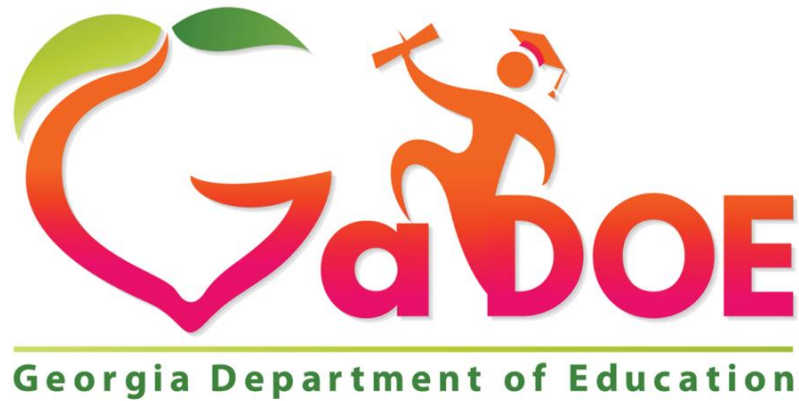


## Office of Federal Programs



**Richard Woods, Georgia's School Superintendent**  
*"Educating Georgia's Future"*

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



## Subgrantee Operations Manual

**2017-2018**

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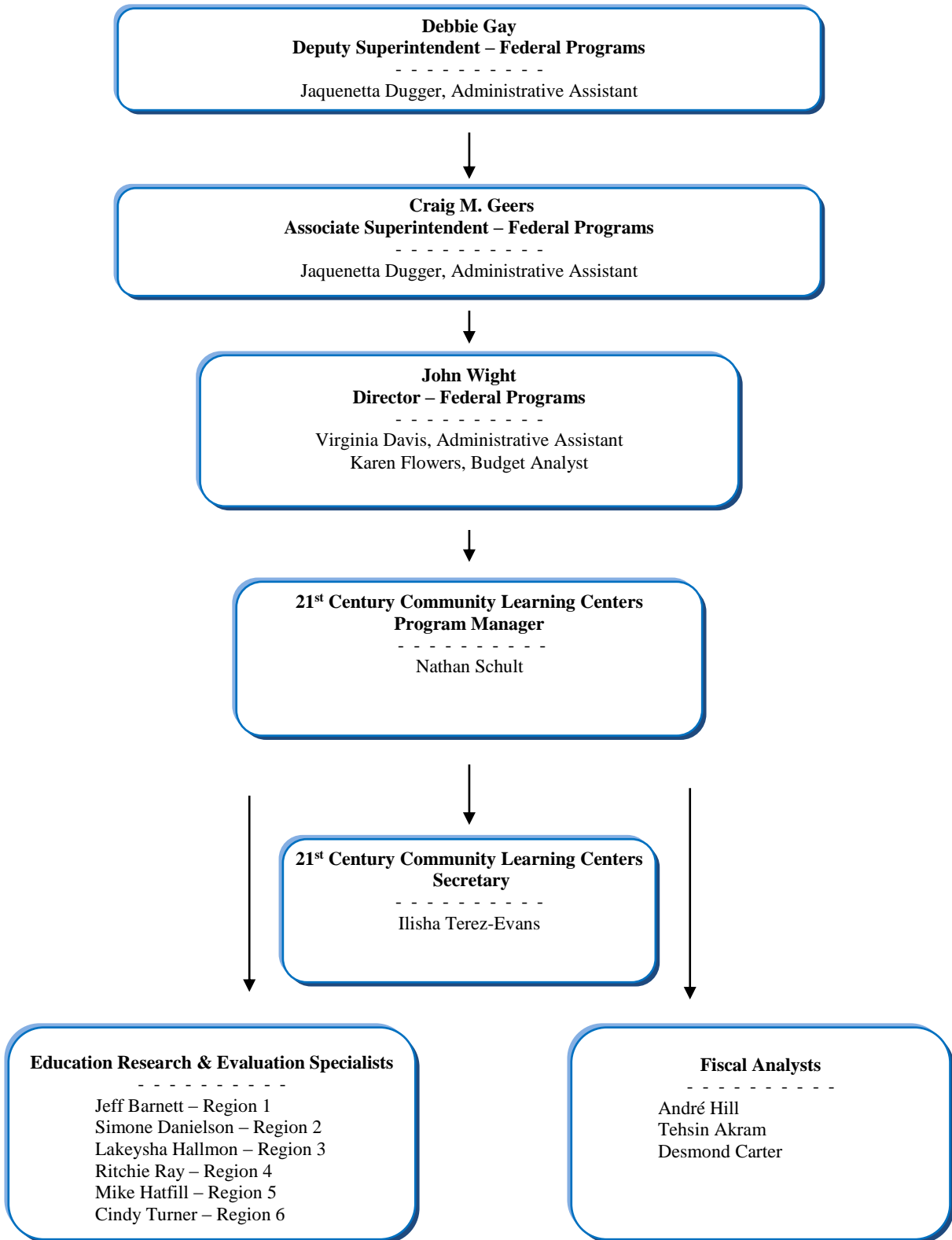
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# I. Organizational Chart



## II. Disclaimer and Original Sources

This manual is provided as a resource for Georgia's 21<sup>st</sup> Century Community Learning Centers (21<sup>st</sup> CCLC) program subgrantees. It is intended to provide uniform practices to ensure fidelity in the implementation of the 21<sup>st</sup> CCLC program. This Operations Manual is reviewed and updated as policies and procedures change and at a minimum, it is reviewed annually. Changes to procedures and policies are also shared with subgrantees during their annual training and are available on the 21<sup>st</sup> CCLC website. Please note that the GaDOE reserves the right to update or change the content of this manual as well as the 21<sup>st</sup> CCLC program or fiscal requirements, policies, and procedures at any time.

The sources listed below are the primary sources for regulations and guidance from the Federal government to state grantees and from state grantees to local subgrantee.

U.S. Department of Education (US ED)

[www.ed.gov](http://www.ed.gov)

Georgia Department of Education 21<sup>st</sup> CCLC

<http://www.doe.k12.ga.us/School-Improvement/Federal-Programs/Pages/21st-Century-Community-Learning-Centers.aspx>

The Elementary and Secondary Education Act (ESEA)

<http://www2.ed.gov/policy/elsec/leg/esea02/index.html>

21<sup>st</sup> Century Community Learning Centers - Legislation

<http://www2.ed.gov/policy/elsec/leg/esea02/pg55.html>

21<sup>st</sup> Century Community Learning Centers - Guidance

<http://www2.ed.gov/programs/21stcclc/legislation.html>

Elementary and Secondary Education Non-Regulatory Policy Guidance

<http://www.ed.gov/policy/elsec/guid/edpicks.jhtml?src=ln>

Education Department General Administrative Regulations (EDGAR)

<http://www2.ed.gov/policy/fund/reg/edgarReg/edgar.html>

General Education Provisions Act (GEPA)

[http://www4.law.cornell.edu/uscode/html/uscode20/usc\\_sup\\_01\\_20\\_10\\_31.html](http://www4.law.cornell.edu/uscode/html/uscode20/usc_sup_01_20_10_31.html)



### III. 21st CCLC Program

The 21<sup>st</sup> Century Community Learning Centers (21<sup>st</sup> CCLC) program supports the creation of community learning centers that provide academic enrichment opportunities during non-school hours for children, particularly students who attend low-income and low-performing schools. Out-of-school time (OST) programs should provide a safe environment for academics, particularly for reading, language arts and math, and enrichment. The focus should be on embedded, real-world learning projects. Teachers and activities should be engaging and fun. Think of the students as the customers. Respect their time. This program is optional, not required, so the activities need to be attractive, as well as effective.

The purpose of the 21<sup>st</sup> CCLC program, as described in federal statute, is to provide opportunities for communities to establish or expand activities that –

- Improve academic achievement
- Offer enrichment activities designed to reinforce and complement the regular school curriculum
- Provide opportunities for families to be actively engaged in their child’s education

We want to improve academic achievement, but we also want to expose students to enrichment opportunities and activities that normally would not be afforded to them. For students who have not been successful in the regular school day, more of the same is not likely to produce success. Out-of-school programs should set students up to succeed. They should provide activities that students will enjoy doing where they can simultaneously learn and master the skills that have been giving them difficulty, and translate this learning into improvement in the regular school day.

Enrichment activities are often real-world activities that require students to apply the skills they have learned during the regular school day. Oftentimes, enrichment activities are multi-disciplinary, whereby the students use academic skills from multiple subject areas. Enrichment activities also broaden students’ experiences by including the arts, dance, recreation, and cultural activities.

21<sup>st</sup> CCLC programs promote the engagement of adult family members of actively participating students through educational and personal development opportunities, particularly in the area of literacy. Effective 21<sup>st</sup> CCLC programs sponsor parent engagement opportunities that are different and more frequent than have been traditionally offered by the regular school day program.



## IV. Georgia's Afterschool & Youth Development Quality Standards

The Georgia Afterschool and Youth Development Quality Standards (ASYD), developed in collaboration with over 70 state and local agencies, work to ensure that Georgia's afterschool and youth development programs provide high quality environments and experiences that will benefit youth academically, emotionally and socially. Georgia's ASYD Quality Standards are informed by research and developed to ensure that each standard and the supporting indicators are evidence-based, reflect current best practice, correlate with positive outcomes for youth and are designed to be applicable to almost any afterschool program, including 21st CCLC.

The Georgia ASYD Quality Standards are organized into nine quality elements that shape the characteristics of a high-quality program.

1. Program and Youth Development
2. Linkages with the School Day
3. Environment and Climate
4. Relationships
5. Health and Well Being
6. Staff and Professional Development
7. Organizational Practices
8. Evaluation and Outcomes
9. Family and Community Partnerships

Georgia's 21<sup>st</sup> CCLC programs are strongly encouraged to utilize the tools and resources to facilitate a process of continual improvement through an examination of what is working well and where to make improvements. The ASYD assessment tool is intended to support a reflective process in which program staff and stakeholders explore their own programs and work collaboratively to develop strategies to enhance policies, procedures and practices. Georgia's 21<sup>st</sup> CCLC programs will utilize the ASYD Standards and tools throughout the year in an ongoing data-driven collaborative decision-making process to identify action steps to improve quality practice where needed. To access the ASYD resources and materials, please visit – <http://georgiaasyd.org/>.

