual or physical abuse/neglect against a child are strictly prohibited from working with the 21st CCLC Program in any capacity.
4. If an employee or volunteer is arrested, charged, or convicted of a crime as indicated above during the course of contracted services with the 21st CCLC Program, that individual is required to notify the subgrantee within 24 hours (or within 72 hours if arrested), and the organization must run a new criminal background check. If arrested, charged, or convicted of a crime involving physical abuse/neglect against a child the individual must automatically be disqualified from employment.

Up-to-date criminal background documentation for all 21st CCLC employees and volunteers must be maintained by the 21st CCLC Program Director throughout the grant cycle. During annual 21st CCLC

[1] *See In re Appeal of Clovis Unified School District*, U.S. Dept. of Ed. Remand Order (July 10, 1995).

program monitoring events criminal background check reports, policies and procedures must be made available to DPI upon request.

7.C: Violence and Bullying Policies

Workplace violence includes, but is not limited to, intimidation, threats, physical attacks, or property damage. Intimidation includes, but is not limited to, stalking or engaging in actions intended to frighten, coerce, or induce duress. Threat is the expression of intent to cause physical or mental harm. Physical attack is unwanted or hostile physical contact such as hitting, fighting, pushing, shoving, or throwing objects. Property damage includes any intentional damage to property, including property owned by the State, employees, visitors, or vendors. Written policies must address specific expectations for staff, volunteers, and visitors to the program as it relates to prohibition and response to violence in the workplace.

In 2012, amendments and additions were made to the School Violence Prevention Act and it was renamed the North Carolina School Violence Prevention Act of 2012. In addition to bullying, these amendments added a focus on computer related crimes and cyberbullying in order to address their impact on student success and school climate. Subgrantees are encouraged to review the School Violence Prevention Act and ensure the local 21st CCLC standards and procedures reflect the expected guidelines of the statute for a safe and effective learning environment.

7.E: Fire Safety Policies and Procedures

Program Directors should contact local fire marshals to ensure the facility being considered for a 21st CCLC site complies with state and local fire codes for facilities where children gather.

Programs must develop a written fire prevention and evacuation plan and have up to date fire inspection reports for all sites in accordance with state and county guidelines for facilities where children gather (NC GS§115C-525). At a minimum, the written plan must include policies and procedures in the event of a fire, a schedule for planned evacuation drills, and guidelines for staff on how to respond during and after a fire emergency including but not limited to: how to operate a fire extinguisher, safe egress procedures for all students and adults on site, activating the fire alarm or phoning 911 and follow-up reports after a fire.

Fire exits must be clearly indicated and allow for safe egress. Fire extinguishers must be routinely tested as per state fire codes for buildings where children gather. At a minimum, a fire extinguisher should be easily accessible for each area occupied by children and flashlights should be available to all staff in case of a power outage.

[1] *See In re Appeal of Clovis Unified School District*, U.S. Dept. of Ed. Remand Order (July 10, 1995).

Directors may consider notifying local fire stations that an out-of-school program is in operation within their jurisdiction and consider inviting local fire department personnel to speak with the students about fire safety and emergency preparedness.

7.F: Adverse Weather Policy

Policies and procedures must address actions in the event of adverse weather such as a severe thunderstorm, excessive heat warnings, hurricane, tornado, or snowstorm. The Program Director should routinely review local weather reports to determine if student and staff safety are at risk. In the event the school district closes, the 21st CCLC program should close as well. Programs may offer make-up days that either will coincide with the school's make up day or a day that programs do not usually operate.

7.G: Internet Usage Policy

If using the Internet, the 21st CCLC program must develop policies and procedures prohibiting access to or transmission of any material in violation of any U.S. or State regulation or school board policy, including, but not limited to, copyrighted, threatening, or obscene material. In compliance with Title XIII, the Children's Internet Protection Act, 21st CCLC program officials must obtain parent/guardian consent for email and/or Internet communication usage by any students under the age of 13. For more information visit the feeder school district's policy on Internet use and access the Children's Internet Protection Act Guide.

7.H: Procedures for Emergency Drills

Policies and procedures related to emergency drills (not related to weather) must be in place for each grantee and be site specific to address the following; lockdowns, lockout and reuniting students with parents in a designated and safe location.

If the 21st CCLC program operates on the campus of a local public school, the regular school day emergency policies and procedures are not sufficient in demonstrating compliance for practicing emergency drills. Emergency procedures need to be specific to the spaces and personnel overseeing the afterschool program, and practice drills should be practiced during the afterschool hours of operation.

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[1] *See In re Appeal of Clovis Unified School District*, U.S. Dept. of Ed. Remand Order (July 10, 1995).

SECTION 8: REPORTING REQUIREMENTS

8.A: System for Award Management

All subgrantees are required to register and annually update the account with the federal System for Award Management (SAM) electronic database. The fiscal agency that applied for and was awarded the grant is the entity that is required to register in SAM. A Dun & Bradstreet D-U-N-S® and tax identification number (EIN or TIN) are required. To demonstrate compliance, all non-LEA subgrantees must submit the D-U-N-S® number as well as a SAM confirmation registration to DPI in the initial application.

8.B: State Reporting

North Carolina General Statute (G.S. 143C-6-23) requires every nongovernmental entity that receives State or Federal pass-through grant funds directly from a State agency to file annual reports on how those grant funds were used. There are three (3) reporting levels which are determined by the total direct grant receipts from all State agencies in your fiscal year. A subgrantee's reporting threshold may change from year to year. A subgrantee's reporting date is determined by its fiscal year end and the total funding received directly from all State agencies. Grantee Forms for Reporting on State or Federal Pass-through Grants may be downloaded from the website for completion. Submit all reports to NCGrants@dpi.nc.gov.

8.B.1: Reporting Thresholds*

Total Funds from All State Agencies	Reports Due Submit all reports to NCGrants@dpi.nc.gov .	Reports Due Date
Level 1 $1 - $24,999	• Certification • Schedule of Receipts and Expenditures •	Within 3 months of entity's fiscal year end
Level 2 $25,000 - $749,999	• Certification • Schedule of Receipts and Expenditures • Program Activities and Accomplishments	Within 3 months of entity's fiscal year end
Level 3 $500,000 or more	• Certification • Audit [Single Audit if >= $500,000 in federal funds or Yellow Book Audit] • Program Activities and Accomplishments	Within 9 months of entity's fiscal year end

[1] *See In re Appeal of Clovis Unified School District*, U.S. Dept. of Ed. Remand Order (July 10, 1995).

******Reporting thresholds pursuant to* *G.S. 143C-6-23. The information in the table is based on the NC Office of State Budget and Management's manual, Reporting Policies and Guidelines, section 8.6.2.*

**Reporting thresholds of $500k or greater in grant funds received by any entity in North Carolina will constitute a single audit to be conducted.*

NOTE
Failure to comply with reporting requirements will place the Subgrantee's 21st CCLC grant funds in suspension.

