

# Public Schools of North Carolina

## State Board of Education

*Department of Public Instruction*



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



### Fiscal Guidance

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## **GENERAL INFORMATION**

### **Purpose**

The purpose of the 21<sup>st</sup> Century Community Learning Center (CCLC) program is to provide students with academic enrichment opportunities along with activities designed to complement students' regular academic programs. 21<sup>st</sup> CCLCs must also offer families of participating students educational development opportunities. Centers (which may be located in schools, community and/or faith-based facilities) provide a range of services to support student learning and development. These services include but are not limited to tutoring and mentoring, homework assistance, academic enrichment (such as hands-on science or technology programs) community service opportunities, arts education, cultural activities, health education, and physical activity including sports, and. Centers also provide safe environments for students during non-school hours.

Authorized under Title IV, Part B, of the Elementary and Secondary Education Act (ESEA), as amended by the No Child Left Behind Act of 2001, the specific purposes of the law are to:

- 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, drug and violence prevention programs, counseling programs, art, music, recreation programs, technology education programs and character education programs that are designed to reinforce and complement the regular academic program of participating students; and
- 3) Offer families of students served by 21<sup>st</sup> CCLCs opportunities for math, science and literacy related educational development.

### **Award Eligibility**

Local Education Agencies (LEAs), other public or private organizations, as well as faith and community groups are eligible to apply for the 2010-2011 21<sup>st</sup> CCLC grant cycle. Examples of agencies and organizations eligible under the 21<sup>st</sup> CCLC Program include but are not limited to:

- non-profit agencies;
- city or county government agencies;
- faith and community-based organizations;
- institutions of higher education; and
- for-profit agencies.

Note: Eligible non-LEA entities must collaborate with LEAs when applying for funds.

**Priorities**

According to Title IV, Part B, Section 4204 (I)B(i)(ii), states must give competitive priority to applications that 1) propose to serve students who attend schools identified for improvement (pursuant to Section 1116 of Title I); and 2) that are submitted jointly between at least one local education agency (LEA) receiving funds under Title I, Part A and at least one public or private community organization. Although the statute provides an exception to this requirement for an LEA when it does not have qualified community organizations within reasonable geographic proximity, such an LEA will still have to propose to serve students attending schools identified for improvement to qualify for the priority. Priority for funds also considers geographic distribution across the state. For example, funds may be awarded where there is a low concentration of grantees in one specific region of the state.

Based on current research-based best practice, the State may give priority to proposals submitted by novice applicants, designed to implement programs focusing on Science Technology, Engineering, and Mathematics (STEM) initiatives, and/or propose to serve underserved regions of the state.

**Award Amounts**

Contingent upon the annual availability of funds, grantees may request funds ranging from \$50,000, but cannot exceed \$400,000 per year based on need. Beginning with the 2011-12 school year, new proposals must utilize the Wallace Foundation Out-of-School-Time Cost Calculator. The website offers multiple resources to support program planning and implementation including this online calculator to assist with determining the costs of high-quality out-of-school time (OST) programs. The calculator may be used online at: <http://www.wallacefoundation.org/cost-of-quality/Pages/default.aspx>.

**Award Period of Availability**

21<sup>st</sup> CCLC grant funds will be awarded for four years with a gradual reduction in each of the last two years of the grant period, beginning with 20% in the third year and 40% in the fourth year. This reduction is to encourage programs to become sustainable when the grant period expires. Continuation funding for each additional year will be subject to the availability of funds and will be based on evidence of compliance with the approved application, state and federal guidance, and program progress and performance.

Each full-year grantee can be awarded funds for the academic year starting on July 1<sup>st</sup> and ending on June 30<sup>th</sup>. Summer mini-grants are available from the date of approval through August 30<sup>th</sup>. Unspent funds remaining after the end of the grant period will revert without a liquidation period.