## V. Fidelity to Approved Grant Application

### A. Grant approved by the State Board of Education

Subgrantees receive annual written Grant Award Notification letters from GaDOE regarding the State Board of Education (SBOE) approved funding allocation for the 21<sup>st</sup> CCLC program for each year within the grant award period. The grant period is concurrent with the Federal fiscal year, July 1<sup>st</sup> – September 30<sup>th</sup>, unless otherwise noted and approved by the SBOE.

The Grant Award Notification letters include the award amount approved for the year being funded, either the initial or current year, as well as the annual award assurances, among other information. Grant awards must be **annually accepted/approved** by the

Subgrantee's local Board of Education or Board of Directors, whichever is applicable, after receiving the official SBOE approval (July 20, 2017) and no later than November 31, 2017. Grant Award Notification letters and documented evidence of Board approval (meeting agenda, minutes) must be maintained for monitoring purposes.

The US ED will not permit a subgrantee to change the project's scope, without an amendment approved by the GaDOE, that was originally outlined in the application and scored by the reviewers during the application reader scoring process. This policy is designed to provide basic fairness to applicants for discretionary subgrants.

## **B. Fidelity to Grant Application: Grant Application Components**

The grant proposal your agency wrote is your guide or roadmap for programming and operation. Think of it as a contract. Keep it on hand, and be familiar with it. Share the grant with relevant staff, such as site coordinators, staff, and school administrators. The goals, objectives, and activities table should be understood by everyone involved in the program. Actual activities and programs must align with the proposal's objectives and description.

Programs must operate for the total number of hours and days as described in the approved grant application as well as serve the targeted students and number of students on a daily basis to ensure fidelity to the approved grant application. Failure to operate the 21<sup>st</sup> CCLC program as described in the approved grant application may result in high-risk designation, reduction of funds, termination of grant award or other sanctions.

Each enrolled student must be given the opportunity to attend academic and enrichment activities a minimum of 12 hours each week (occurring preferably between Monday-Friday) in order to provide a quality program that fosters maximum positive impact on students' development and learning. Travel time does not count towards the 12-hour minimum requirement and quality contact time should encompass the entire targeted student population each day (e.g., cannot serve boys on Monday and Wednesday and girls on Tuesday and Thursday).

## **C. 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.

1. Program Plan
  - a. Collection of baseline data or preliminary data
  - b. Usage of needs assessment information to drive program design and implementation
  - c. Communication to all stakeholders of the goals and measurable objectives driving the program
  - d. Planning and scheduling of research-based strategies/activities in the proposed timeframe

- e. Setting of daily, weekly, and monthly schedules indicating where students must be served a minimum of 12 hours per week, outside of transportation
- f. Creation of and maintenance of rosters for attendance in Cayen AS/21
- g. Creation, communication, and documentation of activities and lesson plans
- h. Obtainment of materials and equipment; creation of updated inventories following guidelines as provided by GaDOE 21<sup>st</sup> CCLC program
- i. Correlation of out-of-school activities to Georgia Standards of Excellence (GSE) supporting the students' regular school program
- j. Establishment of and communication of required policies and procedures to staff, parents, students, and stakeholders

## 2. Staffing and Professional Learning

- a. Staffing organization
  - i. Implementation of the program's organizational, managerial, and staffing structure
  - ii. Hiring of appropriate and qualified staff
  - iii. Organizational chart clearly delineating roles and responsibilities of all program staff as well as duties of partnership agencies, as applicable
  - iv. Utilization of and adherence to district/organizational hiring procedures
  - v. Verification of instructional staff's possession of required certifications/qualifications
  - vi. **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.
  - vii. Update staff information and status in Cayen AS/21
  - viii. Compliance with written district or organization plan for evaluating and managing staff performance
- b. Professional learning plan (please see Appendix R for Professional Learning Request Form)
  - i. Written professional learning plan
  - ii. Yearly schedule of professional learning opportunities
  - iii. Agendas for all professional learning opportunities
  - iv. Staff rosters with attendance – sign-in sheets by participants from professional learning opportunities is a requirement for each planned activity
  - v. Collection of evaluations of professional learning activities
- c. Job descriptions of key personnel with required qualifications
  - i. Program directors (see Appendix D)
  - ii. Site coordinators
  - iii. Teachers
  - iv. Data specialist
  - v. Support staff
  - vi. External Evaluator (see Appendix C)
- d. Time and effort records maintained (all completed after the fact)

- i. Daily or weekly completion of timesheets
  - ii. If needed, completion of Personnel Activity Reports (PARs) at least monthly
  - iii. Offering of specific detail as to the type of 21<sup>st</sup> CCLC activity being done
  - iv. Completion of semi-annual certifications, as needed
  - v. Maintenance of proposed staff-to-student ratios per grant application
  - vi. Recruitment of volunteers, including senior citizens
3. Advisory Council and Operating Partnerships
- The focus of the advisory meetings should include, but is not limited to, current or future program needs and/or concerns, program operations, program recommendations, and sustainability. The optimum size is 10 to 15 members, with at least two of those members being parents and at least another two being students participating in the program.
- a. Establishment of advisory council and operating procedures for the council
  - b. Mandatory inclusion of at least two parents and two students as advisory council members, as well as other community partners and stakeholders
  - c. Determination of advisory council meeting dates (minimum of 2 times per year and one meeting each semester) (see Appendix G)
  - d. Keep and file copies of invitations, agendas, sign-in sheets, notifications, from advisory council meetings as documentation for monitoring
  - e. Listing of contributions by partners in Cayen Afterschool 21
4. Communication
- a. Specific program information for target community provided, including parents, regular day teachers/staff, school administration, and non-English speaking parents
  - b. Student/parent handbook (see Appendix E)
  - c. 21<sup>st</sup> CCLC staff handbook (see Appendix F)
  - d. 21<sup>st</sup> CCLC staff communication with parents
  - e. Communication with community and stakeholders
  - f. 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.
  - g. Details/methods of communication in appropriate language(s)
  - h. Documentation of communications (notes, agendas, sign-in sheets, evaluations, notifications, reminders, emails etc.) for each site
  - i. Communication and reports to parents and regular school day teachers on student progress
5. Safety and Transportation
- a. Written safety/emergency preparedness plan specific to each site/program
  - b. 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. Keep a log of drills to include type of drill, date, time, etc.

- c. Availability of emergency contact information for staff and students
  - d. Inclement weather procedures
  - e. Daily drop-off and/or pick-up procedures
  - f. Transportation (policies, length of travel time, maintenance/repair records)
  - g. Facility accessibility and Americans with Disabilities Act (ADA) compliance plan
  - h. Maintenance of an adequately sized facility that is safe for the target population
6. Sustainability Plan
- a. Written sustainability plan that describes how the program will sustain itself once 21<sup>st</sup> CCLC ends
  - a. Begin planning now for continuation after funding ends
  - b. Establishment of partnership investments and associated timeframes
7. Evaluation
- a. Identify external evaluator (see Appendix C for guidance in working with external evaluator)
  - b. Formative evaluations: Measuring student progress toward goals/objectives on a regular basis and submitting formative assessment worksheet on or before the due date of February 1, 2018.
  - c. Communication with stakeholders regarding progress and program results
  - d. Summative evaluation:
    - i. Evaluation report and common data elements worksheet due on or before the due date of June 30, 2018
    - ii. Close out procedures at the conclusion of grant award period
  - e. Summer evaluations are due on or before August 31, 2018, if applicable.

**D. Program and Budget Amendments (see Appendix L)**

Subgrantees will have very limited ability to change the program operating plan and scope of services as originally outlined in their approved grant application. Any changes subsequent to receiving the award will be required to go through a formal program or budget amendment and approval process. Subgrantees must obtain the prior approval of GaDOE via an amendment whenever any of the following actions are anticipated:

1. Revisions of the scope or objectives of the project (regardless of whether there is an associated budget revision). Revisions to the scope of application may include, but not limited to, change in times of operation, facilities or increase target number of students.
2. Changes in key personnel (fiscal agent, superintendent/CEO/executive director, program director, or co-applicant)
3. Obtain the services of a third party to perform activities that are central to the purpose of the award. This approval requirement is in addition to the approval requirement of 2 C.F.R. §§ 200.317-326, but does not apply to the procurement of equipment, supplies, and general support services.

4. A request for prior approval of any budget revision resulting in a 10% variance of a given function code. Unbudgeted expenses, items, change in salary rate, number of personnel, change in nature of expense, responsibility and other significant situations may also require a budget amendment.

#### **E. Record Keeping**

It is essential that subgrantees maintain 21<sup>st</sup> CCLC related documentation and make such documentation available upon request to GaDOE and/or any individual acting on behalf of GaDOE. The GaDOE, or any of its duly authorized representatives, reserves the right to access and to audit or examine any pertinent books, documents, papers, and records of the subgrantee related to the subgrantee's charges and performance under the 21<sup>st</sup> CCLC subgrant. All 21<sup>st</sup> CCLC subgrantees must retain all records pertinent to the Federal award for five years after the award cycle expires. The retention period for the records begins on the day that the sub-grantee submits to GaDOE its final expenditure report, also known as the Completion Report, or on October 31, whichever date is earlier. Please refer to Section XX – Close Out Procedures for detailed instructions. Records must be maintained for five years after the completion of the grant award.

If any litigation, claim, or audit is started before the end of the five-year period, the records shall be retained until all litigation, claim, or audit findings have been resolved and final action taken.

Filing and documentation system for grant program and individual sites should be established. Subgrantees may use a vertical file system or notebooks organized according to the monitoring checklist system. Program and site documentation will be reviewed periodically and will be formally reviewed/monitored once a year.

Please see 2 C.F.R. §§ 200.333-337 for detailed information regarding record keeping, including the storage of electronic documentation discussed in 2 C.F.R. § 200.335.