8.C: Program Attendance

Studies have shown that the more a child participates in afterschool programs, the more likely they are to show academic and social gains. To allow youth to take advantage of all that 21st CCLC programs offer, there must be steady attendance and access to programs over a significant period of time. Subgrantees are expected to develop and communicate policies to families that emphasize the importance of regular daily attendance in the 21st CCLC program. DPI will closely monitor both student enrollment and average daily attendance (ADA) to ensure programs are serving the number of anticipated students from the original approved grant application, and to offer support and strategies to improve consistent attendance. Attendance reporting must be completed through the Attendance Module of the DPI data collection system, 21DC. Subgrantees must maintain up-to-date enrollment and attendance records in 21DC for each student participating in the 21st CCLC program regardless of the number of hours of participation. PowerSchool rosters for the feeder schools are made available from which to select participating students and are kept current throughout the school year. Below are some definitions used for the data collected in the 21DC system:

- **Student enrollment:** The term student enrollment represents the number of students who have registered and attended at least one hour of 21st CCLC programming. Once a student is initially counted in the enrollment figure, they remain in that count throughout the school year even if they cease to attend the 21st CCLC program.
- **Regular Attendees:** Students who attend the 21st CCLC program 45 hours or more during the academic year. Students who are designated as regular attendees require the completion of a regular school day teacher survey with this data entered into the 21DC system.
- **Average Daily Attendance (ADA):** Student attendance is the presence of a student on days when the 21st CCLC program is in session. Average Daily Attendance (ADA) is calculated by summing the total number of days of attendance for all students and dividing that sum by the total number of program days in the period.

In addition to collecting data to meet federal reporting requirements, the attendance data in 21DC is used by DPI to determine if progress is made toward enrollment goals in order to release the second and third installment of funds. To be counted towards funding installment enrollment goals,

[1] *See In re Appeal of Clovis Unified School District*, U.S. Dept. of Ed. Remand Order (July 10, 1995).

enrolled students must participate in the 21st CCLC program for at least 15 hours. Attendance data for 21st CCLC funding installments will be collected through the Related Documents section of the Comprehensive Continuous Improvement Plan (CCIP) which will be reviewed for approval by DPI.

When program enrollment is reviewed, PAs will also analyze the program's ADA. PA's will notify subgrantees whose ADA is below 70% of their targeted enrollment goal. The purpose of this notification is to provide an early warning as well as support and strategies to improve attendance. After conducting the second installment attendance analysis, if a Subgrantee has an ADA below 70% of their targeted enrollment goal then the subgrantee will be required to submit a corrective action plan to DPI for review. The required corrective action plan will be closely monitored by the regionally assigned PA to ensure the subgrantee is implementing identified steps and strategies to improve attendance.

Following the third installment attendance analysis, if a Subgrantee has an ADA that is less than 70% of its targeted enrollment goal, then the subgrantee's grant award is at risk of being reduced for the following fiscal year. The allocation could be reduced to accurately reflect what the program would receive at 120% of its highest ADA total for the year. Allocation reductions may be voluntary (see Section 4.E. of this document) or may be accomplished through SBE action.

To review the training materials on 21DC, including the use of the Attendance Module, go to: http://www.ncpublicschools.org/21cclc/reporting/.

8.D: Voluntary Reduction or Voluntary Termination

If at any time during the first year or in subsequent years of renewal it is determined that enrollment goals, attendance goals (see Section 8.C.), or other compliance areas are not met to support the total approved grant award, the subgrantee may request a voluntary reduction or termination of the grant by submitting in writing the Voluntary Reduction/Termination form with appropriate signatures (see Appendix F).

If a subgrantee requests a voluntary reduction in the first year of the grant award but is later able to increase enrollment in subsequent years of the renewal period, the total award for that year may be made available for the Subgrantee's 21st CCLC program if sufficient documentation is provided to ensure that attendance goals are met.

8.E: Annual Fiscal Audits

All LEA and charter school subgrantees are required to submit an audit each year of their financial statements, not later than October 31st, to the Local Government Commission (LGC) of the

[1] *See In re Appeal of Clovis Unified School District*, U.S. Dept. of Ed. Remand Order (July 10, 1995).

Department of State Treasurer. The 21st CCLC program, as with all state and federal grants, is subject to audit testing within the scope of the required audit as determined by the auditor. The audit shall be conducted by a Certified Public Accountant (CPA) that has been approved and certified by the LGC as qualified to audit local government accounts. The audits must be performed in accordance with Generally Accepted Auditing Standards (GAAS) and the financial statements must be prepared in conformity with Generally Accepted Accounting Principles (GAAP).

Uniform Guidance requires organizations to have an independent audit conducted by an independent CPA when the annual fiscal year total of all federal funds reaches $750,000. Audit reports must be remitted to the Federal Audit Clearinghouse within 9 months of the organization's fiscal year end. (EDGAR 2 CFR 200.501)

North Carolina General Statute NC Administrative Code 09 NCAC 03M requires a single audit for non-state entities receiving over $500k in accumulated federal or state dollars through NC State agencies. See additional requirements in the State Reporting Requirements section.

NOTE
Failure to comply with all reporting requirements will place the subgrantee's 21st CCLC grant funds in suspension.

[1] *See In re Appeal of Clovis Unified School District*, U.S. Dept. of Ed. Remand Order (July 10, 1995).

SECTION 9: PROGRAM EVALUATION

Program evaluation is not only a component of the federal Principles of Effectiveness, but process and outcome data collection and analysis can inform, refine, or reinforce key components of the 21st CCLC program. Process evaluations and progress monitoring can provide evidence to make programmatic changes while outcome evaluations can inform overall program goals.

9.A: Self-Assessment Tool

In 2017, DPI, in partnership with SERVE Center at the University of North Carolina at Greensboro, and the NC Center for Afterschool Programs (NCCAP), revised a self-assessment tool as a starting point to develop a more streamlined and accessible approach for 21st CCLC programs to use in internal reviews of their program quality. The self-assessment tool is intended to facilitate the work of 21st CCLC Program Directors in their organizational reviews and planning around the continuous improvement of program quality in all areas of out-of-school programming. The program self-assessment format is designed to engage program leaders in thoughtful discussions with stakeholders, including internal staff, about how to identify areas of strength and improve other areas that may need attention. It includes questions under eight broad-based quality standards, reflecting features of a high quality out-of-school program. The instrument is not meant to be used for external judging of a program as "good" or "bad" but rather, is intended for program leaders' use in identifying programmatic practices and processes that could be improved.

9.B: Data Reporting in the 21DC system

The key purposes of data collection are: (1) to complete federal reporting requirements; (2) to demonstrate that substantial progress has been made towards meeting the objectives of the 21st CCLC program as outlined in the grant application, including enrollment data; and (3) to provide information for local, state, and federal program evaluations. Subgrantees are required to collect 21st CCLC data and report it annually to DPI via the 21DC system. DPI collects data through 21DC to complete annual federal reporting requirements via the federal 21APR system. For more information on the 21DC system, click HERE.

9.C: Annual Program Evaluation Report

In addition to meeting federal evaluation requirements, subgrantees must submit an Annual Program Evaluation Report (APER) and upload the document into the Related Documents section of CCIP. The APER must be uploaded and approved in CCIP prior to the release of the 2nd installment.

[1] *See In re Appeal of Clovis Unified School District*, U.S. Dept. of Ed. Remand Order (July 10, 1995).

9.D: External Evaluators

Although not required, external evaluators may be used to conduct an independent assessment of the 21st CCLC program. If an external evaluator has agreed to serve as the evaluator for the program, the amount to be paid to the evaluator from grant funds cannot exceed three percent (3%) of the grant award amount. If the amount to be paid exceeds 3% of the grant award, the outstanding balance must come from other resources. In addition, all applicable federal, state, and local procurement procedures, including conflict of interest rules, must be followed when selecting an external contracted evaluator.

