NC Department of Public Instruction
21st Century Community Learning Centers

Fiscal and Program Guidance
Updated April 2018
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GENERAL INFORMATION

The Every Student Succeeds Act (ESSA)

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. On December 10, 2015, the Every Student Succeeds Act (ESSA) was signed into law, which reauthorized the ESEA legislation. Beginning with grants initially funded in the 2017-2018 school year, 21st CCLC programs must comply with the provisions outlined in the ESSA. Additional information about ESSA is located HERE.

Purpose

The purpose of the Title IV, Part B, 21st Century Community Learning Centers (CCLC) program is to provide federal funds to establish or expand community learning centers that operate during out-of-school hours with three specific purposes:

1. Provide opportunities for academic enrichment, including providing tutorial services to help students (particularly students in high poverty areas and those who attend low-performing schools) meet state and local student performance standards in core academic subjects such as reading and mathematics.

2. Offer students a broad array of additional services, programs, and activities, such as youth development activities, service learning, nutrition and health education, drug and violence prevention programs, counseling programs, arts, music, physical fitness and wellness programs, technology education programs, financial literacy programs, environmental literacy programs, mathematics, science, career and technical programs, internship or apprenticeship programs, and other ties to an in-demand industry sector or occupation for high school students that are designed to reinforce and complement the regular academic program of participating students.

3. Offer families of students served by 21st CCLCs opportunities for active and meaningful engagement in their children’s education, including opportunities for literacy and related educational development.

Eligibility and Priority

Any public or private organization wanting to provide out-of-school programs for K-12 students in North Carolina is eligible to apply for a 21st CCLC grant. Agencies and organizations eligible under the 21st CCLC program include, but are not limited to local education agencies (LEAs), non-profit agencies, city or county government agencies, community-based organizations
(CBOs), faith-based organizations (FBOs), institutions of higher education (IHEs), and for-profit corporations.

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

In accordance with statute, states must give competitive priority to applications that propose to serve students who attend high poverty schools and 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 unless the LEA does not have qualified community organizations within reasonable geographic proximity.

In addition to joint submissions, the state will also give competitive priority to proposals which:

1. Propose to serve underserved geographical regions of the state;
2. Are designed to implement programs for students attending Focus or Priority Schools;
3. Propose to provide a summer program component; and
4. Are novice applicants.

**Award Amounts and Period of Availability**

Organizations are eligible to receive three-year grants of not less than fifty thousand dollars ($50,000) and up to four hundred thousand dollars ($400,000) a year, based on the proposed number of students served, with an opportunity for a second and third year of funding. To determine the level of funding eligibility, organizations will utilize the Wallace Foundation Out-of-School Time Cost Calculator and the North Carolina Department of Commerce County Tier Designations. Each organization will complete the Cost Calculator with information tailored to that organization’s proposed program and will attach a printout of the results to the application. Among its output, the Cost Calculator will provide an annual total program cost with low, median, and high estimates. Organizations serving schools in counties designated as Tier 1 counties are eligible for 90% of the high annual total program cost; Tier 2 county organizations are eligible to receive 85% of the median annual total program cost; Tier 3 county organizations are eligible to receive 80% of the low annual total program cost. (City organizations will use the Tier designation for the county in which they are located.) No organization is eligible to receive a grant award totaling less than $50,000 or more than $400,000 after Cost Calculator and Tier Designations are applied.
North Carolina 21st CCLC grants are renewable for up to two (2) additional years. Continuation awards are contingent upon availability of federal funds and are based on the program’s ability to demonstrate compliance with state and federal laws, progress towards fully implementing the approved program, and progress towards local program goals including enrollment goals.

Each sub-recipient can be awarded funds for the academic year starting on July 1st of the initial year and ending on September 30th of the following year (e.g., July 1, 2017 through September 30, 2018). Reimbursement requests must be based on actual expenditures versus encumbrances made prior to the September 30th deadline. There is no liquidation period. All unspent funds remaining at the end of the grant period of availability will revert to the state.
**BUDGETS**

As stated in the Application Guidance, the proposed budget submitted with the 21st CCLC application is **NOT** the approved budget for release of funds. If the application is approved, sub-recipients must submit a final budget for the full amount of the award by line item detail for review and approval by the NCDPI prior to the release of funds. Sub-recipients must complete the budget on Budget Form 208 (FPD208) and upload the document in the Related Documents section of the Comprehensive Continuous Improvement Plan (CCIP), the web-based grants management system. Since 21st CCLC funds are made available on a reimbursement basis, it is strongly encouraged that applicants have secured sufficient funding or a line of credit to operate the 21st CCLC program for approximately a two-month period. For additional information on completing the FPD208, see Appendix A. The template for the FPD208 may be found in CCIP.

As a general rule, program funds may be used only to cover costs that (1) comply with the approved grant application and budget and (2) are reasonable and necessary for the proper and efficient performance and administration of the grant. “A cost is reasonable if, in its nature and amount, it does not exceed that which would be incurred by a prudent person under the circumstances prevailing at the time the decision was made to incur the cost.” ([EDGAR 2 CFR Part §200.404](https://www.cfr.gov/cfr/text.asp?cv=2018&bhcp=1)).

Sub-recipients must be able to demonstrate the extent to which the costs are reasonable in relation to the number of students and adults to be served and the correlation to the anticipated results and benefits. All items included in the budget must clearly relate to activities described in the program design section of the application. Post-award changes in budgets and projects require the prior written approval of the NCDPI, and submission of a Budget Amendment Form (FPD209).

**NOTE: No item should be identified in a budget that does not reflect the approved grant and fiscal year plan of implementation.**

Applicants should exercise caution in selecting subcontractors to implement program components. sub-recipients may not contract with any party which is debarred, suspended, excluded from or ineligible for participation in federal programs under [EDGAR 2 CFR Part §200.213](https://www.cfr.gov/cfr/text.asp?cv=2018&bhcp=1), “Debarment and Suspension.” For NC Debarred Vendors, go to [http://www.doa.state.nc.us/PandC/actions.asp](http://www.doa.state.nc.us/PandC/actions.asp).

To search for federal exclusion records. go to: [https://www.sam.gov/portal/SAM/##11](https://www.sam.gov/portal/SAM/##11).

Additional budget considerations are included, but not limited to, the following:

- All technology expenses require pre-approval from DPI and expenses of this type must be (1) reasonable, (2) allocable and (3) allowable.
• Sub-recipients must conduct an inventory of equipment purchased with grant funds once every 1-2 years and reconcile that information with the property records.
• If equipment is to be used during the regular school day hours, the cost of the equipment must be prorated based upon percentage of use.
• Student incentives are limited to school supply type items with no intrinsic value greater than $25. Sub-recipients may not pay students or their parents to participate in afterschool programs. If the expenses are legitimate expenses, they may be built into the budget (e.g., t-shirts without screen printing (no logos or brand) in solid colors only, a free book).

Please note that no direct cash or gift cards in any amount can be given to program students or their parents.

NOTE: Sub-recipients must contact the NCDPI 21st CCLC Program Administrator prior to disposing of any equipment.

Use of Funds

Grant funds must be used in a manner consistent with all statutory requirements and must be used only to supplement, not supplant, any federal, state or local dollars available to support activities allowable under the 21st CCLC program. Funds may be used to expand or enhance, but not replace, current activities. Proposed budgets must be developed in consideration of costs that are reasonable and necessary to fulfill the goals of the 21st CCLC grant. Sub-recipients are strongly encouraged to attend all training provided to assist non-LEAs and LEAs on budget and operational requirements, as related to the Education Department General Administrative Regulations (EDGAR). The information below highlights some, but not all EDGAR requirements. Sub-recipients should work with their NCDPI 21st CCLC Program Administrator to determine allowable use of funds.

Funds MAY be used for program implementation as well as for operational expenses, including, but not limited to the following:

• Personnel and personnel benefits
• Staff development and training
• Consultants, subcontracts and evaluators
• Leasing vehicles and other transportation costs
• Educationally-related field trips - Approved in-state field trips (must submit Field Trip Request Form at least two weeks in advance of scheduled field trip). Field trips must have the ability to change grades, bring college awareness or career awareness, and support the program goals and objectives. Field trips for entertainment purposes are not allowable.
• Renting space, if necessary
• Teacher substitutes
• Travel reimbursements
• 21st CCLC program equipment and supplies, including computers and software

**NOTE:** 21st CCLC sub-recipients that choose to cost share (split-fund) 21st CCLC-funded equipment, materials, and staff with the activities occurring during the regular school day or in other afterschool projects, must provide evidence that the percentage of use or full-time equivalent (FTE) is correlated to the percentage charged to the 21st CCLC in comparison to the non-21st CCLC program activities.

Funds may **NOT** be used for the following (this is **NOT** an all-inclusive list):

- Costs for developing the proposal
- Entertainment or any costs associated with entertainment including diversions and social activities
- Field trips without a prior approval and reimbursement of field trip tickets purchased in advance for those who do not attend
- Food purchases for staff
- Fundraising costs
- Land acquisition
- Building or renovation costs
- Purchase of vehicles
- Leases of more than 12 months in duration
- Cost of conducting an audit if total of all federal grants received is less than $750,000
- Other items outlined in the EDGAR

Indirect cost rates for LEAs and non-LEAs are calculated by the NCDPI and communicated to sub-recipients on an annual basis. Sub-recipients 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. In addition, the use of an external evaluator is allowed, but not required. The cost of the external evaluation must not exceed an amount equal to 3% of the total grant award.

