

21ST CENTURY COMMUNITY LEARNING CENTERS GRANT GUIDANCE



NORTH CAROLINA
21ST CENTURY
COMMUNITY LEARNING CENTERS

Revised June 2026

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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 (NCDPI) as a resource for North Carolina's 21st Community Learning Centers (CCLC) program subgrantees. It is intended to provide uniform practices to ensure fidelity in the 21st CCLC program's implementation. 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 within the [Comprehensive Continuous Improvement Plan \(CCIP\)](#) with NCDPI; 2) ensure adherence to all state and federal codes of regulation, assurances and certifications associated with the 21st CCLC grant; and 3) assume responsibility for the reconciliation of any audit exception, compliance finding, including as necessary, the repayment of 21st CCLC funds from a non-federal funding source.

Failure to comply with state, federal, or grant guidelines may lead to implementation of a corrective action plan, additional monitoring and/or site visits, reduction of funds, suspension of reimbursement, repayment of misused funds, or suspension or closure of the program.

This guidance document is reviewed annually and changes to procedures and policies are shared with subgrantees during their annual training. This document is available as a resource on [CCIP](#) and on the [NCDPI 21st CCLC website](#). NCDPI reserves the right to update, change or revise the content of this manual including any 21st CCLC program or fiscal requirements, policies, or procedures.

This guidance is not intended to replace 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.

1. A.1: Weblinks

- [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 – Non-Regulatory 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 \(Uniform Guidance\)](#)
 - [Chief Financial Officers Council](#)

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 support to better assist subgrantees to successfully remain in compliance with state and federal 21st CCLC guidelines and the Uniform Guidance for Federal Grants.

The information in this document replaces all prior guidance documents for the NCDPI 21st CCLC program. Each subgrantee is responsible for ensuring that all provisions of the guidance

document are read and understood. All subgrantees have signed a statement agreeing to read, understand, and uphold the grant guidance as listed in this document as a part of the current fiscal year's Assurances Statement uploaded into the Comprehensive Continuous Improvement Plan system ([CCIP](#)).

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 Every Student Succeeds ACT (ESSA) of 2015. Beginning with grants initially funded in the 2017-2018 school year, 21st CCLC programs must comply with provisions outlined in ESSA. Additional information about ESSA is located [HERE](#).

The U. S. Department of Education (USED) awards formula grants to the North Carolina Department of Public Instruction (NCDPI) which in turn makes ***competitive reimbursement grants*** available to eligible entities. Competitions in North Carolina are typically conducted on a three-year cycle, consisting of two consecutive years of competition followed by one year without a competition. 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. Visit the NCDPI [21st CCLC web page](#) for additional information as it becomes available.

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. North Carolina does not currently offer renewability as allowed under the ESSA.

In September 2024, USED updated its 21st CCLC Non-Regulatory Guidance document. The updated guidance supersedes USED's guidance titled 21st Century Community Learning Centers, Non-Regulatory Guidance: February 2003. NCDPI has utilized USED's guidance titled Nita M. Lowey 21st Century Community Learning Centers Program, Non-Regulatory Guidance: September 2024, to inform this grant guidance. NCDPI will outline to subgrantees how any applicable federal changes impact the state-level guidance provided during on-boarding, as well as during other related webinars and technical assistance offerings.

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.

1.D: Purpose of the Grant

Authorized under Title IV, Part B, of the Elementary and Secondary Education Act (ESEA), as amended by Every Student Succeeds Act of 2015, the purpose of the grant is to provide federal funds to establish or expand community learning centers that operate during out-of-school time (OST) hours with three specific purposes:

- 1. Provide opportunities during non-school hours 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 math.

The 21st CCLC program supports the creation of community learning centers that provide safe learning environments for students, particularly students who attend high-poverty and low-performing, Comprehensive Support and Improvement (CSI), and/or Targeted Support and Improvement (TSI) schools. Centers provide a range of academic enrichment services to support student learning and personal development. These services can include but are not limited to tutoring and mentoring, homework assistance, academic enrichment (such as small group reading circles, math manipulatives, or hands-on science or technology programs). Activities need to be engaging as well as effective to ensure active student participation.

- 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.**

The program should be designed to improve academic achievement and to engage students in quality enrichment opportunities. For students who have not been successful in the regular day school, more of the same is not likely to produce success. In general, enrichment activities are multi-disciplinary whereby the student must use academic skills from multiple subject areas learned during the school day. Enrichment activities should also broaden students' experiences by including the arts, recreation, health, and cultural activities.

- 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.**

21st CCLC programs must also offer families of participating students educational and personal development opportunities, particularly in the area of literacy and related educational development. Effective 21st CCLC programs facilitate family engagement opportunities designed to support a child's academic and social development that are complementary and more frequent than have been traditionally offered by the regular school day program.

1.E: Eligibility and Absolute Priority

Section 4201(b)(3) of ESEA defines eligible entities as a local educational agency (LEA/PSU), community-based organization (CBO), faith-based (FBO) Indian tribe or tribal organization (as such terms are defined in section 4 of the Indian Self-Determination and Education Act (25 U.S.C. 450b), another public or private entity, or a consortium of two or more such agencies, organizations, or entities.

Section 4204 (b)(2)(H) of ESEA, requires subgrantees to provide a description of the partnership between an LEA/PSU a CBO, FBO and other public or private organizations, if appropriate. If the local subgrantee 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.

1.E.1 Fiscal Agent Responsibilities and Competition Restrictions

Fiscal Agent

An organization or individual serving as a Fiscal Agent is limited to submitting **one** application per 21st CCLC grant competition. The designated Fiscal Agent has the exclusive signatory authority for the 21st CCLC grant they are serving. The Fiscal Agent is responsible for signing all documents required by NCDPI as well as other legally binding documents in all grant-related matters.

Subgranting

NCDPI prohibits the subgranting of awards; consequently, eligible entities may not submit applications on behalf of other parties. While NCDPI encourages collaborations between eligible entities and permits contracting for goods and services, the applying Fiscal Agent must retain full responsibility for the 21st CCLC program's financial management, reporting obligations, and program implementation in all such arrangements and must comply with passthrough requirements in [2CFR200.332](#)

NOTE

In North Carolina, local boards of education must offer kindergarten as part of the public-school system for all children living in the local school administrative unit who are eligible for admissions (§115C-47). While ESSA does not expressly prohibit serving preschool children in the 21st CCLC Program, North Carolina offers awards to non-LEA subgrantees to provide services to school-age children enrolled in kindergarten through high school grades. For LEAs, North Carolina offers awards to subgrantees to provide services to include preschool through high school grades. *All LEAs must adhere to preschool state laws and 21st CCLC guidance for out of school time programming.*

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 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, NCDPI only awards 21st CCLC competitive grants to subgrantees that will target students who primarily attend schools eligible for schoolwide programs under section 1114 and the families of such students. Subgrantees must identify all feeder schools for the program. The average poverty percentage across all schools must be at least forty (40) percent.

1.E.2 Good Standing

Organizations previously and/or currently receiving competitive grants administered through the NCDPI Office of Federal Programs must be considered in Good Standing with NCDPI.

Subgrantees may be considered Not in Good Standing if any of the following occur:

- Substantiated misuse of federal funds
- Repeated* programmatic or fiscal findings, including questioned costs
- Unresolved programmatic or fiscal findings beyond established closeout timelines, including those issued by NCDPI and/or the Office of the State Auditor (OSA)
- Failure to implement required corrective actions as requested
- Failure to attend required Professional Development and Technical Assistance sessions

- Failure to meet minimum enrollment or attendance requirements
- Repeated* instances of late, incomplete, inaccurate, or missing required reports or data submissions, including 21DC, CCIP, fiscal, evaluation, or other required grant reporting
- Prior termination still within the ineligibility window (see below)
- Lapse in System for Award Management (SAM) registration

*For purposes of this section, “repeated” means two or more documented occurrences of the same or similar issue within the current grant cycle or the most recent three-year grant period. Documented occurrences may include findings or concerns identified through monitoring, fiscal review, desk review, reimbursement review, technical assistance, site visits, complaint reviews, stakeholder concerns, data reviews, or other NCDPI oversight activities.

If a subgrantee is considered not in Good Standing at any point during the three (3) year grant cycle, the program may lose grant funding for the remainder of the grant cycle.

Any previous or current 21st CCLC subgrantees terminated by NCDPI are considered Not in Good Standing and are not eligible to reapply for two (2) consecutive 21st CCLC standard three (3) year cohort grant cycles for a minimum of 6 years from the effective date of termination.

Good Standing is applied at both the subgrantee and fiscal agent level. If the subgrantee organization is deemed Not in Good Standing by the NCDPI Office of Federal Programs, its associated fiscal agent is also deemed Not in Good Standing. NCDPI reserves the right to consider the totality of risk, compliance history, and organizational capacity when determining Good Standing status. If the subgrantee organization and its associated fiscal agent are deemed Not in Good Standing by the NCDPI Office of Federal Programs at any point during the review process, the application may be identified as “Not Recommended” for funding to the State Board of Education (SBE).

1.F: Competitive Priorities

Section 4203 and 4204 of the ESEA outline priorities that the State must consider when reviewing applications for all NCDPI 21st CCLC grant competitions. In addition to these federal priorities, the State will also give competitive priority points to applications based on criteria that may vary for each grant competition. Subgrantees should refer to their original RFP to identify these specific criteria.

1.G: Grant Awards and Duration

In North Carolina, organizations are eligible to receive grants up to \$500,000 annually based on community and school needs, scope of program, proposed number of students served, program design, and summer programming needs.

21st CCLC grants are awarded as multi-year projects consisting of annual budget periods. Funding beyond the initial budget period is not automatic and is contingent upon the availability of federal funds and NCDPI’s annual determination that continuation requirements have been met in accordance with 34 CFR 75.253.

Subgrantees must implement program plans and structures as approved by the State Board of Education (SBE). Significant changes to approved program design or implementation require prior written approval from NCDPI.

1.G.1 Allotment Policy

21st CCLC grant funding is made available on a reimbursement basis; funds must be incurred and paid before requests for reimbursement can be made. Reimbursement requests must be based on actual expenditures. Expenditure documentation to support reimbursement requests is required to

be submitted to NCDPI. **There is no liquidation period. All unspent funds remaining at the end of Year 3 will revert to the state.**

For each 21st CCLC cohort, grants are awarded for three (3) years. Funding for each year of the grant is subject to the availability of federal funds and continued compliance with applicable federal and state requirements.

- For each cohort of approved subgrantees, funding allotted in the first two years of the grant will be available for 27 months. Funding allotted for the final year will only be available for 15 months. Funding will be subject to reversion on the following basis:
 - Any unobligated Year 1 funds as of September 30 following completion of the second year of the grant.
 - Any unobligated Year 2 or Year 3 funds as of September 30 following completion of the third year of the grant.
- The maximum amount of an award to eligible entities shall not exceed \$500,000 annually unless the program administrators, with State Board approval, deem another amount necessary to operate a program.
- Any unallotted funds created from previous years will be used to cover allowable expenditures for current year projects until the previous year's funds have been fully expended.
- Academic year program funds will be distributed in installments based on NCDPI approval requirements and attendance thresholds established in Section 1.G.2. Summer program funds will be distributed separately upon approval of required summer documentation.

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.

1.G.2 Attendance Thresholds for Funding Installments

Studies have shown that the more consistently students participate in afterschool programs, the more likely they are to demonstrate academic and social gains. To allow students to benefit from the full impact of 21st CCLC programming, students must have consistent access to services over a sustained period. 21st CCLC programs are not intended to operate as drop-in programs.

Awarded subgrantees are expected to recruit and provide continuous services designed to encourage full student participation and long-term engagement throughout the grant cycle. NCDPI will monitor student enrollment and attendance data to ensure awarded subgrantees are serving the number of students proposed in the State Board of Education (SBE)-approved application and implementing programs with sufficient participation levels.

In North Carolina, students are considered “regular attendees” of a 21st CCLC program if they attend at least 90 hours of programming during the academic year. NCDPI uses updated Program

Performance Outcome (PPO) guidance from the U.S. Department of Education (USED) to establish attendance thresholds for regular participation.

Upon NCDPI approval of the subgrantee's required documentation and final budget for each year of the grant award, academic year program funds will be allotted as follows:

1. Initial installment equal to 50% of the total academic year award.
2. Remaining installment equal to 50% of the total academic year award will be issued if the subgrantee's enrollment is greater than or equal to 75% of the SBE approved goal, and students counting toward the 75% enrollment goal have attended programming for at least 90 hours

Subgrantees that do not meet the established attendance threshold by the annual deadline will be required to forfeit the remaining academic year installment and/or right size the program budget and operations.

Upon NCDPI approval of required summer documentation, summer program funds will be allotted as follows:

1. One installment equal to 100% of the total summer program award.
2. Summer program award installments will be issued no earlier than April 1 each year.

All paperwork for installments must be submitted in CCIP by established deadlines for review and approval. Failure to submit required documentation by established deadlines may result in delayed or withheld funding per 2 CFR 200.332.

All 21st CCLC subgrantees must meet the SEA minimum enrollment requirement of 50 students. Subgrantees that fail to meet the minimum enrollment requirement by the established deadline may be subject to funding restrictions, reductions, or other administrative action by NCDPI.

1.G.3 Funding Reductions

NCDPI reserves the right to reduce, delay, condition, or otherwise adjust funding based on subgrantee performance, compliance, operational capacity, risk assessment results, or other relevant factors per 2 CFR 200.332 and 200.339.

Funding reductions may result from, including but not limited to:

- Failure to meet enrollment, attendance, or program participation expectations;
- Failure to effectively implement or operate the approved program design, including the approved number of days, weeks, hours, or activities
- Failure to resolve program or fiscal findings within timelines established by NCDPI;
- Repeated, unresolved, or high-risk questioned costs or fiscal concerns identified through reimbursement reviews, monitoring activities, audits, or other oversight processes;
- Failure to submit required reports, documentation, or continuation application materials by established deadlines;
- Failure to maintain sufficient program space to serve the proposed number of students identified in the SBE-approved application, including failure to meet applicable local building requirements, occupancy certificates, and/or capacity limits.
- Failure to maintain safe and effective learning environments that comply with applicable local building, fire, safety, and occupancy requirements necessary to support the approved program and student enrollment.

- Significant changes to approved staffing, enrollment, feeder schools, program sites, or operational structure without prior approval; or
- Failure to comply with applicable federal or state requirements, grant assurances, or award terms and conditions.

Funding adjustments may include, but are not limited to:

- Reduction of current or future grant awards;
- Reduction of continuation awards;
- Right-sizing of program budgets or operations;
- Delayed or withheld allotments;
- Placement of special award conditions; or
- Other administrative funding restrictions deemed necessary by NCDPI.

If a subgrantee requests to reduce the number of students to be served, reduce program operating days, weeks, or hours, or otherwise substantially modify the approved program structure, NCDPI may require proportional reductions to the grant award and related program operations.

NCDPI may determine whether funding adjustments apply to the current grant year only or to the remainder of the grant cycle based on the nature, severity, and duration of the concern, as well as the subgrantee's overall performance and operational capacity.

Any funds recovered from reductions, forfeitures, or other adjustments may be redistributed at the discretion of NCDPI.

1.G.4 Continuation Awards Requirements

North Carolina's 21st CCLC grants are awarded as multi-year projects consisting of annual budget periods. Funding beyond the initial budget period is not automatic and is contingent upon the availability of federal funds and NCDPI's annual determination that continuation of the project is in the best interest of the Federal government in accordance with 34 CFR 75.253.