9.E: Comprehensive Program Sustainability Plan

Subgrantees are expected to develop and annually update a Comprehensive Program Sustainability Plan. 21st CCLC sustainability plans have two key components: a data collection and evaluation plan and a funding sustainability plan.

9.E.1: Data Collection and Evaluation Plan

In support of the sustainability plan, 21st CCLC subgrantees must maintain accurate records and track student impact data annually to demonstratesuccess. Student impact data collected annually by each program should demonstrate students' academic and personal growth resulting from participation in the 21st CCLC funded program. At a minimum, annual 21st CCLC Program Data Collection and Evaluation Plans should include:

- the type(s) of impact data collected annually (e.g., assessments, report cards, survey results, etc.)
- time periods for collection of each identified impact data type
- the responsible 21st CCLC staff members assigned to collect each impact data type
- a brief description of how the impact data will be analyzed and shared with 21st CCLC staff, students and stakeholders

9.E.2: Funding Sustainability Plan

Data that substantiates students' academic and personal growth resulting from the 21st CCLC funded program can illustrate to community members, parents/guardians, and potential funders the importance of continuing the work beyond the 21st CCLC funding cycles. Throughout the various program year cycles, subgrantees should use their annual data collection plans and program evaluation reports as evidence of success to engage potential donors and apply for additional grant funds to support long-term program operation beyond the funded 21st CCLC grant cycle.

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[1] *See In re Appeal of Clovis Unified School District*, U.S. Dept. of Ed. Remand Order (July 10, 1995).

As a grant requirement, all DPI 21st CCLC Programs are required to develop a documented, time-bound action plan for multi-year program funding sustainability. At a minimum, the 21st CCLC Program Funding Sustainability Plan should include:

- An up-to-date list of potential grants/donors with associated funding amounts and potential funding restrictions
- timelines for potential acquisition of funds
- the 21st CCLC staff responsible for building relationships and applying for grants
- A brief description of how the funds will work to enhance/supplement the 21st CCLC Program, and not supplant the current funding

During annual 21st CCLC program monitoring events a subgrantee's current Comprehensive Program Sustainability Plan must be made available to DPI upon request.

[1] *See In re Appeal of Clovis Unified School District*, U.S. Dept. of Ed. Remand Order (July 10, 1995).

SECTION 10: SUBGRANTEE MONITORING

DPI is required to monitor the quality and effectiveness of the programs operating with funds provided through 21st CCLC grants (EDGAR, 2 CFR § 200.331). Monitoring reviews 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 Federal Program Monitoring and Support Division at DPI engages in four types of monitoring of federal programs which may be conducted as announced or unannounced.

A risk assessment determines how programs will be monitored throughout the 3-year grant cycle. The risk assessment includes a consideration for factors including, but not limited to, 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.

Although programs may deliver high quality 21st CCLC programming in compliance with both program and fiscal requirements, DPI will not be able to verify compliance without accurate documentation and records retention. Programs are encouraged to organize, label, file, and retain records of all meetings, trainings, and communications to verify compliance. Records may be paper or electronic and stored in either paper or electronic format but should be easily accessible during the review process.

For a list of Sample Program Documentation, see Appendix H.

10.A: Comprehensive Program Monitoring Reviews (CPMRs)

CPMRs are conducted on-site at the organization location where program documentation is maintained with visits to individual centers (sites) as appropriate. The review process utilizes an instrument with four (4) compliance strands:

1. Program Management
2. Program Implementation
3. Family and Community Engagement
4. Federal/State/Local Statute

During the visit, PAs will review documentation, conduct interviews, and provide technical assistance when applicable. Following the review, a report is completed based on the following CPMR Rating Rubric:

[1] *See In re Appeal of Clovis Unified School District*, U.S. Dept. of Ed. Remand Order (July 10, 1995).

Meets Requirements	Meets Requirements with Recommendations	Findings	NA – Not Applicable
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 is not applicable.

The CPMR report will be provided to the primary contact for the organization. The organization must respond in writing to each item marked as Finding 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 response.

10.B: Fiscal Monitoring Reviews (FMRs)

FMRs are conducted on-site at the organization location where fiscal records are maintained. The review process utilizes an instrument with ten (10) compliance strands:

1. Overall Financial Management of Program
2. Fiscal Procedures
3. General Procurement Standards, Contracts, and Organizational Chart
4. Payroll
5. Budget
6. Equipment
7. Transactions
8. General DPI Fiscal and Program Guidance
9. Prior Monitoring
10. Questioned Cost

During the on-site review, Fiscal Monitors will review documentation, conduct interviews, and provide technical assistance when applicable. Following the review, a report is completed based on the following FMR Rating Rubric.

Meets Requirements	Meets Requirements with Recommendations	Findings	NA – Not Applicable
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.	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.	Accountability standard is not applicable.

[1] *See In re Appeal of Clovis Unified School District*, U.S. Dept. of Ed. Remand Order (July 10, 1995).

Compliance is consistent at program level and sites sampled.		Interviews lack understanding or support of documentation, processes, and implementation. Compliance is inconsistent at program level and sites sampled.	

The FMR report will be provided to the primary contact for the organization. The organization 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.

Beginning with the 2020-2021 grant year, if questioned cost are identified within the "sample" drawdowns being reconciled by the fiscal monitor (during a fiscal site visit and/or fiscal desk review), DPI staff must review all BAAS and/or ERaCA submissions for the grant year in question to determine if there are additional questioned cost to be returned to DPI.

NOTE
Beginning in the 2019-2020 Fiscal Year, all fiscal monitoring reviews with questioned costs greater than $500.00 resulted in the program's account being disabled until all questioned costs were reconciled.

10.C: Program Quality Reviews (PQRs)

PQRs are less-formal visits that allow for conversations about strategies to improve program quality in any of the four compliance strands associated with the CPMR protocol. PQRs are conducted based on prior observation, available desk review data, or subgrantee requests for specific support. Once the PQR strand is determined, the PA uses individual PQR template for that respective strand to document the visit.

Although PQRs provide an opportunity to check on compliance, the PQR instrument and related protocol are not designed to identify specific compliance findings; rather, 21st CCLC PAs utilize PQRs to provide technical assistance and to promote program quality. On the PQR instrument and subsequent report, the PAs provide written feedback under the broad headings of "Commendations," "Concerns," and "Recommendations."

Although DPI provides written PQR reports to the primary contact for the organization to summarize the recent onsite visit, subgrantees are not required to provide a corrective action response or any other response in writing.

[1] *See In re Appeal of Clovis Unified School District*, U.S. Dept. of Ed. Remand Order (July 10, 1995).

10.D: Desk Reviews

Desk Reviews are conducted at DPI each year based on documentation submitted by each organization to the Division to support program and fiscal compliance. Desk Reviews may be conducted quarterly comparing approved budgets to expenditure reports. For organizations utilizing the ERaCA system, the fiscal review includes at least one random sampling of supporting documents submitted to DPI on a monthly basis reconciled to cash drawdowns.

10.E: Summer Technical Assistance Visits

Summer Technical Assistance visits are informal visits and may be conducted by DPI Program Administrators during summer intersession. Unless otherwise noted, Summer Technical Assistance visits are on-site visits including brief program site tours, classroom observations and informal interviews with 21st CCLC Program Directors and other staff as needed. Technical Assistance visits will not result in findings, however, the Subgrantee will receive a copy of the Program Administrator's completed site visit checklist tool for review.

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[1] *See In re Appeal of Clovis Unified School District*, U.S. Dept. of Ed. Remand Order (July 10, 1995).