**NOTE:** All costs must be based on the approved proposed programming and must be reasonable and necessary. If the NCDPI determines any costs to be unallowable, sub-recipients are subject to repayment, including interest, of such costs ([EDGAR 2 CFR § 200.410](https://www.federalregister.gov/rcm/200/410))

**Chart of Accounts**

The Financial and Business Services Division at the NC Department of Public Instruction assigns all funding streams (whether federal, state, or local) to a unique Program Report Code (PRC). The 21st CCLC Grant is identified as PRC 110. Each PRC has a unique [Chart of](https://example.com/chart)
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 a particular activity, classifying expenditures by program to determine cost. (e.g., PRC 110 for 21st CCLC awards; PRC 050 for Title I, Part A awards).

4) Object Code - consists of three numeric digits. The object is the service or commodity obtained as the result of a specific expenditure. (e.g., Teacher's Salary (Certified/Licensed) is code 121; Supplies and Materials is code 411).

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

**NOTE: All budgets must be submitted under approved account codes in the COA.**

**Budget Amendment or Revision Process**

Budget amendments/revisions (changes to the budget) can be submitted anytime during the approved grant period. Budget amendments along with appropriate justification narrative and programmatic change (if applicable) should be sent to the NCDPI 21st CCLC Program Administrator for review and approval. NCDPI staff will verify that the request meets the requirements of the grant. LEAs and public charter schools are expected to receive approval in BAAS. Non-LEAs receive budget approval using the appropriate NCDPI forms, FPD 208 for initial budgets and FPD 209 for amendments. For budget amendment forms, see Appendix B

**NOTE: No item should be identified in a budget that has not been described in the program narrative.**
DISTRIBUTION OF GRANT FUNDS AND REIMBURSEMENT PROCESS

Funds are allotted in three installments based on the sub-recipient’s demonstration of sufficient progress toward enrollment goals as follows:

- Initial allotment equal to 34% of total approved grant award;
- Second allotment equal to 34% of the total approved grant award for 50% enrollment goal met; and
- Final allotment equal to 32% of the total approved grant award for 75% enrollment goal met.

The procedures and processes involved with the transfer and accounting of funds differ slightly between LEAs and non-LEA entities.

LEA Sub-recipients

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

NCDPI serves as the flow-through agency to LEAs on 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 sub-recipients manage the operational budgets, allotments, and even the monitoring process. Some of the ways that PRC 110 varies from most other PRCs includes the following:

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

Non-LEA Sub-recipients

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 sub-recipients must complete and submit a Vendor Electronic Payment Form to NCDPI so the Cash Management Section can register the organizations’ checking accounts with the Office of the State Controller. Once the checking account is registered with the State and NCDPI program staff has approved the Budget Form FPD 208 in CCIP the first installment of the allotment is released and sub-recipient organizations can begin submitting cash reimbursement requests.

NOTE: A copy of the Vendor Electronic Payment Form may be found in Appendix C. Please DO NOT submit forms directly to the Office of the State Controller. Please submit completed forms to:

Sylvia Moore
Federal Program Monitoring and Support Division
6351 Mail Service Center
Raleigh, NC 27699-6351

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

After non-LEAs login with their NCID credentials, the ERaCA system tracks the availability of allotted funds and ensures the dollar amounts of the organizations’ requests are limited to available balance. Non-LEAs may submit one reimbursement request per week into ERaCA and they will generally receive the funds via direct deposit within ten (10) business days.

The ERaCA system creates an interface file to an external General Ledger (GL) and enters the cash request into the Cash Management System (CMS). The CMS produces a report and generates entries to the external GL and NCAS. The NCDPI Cash Management Section draws the funds down per the report.
Supporting documentation for reimbursement requests is required within ten (10) business days (not including holidays and weekends) of the cash request submission. As a result, funds for reimbursement may be disbursed to sub-recipients prior to NCDPI’s receipt of backup documentation. However, reconciliations and corresponding documentation must be aligned with ERaCA submissions for each reimbursement request. The ultimate purpose of these submissions is to verify that there is proof of purchase for the requested reimbursement. Sub-recipients are required to submit copies of documents, not originals, which include:

- Reports from ERaCA which confirm date(s) of the reimbursement request and under which approved budget codes the expenditures and subsequent cash request have been posted
- Invoices indicating date paid, check number, and line item charge based on COA codes entered into ERaCA
- Payroll registers including employee job title, rate of pay, and pay period
- Paid receipts
- Bank statements indicating cancelled checks
- Credit card statements
- Other documents as needed to match cash requests for the ERaCA submission

In addition to submitting the documentation with a printed copy of the ERaCA Expenditure/Cash Request Data Inquiry Screen, non-LEA sub-recipients must provide the ERaCA Reconciliation Cover Sheet. Non-LEAs that receive 21st CCLC grant awards in both Cohort 11 and Cohort 12 must indicate on the cover sheet the Cohort number(s) included in the reimbursement request and the amount requested for each Cohort program (if the reimbursement request includes funds for both programs). The ERaCA Reconciliation Cover Sheet must be signed by the Fiscal Agent Organization Chief Administrator for the non-LEA as listed on the Basic Program Information form.

Non-LEA sub-recipients must submit documentation by fax to (919) 807-3968 or by email to Allison Yarboro at Allison.yarboro@dpi.nc.gov.

**NOTE:** Non-LEA sub-recipients must submit the documentation with 1) the ERaCA Reconciliation Cover Sheet; and 2) a printed copy of the ERaCA Expenditure/Cash Request Data Inquiry Screen (see sample in Appendix E).
REPORTING REQUIREMENTS

System for Award Management

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

State Reporting

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

<table>
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<tr>
<th>Total Funds from All State Agencies</th>
<th>Reports Due</th>
<th>Reports Due Date</th>
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<tr>
<td>Level 1 $1 - $24,999</td>
<td>• Certification</td>
<td>Within 6 months of entity’s fiscal year end</td>
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<td>• State Grants Compliance Reporting Receipt of &lt; $25,000.</td>
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<tr>
<td>Level 2 $25,000 - $499,999</td>
<td>• Certification</td>
<td>Within 6 months of entity’s fiscal year end</td>
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<td></td>
<td>• State Grants Compliance Reporting Receipt of &gt;= $25,000</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Schedule of Receipts and Expenditures</td>
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<td></td>
<td>• Program Activities and Accomplishments</td>
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<tr>
<td>Level 3 $500,000 or more</td>
<td>• Certification</td>
<td>Within 9 months of entity’s fiscal year end</td>
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<td></td>
<td>• State Grants Compliance Reporting Receipt of &gt;= $25,000</td>
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<tr>
<td></td>
<td>• Audit [Single Audit if &gt;= $750,000 in federal funds or Yellow Book Audit]</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Schedule of Federal and State Awards (May be included in the audit)</td>
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</tr>
<tr>
<td></td>
<td>• Program Activities and Accomplishments</td>
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NOTE: Failure to comply with reporting requirements will place the sub-recipient’s 21st CCLC grant funds in suspension.
Attendance

Attendance reporting must be completed through the Attendance Module of the NCDPI data collection system, 21DC. Sub-recipients must maintain enrollment and attendance records in 21DC for each student participating in the 21st CCLC program regardless of the number of days of participation. PowerSchool rosters for the feeder schools are made available from which to select participating students, and are kept current throughout the school year.

In addition to collecting data to meet federal reporting requirements, the attendance data is used to determine if progress is made toward enrollment goals in order to release the second and third installment of funds. Attendance data is no longer collected through the Related Documents section of the Comprehensive Continuous Improvement Plan (CCIP) for allocation purposes, rather attendance is reviewed by your Program Administrator through 21DC.

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

ERaCA Drawdown Documentation (non-LEAs only)

As previously noted, non-LEA organizations must submit supporting documentation for reimbursement requests within ten (10) business days of the cash request submission. Sub-recipients are required to submit copies of documents, not originals, which include:

- Reports from ERaCA which confirm date(s) of the reimbursement request and under which approved budget codes the expenditures and subsequent cash request have been posted – receipts should have director/management initials and date of review
- Invoices indicating date paid, check number, and line item charge based on COA codes entered into ERaCA (all contracts must be presented on request)
- Payroll registers including employee job title, rate of pay, and pay period
- Paid receipts
- Bank statements indicating cancelled checks, with images of front and back of the check
- Credit or bank card statements
- Other documents as needed to match cash requests for the ERaCA submission

Voluntary Reduction or Voluntary Termination

In each year of implementation, enrollment records for sub-recipients are carefully monitored to determine if sufficient progress is made toward enrollment and other performance goals identified in the approved project. Monitoring includes on-site visits as well as required quarterly
reporting. Funds are allotted in three installments based on the sub-recipient’s demonstration of sufficient progress toward enrollment goals as follows:

- Initial allotment equal to 34% of total approved grant award;
- Second allotment equal to 34% of the total approved grant award for 50% enrollment goal met; and
- Final allotment equal to 32% of the total approved grant award for 75% enrollment goal met.

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

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

**Annual Fiscal Audits**

All LEA and charter school sub-recipients are required to submit an audit each year of their financial statements, not later than October 31st, to the Local Government Commission (LGC) of the Department of State Treasurer. The 21st CCLC program, as with all state and federal grants, is subject to audit testing within the scope of the required audit as determined by the auditor.

The audit shall be conducted by a Certified Public Accountant (CPA) that has been approved and certified by the LGC as qualified to audit local government accounts. The audits must be performed in accordance with Generally Accepted Auditing Standards (GAAS) and the financial statements must be prepared in conformity with Generally Accepted Accounting Principles (GAAP).