**MATCHING FUNDS AND SUSTAINABILITY**

Although a formal sustainability plan is a requirement of the grant application, matching funds, are not required to apply for a 21st CCLC grant. Matching funds can include state, federal, private, or other alternative funding.

Effective partnerships within the community allow for more efficient use of local resources. Potential partners may include financial institutions and large retail chains. Afterschool program officials 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, and the YMCA. Collaboration among diverse partners strengthens the variety of services the community can offer. For example, a community learning center that partners with a hospital, the local church, and a local printing company in the community may more readily offer services. For example, these partners may offer health care information, provide church volunteers for serving snacks, and promote the program with free copying services.

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 21<sup>st</sup> CCLC funded program can illustrate to community members, parents/guardians, and potential funders the importance of continuing the work beyond the 21<sup>st</sup> CCLC funding cycles.

### **VOLUNTARY REDUCTION/TERMINATION**

In each year of implementation, attendance records for grantees are carefully monitored to determine if sufficient progress is made toward attendance 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 grantee's demonstration of sufficient progress toward attendance 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% attendance goal met; and
- Final allotment equal to 32% of the total approved grant award for 75% attendance goal met.

If at any time during the first year or in subsequent years of renewal it is determined that attendance goals are not sufficiently met to support the total approved grant award, the grantee may request a voluntary reduction or termination of the grant by submitting in writing the Voluntary Reduction/Termination form with appropriate signatures (See Appendix D). If a grantee requests a voluntary reduction in the first year of the grant award, but is able to increase attendance in subsequent years of the renewal period, the total award for that year may be made available for the grantee's 21<sup>st</sup> CCLC program if sufficient documentation is provided to ensure that attendance goals are met.

### **USE OF FUNDS**

Grant funds must be used in a manner consistent with all requirements of the statute and must be used only to supplement, **not supplant**, any federal, state or local dollars available to

support activities allowable under the 21<sup>st</sup> CCLC program. Funds may be used to expand or enhance, but not replace, current activities. **Grantees are strongly encouraged to attend all training provided** to assist non-LEAs and LEAs on budget and operational requirements, as related to the Educational Department General Administrative Regulations (EDGAR).

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;
- Renting space, if necessary;
- Teacher substitutes;
- Travel reimbursements;
- Classroom equipment and supplies, including computers and software. Note: LEAs must share with the 21<sup>st</sup> CCLC the cost of any item that will also be used in the school during the regular school day.

Funds may **NOT** be used for the following:

- Costs for developing the proposal;
- Programs that operate or personnel who teach/work during the regular school day;
- Activities held during the school day;
- Land acquisition;
- Building or renovation costs;
- Purchase of vehicles;
- Cost of conducting an audit if total of all federal grants received is less than \$500,000; or
- Other items outlined in the Education Department General Administrative Regulations (EDGAR), the guidelines on federal spending:  
<http://www.ed.gov/policy/fund/reg/edgarReg/edgar.html>

NOTE: This is NOT an all-inclusive list of non-allowable expenses. If you have questions about allowable expenses, contact your 21<sup>st</sup> CCLC Consultant.

#### **LIMIT ON INDIRECT COST AND EVALUATION COST**

Indirect cost rates for LEAs and non-LEA's are calculated by the NC DPI and communicated to grantees on an annual basis. Grantees may spend no more than the calculated rate of each year's budget on activities related to the fiscal agent's administration of the 21<sup>st</sup> CCLC grant (Indirect Cost).

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.

## BUDGET PREPARATION

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, it does not exceed that which would be incurred by a prudent person under the circumstances prevailing at the time that the decision to incur the cost is made. For more information, go to [http://www.whitehouse.gov/sites/default/files/omb/assets/agencyinformation\\_circulars\\_pdf/a87\\_2004.pdf](http://www.whitehouse.gov/sites/default/files/omb/assets/agencyinformation_circulars_pdf/a87_2004.pdf). **Note that the budget submitted with the RFP is not the approved budget and is subject to review and approval prior to the release of funds.**

Grantees 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. **No item should be identified in a budget that has not been explained in the program narrative.** Post-award changes in budgets and projects require the prior written approval of DPI.