SECTION 11: TERMINATION OF GRANTS

The State Board of Education (SBE) is ultimately responsible for administration of sub-grants at the local level. When there are issues that prohibit the subgrantee from administering the 21st CCLC program within requirements, subgrantees will first be provided with technical assistance to correct areas of non-compliance. 21st CCLC PAs are available to assist with identifying how the subgrantee may be able to make fiscal and/or programmatic improvements. If technical assistance efforts do not result in full compliance, the DPI may recommend to the SBE a termination of the 21st CCLC grant.

(a) The DPI may recommend termination of a 21st CCLC grant to the SBE, in whole or in part, to a subgrantee before the end of the grant period if the subgrantee has:
1) materially failed to comply with the terms and conditions of the grant;
2) failed to comply with State Education Agency (SEA) policies; or
3) failed to comply with state or federal law.

(b) When recommending the termination of a grant in whole or in part, the DPI shall send written notification by certified mail to the subgrantee that the DPI is proposing to terminate the grant award for nonperformance or noncompliance.

(c) Written notification is provided at least thirty (30) days prior to sending a formal recommendation for termination to the SBE.

(d) The notification shall include, at a minimum:
(1) the reason(s) for initiating the termination;
(2) the effective date of the proposed termination; and
(3) an explanation that the subgrantee may forego the termination process by electing to withdraw from the 21st CCLC grant program.

(e) The subgrantee has fifteen (15) days from receipt of the notification to respond in writing to NC DPI indicating its objection to the proposed termination.

(f) The written objection shall include:
(1) a response to each reason listed for the proposed termination;
(2) an explanation why the finding is faulty or based upon excusable conduct; and
(3) if the subgrantee wishes to appear personally to present its objections.

(g) If the DPI does not receive a written objection in a timely manner, then the proposed termination is considered unopposed and may be presented at the next meeting of the SBE for final action.

(h) If the subgrantee submits a timely written objection, the DPI will forward the recommendation along with the objection to the SBE for placement on the agenda for the next regular SBE meeting.

(i) If the subgrantee has requested to make a personal appearance, the request will be forwarded to the chair of the appropriate committee who will place the item on the agenda for the next regular committee meeting.

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[1] *See In re Appeal of Clovis Unified School District*, U.S. Dept. of Ed. Remand Order (July 10, 1995).

(j) If a subgrantee is terminated for noncompliance/nonperformance, it cannot reapply for a 21st CCLC grant that would begin at any point during the four consecutive school years after the termination action.

(k) DPI shall be liable only for payment in accordance with the provisions of the 21st CCLC grant award for services rendered prior to the effective date of the termination.

(l) A subgrantee has the right to request a hearing if it alleges that the DPI violated a State or Federal statute or regulation when it terminated the 21st CCLC grant of the subgrantee.

(m) A subgrantee may submit to the DPI a written request for a hearing within thirty (30) days of the action of the SBE.

(n) Within thirty (30) days after the DPI receives the request for a hearing, the DPI shall hold a hearing on the record and shall review its action. The hearing may be conducted by a hearing officer.

(o) No later than ten (10) days after the hearing the DPI shall issue its written ruling, including findings of fact and reasons for the ruling.

(p) If the DPI determines that the DPI's action was contrary to State or Federal statutes or regulations that govern the 21st CCLC program, the DPI shall rescind its action.

[1] *See In re Appeal of Clovis Unified School District*, U.S. Dept. of Ed. Remand Order (July 10, 1995).

SECTION 12: APPEALS PROCESS

Under section 432(a) of the General Education Provisions Act (GEPA), a subgrant recipient aggrieved by the final action of a State educational agency (SEA), "and alleging a violation of State or Federal law, rules, regulations, or guidelines governing the applicable program, in . . . failing to provide funds in amounts in accord with the requirements of laws and regulations," may within 30 days request that the SEA conduct a hearing to review its decision. 20 U.S.C. 1231b-2(a).

Within 30 days after receiving such a request from a subgrant recipient, the SEA must hold a hearing on the record and review its final action. Id. Section 432(b) provides further that the subgrant recipient may appeal "the failure of [an SEA] to rescind its final action after a review" to the Secretary within 20 days after being notified of the SEA's decision. 20 U.S.C. 1231b-2(b); see also 34 C.F.R. 76.401(d)(2)-(7) (Revised as of July 1, 2017).

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 DPI'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, Director
   Federal Program Monitoring and Support Division
   North Carolina Department of Public Instruction
   Mail Service Center 6307
   Raleigh, NC 27699

2. Hand-delivered to:

   Physical Address:
   Dr. Latricia Townsend, Director
   Federal Program Monitoring and Support Division
   North Carolina Department of Public Instruction
   Mail Service Center 6307
   Raleigh, NC 27699

Within 30 days of receiving the hearing request, DPI will hold a hearing on the record to review its action. Pursuant to *In re Appeal of Clovis Unified School District*,[1] 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 arranged through DPI General Counsel. During the hearing, the parties will have the opportunity to present and

[1] *See In re Appeal of Clovis Unified School District*, U.S. Dept. of Ed. Remand Order (July 10, 1995).

challenge evidence in an orderly fashion before an impartial decision maker.[2] No later than 10 days after the hearing, the hearing officer, as the impartial decision maker, will issue a written ruling on behalf of DPI including findings of fact and reasons for the ruling. The parties may waive these deadlines by mutual consent in writing.

DPI will rescind its action if it determines the action conflicts with Federal or State laws and regulations governing the applicable program. If after review, DPI 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.

DPI 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.

If an applicant applied for a subgrant under a covered program listed in 34 C.F.R. § 76.401(a), DPI will provide an opportunity for a hearing before it disapproves the application. If the applicant applied for a hearing under a program not listed in 34 C.F.R. § 76.401(a), DPI will provide an opportunity for a hearing either before or after it disapproves the application.

[1] *See In re Appeal of Clovis Unified School District*, U.S. Dept. of Ed. Remand Order (July 10, 1995).

SECTION 13: APPENDICES

Appendix A: 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 treated 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 B: PROGRAMMATIC AMENDMENT FORM

21st Century Community Learning Centers (CCLC) Program
PROGRAMMATIC AMENDMENT FORM

This form should be used to request a notable change in the program service delivery currently implemented to support the goals of the awarded 21st CCLC Grant proposal. This document should not be used to document minor program adjustments nor to request a budget amendment (budget amendment requests should be submitted via the Budget Form 209).

21st CCLC Program Name:	_____	**Unit No:** _____	**Cohort:** _____
Program Director:	_____	**Phone:** _____	**Requested change is for School Year** ☐
E-mail address:	_____	**Fax:** _____	**Requested change is for Summer** ☐

PROPOSED ELEMENT TO ALTER IN APPROVED GRANT PROPOSAL: 1) *Refer to section(s) and page(s) of the original grant proposal. Indicate the page number or section in the application where the language/content proposed for change can be found.* ***2)*** *State the current language/content in the approved application for which you are submitting the amendment request.*
_____
RATIONALE: *Provide the rationale for the proposed changes to the implementation plan to support the goals or objectives of the approved 21st CCLC Grant application. Provide background information that will explain why the proposed change(s) are necessary.*
_____
IMPLICATIONS FOR OTHER PROGRAM ELEMENTS: *Discuss the implications and challenges that might be associated with the proposed amendment as it relates to personnel, training, budget (may require separate Budget Amendment Form 209), or any other operational logistics as appropriate.*
_____

NOTE: To be processed, the *Programmatic Amendment Form* must include a handwritten signature by Fiscal Agent's Chief Administrator or Authorized Designee.