All non-LEA entities are required to have an independent audit conducted by an independent CPA when the annual fiscal year total of all federal funds reaches $750,000. Audit reports are submitted to NCDPI Financial and Business Services staff on a weekly basis. (EDGAR 2 CFR 200.501)

**NOTE: Failure to comply with all reporting requirements will place the sub-recipient’s 21st CCLC grant funds in suspension.**
FINANCIAL MANAGEMENT

All 21st CCLC sub-recipients must have written fiscal procedures. Standards for financial management systems include, but are not limited to:

- Effective control and accountability must be maintained for all grant cash, real and personal property, and other assets.
- Sub-recipients must adequately safeguard all such property and must assure that it is used solely for authorized purposes.
- Sub-recipients must maintain certified time and effort documentation that corresponds to payroll records for all staff including management.
- Actual expenditures or outlays must be compared with budgeted for each grant.
- Accounting records must be supported by such source documentation as cancelled checks, paid bills, payrolls, time and attendance records, contract and sub-grant award documents, etc.

EDGAR does not stipulate a particular kind of accounting system. However, it is not sufficient to record that $5,000 was spent on equipment. The accounting system must maintain $5,000 was spent on a computer from [NAME] Company and the date of the purchase. Spreadsheet programs, especially for smaller grantees, are usually sufficient.

NOTE: All 21st CCLC sub-recipients must provide training to 21st CCLC staff to ensure staff understands and follows written fiscal procedures.

Written Fiscal Procedures

Written fiscal procedures including job descriptions must be documented and implemented to ensure high standards of internal control. As applicable, policies should be in place for procurement, vendor payment, inventory, payroll time and distribution, cash requests, and records retention. The procedures should emphasize how the sub-grantee segregates duties. And, most important, the procedures must provide a description of how these procedures will be consistently followed by staff.

Procurement

Procurement transactions (purchases) of both goods and services must be conducted in a manner to provide open and free competition. Procurement transactions must consider price, quality, service, and other factors important to the sub-recipient. It is important to record the details of procurement transactions. Contracts must contain clear and specific language regarding the nature of the purchase or service, the time period of the contract, the total contract amount as
well as sufficient cost details to facilitate invoice review, and lastly, the specific services/deliverables that must be rendered and accepted prior to payments being received. Deliverables must be specifically related to the contract’s scope of work and must be both quantifiable and measurable. The document must also contain sanctions for non-performance. If necessary, it is also advisable to consider including an exit clause. Contracts that are paid on a reimbursement basis or a fixed-rate for a specific period of time should require written progress reports to be submitted detailing the activities accomplished for the period of the invoice. Sub-grantees are required to administer contracts in a manner that ensures the contractor performs in accordance with the terms, conditions, and specifications of the contract or purchase order.

Contracts may not be made to any debarred or suspended party. Commitments or agreements that are written into the grant application that do not follow proper procurement and contract rules and procedures are NOT exempt from procurement and contracts rules and regulations.

In addition, procurement procedures must be maintained to avoid any potential conflicts of interest. Potential conflicts of interest that may arise as a result of a contract must be disclosed to NCDPI in advance of entering into a contract with an individual or company. (EDGAR 2 CFR §200.319).

Conflict of Interest

According to the general procurement standards, the non-Federal entity must maintain written standards of conduct covering conflicts of interest and governing the actions of its employees engaged in the selection, award and administration of contracts. No employee, officer, or agent may participate in the selection, award, or administration of a contract supported by a Federal award if he or she has a real or apparent conflict of interest. Such a conflict of interest would arise when the employee, officer, or agent, any member of his or her immediate family, his or her partner, or an organization which employs or is about to employ any of the parties indicated herein, has a financial or other interest in or a tangible personal benefit from a firm considered for a contract. The officers, employees, and agents of the non-Federal entity may neither solicit nor accept gratuities, favors, or anything of monetary value from contractors or parties to subcontracts. However, non-Federal entities may set standards for situations in which the financial interest is not substantial or the gift is an unsolicited item of nominal value. The standards of conduct must provide for disciplinary actions to be applied for violations of such standards by officers, employees, or agents of the non-Federal entity. (EDGAR 2 CFR §200.318)

**NOTE:** North Carolina General Statute (G.S. 115C-12.2) defines "immediate family member" as a spouse, parent, child, brother, sister, grandparent, or grandchild. The term also includes the step, half, and in-law relationships.
**Time and Effort Reporting**

The purpose of the personnel activity report (PAR) is to certify and verify that the employee’s salary paid from the grant funds is commensurate with his/her percent of effort worked on the grant. There are different requirements depending on the type of organization.

The time and effort reporting requirements for a non-profit organization are as follows:

**Multiple Cost Objectives**
- Monthly Report
- Signed by employee or supervisor
- After the fact
- Account for 100% of time

**Single Cost Objectives**
- Monthly Report
- Signed by employee or supervisor
- After the fact
- Account for 100% of time

A for-profit organization has the same reporting requirements as a state or local government. The time and effort reporting requirements for a state or local government are as follows:

**Multiple Cost Objectives**
- Monthly Report
- Signed by employee
- After the fact
- Account for 100% of time

**Single Cost Objectives**
- Semi-annual Report
- Signed by employee or supervisor
- After the fact
- Account for 100% of time

The time and effort reporting requirements for an institute of higher education are as follows:

**Non-professional Staff**
- Monthly Report
- Signed by employee or supervisor
- After the fact
- Account for 100% of time

**Professional Staff**
- Semi-annual Report
- Signed by employee or supervisor
- After the fact

**Important Reminders Regarding Time and Effort Documentation**

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

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

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

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

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

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

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

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

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

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

(i) If the sub-recipient has requested to make a personal appearance, the request will be forwarded to the chair of the appropriate committee who will place the item on the agenda for the next regular committee meeting.
(j) If a sub-recipient is terminated for noncompliance/nonperformance, it cannot reapply for a 21st CCLC grant that would begin at any point during the four consecutive school years after the termination action.

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

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

(m) A sub-recipient may submit to the NCDPI a written request for a hearing within thirty (30) days of the action of the SBE.

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

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

(p) If the NCDPI determines that the NCDPI’s action was contrary to State or Federal statutes or regulations that govern the 21st CCLC program, the NCDPI shall rescind its action.
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: http://www.ncpublicschools.org/curriculum/.

Allowable Program Activities

Organizations awarded a 21st CCLC Grant award must offer students extended learning opportunities outside the traditional school hours. In addition to after school, extended learning may be offered before school, evenings, weekends, summers or during student track-out periods. 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 achievement, and those activities must adhere to the federal Measures of Effectiveness. According to Section 4203 (a)(14) of the ESSA, to satisfactorily meet the Measures of Effectiveness, activities for the afterschool program must meet the following criteria:

1. 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;
2. Be based upon an established set of performance measures aimed at ensuring the availability of high-quality academic enrichment opportunities;
3. 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;
4. 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 which include the following attributes:
   - Are capable of tracking student success and improvement over time; and
   - Include State assessment results and other indicators of student success and improvement, such as improved attendance during the school day, better classroom grades, regular (or consistent) program attendance, and on-time advancement to the next grade level; and
   - For high school students, may include indicators such as career competencies, successful completion of internships or apprenticeships, or work-based learning opportunities;
5. Collect the data necessary for the measures of student success described in bullet number 4 above and periodically evaluate the results. The results of the evaluation shall be used to refine, improve, and strengthen the program or activity, and to refine the performance measures. In addition, the results shall be made available to the public upon request, with public notice of such availability provided, and used by the
State to determine whether a sub-grant is eligible to be renewed under section 4204(j).

Sub-recipient 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, sub-recipient must provide a focus on math and reading/language arts, but other activities may include, but are not limited to, the following activities based on the needs of the population served and the indicated goals and grant objectives:

- 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 and family literacy
- Programs that provide assistance to students who have been truant, suspended, or expelled to allow the students to improve their academic achievement
- Drug and violence prevention programs and counseling programs
- Programs that build skills in science, technology, engineering, and mathematics (referred to as ‘STEM’), including computer science, and that foster innovation in learning by supporting nontraditional STEM education teaching methods
- Programs that partner with in-demand fields of the local workforce or build career competencies and career readiness and ensure that local workforce and career readiness skills are aligned with the Carl D. Perkins Career and Technical Education Act of 2006 (20 U.S.C. 2301 et seq.) and the Workforce Innovation and Opportunity Act (29 U.S.C. 3101 et seq.)
Summer and Track-Out Program Components

Summer programs afford students an opportunity for year-round learning. Year-round learning consists of intentional, community-based efforts to link school, afterschool, and summer learning for the benefit of youth. Implementing summer learning programs can benefit youth in the following areas: better grade transition, prevention of academic loss, and greater exposure to experiential learning opportunities (Harvard Family Research Project, 2011). In addition, the Wallace Foundation finds that summer programs provide a safe and structured learning environment. Most importantly, summer programs can keep students focused and learning—and can mitigate academic losses that may occur when students are not in school. In addition, summer programs must serve as an extension of the yearlong program and must adhere to the same guiding principles as the proposed yearlong program.

There are some schools in North Carolina which operate on a year-round schedule. Both traditional and year-round school calendars typically have at least 180 days of instruction; however, while the traditional calendar is divided into nine months of instruction and three months of vacation during the summer, year-round calendars break the long instructional and vacation blocks into shorter units. There are numerous variations of year-round schedules, and depending on the size of the school, the students may be organized into multiple groups that operate on separate and distinct schedules, often referred to as tracks. Whatever the model, the block of time 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, sub-recipients who serve feeder schools on a year-long school calendar may select one or more track-out periods to serve as the summer program component(s).