## VI. Requirements for the First 30 Days of Program Operation

### A. Required training for program leaders

- Subgrantee program managers/directors and fiscal designees must attend the GaDOE Annual Subgrantee Training conducted in July.
- Subgrantee program manager/directors must attend the regional Brown Bag meeting

### B. Budget submission

- The budget is submitted through the Consolidated Application within 30 days of receiving the grant award notice. Deadline is **August 20, 2017**.

### C. Review Federal and state rules and regulations

- Program directors must review the following resources to ensure program and staff compliance:
  - Review your approved grant application
  - The Operations Manual for Subgrantees (Read the Manual; **Email the Signed Operations Manual Acknowledgement, located on the last two pages of this document, to ERES by September 30, 2017**)
  - Yearly calendar of events and deadlines
  - The Georgia Department of Education (GaDOE)'s 21<sup>st</sup> CCLC information (<http://www.gadoe.org/School-Improvement/Federal-Programs/Pages/21st-Century-Community-Learning-Centers.aspx>)
  - Federal government's Non-Regulatory Guidance (on training storage device provided by GaDOE and at <http://www2.ed.gov/programs/21stcclc/legislation.html>.)
  - Education Department General Administrative Regulations (EDGAR)
  - Title IV, Part B of the Every Student Succeeds Act (ESSA) at <https://www.ed.gov/essa>

### D. Parent/student and staff handbooks

- Develop and maintain student/parent and staff handbooks containing all recommended sections and required information. Please see Appendices E and F as well as the FY18 21<sup>st</sup> CCLC monitoring document for more information.

### E. Grant Assurances and GaDOE Conflict of Interest Policy

- Grant Assurances and GaDOE Conflict of Interest Policy are reviewed, signed and submitted. 21<sup>st</sup> CCLC program specific assurances are signed through the GaDOE Consolidated Application (Con App). Subgrantees must attach a signed copy of the Conflict of Interest policy (see Appendix ). Deadline is **August 20, 2017**.

### F. Staffing/hiring

- Staff is hired according to the district/organization's procedures and policies. Document and file evidence of the following:



- Annual national criminal background checks and fingerprints obtained prior to employment or participation in the program, including regular volunteers. Please note annual fingerprints are not needed so long as the program has access to the fingerprints when conducting the annual national criminal background check. It is suggested to check with local school district or sheriff's office for assistance obtaining national criminal background checks.
- Staff, students, and parents are oriented to the program and documentation of the orientations is completed and on file.
- Professional learning plan is developed and written and subsequent scheduled opportunities are shared with staff
- Staff are well informed about their job descriptions, performance expectations, and information regarding their required job performance evaluations
- Staff information entered and updated in Cayen AfterSchool 21

#### **G. Required policies and procedures**

- Required policies and procedures are established, documented and communicated
- Written conflict of interest policy
- Written nepotism policy
- Written procedures for reporting suspected child abuse
- Process for reporting fraud, waste, and abuse (in both student/parent and staff handbook)
- Written procurement procedures
- Written method for conducting technical evaluations of proposals and selecting recipients
- Written cash management procedures
- Written allowability policy
- Written procedures for reporting of sexual harassment
- Complaint procedure (See Appendix K)
- Non-discriminatory expectations (see Assurances in Appendix A)
- Fingerprinting and annual national criminal background checks procedures
- Instructional staff observations, evaluations and subsequent actions
- Confidentiality policy requirements
- Compliance with ADA, IDEA, other Federal regulations/laws

- Attendance policy
- Transportation plan
- Internet and technology usage policy for staff and students
- Emergency/Safety procedures
- Written travel policy
- Program income/revenue, if applicable
- Behavior policy or discipline procedures

**H. Student registration**

- Student registration must be recorded and completed in the data system Cayen AfterSchool 21 **within 30 days** of student enrollment

**I. Program schedule**

- Program begins operation, according to the schedule provided and information contained in the grant application

**J. Record student data**

The following information must be entered into Cayen AfterSchool 21 data system:

- Update users and passwords
- Registration information; student demographic information is completed/updated
- Baseline student achievement data; assessments determined, grading scales determined
- Partners information
- Attendance
- Activities; session times and descriptions
- Objectives
- Rosters are completed
- Staff data
- Site information

**K. Time and effort records**

- Time and Effort and Personnel Activity Reports (PAR) documentation has been established and is monitored by program director/manager (See Salaries/Wages, and Benefits).

**L. Communication of goals and objectives**

- Determine and communicate with 21<sup>st</sup> CCLC staff the program's goals and objectives and professional learning opportunities for the term. Complete Program Amendment if needed. Review progress on goals and objectives on a regular basis.

### **M. On-site Visit**

- Your assigned ERES will schedule an on-site visit to the new subgrantees's sites within 30 days of the start of programming. The ERES will conduct either announced or unannounced site visits for all subgrantees during the first semester. The purpose of the site visit is to ensure program operations adhere to the approved grant application and requirements of the 21<sup>st</sup> CCLC grant program. The site visit also offers a valuable opportunity for the ERES to discuss recommendations, challenges and strategies with subgrantees.

### **N. Collaborate with Regular School Staff**

- Establish important collaboration with students' regular school day staff, particularly with local school principals. Document and maintain collaborative communications by site (for example, emails, phone logs, dated meeting agendas and sign in sheets, and informal conversations).

Effective 21<sup>st</sup> CCLC programs actively collaborate with the schools that the 21<sup>st</sup> CCLC students attend. Ways in which the program can provide links to the regular school day include:

1. Set mutual goals and objectives that support local school improvement plans and increase student achievement
2. Foster communication between students' regular school day staff and out-of-school staff
3. Schedule regular meetings with regular school day staff including administration to review progress and align resources and efforts
4. Promote parent engagement
5. Build relationships with regular school day staff including teachers, counselors, athletic personnel and department heads to strengthen efforts and improve outcomes
6. Recruit students who are in the subgrant's targeted population
7. Work with regular school day staff to increase student achievement and attendance
8. Align extended learning activities to local academic standards and Georgia Standards of Excellence
9. Provide feedback with regard to student performance
10. Share instructional practices
11. Promote access to facilities
12. Provide resources or assistance
13. Share student achievement data

### **O. Consult with Private School Officials**

- Provide meaningful and timely consultation with private school officials. Subgrantees must contact officials of eligible private schools to host an information session and learn about equitable services. Subgrantees must provide adequate notice, at least three weeks prior, of such consultation to ensure meaningful consultation and the likelihood that those involved will be well prepared with the necessary information and data for decision-making. Please refer to Section VIII. Equitable Services for Private School Students.

## VII. Requirements for the First 60 Days of Program Operation

### A. Fidelity Bond and General Liability Insurance Policy (non-LEAs only)

- Non-LEA subgrantees are required to secure a Fidelity Bond listed in favor of GaDOE. The Fidelity Bond must be issued in favor of the Georgia Department of Education (the beneficiary) and to be indicated accordingly on the Bond Declaration page. The Fidelity Bond must be issued in the amount equal to 25 percent of the annual grant award.
- The General Liability Insurance Policy must provide no less than \$1,000,000 of General Liability per occurrence, and show GaDOE as an “Additional Insured” for and as a “Certificate Holder.” If a fiscal agent is awarded more than one subgrant, they must increase the general liability policy by \$250,000 for each additional subgrant awarded with a cap of \$2,000,000 per fiscal agent. A copy of each policy, along with a Certificate of Insurance and the additional insured endorsement must be submitted to the GaDOE within 60 days of receiving the Grant Award Notification. Failure to comply with this deadline may result in the termination of the grant. **Mail or email hard copies of the documents to the GaDOE by September 20, 2017.**

### B. External Evaluator

- Identification and selection of subgrantee’s external evaluator in accordance with organization’s procurement procedures and Federal regulations. Subgrantees should determine the requirement and expectations agreed upon by the external evaluator to ensure that the evaluation needs and requirements of the 21<sup>st</sup> CCLC program are met. (see Appendix C). It is recommended that student progress be reviewed by the external evaluator every grading period (i.e. quarterly, every 9 weeks). Contracts with evaluators should be completed outlining deliverables, timelines, expectations, and due dates. It is recommended to include periodic meetings and routine site visits (i.e. bi-monthly) as part of the contract with external evaluators. Contracts with external evaluators must be limited to an individual fiscal year with renewal options for each subsequent year of the grant term. Since the agreement involves payment, a contract must be used instead of a Memorandum of Understanding.

### C. Advisory Council Meetings

- Schedule and communicate Advisory Council meetings for the year (see Appendix G). Must meet a minimum of twice per year, and once each semester.

### D. Fall Term Grades are Recorded

- First grading period grades are entered into Cayen AfterSchool21 (if the grading period falls within the first 60 days) and student progress is reviewed by leadership, staff, external evaluator, and students. Program improvements, adjustments, or amendments are made, as necessary, to promote student achievement. It is required that grades for all grading periods be entered into Cayen AfterSchool 21.

## **E. Establish Storage Locations and Records Access Protocol**

- It is required that the subgrantee inform the GaDOE program office in writing as to who is the designated custodian of records and where and how the records may be accessed should a current or closed award be subject to an audit, monitoring, or other authorized investigation. **(Email a copy of the Records Retention Form to ERES and FA)**

## **VIII. Equitable Participation of Private School Students**

A public school or other public or private entity that is awarded a subgrant must provide equitable services to eligible private, non-public school students and their families. In designing a program that meets this requirement, subgrantees must provide comparable opportunities for the participation of both private and public school students who reside in the area served by the subgrant.

Subgrantees must conduct timely and meaningful consultation with private and non-public school officials during the design and development of the 21<sup>st</sup> CCLC program on issues such as how the children's needs will be identified and what services will be offered. Services and benefits provided to private school students must be secular, neutral, and non-ideological. Meaningful consultation involves communication and discussions between LEAs and private school officials on key issues that are relevant to the equitable participation of eligible private school students, teachers, and other education personnel in ESSA programs. Meaningful consultation provides a genuine opportunity for all parties to express their views, to have their views seriously considered, and to discuss viable options for ensuring equitable participation of private school students, teachers, and other education personnel. The goal of all parties should be to reach an agreement on how to provide equitable and effective programs for eligible private school children. Adequate notice, at least three weeks prior, of such consultation is critical in ensuring meaningful consultation and the likelihood that those involved will be well prepared with the necessary information and data for decision-making.