My signature below indicates that I have read and approved the proposed amendments to the awarded 21st CCLC Grant application for my organization.

_______________________________________ ____________

(Fiscal Agent Chief Administrator or Authorized Designee) *(Date)*

____ ______________

(21st CCLC Program Director) *(Date)*

Appendix C: VENDOR ELECTRONIC PAYMENT FORM

For 21st CCLC Non-LEA Organizations to receive payments electronically, you must print, complete this form, attach a voided check and return to Melba Strickland at Melba.Strickland@dpi.nc.gov. DO NOT SEND COMPLETED FORMS TO THE OFFICE OF STATE CONTROLLER.

Office of the State Controller
Return to: OSC Support Services Center
Address: 1410 Mail Service Center
Raleigh, NC 27699-1410
Email: osc.support.services@osc.nc.gov
Telephone: 919-707-0795

Vendor Electronic Payment Form

☐ New Add Request
☐ Change/Update Existing Account
☐ Inactivate Existing Account

*Denotes a required field

The State of North Carolina offers payees the opportunity to receive payments electronically through U.S. based banks. In addition to having the funds deposited electronically, you will also receive remittance information by e-mail.

We require you to submit a copy of a voided check, bank statement, or a bank authorization letter on bank letterhead signed by a bank representative for account verification.

*TAX ID # or SSN

*PAYEE NAME

*REMITTANCE ADDRESS (AS PRINTED ON YOUR INVOICE)

STREET SUITE/ROOM #

CITY STATE ZIP CODE

*CONTACT

NAME & TITLE PHONE NUMBER

NEW FINANCIAL INFORMATION

*FINANCIAL INSTITUTION NAME:	
*NAME ON ACCOUNT:	
*NEW ROUTING NUMBER:	
*NEW ACCOUNT NUMBER:	
*ACCT TYPE:	☐ Checking ☐ Savings
*REMIT E-MAIL ADDRESS	

New add requests MUST include contact information for the state agency with which you are doing business.

*North Carolina Agency Name:	*North Carolina Agency Contact Name:
*North Carolina Agency Contact Email Address:	*North Carolina Agency Contact Phone Number:

PRIOR FINANCIAL INFORMATION (only required for updates)

FINANCIAL INSTITUTION NAME:	
NAME ON ACCOUNT:	
ROUTING NUMBER:	
ACCOUNT NUMBER:	
ACCT TYPE:	☐ Checking ☐ Savings
REMIT E-MAIL ADDRESS	

*	ALL BOXES BELOW MUST BE REVIEWED AND CHECKED
☐	I acknowledge that electronic payments to the designated account must comply with the provisions of U.S. law, and the requirements of the Office of Foreign Assets Control (OFAC). I affirm the entire amount of the payment will not be transferred to a foreign bank account.
☐	I authorize the Office of the State Controller to initiate ACH payments, and if necessary, adjustments for any ACH payments in error, to the financial institution and account identified on the attached certification document. This authority will remain in effect until I, the vendor, cancel it in writing or the authority is terminated by the NC Office of the State Controller.
☐	I have attached a copy of a current voided check, current bank statement, or a bank authorization letter on bank letterhead signed by a bank representative.

*PRINT NAME:	*DATE:
*SIGNATURE:	*PHONE NUMBER:

Revised February 2020

Instructions * Denotes a required field on the form

1. *Check the appropriate box at the top of the form:
   - New Add Request – Vendor would like to begin receiving payments via ACH.
   - Change/Update Existing Account – Vendor's account number, routing number, or remittance email address has changed.
   - Inactivate Existing Account – Vendor no longer wants to receive payments via ACH.
2. *Enter the vendor's Tax Identification Number or Social Security Number.
3. *Enter the Payee Name – The name of the person or business receiving payment.
4. *Enter the vendor's remittance address. The remittance address is the address printed on your invoice where payments should be sent.
5. *Enter the vendor's contact name, title, and phone number.
6. *Enter the vendor's financial information:
   - Financial Institution Name – Name of the financial institution.
   - Name on Account – The account owner's name.
   - Routing Number – Nine-digit number identifying the financial institution.
   - Account Number – The bank account number where the funds should be deposited.
   - Account Type – Is this a checking or savings account? Check the appropriate box.
   - Remit E-mail address - Enter the email address to which the remittance advices should be sent.
7. *For a new add request only, provide the following:
   - North Carolina State Agency Name – The state agency the vendor is doing business with.
   - North Carolina State Agency Contact Name – The vendor's contact person name at the state agency.
   - North Carolina State Agency Contact Email Address – The contact person's email address at the state agency.
   - North Carolina State Agency Contact Phone Number – The contact person's phone number at the state agency.

   NOTE: New add requests MUST include contact information for the state agency with which you are doing business.
8. Prior Financial Information – this is required if the vendor's bank account, routing number, or remittance email address has changed.
   - Financial Institution Name – Name of the prior financial institution.
   - Name on Account – The account owner's name.
   - Routing Number – Nine-digit number identifying the prior financial institution.
   - Account Number – The bank account number where the funds were being deposited.
   - Account Type – Is this a checking or savings account? Check the appropriate box.
   - Remit E-mail address - Enter the email address to which the remittance advices were being sent.
9. *Review all the information in the 3 attestation boxes located above the signature area. All 3 boxes must be checked – **otherwise the form will not be processed.**
10. *Print Name – Print the name of the authorized signee on the form.
    *Date – Date of signature.
    *Signature – The authorized signee's signature.
    *Phone Number – The authorized signee's phone number.

Return to: OSC Support Services Center
Address:
1410 Mail Service Center
Raleigh, NC 27699-1410
Email: osc.support.services@osc.nc.gov

Please allow up to 30 days for processing.

Revised February 2020

Appendix D: ERACA RECONCILIATION COVER SHEET FOR DOCUMENT SUBMISSION

Organization Name	
Unit Number	
COHORT NUMBER	☐ *Cohort 15 (New)* ☐ *Cohort 14* ☐ *Cohort 13* *(If your program has multiple Cohorts, please submit each Cohort separately)*
Amount Requested	
ERaCA SUBMISSION DATE	

I attest that the organization is submitting accurate and complete information for this reimbursement request.

Signature of Fiscal Agent Organization Chief Administrator for the Non-LEA as Listed in the Basic Program Information Form	DATE

Send Documentation to Melba.Strickland@dpi.nc.gov
*Documentation must be received within 10 business days of the ERaCA submission to avoid disablement of 21st CCLC funds.