Applicants should exercise caution in selecting subcontractors to implement program components. In Section 80.35 of EDGAR, grantees may not make awards or contracts to any party which is debarred or suspended or excluded from or ineligible for participation in federal programs under Executive Order 12549, "Debarment and Suspension." For NC Debarred Vendors, go to <http://www.doa.state.nc.us/PandC/actions.asp>. For Federal Excluded Parties List System, go to <https://www.epls.gov/>.

- All technology expenses require pre-approval from DPI and expenses of this type must be (1) reasonable, (2) allocable and (3) allowable.
- In Section 80.32 of EDGAR, grantees 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.
- The federal guidelines allow student incentives with no intrinsic value (i.e., less than \$25.00). All legitimate expenses must be included in the budget. (e.g., T shirts, a free book, etc.). Note that no direct cash can be given to students.

## UNIFORM CHART OF ACCOUNTS

All budgets must be developed and submitted using the Uniform Chart of Accounts (COA). The COA is available at <http://dpi.state.nc.us/fbs/finance/reporting/coa2011> in the Working Documents section.

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., function code)
- 3) Program Report Code (PRC) - consists of three numeric digits. The program report code describes the funding for a particular activity. (e.g., PRC 110 for full-year awards, PRC 113 for summer-only 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 is code 121; Instructional Supplies is code 411).

Only the codes listed in the COA for PRC 110 or PRC 113 are allowable for use. Code descriptions may be found at <http://dpi.state.nc.us/fbs/finance/reporting/coa2011> in the COA Supporting Documents section.

## **UNIFORM EDUCATION REPORTING SYSTEM**

The Uniform Education Reporting System (UERS) is the required accounting system specification and process designated by the state to help ensure uniform, standard and accurate reporting of fiscal data on the use of funds. The fundamental objective of the UERS is to provide a simple process of reporting expenditures in a public education environment. Grantees will be required to adhere to the UERS accounting system expectations.

### **1) Cash Requests**

The deposit of federal funds will be made directly to a local bank account by electronic transfer through a program offered by the Office of the State Treasurer. Every fiscal agent that is a non-LEA must complete this State Treasurer's form. The State will assign a unique banking vendor number and process the form with the State Treasurer's Office. In order to practice sound fiscal management of cash, it is necessary that cash balances from the bank account be reconciled with those at DPI on a monthly basis.

### **2) Expenditure Reporting**

Expenditures must be reported to DPI. Each approved fiscal agent will be assigned a unique number identifier (i.e., Unit Number) that must be included on each expenditure record submitted to the state. Non-LEAs must have prior approval from DPI before purchases are made. LEAs are expected to receive approval in BUD.

### **3) Budget Amendment/Revision**

Budget amendments/revisions (changes to the budget) can be submitted anytime during the approved grant period. Budget amendments along with appropriate justification and programmatic change (if applicable) should be sent to the DPI 21<sup>st</sup> CCLC Consultant for review and approval. The Consultant will verify that the request meets

with the requirements of the grant. Budget amendments are required if the cumulative total of the over-expended account(s) exceed(s) 10% of the current total approved budget or if there are significant changes to the grant proposal.

## **EXPENDITURE REPORTING AND CASH APPLICATION FOR EDUCATION CENTERS**

The 21<sup>st</sup> Century Community Learning Center program operates on a reimbursement basis for non-LEAs; as such, those grantees should have already expended funds before reporting expenditures and requesting cash from DPI through the ERaCA application. Encumbrances are not permitted.

All grantees are now required to submit expenditure reporting and cash requests through the Expenditure Reporting and Cash Application for Education Centers (ERaCA) application. The system requires the use of a North Carolina Identity Management ID (NCID) to access the system. Please access the training material on how to obtain an NCID, Subscribe to the ERaCA system, and Working in the ERaCA system at the following link:

<http://www.ncpublicschools.org/fbs/finance/reporting/>.