The fiscal agency is responsible for planning, designing, and implementing the 21<sup>st</sup> CCLC program and shall not delegate that responsibility to the private school. Through the consultation process, the fiscal agency must design a coordinated program with services that meet the needs of the private school and its students. Regulatory requirements for consultation include eight topics that must be included on the initial agenda and are topics that must be addressed throughout the year.

1. How the eligible private school children's needs will be identified
2. What services will be offered to eligible private school children.
3. How, where and by whom the services will be provided.
4. How the services will be assessed and how the results of the assessment will be used to improve services.
5. The size, scope of the equitable services to be provided to the eligible private school children, teachers and other eligible personnel, the amount of funds available for those services and how that amount is determined.

6. How and when the agency will make decisions about the delivery of services, including a thorough consideration and analysis of the views of the private school officials on the provision of services through third-party providers
7. Whether to provide equitable services to eligible private school participants (1) by creating a pool or pools of funds with all of the funds allocated under programs covered under section 8501(b) or (2) on a school-by-school basis based on each of the proportionate share of funds available to provide service in each school
8. The method, or sources of data used to determine the number of private school children from low income families residing in attendance areas. [ESSA, sec. 8501 (c)]

21st CCLC subgrantee must maintain and provide to the GaDOE written affirmation signed by officials of each participating private schools that the meaningful consultation has occurred. The written affirmation shall provide the option for private school officials to indicate such officials' belief that timely and meaningful consultation has not occurred or that the program design is not equitable with respect to the private school children.

As required by law, the GaDOE has a designated state ombudsman appointed to monitor and enforce the equitable services requirements. The ombudsman also will serve as the primary point of contact for responding to and resolving any complaints regarding equitable services that the SEA receives under its ESEA complaint procedures. The contact information and website for GaDOE's ombudsman is provided below.

Ms. Shaun Owen  
Director of Consolidated Federal Initiatives  
404-971-0096

[sowen@doe.k12.ga.us](mailto:sowen@doe.k12.ga.us)

<http://www.gadoe.org/School-Improvement/Federal-Programs/Pages/State-Ombudsman.aspx>

## IX. Effective Data Collection and Program Evaluation

As required by federal statute, 21<sup>st</sup> CCLC programs must continuously measure the effectiveness of their programs to ensure high quality academic enrichment opportunities and assess the program's progress towards achieving overall student success. The results of these evaluations should be used to refine, improve and strengthen the overall quality of the program. It is especially critical that programs formalize a detailed plan to ensure access to the data necessary to analyze its progress. (e.g. student grades, assessment scores)

All subgrantees must use an external evaluator to conduct the ongoing evaluation of their programs. An external evaluator is an individual, agency, or organization, with **no** vested interest in the 21<sup>st</sup> CCLC program. This requirement refers, but is not limited, to current and former employees of the applicant or co-applicant agency, the original grant application writer(s); family members of employees, participants, and partners; and the applicant's partners. Contracts with external evaluators must be limited to an individual fiscal year with renewal options for each subsequent year of the grant term. **The amount to be paid to the evaluator from grant funds cannot exceed 3% of the annual grant award amount.** If the amount to be paid exceeds 3% of the grant award, the outstanding balance must come from other non-21<sup>st</sup> CCLC sources.

### A. Measurable Goals and Objectives

1. For each goal, the subgrantee must include specific objectives with accompanying performance measures that are quantitative and challenging, yet achievable.
2. Each student-based objective must be performance based and must be able to be continuously measured throughout the year.
3. These measurable objectives will be monitored and continuation funding is likely to be dependent on achieving the objectives as proven by data.
4. All goals and objectives must be shared with partners, regular school staff, out-of-school staff, parents, evaluator, and students and evidence of sharing is documented through agendas and sign in sheets.
5. End-of-the-year results on goals and objectives will be reported in Cayen AfterSchool 21.

### B. Formative Evaluations

Each subgrantee must undergo periodic (formative) evaluations to assess progress toward achieving the proposed objectives and ultimate goal of providing high-quality opportunities for academic enrichment. The formative evaluations should involve both quantitative and qualitative data collection. Each subgrantee must email the completed formative evaluation to the local ERES by February 1, 2018 and be:

1. Used to refine, improve, and strengthen the program (i.e., continuous improvement of the program)
2. Made available to the public upon request

The format for the formative evaluation is provided by the 21<sup>st</sup> CCLC department. The written formative evaluation reports must contain, at minimum, the following elements:

1. *Student Attendance*: Data on average daily attendance and enrollment at each site
2. *Program Operation*: Synopsis of current level of operation at each site



3. *Objective Assessment*: Data analysis and indication of progress towards achieving EACH objective (as required, all objectives must include measures that allow for continuous [formative] assessment)
4. *Recommendations*: Recommendations for programmatic refinement for all objectives where progress is not being achieved or where the program is not likely to achieve the stated objective by the end of the program year

### **C. Cayen AfterSchool 21 Data Entry**

*(Refer to Cayen AfterSchool21's online User's Manual for specific instructions.)*

Cayen Afterschool 21 is the online system utilized by subgrantees to enter and maintain required program data and information that is report to US ED. Subgrantees must enter data in Cayen Afterschool 21 on a regular basis. (See Appendix O). Please see below for a list of some of the requirements:

1. All students must be registered into Cayen AfterSchool 21 at the beginning of the program; set up term calendar.
2. Georgia Testing Identification (GTID) numbers must be entered for all students.
3. Build rosters in Cayen AfterSchool 21.
4. Daily attendance must be taken and recorded in a timely manner. See Appendix O.
5. Grades must be entered for each grading period for English/Language Arts and math (you may enter other subject grades as determined by your program's goals and objectives).
6. Subgrantees are required to distribute teacher surveys and have the option to use Cayen AfterSchool 21 to generate surveys as one tool to assess the effectiveness of the program for their students. The results must be entered into Cayen AfterSchool 21 at the end of the year.
7. Data must be certified by the program director for school year program in accordance with the timeline established by GaDOE. Complete Annual Performance Report (APR) Certification Review Report in Cayen AfterSchool 21.

### **D. Summative Evaluation Requirements**

Each 21<sup>st</sup> CCLC subgrant must submit a summative evaluation report by June 30, 2018. The summative report, which is prepared by the external evaluator, must provide a detailed summary of the program and progress towards meeting each stated objective. Each report must include, at a minimum, the following major sections:

1. Common Data Elements page provided by GaDOE 21<sup>st</sup> CCLC
2. Overview and History  
This section must contain a general overview of the subgrantee's 21<sup>st</sup> CCLC program, including a history of previous operation and how the program has progressed and grown over the past year(s) of operation, if applicable.
3. Student Attendance and Enrollment
  - a. Student enrollment (per site and for the grant as a whole); enrollment must include overall total enrollment and the number and percentage of regular attendees (attending >30 days).
  - b. Average daily attendance (per site)
  - c. Student demographics (e.g., gender, ethnicity)
4. Program Operation  
The summative report must include information on operation for each site within the program (e.g., days, hours, and weeks of operation for each component).

5. **Quality of Staffing**  
The composition of site staff is one method for assessing the quality and breadth of a 21<sup>st</sup> CCLC program. For each site within the program, the summative report must include information about staffing, such as staff demographics, student to staff ratio, staff training and/or professional learning, and utilization of certified teachers.
6. **Objective Assessment**  
Within the grant application, 21<sup>st</sup> CCLC programs propose both objectives and methods of evaluating progress towards achieving the objectives. The summative report must include detailed information for each objective approved by GaDOE (e.g., activities, data collected, timeline, analysis, and results). Programs are not permitted to revise, reword, or otherwise change their objectives without specific written approval from GaDOE in the form of a program amendment.
7. **Other Observations (*Optional*)**  
If appropriate, provide other relevant findings pertaining to the 21<sup>st</sup> CCLC program. Other findings could include qualitative and/or quantitative data not related to specific objectives; quotes or statements from students, parents, or teachers; success stories of students within the program; and photographs demonstrating unique program activities and services.
8. **Progress towards Sustainability**  
The summative report must provide information about the program's partnerships (e.g., partnership development, partner maintenance, and contributions to the program).
9. **Overall Recommendations**  
Provide an overall assessment of the 21<sup>st</sup> CCLC program, as well as any program-wide recommendations to enhance program quality. This is considered to be the most important section of the Summative Evaluation.

The summative evaluation report is required of all 21<sup>st</sup> CCLC programs. This report will be compared to data submitted to GaDOE and the US ED to ensure accuracy of data analyzed and summarized. The 21<sup>st</sup> CCLC program must, upon request, provide GaDOE all data mentioned in the summative evaluation report. GaDOE will review all summative evaluation reports to aid in determination of whether to award discretionary continuation funding in the subsequent years of the grant award. Failure to show adequate progress towards achieving objectives may result in discontinuation of funding or increased monitoring, audit, and evaluation efforts by GaDOE. It is strongly recommended that program directors receive the summative evaluation from the program's external evaluator with adequate time to review the data and the evaluation report and return the report to the external evaluator for edits, if necessary, prior to submitting the final report to the ERES or to GaDOE.

## **E. Summer Evaluation**

The Summer Evaluation Performance Report must be completed by all subgrantees that operate a summer program. The form for the Summer Evaluation is provided by the GaDOE. This report includes a description of the program, services and activities offered to students and families. Subgrantees must also describe how the summer program supported the identified goals and objectives. As part of the report, subgrantees may include any recommendations or revisions for the summer program. The final Summer Evaluation Performance Report must be submitted to the ERES no later than August 31, 2017.

## **X. Family Engagement**

### **A. Parent Engagement Activities**

Over 50 years of research shows that families' active role in a child's education is associated with positive results in student achievement, lower drop-out rates, and students' sense of self-efficacy for learning. Effective partnerships between families, schools and out-of-school programs can have a sustained and systemic effect on learning outcomes for children and overall school improvement. Engaging families requires time and planning in order to support student learning, offer services and classes to families and have families contribute towards program guidance and sustainability. Plan early, develop a calendar of activities and communicate with parents regarding opportunities such as financial planning, parenting skills, computer literacy, art night, game night, reading night, college planning night, etc.