To yield the best results for students, summer and track-out programming should serve as an extension of the 21st CCLC program and the feeder schools’ instructional program during the regular school year, and it also should adhere to the same measures of effectiveness. Along with the NCDPI, there are several online resources available which provide engaging activities and effective strategies designed specifically to support youth programs during summer and track-out periods. The following links offer a few examples of those available resources.

- [http://www.afterschoolalliance.org/researchReports.cfm](http://www.afterschoolalliance.org/researchReports.cfm)
- [https://www.thechildrenstrust.org/](https://www.thechildrenstrust.org/)

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

- Academic activities that are aligned to North Carolina Standard Course of Study;
- Demonstrated partnership between the local school district and the community at-large;
• Hours of operation sufficient to meet program goals (required minimum of 12 student contact hours per week); and
• Adherence to the federal *Measures of Effectiveness* as follows:

(1) **IN GENERAL.**—For a program or activity developed pursuant to this part to meet the measures of effectiveness, monitored by the State educational agency as described in section 4203(a)(14), such program or activity shall—

(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 (D). SEC. 4205. [20 U.S.C. 717] LOCAL ACTIVITIES.
COLLABORATIONS

The establishment of collaborative partners is critical to both the implementation and sustainability of the 21st CCLC program. Collaborative partners provide resources which may be defined as contributions of expertise, facilities, in-kind or other types of services. Identify the partnering organization contributing each resource. A collaborative partner provides routine, regular, and ongoing services to the program as outlined in a signed partnership agreement. Vendors are not considered to be collaborative partners, but are paid contractors who provide specific, time-limited services.

Community Collaborative Partners

The establishment of collaborative partners is critical to both the implementation and sustainability of the 21st CCLC program. A collaborative partner provides routine, regular, and ongoing services to the program as outlined in a signed memorandum of agreement (e.g., the regular use of facilities and equipment, mentors/tutors, etc.) and can play a critical role in sustaining the program as grant funds decrease. A partnership signifies meaningful involvement in planning, as well as specific individual or joint responsibilities for program implementation. Information about access to the 21st CCLC program must be broadly disseminated to the community in which the 21st CCLC feeder school(s) and 21st CCLC program operate.

Effective partnerships within the community may also allow for more efficient use of local resources. Collaboration among diverse partners strengthens the variety of services the community can offer. For example, a community learning center that partners with a local hospital, a local faith-based organization, and a local business in the community may be better able to link services to student and family need. Partner organizations may also offer in-kind services such as health care information, parent education sessions, volunteers for serving snacks, and free copying services.

Potential partners may include financial institutions and large retail chains. Sub-recipient programs may also seek support from various regional and national foundations such as the National 4-H Council, Boys & Girls Clubs of America, United Way of America, or the YMCA. Any financial assistance, whether in-kind services or fiscal support, received during the 21st CCLC funded cycle must be documented and shared with NCDPI upon request.

Feeder Schools

Active collaborations with the eligible North Carolina K-12 public school(s) the 21st CCLC students attend (feeder school), is essential to the success of the 21st CCLC program. Initial and ongoing coordination of 21st CCLC program learning activities with the feeder schools can better ensure out of school academic support programming and enrichment activities reinforce grade-
level and standards-based learning. When the delivery of 21st CCLC content aligns with the delivery of feeder school instructional content, the 21st CCLC program reinforces learning, builds on prior knowledge and provides opportunities to apply learned concepts and skills in contextually relevant and meaningful ways. Moreover, out-of-school programming typically has a lower student to teacher ratio affording the opportunity for more activity-based experiential learning.

In addition to the academic benefits strong collaboration with feeder schools provide, the relationship often results in cost saving opportunities in areas like facility rentals, transportation services, parent communication, and in some cases, the use of curricular material. Feeder schools also help with the ongoing recruitment for students and their families as needed to satisfy the attendance goals tied to the approved grant application.

On an annual basis, sub-recipients must confirm the various feeder schools served by the 21st CCLC program as part of the continuation funding application. Sub-recipients must track and report the participating student’s academic and social behavior during the school day as part of the 21st CCLC programs’ ongoing self-evaluation and to complete the 21st CCLC Annual Performance Report requirement for the federal government. The most effective and authentic way to gather such data is directly from the feeder schools’ teachers or other relevant school personnel.

**Private Schools**

In adherence to federal policy, during the development of the grant proposal, the applicant organization is required to contact private school officials in the proposed program’s attendance zone (as determined by the proposed feeder schools in the application) to inform them of the opportunity for the private school students and their families to receive 21st CCLC services. During the continuation grant years, the organization must contact those private schools each year to ensure that private school children and their families have an equitable opportunity to participate in the 21st CCLC program. Sub-recipients annually attest to their efforts to contact the private schools in conjunction with the Continuation Funding Application in CCIP, and the requirement is monitored by NCDPI as part of the Comprehensive Program Monitoring Review Process. For more information regarding the consultation requirements with private schools, see SEC. 8501, Participation by Private School Children and Teachers.

**Parents and Families**

To support children in meeting education goals, parents/guardians must be involved in their children’s learning both during and after school. When families feel welcomed and valued, students reap the benefits. Benefits of family involvement for students include:

- Higher grade point averages and scores on standardized tests or rating scales;
- More classes passed and credits earned;
Better attendance; and
Improved behavior at home and at school.

Successful 21st CCLC programs foster parent/guardian engagement, promote school and family collaborations, and encourage effective family involvement 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. These programs also tend to be more fun, culturally relevant, and linked to activities that capture children's and adolescents' interests. Successful programs seek to involve parents in orientation sessions, workshops, volunteer opportunities, parent advisory committees, and, as possible, in a wide range of adult learning opportunities, such as parenting education, computer training, and English as a Second Language.

2. **Attend to the needs of working parents:** Good programs are aware that their customers are not only the children they serve, but their families, as well. In doing so, programs are designed that are sensitive to the schedules and requirements of working parents/guardians.

3. **Accommodate family schedules:** Not only are activities scheduled during after school hours, but activities are also scheduled for the morning hours before school, when many parents are either commuting to work or already at the workplace. In addition, 21st CCLC program activities, events, and strategies are designed for operation during out of regular school hours such as during school holidays, summer, and off track times.

21st CCLC programs should strive to offer families of participating students educational development opportunities. 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

The goal is to develop a successful partnership between the 21st CCLC program and the family to ensure the student’s academic success. Research has shown that when parents and families are valued partners and parent education programs are delivered with fidelity as an extension of 21st
CCLC learning, the established connections support lifelong learning both in regular school and out of school environments.
PROGRAM MANAGEMENT

Location of Program Centers/Sites

In addition to public school campuses, 21st CCLC program centers or sites might be located in a wide variety of facilities, including, but not limited to, community centers, church activity buildings, college campuses, local government buildings, or even rented commercial space. However, if the programs are located in facilities other than a school building, the fiscal agent organization must still ensure the facility still meets state, federal, and local standards for safety and general accessibility. For more information about building code and safety guidelines, review resources provided by the Office of the State Fire Marshall and the NC Existing Building Codes provided by the NC Department of Insurance.

The 21st CCLC program must be at least as available and accessible to the participants as if the program were located in a school and meet the same criteria for safe and effective learning including fire codes for safe egress. Program officials are reminded of their obligation under Section 504 of the Rehabilitation Act to ensure that facilities for community learning center programs must be accessible to persons with disabilities. Regardless of where the program takes place, program officials must ensure that students travel safely and in compliance with state motor vehicle laws to and from the community learning center and home.

Program Enrollment

Ongoing and meaningful collaborations with the public feeder schools and parent outreach can increase awareness of 21st CCLC within the community and encourage enrollment in 21st CCLC programming. Highlighting the program as 21st CCLC-funded with adherence to federal and state guidance can showcase the program as a safe and effective learning opportunity. When enrolling students in 21st CCLC programming, enrollment forms should at a minimum, include parent / guardian signatures with date and authorization for Internet access for children ages 13 and under. Whenever possible enrollment forms should be made available in the home language.

Required Hours of Operation and Student Attendance

To maximize the opportunity to impact student achievement, sub-recipients must attempt to structure a program which is convenient for student and family participation and that provides a consistent delivery of services over a sustained period of time. The operational hours should demonstrate that adequate and quality contact time is being spent with students and families each week. Research has proven that brief periods of contact time in before and out of school programs are not beneficial to students. As a condition of the grant in NC, sub-recipient programs must offer a minimum of twelve (12) hours of programming each week at each site (i.e., center) for participating students in either the regular-school-year program component or with the summer program component. Each enrolled student must be given the opportunity to attend academic and enrichment activities a minimum of twelve hours each week in order to...
provide a quality program that fosters maximum positive impact on students' development and learning. Travel time does not count towards the twelve-hour minimum requirement and quality contact time should encompass the entire targeted student population each day (e.g., cannot serve boys on Monday and Wednesday and girls on Tuesday and Thursday). A majority of sub-recipient programs select to run the program Mondays through Thursdays only, but regular programming offered during Fridays and Saturdays are also eligible to count toward the minimum twelve-hour requirement.

In an attempt to maximize the potential impact on student achievement and overall success, sub-recipient programs should make every attempt to promote regular attendance whereby whenever possible, the same students are served each day of operation throughout the program year. According to federal guidelines, a student is counted as a “regular attendee” only after he or she has attended at least thirty (30) days or more with the program in a given year.

Regular attendance and active participation in quality out-of-school programming is associated with improved academic performance, task persistence, improved work and study skills and better social skills. Benefits of students’ consistent participation in afterschool programs include:

- Providing youth with safe extended learning environments;
- Reducing the likelihood of youth engaging in delinquent activities;
- Reinforcing knowledge, skills and concepts learned during school;
- Teaching and reinforcing personal/social skills development;
- Promoting positive youth development; and
- Promoting opportunities for youth to be engaged at school and in the community.