The Uniform Chart of Accounts is already built into the system so a grantee will only need to enter the expenditure totals into the appropriate budgeted line item in the application which automatically totals the request and verifies funding is available. If funding for the grantee is not available, the system will not allow the grantee to submit any expenditure. Upon submitting the expenditure report, a cash request will automatically be generated at DPI. **All sub-grantees are allowed to submit one expenditure report per week.** All expenditure reports submitted during the week will be processed promptly at 3 p.m. each Friday.

## **FIDELITY BONDS**

Prior to making cash requests, **all non-LEAs** must submit a current copy of the organization's fidelity bond for approval. **Fidelity bonds must be approved prior to making cash requests.** A fidelity bond is a form of insurance protection that covers policyholders for losses that they incur as a result of fraudulent acts by specified individuals. In general, it insures a business for losses caused by the dishonest acts of its employees.

In order to obtain the necessary approval, organizations must be aware of the following:

- 1) Face value of the bond must be for at least the amount of the grant.
- 2) The name on the bond and the grant must be the same.
- 3) The Insuring Agreement must include Funds Transfer coverage.
- 4) In order to continue receiving funds, the bond must be renewed each year for the funding amount available to the grantee in a subsequent year of renewal.
- 5) Bond must cover all of the employees, finance officers, bookkeepers, principals, Board Members, etc., that are involved in any aspect of the project's finances, such as purchasing of supplies/materials, writing checks, processing payroll, etc.

- 6) Bond must stay in effect for the entire period of the grant.
- 7) While the bond may specify a deductible, it may not limit the number of times claims may be made. The total amount paid will be the amount of the bond.
- 8) When submitting the fidelity bond for review, include all contact information, including the name of the organization, the name of the approved 21<sup>st</sup> CCLC project, a telephone number and email address, the Unit Number (as assigned by DPI), and the organization's federal tax ID number.

## **ELECTRONIC PAYMENT FORM**

As a convenience and benefit to non-LEA grantees, the State of North Carolina offers payees the opportunity to receive future payments electronically, rather than by check. Payments will be deposited into the checking or savings account of the grantee's choice. In addition to having the money deposited electronically, grantees will be notified of the deposit either by fax or by e-mail. The fax or e-mail will provide organization officials with all the information that would normally be on a check stub. To receive payments electronically, grantees must print and complete the vendor electronic payment form along with a voided check. **All non-LEAs must submit a request for electronic payment prior to making cash requests.**

## **DUN AND BRADSTREET NUMBER**

All grantees in North Carolina are required to register in the Central Contractor Registration (CCR) system at [www.bpn.gov/ccr/default.aspx](http://www.bpn.gov/ccr/default.aspx). You will need a Dun and Bradstreet (D&B) Number to complete this registration. A D&B number is similar to a Social Security Number for business credibility. If you do not have a D & B number, 21<sup>st</sup> CCLC grantees must obtain a number by registering online at [www.dnb.com](http://www.dnb.com). "CFR Subtitle A, Subpart B-Policy 25.205 (a) an agency may not make an award to an entity until the entity has complied with the requirements described in 25.200 to provide a valid Duns number and maintain an active CCR registration with current information." Failure to have or keep an active Duns number in the CCR system will cause your grant funds to be frozen and may be a basis for making an award to another applicant.

## **NC GRANTS REPORTING**

All non-profit and for profit recipients of 21<sup>st</sup> century grants are required to complete annually the reporting requirements to NC Grants. (General Statutes of North Carolina 143-6.2) This reporting is done electronically on <http://ncgrants.gov/>. There are three levels of reporting. The reporting level and timeline for a grantee is determined by the amount of Federal and State monies received.