To help build capacity in parents to support their child's education, subgrantees must offer families opportunities to be actively engaged in their child's education. Specific activities may encourage or enhance literacy in the home to better assist 21<sup>st</sup> CCLC students.

When developing family engagement plans and services for families, consider some of the following strategies and efforts to plan and reflect on family engagement efforts.

1. Develop consistent communication with families in order to exchange information about their child's interests and needs at home and school and during out-of-school time.
2. Increase understanding of program expectations, opportunities and resources available to parents through the school system.
3. Identify and develop needed resource materials such as strategy tip sheets, communication logs and action plans for program use.
4. Use program's connections with other community organizations to support families and offer referrals to appropriate services when needed.
5. Offer professional development for staff on the importance of working with families and developing skills and strategies to communicate and build partnerships with families.

### **B. Documentation**

Family engagement initiatives and efforts must be documented to describe the services offered as well as evaluate the family engagement practices that serve to strengthen the program's connections with families.

1. Keep a record of all meetings with parents.
  2. List the purpose of each parent/family engagement activity.
  3. Always have an agenda that includes the program name and 21<sup>st</sup> CCLC logo.
    - a. Title
    - b. Date
    - c. Time
    - d. Sign-in sheet for all attendees
- ❖ If hosting a joint event with the school, the program may add an extra column to allow the parents to check off if their child is in 21<sup>st</sup> CCLC. There is no need to have a separate sign-in sheet for 21<sup>st</sup> CCLC.

## **XI. Financial Management Principles**

### **A. Fiscal Requirements**

It is important to note that this is a **reimbursement-only** grant; therefore, subgrantees must initially expend their own funds prior to receiving reimbursement from GaDOE. As part of the reimbursement request process, the GaDOE may periodically require supplemental documentation to verify funds have actually been expended prior to approving reimbursement. In addition, various issues and factors can cause delays in the reimbursement or budget approval process. Therefore, it is required that all subgrantees have the operating capital to sustain full program operations for a minimum of three months, if needed. If requested, this must be demonstrated by an extended, documented history of having a cash or cash equivalent balance higher than the necessary three months of working capital. GaDOE will not reimburse funded subgrantees for expenditures that are not allowable under the 21<sup>st</sup> CCLC program. GaDOE will reserve the right to not reimburse expenditures that are not in the approved budget.

The Invoice Application (Invoice App) and the Consolidated Application (Con App) portal both of which fall under the Georgia Online Reporting System (GAORS), are the required reporting and accounting systems designated by GaDOE to help ensure uniform, standard, and accurate reporting of fiscal data on the use of funds. Subgrantees will provide financial information through these systems and also meet various standards in documentation, procedures, and reporting.

### **B. Responsibilities of a Fiscal Agent**

The following are some of the expectations, roles, and responsibilities of a fiscal agent:

1. Administer the grant from Grant Award Notification to closeout in accordance with all applicable laws and regulations.
2. Serve as the organizational representative and point of contact for all business management aspects of the award agreement.
3. Apply appropriate management controls using management systems, checklists, and records.
  - a. Internal Controls (see 2 C.F.R. §§ 200.61-62, as well as 2 C.F.R. § 200.302(b)(4) for more information)
    - i. To ensure effective and efficient operations
    - ii. To ensure reliability of financial reporting
    - iii. To ensure compliance with applicable federal, state, and local laws and regulations
    - iv. To deter fraud, waste, and abuse
  - b. Operating Controls
    - i. Fiscal Procedures Manual, Budgetary Control System
  - c. Accounting Controls
    - i. Implement controls to ensure reliability of recorded financial data.
    - ii. Maintain appropriate level of transaction review and authorization.
    - iii. Develop and implement proper procurement procedures and cash management procedures that are well defined. Please note that, per 2 C.F.R. § 200.302(b)(6), every agency must have cash management procedures, even if they do not handle cash.

- iv. Develop procedures that facilitate timely review and audit of financial activity.
  - v. Maintain segregation of duties by separating incompatible duties and responsibilities.
- d. Compliance Controls
- i. Develop mechanisms to monitor and review compliance with grant terms (e.g., ensure grant funds are disbursed only to eligible recipients).
  - ii. Ensure that all expenditures and disbursements are consistent with the objectives of the grant award and comply with applicable Federal, state and local laws and regulations governing the program and use of funds.
- e. Subgrantee Monitoring
- i. Inform subgrantees of grant requirements.
  - ii. Conduct periodic reviews to ensure that subgrantee has satisfied all Federal grant reporting and recordkeeping requirements, including program performance; monitor internal operating and accounting control systems.
- f. Document Control System
- i. Develop written policies and procedures to ensure adequate internal operating and accounting controls that demonstrate evidence of controls related to grant compliance.
4. Assemble appropriate staff resources and communicate all compliance requirements and resources of the grant. Consider adding this information to the staff handbook.
5. Keep abreast of changes in policies, procedures, or requirements and continue to advise program staff of grant requirements. Please note GaDOE reserves the right to change any program or fiscal requirement at any time. The fiscal agent is responsible for ensuring these changes are properly communicated to its stakeholders.
6. Request grant reimbursements in a timely fashion to minimize account balances.
- a. Eligibility of Expenditures
- i. Adhere to the list of eligible activities for which funds under the program may be spent, as well as allowable cost objectives and applicable cost principles.
  - ii. Ensure that transactions are made in a reasonable and prudent manner, are allowable, allocable, and avoid double charging and ensure that credits are applied appropriately.
7. Prepare necessary reports
- a. Source Documentation
- i. Appropriately support transactions entered into the subgrantee's system.
  - ii. Documentation tracks each grant transaction and supports the validity of financial data reported.
- b. Audit Trail
- i. The lowest level of detail the system should provide is documentation that supports all transactions (e.g., invoices, contracts, purchase orders).
  - ii. The overall recordkeeping system should be able to trace financial statement balances through the subgrantee's general ledger, cash books, and other journals.
  - iii. Amounts claimed on financial statements and reports accurately reflect the accounting books and records from that which they were prepared.
  - iv. 21st CCLC accounting information will need to be tracked separately for each grant through appropriate measures such as separate sub-ledger for each grant for each fiscal year.
  - v. Subgrantees will need to keep accounting data reconciled.

8. Maximize site visits by GaDOE to enhance program, show organizational strength, and demonstrate commitment to the project.
9. Keep GaDOE and the public aware and informed about grant project progress.
10. Evaluate the extent to which measurable project objectives are being met.
11. Liquidate all obligations incurred under the award within the set deadline. Please see 34 C.F.R § 76-707 for more information regarding obligation deadlines.
12. Ensure and oversee the performance of final audits and resolution of findings.
13. Establish an adequate system for records retention.

### C. Use of Funds

Section 4205 of Title IV, Part B provides that a subgrantee must use 21st CCLC funds for projects designed to provide supplemental services to meet the needs of children from low-income and low-performing schools. Each subgrantee must use the funds to carry out a broad array of activities as described in the approved grant application. 21st CCLC funds must be used only to pay for authorized activities to meet the needs of participating students and their families during the current fiscal year.

Subgrantees are strongly encouraged to follow their approved budget to ensure that they spend their entire allocation for the fiscal year and ensure that the purchases are done in a timely manner. **Large purchases made near the end of the program year (e.g. May), where participants are likely to receive very little to no benefit during the current fiscal year, are likely to be denied by GaDOE.** Subgrantees are strongly encouraged to make large purchases at the beginning of the fiscal year to ensure participants receive the full benefit during the program year. Subgrantees should carefully consider the factors above and then consult GaDOE staff, if necessary, prior to making these purchases.

These basic guidelines should be followed when determining the allowability of charges to a Federal grant. Please note that, per 2 C.F.R. § 200.302(b)(7), every agency must have written procedures for determining the allowability of costs in accordance with Subpart E – Cost Principles. The written allowability procedures must include the following eight elements and address how the agency determines each of these elements.

To be allowable under the 21<sup>st</sup> CCLC program, costs must meet the following general criteria (see 2 C.F.R. § 200.403):

1. Be necessary and reasonable for the performance of the Federal award and be allocable thereto under these principles. Please see 2 C.F.R § 200.404 for more information about Reasonable costs and 2 C.F.R § 200.405 for more information about Allocable costs.
2. Conform to any limitations or exclusions set forth in these principles or in the Federal award as to types or amount of cost items
3. Be consistent with policies and procedures that apply uniformly to both federally-financed -and other activities of the non-Federal entity
4. Be accorded consistent treatment. A cost may not be assigned to a direct cost if any other cost incurred for the same purposes in like circumstances has been allocated to the Federal award as an indirect cost
5. Be in accordance with generally accepted accounting principles (GAAP), except, for state and local governments and Indian tribes only, as otherwise provided for in this part

6. Not be included as a cost or used to meet a cost sharing or matching requirement of any other federally-financed program in either the current or a prior period. See also § 200.306 Cost sharing or matching paragraph (b).
7. Be adequately documented. See also 2 C.F.R § 200.300 Statutory and national policy requirements through 2 C.F.R § 200.309 Period of performance of this part.
8. Be net of applicable credits. See also 2 C.F.R. § 200.406 Applicable credits.

Funded applicants must attend mandatory trainings on budget and operational requirements as related to the Educational Department General Administrative Regulations (EDGAR) and the U.S. Office of Management and Budget (OMB).

Subgrantees should be aware that new 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, local, or non-Federal funds available to support activities allowable under the 21<sup>st</sup> CCLC program.