Appendix E: SAMPLE SCREEN PRINT FOR NON-LEA DOCUMENT SUBMISSION

ERaCA - Expenditure Reporting and Cash Application for Education Centers

Home > Inquiry Submitted Data

Federal Programs

Expenditure/Cash Request Data Inquiry Screen

Fiscal Year : 2018
Calendar Month : July
Submitted Date : [redacted]
Unit Number : [redacted]
Program Report Code : 110 - Title IV - 21st Century Community Learning Ctr   Fund : Federal
Submitted Time : [redacted]
Submitted Status: P

Account Description	Account Code	Expenditure
Extended Day/Year Instr - Salary - Director and/or Supervisor	5350-110-113	$134.94
Extended Day/Year Instr - Salary - Teacher	5350-110-121	$4,131.48
Extended Day/Year Instr - Employer's Soc Sec - Regular	5350-110-211	$370.38
Extended Day/Year Instr - Employer's Workers' Comp Ins	5350-110-232	$34.61
Extended Day/Year Instr - Employer's Unemployment Ins	5350-110-233	$104.02
Extended Day/Year Instr - Field Trips	5350-110-333	$1,300.00
Alternative Progs Support & Dev - Salary - Director and/or Super	6300-110-113	$575.28
		row(s) 1 - 7 of 7

Expenditure Total for Program : 110   Total : **$6,650.71**
ATS_Amount : $19,987.32

Request Cash (•) Yes ( ) No   Cash Request Amount : **$6,650.71**
ATD Amount : $19,987.32 Fund Requirement Date : [redacted]

Cash Request is **Approved**
Amount : $6,650.71

Appendix F: DEFINITIONS OF APPROPRIATE SUPPORTING DOCUMENTS

Definitions

Payroll & Payroll Deductions

General Expense Attributes				
Expense Support: *Expense agrees to check stub, timesheets, and/or invoices*	***Payment Support:*** *Expense agrees to cancelled checks (front/back), bank statements, credit/debit card statements*	***Internal Control:*** *Expense is reviewed and approved prior to payment (invoice, and payment for processing)*	***Budget Control:*** *Expense was included within the Budget/Preapproved*	***Reimbursement:*** *All payments are made after services rendered or goods received and reimbursed only after payment*

Direct Costs Including Contractual Services, Snacks, Supplies and Computer Software

General Expense Attributes				
Expense Support: *Expense agrees to check stub, timesheets, and/or invoices*	***Payment Support:*** *Expense agrees to cancelled checks (front/back), bank statements, credit/debit card statements*	***Internal Control:*** *Expense is reviewed and approved prior to payment (matching invoice and payment for processing)*	***Budget Control:*** *Expense was included within the Budget/Preapproved*	***Reimbursement:*** *All payments are made after services rendered or goods received and reimbursed only after payment*

Indirect Costs Subject to Allocation Percentage (i.e. accounting, payroll processing, management, purchasing

General Expense Attributes				
Expense Support: *Expense agrees to check stub, timesheets, and/or invoices*	***Payment Support:*** *Expense agrees to cancelled checks (front/back), bank statements, credit/debit card statements*	***Internal Control:*** *Expense is reviewed and approved prior to payment (matching invoice and payment for processing)*	***Budget Control:*** *Expense was included within the Budget/Preapproved*	***Reimbursement:*** *All payments are made after services rendered or goods received and reimbursed only after payment*

Payroll Attributes			Allowability
Certified Payroll: *At least monthly certification of employee time worked on the activity*	***Serving Students:*** *Time per timesheets is performed solely when school is not in session and only when students are being served (no paid holidays)*	***Mulitple Program Support:*** *Funds in support of the identified program are used only for that program*	***Allowability:*** *Expense is allowable according to EDGAR*

Contractual Expense Attributes					Allowability
Contract provided is for the services and period of services rendered (not prepaid)	*Appropriate Considering the Program*	***Snack & Meals:*** *Copies of sign-in forms and agendas for Staff and parent meetings or preapproved in budget*	*Purchased Supplies do not exceed $2,000 a month and appropriate considering the program*	***Gas Receipts:*** *Includes vehicle number or license plates*	***Allowable Expense?*** *(Expense is allowable based on grant agreement and Uniform Grant Guidance)*

etc

Contractual Expense Attributes				
Contract provided is for the services and period of services rendered (not prepaid)	*Appropriate Considering the Program*	***Gas Receipts:*** *Includes vehicle number or license plates*	*Percentage Utilized agrees to % approved and provided by DPI*	***Allowable Expense?*** *(Expense is allowable based on grant agreement and Uniform Grant Guidance)*

Appendix G: VOLUNTARY REDUCTION OR TERMINATION OF GRANT AWARD

Sub-recipient Name		Unit Number		Year of Award	

A 21st Century Community Learning Center (21st CCLC) 21st sub-recipient may initiate termination or reduction of its grant award by submitting written notification to the Federal Program Monitoring Section. The notification shall state the reason(s) for initiating the reduction or termination process and the effective date of the reduction or termination. Please indicate below if the request is for termination or reduction of funds.

I. REQUEST FOR TERMINATION OF 21st CCLC GRANT

☐	**The sub-recipient would like to voluntarily terminate its grant program.**	**The proposed effective date for the grant program termination: ______**
Reason: ______		

II. REQUEST FOR REDUCTION OF 21st CCLC FUNDS

☐	**The sub-recipient would like to voluntarily reduce the amount of 21st CCLC funds for the following time period:** ☐ **The current fiscal year.** ☐ **The remainder of the grant cycle.**
If decision is due to low enrollment/attendance, provide the attendance details in the next row. If not, skip to the "Reason" text box below.	
Initial Enrollment/Attendance Targets As Approved in the Grant Application) (List for each site if applicable):	**Revised Enrollment/Attendance Targets (List for each site if applicable):**
Reason:	

(Printed Name of Subgrantee Official) (Signature of Subgrantee Official) (Date of Request)

Submit completed requests to Melba Strickland at melba.strickland@dpi.nc.gov.

Appendix H: FIELD TRIP APPROVAL FORM

Name of Program		**Unit Number**	
		Cohort	
Person Completing Form		**Date of Form**	

For each proposed school year field trip, complete and upload this form in the Related Documents section of CCIP with the continuation application for prior approval if requesting 21st CCLC reimbursement. Do not complete if there are no costs or if using other funding sources. Forms submitted after the (Date) deadline will not be approved, and trips that occurred without prior approval will be subject to repayment.

Goal(s): List the goal(s) from the grant application that is (are) associated with the proposed field trip.		
Objective(s): List the objective(s) from grant application that is (are) associated with the proposed field trip.		
Description of Field Trip		
Date of TRIP:	**Time:**	**Duration:**
Location: (Name and address of field trip destination)	**Distance: (Total number of miles round trip)**	**Type of Transportation:**
Field Trip Destination: (List title and topic including website link(s), as applicable)		
Pre-Activity(s):		
Activity(s) During the Field Trip: (*For multi-day trips please attach a daily agenda)*		
Post-Activity(s):		

GO TO NEXT PAGE
Attendees: (List the number of students and chaperones attending)

Costs	Quantity or Number	Cost Per Item	Total
Students			
Chaperones			
Transportation Costs (contract amount or #miles x cost per mile)			
Bus Driver Costs (# drivers x hourly rate x hours)			
Grand Total			$

Are the 21st CCLC funds for this field trip in the approved FY Budget or Amendment?	**Yes**		**No**	

Appendix I: SAMPLE PROGRAM DOCUMENTATION

*Ongoing records, evidence/artifacts, and documentation must be provided for the following program components, as described in your grant application, to ensure that the grant is being implemented as proposed. Please note **the list provided is not all inclusive**. It is the 21st CCLC subgrantee's responsibility to maintain adequate records to demonstrate compliance.*