- **For level one and two, reports are due six months after the sub-grantee's fiscal year ends.**
- For level three, reports are due nine months after the grantee's fiscal year end.

Failure to comply will place the sub-grantee's 21<sup>st</sup> CCLC grant funds in suspension.

## AUDIT

All LEA and Charter Schools grantees are required to submit an audit each year of their financial statements, not later than October 31, to the Local Government Commission of the “State Treasurer Office”. This audit must include the 21<sup>st</sup> Century Program.

The audit shall be conducted by a certified public accountant (CPA) that has been approved and certified by the Local Government Commission (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 general accepted accounting principles (GAAP).

## 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-grantee from administering the 21<sup>st</sup> CCLC program within requirements, Sub-grantees will first be provided with technical assistance to correct areas of non-compliance. Consultants are available to assist with identifying how the Sub-grantee may be able to make fiscal and/or programmatic improvements. If technical assistance efforts do not result in full compliance, NC DPI may recommend to the SBE a termination of the 21<sup>st</sup> CCLC grant.

- (a) NC DPI may recommend termination of a 21<sup>st</sup> CCLC grant to the SBE, in whole or in part, to a Sub-grantee before the end of the grant period if the Sub-grantee has:
  - 1) materially failed to comply with the terms and conditions of the grant;
  - 2) failed to comply with SEA policies; or
  - 3) or failed to comply with state or federal law.
- (b) When recommending the termination of a grant in whole or in part, NC DPI shall send written notification by certified mail to the Sub-grantee that NC DPI is proposing to terminate the grant award for nonperformance or noncompliance.
- (c) Written notification is provided at least thirty (30) days prior to sending a formal recommendation for termination to the SBE.
- (d) The notification shall include, at a minimum:
  - (1) the reason(s) for initiating the termination;
  - (2) the effective date of the proposed termination; and
  - (3) an explanation that the Sub-grantee may forego the termination process by electing to withdraw from the 21st CCLC grant program.
- (e) The Sub-grantee 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-grantee wishes to appear personally to present its objections.

- (g) If NC DPI does not receive a written objection in a timely manner, then the proposed termination is considered unopposed and may be presented at the next meeting of the SBE for final action.
- (h) If the Sub-grantee submits a timely written objection, NC DPI will forward the recommendation along with the objection to the SBE for placement on the agenda for the next regular SBE meeting.
- (i) If the Sub-grantee 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-grantee 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-grantee has the right to request a hearing if it alleges that NC DPI violated a State or Federal statute or regulation when it terminated the 21st CCLC grant of the Sub-grantee.
- (m) A Sub-grantee may submit to NC DPI a written request for a hearing within thirty (30) days of the action of the SBE.
- (n) Within thirty (30) days after NC DPI receives the request for a hearing, NC DPI shall hold a hearing on the record and shall review its action. The hearing may be conducted by a hearing officer.
- (o) No later than ten (10) days after the hearing NC DPI shall issue its written ruling, including findings of fact and reasons for the ruling.
- (p) If NC DPI determines that NC DPI's action was contrary to State or Federal statutes or regulations that govern the 21st CCLC program, NC DPI shall rescind its action.