#### **D. Allowable Costs**

1. Salaries and fringe benefits
2. Professional learning and training (must submit Professional Learning Request Form prior to implementation of training- see Appendix R)
3. Approved 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, career awareness, support the program goals and objectives. Field trips for entertainment purposes are not allowable.)
4. Consultants, subcontractors, and evaluators
5. Classroom materials and supplies (must submit Technology Request Form for technology items).
6. Remedial education activities and academic enrichment learning programs, including providing additional assistance to students to allow the students to improve their academic achievement
7. Well-rounded education activities
8. Literacy education programs, including financial literacy and environmental literacy programs
9. Programs that support healthy and active lifestyle
10. Cultural programs
11. Programs that build skills in science, technology engineering and mathematics (STEM)
12. Programs that build skills in college and career readiness
13. Arts and music education activities
14. Tutoring services (including those provided by senior citizen volunteers) and mentoring programs
15. Programs that provide out-of-school activities for limited English proficient students that emphasize language skills and academic achievement
16. Recreational activities
17. Telecommunications and technology education programs
18. Expanded library service hours
19. Parent skills programs that promote parental involvement and family literacy
20. Programs that provide assistance to students who have been truant, suspended, or expelled to allow these students to improve their academic achievement

21. Drug and violence prevention programs, counseling programs, and character education programs

2 C.F.R. §§ 200.420-475 lists general allowability for selected items of costs. Section 4205 (a) of Title IV, Part B provides a list of authorized activities that subgrantees may carry out to advance academic achievement. In addition to our GaDOE staff, please refer to these sections when determining whether or not a particular cost is allowable.

#### **E. Unallowable Costs**

1. District-level expenses not directly or clearly related to the program
2. Costs to develop, prepare, or write the 21<sup>st</sup> CCLC proposal cannot be charged to the grant directly or indirectly by either the agency or contractor without prior US ED approval.
3. Pre-award costs
4. Field trips without a prior approval and reimbursement of field trip tickets purchased in advance for those who do not attend. The GaDOE will only reimburse up to 110% of the actual attendance cost and not necessarily the full cost of pre-purchased tickets for field trips. Please see Appendix Q for the Field Trip Approval form. This form must be completed and submitted to local ERES and FA no later than two weeks prior to going on a field trip.
5. End-of-year celebrations or food associated with parties or socials are non-allowable expenditures. The GaDOE does permit a \$3.50 per attendee allowance for snacks associated with parent literacy/involvement activities.
6. Unapproved out-of-state or overnight field trips, including retreats, lock-ins, etc. Field trips must occur outside of regularly occurring school time.
7. Incentives (e.g., plaques, trophies, stickers, certificates, t-shirts- unless approved and purchased for safety reasons for field trips, give-a-ways). T-shirts purchased for safety reasons must have the 21<sup>st</sup> CCLC name or logo on it.
8. Advertisements, promotional, or marketing items
9. Decorative items
10. Purchase of facilities or vehicles (e.g., buses, vans, cars) or land acquisition
11. Capital improvements, permanent renovations
12. Supplanting Federal, state, local, or non-Federal funds (e.g., using grant dollars to fund summer school classes previously offered and paid for by district or other funds)
13. Direct charges for items or services that the indirect cost rate covers
14. Dues to organizations, federations, or societies for personal benefits
15. Any costs not allowable for Federal programs per 2 C.F.R. §§ 200.420-475

NOTE: **This is not an all-inclusive list of allowable and un-allowable expenses.** If you have questions about whether or not an expense is allowable or unallowable, please contact your assigned Fiscal Analyst, consult EDGAR, or email questions to your ERES prior to incurring the expense.

#### **F. Internal Financial Controls**

Internal financial controls are established processes and procedures that help program staff and financial managers achieve the results of the program and safeguard the integrity of their program. Effective internal controls over financial reporting provide reasonable assurance that misstatements, losses, or noncompliance with applicable laws and regulations would be prevented or detected. The main objectives of an agency's internal controls are to:



1. Ensure the effectiveness and efficiency of operations
2. Ensure reliability of financial reporting
3. Comply with applicable laws and regulations
4. Safeguard assets to ensure that they are used solely for authorized purposes

An important aspect of internal control entails program staff receiving updated guidance from local- and state-level personnel on statutory, regulatory, and programmatic requirements. Communication between program staff and financial staff is another important aspect of effective internal controls. In addition, internal control requires monitoring of program effectiveness in the form of periodic reviews, program assessments, and reconciliations/comparisons of data (please see 2 C.F.A. § 200.430(i)(1)(viii)(C) for more information regarding reconciliations).

#### **G. Salaries, Wages, and Benefits**

(Please see 2 C.F.A. § 200.430, 29 U.S.C.A. § 207(g)(2) and Appendix S for more information)

##### **1. Employee Compensation**

Compensation for personnel services is allowable as long as the salaries and wages are reasonable (consistent with the amounts paid for similar work in the geographical area of the program) and reflect an accurate amount of time the employee works for the program.

The 21<sup>st</sup> Century Community Learning Centers program is designed to operate during out-of-school hours and complement and reinforce the academic program of the participating students. Services are to be provided outside of the regular school day or during periods when school is not in session. Therefore, we do not consider the program a continuation of the educator's (e.g. teacher or paraprofessional) or other support personnel's regular day. Since it is separate, and not a continuation of the regular day, overtime should only be charged to the program for staff working more than 40 hours in the 21<sup>st</sup> CCLC program during the defined work week.

An employee's compensation charged to the 21<sup>st</sup> CCLC grant must be supported by auditable documentation that meets the standards of 2 CFR Part 200.430. Such documentation includes payroll records in accordance with the practice of the agency.

Non-exempt staff should be compensated using the Rate-in-Effect method for hours worked in the program. See 29 U.S.C.A. § 207(g)(2). This is an allowable method under the Fair Labor Standard Act and follows the U.S. Department of Education's suggestion of paying a flat rate or stipend.

The Rate-in-Effect method is designed for:

- Employees working multiple jobs at the same establishment involving different kinds of work;
- Employees who have agreed to be paid different rates of pay for each of the jobs; and
- Employees who have a written agreement regarding the rate-in-effect payment before the work in the job is performed.

The percentage of costs of an employee's salaries and wages charged to the 21<sup>st</sup> CCLC grant award may not exceed the percentage of time the employee actually worked on the allowable activities associated with the 21<sup>st</sup> CCLC grant. EDGAR requires written and certified, after-the fact documentation of how each employee spent his/her compensated time.

The program director or any other individual serving in an administrative role shall not be an existing superintendent, principal, transportation director, CEO, or CFO whose salary will be reclassified to conduct 21<sup>st</sup> CCLC program activities. All salaries and wages must be consistent with the policies and procedures of the applicant agencies. All salaries and hourly wages must be consistent with the demographic areas of the proposed project. Please note that salaries of administrative and clerical staff should be treated as indirect costs, unless all of the following conditions are met (see 2 C.F.R. § 200.413(c)(1-4)):

1. Administrative or clerical services are integral to a project or activity
2. Individuals involved can be specifically identified with the project or activity
3. Such costs are explicitly included in the budget or have prior written approval of the awarding agency, AND
4. The costs are not also recovered as indirect costs.

2. Employee Benefits

Fringe benefits paid to 21<sup>st</sup> CCLC employees are also allowable to the extent that the benefits are reasonable and are required by law, governmental unit-employee agreements, or an established policy of the agency. Fringe benefits may be charged to the grant in an amount equal to the amount of time an employee works for the project. Severance pay and terminal leave are also allowable charges to the grant and are usually charged as indirect costs. Salaries, fringe benefits, and other employment costs for employees who have responsibilities related to more than one Federal program (or cost objective) must be charged according to the amount of time and effort the employee devoted to each Federal program and must be supported by appropriate time distribution records.

3. Personal Activity Report (PAR) Documentation (See Appendix S)

The term "cost objective" is defined in 2 C.F.R. § 200.28 and means, for 21<sup>st</sup> CCLC purposes, a single program function or award. The 21<sup>st</sup> CCLC program is considered a cost objective. 2 C.F.R. § 200.430(i) provides guidance regarding standards for documentation of personnel expenses. The requirement for maintaining time distribution records are in addition to those for payroll documentation. If an employee works solely on a 21<sup>st</sup> CCLC program (which is a single cost objective), then a semi-annual certification needs to be completed to document the employee's work on the 21<sup>st</sup> CCLC program. A semi-annual certification certifies that the employee has worked 100 percent of his/her time on the 21<sup>st</sup> CCLC program and specifies the time period worked. These certifications need to be prepared at least semi-annually, (i.e., cover a six-month period) and need to be signed after the identified time period has ended by the employee or by the employee's supervisor who has firsthand knowledge of the work performed by the employee.

For employees who work on the 21<sup>st</sup> CCLC program and some other program or activity (including an additional 21<sup>st</sup> CCLC program) or who work for a non-LEA, a Personnel Activity Report (PAR) or equivalent is required. The Federal government requires a

PAR for employees who work on multiple cost objectives, multiple 21<sup>st</sup> CCLC subgrants, or have multiple job functions within the same subgrant.

- a. Employee assignments and/or objectives requiring a PAR
  - a. More than one Federal award, including multiple 21<sup>st</sup> CCLC awards
  - b. A Federal award and a non-Federal award
  - c. An indirect activity and a direct cost activity
  - d. Two or more indirect activities which are allocated using different allocation bases
  - e. An unallowable activity and a direct or indirect cost activity
- b. Requirements a PAR must follow
  - a. Reflect an after-the-fact distribution of the actual activity of each employee
  - b. Account for the total activity for which each employee is compensated
  - c. Be prepared at least monthly and must coincide with one or more pay periods
  - d. Be signed by the employee and his/her supervisor

#### 4. Budget Estimates

A PAR must reflect an after-the-fact distribution. Budget estimates or other distribution percentages determined before the services are performed do not qualify as support for charges to the 21<sup>st</sup> CCLC program, but may be used for interim accounting purposes, provided that:

- a. The estimates produce reasonable approximations of the activity actually performed
- b. At least quarterly comparisons of actual costs to budgeted distributions based on the monthly activity reports are made. Costs charged to the 21<sup>st</sup> CCLC program to reflect adjustments made as a result of the activity actually performed may be recorded annually if the quarterly comparisons show the differences between budgeted and actual costs are less than ten percent
- c. The budget estimates or other distribution percentages are revised at least quarterly, if necessary, to reflect changed circumstances

The type of agency awarded a 21<sup>st</sup> CCLC grant determines whether the documentation of an employee's time spent on a Federal program can be satisfied by a semi-annual certification, by a personnel activity report (PAR), or other form of documentation.