To be considered for a continuation award for Year 2 and/or Year 3, subgrantees must:

- Demonstrate substantial progress toward approved project goals, objectives, performance measures, and enrollment and attendance targets;
- Submit all required programmatic, fiscal, evaluation, and data reporting by established deadlines;
- Continue to meet all applicable eligibility, statutory, regulatory, and grant requirements;
- Maintain financial and administrative management systems that comply with applicable federal and state requirements, including 2 CFR 200.302 and 2 CFR 200.303;
- Resolve identified programmatic, fiscal, monitoring, audit, or compliance concerns within timelines established by NCDPI; and
- Submit a complete, approvable, non-competitive, continuation application and budget, including any information requested by NCDPI to support continuation review.
- Conduct an annual needs assessment and use the results of the assessment, as well as NCDPI monitoring and evaluation reports (if available) and other relevant data (e.g., 21DC, End of Year Outcomes Report, etc.) to propose specific improvement strategies to sustain and/or increase student outcomes as outlined in the statewide performance goals.

In determining whether a continuation award will be issued, NCDPI may consider any relevant information regarding subgrantee performance, compliance, fiscal management, operational capacity, risk assessment results, monitoring outcomes, enrollment or attendance data, progress toward enrollment goals, and the timeliness, accuracy, and quality of required reports and submissions.

NCDPI may elect not to issue a continuation award if a subgrantee fails to meet continuation requirements, demonstrates insufficient progress, fails to comply with federal or state requirements, fails to maintain adequate fiscal or administrative systems, fails to submit required reports or documentation, or if continuation funding is otherwise determined to not be in the best interest of the Federal government pursuant to 34 CFR 75.253.

A decision not to issue a continuation award is separate from and does not require termination procedures under 2 CFR 200 340-343.

Continuation awards may also be reduced, delayed, placed on conditions, or otherwise adjusted based on available funding, subgrantee performance, unmet requirements, risk assessment results, or other relevant factors.

Failure to submit a complete and approvable continuation application by the established deadline may result in delayed, reduced, or denied continuation funding.

1.G.5 Termination of Grant Award

NCDPI reserves the right to terminate a subgrantee's 21st CCLC grant award during an active budget or project period in accordance with applicable federal and state requirements. A subgrantee's grant award may be terminated for reasons including, but not limited to:

- Repeated*, unresolved, or high-risk questioned costs or fiscal concerns identified through reimbursement reviews, monitoring activities, or other oversight processes.
- Failure to demonstrate safe and effective learning environments ([Sec 4204\(b\)](#) and [Sec 4204\(c\)](#), TITLE IV, PART B — 21st Century Community Learning Centers).
- Failure to comply with grant assurances, award terms and conditions, or approved program requirements.
- Persistent* failure to meet enrollment, attendance, or program participation expectations, including low average daily attendance (ADA).
- Failure to resolve program or fiscal findings within timelines established by NCDPI.
- Misuse of federal funds.

NOTE:

*For purposes of this section, “repeated” and “persistent” means two or more documented occurrences of the same or similar issue within the current grant cycle or the most recent three-year grant period. Documented occurrences may include findings or concerns identified through monitoring, fiscal review, desk review, reimbursement review, technical assistance, site visits, complaint reviews, stakeholder concerns, data reviews, or other NCDPI oversight activities.

For additional information regarding the termination and appeals process, subgrantees can refer to Sections 11 and 12 of this Grant Guidance.

1.H: Access to Records

The Federal agency or pass-through entity, Inspectors General, the Comptroller General of the United States, or any of their authorized representatives must have the right of access to any records of the recipient or subrecipient pertinent to the Federal award to perform audits, execute (announced and unannounced) site visits, or for any other official use. This right also includes timely and reasonable access to the recipient's or subrecipient's personnel for the purpose of interview and discussion related to such documents or the Federal award in general.

[\(2 CFR 200.337\)](#)

NOTE

Throughout this Grant Guidance, the term 'pass-through entity' as defined in 2 CFR refers specifically to the North Carolina Department of Public Instruction (NCDPI).

1.I: Mandatory Disclosures & Whistleblower Protections

In accordance with 2 CFR §200.113 and 2 CFR §200.303, subgrantees must establish and maintain effective internal controls and disclose, in a timely manner and in writing, to NCDPI or the US Department of Education all violations of Federal criminal law involving fraud, bribery, or gratuity violations that may affect a Federal award. To meet this requirement, subgrantees must have a written process for reporting suspected fraud, waste, or abuse (FWA) and must ensure that employees, contractors, and relevant stakeholders are informed of how to report such concerns without fear of retaliation. This includes communicating whistleblower rights and protections under 2 CFR §200.217 and 41 U.S.C. §4712, which prohibit discharge, demotion, or other forms of reprisal against an employee who, in good faith, reports information reasonably believed to be evidence of gross mismanagement, gross waste of Federal funds, abuse of authority, a substantial and specific danger to public health or safety, or a violation of law, rule, or regulation related to the Federal award.

The reporting process must include clear internal reporting channels and information on how to report concerns externally, including to NCDPI and the U.S. Department of Education Office of Inspector General (OIG). Subgrantees must include information regarding mandatory disclosures, FWA reporting procedures, whistleblower rights and protections, and protections against retaliation in their staff handbook. Subgrantees must also make this information available on their website or, if they do not maintain a website, on any other online platform or communication channel they regularly use to share information with employees, contractors, families, students, or other relevant stakeholders, such as a social media page. This ensures stakeholders have access to reporting procedures and whistleblower protection information.

Failure to maintain and communicate an effective FWA reporting process and whistleblower protections may be considered a weakness in internal controls and may impact the subgrantee's fiscal risk level.

An applicant, recipient, or subrecipient of a Federal award must promptly disclose whenever, in connection with the Federal award (including any activities or subawards thereunder), it has credible evidence of the commission of a violation of Federal criminal law involving fraud, conflict of interest, bribery, or gratuity violations found in Title 18 of the United States Code or a violation of the civil False Claims Act ([31 U.S.C. 3729-3733](#)). The disclosure must be made in writing to the Federal agency, the agency's Office of Inspector General, and pass-through entity (if applicable). ([2 CFR 200.113](#))

SECTION 2: FISCAL MANAGEMENT

2.A: Budget and Budget Amendments

As stated in the request for proposal (RFP), the proposed budget submitted with the 21st CCLC application is **NOT** the approved budget for release of funds. When an application is approved, subgrantees must submit a detailed line-item Budget Form 208 for the full amount awarded each year of the 3-year grant cycle. Subgrantees must upload the Budget Form 208 in the Related Documents section of the [Comprehensive Continuous Improvement Plan](#) (CCIP) for review and approval by NCDPI prior to the release of funds.

If an amendment to the approved Budget 208 is necessary, subgrantees must upload a completed Budget Amendment Form 209 in the Optional Documents section of CCIP for review and approval by NCDPI. **Please note, if an entity accesses funds prior to the approval of a budget or an amendment for the fiscal year in question, this may result in repayment of funds to NCDPI.**

The 21st CCLC grant funds are made available on a reimbursement basis only. NCDPI requires subgrantees to have its own working capital to operate the 21st CCLC program for approximately a three-to-four-month budget period. **If it is discovered a subgrantee has been advancing 21st CCLC funds, the advanced funds will result in a questioned cost, and funds must be repaid to NCDPI.** Additionally, the advancement of funds may result in the termination of the subgrantee's 21st CCLC grant award.

The 21st CCLC grant funds must only be used to cover costs that align with the SBE approved grant application, and except where otherwise authorized by statute, costs must meet the general criteria stated in [2 CFR 200.403 – 2 CFR 200.405](#) to be considered allowable.

Subgrantees must allocate at least 80% of the 21st CCLC grant award to providing direct services to students. Indirect student services which are inclusive of travel, lease, staff development, director's salary and benefits, evaluation services, etc. cannot exceed 20% of the total grant award.

2.A.1 Budget Amendment 209 Submission Deadline

The final day to submit a Budget Amendment 209 is May 31 of each year. Budget Amendment 209 submissions will not be accepted after this date.

During the month of June, subgrantees will begin preparing the Budget 208 as part of the continuation application process. Any necessary adjustments to the subgrantee's most recently approved Budget 208 or Budget Amendment 209 may be included in the carryover column of the continuation budget, as applicable.

Subgrantees should review their approved budget before the May 31 deadline and submit any needed Budget Amendment 209 revisions in advance of the deadline to allow time for review and approval.

NOTE

Expenditures in the Budget Form 208 must align with the subgrantee's program goals, objectives, and activities as approved in their SBE-approved grant application.

2.B: Chart of Accounts

The Financial and Business Services Division at NCDPI assigns all funding streams (whether local, state, or federal) 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 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 Office of Federal Programs is responsible for approving the COA for PRC 110 annually. Subgrantees may request additional object and/or purpose codes for division management to consider by completing the [COA Revision Request Form under Working Documents](#).

NOTE

All budgets must be submitted using approved account codes in the Chart of Accounts (COA).

2.C: Use of Funds

The use of 21st CCLC grant funds must be consistent with all statutory requirements; including the federal supplement not supplant provision. They must not be used to substitute funding or services that would otherwise be provided during the same project period. They may be used to expand or enhance but must not replace current activities.

All expenditures must be necessary, reasonable, allocable, and in accordance with [2 CFR Part 200](#) - Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance).

Part 200 – Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards	
Subpart A - Acronyms and Definitions	2 CFR 200.0-200.1
Subpart B – General Provisions	2 CFR 200.100-200.113
Subpart C – Pre-Federal Award Requirements and Contents of Federal Awards	2 CFR 200.200-200.216

Subpart D – Post Federal Award Requirements	2 CFR 200.300-200.346 including: 200.303 Internal controls, 200.309 Period of Performance 200.334-200.338 Record Retention and Access
Subpart E – Cost Principles	2 CFR 200.400-200.476
Subpart F – Audit Requirements	2 CFR 200.500-200.521

Subgrantees are strongly encouraged to attend all training provided to assist with meeting all budget and operational requirements. Subgrantees should work with their NCDPI 21st CCLC Program Administrator (PA) to determine allowable use of funds for a program activity.

NOTE

Period of performance means the time during which the recipient and subrecipient must perform and complete the work authorized under the Federal award.

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.E)
- Staff development and training
- Transportation costs for students (see Section 2. H)
- Approved food purchases (see Section 4.K)
- Renting space to the extent that the rates are reasonable and in alignment with [2 CFR 200.465](#)
- Property Insurance related to equipment and furniture
- Teacher substitutes
- Travel reimbursements (see Section 2.C.5)
- 21st CCLC program equipment and supplies, including computers and software (see [Section 2.D](#))
- Memberships in community, technical and/or professional organizations if the membership is in the name of the 21st CCLC Program
- Membership to warehouse club if the membership is in the name of the 21st CCLC Program

Other expenditures that are allowable with conditions include:

- Educationally related field trips with pre-approval from NCDPI (see [Section 4. I.](#))
- Leases/Contracted Service agreements with pre-approval from NCDPI
- All technology expenses with a per unit cost of \$5,000 or more requires pre-approval from NCDPI
- Student incentives are limited to school supply type items with no value greater than \$25

2.C.2 Clothing Purchase Allowability

- 21st CCLC subgrantees 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 necessary, reasonable, and allocable.

2.C.3 Mobile Communications

Mobile communication purchases are allowable if the associated cost can be directly linked to the 21st CCLC grant with a high degree of accuracy and are used exclusively for 21st CCLC. If the associated cost for mobile communication cannot be easily identified as a direct cost, communication expenses are treated as an indirect cost.

NOTES

- Devices used for multi-site management may be charged as a direct cost
- The purchase of the cell phone device out right is only allowable if the device is solely used for the 21st CCLC program. Personal cellphone device purchases are not allowable.
- Telecommunication purchases must comply with [2 CFR 200.216](#)

2.C.4 Rental Costs of Real Property

Rental costs are allowable to the extent that the rates are reasonable considering factors such as: rental costs of comparable property, if any; market conditions in the area; alternatives available; and the type, life expectancy, condition, and value of the property leased. Rental arrangements should be reviewed periodically to determine if circumstances have changed and other options are available ([2 CFR 200.465\(a\)](#)).

Rental costs under "less-than-arm's-length" leases are allowable only up to the cost of ownership and to the extent that they are allocable to the 21st CCLC program. Ownership expenses must be determined based on actual cost and may include depreciation, maintenance, taxes, and insurance. A "less-than-arm's-length lease is one under which one party to the lease agreement can control or substantially influence the actions of the other ([2 CFR 200.465\(c\)](#)).

The rental of any property owned by an individual or entity affiliated with the subgrantee, to include commercial or residential real estate, for purposes such as a home office or workspace, is unallowable.

2.C.5 Travel Expenses

21st CCLC grant funds may be used to pay for budgeted travel expenses for employees compensated with grant funds. If an employee is compensated from another funding source, they must be included on the approved 21st CCLC organization chart in order for their travel expenses to be reimbursed. Allowable travel expenses may include trips to and from NCDPI-sponsored in-person meetings and/or other professional development opportunities.

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 in like circumstances in the subgrantee's other activities and in accordance with the subgrantee's established written policies. 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 the subgrantee's established travel policy.

Subgrantees should ensure that travel costs are reasonable and necessary to accomplish the goals of the 21st CCLC program. A reasonable per diem would be those generally aligned with federal or state rates.

NCDPI recommends that meal costs only be reimbursed if there is an overnight stay following the federal travel and subsistence rates established by the General Services Administration.

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); and,
- Daily pass fees for airline clubs.

Reimbursement requests for all travel costs cannot be submitted in NCDPI's [Expenditure Reporting and Cash Application](#) (ERaCA) or the PSU Cash App until the travel has been completed.

2.C.6 Non-Allowable Purchases

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

- Purchase of vehicles
- Costs for developing the proposal and grant writing services
- Food purchases for staff
- Fundraising costs
- Land acquisition
- Capital improvement and renovation costs
- Cost of conducting an audit if total of all federal grants received is less than \$1,000,000
- 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, prizes or any costs associated with entertainment including diversions and social activities
- Charitable contributions
- Bonuses of any kind
- District level expenses not directly related to the program
- Activities that take place during the regular school day
- Lobbying
- Interest rates on credit cards
- Late fees and service fees

NOTES

- Federal funds generally may not be used for non-educational/entertainment activities; this includes spending program funds on items such as amusement park fees, purchasing of gift cards, giving monetary incentive awards, etc. Specific costs that might otherwise be considered entertainment but have a documented programmatic purpose may be considered allowable with NCDPI approval. ([2 CFR 200.438](#))
- If NCDPI determines any costs to be unallowable, subgrantees are subject to repayment, including interest, of such cost. ([2 CFR 200.410](#))

2.D: Equipment & Supply Purchases

Subgrantees must use, manage, and dispose of equipment as stated in [2 CFR 200.313](#) of the Uniform Guidance and adhere to the Procurement Guidelines outlined in Section 2. F: Procurement.

Use - All equipment and supply purchases must be aligned with the project goals outlined in the grant application. Such purchases must be included in the Subgrantee's budget with prior budget approval.

Management - Procedures for managing equipment (including replacement equipment), whether acquired in whole or in part with 21st CCLC funds, until disposition takes place, and meet the minimum documentation requirements.

Disposition - When equipment acquired with the 21st CCLC grant funds are no longer needed for the original project, the subgrantee must follow 21st CCLC disposition instructions of the pass-through entity. (2.K. Close Out). *If there is a residual inventory of unused supplies at the end of the period of performance exceeding \$10,000 in total aggregate value, and the supplies are not needed for any other Federal award, the State or LEA may retain or sell the supplies* ([2 CFR 200.313\(e\)](#))

In general, larger equipment purchases budgeted for in the final year of the grant cycle will not be approved. All purchases must strictly follow the cost principles ([2 CFR 200.400 - 2 CFR 200.405](#)) of being necessary and reasonable for meeting the goals and objectives stated in the SBE approved grant application. Large equipment purchases at the end of the grant cycle create a presumption that the equipment is not necessary for the performance of the program during the grant performance period.