**Appendix A: INSTRUCTIONS FOR COMPLETING FORM FPD 208**

<b>PAGE 1: APPROVED BUDGET</b>	
1. Program Report Code	Enter the Program Report Code (PRC) that indicates the Approved Grant Program.
2. Program	Enter the program title for the Approved Grant. For Example, PRC 110 is ESEA Title IV-B.
3. LEA/Grantee Name	Enter name here.
4. LEA Code/Non-LEA Unit Number	Enter three-digit code assigned to LEA or non-LEA.
5. Project Number	Eight digits: <u>  </u> <u>  </u> <u>  </u> <u>  </u> <u>  </u> <u>  </u> <u>  </u> <u>  </u> (FY PRC LEA#)
6. Project Approval Date	For State Agency Use Only.
7. Approved Budget Amount	The total of your PLANNING ALLOTMENT.
8. Project Period	Enter the fiscal year Beginning Date and Ending Date of the project.
9. Account Classification	Enter Account Description.
10. Account Code	Enter the PRC - See Number 1 above. Enter the appropriate Account Codes to be budgeted. Example Line Item: 3-5200-110-121
11. Approved Budget	Enter the budget for each Account Code on the form.
12. Signatures for LEA's Superintendent or Finance Officer:	An original signature and the date are required.
<b>PAGE 2: APPROVED BUDGET (Continuation page to be used if necessary. See items 9-11 above).</b>	
<b>PAGE 3: SUMMARY OF BUDGETED POSITIONS</b>	
1. Account Code	Enter the eleven digit budget code as outlined in the Uniform Chart of Accounts (Ex. 3-5200-060-121)
2. Number of Positions	Number of personnel to be employed.
3. Position Description:	The Uniform Chart of Accounts description. For Example: Teacher, Supervisor, and Psychologist
4. 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%
5. Number of Months Assigned To Project	Numbers of months positions are assigned to the project. For example: 15 Teacher positions at 100% (10 Months)
6. Budgeted 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.







**Appendix B: BUDGET AND PROGRAMMATIC AMENDMENT FORM**

<b>Grantee Name:</b>		<b>Unit Number:</b>	
<b>Project Director:</b>		<b>Telephone Number:</b>	
<b>E-mail address:</b>		<b>Fax number:</b>	

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.

<p><b>RFP REFERENCE:</b> <i>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.</i></p>
<p><b>APPROVED RFP:</b> <i>State the current language in the most recently approved grant.</i></p>
<p><b>PROPOSED AMENDMENT:</b> <i>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.</i></p>
<p><b>RATIONALE:</b> <i>Provide the rationale for the change to the grant. Please provide background information that will explain why the change(s) are being made.</i></p>
<p><b>IMPLEMENTATION:</b> <i>Discuss how the amendment will be implemented and how it is consistent with the goals and objectives of the grant.</i></p>
<p><b>BUDGET JUSTIFICATION:</b> LEAs and non-LEAs must submit an FPD 209 form. LEAs must not submit the amendment in the BUD system prior to an approval.</p>

<ul style="list-style-type: none"> <li>• 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.</li> <li>• If applicable, provide a detailed/estimation of the cost associated with the amendment.</li> <li>• Describe from which line item(s) funds will be moved in order to accommodate the change.</li> </ul>

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)
_____ (21 <sup>st</sup> CCLC Program Director)	_____ (Date)
_____ (Joint Applicant, if applicable)	_____ (Date)
_____ (Superintendent or CEO)	_____ (Date)

Submit completed form to Sylvia Moore at [smoore@dpi.nc.gov](mailto:smoore@dpi.nc.gov) or by mail to:

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

<b>FOR STATE AGENCY USE ONLY</b>	
Request Status (check one)	<input type="checkbox"/> Approved <input type="checkbox"/> Disapproved
21 <sup>st</sup> CCLC Program Consultant: _____	Date: _____





**Office of the State Controller**  
**Return to: Federal Program Monitoring**  
**Attention: Sylvia Moore**  
**Address: 6351 Mail Service Center**  
**Raleigh, NC 27699-6351**



*Vendor Electronic Payment Form*

Telephone: 919-807-4009

Fax: 919-807-3968

- New Add Request  
 Change Existing ePay Account  
 Unit Number

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.