**Schedule of Program Activities**

The sub-recipient must develop and maintain a daily schedule of program activities linked to the overall goals and strategies of the approved grant proposal provides students, staff, and volunteers with clear expectations for each day, week, and month within a given program year. Toward that end, the program schedule should demonstrate the following characteristics:

- Reflects a focus on NC Standard Course of Study standards for math and reading/language arts (at a minimum);
- Reflects other non-academic activities that will complement the regular academic program and/or promote whole-child development;
- Reflects a variety of strategies and/or activities to address various learning interests, grade levels and ability;
- Engages students in hands-on learning;
- Provides a consistent structure and time block for related activities;
- Realistically accounts for transition between activities;
• Specifies parent engagement activities when appropriate (parent activities may also be provided separately); and
• Is readily available, easy to follow, and communicated with all stakeholders.

**NOTE: Sub-recipient programs must offer a minimum of twelve (12) hours of programming each week for participating students at each center operated with 21st CCLC funds.**

**Transition Safety**

When students move from regular school to an on campus out of school program, the organization should work with the 21st CCLC staff as necessary to ensure procedures are in place to transition students safely immediately after regular school concludes. When students travel from their respective feeder school to off-campus sites, procedures including staff training should ensure that students transition safely. If the program is within walking distance, 21st CCLC staff or volunteers may need to serve as crossing guards to walk students to out of school programming. If utilizing transportation, the 21st CCLC Program Director, Site Coordinator, or designated staff must ensure that students transition safely and on to the correct buses or vans. 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. Whether a bus or transit van is used, all motor vehicle safety laws, especially those related to passenger safety must be followed.

**Field Trips**

Educationally-related field trips must be included in the approved budget and require program approval in advance of the field trip. 21st CCLC staff must submit a completed Field Trip Request Form (Appendix H) to the Program Administrator at least two weeks in advance of scheduled field trip. Field trips must have the ability to change grades, bring college awareness or career awareness, and support the program goals and objectives. Field trips for entertainment purposes are not allowable. To ensure field trips are aligned with the 21st CCLC program goals, the 21st CCLC fiscal agent organization or program director 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?
• What adult-to-student ratio is needed to ensure adequate supervision for the field trip?
• What is the relevance of proposed field trip to a learning objective?
• What instructional activities or student work product will occur prior to, during and after the field trip tie into the goals of the approved grant project?
• How will the trip’s educational value be assessed upon completion of the trip?
• How will field trip costs be covered?
• What is the impact of the trip on available program budget resources?

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

Note: Fields trip for entertainment or recreational purposes are not allowable. Please contact your 21st CCLC Program Administrator with questions regarding the purpose of a specific field trip.

Providing Healthy 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. In fact, the distribution of healthy snacks is an encouraged activity for 21st CCLC programs, and the associated purchase costs are an allowable use of 21st CCLC funds if those expenses are determined to be reasonable, allocable, and necessary within the scope of the approved grant proposal.

Both state and federal resources, including the federal Child and Adult Care Food Program (CACFP), exist to assist in offsetting costs of providing nutritious snacks to children enrolled in 21stCCLC programs. Contact the NC Department of Public Instruction, Nutrition Services branch for additional information about resources that provide snacks to children in out of school programming: http://childnutrition.ncpublicschools.gov/. (Click on Programs from the homepage.)
STAFFING

Sub-recipients must ensure that all staff have clearly written job descriptions be well informed about their job descriptions, performance expectations, and information regarding the evaluation of their job performance. Recruitment and retention depend on a variety of factors including the needs and scope of the program, available resources, and local workforce. When recruiting and retaining staff and volunteers, 21st CCLC management must employ a variety of methods including the following:

- Matching staff with positions that allow them to exhibit their strengths;
- Providing time for staff meetings on program improvement and addressing student needs;
- Ensuring that staff members have access to materials and resources that inform their work; and
- Providing staff continual feedback on how to improve their practice.

The North Carolina Afterschool Professional Core Competencies provide a framework of the knowledge and skills needed in eight content areas of professional development in the field of afterschool programming. They address the diversity of skills and abilities necessary to work with afterschool children and youth.

Role of the Program Director

The Program Director acting on behalf of the fiscal agency serves as the leader for the local 21st CCLC program office and all of its designated sites and is a required component of the 21st CCLC grant. The 21st CCLC Program Director is responsible for the comprehensive implementation of the program based on the approved grant’s goals and objectives, capacity of staff, collaborative partnerships, and student population served. The 21st CCLC Program Director’s responsibilities include, but are not limited to the following:

- Provide general oversight of program implementation at all centers including:
- Guiding the academic support programming, activities, and events;
- Ensuring program compliance, quality programming, and promoting best practices at each program site;
- Ensuring adherence to the federal Principles of Effectiveness;
- Identifying program strategies that are student-centered and engaging;
- Overseeing grant implementation strategies and timelines;
- Implementing and analyzing grant evaluation devices;
- Conducting routine scheduled site visits with progress monitoring;
- Developing and maintaining appropriate documentation and records;
- Communicating regularly with students, staff, and stakeholders;
- Maintaining documentation to support on-going programmatic review;
• Ensuring student and staff records are secured at all sites;
• Maintaining weekly ledgers to track expenditures;
• Hiring and training staff and volunteers for an out of school 21st CCLC-funded setting;
• Writing and overseeing implementation of all local policies and procedures;
• Evaluating staff performance;
• Training site coordinators to operate independently at program sites;
• Identifying professional development opportunities for staff aligned to the North Carolina Afterschool Professional Core Competencies;
• Submitting reports to the State department and federal government; and
• Ensuring 21st CCLC programming moves beyond compliance to quality programming to successfully meet or exceed stated expected goals, criterion for success, and expected outcomes in the funded project.

Role of the Site Coordinator

Although not required, Site Coordinators may be beneficial to support program oversight when sub-recipients have multiple 21st CCLC program sites (also referred to as centers). The Site Coordinator may be responsible for the day-to-day organization of the 21st CCLC program at a site. The Site Coordinator may be responsible for maintaining and organizing resources at a 21st CCLC site to ensure project objectives are implemented. The Site Coordinator’s responsibilities may include:

• Supporting the Program Director and Fiscal Agent as assigned;
• Implementing daily program activities that reflect indicated goals, objectives, planned strategies, State instructional standards, and best practices;
• Implementing program strategies that are student centered and engaging;
• Implementing policies and procedures for safe and effective program delivery;
• Effectively and regularly communicating with students, staff, and stakeholders;
• Coordinating safe student drop off and pick up;
• Implementing evaluation tools to assess progress toward project goals and objectives;
• Maintaining and securing student and personnel records;
• Providing feedback to Project Director on program, policies, and procedure implementation.

Volunteers

A well-organized group of volunteers can offer vital contributions to the success and sustainability of an out of school program. Careful planning will ensure that a volunteer force is adequately selected and supported so that the program can maximize the assistance they provide and ensure they are retained as long as possible. Volunteers can be recruited from a variety of
agencies and organizations to include community colleges, universities, community agencies, churches, and even high schools. Many workplaces also allow employees to take paid leave to volunteer with children.

Before selecting volunteers, programs should take time to determine an individual’s interests in volunteering for the 21st CCLC program and to match individual interests with out of school program needs. For example, if a volunteer wants to provide health enhancing recreational activities with the students as a class assignment for college, it would not be appropriate to place that volunteer in the year-long homework help program.

The responsibilities given to volunteers should be based on their personal and professional goals as well as their expertise. Volunteers should be appropriately trained by the Program Director, Site Coordinator, or another appropriate designee serving in a management role to maximize the time and utility 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 must maintain clear criminal background checks.

**Staff Training/Professional Development**

A well-trained staff is critical to the success of a 21st CCLC program. Initial and ongoing staff training increases the likelihood that all program goals will be met. All staff and volunteers should be appropriately trained on 21st CCLC program policies and procedures including expectations for 21st CCLC staff, collaborations within the community and feeder schools, health, safety, and well-being of students and staff, and outreach strategies to promote program sustainability beyond the grant funding. Evidence of staff training including dated agendas with sign-in sheets should be retained on file for review as requested by NCDPI staff.

All staff, including volunteers, must receive appropriate training in the following areas (at a minimum):

- Federal and State requirements for the 21st CCLC program which may include
- Awareness and understanding of the approved 21st CCLC grant proposal’s goals and strategies;
- Applicable program design, timelines, deliverables, and evaluation strategies.
- Safety procedures (see Safety Policies and Procedures section)
- Fiscal procedures, as appropriate

In addition, teaching/tutoring staff should be trained on research-based extended learning strategies, the out of school academic programming plan, unwrapping State instructional standards (including Common Core), strategies for reinforcing teaching and learning occurring
during regular school, high expectations for academic success for all students, and student-centered learning.

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 time programs. Evidence of staff training includes; agendas, sign in sheets, and workbooks. Program Directors are encouraged to monitor program delivery and strengthen staff capacity through modeling and targeted feedback. Content resources for professional development may be accessed at: http://www.ncpublicschools.org/21cclc/ and http://www.ncpublicschools.org/academicservices/.
SAFETY POLICIES AND PROCEDURES

Written policies and procedures must be developed for the safe and effective operations of the out of school programming. Local Education Agencies (LEAs) may need to expand existing policies to ensure safe and effective learning occurs at out of school program sites. Non LEAs may need to access LEA policies to ensure applicable State and federal laws are contained within written policies and procedures. At a minimum, written policies must address:

- Criminal background checks;
- Disciplinary policies for violence/sexual harassment;
- Bullying/violence among youth;
- Emergency preparedness;
- Fire safety;
- Adverse weather;
- Internet usage; and
- Conflicts of interest.