Management requirements - Regardless of whether acquired in whole or in part with the Federal award, the subgrantee must manage all equipment, including replacing equipment, utilizing procedures that meet the following requirements: ([2 CFR 200.313\(d\)](#))

To manage 21st CCLC equipment, all subgrantees *must* maintain property records, such as an Inventory, to include:

- Description of the property
- Serial number or other identification number
- Source of funding for the property (including the Federal Award Identification Number)
- Title holder
- Acquisition date
- Cost of the property

- Percentage of Federal contribution in the project costs for the Federal award under which the property was acquired.
- Physical location
- Use or purpose
- Condition of the property
- Disposition information (Date of disposal)
- Sale price

Subgrantees are responsible for maintaining and updating property records when there is a change in status of the property.

*NCDPI provides a sample Inventory Listing Template for 21st CCLC program use, located in CCIP, under “Optional Related Documents”.

NOTES

- Equipment purchased with 21st CCLC funds must be made available to other federally funded programs, when not in use by the 21st CCLC program.
- If a cost benefits two or more projects or activities in proportions that can be determined without made undue effort or cost, the cost must be allocated to the projects based on the proportional benefit.
- Furniture, equipment, and computer devices with a per cost unit less than \$5,000 must be inventoried as indicated in COA 5350-110-461 and 5350-110-462.

A physical inventory of 21st CCLC property must be conducted at least once every two years and the results reconciled with the subgrantee’s Inventory Listing ([2 CFR 200.313\(d\)\(2\)](#)). However, North Carolina requires an updated Inventory Listing to be uploaded to CCIP each year of the grant. A control system must be developed to ensure adequate safeguards to prevent loss, damage, or theft of the property. All incidents of loss, damage, or theft must be investigated and reported to the Federal agency or pass-through entity. ([2 CFR 200.313\(d\)\(3\)](#)).

At the end of the three-year grant cycle, all subgrantee Inventory Listings will be reviewed by NCDPI to determine options for disposition.

2.D.1. Guidelines for prorating costs of equipment or supply use outside of the 21st CCLC Program

Reference ([2 CFR 200.313](#) and [200.314](#))

- Equipment (includes computing devices with a per-unit acquisition cost equal to or exceeding \$10,000)
 - 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 (including computing devices with acquisition costs less than \$10,000):

- 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 allowable for devices that are essential and allocable, but not solely dedicated, to the performance of a Federal award ([2 CFR 200.453\(c\)](#))

2.E: Compensation

Costs of compensation are allowable to the extent that payments are for services rendered during the period of performance and for activities that directly support the 21st CCLC program. Compensation must be reasonable, necessary, allocable, consistently applied, and adequately documented in accordance with 2 CFR 200.403, 2 CFR 200.430, and applicable program requirements. Compensation is considered reasonable when it is comparable to compensation paid for similar work in the labor market for employees with similar qualifications and experience.

Because 21st CCLC programs are designed to support out-of-school time programming, compensation structures must reflect the part-time nature of the program, the approved program design, and the actual level of effort needed to operate the program. Programs typically operate approximately 15 hours per week; therefore, full-time or near full-time positions charged to the 21st CCLC grant require additional justification and supporting documentation.

2.E.1 Program Structure, Staffing Alignment, and Full Time Equivalent (FTE)

When determining the reasonableness of compensation, subgrantees must ensure that staffing levels, compensation, and FTE allocations align with the approved program design, including the number of students served, number of program sites, program operating hours, student-to-staff ratios, and responsibilities necessary to implement the program.

For purposes of the 21st CCLC program, a full-time schedule is generally considered 40 hours per week. FTE allocations should reflect the employee's actual level of effort supporting the program. For example, 1.0 FTE equals 40 hours per week, 0.5 FTE equals 20 hours per week, and 0.25 FTE equals 10 hours per week.

Student-to-staff ratios must support safe and effective program delivery and should generally align with an approximate ratio of 1:10 unless otherwise justified based on program model, student needs, age group, activity type, safety considerations, or other approved programmatic factors.

Because most 21st CCLC programs operate on a part-time basis, positions charged at or near 1.0 FTE are expected to have substantial operational, programmatic, fiscal, compliance, or supervisory responsibilities that are clearly necessary to support the approved program design. Program Director roles for single-site programs are generally expected to be less than full-time unless justified by program complexity, multiple sites, expanded hours, increased enrollment, or other program-specific factors. NCDPI may closely review full-time or near full-time staffing allocations to ensure they are reasonable, adequately supported, and aligned with actual program operations.

2.E.2 Use of Salary Benchmarks

Subgrantees are encouraged to use established salary schedules, such as North Carolina Public School Salary Schedules or other relevant market data, to support the reasonableness of compensation. Compensation must be adjusted to reflect the part-time nature and reduced scale of 21st CCLC programs compared to traditional school-day roles.

Salary comparisons must consider the employee's duties, qualifications, experience, level of responsibility, hours worked, and the scope of the 21st CCLC program. Subgrantees must maintain documentation supporting how salaries and wages were determined.

2.E.3 Justification and Documentation

Additional justification may be required when compensation exceeds typical expectations based on program size and structure, including higher FTE levels, multiple administrative positions, or compensation levels disproportionate to program scale, or positions that are not clearly tied to program implementation.

NCDPI may request job descriptions, organizational charts, salary comparisons, personnel activity records, timesheets, written explanation of duties, board approvals, or other documentation supporting the reasonableness and allocability of compensation. The burden of demonstrating that compensation is reasonable, necessary, allocable, and adequately documented rests with the subgrantee.

2.E.4 Work Hour Limitation

An organization may charge the 21st CCLC grant no more than 40 hours per week per individual, regardless of the number of positions held within the organization. Any additional wages must be paid using non-grant funds.

2.E.5 Related Parties and Key Personnel Compensation

Compensation paid to owners, officers, board members, employees, immediate family members, household members, or other related parties must be necessary for program operations, reasonable in relation to services actually performed, supported by documentation of actual work performed, consistent with the organization's written compensation policies, independently reviewed and approved, and disclosed to NCDPI when a real, potential, or apparent conflict of interest exists.

No individual may approve, supervise, review, or influence their own pay, reimbursement, contract, invoice, purchase, or related-party transaction. When compensation involves a related party, the organization must document the review, approval, recusal, and basis for the compensation decision. Compensation that is excessive, unsupported, not tied to documented services, or approved without adequate independent review may be disallowed.

2.E.6 Indicators of Questionable Compensation

Indicators that compensation may not be reasonable, necessary, allocable, or adequately documented include, but are not limited to:

- Full-time or nearly full-time salaries for part-time programs without sufficient justification;
- Administrative staffing that is excessive, duplicative, or disproportionate to program size;
- Roles not directly connected to program delivery, fiscal management, compliance, or administration;
- Personnel charged to the grant without documentation of actual work performed;
- Time and effort records that do not align with approved FTE allocation or program schedule, or duties performed; and
- Payroll, reimbursement, or related-party compensation approved without disclosure,

recusal, or independent review.

2.E.7 Fringe Benefits

Fringe benefits are allowable as part of total compensation when they are reasonable, necessary, allocable, and provided under established written policies. Fringe benefits may include costs such as leave, insurance, retirement, unemployment benefit plans, and other employer-provided benefits.

Fringe benefits must be:

- Provided under established written policies;
- Applied consistently to similarly situated employees;
- Allocated to the grant in proportion to the employee's level of effort;
- Supported by payroll, accounting, or benefit records; and
- Reasonable in relation to the services performed for the 21st CCLC program.

Fringe benefits charged to the grant must follow the same allocation principles as salaries and wages. See 2 CFR 200.431 for additional requirements.

2.E.8 Time and Effort Reporting

Charges to Federal awards for salaries and wages must be based on records that accurately reflect the work performed in accordance with 2 CFR §200.430.

Time and effort records must reflect total activity for which the employee is compensated and must align with the approved FTE allocation, program schedule, job duties, and actual work performed. Budget estimates alone do not qualify as support for charges to Federal awards, although they may be used for interim accounting purposed if adjusted to actual activity.

Subgrantees must implement internal controls to ensure time and effort records are accurate, complete, and not reconstructed after the fact.

Charges to Federal awards for salaries and wages must be based on records that:

- Are supported by a system of internal control that provides reasonable assurance that charges are accurate, allowable, and properly allocated;
- Are incorporated into the official records of the subgrantee;
- Reasonably reflect the total activity for which the employee is compensated, not exceeding 100% of compensated activities;
- Encompass federally assisted and all other activities compensated by the subgrantee on an integrated basis;
- Comply with the subgrantee's written accounting policies and practices;
- 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 allocated using different allocation bases, or an unallowable activity and a direct or indirect cost activity; and
- Are reviewed and approved through documented supervisory, fiscal, or independent review procedures.

Indicators of weak time and effort documentation include, but are not limited to:

- Reported activities that do not align to program operations or cannot be reasonably substantiated with work product or documentation;
- Identical or repetitive descriptions of duties performed for time entries across multiple days or reporting periods;
- Vague or non-specific descriptions of activities that do not clearly demonstrate work performed in support of the 21st CCLC program;
- Time records that do not align with the approved program schedule or employee FTE allocation;
- Records prepared after the fact without adequate support;
- Employee approval of their own time, pay, or reimbursement without independent review; and
- Lack of documentation showing how payroll charges were reviewed, approved, and allocated.

When the subgrantee's records do not meet the standards described above, NCDPI may require other auditable time and effort documentation for all compensation, paid in part or whole from the 21st CCLC grant. This may include, but is not limited to, personnel activity reports (PARS), timesheets, payroll records, certifications, job descriptions, work schedules with accompanying work product, supervisory approvals, and documentation of compensating controls.

2.F: Procurement

Subgrantees must have and use documented procurement procedures for goods and services purchased with 21st CCLC funds. Procurement procedures must comply with Uniform Guidance, applicable state and local requirements, the subgrantee's own written procurement policies, and any additional 21st CCLC grant requirements. Subgrantees must follow the most restrictive applicable requirement.

Procurement transactions must be conducted in a manner that provides full and open competition consistent with 2 CFR 200.319 and 2 CFR 200.320. Subgrantees must consider price, quality, service, contractor responsibility, and other relevant factors when selecting vendors or contractors and must maintain records sufficient to document the procurement method, vendor selection, and basis for the contract price.

Although federal procurement thresholds may be higher, NCDPI requires all 21st CCLC subgrantees to follow the procurement thresholds in this section as a condition of the 21st CCLC award. These thresholds are based on North Carolina public school/LEA procurement thresholds where those thresholds are more restrictive than federal thresholds.

For 21st CCLC purposes, purchases of goods or services greater than \$10,000 require a reasonable number of documented quotes unless an approved exception applies.

Procurement Method	21 st CCLC Requirement for All Subgrantees
Micro-Purchase	\$10,000 or less. Quotes are not required; however, the subgrantee must determine that the price is reasonable, maintain documentation supporting price reasonableness, and distribute purchases equitably among qualified suppliers to the extent practicable.

Informal Procurement Simplified Acquisition Procedures/Small Purchase Procedures	Greater than \$10,000 and less than \$90,000 for goods; greater than \$10,000 and less than \$250,000 for services. Subgrantees must obtain and document a reasonable number of quotes from qualified sources.
Formal Procurement	\$90,000 or more for goods; \$250,000 or more for services. Subgrantees must use formal procurement methods, such as sealed bids, competitive proposals, or another procurement method allowed under applicable law and Uniform Guidance.
Noncompetitive Procurement	Allowed only when one of the Uniform Guidance exceptions applies, such as: • the item is available only from a single source; • public emergencies will not permit delay; • competition is inadequate after soliciting several sources; or • NCDPI expressly authorizes noncompetitive procurement in writing. The justification must be documented before implementation.

Note: The thresholds in this table are 21st CCLC grant-specific requirements and may be more restrictive than current federal thresholds.

2.F.1 Subcontractors

Subgrantees 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](#).

Although it is a best practice, and NCDPI recommends federal exclusion records are reviewed for all vendors, the Uniform Guidance requires this step for vendors with contracts over \$25,000. Exclusion records may be reviewed using the following websites:

- [NC Debarred Vendors website](#),
- Search for [federal exclusion records](#)
- Search for [eligible contractors](#)

Subgrantees must award contracts only to responsible contractors possessing the necessary qualifications and the ability to perform successfully under the terms and conditions of the proposed contract. The recipient or subrecipient must consider contractor integrity, public policy compliance, proper classification of employees (see the Fair Labor Standards Act, [29 U.S.C. 201](#), chapter 8), past performance record, and financial and technical resources when conducting a procurement transaction. See also [§ 200.214](#). Subgrantees must maintain oversight to ensure contractors perform in accordance with the terms, conditions, and specifications of their contracts or purchase orders.

NOTE

All personnel, including contracted staff, who interact with children must have cleared a criminal background check prior to providing services. [34 U.S.C 20351](#) [G.S.110-90.2](#)

2.F.2 Contract Requirements

All contracts must contain:

- Name of Vendor (address).
- Nature of the purchase or service.
- Time period of the contract (frequency and duration).
- Total contract amount as well as sufficient cost details to facilitate invoice review.
- Specify deliverables that must be rendered and accepted prior to making payment.
- Deliverables must be quantifiable and measurable.
- Sanctions for non-performance, including an exit clause.
- Printed names, signatures, and dates for both parties.

Subgrantees are permitted to enter into contract agreements that extend beyond one year. However, be advised that 21st CCLC programs cannot obligate grant funds beyond the applicable budget year.

Any agreements included in the subgrantee's SBE-approved grant application are subject to all Federal Uniform Guidance and NCDPI Grant Guidance. All contracts must be uploaded in CCIP for review and approval by NCDPI prior to seeking reimbursement.

2.G: Conflict of Interest

According to the general procurement standards, subgrantees must maintain written standards of conduct covering conflicts of interest and governing the actions of employees, officers, board members, agents, and other individuals involved in the selection, award, administration, supervision, approval, or payment of contracts or transactions supported by the 21st CCLC award.

Recipients and subrecipients must disclose in writing any potential conflict of interest to the federal awarding agency or pass-through entity in accordance with federal awarding agency conflict of interest policies.

No employee, officer, agent, board member, or other decision-maker with a real, potential, or apparent conflict of interest may participate in the selection, award, administration, supervision, invoice approval, reimbursement approval, payment approval, or other decision related to a contract, purchase, payroll transaction, lease, reimbursement, or related-party transaction supported by the Federal award.

A conflict of interest may exist when the employee, officer, agent, board member, immediate family member, household member, partner, close associate, or an organization that employs or is about to employ one of those parties has a financial interest, other interest, or tangible personal benefit from the transaction. A conflict may also exist when the circumstances create the appearance that a decision could be motivated by private financial gain rather than the best interest of the program.

For purposes of this grant, NCDPI uses the North Carolina General Statute definition of “immediate family member” as a spouse, parent, child, brother, sister, grandparent, or grandchild. The term also includes step, half, and in-law relationships. See G.S. 115C-12.2.

Subgrantees may not solicit or accept gratuities, favors, gifts, or anything of monetary value from contractors, vendors, subcontractors, or parties to subcontracts, unless the item is of nominal value and allowed under the organization’s written standards of conduct. The subgrantee’s written standards of conduct must include disciplinary actions to be applied for violations by employees, officers, agents, or board members. See [2 CFR 200.318](#).

2.G.1 Disclosure, Recusal, and Documentation

Disclosure of a real, potential, or apparent conflict of interest does not automatically make a cost unallowable. However, the relationship or transaction must be disclosed, reviewed, and appropriately managed before federal funds are charged.

The subgrantee must document the nature of the conflict or relationship, the affected transaction or decision, the recusal or mitigation steps taken, the independent review or approval process used, and the basis for the final decision

For each disclosed conflict or potential conflict, the conflicted individual must not participate in related selection, award, administration, supervision, approval, reimbursement, or payment decisions. This includes decisions involving the individual, an immediate family member, household member, related business, affiliated organization, or any other relationship that may create a real, potential, or apparent conflict of interest.

2.G.2 Internal Controls and Segregation of Duties

Subgrantees must maintain internal controls to prevent conflicts of interest and improper self-approval. Fiscal duties such as purchasing, payment approval, bank reconciliation, payroll approval, invoice approval, reimbursement preparation, and related-party transaction review should be separated when feasible.