<b>PRINT the following information.</b>		<b>FAX or E-MAIL ADDRESS for payment notification.</b> (Place a check mark in front of the method that you prefer.)	
Payee Name:		<input type="checkbox"/> E-mail address:	
Federal ID #/SSN #:		<input type="checkbox"/> FAX Number:	
Bank Name:		Authorized Signature:	
Bank Routing Number:		Print Name:	
<input type="checkbox"/> Checking Acct #:		Title:	
<input type="checkbox"/> Savings Acct #:		Date:	
Remit Address(es) For Applicable Acct(s):			

**ATTACH VOIDED CHECK**

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). Check one of the following:

I affirm 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 affirm 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 subject to being transferred to a foreign bank account. I understand that any electronic payments that may be remitted to me may be labeled with "IAT" as the standard entry class. I acknowledge that availability of funds credited to the account will be subject to my receiving financial institution's policies and procedures. I also understand that the remitting agency may elect to remit future payments to me via paper check instead of electronically.

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.

<b>SIGNATURE:</b>	<b>DATE:</b>
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**Appendix D: VOLUNTARY REDUCTION OR TERMINATION OF GRANT AWARD**

Grantee Name		Unit Number		Year of Award	
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A 21<sup>st</sup> Century Community Learning Center (21<sup>st</sup> CCLC) 21<sup>st</sup> grantee 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 21<sup>st</sup> CCLC Funds

	The grantee would like to voluntarily terminate its grant award.
Reason:	

II. Request for reduction of funds and attendance targets.

	The grantee would like to voluntarily reduce the amount of the funds and attendance targets for one or more centers.	
Revised Attendance Targets (for each center if applicable):		
Reason:		

\_\_\_\_\_  
(Printed Name of Grantee Official)

\_\_\_\_\_  
(Signature of Grantee Official)

\_\_\_\_\_  
(Date of Request)

Submit completed requests to Sylvia Moore at [smoore@dpi.nc.gov](mailto:smoore@dpi.nc.gov) or by FAX to 919.807.3968.

## Appendix E: 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 [smoore@dpi.nc.gov](mailto:smoore@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
- Fidelity Bond (non-LEA's only) covering the full annual amount of the grant
- Signed Assurances

Send contact information along with a list of locations of all program sites to DPI Consultant (<http://www.ncpublicschools.org/21cclc/directory/>)

Email any programmatic/fiscal changes to original RFP to DPI consultant for review  
Funding is released when all items are submitted and approved.

### Within 30-60 days - Program Guidelines

Review the 21<sup>st</sup> CCLC Fiscal Guidance and Standards and Procedures Handbook

Implement marketing/advertising program

Establish policies and procedures with dissemination plans

Hire appropriate staff

- Develop job descriptions and salary requirements
- Conduct interviews
- Complete background checks

Train staff on policies and procedures

- Confidentiality requirements
- Emergency/safety procedures
- 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/meet and greets

### Appendix F: Reporting Requirements of N.C. General Statute 143C-6.23



This handout applies to all nongovernmental organizations receiving grants from the State. Grantees must comply with all rules and reporting requirements established by statute or administrative rules.

The applicable prescribed requirements are found in North Carolina General Statute 143C-6-22 & 23 entitled "Use of State Funds by Non-State Entities" and 09 NCAC 03M .0102 -0802, North Carolina Administrative Code.

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:

- Level 1: Less than \$25,000
- Level 2: At least \$25,000 but less than \$500,000
- Level 3: \$500,000 or more

A grantee's reporting threshold may change from year to year. A grantee's reporting date is determined by its fiscal year end and the total funding received directly from all State agencies. For those grantees receiving less than \$500,000, the due date is 6 months from its fiscal year end. For those receiving \$500,000 or more, the due date is 9 months from its fiscal year end. In addition to the reports, grantees receiving \$500,000 or more must submit a yellow book audit in electronic or hard copy to the Office of the State Auditor and to all funding State agencies at the addresses below.

**All annual grantee reports required by GS 143C-6-23 must be completed online at [www.NCGrants.gov](http://www.NCGrants.gov).** The online reporting system will automatically place your organization on the Noncompliance list if your reports have not been completed in [www.NCGrants.gov](http://www.NCGrants.gov) by your required due date.