## **H. Fees and Program Income**

Subgrantees planning to implement a fee-based system or generate program income must submit to GaDOE the Program Income Fee Request Form to receive written approval every year from the 21<sup>st</sup> CCLC program office. The form must be submitted prior to implementing a fee-based system and ensure that the subgrantee will comply with the conditions of the award and with applicable statutes, regulations, and policies of the 21<sup>st</sup> CCLC program. The GaDOE program office will review the request and determine if the fee is reasonable, necessary and allowable for the purpose of the 21<sup>st</sup> CCLC program. The GaDOE reserves the right to disallow the proposed fees and request additional information to aid in reviewing the request.

It is important to note that programs must be equally accessible to all students targeted for services, regardless of their ability to pay. Programs that charge fees may not prohibit any

family from participating due to its financial situation. The priority of the program is to serve students who attend low-income and low-performing schools; therefore, families could be compromised through program fees.

Programs that opt to charge fees must offer a sliding scale of fees and scholarships for those who cannot afford the program. Income collected from fees must be used to fund direct, 21<sup>st</sup> CCLC allowable program activities specified in the approved grant application.

The subgrantee must maintain adequate and detailed documentation on how the fees were spent for the 21<sup>st</sup> CCLC program. Following approval of the request, the subgrantee must submit written evidence each month to the Fiscal Analyst (FA) documenting the fees collected and tracking expenditures directly paid with the generated income.

In addition, program income received by non-LEAs and LEAs must be deducted from the total allowable costs to determine the net allowable costs. Please see 2 C.F.R. § 200.307 (e)(1). Program income must be utilized during the same fiscal year that it is collected. Please note this does not apply to IHEs and for further guidance please refer to 2 C.F.R. § 200.307(e)(2).

## **I. Supplement, Not Supplant**

The supplement, not supplant provision requires that Federal funds be used to augment the regular educational program, and not to substitute for funds or services that would otherwise be provided during the time period in question. 21<sup>st</sup> CCLC funds awarded to local grantees must be used only to supplement the level of Federal, State, local and other non-Federal funds and not to replace funds that would have been available to conduct activities if 21<sup>st</sup> CCLC funds had not been available.

The following are sample situations in which supplanting is presumed to have occurred:

1. The subgrantee used Federal funds to provide services that the subgrantee was required to make available under other Federal, state, or local laws.
2. The subgrantee used Federal funds to provide services that the subgrantee provided with non-Federal funds in the prior years.
3. The subgrantee used 21<sup>st</sup> CCLC funds to provide services for participating children that the subgrantee provided with non-Federal funds for non-participating children.

Subgrantees are also strongly encouraged to be cautious with regards to co-mingling of funds (e.g., operating the same program with both Department of Human Services and 21<sup>st</sup> CCLC funding). While this is allowable and can help create an effective program, subgrantees must ensure the costs are properly allocated to each funding source. To help ensure compliance, subgrantees are encouraged to consult with GaDOE staff prior to co-mingling multiple sources of funding.

## **J. Indirect Costs for Subgrantees**

(see 2 C.F.R. §§ 76.560-580)

Indirect costs differ from direct costs because direct costs can be identified specifically with a particular cost objective, and may be charged directly to a particular project. Indirect costs are those that:

1. Have been incurred in the course of pursuing a common or joint purpose that benefits more than one cost objective

2. Are not readily assignable to those cost objectives without an effort that is disproportionate to the benefits of doing so

GaDOE utilizes the US ED approved negotiated indirect cost proposals. School districts are required to develop an indirect cost proposal and, if they fail to do so, they will not be allowed to recover any indirect costs. Amounts from zero to the maximum negotiated rate may be approved for a program or project by GaDOE.

#### **K. Procurement of Contractual Services**

Procurement of contractual services refers to the process and instrument used by the subgrantee to purchase materials or services through a vendor or contractor. All subgrantees must establish procurement procedures that reflect applicable state and local laws and regulations, provided that the procurements conform to all applicable Federal laws and standards such as those identified in 2 C.F.R. §§ 200.317-326. Additional regulations and requirements may need to be implemented before finalizing procurement, such as establishing and following the subgrantee's written method for conducting technical evaluations of proposals and selecting recipients. Subgrantees are required to administer contracts in a manner that ensures the contractor performs in accordance with the terms, conditions, and specifications of the contract or purchase order. Appendix II to Part 200-Contract Provisions for non-Federal Entity Contracts Under Federal Awards provides the required contract provisions subgrantees must incorporate in each contract (see 2 C.F.R. § 200.326). It is recommended that the contract period occurs within GaDOE's current fiscal year and limited to one year term. Please note full time employees of an organization (e.g. school day teacher within a school district) may not contract with that same organization during the afterschool program. Full time certified employees must be treated as employees during the afterschool program.

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. It is recommended that contracts do not span multiple fiscal years and contract/subscription amounts should be prorated by the fiscal year.

In accordance with Appendix II(H) of 2 C.F.R. Part 200, applicants are required to certify that the contractors are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal or state department or agency. Prior to contracting with vendors and their principals, subgrantees must determine if certification of debarment and suspension is required for the contractual services in question. If certification is a requirement, the subgrantee must verify that the vendors and their principals are not suspended, debarred, or otherwise excluded from receiving Federal funds. Subgrantees must develop written procedures to ensure this process.

This verification may be accomplished through the Excluded Parties List System (EPLS) maintained by the U.S. General Services Administration (GSA) and one or both of the following: collecting a certification from the vendor or adding a clause or condition to the contract with the vendor. Subgrantees must access the State of Georgia Suspended and Debarred Suppliers list at <http://doas.ga.gov/state-purchasing/law-administrative-rules-and-policies/state-suspended-and-debarred-suppliers> and the Federal SAM at [www.sam.gov](http://www.sam.gov)

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.

2 C.F.R. § 200.318(c)(1-2), as well as § 200.112 detail the conflict of interest requirements for all subgrantees. All subgrantees are required to establish conflict of interest policies and disclose in writing any potential conflict to GaDOE.

#### **L. Memorandums of Understanding (MOU) or Memorandums of Agreement (MOA)**

MOUs and MOAs can be binding, non-binding or partly binding, depending on the intention of the parties and the drafting of the agreement. A MOA or MOU can be used, as appropriate, to define agreed upon terms, responsibilities and conditions of partnerships between agencies. However, whenever 21<sup>st</sup> CCLC funds are expended (i.e., external evaluator), a contract should be used instead of a MOU or MOA. Additionally, MOAs and MOUs should include a provision that will terminate the MOU or MOA if the grant is terminated prior to the expiration date of the MOU or MOA.

#### **M. Reporting Fraud, Waste, and Abuse**

Anyone suspecting fraud, waste, or abuse involving 21<sup>st</sup> CCLC funds or programs must follow their internal policies and procedures for reporting fraud, waste, or abuse. Persons suspecting fraud, waste, or abuse may also utilize the Complaint process as a method of reporting concerns (see Appendix J). Subgrantees must communicate this policy to their internal and external stakeholders through their student/parent and staff handbooks. Required documentation must be maintained as evidence of dissemination.

## **XII. Grant Fund Management**

2 C.F.R. § 200.302(b) details the financial management requirements for all subgrants. Please carefully review this section to ensure the financial management system of your organization is sufficient.

### **A. Budget and Reimbursement Approval Process**

The 21<sup>st</sup> CCLC Fiscal Analysts receive, review, and approve all original budgets, amended budgets, and reimbursement requests.

### **B. Original Budget Approval Process**

1. For potential new subgrantees, the comprehensive review of the original first year budget occurs in the spring after successful initial reader scoring of the application and prior to SBOE approval of the new subgrant awards.
2. For existing subgrantees, the comprehensive review of continuation year original budgets occurs in the summer after successful initial review of the evaluation report performance data from the previous year, and prior to SBOE approval of the subgrant continuation award.

All budgets must meet the following three requirements:

1. A maximum of 10% of each year's budget can be allocated for activities related to the administration of the 21st CCLC subgrant. Administrative expenses (function codes 2230, 2300 and 2500) should be within 10% of your annual budget; however, indirect cost rates, audit, fidelity bond, and national criminal background checks are not considered administrative expenses for this calculation;
2. A maximum 3% of each year's budget can be allocated for the external evaluator (function code 2900/300); and
3. At least 65% of each year's budget must be allocated to instruction and pupil services (function codes 1000 and 2100).

Upon SBOE approval, subgrantees will receive access and be able to submit their budgets through the Consolidated Application portal. The subgrantees will submit a budget through the Consolidated Application portal within 30 days of Grant Award Notification.

Procedures in the Consolidated Application:

1. The designated superintendent will complete the Prayer Certification and sign-off.
2. The designated superintendent will review the 21<sup>st</sup> CCLC Grant Program Assurances and sign-off
3. The designated coordinator will upload and attach the completed and signed Conflict of Interest Policy
4. The designated coordinator will input the budget information and sign-off.
5. The designated superintendent will review, approve, and sign-off.
6. The Fiscal Analyst will receive an email notification from the Consolidated Application of the budget submitted by subgrantee.
7. The Fiscal Analyst will review all budget submittals for approval.

8. Upon budget approval in the Consolidated Application, the subgrantee will receive an email notification. Please note that due to IT issues, the email notification system may not be functional at all times. It is the subgrantee's responsibility to submit and review all budgets and reimbursements in a timely manner, regardless of email functionality.
9. If the budget is rejected in Consolidated Application, the subgrantee will receive an email notification, as well as a Budget Checklist document by email from the Fiscal Analyst. It is the subgrantee's responsibility to correct and re-submit the budget in the Consolidated Application within 10 business days.