If full segregation of duties is not feasible, the subgrantee must implement documented compensating controls, such as supervisory review, board review, independent review, outside accounting review, or other oversight sufficient to ensure that one individual does not initiate, approve, record, reconcile, and benefit from the same transaction.

Compensating controls must be available for review by NCDPI.

2.G.3 Grant Administration and Project Decisions

A subgrantee may not permit a person to participate in an administrative decision regarding a project if the decision is likely to benefit that person or a member of his or her immediate family. A grantee may not permit any person participating in the project to use his or her position for a purpose that is, or gives the appearance of being, motivated by a desire for private financial gain for that person or for others ([34 CFR 75.525](#)).

2.G.4 Annual Disclosure and Continuing Duty to Update

Subgrantees must complete and submit the required 21st CCLC Conflict of Interest Agreement and Disclosure Form as part of the annual Fiscal Questionnaire process. The disclosure must identify all

known real, potential, or apparent conflicts of interest and related-party relationships involving 21st CCLC funds.

Subgrantees must notify NCDPI in writing within 10 business days of any new, changed, or newly discovered conflict during the grant year.

Failure to disclose a real, potential, or apparent conflict of interest, or failure to maintain adequate documentation of recusal, mitigation, and independent review, may result in additional conditions, disallowance of costs, repayment of funds, suspension of reimbursement, nonrenewal of continuation funding, or other available remedies.

2.G.5 Examples of Conflicts of Interest

Examples of conflicts of interest may include, but are not limited to:

- An employee, officer, owner, board member, agent, or other decision-maker approving, supervising, reviewing, or influencing their own pay, reimbursement, contract, invoice, purchase, lease, or other transaction.
- Compensation, reimbursement, contract labor, vendor payments, leases, facility-use agreements, or other 21st CCLC-funded transactions involving an immediate family member, household member, close associate, related business, or affiliated organization.
- Contracting with or purchasing goods or services from a business in which an employee, officer, owner, board member, agent, immediate family member, household member, or related party has a financial interest.
- Supervising, approving, evaluating, or influencing the work, pay, invoice, reimbursement, contract, or purchase of an immediate family member, household member, close associate, related business, or affiliated organization.
- Accepting gifts, gratuities, favors, or anything of monetary value from contractors, vendors, subcontractors, or parties to subcontracts, except as allowed under the organization's written standards of conduct and applicable requirements.

2.H: Transportation Costs for Students

Reimbursement of transportation costs must be based on total miles driven daily and must be multiplied by an approved mileage rate, which is determined by one of the following three scenarios:

- A. Students are transported on **district yellow school buses**.
 - a. Approved Mileage Rate: Current District Mile Rate
 - i. Up to the highest current district rate and is subject to change.
 - ii. This rate is inclusive of fuel, oil, tires, repairs and maintenance, driver wages and benefits.
- B. Students are transported on **organization owned/leased vehicles that are designed to transport 16 or more** passengers, including the driver (Commercial Driver's License Required)
 - a. Approved Mileage Rate: Current District Mile Rate, minus the cost of drivers
 - i. Up to the highest current district rate and is subject to change.
 - ii. This rate is inclusive of fuel, oil, tires, repairs, and maintenance.
 - iii. Expend driver's salary in separate account code (6550-171 or 6550-311)
 - b. Examples of Vehicle Type: minibus, activity bus, leased/organization owned yellow bus.

- C. Students are transported on **organization owned/leased vehicles that are 15 passengers or less** (Commercial Driver's License Not Required)
- a. Approved Mileage Rate:
- i. Up to the current IRS rate, and is subject to change. This rate is inclusive of fuel, oil, tires, repairs, and maintenance.
 - ii. Expend driver's salary in separate account code (6550-171 or 6550-311)
- b. Examples of Vehicle Type: 15-passenger van, minivans

Detailed mileage logs must be maintained and submitted as supporting documentation. Detailed mileage logs must include 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

'Flat-fee' transportation contracts are allowed on a case-by-case basis with transportation companies. 'Flat fee' transportation contracts will only be allowed if the [regularly invoiced] amount is equal to or less than the appropriate approved mileage rate per vehicle type.

To enter in a 'flat fee' transportation contract, subgrantees must be able to provide the following evidence:

1. Documentation of lesser rate to be charged versus the appropriate mileage rate per vehicle type.
2. Total daily mileage bus route
3. The proposed amount to be charged (in writing from Vendor)

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 NCDPI (see [Section 2.F](#))
- Budget approval of leased vehicles will be considered on a case-by-case basis.
- Personal vehicles should not be used to transport students.

2.I: Indirect Cost

USED has given NCDPI authority to issue indirect cost rates for all subgrantees. Subgrantees that receive their indirect cost rates from NCDPI 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.

A subgrantee conducting a single function, which is predominantly funded by federal awards, must determine whether the use of the de minimis indirect cost rate results in the subgrantee double-charging or inconsistently charging costs as both direct and indirect. ([2 CFR 200.414\(f\)](#))

2.J: Internal Controls

Internal controls, [200.303](#), 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. Internal controls also help reduce fraud, waste, and abuse of Federal funds.

All 21st CCLC subgrantees must establish, document, and maintain effective fiscal control and fund accounting procedures (internal controls) over the Federal award that provides reasonable assurance that the organization is managing the federal award in compliance with Federal statutes, regulations, and the terms and conditions of the Federal award. The internal controls should align with the 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) ([2 CFR 200.303a](#)).

Subgrantees must take reasonable cybersecurity and other measures to safeguard information including protected personally identifiable information (PII) and other types of information. This also includes information the Federal agency or pass-through entity designates as sensitive or other information the recipient or subrecipient considers sensitive and is consistent with applicable Federal, State, local, and tribal laws regarding privacy and responsibility over confidentiality. ([2 CFR 200.303e](#))

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.

The financial management system of each subgrantee must provide the following ([2 CFR 200.302](#)):

- Identification of the Federal award received and all associated expenditures.
- Effective control and accountability must be maintained for all grant cash, real and personal property, and other assets. The subrecipient must adequately safeguard all such property and must ensure that it is used solely for authorized purposes and protected against loss from unauthorized use or disposition.
- Comparison of actual expenditures with budget amounts for each Federal award.
- Adequate documentation for all transactions which may include authorizations, cancelled checks, paid invoices, payroll journals, time and attendance records, contracts, etc.

While not all internal controls are required to be addressed in writing, the entity must still adhere to these requirements, and addressing the topics in writing helps ensure that all staff will consistently follow procedures and may reduce the risk of monitoring or audit findings.

2.J.1 Required Fiscal Written Procedures

As defined by the GAO, written policies and procedures are one form of internal control. Some written policies and procedures are required, and others are recommended as best practice.

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.

The Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards at [2 CFR Part 200](#) requires written policies and procedures for certain provisions, including the following:

- [§200.302](#) Financial management.
- [§200.303](#) Internal controls.
- [§200.305](#) Federal payment. (Cash Management Procedures)
- [§200.403](#) Factors affecting allowability of costs.
- [§200.404](#) Reasonable costs.
- [§200.405](#) Allocable costs.
- [§200.112](#) Conflict of interest.
- [§200.113](#) Mandatory disclosures.
- [§200.217](#) Whistleblower protections.
- [§200.318](#) General procurement standards.
- [§200.318 \(c\)](#) Conflicts of interest.
- [§200.319](#) Competition.
- [§200.320](#) Procurement methods.
- [§200.313](#) Equipment.
- [§200.430](#) Compensation – personal services.
- [§200.431](#) Compensation – fringe benefits.
- [§200.475](#) Travel costs.
- [§200.456](#) Participant support costs.
- [§200.334](#) Record retention requirements.

The following resources can be utilized for additional information:

- [2 CFR Part 200](#) of the Uniform Guidance can be accessed online.
- Technical assistance documents and other materials related to the UGG, including frequently asked questions and webinar recordings, are available at [The Chief Financial Officers Council website](#).

As best practice, written procedures for fiscal management should also address:

- Preparing Budget 208
- Preparing Budget 209 Amendment
- Managing Budget vs Actual Expenditures
- Accounts Payable
- Payroll Processing
- Submitting for Reimbursement in ERaCA (non-LEAs), or
- Realigning PRC 110 (LEAs & Charters)
- Submitting Adequate Documentation to NCDPI
- Indirect Cost Allocation
- Period of Performance
- Record Retention
- Supplement Not Supplant

2.K: Close-Out Processes

NCDPI will close out the Federal award when it determines that all applicable administrative actions and all required work of the Federal award have been completed by the subgrantee. If the subgrantee fails to complete the requirements, NCDPI will proceed to close out the Federal award with the information available. A subrecipient must submit all reports (financial, performance, and other reports required by a subaward) to the pass-through entity no later than 90 calendar days after the conclusion of the period of performance of the subaward (or an earlier date as agreed upon by the pass-through entity and subrecipient) ([2 CFR 200.344](#))

Administrative costs associated with the closeout activities of a Federal award are allowable. The recipient or subrecipient may charge the Federal award during the closeout for the necessary administrative costs of that Federal award (for example, salaries of personnel preparing final reports, publication and printing costs, costs associated with the disposition of equipment and property, and related indirect costs). These costs may be incurred until the due date of the final report(s). If incurred, these costs must be liquidated prior to the due date of the final report(s) and charged to the final budget period of the award unless otherwise specified by the Federal agency ([2 CFR 200.472](#)).

2.K.1 Capitalized Assets & Inventoried Furniture, Equipment, Computing Devices, & Supplies

Upon completion of the three-year grant cycle or when property is no longer needed, the subgrantee must submit the property records, such as an inventory listing¹, of all capitalized assets, furniture, equipment, computing devices, and/or unused supplies exceeding \$10,000 in total aggregate value acquired with 21st CCLC Grant funds in accordance with [2 CFR 200.310](#) through [200.316](#) and [200.330](#). Disposition of inventoried items will follow the “Transfer of Capitalized Assets & Inventoried Items Protocol” stated below.

NOTE

Inventoried Items consist of those items that are charged to the 461 Object Code (Furniture & Equipment – Inventoried) and the 462 Object Code (Computer Equipment – Inventoried) of the Budget 208 or Budget Amendment 209.

21 st CCLC Transfer of Capitalized Assets & Inventoried Items Protocol	
STEP 1	NCDPI 21 st CCLC Representative identifies another federally funded program in the region.
STEP 2	NCDPI 21 st CCLC Representative and the designated representative from the receiving entity identify a date of transfer for the capitalized assets and inventoried items.
STEP 3	All parties (NCDPI Representative, 21 st CCLC Program Director and the designated representative from the receiving entity) must be present on the day of the scheduled transfer. During the on-site visit, the NCDPI Representative will visually verify the list of inventoried items listed on the 21 st CCLC Program’s Inventory Listing. Once verified, all parties will sign and date the Inventory Listing attesting to the transfer of property from the 21 st CCLC Program to the receiving entity. A copy of the signed Inventory Listing will be emailed to all parties by the NCDPI Representative. A file copy will also be maintained for documentation purposes.

NOTES

- If the subgrantee closes-out a cohort and is granted a successive 21st CCLC cohort, the subgrantee can retain the capitalized assets and/or inventoried items for use in the successive cohort.
- If another federally funded program cannot be identified, NCDPI will determine the disposition of the inventoried items.
- Per [G.S. 115C-218-100 \(b\)](#), upon dissolution of a charter school, all net assets of the charter school purchased with public funds shall be deemed the property of the local school administrative unit in which the charter school is located.

¹ See [Section 2.D Equipment](#) for appropriate documentation for 21st CCLC property records, such as an Inventory.

2.K.2 Record Retention

Financial records, supporting documents, statistical records, and all other subgrantee records pertinent to a federal award must be retained for a period of three (3) 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 3-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 three (3) years after final disposition ([2 CFR 200.334](#)).

The closing out of a grant does not affect the following:

- NCDPI's right of access to any documents, papers, or other records of the subgrantee which are pertinent to the 21st CCLC grant award ([2 CFR 200.337](#)).
- NCDPI's right to disallow and recover funds based on a later audit² or review.
- The grantee's obligation to return any funds due to refunds, credits, corrections, or other transactions.
- Record retention is required by federal law.

2.K.3 Data and Reporting

21st CCLC grantees remain responsible for the following:

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

² This is usually an entity outside of NCDPI, USED, Office of the State Auditor, or any other organization employed to handle business in this matter.

SECTION 3: FUND DISTRIBUTION AND REIMBURSEMENT

3.A: LEA Subgrantees

Once a subgrantee's Budget Form 208 and Required Related Documents for PRC 110 are approved in CCIP by NCDPI program staff and the first allotment installment of academic year program funds are released, 34% of the total academic year funds are deposited directly in the LEA account via electronic transfer.

Once programming has begun by the established date, 21DC must be completed in a timely manner consistent with the subgrantee's internal written policy. However, reimbursements or additional installments may be withheld by NCDPI pending completion of 21DC if the Program Administrator cannot determine actual student attendance due to incomplete data. 21DC must be reflective of current programming **no later than December 31st** each year of the grant cycle.

Upon approval for the second installment, an additional 34% will be deposited directly in the LEA account via electronic transfer. For third installments, a final 32% of the academic year funds will be deposited directly in the LEA account via electronic transfer. 21st CCLC summer funds will be disbursed in a separate installment equal to 100% of the total summer program award via electronic transfer once NCDPI approves the required summer documentation and final summer budget.

NOTE

Summer program award installments will not be issued before April 1 for approved programs.

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 PSU Cash App, which is managed by NCDPI. LEAs must initially budget for only 34% of their total academic year grant award in PSU Cash App. Once approved for second installment, LEAs will file an amendment to budget for an additional 34% of the total academic year grant award in PSU Cash App. Finally, LEAs will file an amendment in PSU CASH APP for the remaining 32% of their total academic year grant award upon approval of their third installment documentation. For LEAs that were awarded summer funds, an amendment in PSU CASH APP will be filed for 100% of the total summer grant award upon approval of the required summer documentation and final summer budget.

The PSU CASH APP system is connected to NCDPI's Cash Management System, which in turn is connected to the NC Department of the State Treasurer. Transactions in PSU CASH APP generate a report which automatically feeds entries to the external General Ledger (GL) and North Carolina Accounting System (NCAS). The NCDPI 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 PSU CASH APP to track their approved use of state and federal funds which pass through NCDPI.

NCDPI 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 NCDPI 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 include the following:

- PRC 110 has no planning allotment.
- Subgrantees must submit the Budget Form 208 as an upload in the CCIP grants management system and receive approval from NCDPI before the LEA's budget can be approved in the PSU CASH APP 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 for the academic year award, and one separate allotment for the summer award with LEAs filing amendments in BASS to receive the additional installments after the initial budget of 34%.

LEA subgrantees are required to maintain documentation to support expenditures reflected on the end of month PSU CASH APP reports. In the event of a fiscal monitoring or desk review, documentation to support incurred expenses will be requested for reconciliation with PSU CASH APP reports. **Therefore, LEAs must submit at least one drawdown for reimbursement prior to December 31st each year of the grant cycle.**

3.B: Non-LEA Subgrantees

The School Business Section at NCDPI 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 NCDPI. Prior to the NCDPI 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 NCDPI. Once the proper forms are submitted, the Cash Management Section can register the organizations' checking accounts with the Office of the State Controller. Once the checking account is registered with NCDPI, NCDPI program staff must approve the Budget 208 and other required documentation (e.g., Basic program information, assurances, fire and safety inspections, etc.) in CCIP. After approval is completed, the first installment of the allotment is released and subgrantee organizations can begin submitting cash reimbursement requests.

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.

NOTE

A copy of the Vendor Electronic Payment Form and state provided W-9 Form can be found at the [Office of the State Controller](#). Subgrantees should NOT submit forms directly to the Office of the State Controller. Please submit completed forms to NCDPI.