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

The NCDPI may immediately suspend a sub-recipient’s funds and programming if NCDPI determines that a threat exists to the health or safety of students, if the provider has engaged in illegal or deceptive practices, if any assurance or aspect of the application to NCDPI has been falsified, if information reported to NCDPI has been falsified, or if State or federal law has been violated.

All 21st CCLC staff must be trained on local 21stCCLC policies and procedures and evidence of training such as agendas, meeting minutes, and sign in sheets must be retained. In addition, Program Directors must develop written agreements and require that staff and students sign that acknowledge that they have received and read each of the policies. Signed agreements must be maintained on file and available for review during on-site monitoring visits.

Criminal Background Checks

Fiscal Agent Organizations awarded the 21st Century Community Learning Centers (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 Fiscal Agent Organization’s governing board.

2. In the absence of an LEA or Fiscal Agent Organization’s governing board policy, the Fiscal Agent Organization 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, http://sexoffender.ncsbi.gov/, and the National Sex Offender database, http://www.nsopr.gov/.
   - 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.
   - 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 Fiscal Agent Organization; background checks obtained/submitted by employees are not acceptable. The Fiscal Agent Organization 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. Each LEA or Fiscal Agent Organization has the authority to determine and manage its own personnel policies; however, individuals convicted of the following offenses are strictly prohibited from working with the 21st CCLC Program in any capacity:
   - Felony (of any kind);
   - Any offense involving sexual or physical abuse/neglect against a child.

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 Fiscal Agent Organization 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.
Violence/Sexual Harassment in the Workplace

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

Sexual harassment violates Title VII of the Civil Rights Act of 1964. According to the Equal Employment Opportunity Commission (EEOC) (2002), sexual harassment includes “unwelcome sexual advances, request for sexual favors, and other verbal or physical conduct of a sexual nature” that “when submit[ted] to or reject[ed] explicitly or implicitly affects and individual’s employment, work performance, or creates and intimidating, hostile, or offensive work environment.” Policies must communicate the prohibition of sexual harassment in the workplace and must describe an effective complaint and grievance process.

Suspected or Evident Childhood Abuse, Neglect, Maltreatment

As adults working with children, there may be times when abuse, neglect, or the maltreatment of a child is obviously evident or reasonably suspected to be evident. The duty to report a reasonable suspicion of or evidence of child abuse, neglect or maltreatment to the county department of social services applies to anyone in North Carolina (§G.S 7B-101). According to North Carolina law, the report may be made orally, by phone, or in writing. The report shall include information as is known to the person making it including the name and address of the juvenile; the name and address of the juvenile's parent, guardian, or caretaker; the age of the juvenile; the names and ages of other juveniles in the home; the present whereabouts of the juvenile if not at the home address; the nature and extent of any injury or condition resulting from abuse, neglect, or dependency; and any other information which the person making the report believes might be helpful in establishing the need for protective services or court intervention. The person making the report must provide the person's name, address, and telephone number (§G.S 7B-301).

For more information, refer to:

School Violence Prevention Act

In 2009, the NC General Assembly passed the School Violence Prevention Act (G.S. 115-C-407.15). In addition to outlining the specific types of bullying and harassment prohibited in public schools, it also required that each LEA develop a policy outlining specific plans for
reporting acts of bullying and harassment and a plan for addressing these acts. The NCDPI provides LEAs with specific guidelines for creating these policies, defining types of bullying and reporting incidents of bullying and harassment:

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. These amendments added a focus on computer related crimes and cyberbullying in order to address their impact on student success and school climate.

Sub-recipients 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.

**Emergency Preparedness Plan**

All 21st CCLC program should develop a written emergency preparedness plan addressing emergency procedures to include emergency contact information, scheduled practice drills, and inclement weather, fire, chemical and intruder safety precautions and procedures. Program directors must communicate to all staff, volunteers and parents any emergency plans including applicable evacuation routes, relocation sites, and communication plans in the event of an emergency.

The Federal Emergency Management Agency (FEMA) has developed a comprehensive source on individual, family, and community preparedness entitled Are You Ready? - An In-depth Guide to Citizen Preparedness. The guide provides current and up-to-date disaster preparedness information.

**Fire Safety**

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

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

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

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.

**Adverse Weather Policy**

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

**Internet Usage**

If using the Internet, the 21st CCLC program must develop policies and procedures prohibiting
access to or transmission of any material in violation of any U.S. or State regulation or school
board policy, including, but not limited to, copyrighted, threatening, or obscene material. In
compliance with Title XIII, the Children’s Internet Protection Act, 21st CCLC program officials
must obtain parent/guardian consent for e-mail 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](#).
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.

Self-Assessment Tool

In 2017, the NCDPI in partnership with SERVE 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 revise and develop a more streamlined and accessible approach for 21st CCLC) programs to use in internal reviews of their program quality. This self-assessment format is intended to facilitate the work of program directors in their organizational reviews and planning around the continuous improvement of program quality in all areas of out-of-school programming. That is, 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-time 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.

Data Reporting in the 21 DC 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. Sub-recipients are required to collect 21st CCLC data and report it annually to NCDPI via the 21DC system. The NCDPI collects data through 21DC to complete annual federal reporting requirements via the federal 21APR system. For more information on the 21DC system, click HERE.

Annual Program Evaluation Report

In addition to meeting federal evaluation requirements, sub-recipients must submit an Annual Program Evaluation Report and upload the document into the Related Documents section of CCIP.
External Evaluators

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

Sustainability Plan

Sub-recipients are expected to develop and annually update a comprehensive sustainability plan. In support of the sustainability plan, programs must maintain accurate records and track data to demonstrate success. Data that substantiates children’s academic and personal growth resulting from the 21st CCLC funded program can illustrate to community members, parents/guardians, and potential funders the importance of continuing the work beyond the 21st CCLC funding cycles. Throughout the various program year cycles, sub-recipients should consider marketing strategies that rely on evidences of success to encourage attendance and engage stakeholders in long-term program operation in a community beyond the funded grant cycle.
SUB-RECIPIENT MONITORING

The State is required to monitor the quality and effectiveness of the programs operating with funds provided through 21st CCLC grants (EDGAR, 2 CFR § 200.331). Each State shall have procedures for reviewing and approving applications for sub-grants and amendments to those applications, for providing technical assistance, for evaluating projects, and for performing other administrative responsibilities the State has determined are necessary to ensure compliance with applicable statutes and regulations.

While monitoring begins with the budget approval process and continues through data collection and reporting, each year, the NCDPI conducts a risk assessment of 21st CCLC sub-recipients and determines which programs will be monitored on-site for Fiscal Monitoring Reviews or Program Monitoring Reviews. Monitoring not only serves to ensure compliance, but also provides a means to identify areas that require additional support and technical assistance. For more information regarding the Standard Operating Procedures for monitoring, click HERE.

In addition, NCDPI may conduct ongoing desktop reviews in which sub-recipients are asked to provide information electronically to support program quality as well as compliance. Program Quality Reviews may be conducted in order to capture the quality and effectiveness of 21st CCLC programming with opportunities to cite commendations and recommendations.

Although programs may deliver high quality 21st CCLC programming in compliance with both fiscal and program guidance, NCDPI will not be able to verify compliance without accurate documentation and records retention. Programs are encouraged to organize, label, file, and retain records of all meetings, trainings, and communications to verify compliance. Records may be paper or electronic and stored in either paper or electronic format. Programs are encouraged to label evidentiary documentation by date and file by 21st CCLC monitoring indicator. Organized and labeled documentation is essential to the verification of 21st CCLC compliance.

For a list of sample Program Documentation, see Appendix I.
## Appendix A: INSTRUCTIONS for COMPLETING BUDGET FORM FPD 208

### TAB 1: FY BUDGET

1. **Organization Name**
   - Enter the Fiscal Agent Organization’s name that was approved to receive the grant funding by the State Board of Education.

2. **LEA/Unit #**
   - Enter the three-digit LEA or Unit Number assigned by NCDPI.

3. **Cohort #**
   - Enter 21st CCLC cohort number.

4. **Project Period Beginning:**
   - For the *beginning* date, enter July 1st of the respective calendar year to align with the State’s fiscal year.

5. **Project Period Ending**
   - For the *ending* date, enter September 30th of the following calendar year to align with the period of availability for the funds.

6. **Yearly Budget**
   - Enter the total of your annual grant award.

7. **School Year**
   - Enter the budgeted amount of funds to cover the proposed expenditures during the regular-school-year program component adjacent to each expenditure category and related budget codes.

8. **Summer**
   - Enter the budgeted amount of funds to cover the proposed expenditures during the summer program component (as appropriate) adjacent to each expenditure category and related budget codes.

9. **Total**
   - Each column and row of numeric data entered will automatically track and communicate the running total to the far right and bottom of the spreadsheet.

10. **Signatures for Fiscal Agent Organization’s Chief Administrator or Finance Officer:**
    - An original hand-written signature and the date are required.

11. **State Use Only**
    - Leave blank.

### TAB 2: POSITION SUMMARY

Enter data adjacent to the prefilled account codes as appropriate based on the approved Chart of Accounts.

1. **Position Description/Number of Positions**
   - Should align with approved Chart of Accounts description. For example: Teacher, Supervisor, and Psychologist; Number of personnel to be employed in that position.

2. **Percent Assigned to Project Position Description:**
   - Percent of time each position works in the project. For example: 15 Tutor positions at 100%; 2 Teacher positions at 75%.
   - The Uniform Chart of Accounts description. For Example: Teacher, Supervisor, and Psychologist.