<table>
<tr><td>Program Management</td><td>
Roster of students indicating feeder school
Enrollment and daily attendance records for each site
Recruitment plan/marketing materials
Programmatic schedule with student contact days/hours of operation
Organization chart
Staff handbook addressing policies and procedures
Schedule of staff training with example materials, sign-in sheets, minutes
Job descriptions of key personnel with required qualifications
Program directors
Site coordinators
Teachers
Data specialist v. Support staff
External Evaluator
Implementation of the program's organizational, managerial, and staffing structure including hiring procedures for appropriate and qualified staff
Programmatic schedule (for each site)
Sample written communication with staff members
Minutes from collaborative planning meetings
Samples of communication with stakeholders
Sample communication with schools (as applicable) to demonstrate ongoing communication
Evidence of sustainability plan
</td></tr>
<tr><td>Program Implementation</td><td>
Sample lesson plans and student materials
Compliance with written district or organization plan for evaluating and managing staff performance
Written professional learning plan
Yearly schedule of professional learning opportunities and agendas
Staff rosters with attendance – sign-in sheets by participants from professional learning opportunities is a requirement for each planned activity
Collection of evaluations of professional learning activities
Written plan for staff evaluation
Data collection to support progress on performance indicators and measures of student success
Evidence of field trip follow-up activities
</td></tr>
</table>

Family and Community Engagement	• Specific program information for target community provided, including parents, regular day teachers/staff, school administration, and non-English speaking parents • Student/parent handbook • 21st CCLC staff communication with parents • Communication with community and stakeholders • Communication and collaborate with principals, superintendents/CEO, and other regular day staff (e.g., progress reports, sharing of data, review of evaluations and attendance data, etc.) • Details/methods of communication in appropriate language(s) • Documentation of communications (notes, agendas, sign-in sheets, evaluations, notifications, reminders, emails etc.) for each site • Communication and reports to parents and regular school day teachers on student progress
Federal, State, and Local Statutes	• Written safety/emergency preparedness plan specific to each site/program • Regularly scheduled safety, emergency drills (inclement weather, fire, and safety/intruder). Maintain a log of drills to include type of drill, date, time, etc. • Availability of emergency contact information for staff and students • Inclement weather procedures • Internet usage policy • Daily drop-off and/or pick-up procedures • Transportation (e.g., policies, length of travel time, etc.) • Evidence of procedures for acquiring national criminal background checks prior to employment on all staff as well as how program will determine fitness for employment. Must provide samples of criminal background checks (10% of all staff or 5, whichever is greater) • Facility accessibility and Americans with Disabilities Act (ADA) compliance plan • Maintenance of an adequately sized facility that is safe for the target population • Evidence of consultation with private schools
Fiscal Management	• Written fiscal policies and procedures • Training materials/documents (e.g., agendas, sign-in sheets, minutes, etc.) • Equipment inventory** • Contract invoices • Sample of staff time and effort documents

*****Note: Per EDGAR*** *§200.439: If there is residual inventory of unused supplies/equipment of $5000 in total aggregate fair market value upon termination (close-out) or completion of a grant, the supplies should first be offered to another 21st CCLC program within the district/area. If they are not needed by another 21st CCLC program, the supplies/equipment* *may be offered to another federally sponsored school/program/project within the community.*

If no federal program needs nor accepts the supplies/equipment, disposition of the supplies/equipment will be determined by the DPI. Please defer to your 21st CCLC Program Administrator for further instruction.

Appendix J: METHODS OF PROCUREMENT

1. **Procurement by micro-purchases**. Procurement by micro-purchase is the acquisition of supplies or services, the aggregate dollar amount of which does not exceed the micro-purchase threshold (2 CFR §200.67 Micro-purchase). To the extent practicable, the non-Federal entity must distribute micro-purchases equitably among qualified suppliers. Micro-purchases may be awarded without soliciting competitive quotations if the non-Federal entity considers the price to be reasonable.
2. **Procurement by small purchase procedures.** Small purchase procedures are those relatively simple and informal procurement methods for securing services, supplies, or other property that do not cost more than the Simplified Acquisition Threshold. If small purchase procedures are used, price or rate quotations must be obtained from an adequate number of qualified sources.
3. **Procurement by sealed bids** (formal advertising). Bids are publicly solicited, and a firm fixed price contract (lump sum or unit price) is awarded to the responsible bidder whose bid, conforming to all the material terms and conditions of the invitation for bids, is the lowest in price.
    a. For sealed bidding to be feasible, the following conditions should be present:
        i. A complete, adequate, and realistic specification or purchase description is available;
        ii. Two or more responsible bidders are willing and able to compete effectively for the business; and
        iii. The procurement lends itself to a firm fixed price contract and the selection of the successful bidder can be made principally on the basis of price.
    b. If sealed bids are used, the following requirements apply:
        i. Bids must be solicited from an adequate number of known suppliers, providing them enough response time prior to the date set for opening the bids, for local, and tribal governments, the invitation for bids must be publicly advertised;
        ii. The invitation for bids, which will include any specifications and pertinent attachments, must define the items or services for the bidder to properly respond;

iii. All bids will be opened at the time and place prescribed in the invitation for bids, and for local and tribal governments, the bids must be opened publicly;
iv. A firm fixed price contract award will be made in writing to the lowest responsive and responsible bidder. Where specified in bidding documents, factors such as discounts, transportation cost, and life cycle costs must be considered in determining which bid is lowest. Payment discounts will only be used to determine the low bid when prior experience indicates that such discounts are usually taken advantage of; and
v. Any or all bids may be rejected if there is a sound documented reason.

1. **Procurement by competitive proposals**. The technique of competitive proposals is normally conducted with more than one source submitting an offer, and either a fixed price or cost-reimbursement type contract is awarded. It is generally used when conditions are not appropriate for the use of sealed bids. If this method is used, the following requirements apply:
   a. Requests for proposals must be publicized and identify all evaluation factors and their relative importance. Any response to publicized requests for proposals must be considered to the maximum extent practical;
   b. Proposals must be solicited from an adequate number of qualified sources;
   c. The non-Federal entity must have a written method for conducting technical evaluations of the proposals received and for selecting recipients;
   d. Contracts must be awarded to the responsible firm whose proposal is most advantageous to the program, with price and other factors considered; and
   e. The non-Federal entity may use competitive proposal procedures for qualifications-based procurement of architectural/engineering (A/E) professional services whereby competitors' qualifications are evaluated, and the most qualified competitor is selected, subject to negotiation of fair and reasonable compensation. The method, where price is not used as a selection factor, can only be used in procurement of A/E professional services. It cannot be used to purchase other types of services though A/E firms are a potential source to perform the proposed effort
2. **Procurement by noncompetitive proposals**. Procurement by noncompetitive proposals is procurement through solicitation of a proposal from only one source and may be used only when one or more of the following circumstances apply:
   a. The item is available only from a single source;
   b. The public exigency or emergency for the requirement will not permit a delay resulting from competitive solicitation;
   c. The Federal awarding agency or pass-through entity expressly authorizes noncompetitive proposals in response to a written request from the non-Federal entity; or
   d. After solicitation of several sources, competition is determined inadequate.

Appendix K: PRIVATE SCHOOLS CONSULTATION FORM FOR NON-LEAS

Private School:	**Phone:**
Title IV, Part B – 21st CCLC Subgrantee:	

SECTION A: The private school representative checks <u>one</u> box.

A-1 ☐ THE **PRIVATE SCHOOL HEREBY AFFIRMS** that:

a. the "*Summary of Topics for Consultation and Statement of Assurances for the Provision of Equitable Services to Private School Children*" was provided to the Private School by the 21st CCLC Subgrantee,
b. the selections made in SECTION B (below) are based on timely and meaningful consultation with the 21st CCLC Subgrantee and on verifiable enrollment and eligibility data provided by the private school to the 21st CCLC Subgrantee,
c. the proposed design of accepted service(s) is equitable with respect to eligible private school children and
d. consultation shall continue throughout the implementation and assessment of all accepted programs.