After non-LEAs login with their NCDPI credentials, the ERaCA system tracks the availability of allotted funds and ensures the dollar amounts of the organizations' requests are limited to available balance. 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 North Carolina Accounting System (NCAS). The NCDPI Cash Management Section draws the funds down per the report.

Non-LEAs may submit reimbursement requests into ERaCA and they will generally receive the funds via direct deposit within 10-14 business days. Once a subgrantee submits for PRC 110 reimbursement in the ERaCA system, they will not be able to submit for another submission for PRC 110 until their first request has been processed.

NCDPI encourages all non-LEAs to submit for reimbursement in ERaCA at least once monthly, after the subgrantee'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 subgrantee to establish better internal controls over their fiscal operations.

On the **same day** that the non-LEA submits for reimbursement, the following must also be submitted:

- corresponding documentation aligned with the ERaCA submission
- a printed copy of the ERaCA Expenditure/Cash Request Data Inquiry Screen
- ERaCA Reconciliation Cover Sheet
 - This cover sheet must be signed by the Chief Administrator for the non-LEA listed on the Basic Program Information form in CCIP.

Non-LEAs receiving 21st CCLC grant awards for more than one cohort must provide back-up documentation separately for each cohort.

The ultimate purpose of these submissions is to verify that there is proof of purchase for the requested reimbursement. Below is a list of documents grantees should submit to the fiscal team to verify allowable expenses:

- Reports from ERaCA that confirm the date(s) of reimbursement requests and indicate the approved budget codes for the expenditures, along with the subsequent cash request that has been posted.
 - Receipts should have director/management initials and date of review.
- Payroll Support: payroll registers including employee name, job title, rate of pay, pay period, and 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 21st CCLC team email at 21stCCLCTeam@dpi.nc.gov on the same day the reimbursement request is submitted in ERaCA.

Non-LEA subgrantees must submit at least one drawdown for reimbursement prior to December 31st each year of the grant cycle.

3.B.1 Error with ERaCA Submission

If a subgrantee 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 subgrantee will make the correction in the next ERaCA submission and retain documentation within their records for future reference.

SECTION 4: PROGRAM MANAGEMENT

4.A: Location of Program Centers/Sites

In addition to public school campuses (PSUs), 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. See [Section 7](#) for additional safety related information. 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, building occupancy and general accessibility ([sec E-3](#), TITLE IV, PART B — 21st Century Community Learning Centers). 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 in CCIP demonstrating the 21st CCLC Program occurs in a location that meets the criteria for accessibility and is safe for effective learning. Documentation provided to NCDPI to demonstrate compliance can include, but is not limited to:

- Annual Building Maintenance and Fire Inspection Reports, if applicable.
- 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.
- Documentation of maximum occupancy thresholds for all buildings where 21st CCLC programs will be held. Maximum occupancy thresholds are inclusive of all staff, volunteers, contractors, and students occupying the building at a single time.

NOTE

NCDPI may immediately suspend a subgrantee's funds and/or daily programming if NCDPI determines that a threat exists to the health or safety of students, including a lack of staff training.

4.B: Program Income

Program income means gross income earned by the subgrantee that is directly generated by a supported activity or earned as a result of the 21st CCLC grant during the period of performance (2 CFR 200.1 "Program income"). Program income includes but is not limited to income from fees for services provided, for the use or rental of property acquired with the 21st CCLC grant funds, as well as the sale of commodities or items fabricated with supplies and materials purchased with grant funds.

The 21st CCLC program's intent is to ensure equal access to all students (and their families) targeted for services; therefore, **NCDPI does not allow subgrantees to earn program income.** Fees cannot

be collected for participation in the program, nor can they charge late fees to caregivers who arrive after a Program's scheduled end time to pick up their student(s). If an organization has previously charged fees prior to being awarded the 21st CCLC grant, they must stop this practice as a condition of the award to ensure all students and their caregivers are able to participate in the program.

Programs found to be earning program income, including fees for late pick-ups and/or student participation in 21st CCLC programs, ticket sales, concessions of items purchased or fabricated with grant funds will be required to repay all income earned to NCDPI.

4.C: Program Enrollment

21st CCLC programs in North Carolina must serve a minimum of 50 students each year. In North Carolina, local boards of education must offer kindergarten as part of the public-school system for all children living in the local school administrative unit who are eligible for admissions ([§115C-47](#)).

While ESSA does not expressly prohibit serving preschool children in the 21st CCLC Program, North Carolina offers awards to non-LEA subgrantees to provide services to school-age children enrolled in kindergarten through high school grades. For LEAs, North Carolina offers awards to subgrantees to provide services to include preschool through high school grades. *All LEAs must adhere to preschool state laws and 21st CCLC guidance for out-of-school time programming.*

4.C.1 21st CCLC Program Enrollment Procedures

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

- Program Goals and Impact Measures.
- Program Schedules / Calendars.
- Family Engagement Requirements.
- Data Sharing Agreements with the Feeder School.
- Review of Parent/Student Handbook- parent compacts (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 the 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, parent compact, 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 students' home language. Enrollment forms may be electronic or hardcopy. 21st CCLC program orientation and enrollment information must be made available to NCDPI 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 adequate contact time is being spent with students and families each week. As a condition of the grant in North Carolina, subgrantee programs **must offer a minimum of 300 hours of programming for participating students within the regular-school-year program component at each site** (i.e., center) Each enrolled student should be given the opportunity to attend academic and enrichment activities a minimum number of hours to provide a quality program that fosters maximum positive impact on students' development and learning.

Travel time does not count towards the minimum hour requirement, nor does providing instruction during travel time. Quality contact time should encompass the entire targeted student population each day (e.g., cannot serve only sixth grade students on Monday and Wednesday and only seventh grade students 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. In the state of North Carolina, 21st CCLC student participants are not counted towards meeting the subgrantee's enrollment goal stated in their SBE approved application until they have attended the 21st CCLC Program for **at least 90 hours (see Section 1.G.4)**. Additionally, any student enrolled in the 21st CCLC Program is required to have a completed instructional staff survey prior to 21DC data submission at the end of the school year and summer (if applicable). NCDPI 21st CCLC Program Administrators will provide subgrantees with updated instructional staff survey templates each Spring. Programs should establish their own policies and procedures for entering student attendance into 21DC. Programs should also establish when to count students as an official attendee of the program.

However, it is imperative to establish written procedures to input data in a timely manner to allow Program Administrators to confirm attendance that corresponds with reimbursement and installment requests.

Once programming has begun by the established date, 21DC must be completed in a timely manner consistent with the subgrantee's internal written policy. However, reimbursements or additional installments may be withheld by NCDPI pending completion of 21DC if the Program Administrator cannot determine actual student attendance due to incomplete data. **21DC must be reflective of current programming no later than December 31st each year of the grant cycle.**

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.

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; and,
- 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: Performance Goals and Objectives Alignment Requirement

NCDPI has established a set of performance goals and indicators as a part of the statewide evaluation of 21st CCLC programs. Beginning in 2024, all subgrantees will be required to design their proposed academic year programs to align with the NCDPI 21st CCLC statewide performance goals. Additionally, all subgrantees will be required to collect and report outcome data as it relates to the statewide goals. The Performance Goals and Objectives can be found in [Appendix A](#).

To demonstrate alignment with NCDPI's statewide performance goals, all proposed NCDPI 21st CCLC subgrantees must offer academic year services in core academic areas, enrichment, and family engagement in the following ways:

4.F.1 Core Academic Areas

All proposed academic year 21st CCLC centers must provide annual services during the academic year that meet the following criteria³:

1. Offer activities in two (2) of the core academic areas listed below,
2. Provide the selected activities at least 2 times per week during a full week of programming,
3. Ensure each selected activity totals at least 2 hours per week, and
4. Offer the above required dosage of selected activities for each grade span served (i.e., PreK, K-5, 6-8, 9- 12).

Core academic program areas include:

PreK Centers:

- Early literacy programming aligned with [NC Foundations for Early Learning and Development](#) Language Development and Communication subdomains of Foundations of Reading and Foundations of Writing.
- Math programming aligned with [NC Foundations for Early Learning and Development](#) Cognitive Development subdomains of Construction of Knowledge: Thinking and Reasoning, and Mathematical Thinking and Expression.
- Science programming aligned with [NC Foundations for Early Learning and Development](#) Cognitive Development subdomains of Construction of Knowledge: Thinking and Reasoning and Scientific Exploration and Knowledge

³ NCDPI will consider flexing the dosage requirements if an applicant provides an evidence-based justification and demonstrates how their proposed adjustment will align with NCDPI's Statewide Performance Goals.

K-12 Centers:

- Literacy programming aligned with feeder district(s)/school(s) annual literacy support plans and NCSCOS NCSCOS [English Language Arts](#) standards.;
- Math programming aligned with feeder district(s)/school(s) annual math support plans and NCSCOS [Math](#) standards.;
- Science programming aligned with NCSCOS [Science](#) standards.

4.F.2 Enrichment

In addition to academic activities, all proposed 21st CCLC centers must provide annual enrichment activities during the academic year that meet the following criteria:

1. Offer selected activities in two (2) of the core enrichment areas listed below,
2. Provide the selected activities at least 2 times per week during a full week of programming,
3. Ensure each selected activity totals at least 2 hours per week, and
4. Offer the above required dosage of selected activities for each grade span served (i.e., PreK, K-5, 6-8, 9- 12).

Core enrichment program areas include:

PreK Centers:

- Arts programming (i.e., dance, music, theatre, visual arts) aligned with [NC Foundations for Early Learning and Development](#) domains of Approaches to Play and Learning and Cognitive Development (with a focus on the subdomain of Creative Expression)
- Workforce Development programming utilizing age-appropriate implementation methods.
- Physical Education programming aligned with [NC Foundations for Early Learning and Development](#) domains, Approaches to Play and Learning and Health and Physical Development
- Health Education programming aligned with [NC Foundations for Early Learning and Development](#) domains, Approaches to Play and Learning and Emotional and Social Development.

K-12 Centers:

- Arts programming (i.e., dance, music, theatre, visual arts) aligned with NCSCOS [Arts](#) standards.
- Workforce Development programming utilizing age-appropriate implementation methods and aligned to [NCDPI's CTE Career Clusters & Pathways](#).
- Physical Education programming aligned with NCSCOS essential [Physical Education](#) standards.
- Health Education programming aligned with NCSCOS essential [Health](#) standards.
- STEM programming aligned with the NCDPI adopted [Digital Learning \(K-12\)](#)

4.F.3 Family Engagement:

All subgrantees must provide annual family engagement services to all participants during the academic year and, if applicable, during summer programming. For detailed requirements, refer to Section 6.D

4.G Required Academic Year Program Start Date

All NCDPI 21st CCLC Grant Programs must be fully operational and serving students by **October 15th each year** during the three (3) year grant cycle. Awarded programs that do not meet the October 15th deadline may be subject to funding reductions by NCDPI.

4.H: Summer and Intersession Components

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 intersession periods to serve as the summer program component(s).

21st CCLC summer program schedules and structures, total student enrollment, and number of proposed weeks should match the approved summer program plans in the subgrantee's SBE-approved application. For details of your program requirements, please refer to your original request for proposal (RFP). If the proposed number of weeks must be adjusted to meet a feeder school summer program schedule, the number of hours must be maintained according to the SBE approved application. Should a subgrantee need to make changes to their 21st CCLC summer program plans, subgrantees must submit a program amendment form in CCIP for NCDPI approval. Depending on changes requested, subgrantees may also need to submit a Budget Amendment Form 209 for additional NCDPI approval.

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

- Academic activities that are aligned to the 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 student contact hours per week as approved in the SBE application)
- Adherence to the section 4205(b) of the ESEA, as amended by the ESSA, Measures of Effectiveness

Awards can be ratably reduced or terminated contingent upon the annual State Education Agency (SEA) award from United States Department of Education (USED).

4.I: Transition Safety

21st CCLC program students must only be transported in NCDPI approved vehicles (see [section 2.H](#) for list of approved vehicles). **Students cannot be transported in private vehicles.**

4.I.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 should 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 NCDPI 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.I.2 Transportation Transitions

When students travel from a feeder school to a program site located off site, procedures should 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 NCDPI upon request. Formal written transportation 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.J: Field Trips

Field trips are allowable if it will further their academic enrichment and align to the goals and objectives of the program. The costs must be reasonable and necessary for implementing the program. Field trips that are not connected to an SBE-approved program goal or objective, do not clearly demonstrate educational value, or are not aligned with a curriculum currently being implemented in the 21st CCLC program are not allowable. **Field trips solely for entertainment purposes are not allowable (See §200.438)** except where the specific costs that might otherwise be considered entertainment have a direct programmatic purpose and are authorized either in the approved budget or with prior written approval.

Field trips with associated cost funded by 21st CCLC require NCDPI approval **at least 30 days in advance** via the completion of the Field Trip Form (See [Section 4.J.1](#)). Additionally, the cost of taking a field trip must be included and approved in the program's Budget 208/Budget 209 Amendment. Educationally related field trips can take place virtually or in-person. Field trips must align with the program's goals and objectives listed in a subgrantee's SBE-approved application and correlate to a curriculum being implemented throughout the 21st CCLC Program that is designed to meet North Carolina Standard Course of Study learning goals and objectives at the time of the field trip.

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:

- 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 the 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 who participated in each field trip (e.g., sign-in sheets) as well as to demonstrate completion of pre/post field trip activities. Please contact your 21st CCLC Program Administrator with questions regarding a specific field trip.

NOTES

- Costs associated with unused tickets are not reimbursable.
- Field trips must not be used as an incentive or reward.

4.J.1 Field Trip Approval Process:

- A Field Trip Request Form for each planned 21st CCLC field trip must be submitted to the program administrator at least 30 days prior to the anticipated trip date for NCDPI review and approval. All field trips must be pre-approved by NCDPI prior to any expenditure related to the trip.
- Any changes to approved field trip form the program administrator for review and approval no later than ten (10) days prior to the field trip.
- Subgrantees should always submit the current fiscal year's field trip request form.
- Subgrantees should maintain tangible documentation, such as lesson plans, student work, or reflection journals, for all pre- and post-field trip activities to comply with NCDPI monitoring requirements.

4.J.2 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 NCDPI-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 NCDPI-approved continuation application for the current grant year.

4.J.3 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 4.:K](#)). 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 or to purchase food while on site. No more than \$5.00 per lunch per student can be charged against the 21st CCLC grant. Any expenses above the \$5.00 allowable threshold must be charged against another non-21st CCLC funding source. All field trip food purchases should be detailed on your Field Trip Approval form prior to NCDPI 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 and/or on-site food 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.

4.K: Providing Healthy Snacks

4.K.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 to the most [current allowable price](#) per snack per student based on USDA Reimbursement Rates Calculator. Any costs over the allowable price per 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.

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

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, ¾ cup Celery Sticks, ¾ 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 oz 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

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. NCDPI 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 who have disclosed dietary restrictions and/or food allergies. Due to the health risk posed by either situation, the purchase of a reasonable number of snacks to address these criteria could be paid with 21st CCLC funds.

4.K.2 Providing Food for Family Engagement Events

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.
- In order to qualify for reimbursement of food costs and to fulfill NCDPI monitoring obligations, subgrantees are required to furnish sign-in sheets and event agendas for all family engagement events.

SECTION 5: STAFFING

5.A: Recruitment, Hiring, and Retention

Subgrantees should ensure that all 21st CCLC staff roles have clearly written job descriptions. The 21st CCLC Program should also have formal written hiring policies and procedures to not only be shared with all 21st CCLC staff members, but also with NCDPI upon request.

Subgrantees must ensure that all requested staffing costs meet the federal cost principles of being reasonable, necessary, and allocable to the 21st CCLC program. These requirements apply to all staffing-related budget items paid with grant funds, including salaries, wages, stipends, and benefits. Staffing positions and compensation must also be consistent with Subsection 2.E: Compensation.