3. **Percent Assigned to Project**
   - Percent of time each position works in the project. For example: 15 Tutor positions at 100%; 2 Teacher positions at 75%.

4. **Number of Months Assigned to Project**
   - Number of months that positions are assigned to the project. For example: 15 Teacher positions at 100% (10 Months).

5. **Dollars**
   - The estimated yearly salary (not including benefits) for the identified position. Budgeted dollars should take into consideration the total number of positions, percent employed, and the months assigned. Numbers of months that positions are
assigned to the project. For example: 15 Teacher positions at 100% (10 Months)

**TAB 3: CONTRACT SUMMARY**
Enter data adjacent to the prefilled account codes as appropriate based on the approved Chart of Accounts

1. Number of Contracts
   - Enter the total number of proposed contracts for each account code including any personal services contracts.

2. Contract Description
   - Provide a brief description of the proposed contracts including any personal services contracts.

3. Duration of Contract
   - For each contract provide the duration in terms of months, days, hours, etc.

4. Dollars
   - The estimated yearly salary (not including benefits) for the identified position. Budgeted dollars should take into consideration the total number of positions, percent employed, and the months assigned. Numbers of months positions are assigned to the project. For example: 15 Teacher positions at 100% (10 Months)

**TAB 4: EQUIPMENT SUMMARY**
Enter data adjacent to the prefilled account codes as appropriate based on the approved Chart of Accounts

1. Description of Item
   - Describe the proposed equipment that will be purchased.

2. Quantity
   - Provide the total number of items that will be purchased.

3. Projected Unit Cost
   - Provide the cost per item.

4. Projected Total Cost
   - Provide the total cost for all items meeting this description.

5. Own or Lease
   - Identify for each item described if the equipment will be purchased or leased.

6. Planned Use of Equipment in Project
   - Provide a brief description of how the equipment will be used.
Appendix B: AMENDMENT FORMS

Programmatic Amendment

Complete the form for any proposed budget and/or programmatic amendments. Submit completed forms to the appropriate program consultant. NOTE: If there is a Project Director change, please provide his/her contact information including telephone, fax, e-mail, and mailing address with a copy of his/her resume.

RFP REFERENCE: Refer to section(s) and page(s) of the original grant application. Indicate the page number and paragraph in the grant where the language proposed for change can be found.

APPROVED RFP: State the current language in the most recently approved grant.

PROPOSED AMENDMENT: Describe the amendment to reflect proposed changes. This may include either deletion or addition to the original language, but should clearly state the intent of the change.

RATIONALE: Provide the rationale for the change to the grant. Please provide background information that will explain why the change(s) are being made.

IMPLEMENTATION: Discuss how the amendment will be implemented and how it is consistent with the goals and objectives of the grant.

BUDGET JUSTIFICATION: LEAs and non-LEAs must submit an FPD 209 form. LEAs must not submit the amendment in the BAAS system prior to an approval.

- If the grant amendment will increase or decrease a budget line item by 10% or more, a budget amendment and the program amendment is required.
- If applicable, provide a detailed/estimation of the cost associated with the amendment.
- Describe from which line item(s) funds will be moved in order to accommodate the change.
Grant Amendments **must be signed in blue ink** by the grant’s Fiscal Agent, Joint Applicants (if applicable), Program Director, and Superintendent/CEO.

*My signature below indicates that I have read and approved the requested amendments being made to the most recently approved grant application.*

___________________________________________________________  ___________________
(Fiscal Agent or Authorized Designee) (Date)

___________________________________________________________  ___________________
(21st CCLC Program Director) (Date)

___________________________________________________________  ___________________
(Joint Applicant, if applicable) (Date)

___________________________________________________________  ___________________
(Superintendent or CEO) (Date)

Submit completed form to Sylvia Moore at sylvia.moore@dpi.nc.gov or by mail to:

North Carolina Department of Public Instruction  
Federal Program Monitoring Section  
21st Century Community Learning Centers  
MSC# 6351  
Raleigh, NC  27611-6351

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**FOR STATE AGENCY USE ONLY**

Request Status (check one)  
___Approved  ___Disapproved

21st CCLC Program Consultant: ___________________________  Date: _____________
## Budget Amendment Form

**FPD 209**

AMENDMENT REQUEST # ____________________
PROGRAM REPORT CODE # ____________________
PROGRAM: ____________________

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**PROJECT PERIOD:**

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**COLUMN TOTALS**

**FPD 209**

(R 5/01)
## CHANGES TO BUDGETED POSITIONS

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Submitted by: ______________________________________________________

________________________  __________________________
Signature of LEA Superintendent or Finance Officer  Date

### FOR STATE AGENCY USE ONLY

Request Processed (Circle One):  Yes  No

________________________  __________________________
Signature of Federal Grant Administrator  Date

Please submit this amendment and all attachments directly to the 21stCCLC Program Administrator ([http://www.ncpublicschools.org/21cclc/directory/](http://www.ncpublicschools.org/21cclc/directory/))

For your convenience and benefit, the State of North Carolina offers payees the opportunity to receive future payments electronically, rather than by check. Your payments will be deposited into the checking or savings account of your choice. In addition to having the money deposited electronically, you also will be notified of the deposit either by fax or by e-mail. The fax or e-mail will provide you with all the information that would normally be on your check stub. To receive payments electronically, you must print, complete this form, attach a voided check and return both to the address above.
Appendix C: VENDOR ELECTRONIC PAYMENT FORM

Office of the State Controller
Return to: OSC Support Services Center
Address: 1410 Mail Service Center
Raleigh, NC 27699-1410
Email: osc.support.services@osc.nc.gov
Telephone: 919-707-0795
Fax: 919-981-5561

Vendor Electronic Payment Form
New Add Request
Change/Update Existing Account
Inactivate Existing Account

The State of North Carolina offers payees the opportunity to receive payments electronically through U.S. based banks, rather than by check. In addition to having the money deposited electronically, you also will be notified of the deposit either by fax or by e-mail. The fax or e-mail will provide you with all the information that would normally be on your check stub.

We require you to submit a copy of a voided check, bank statement, or a letter from your bank for account verification.

TAX ID # or SSN

PAYEE NAME

REMIT TO ADDRESS
(AS PRINTED ON YOUR INVOICE
STREET
CITY
STATE ZIP CODE

CONTACT
NAME & TITLE PHONE NUMBER

NEW FINANCIAL INFORMATION

FINANCIAL INSTITUTION NAME:
 NAME ON ACCOUNT:
NEW ROUTING NUMBER:
NEW ACCOUNT NUMBER:

ACCT TYPE: □ Checking □ Savings

REMIT E-MAIL ADDRESS

PRIOR FINANCIAL INFORMATION (only required for updates)

FINANCIAL INSTITUTION NAME:
 NAME ON ACCOUNT:
ROUTING NUMBER:
ACCOUNT NUMBER:

ACCT TYPE: □ Checking □ Savings

REMIT ADDRESS:

ALL BOXES BELOW MUST BE REVIEWED AND CHECKED

☐ I acknowledge that electronic payments to the designated account must comply with the provisions of U.S. law, as well as the requirements of the Office of Foreign Assets Control (OFAC). By signing form, you are affirming that, regarding electronic payments the State of North Carolina may remit to the financial institution for credit to the account that I have designated, the entire payment amount is not subject to being transferred to a foreign bank account.

☐ I authorize the Office of the State Controller to initiate direct deposit entries each pay period, and if necessary, adjustments for any direct deposit entries in error, to the financial institution and account identified on the attached certification document. I understand and accept the conditions of participation in the direct deposit program. This authority will remain in effect until I cancel it in writing.

☐ I have attached a copy of a current voided check, current bank statement or included a bank letter on bank letterhead signed by a bank representative

SIGNATURE: DATE:
# Appendix D: ERACA RECONCILIATION COVER SHEET FOR DOCUMENT SUBMISSION

<table>
<thead>
<tr>
<th>ORGANIZATION NAME:</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>UNIT NUMBER:</td>
<td></td>
</tr>
<tr>
<td>COHORT NUMBER:</td>
<td></td>
</tr>
<tr>
<td>- Cohort 11</td>
<td></td>
</tr>
<tr>
<td>- Cohort 12</td>
<td></td>
</tr>
<tr>
<td>- Cohort 11 &amp; 12 (Both)</td>
<td></td>
</tr>
<tr>
<td>AMT REQUESTED (IF BOTH, INDICATE AMT FOR EACH)</td>
<td></td>
</tr>
<tr>
<td>FUND REQUESTED DATE (FRD):</td>
<td></td>
</tr>
</tbody>
</table>

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

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

Date

Send Documentation to ALLISON.YARBORO@DPI.NC.GOV or FAX to 919.807.3968
### Federal Programs

**Expenditure/Cash Request Data Inquiry Screen**

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

<table>
<thead>
<tr>
<th>Account Description</th>
<th>Account Code</th>
<th>Expenditure</th>
</tr>
</thead>
<tbody>
<tr>
<td>Extended Day/Year Instr - Salary - Director and/or Supervisor</td>
<td>5350-110-113</td>
<td>$134.94</td>
</tr>
<tr>
<td>Extended Day/Year Instr - Salary - Teacher</td>
<td>5350-110-121</td>
<td>$4,131.45</td>
</tr>
<tr>
<td>Extended Day/Year Instr - Employer's Soc Sec - Regular</td>
<td>5350-110-211</td>
<td>$370.38</td>
</tr>
<tr>
<td>Extended Day/Year Instr - Employer's Workers' Comp Ins</td>
<td>5350-110-232</td>
<td>$34.61</td>
</tr>
<tr>
<td>Extended Day/Year Instr - Employer's Unemployment Ins</td>
<td>5350-110-233</td>
<td>$104.02</td>
</tr>
<tr>
<td>Extended Day/Year Instr - Field Trips</td>
<td>5350-110-333</td>
<td>$1,300.00</td>
</tr>
<tr>
<td>Alternative Progs Support &amp; Dev - Salary - Director and/or Super</td>
<td>6300-110-113</td>
<td>$575.28</td>
</tr>
</tbody>
</table>