To access the online grants reporting system go to [www.NCGrants.gov](http://www.NCGrants.gov) and click on the LOGIN tab at the top of the page. You must have a NCID to access the online reporting system. To obtain a user manual or request assistance with the system please go to <https://www.ncgrants.gov/NCGrants/Help.jsp>. You can also email requests for assistance directly to [NCGrants@osbm.nc.gov](mailto:NCGrants@osbm.nc.gov).

Once you have logged in you will see your "Grantee Summary / Data Entry Screen":

Browser name: Safari  
 Browser Test: Passed  
 Grantee Success

IMPORTANT: the oldest "Not Submitted" reports should always be submitted first.

📁 - No Disbursements  
 📁 - Not Submitted  
 📁 - Submitted/Work In Progress  
 📁 - Rejected  
 📁 - Approved

2011 - Level 2					
Agency	Grant	State Grants Compliance Reporting: ≥ \$25,000	Program Activities and Accomplishments Report	Schedule of Receipts and Expenditures	Certification Form
Public Instruction	21st CCLC-35578	📁 Not Submitted	📁 Not Submitted	📁 Not Submitted	📁 Not Submitted

\* For grant-related questions, such as incorrect award amounts, please contact your granting state agency. For technical assistance, [Click here](#) to make requests to NC GRANTS Administrator

- Your summary screen will identify your correct level of reporting, i.e., Level 1, 2 or 3, based on the State grant funds paid to your organization during your fiscal year.
- The summary will show all the grants contained in the [www.NCGrants.gov](http://www.NCGrants.gov) system that have been awarded to your organization. The program will automatically provide links to the reports that correspond to your reporting level, and only those reports, for each grant. Check to make sure that the grant(s) shown in the system correspond with what you show as having received from each agency for your fiscal year.

- If you have questions, need help in resolving any differences between your records and online reporting system or need corrections to be made to the data you enter, send an e-mail to [NCGrants@osbm.nc.gov](mailto:NCGrants@osbm.nc.gov) to request help.

All grantees must file their required reports online at [www.NCGrants.gov](http://www.NCGrants.gov) without exception.

**IMPORTANT NOTE FOR AUDITS**

If you expend more than \$500,000 in Federal grant funds from all sources, then you must have an A-133 single audit performed. If you are at this level for federal reporting and you are required to file a yellow book audit with the State under G.S. 143C-6-23, then you may substitute the A-133 audit for the yellow book audit. Grantees have the ability to directly upload a pdf version of their audit directly into the online system where it will be accessible to both the funding agency/agencies and the Office of the State Auditor.

**Use this chart to determine GS 143C-6.23 reporting requirements.**

<b>Total Funds from All State Agencies</b>	<b>Reports Due</b> Key all reports into online reporting system at <a href="http://www.NCGrants.gov">www.NCGrants.gov</a> , including online submission of the audit.	<b>Reports Due Date</b>
Level 1 \$1 - \$24,999	<ul style="list-style-type: none"> <li>• Certification</li> <li>• State Grants Compliance Reporting Receipt of &lt; \$25,000.</li> </ul>	Within 6 months of entity's fiscal year end
Level 2 \$25,000 - \$499,999	<ul style="list-style-type: none"> <li>• Certification</li> <li>• State Grants Compliance Reporting Receipt of &gt;= \$25,000</li> <li>• Schedule of Receipts and Expenditures</li> <li>• Program Activities and Accomplishments</li> </ul>	Within 6 months of entity's fiscal year end
Level 3 \$500,000 or more	<ul style="list-style-type: none"> <li>• Certification</li> <li>• State Grants Compliance Reporting Receipt of &gt;= \$25,000</li> <li>• Audit [A-133 Single Audit if &gt;= \$500,000 in federal funds or Yellow Book Audit]</li> <li>• Schedule of Federal and State Awards (May be included in the audit)</li> <li>• Program Activities and Accomplishments</li> </ul>	Within 9 months of entity's fiscal year end