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 prior to working with students (see [Section 7. B](#)).**

Once subgrantees have hired their 21st CCLC Program staff, subgrantees will be monitored by NCDPI 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.
- 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

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 and as such should reside in close geographic proximity to 21st CCLC 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 NCDPI and federal 21st CCLC Grant Guidance.

- The 21st CCLC Program Director serves as the primary point of contact between NCDPI and the subgrantee and as such, is responsible for ensuring that all relevant communication from NCDPI is provided to appropriate staff at the local level. Additionally, The 21st CCLC Program Director is the main point of contact for NCDPI 21st CCLC Program Monitoring events.
- The 21st CCLC Program Director is required to attend an initial on boarding, as well as the annual continuation application and budget training.
- The 21st CCLC Program Director should be available during normal business hours to attend other NCDPI required meetings, training, etc.

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
- The 21st CCLC Fiscal Agent is required to attend an initial on boarding, as well as the annual continuation application and budget training.
- The 21st CCLC Fiscal Agent should be available during business hours to attend other NCDPI required meetings, trainings, etc.

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 NCDPI.
- Site Coordinators must be present at the 21st CCLC program site any time the program is in operation. Virtual Site Coordinators are not allowed.
- Site Coordinators may not be allowed if there is only one program site.

NOTES

- An organization may only charge to the 21st CCLC grant up to 40 hours per week per employee regardless of the number of positions held. This limitation applies even when the potential grant awards span different 21st CCLC cohorts.
- This limitation applies regardless of whether the grant awards span different 21st CCLC cohorts.
- This restriction may or may not apply to PSU staff working in a 21st CCLC program, determined by the classification of their position during the regular school day.

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 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.**

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 are required to receive and sign an attestation of receipt of each organization's 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, should 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 7](#))
- 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 7](#))
 - 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
 - Whistleblower protections

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. NCDPI suggests 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
- Required and optional attendees
- Evaluation

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

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

5.E: NCDPI Required Professional Development Trainings and Other SEA Meetings

To support the successful implementation of high-quality 21st Century Community Learning Centers (21st CCLC) programs, all subgrantees are required to participate in state-sponsored professional development, training, and informational meetings throughout the grant period. These opportunities are designed to strengthen program quality, support continuous improvement, and ensure compliance with federal, state, and local requirements.

5.E.1 Attendance Requirements

Each subgrantee organization must designate at least one (1) representative to attend all required professional development events, training, and meetings. The designated representative should be a staff member who has sufficient knowledge of the program's operations, fiscal management, and grant requirements. The representative must also be able to effectively communicate information to other program staff.

Required participation includes, but is not limited to:

- The annual statewide 21st CCLC conference;
- Monthly in-person or virtual professional development sessions;
- Monthly informational and program update meetings;
- New subgrantee onboarding and orientation sessions, when applicable; and
- Additional trainings, or technical assistance sessions identified by the State Education Agency (SEA).

SECTION 6: COLLABORATIONS

The establishment of collaborative partners is critical to 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. 21st CCLC programs should 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. Vendors 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 management and implementation of 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 Program Information
- Statement of Assurances
- Debarment Certification
- Criminal Background Checks
- 21st 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 the current fiscal year) joint documents must be approved by a 21st CCLC Program Administrator and be made available to NCDPI for review upon request.

6.B: Collaboration with Feeder Schools

Feeder schools refer to the schools that 21st CCLC students attend during the regular school day. As previously noted, all 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. Documentation should 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, NCDPI may review the following information to determine a subgrantee's level of compliance and implementation of collaborative feeder school partnerships:

- Schedules of communication with feeder schools for all 21st CCLC program sites.
- 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.
- Other samples of communications with feeder school staff such as memos, letters, emails.

6.B.1 LEA Collaboration Form- Required Document

All subgrantees must complete an LEA Collaboration Form for each feeder school, to include any Title I feeder schools served. All completed forms must be uploaded to CCIP for approval prior to the first installments of funding each year.

It is important to note that the LEA Collaboration Form captures high level agreements between the 21st CCLC program and the LEA(s). The LEA Collaboration Form does not replace or override any MOUs, contracts, or other partnership agreements that a 21st CCLC program may have with the LEA(s). The LEA Collaboration form does not prescribe *how* an LEA will collaborate with a 21st CCLC program; Instead, the form documents an LEA's willingness to support the afterschool and summer programs in a way that is aligned with context of the LEA, the 21st CCLC program and the community being served by the 21st CCLC program. Lastly, the LEA Collaboration Form documents an LEA's willingness to engage in conversations with the 21st CCLC program regarding sharing data to support the 21st CCLC program. The LEA Collaboration Form *does not* commit the LEA to sharing data with the 21st CCLC program. 21st CCLC programs will need separate documentation to detail a data-sharing agreement with the LEA for the purposes of the 21st CCLC program.

If an LEA has refused to collaborate, did not respond to the 21st CCLC program's request for meeting, or declined the offer to collaborate, the 21st CCLC program must remove the LEA/feeder school from their proposed feeder school list. The 21st CCLC program must then look to serve a new LEA/feeder school who is willing to collaborate or look to increase enrollment at their other feeder schools who are willing to collaborate. The 21st CCLC program should file a programmatic amendment detailing these changes and submit the form via CCIP.

If a 21st CCLC program cannot find a new feeder school and/or cannot increase enrollment at the other feeder schools, the 21st CCCLC program must file a programmatic amendment and adjust their overall enrollment numbers, noting the enrollment number cannot be less than 50 students. Upon review by NCDPI, this may lead to a reduction in funds due to serving less students than originally proposed in the SBE-approved application.

6.C: Private Schools

Under Section 8501 of the Elementary and Secondary Education Act (ESEA), as amended by the Every Student Succeeds Act (ESSA), all 21st Century Community Learning Centers (21st CCLC)

subgrantees must provide eligible private schools with the opportunity to participate in equitable services through timely and meaningful consultation.

Consultation must occur before any decisions are made that affect the participation of eligible private school students, teachers, or other educational personnel and, when applicable, continue throughout the implementation and assessment of the program.

Pre-Award Consultation (Grant Application)

During the development of the grant application, applicants must:

- Identify all eligible private schools located within the proposed feeder school attendance zones.
- Notify each private school of the availability of equitable services and invite school officials to participate in consultation.
- Make a minimum of two unique communication attempts with each private school unless a written response is received after the first or second attempt.
- Ensure at least one communication attempt is sent through a verifiable delivery method, such as certified U.S. Mail, FedEx, UPS, or a read-receipt email.
- Attest within the CCIP application that equitable services consultation requirements have been met.

Timely consultation helps determine the demand for equitable services before submitting the initial grant application and each annual continuation application.

Follow-up based on the private school's response:

- **If the school declines consultation in writing:** No additional contact is required for that program year.
- **If the school accepts consultation:** Conduct a consultation meeting and retain the agenda and meeting notes. If the school accepts but does not attend the scheduled meeting, follow up using the original method of communication to reschedule.
- **If the school does not respond:** After completing the required communication attempts, complete the ESEA Affirmation Form (Section D) and retain documentation of all communication efforts, including the certified mail receipt and any emails or other correspondence.

Post-Award Consultation and Documentation

If awarded funding, subgrantees must continue consultation with private schools that expressed interest in receiving equitable services and maintain documentation of all consultation activities.

During Years 2 and 3 of the grant cycle, subgrantees must annually invite all eligible private schools within the feeder school attendance zones to participate in consultation, including:

- Schools that previously accepted services.
- Schools that previously declined services.
- Newly established private schools within the attendance area.

Subgrantees must follow the **same communication requirements established during the pre-award consultation process**, including the minimum number of communication attempts and verifiable delivery requirements, unless a written response is received after an earlier contact.

Documentation maintained for monitoring purposes should include:

- Agendas, sign-in sheets, and meeting minutes from consultation meetings (pre-award, post-award, and during implementation, as applicable).
- A current list of private schools located within the feeder school attendance zones.
- Evidence of all communication efforts with private schools, including responses received.

Additional Resources

For additional guidance, refer to Section 8501 of the ESEA, as amended by ESSA, and the NC Directory of Private Schools to identify eligible schools within the program's attendance area.

6.D: Parent and Family Engagement

Successful 21st CCLC programs foster parent/caregiver 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 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

All subgrantees must offer annual family engagement services to all participants **during the academic year** that:

- Ensure the overall 21st CCLC family engagement plan is aligned with feeder

district(s)/school(s) family engagement plans;

- Ensure at least three (3) educational workshops are hosted annually for families of participating students focused on each of the following topics:
 - Educational Workshop 1: must focus on deepening participating families' understanding of the connection between consistent school-day attendance and future student success.
 - Educational Workshop 2: must focus on offering families training on age-appropriate strategies and resources for supporting students' positive academic behaviors and/or social-emotional well-being.
 - Educational Workshop 3: must focus on offering families the opportunity to gain skills and knowledge for supporting students' academic needs including literacy and related educational development.

Summer Programs

Beginning with the FY 2026, all subgrantees operating summer ONLY, summer intensive, and/or regular summer programs must also offer one (1) of the required family engagement workshops each summer of the grant, totaling three required workshops by the end of the grant cycle. Subgrantees can offer the required family engagement workshop topics in any order.

Documentation should be maintained by the 21st CCLC program to demonstrate active engagement with families throughout the grant cycle. Subgrantees are required to provide a parent-student handbook to each participating caregiver and obtain an attestation of receipt from each caregiver.

During annual 21st CCLC program monitoring events NCDPI may 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
 - 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 the current grant year.**
- **Evidence of family engagement workshops/events for the current grant year to include:**
 - Sign in sheets with handwritten or electronic signatures

- Event agendas
- Event materials such as handouts and PowerPoints
- Event feedback survey templates and completed samples
- **Written annual family communication plans to include:**
 - Schedule of all family engagement events for each site for the current grant year including:
 - dates and times for orientations
 - regular family workshops/events
 - meetings focused on the three required educational workshop topics
 - Plans for engagement and supporting non-native English-speaking families and illiterate families in 21st CCLC programming.

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) should 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 should address:

- Procedures for maintaining participant emergency contact information
- Criminal background checks
- Disciplinary policies for violence and bullying
- Emergency preparedness plans that include:
 - Fire safety (including evacuation route maps from all 21st CCLC classrooms, schedules, and documentation of completed fire drills for 21st CCLC)
 - Adverse weather (including schedules and documentation of completed tornado drills for 21st CCLC)
 - Lockdowns, lockouts, and safe family reunification (including schedules and documentation of lockdown drills for 21st CCLC)
- Internet use (Acceptable Use)

Written emergency policies and procedures should also be provided to staff, 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 should be maintained on file and available to NCDPI upon request.

All 21st CCLC staff, volunteers and students should 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 are required to develop written agreements and require that staff, volunteers, parents/caregivers, and students sign acknowledging they have received and read each of the policies. Signed agreements should be maintained on file and available for review during annual program monitoring events. NCDPI may immediately

suspend a subgrantee's funds and/or daily programming if NCDPI determines that a threat exists to the health or safety of students, including a lack of staff training. Any programming held during suspension will not be eligible for reimbursement.

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

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 NCDPI 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. If previous 21st CCLC programs are awarded a new

grant, then new criminal background checks must be obtained at the beginning of the grant cycle for all 21st CCLC employees and volunteers. During annual 21st CCLC program monitoring events criminal background check reports, policies and procedures should be made available to NCDPI upon request.

NCDPI may suspend funding and/or daily programming for findings resulting in non-compliance for criminal background checks.

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, contractors, volunteers, students, 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 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.D: 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 should 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 should 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 should be clearly indicated and allow for safe egress. Fire extinguishers should 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.

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.E: Adverse Weather Policy

Policies and procedures should 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. Subgrantees 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.F: Internet Usage Policy

If using the Internet, the 21st CCLC program should 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 should obtain parent/caregiver 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](#).

The 21st CCLC program must implement policies/procedures to ensure safe usage of the Internet, as applicable specific to 21st CCLC Program. The following items are required for program compliance:

- Samples of signed Internet usage consent forms for students under the age of 13, if applicable
- Written Internet usage policies/procedures

7.G: Procedures for Emergency Drills

Policies and procedures related to emergency drills (not related to weather) should be in place for each grantee and be site specific to address the following: lockdowns, lockout, and reuniting students with parents/caregivers 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 should be specific to the spaces and personnel overseeing the afterschool program, and practice drills should be practiced during the afterschool hours of operation with students present.

All 21st CCLC programs must implement procedures to ensure student and staff safety. The following items are required for program compliance:

- Schedule of safety drills conducted (should include time-stamped drills for fire, tornado and other adverse weather, and active shooter/intruder.)
- Written emergency preparedness policy/plan (if LEA, plan must specifically address the 21st CCLC program)
- Written adverse weather policy/plan (if LEA, plan must specifically address the 21st CCLC program)

Each type of drill must be conducted with students within the first **30 days** of Academic Year programming. Subsequent fire drills are recommended to be completed monthly. All other drills are recommended to be conducted at least twice annually.

Programs operating summer programming must conduct each type of drill (fire, tornado, and active shooter/intruder) with students **within the first week** of programming.

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.

If your organization is currently registered in SAM.gov with either an active or inactive registration, you have already been assigned a UEI. Your UEI is viewable on your entity's registration record in SAM.gov. To learn how to view your UEI, see this guide: [How can I view my unique entity identifier \(UEI\)?](#)

To demonstrate compliance, all subgrantees must submit an active SAM confirmation registration status to NCDPI in the initial and continuation applications. Additionally, subgrantees are responsible for maintaining the SAM confirmation status up to date in CCIP.

8.B: Grant Reporting and Audit Requirements

8.B.1 State Reporting Requirements

North Carolina grant reporting requirements are governed by state law ([N.C.G.S. 143C-6-23](#) and [09 NCAC 03M](#)). These requirements apply to any non-state entity that is not subject to the requirements of the [Local Government Commission](#) (LGC) and that receives State funds or Federal pass-through grant funds directly from a State agency.

Reporting levels are based on the total amount of grant funds received from State agencies from all funding sources, not just funds **received** through the 21st CCLC grant.

Reporting Levels

- ***Level I: \$1 to \$999,999***
- ***Level II: \$1,000,000 or more***

8.B.2 Required Reports and Submission Deadlines

Applicable subgrantees must file annual reports on how grant funds were used no later than three months after the subgrantee's fiscal year. Government entities, including counties and local governments, are not required to file these reports.

Both Level I and Level II subgrantees must complete and submit the required reporting form no later than three months after the end of the subgrantee's fiscal year:

[DPI Grant Reporting Website](#).

Once submitted, the form is received by NCDPI Monitoring & Compliance and provides:

- A certification that all grant funds received were used for the purposes for which the grants were awarded;
- An accounting of all grants received, held, used, or expended; and
- A report on activities and accomplishments undertaken by the subgrantee, including performance measures.

8.B.3 Additional Audit Requirements for Level II Subgrantees

In addition to completing the required State reporting form, Level II subgrantees must have a Single Audit, or, if eligible, a program specific audit, completed in accordance with applicable State requirements and Generally Accepted Government Auditing Standards.

Audits must be uploaded to the [Federal Audit Clearinghouse](#) (FAC) no later than nine months after the end of the subgrantee's fiscal year.

8.B.4 Federal Single Audit and Audit Cost Requirements

In addition to State reporting requirements, subgrantees must comply with applicable federal audit requirements under 2 CFR Part 200, Subpart F.

A subgrantee that expends \$1,000,000 or more in federal awards during its fiscal year must have a Single Audit conducted, unless the subgrantee is eligible for and elects to have a program-specific audit conducted instead. The federal Single Audit threshold is based on federal awards expended, not simply federal funds received.

When a Single Audit or program-specific audit is required, the subgrantee must submit the audit, data collection form, and reporting package to the Federal Audit Clearinghouse (FAC) within 30 calendar days after receiving the auditor's report or nine months after the end of the audit period, whichever is earlier. Single Audits can be uploaded to the [FAC](#) website.