OR

A-2 ☐ THE **PRIVATE SCHOOL HEREBY ASSERTS** that one or more of the four conditions listed above **<u>have not been met</u>**. Complaints or concerns regarding this process may be filed with the Equitable Services Ombudsman at 919.807.3957.

SECTION B: Only the private school may check the boxes in this section.

ACCEPT	DECLINE
☐ The private school hereby **<u>accepts</u>** participation in Title IV-B equitable services.	☐ The private school hereby **<u>declines</u>** participation in Title IV-B equitable services.

SECTION C: The private school representative provides a hand-written signature to affirm selections in A & B above.

Name of Private School Official:	Signature of Private School Official:	Date Signed:

SECTION D: If the private school representative did not complete Sections A, B & C, the 21st CCLC Subgrantee must check this box.

☐ THE 21st CCLC Subgrantee **HEREBY AFFIRMS** and has documented that the private school was notified of the availability of federally funded equitable services and was invited to consult, but the private school:

a. did not complete Sections A, B & C,
b. actively refused the invitation to consult, or
c. did not respond, despite three timely and direct invitations being sent.

SECTION E: The 21st CCLC Subgrantee official's signature is required in all cases.

Name of 21st CCLC Subgrantee Official:	Signature of 21st CCLC Subgrantee Official:	Date Signed:

All affirmation forms must be uploaded in CCIP by the application deadline.

Documentation of invitations and consultation meetings must be kept on file by the 21st CCLC Program.

CONSULTATION AND STATEMENT OF ASSURANCES FOR THE PROVISION OF EQUITABLE SERVICES TO PRIVATE SCHOOL CHILDREN for TITLE IV-A.

Sections 8501 of the Every Student Succeeds Act (ESSA) require that timely and meaningful consultation occur between any entity receiving 21st CCLC funds and private school officials prior to any decision that affects the opportunities of eligible private school children, teachers, and other educational personnel to participate in programs under this Act, and shall continue throughout the implementation and assessment of activities under this section.

The following topics must be discussed during the ongoing consultation process:

- How the children's needs will be identified;
- What services will be offered;
- How, where, and by whom the services will be provided;
- How the services will be academically assessed and how the results of that assessment will be used to improve those services;
- The size and scope of the equitable services to be provided to the eligible private school children, the proportion of funds that is allocated for such services, and how that proportion of funds is determined;
- How and when the agency will make decisions about the delivery of services to such children, including a thorough consideration and analysis of the views of the private school officials on the provision of services through a contract with potential third-party providers;
- How, if the subgrantee disagrees with the views of the private school officials on the provision of services through a contract, the subgrantee will provide in writing to such private school officials an analysis of the reasons why the subgrantee has chosen not to use a contractor;
- Whether the subgrantee shall provide services directly or through a separate government agency, consortium, entity, or third-party contractor;
- When, including the approximate time of day, services will be provided; and
- For subgrantees also receiving Title I-A funds:
  - Whether to consolidate and use Title I funds provided in coordination with eligible funds available for services to private school children under applicable programs, as defined in section 8501(b)(1) to provide services to eligible private school children participating in programs; and
  - Whether to provide equitable services to eligible private school children by creating a pool or pools of funds with all of the allocated funds based on all the children from low-income families in a participating school attendance area who attend private schools; or in the subgrantee's participating school attendance area who attend private schools with the proportion of allocated funds based on the number of children from low-income families who attend private schools.

STATEMENT OF ASSURANCES

Assurances are given that –

- Each subgrantee shall maintain in the organization's records, and provide to the SEA involved, a written affirmation signed by officials of each participating private school that the meaningful consultation required by this section has occurred. If such officials do not provide such affirmation within a reasonable period of time, the subgrantee shall forward the documentation that such consultation has, or attempts at such consultation have, taken place to the SEA.
- The control of funds provided under this part and title to materials, equipment, and property purchased with such funds, shall be in a public agency, and a public agency shall administer such funds, materials, equipment, and property.
- The educational services and other benefits offered to eligible nonpublic children, teachers, and other educational personnel are equitable in comparison to services and benefits for public school children.
- Funds allocated to a subgrantee for educational services and other benefits to eligible private school children shall be obligated in the fiscal year for which the funds are received by the subgrantee.
- Nonpublic school officials have provided accurate and reliable low-income data to the district for children residing in eligible school attendance areas for purposes of allocating applicable federal funds (for subgrantees also receiving Title I-A funds).
- Each nonpublic school child receiving services has been determined to have an educational need.
- Educational services and other benefits, including materials and equipment, provided shall be secular, neutral, nonideological.

Appendix L: SUGGESTED CHECKLIST FOR THE FIRST 60 DAYS

The checklist outlines requirements and other information that should be completed within the first 60 days of grant approval by the State Board of Education. In continued years of funding, the checklist should serve as a reminder of requirements to address prior to opening the program for students. For documents submitted to DPI, include program name and program unit number on all correspondence in the subject line. ***Funding is released when all applicable items are submitted and approved through CCIP.***

First 30 Days – Fiscal Guidelines

- ☐ Upload Budget Form 208 (using appropriate codes from the Chart of Accounts) and Signed Assurances in CCIP
- ☐ Submit electronic payment form (new programs only or if account information changes) including tax ID number and year end date – send to Melba Strickland at melba.strickland@dpi.nc.gov
- ☐ Ensure that Basic Program Information is up to date in CCIP with all locations.
- ☐ Upload any programmatic/fiscal changes to original RFP in CCIP for DPI Program Administrator Review
- ☐ Review organization's fiscal policies and ensure that appropriate staff are trained to follow procedures
- ☐ Review organization's Conflict of Interest Policy and provide training to ensure that appropriate staff are trained to ensure no perceived or actual conflicts of interest occur during program implementation
- ☐ Non-LEA organizations submit 1st ERaCA reimbursement request for funds. (Monthly submissions required after 30 days of program operation throughout fiscal year.) Documentation must be emailed to melba.strickland@dpi.nc.gov 10 days after each ERaCA request or be at risk of disablement of funds. Failure to submit monthly requests and documentation will be documented on risk assessment and may cause program to receive additional program and fiscal review.

Within 30-60 days - Program Guidelines

- ☐ Review the 21st CCLC Grant Guidance
- ☐ Implement marketing/advertising program
- ☐ Establish staff policies and procedures with dissemination plans
- ☐ Hire appropriate staff
    - o Develop job specific job descriptions and salary requirements for the 21st CCLC
    - o Conduct Interviews
    - o Complete background checks
- ☐ Train staff on policies and procedures
    - o Confidentiality requirements
    - o Emergency/safety procedures such as child abuse reporting, emergency evacuation, internet use safety, health emergency procedures, student drop off and pick up
    - o Student registration
    - o Attendance, sign-in, sign-out procedures
    - o Student files (grades, test scores, health requirements)
- ☐ Assess technology and equipment requirements
- ☐ Develop Student/Parent Handbook with dissemination plans
    - o Student registration
    - o Attendance, sign-in, sign-out procedure
    - o Student files (grades, test scores, health requirements)

    - Expectations for student behavior and consequences for inappropriate behavior
    - Emergency and safety planning/procedures
    - Parent engagement plan
- Establish timeline for regular communication with community/school partners
- Prepare for Open House