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

Request Cash: Yes
- Cash Request Amount: $6,650.71
- ATD Amount: $19,987.32
- Fund Requirement Date: [Date]

Cash Request is **Approved**
- Amount: $6,650.71
## Appendix F: VOLUNTARY REDUCTION OR TERMINATION OF GRANT AWARD

<table>
<thead>
<tr>
<th>Sub-recipient Name</th>
<th>Unit Number</th>
<th>Year of Award</th>
</tr>
</thead>
</table>

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

### I. REQUEST FOR TERMINATION OF 21ST CCLC GRANT

- [ ] The sub-recipient would like to voluntarily terminate its grant program.  
  - The proposed effective date for the grant program termination: __________

  **Reason:** __________

### II. REQUEST FOR REDUCTION OF 21ST CCLC FUNDS

- [ ] The sub-recipient would like to voluntarily reduce the amount of 21st CCLC funds for the following time period:
  - [ ] The current fiscal year.
  - [ ] The remainder of the grant cycle.

  If decision is due to low enrollment/attendance, provide the attendance details in the next row. If not, skip to the “Reason” text box below.

  **Initial Enrollment/Attendance Targets As Approved in the Grant Application** (List for each site if applicable): __________

  **Revised Enrollment/Attendance Targets** (List for each site if applicable): __________

  **Reason:** __________

---

**Printed Name of Fiscal Agent Organization**  
*Chief Administrator or Designee*

**Signature of Fiscal Agent Organization**  
*Chief Administrator or Designee*

(Published Name of Sub-recipient Official)  
(Signature of Sub-recipient Official)  
(Date of Request)

Submit completed requests to Sylvia Moore at sylvia.moore@dpi.nc.gov or by FAX to 919.807.3968.
Appendix G: CHECKLIST FOR THE FIRST 60 DAYS

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

First 30 Days – Fiscal Guidelines

☐ Complete and submit to Sylvia Moore at sylvia.moore@dpi.nc.gov
  ○ Budget Form 208 using appropriate codes from the Chart of Accounts.
  ○ Electronic payment form (new programs only or if account information changes)
    including tax ID number and year end date
  ○ Signed Assurances
    Funding is released when all items are submitted and approved

☐ Ensure that Basic Program Information is up-to-date in CCIP and send notification along with a list of locations of all program sites to DPI Program Administrator

☐ Email any programmatic/fiscal changes to original RFP to DPI consultant for review

☐ Review organization’s fiscal policies and ensure that appropriate staff are trained to follow procedures

☐ Review organization’s Conflict of Interest Policy and provide training to ensure that appropriate staff are trained to ensure no perceived or actual conflicts of interest occur during program implementation

Within 30-60 days - Program Guidelines

☐ Review the 21st CCLC Fiscal Guidance and Program Guidance

☐ Implement marketing/advertising program

☐ Establish staff policies and procedures with dissemination plans

☐ Hire appropriate staff
  ○ Develop job specific job descriptions and salary requirements for the 21st CCLC
  ○ Conduct interviews
  ○ Complete background checks

☐ Train staff on policies and procedures
  ○ Confidentiality requirements
  ○ Emergency/safety procedures such as child abuse reporting, emergency evacuation, internet use safety, health emergency procedures, student drop off and pick up
  ○ Student registration
  ○ Attendance, sign-in, sign-out procedures
  ○ Student files (grades, test scores, health requirements)

☐ Assess technology and equipment requirements

☐ Develop student/parent handbook with dissemination plans
  ○ Student registration
  ○ Attendance, sign-in, sign-out procedures
  ○ Student files (grades, test scores, health requirements)
  ○ Expectations for student behavior and consequences for inappropriate behavior
  ○ Emergency/safety procedures
  ○ Parent involvement plan

☐ Establish timeline for regular communication with community/school partners

☐ Prepare for open house
## Appendix H: Field Trip Approval Form

<table>
<thead>
<tr>
<th>Name of Program</th>
<th>Unit Number</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Person Completing Form</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Complete and submit to Program Administrator for prior approval if requesting 21st CCLC reimbursement. Do not complete if there are no costs or if using other funding sources. Form and supporting documentation must be submitted at least two weeks prior to date of requested event.

**Goal:** List the goal(s) from the grant application that is (are) associated with the proposed field trip.

**Objective:** List the objective(s) from grant application that is (are) associated with the proposed field trip.

### Description of Field Trip

<table>
<thead>
<tr>
<th>Date:</th>
<th>Time:</th>
<th>Duration:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Location: (Name and address of field trip destination)</th>
<th>Distance: (Total number of miles round trip)</th>
<th>Type of Transportation:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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<td></td>
</tr>
</tbody>
</table>

*Field Trip Destination:* (List title and topic including website link(s), as applicable)

**Pre-Activity(s):**

**Activity(s) During the Field Trip:**

**Post-Activity(s):**

**Attendees:** (List the number of students and chaperones attending)

### Costs:

<table>
<thead>
<tr>
<th>Costs</th>
<th>Quantity or Number</th>
<th>Cost Per Item</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Students</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Chaperones</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Mileage Costs (# miles x cost per mile)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Bus Driver Costs (# drivers x hourly rate x hours)</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Grand Total**

<table>
<thead>
<tr>
<th>Are the 21st CCLC funds for this field trip in the approved FY Budget or Amendment?</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**SEA USE ONLY**

<table>
<thead>
<tr>
<th>Approved by: (signature)</th>
<th>Date:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Appendix I: Program Documentation

Ongoing records, evidence/artifacts, and documentation must be provided for the following program components, as described in your grant application, to ensure that the grant is being implemented as proposed. Additional information on documentation may be found HERE.

1. Program Plan

- Collection of baseline data or preliminary data
- Usage of needs assessment information to drive program design and implementation
- Communication to all stakeholders of the goals and measurable objectives driving the program
- Planning and scheduling of research-based strategies/activities in the proposed timeframe
- Setting of daily, weekly, and monthly schedules indicating where students must be served a minimum of 12 hours per week, outside of transportation
- Creation of and maintenance of rosters for attendance in 21DC
- Creation, communication, and documentation of activities and lesson plans
- Obtainment of materials and equipment; creation of updated inventories following guidelines as provided by NCDPI 21st CCLC program
- Correlation of out-of-school activities to Georgia Standards of Excellence (GSE) supporting the students’ regular school program
- Establishment of and communication of required policies and procedures to staff, parents, students, and stakeholders

2. Staffing and Professional Learning

- Staffing organization
  - Implementation of the program’s organizational, managerial, and staffing structure
  - Hiring of appropriate and qualified staff
  - Organizational chart clearly delineating roles and responsibilities of all program staff as well as duties of partnership agencies, as applicable
  - Utilization of and adherence to district/organizational hiring procedures
  - Verification of instructional staff’s possession of required certifications/qualifications
  - Prior to Employment: Acquisition of annual national criminal background checks on all staff and collection of fingerprinting information as well as how program will determine fitness for employment. Check with local school district, sheriff’s office for possible background check resources and processes.
- Compliance with written district or organization plan for evaluating and managing staff performance
  - Professional learning plan
o Written professional learning plan
o Yearly schedule of professional learning opportunities

iii. Agendas for all professional learning opportunities
o Staff rosters with attendance – sign-in sheets by participants from professional learning opportunities is a requirement for each planned activity
o Collection of evaluations of professional learning activities

• Job descriptions of key personnel with required qualifications
  o Program directors
  o Site coordinators
  o Teachers
  o Data specialist v. Support staff
  o External Evaluator

3. Communication

• Specific program information for target community provided, including parents, regular day teachers/staff, school administration, and non-English speaking parents
• Student/parent handbook
• 21st CCLC staff handbook
• 21st CCLC staff communication with parents
• Communication with community and stakeholders
• Communication and collaborate with principals, superintendents/CEO, and other regular day staff. Communication may include progress reports, sharing of data, review of evaluations and attendance data, as well as recommendations.
• Details/methods of communication in appropriate language(s)
• Documentation of communications (notes, agendas, sign-in sheets, evaluations, notifications, reminders, emails etc.) for each site
• Communication and reports to parents and regular school day teachers on student progress

4. Safety and Transportation

• Written safety/emergency preparedness plan specific to each site/program
• Regularly scheduled safety, emergency drills (inclement weather, fire, and safety/intruder). Must be conducted at least three times per semester to conduct each listed drill. Maintain a log of drills to include type of drill, date, time, etc.
• Availability of emergency contact information for staff and students
• Inclement weather procedures
• Daily drop-off and/or pick-up procedures
  o Transportation (policies, length of travel time, etc.)
• Facility accessibility and Americans with Disabilities Act (ADA) compliance plan
• Maintenance of an adequately sized facility that is safe for the target population

5. Evaluation

• Identify external evaluator
• Formative evaluations: Measuring student progress toward goals/objectives on a regular basis
• Communication with stakeholders regarding progress and program results
• Summative evaluation plans
• Close out procedures at the conclusion of grant award period

6. Sustainability Plan

• Written sustainability plan that describes how the program will sustain itself once 21st CCLC ends a. Begin planning now for continuation after funding ends
• Establishment of partnership investments and associated timeframes