Audit costs may be charged to the 21st CCLC grant only if the subgrantee meets the federal audit threshold. The amount charged to the 21st CCLC grant must be limited to the grant's proportional share of the total audit cost, based on the proportion of the 21st CCLC federal funds expended compared to the subgrantee's total federal funds expended.

For example, if 21st CCLC funds represent 30% of the subgrantee's total federal funds expended during the fiscal year, no more than 30% of the allowable audit cost may be charged to the 21st CCLC grant.

NOTE

Failure to comply with State and/or Federal reporting and audit requirements may result in the suspension of the subgrantee's 21st CCLC funds.

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 should 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. NCDPI will closely monitor both student enrollment and average daily attendance (ADA) to ensure programs are serving the number of anticipated students from the original SBE-approved grant application, and to offer support and strategies to improve consistent attendance. Attendance reporting must be completed through the Attendance Module of the NCDPI data collection system, 21DC. Subgrantees should 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. Infinite Campus 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 at least 90 hours/30 days (or more) during the academic year.
- **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. NCDPI defines low ADA as less than 70% of a program's enrollment number attending on a daily basis.

In addition to collecting data to meet federal reporting requirements, the attendance data in 21DC is used by NCDPI to determine if progress is made toward enrollment goals in order to release the second installment of funds. To be counted towards funding installment enrollment goals, enrolled students must meet the NCDPI-determined thresholds for 'regular attendees' ([See Section 1.G.4](#)). 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 NCDPI.

8.C.1 Attendance Check Ins

8.C.1.a First Initial

During each year of the grant cycle, NCDPI will monitor enrollment goals and ADA through a series of official Check Ins.

To mitigate the risk of subgrantees not meeting attendance goals for second installment, PAs will complete an attendance check in to verify 21DC data, at the beginning of January. At risk subgrantees will be identified if one or more of the following criteria are not met:

- Enrollment is greater than or equal to 50% of the State Board of Education approved goal
- Students counting toward the 50% enrollment goal have attended at least 45 hours of programming
- ADA is greater than or equal to 70%

If one of the listed criteria is not met by the subgrantee, the PA will schedule a Technical Assistance (TA) meeting in February/March to develop strategies on how to increase enrollment and improve ADA.

Technical Assistance is communicated through the CCIP History Log comments. PAs will reach out via email to subgrantees scheduling the associated on-site TA visit.

8.C.1.b Second Attendance Check In

Upon review of subgrantee's Program Attendance Update Form for second installment (due April 30th) for each year of the grant award, the PA will verify 21DC to ensure:

- Enrollment is greater than or equal to 75% of the SBE approved goals
- Students counting toward the 75% enrollment goal have attended programming for at least 90 hours
- ADA is greater than or equal to 70%

If a subgrantee meets the 75% enrollment goal with students attending 90 hours or more of programming, the program will be eligible to receive the second installment of funds.

If a subgrantee fails to meet the ADA requirement of 70% during this check-in, the PA will record the ADA percentage in the CCIP History Log and check again at the end of the program's academic year.

8.C.1.c Final Attendance Check In

Following the final check-in at the end of the program's academic year one or year two, if a subgrantee has an ADA that is less than 70% of its current enrollment number, the subgrantee will receive an official notification of noncompliance. Additionally, the program will receive an in-person technical assistance visit at the beginning of the next academic year to develop an action plan to assist the subgrantee in identifying and addressing barriers affecting their ability to meet the ADA requirement.

If the subgrantee fails to meet the ADA requirement for year one **and** year two of the grant cycle, the subgrantee will be required to right-size and take a reduction in funds and/or terminate their grant for the remainder of the grant cycle.

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.

NOTE

Evaluation means an assessment using systematic data collection and analysis of one or more programs, policies, practices, and organizations intended to assess their implementation, outcomes, effectiveness, or efficiency.

77.1 Definitions that apply to all Department programs.

9.A: Self-Assessment Tool

In 2017, NCDPI, 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 subgrantees 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. The completed [self-assessment tool](#) should be used annually as evidence in the Comprehensive Progress Monitoring Review (CPMR) document.

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 NCDPI via the 21DC system. NCDPI collects data through 21DC to complete annual federal reporting requirements via the federal 21APR system. For details about the 21DC system, visit the NC Department of Public Instruction [website](#).

NCDPI suggests all 21st CCLC subgrantees update attendance information in 21DC at least one time per week. Late submission of attendance data in the 21DC system will be used to inform the subgrantee’s risk level during NCDPI’s 21st CCLC annual risk assessment for future monitoring events.

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 finalizing grant close out procedures for the current year of funding. Late submission of the APER will be used to inform the subgrantee’s risk level during NCDPI’s 21st CCLC annual risk assessment for future monitoring events.

9.D: External Organizations and Evaluators

9.D.1 Pre-Screened External Organizations

NCDPI may provide a list of pre-screened external organizations that may be able to assist subgrantees in carrying out 21st CCLC program activities. The list is intended to serve as a resource for subgrantees and may include organizations with experience supporting before-school, after-school, summer learning, or other out-of-school time programs.

For purposes of this section, an external organization may include a nonprofit organization with a record of success in operating or supporting before-school, after-school, summer learning, or

related enrichment programs. If there is no such organization available in the community, a nonprofit organization with a record of success in the community may qualify if it enters into a written agreement or partnership with an organization that has experience running or working with before-school, after-school, summer learning, or related out-of-school time programs.

Inclusion on a pre-screened list does **not** guarantee approval of services, costs, contracts, or procurement decisions. Subgrantees remain responsible for ensuring that all services are allowable under the 21st CCLC grant and that all costs are **reasonable, necessary, and allocable** to the approved program.

Subgrantees must follow all applicable federal, State, and local procurement requirements when selecting and contracting with an external organization, including conflict of interest requirements. Contracts and budgets may be reviewed by NCDPI to determine whether the proposed services are aligned with approved 21st CCLC program activities and whether the associated costs are allowable.

Services provided by an external organization must be clearly connected to the approved application, program goals, and allowable 21st CCLC activities. Costs or services that are not reasonable, necessary, allocable, or aligned with the approved program may be questioned or disallowed.

9.D.2 External Evaluators

Each 21st CCLC subgrantee must conduct periodic evaluation activities in conjunction with NCDPI's evaluation plan to assess progress toward providing high-quality academic enrichment opportunities and supporting overall student success. Subgrantees must use evaluation results to refine, improve, and strengthen the program or activity and to review and adjust performance measures, as needed.

Subgrantees are responsible for collecting the data necessary to measure student success as described in the approved application and to contribute to NCDPI's overall State evaluation plan and Program Performance Outcomes.

Subgrantees may choose to contract with an external evaluator to support evaluation activities. External evaluator costs charged to the 21st CCLC grant must meet the federal cost principles of being **reasonable, necessary, and allocable** to the grant. Evaluation services must be directly connected to assessing program implementation, program quality, student and family outcomes, progress toward approved objectives, and continuous program improvement.

External evaluator services must be for **evaluation activities only** and may not be used for general program management, day-to-day program operations, grant administration, staff supervision, fiscal management, or other duties that are the responsibility of the subgrantee. Contracts, budgets, invoices, and related documentation will be reviewed to determine whether the proposed services and costs are reasonable and aligned with allowable evaluation activities. Costs or services that are not reasonable, necessary, allocable, or clearly aligned with evaluation services may be determined unallowable.

If a subgrantee uses 21st CCLC funds to contract with an external evaluator, any amount paid for evaluation services must be included within the **20% cap on indirect student services**. All applicable federal, State, and local procurement requirements, including conflict of interest requirements, must be followed when selecting and contracting with an external evaluator.

Subgrantees must provide public notice of the availability of their evaluations and make evaluations available upon request, as required by **Section 4205(b)(2)(B)(ii)**.

9.D.2.a Qualified and Independent Evaluator

Effective program evaluation requires careful planning and implementation by a qualified and independent evaluator. When selecting an external evaluator, subgrantees should ensure the evaluator has the appropriate experience, knowledge, and capacity to conduct meaningful evaluation activities and provide objective findings and recommendations.

An external evaluator must remain independent from program operations and decision-making. The evaluator may not be employed by the 21st CCLC program, perform work for the 21st CCLC program in another capacity, serve as the program's fiscal agent, or otherwise have a financial or personal conflict of interest that could affect the objectivity of the evaluation.

9.D.2.b Documentation and Review of External Evaluator

Subgrantees that use 21st CCLC funds for external evaluator services must maintain sufficient documentation to support the allowability of the cost. Documentation may include, but is not limited to:

- The procurement method used to select the evaluator;
- The evaluator's qualifications and relevant experience;
- A signed contract or agreement describing the evaluation services to be provided;
- A clear scope of work identifying evaluation activities, deliverables, and timelines;
- A budget or cost breakdown for the proposed services;
- Invoices that align with the approved scope of work;
- Evidence of completed deliverables, such as reports, presentations, dashboards, or evaluation findings; and
- Documentation showing how evaluation results were used to inform program improvement.

NCDPI may review external evaluator contracts, budgets, invoices, deliverables, and related documentation to determine whether the services and costs are reasonable, necessary, allocable, and aligned with allowable evaluation activities. Costs that do not meet these requirements may be questioned or disallowed.

Subgrantees seeking assistance in identifying appropriate evaluation resources or determining whether proposed services align with evaluation requirements should contact their assigned Program Administrator or Fiscal Monitor for guidance.

9.E: Comprehensive Program Sustainability Plan

Subgrantees should 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 should maintain accurate records and track student impact data annually to demonstrate success. 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, the 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 associated SBE-approved program goal the data supports,
- the responsible 21st CCLC staff members assigned to collect each impact data type; and,
- 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/caregivers, 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.

As a grant requirement, all NCDPI 21st CCLC Programs should 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 should be made available to NCDPI upon request. Creating a Sustainability Plan is a resource for meeting this grant requirement.

SECTION 10: SUBGRANTEE MONITORING

NCDPI is required to monitor the quality and effectiveness of the programs operating with funds provided through 21st CCLC grants ([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. See [Section 1.G.1](#) for additional information regarding corrective action plans or closure of the program. The Office of Federal Programs at NCDPI engages in four types of monitoring of federal programs which may be conducted as announced or unannounced. NCDPI reserves the right to visit a program and review documentation at any time during the period of performance.

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

Although programs may deliver high quality 21st CCLC programming in compliance with both program and fiscal requirements, NCDPI will not be able to verify compliance without accurate documentation and records retention. Subgrantees 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.

10.A: Program Monitoring Events

10.A.1 Technical Assistance

All newly awarded programs, as well as programs that have not maintained continuous 21st CCLC funding, will receive targeted technical assistance (TA) during the first year of the grant. The purpose of this support is to build program capacity, strengthen implementation, and ensure recipients understand and meet federal and state grant requirements. Year one technical assistance is designed to prepare programs for the comprehensive monitoring process required during the grant cycle and to promote successful, compliant program implementation from the outset. See Section 12.A Technical Assistance for additional types of technical assistance.

10.A.2 Comprehensive Program Monitoring Review (CPMR) Document

CPMR documents are utilized by Program Administrators to make monitoring notes and document guiding questions that may not be included in the Monitoring Interview Protocol and make note of additional documents to request from the Program Director. The four strands that are in the CPMR include:

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

During the visit, Program Administrators will conduct interviews and provide technical assistance when applicable. The Title 1 Crate monitoring report will be completed based on findings and recommendations during the CPMR monitoring event. The following CPMR Rating Rubric shows how Program Administrators evaluate each strand and indicator represented in Title 1 Crate.

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

10.A.3 Modified Comprehensive Program Monitoring (M-CPMR) Document

M-CPMR visits 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 the risk assessment tool, prior subgrantee observation and other available data to determine which of the following four (4) compliance standards will be included in the M-CPMR:

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

M-CPMRs typically include review of 1-2 compliance strands. During the visit, Program Administrators will conduct interviews and provide technical assistance when applicable. The Title 1 Crate monitoring report will be completed based on findings and recommendations during the M-CPMR monitoring event. Following the review, a report is completed based on the following M-CPMR Rating Rubric:

Meets Requirements	Meets Requirements with Recommendations	Findings	Not Reviewed
The 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 shows the 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.	The accountability standard was not reviewed during a modified CPMR.

10.B Fiscal Monitoring Events

NCDPI conducts fiscal monitoring to determine whether 21st CCLC funds are managed and expended in accordance with federal, state, and program requirements. Fiscal monitoring may be conducted on-site or through a fiscal desk review. Subgrantees must provide requested records, make appropriate staff available, and respond to any identified findings or required corrective actions within the established timeframe.

10.B.1 Fiscal Monitoring Reviews

Fiscal Monitoring Reviews (FMRs) are conducted on-site at the location where fiscal records are maintained. The review may include the following areas:

1. Fiscal management system
2. Written fiscal policies and procedures
3. Subcontracting and procurement
4. Compensation and time-and-effort documentation
5. Budget management
6. Inventory and equipment management
7. Expenditure testing

An on-site Fiscal Monitoring Review is an interactive review. The Fiscal Agent must be present throughout the review to participate in interviews, explain the organization's fiscal processes, respond to questions, and assist with locating or interpreting requested records. Other staff with responsibility for areas under review, such as payroll, procurement, budgeting, or inventory, may also be required to participate. The review should not be treated as an audit in which records are provided, and the Fiscal Monitor is left to work independently for the day.

Requested documentation and monitoring communications will be submitted and maintained through Title1Crate. During the review, Fiscal Monitors may examine financial records, interview staff, and provide technical assistance when appropriate. Subgrantees must provide complete and accurate documentation demonstrating compliance with applicable requirements. The sufficiency of the documentation and the level of compliance demonstrated will be considered in assigning the applicable review rating.

Following the review, NCDPI will issue a written report identifying any findings, recommendations, questioned costs, and required corrective actions. The subgrantee must respond to each finding and submit the requested documentation through Title1Crate within the timeframe stated in the report. NCDPI may expand the review when the initial review identifies questioned cost or other areas of fiscal risk. Unsupported or unallowable costs may require repayment to NCDPI, or another resolution specified by NCDPI.

10.B.2 Fiscal Desk Reviews

Fiscal Desk Reviews (FDRs) are conducted remotely during an identified review week and generally include an examination of selected reimbursement requests and related supporting documentation. FDRs primarily focus on Strand 2: Written Fiscal Policies and Procedures, and Strand 7: Expenditure Testing. However, NCDPI may review additional fiscal requirements when the documentation submitted, or the sampled expenditures indicate potential noncompliance or other

areas of fiscal risk. The subgrantee is not required to remain online or continuously available during the review week.

Requested documentation must be submitted through Title1Crate by the established deadline. During the review, the Fiscal Monitor may contact the Fiscal Agent or other designated staff by email or telephone when clarification or additional documentation is needed. The subgrantee must respond within the timeframe provided so that the review can be completed.

NCDPI may review whether samples expenditures:

- Are necessary, reasonable, and allowable;
- Are included in an approved Budget 209 or Budget Amendment 209;
- Are supported by sufficient documentation;
- Were procured and approved in accordance with applicable requirements;
- Are coded to the appropriate Chart of Accounts;
- Are accurately reported in ERaCA or PSU Cash App; and
- Comply with applicable contract, conflict-of-interest, and fiscal policy requirements.

Following the review, NCDPI will issue written results through Title1Crate identifying any findings, recommendations, questioned costs, or corrective actions. The subgrantee must respond and provide the requested documentation within the stated timeframe. NCDPI may expand the review when the initial sample identifies additional fiscal risk or potential noncompliance.

NOTE

Any fiscal monitoring, FMRs and FDRs, with questioned costs greater than \$500.00 will result in the program's ERaCA account being disabled until all findings are resolved.

Section 11: RESOLUTION OF FINDINGS

Section 11.A. Findings Overview

Once the "Monitoring Notes" report with findings is sent to the subgrantee Program Director or Fiscal Agent via Title1Crate, PAs/FMs will work in collaboration with the subgrantee to address all issued findings.

Subgrantees are given 30 business days to address all required actions outlined within Title1Crate. Once the "Monitoring Notes" report has been approved by Section Chief and sent to the subgrantee, the assigned PA/FM will begin tracking the subgrantee's 30-day response period. If no response is received, 21st CCLC will reissue the "Monitoring Notes" report reflecting that no documentation has been received and 21st CCLC funding has been suspended.

As part of continuous improvement measures all findings identified during a monitoring event will be tracked by the 21st CCLC Team and the data will be used to inform upcoming risk assessments. The total number of findings identified during a monitoring event may result in a higher risk status

for a subgrantee during NCDPI's annual programmatic and fiscal risk assessments during the next fiscal year.

11.C. Repayment of Funds & Questioned Costs

If questioned costs are determined during any monitoring, the PA/FM will include required actions in the "Monitoring Notes" report in Title1Crate on how to return the funds to NCDPI. Questioned costs associated with non-allowable expenditures or unapproved contracts will require repayment regardless of amount. If a subgrantee is unable to provide supporting evidence for any expenditure, regardless of amount, the associated cost must be returned to DPI.

If questioned costs are not returned within the 30-day response period NCDPI may contact the office of the Attorney General at the NC Department of Justice to determine the next steps which may include recovery of funds and/or permanent debarment or suspension from receiving federal funds.

11.C.1 Suspension of Funds (ERaCA Disablement)

As an internal control measure, when questioned costs greater than \$500 are determined for non-LEA subgrantees access to funds are suspended.

SECTION 12: OTHER COMPLIANCE MONITORING PROCEDURES

12.A. Additional Technical Assistance

In addition to technical assistance (TA) offered to new or novice subgrantees in year one of the grant cycle, other support may be provided to subgrantees to clarify expectations, address concerns, and promote compliance with grant requirements. TA may be provided when attendance requirements are not met or when the 21st CCLC team identifies a need for additional guidance. This TA may be offered through informal site visits, virtual meetings, and/or email/phone conversations.

While technical assistance may support the 21st CCLC monitoring process, it is not an official monitoring review. However, if major safety or serious compliance concerns are observed per [CFR §200.208](#), corrective action will be required, up to and including suspension of funds and/or operations.

12.B. Supporting Documentation Review

Fiscal Analysts review and verify compliance of supporting documents submitted for each reimbursement request. The supporting documentation review ensures an efficient and thorough review without being a full reconciliation of the expenditures. Additionally, Fiscal analysts monitor the requirement for both non-LEAs and LEAs to submit one reimbursement request by December 31st.

While it is not required that LEAs submit expenditure supporting documentation at every realignment, we encourage LEAs to send expenditures documentation monthly, via

21stCCLCTeam@dpi.nc.gov, to ensure 21st CCLC expenditure tracking is accurate and up to date.

The following are elements of the fiscal supporting documentation review:

1. Submission Timing & Documentation Tracking
2. ERaCA Cover Sheet and Attestation
3. Organization and Authorization
4. Reimbursement Basis Verification
5. Invoices and Payment Support
6. Contracted Services & Furniture, Equipment, and Computing Devices
7. Legitimacy of Documentation
8. Identification of Red Flags or Recommendations

If findings arise from the review of subgrantee supporting documentation, the FA will collaborate with the designated FM to issue an official Fiscal Analyst Review letter. The letter will describe the identified compliance issues, specify any questioned costs, and outline the corrective actions and supporting documentation the subgrantee must submit within the required response timeframe. When applicable, the subgrantee may be required to repay questioned costs. This process helps prevent or address non-allowable expenditures and unapproved contracts involving 21st CCLC funds.

SECTION 13: TERMINATION OF GRANTS

When issues 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 Program Administrators can help identify how the subgrantee may make fiscal and/or programmatic improvements. If technical assistance efforts do not result in full compliance, the NCDPI may terminate the 21st CCLC grant.

If a subgrantee does not agree with the termination, they must follow the appeals process in the following section.

SECTION 14: APPEALS PROCESS

In accordance with federal rules, NCDPI provides subgrantees or recipients with the opportunity for a hearing to appeal NCDPI's final action under an applicable federal program. See [34 CFR 76.401\(a\)](#), [34 CFR 76.783](#) and [20 USC 1231b-2](#). Specifically, the subgrantee or recipient must allege that NCDPI violated State or Federal law, rules, regulations, or guidelines in:

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

To request a hearing, the appellant must file a full and complete written appeal, including the issue(s) in dispute, the legal authority or other basis for the appeal position, and the remedy sought within 30 days of the NCDPI's action (e.g., notification of any action under 1 through 4 above). The request must have the 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:

Alex Charles, Senior Director
Office of Federal Programs
North Carolina Department of Public Instruction
Mail Service Center 6307
Raleigh, NC 27699-6307

2. Hand-delivered to:

Physical Address:

Alex Charles, Senior Director
Office of Federal Programs
North Carolina Department of Public Instruction
301 N. Wilmington Street
Raleigh, NC 27699

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

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

The written ruling will be reviewed by the Business Operations Committee for the NC State Board of Education. This committee will make a recommendation to the full board for review and final approval. NCDPI will rescind its action if it determines the action conflicts with Federal or State laws and regulations governing the applicable program.

An SEA must include the following in its written resolution of a complaint under an applicable program:

- (a) A description of applicable statutory and regulatory requirements.
- (b) A description of the procedural history of the complaint.
- (c) Findings of fact supported by citation, including page numbers, to supporting documents under [paragraph \(h\)](#) of this section.
- (d) Analysis and conclusions regarding the requirements.
- (e) Corrective actions, if applicable.
- (f) A statement of applicable appeal rights.
- (g) A statement regarding the State's determination about whether it will provide services.

(h) All documents the SEA relied on in reaching its decision, paginated consecutively. 2 CFR 299.16

A party appealing an SEA's written resolution of a complaint, or failure to resolve a complaint, must include the following in its request within 30 days of either the SEA's resolution or the 45-day time limit:

- (1) A clear and concise statement of the parts of the SEA's decision being appealed, if applicable.
 - (2) The legal and factual basis for the appeal.
 - (3) A copy of the complaint filed with the SEA.
 - (4) A copy of the SEA's written resolution of the complaint being appealed, if one is available, including all supporting documentation required under [§ 299.16\(h\)](#).
 - (5) Any supporting documentation not included as part of the SEA's written resolution of the complaint being appealed.
- (b) Unless substantiating documentation identified in [paragraph \(a\)](#) of this section is provided to the Department, the appeal is not considered complete. Statutory or regulatory time limits are stayed until the appeal is complete as determined by the Department.
- (c) In resolving the appeal, if the Department determines that additional information is necessary, all applicable statutory or regulatory time limits are stayed pending receipt of that information.
- 2 CFR 299.17

NOTES

- During a competition, appeals are limited to the grounds that the department failed to correctly apply the standards and process for reviewing the application as specified in the Request for Proposal and supporting documents. No other grounds for appeal will be accepted or considered.
- Appeals based on a disagreement with the professional judgment of the peer reviewers will not be considered. Peer reviewers are non-department employees recruited based on background and expertise in providing effective academic, enrichment, youth development, and related services to children (ESSA, Sec. 4201(b)(5) (B)(i)).
- If DPI does not receive a written objection within the 30-day timeframe for requesting an appeal, then the proposed termination is considered unopposed and may be presented at the next meeting of the SBE for final action.
- If a subgrantee is terminated for noncompliance or nonperformance, they are ineligible to apply for two (2) consecutive 21st CCLC standard three (3) year cohort grant cycles for a minimum of 6 years from the effective date of termination.

APPENDICES

Appendix A: NCDPI Statewide Performance Goals

NCDPI has established a set of performance goals and indicators as a part of the statewide evaluation of 21st CCLC Programs. Beginning with the 2024 grant program, all awarded applicants will be asked to design their proposed programs to align with the NCDPI 21st CCLC statewide goals as well as collect and report outcome data.

Performance Goal 1: Projected numbers of students are enrolled.	
Objective	Description
1.1	The majority (51% or more) of subgrantees enroll at least 75% of their projected number of students.
1.2	The majority (51% or more) of students served statewide are from low-income schools.
1.3	The majority (51% or more) of students served statewide are in need of academic support based on one or more of the following criteria: - scored “non-proficient” (i.e., Level I, II, or III) on the previous year’s state test in reading and/or math - scored below grade level standard (i.e., Level I or II) on previous year’s state test in reading and/or math. - identified as below grade level standard on the most recent district-level benchmark assessment in reading and/or math. - Below “satisfactory” grades in core content subject areas (e.g., D or below). - on-time grade-level promotion not attainable due to academic performance - on-time graduation not attainable.
Performance Goal 2: Enrolled students attend program for 30 days (90 hours) or more.	
Objective	Description
2.1	Statewide percentage of students attending 30 days (90 hours) or more is at least 70% (80% in PreK and elementary, 60% in middle school, and 40% in high school).
2.2	Statewide percentage of centers with an average attendance of 30 days (90 hours) or more will not fall below 87%.
Performance Goal 3: Programs will offer services in core academic areas, enrichment, and family engagement.	
Objective	Description
3.1	More than 85% of centers offer services in at least two (2) of the following core academic areas per grade span (i.e., PreK, K-5, 6-8, 9-12): PreK Centers: - Early literacy programming aligned with NC Foundations for Early Learning and Development Language Development and Communication subdomains of Foundations of Reading and Foundations of Writing. - Math programming aligned with NC Foundations for Early Learning and Development Cognitive Development subdomains of Construction of Knowledge: Thinking and Reasoning, and Mathematical Thinking and Expression. - Science programming aligned with NC Foundations for Early Learning and Development Cognitive Development subdomains of Construction of Knowledge: Thinking and Reasoning and Scientific Exploration and Knowledge

	K-12 Centers: • Literacy programming aligned with feeder district(s)/school(s) annual literacy support plans and NCSCOS English Language Arts standards; • Math programming aligned with feeder district(s)/school(s) annual math support plans NCSCOS Math standards; • Science programming aligned with NCSCOS Science standards.
3.2	More than 85% of centers offer enrichment support activities in at least two (2) of the following areas per grade span (i.e., PreK, K-5, 6-8, 9-12): PreK Centers: • Arts programming (i.e., dance, music, theatre, visual arts) aligned with NC Foundations for Early Learning and Development domains of Approaches to Play and Learning and Cognitive Development (with a focus on the subdomain of Creative Expression) • Workforce Development programming utilizing age-appropriate implementation methods. • Physical Education programming aligned with NC Foundations for Early Learning and Development domains Approaches to Play and Learning and Health and Physical Development • Health Education programming aligned with NC Foundations for Early Learning and Development domains Approaches to Play and Learning and Emotional and Social Development. K-12 Centers: • Arts programming (i.e., dance, music, theatre, visual arts) aligned with NCSCOS Arts standards. • Workforce Development programming utilizing age-appropriate implementation methods and aligned to NCDPI's CTE Career Clusters & Pathways. • Physical Education programming aligned with NCSCOS essential Physical Education standards. • Health Education programming aligned with NCSCOS essential Health standards. • STEM programming aligned with the standards for Digital Learning.
3.3	Statewide percentage of participating PreK-12 students' parents or caregivers attending at least one (1) 21st CCLC family engagement event during the academic year is at least 50% (60% in PreK and elementary, 40% in middle school, and 20% in high school).
3.4	91% or more of subgrantees offer family engagement services that meet the following requirements: • Overall 21st CCLC family engagement plan is aligned with feeder district(s)/school(s) family engagement plans • Host at least three (3) educational workshops for families of participating students focused on each of the following topics: ○ <u>Educational Workshop 1</u>: must focus on deepening participating families' understanding of the connection between consistent school-day attendance and future student success. ○ <u>Educational Workshop 2</u>: must focus on offering families training on age-appropriate home-based strategies for supporting students' social-emotional well-being, and/or providing access to community resources supporting student and family mental health. ○ <u>Educational Workshop 3</u>: must focus on offering families' the opportunity to gain skills and knowledge for supporting students' academic needs including literacy and related educational development.
Performance Goal 4: Enrolled students attending the program (30 days [90 hours] or more) will demonstrate educational and social benefits and exhibit positive behavioral changes.	

Centers serving students in PreK	
Objective	Description
4.1	The statewide percentage of PreK participants attending the program (30 days [90 hours] or more) will demonstrate academic kindergarten readiness greater than the state average.
4.2	The statewide percentage of PreK participants attending the program (30 days [90 hours] or more) demonstrate emotional and social kindergarten readiness greater than the state average.
4.3	The majority (51% or more) of PreK participants “in need of improvement” (attending the program 30 days [90 hours] or more) will demonstrate improved engagement in learning.
Centers serving students in Grades 4-8	
Objective	Description
4.1	The statewide percentage of participants attending the program (30 days [90 hours] or more), with two years of state test data (Grades 4-8), demonstrate academic progress by improving from levels I or II to level III-V greater than the state average.
4.2	The statewide percentage of participants attending the program (30 days [90 hours] or more), with two years of state test data (Grades 4-8), who improve from “non-proficient” (levels I, II or III) to “proficient” (levels IV or V) will be at least 11%.
4.3	Participants attending the program (30 days [90 hours] or more) with two years of state test data (Grades 4-8) will demonstrate year-to-year change on state tests in reading and math at least as great or greater than the state population year-to-year change.
4.4	The majority (51% or more) of participants “in need of improvement” (attending the program 30 days [90 hours] or more) will demonstrate improved engagement in learning.
Performance Goal 5: NCDPI strengthens the quality of 21st CCLC programs by providing capacity-building initiatives for subgrantees.	
Objective	Description
5.1	90% of participating subgrantee attendees rate the NCDPI-sponsored 21 st CCLC professional development session(s) of high quality .
5.2	90% of participating subgrantee attendees rate the NCDPI-sponsored 21 st CCLC professional development session(s) of high relevance to their work.

Appendix B: 21st CCLC Non-Regulatory Guidance, Supplement not Supplant

The ESEA contains two supplement, not supplant requirements related to 21st CCLC⁴— one that applies to an SEA and one that applies to a subgrantee—that are designed to ensure that 21st CCLC funds do not supplant funds available from other sources for similar activities. The Department uses two presumptions to determine whether supplanting has occurred: (1) whether a 21st CCLC grantee or subgrantee used 21st CCLC funds for an activity it is required to provide to comply with Federal, State, or local law; and (2) whether a grantee or subgrantee used 21st CCLC funds for an activity that it supported in the prior year(s) with other funds. These presumptions are rebuttable. For example, an SEA or subgrantee may be able to demonstrate that it no longer has the funds available it used in the prior year for an activity it wishes to continue with 21st CCLC funds. The two 21st CCLC supplement, not supplant provisions, are slightly different with respect to the funds that may not be supplanted with 21st CCLC funds.

- Section 4203(a)(9) of the ESEA requires an SEA to assure in its consolidated State plan that it will use 21st CCLC funds to supplement, and not supplant, “other Federal, State, and local public funds” used to provide authorized programs and activities. This provision requires an SEA to use 21st CCLC funds only to supplement activities it conducts with other Federal, State, or local funds and not to replace such funds with 21st CCLC funds.
- In contrast, section 4204(b)(2)(G) of the ESEA requires a subgrantee in its local application to assure that it will use 21st CCLC funds to “increase the level of State, local, and other non-Federal funds that would, in the absence of [21st CCLC funds], be made available for programs and activities authorized under this part, and in no case supplant Federal, State, local, or non-Federal funds.”

The operative difference between the SEA and subgrantee supplement, not supplant provisions is the inclusion of “other non-Federal funds” with respect to a subgrantee. The inclusion of “other non-Federal funds” at the subgrantee level applies particularly to a CBO, for example, that might use non-Federal funds from fundraising or a philanthropy for an activity that its 21st CCLC funds must supplement. If such other non-Federal funds are not available in a subsequent year, the CBO may rebut the presumption of supplanting and use 21st CCLC funds for the activity.

⁴ Nita M. Lowey 21st CCLC, [Non-Regulatory Guidance](#), October 19, 2023,