### **C. Budget Amendment Approval Process**

1. Subgrantees may submit amended budgets throughout the fiscal year, as needed. Subgrantees should not implement changes until receipt of approved budget amendment from GaDOE. However, all budget amendments must be submitted in approvable form no later than May 15<sup>th</sup> of each fiscal year.
2. The subgrantee is required to submit a budget amendment in the following instances:
  - a. To allocate carryover funds from the prior year
  - b. When there is a 10 percent +/- variance within a function code  
**Note:** Please keep in mind that even if a deviation from the approved budget does not require a budget amendment (because the deviation does not cause more than 10% increase at the function code level), depending on the nature or magnitude, the deviation may or may not be allowable. We recommend that you consult with your ERES/FA before such variations occur.
  - c. When changes in key personnel occur
  - d. When programmatic changes occur
3. Procedures for Budget Amendments:
  - a. Subgrantee will complete the Program/Budget Amendment Form in its entirety, and email to GaDOE.
  - b. If there are any changes in the budget details, the subgrantee will attach the details to the Program/Budget Amendment Form in addition to submitting an amended budget through the Consolidated Application.
  - c. The designated coordinator will input the amended budget information and sign-off.
  - d. The designated superintendent will review, approve, and sign-off on the amended budget.
  - e. The Fiscal Analyst will receive an email notification from the Consolidated Application of amended budget submitted by subgrantee.
  - f. The Fiscal Analyst will review all amended budget submittals for approval.
  - g. Upon approval in the Consolidated Application, the subgrantee will receive an email and written notification.
  - h. If the amended budget is rejected in the Consolidated Application, the subgrantee will receive an email notification as well as a Budget Checklist document by email from the Fiscal Analyst. It is the subgrantee's responsibility to correct and re-submit the amended budget in Consolidated Application, as well as make all necessary changes on the Program/Budget Amendment Form.

### **D. Reimbursement Approval Process**

21<sup>st</sup> CCLC subgrantees receive grant funds through a reimbursement process only,, meaning all subgrantees must submit invoice requests to GaDOE documenting sufficient evidence



that the subgrantee's funds were expended first in order to receive reimbursement from the GaDOE. The GaDOE will not reimburse a subgrantee for expenditures that are not allowable under the 21st CCLC program or for expenditures that were not approved in its budget or for unauthorized expenditures that required prior approval. The subgrantee must ensure that all required documentation is prepared and submitted in an accurate, acceptable, and approvable format in the Invoice Application no later than the close of business on the 15<sup>th</sup> calendar day of each month. GaDOE staff has 21 calendar days from receipt of reimbursement submission to review and either sign up or reject the request.

#### Invoice Application Procedures:

1. The preparer will log into the correct Invoice Application; prepare and submit a reimbursement request according to Reimbursement Request Processing – Appendix U.
2. The submitter will log into the Invoice Application; review, certify in accordance with 2 C.F.R. § 200.415, and submit the reimbursement request.
3. The Fiscal Analyst will receive an email notification from the Invoice Application that a reimbursement request was submitted by the subgrantee.
4. The Fiscal Analyst will review request for approval.
5. Upon approval in the Invoice Application, the subgrantee will receive an email notification. It is the subgrantee's responsibility to check manually given possible email notification issues or failures.
6. Funds will generally be directly deposited into the subgrantee's account on Thursday of the week following approval.
7. If the reimbursement request is rejected in the Invoice Application, the subgrantee will be notified by the Fiscal Analyst and receive a Reimbursement Request Review form highlighting the outstanding issues. It is the subgrantee's responsibility to correct and re-submit the reimbursement request in the Invoice Application. If the reimbursement request is rejected, the request will not be placed ahead of other requests that have been submitted, but the FA will work to ensure there is not a significant delay in reviewing the revised request.
8. In some instances, there may be expected (e.g., Grants Accounting year-end close out period) and unexpected (e.g., IT issues) situations that may delay the reimbursement process. In addition, reimbursement requests submitted late may not be reviewed prior to the 21 day GaDOE deadline. To the extent possible, GaDOE will inform subgrantees ahead of time to allow them to prepare for the possible delay.

#### **E. Carryover Funds**

21<sup>st</sup> CCLC subgrants are awarded for a five year period. Across this period, GaDOE will make funds available during 15-month cycles that overlap between July 1<sup>st</sup> and September 30<sup>th</sup>. However, each year the subgrant award is looked at and awarded individually. Upon the expiration of each 15-month period on September 30<sup>th</sup>, a Completion Report must be submitted by the subgrantee **by October 31st**.

1. Under Title IV, Part B, funds that were not expended may be carried over to the following year of the subgrant award period. However, a subgrantee may not carryover more than 15 percent of the original grant award amount. If a subgrantee expends less than 85% of the original grant award amount then this could be an indication of a problem in the administration of the program. Should it be determined that a subgrantee has a significant amount of carryover, GaDOE may choose to reduce the subgrantee's

carryover funds. The final determination of the availability and reissuing of carryover funds is made by GaDOE.

2. Individual subgrantees are allowed to carry unexpended funds into a new fiscal year based on the following criteria:
  - a. Acceptable program performance indicators must be met. Those indicators include successful resolution of all program and budget findings, satisfactory completion of all corrective action plans, completed data and appropriate certification of the data, and attainment of the majority of grant objectives.
  - b. Completion report is completed and submitted through the Completion Report Application at the end of each fiscal year. The completion report is used to report the expenditures spent on the grant and should be submitted by the fiscal agent.
  - c. The Grants Accounting Department calculates a total amount of carryover funds and includes that amount, if allowed, as an allocation of subgrants for the next fiscal year.
  - d. Subgrantees are notified of carryover funds through the Consolidated Application and through written notification from Grants Accounting. Subgrantees must submit an amended budget no later than 30 days after the date of the written notification. The GaDOE may choose to reduce/withhold carryover funds if the carryover amendment is not submitted in a timely manner (i.e., 30 days after receipt of written notification).
3. Please note major purchases, including inventory type purchases such as technology, furniture, and equipment, should not be budgeted in the carryover amendment. These items should be included in the original budget submission, and purchased soon after.

#### **F. Procedures for Completion Report Application**

1. The designated coordinator will:
  - a. Log in to Completion Report Application
  - b. Load a new budget
  - c. Enter all expenditures and verify this with the applicable general ledger
  - d. Enter contact information
  - e. Review Audit Trail information
  - f. Submit budget amendment if needed
  - g. Submit the Completion Report
2. Ramifications for submitting a late Completion Report
  - a. **If submitted after October 31**, the subgrantee will not receive reimbursements until it has successfully submitted its completion report.
  - b. **If submitted after December 31**, the subgrantee will not receive any carryover funds.

#### **G. Delaying Access to Competitive Grant Funds**

GaDOE may delay the availability of funds for a subgrantee in which non-compliance issues have occurred until the subgrantee complies or submits a corrective action plan approved by GaDOE. Non-compliance may be determined through:

1. Subgrantee monitoring
2. Subgrantee's audit finding(s)
3. The investigation of a signed written complaint that the subgrantee has failed to comply with Federal statute or regulation
4. A report received of fraud, waste, and abuse of resources purchased with 21<sup>st</sup> CCLC program grant funds
5. A subgrantee's "high-risk" status

6. Any other failure to comply with GaDOE requirements

## **H. Audit Report Process**

Each subgrantee must have an annual audit of its financial statements (external audit). An external audit consists of a methodical review and objective examination of a subgrantee's financial statements. The objective of the auditor's examination is to express an opinion on the financial statements. This expression takes the form of an audit report. All non-LEAs shall submit their audit report to the 21<sup>st</sup> CCLC program manager no later than six months after the end of their fiscal year.

If a subgrantee receives \$750,000 (see 2 C.F.R. § 200.501) or more in a year in Federal awards, then it shall also have a single audit. In a single audit, the auditor(s) will issue an opinion on the subgrantee's compliance with requirements contained in 2 C.F.R. Subpart F that are applicable to each of the subgrantee's major Federal programs. If an auditor finds that the subgrantee has not complied with Federal regulations, then the auditor will issue a finding in the single audit report. The subgrantee will be given a copy of the single audit report. The single audit report may be combined with the audit report or issued as a separate report.

### **1. Review of the Single Audit Report**

- a. For single audit reports performed by the Georgia Department of Audits and Accounts, the Financial Review Section of GaDOE Finance Budget Office will forward a copy of the single audit report and management letter, including any findings and questioned costs, to the 21<sup>st</sup> CCLC program manager. For single audit reports performed by an independent auditor, the subgrantee is responsible for submitting a copy of the single audit report, including any findings or questioned costs, to the 21<sup>st</sup> CCLC program manager.
- b. The 21<sup>st</sup> CCLC program manager shall initiate an investigation into which, if any, questioned costs must be repaid by the subgrantee to GaDOE by forwarding a copy of the single audit report to the assigned ERES and Fiscal Analyst. The Fiscal Analyst will contact GaDOE's internal audit manager or independent auditor to obtain the auditor's working paper, which supports the single audit findings.

### **2. Subgrantee On-Site Visit**

- a. The 21<sup>st</sup> CCLC program manager shall send written notification within 10 days to the subgrantee that the assigned 21<sup>st</sup> CCLC ERES and Fiscal Analyst will conduct an on-site review of the subgrantee to investigate any single audit finding(s). The notice shall specify the date and time of the on-site review and the appropriate personnel who must be available during the review process.
- b. If during the subgrantee's on-site review, the 21<sup>st</sup> CCLC ERES or Fiscal Analyst determines that there may be additional questioned costs that were not previously identified in the single audit; the 21<sup>st</sup> CCLC ERES or Fiscal Analyst may expand the on-site review to the extent necessary.

### **3. Post-Subgrantee On-Site Visit**

- a. The 21<sup>st</sup> CCLC ERES and the FA(s) shall submit a written analysis of the results of the subgrantee's on-site review to the 21<sup>st</sup> CCLC program manager. The analysis shall identify all questioned costs, i.e., those noted in the single audit report as well as

any additional questioned costs found during the on-site review. The analysis shall contain an assessment of whether the aforementioned questioned costs should be repaid by the subgrantee to GaDOE and a determination if corrective action by the subgrantee is necessary.

- i. Actions on recommendations that can be corrected by providing the subgrantee technical assistance (e.g., record keeping, developing plans, etc.) can be determined and approved by the program manager.
  - ii. A recommendation requiring the withholding of Federal funds until the subgrantee is compliant or the return of Federal funds (i.e., questioned costs) to the 21<sup>st</sup> CCLC program must be elevated to the Associate Superintendent for School Improvement, the Deputy Superintendent for School Improvement, the General Council, and the Internal Auditor. Once recommendations are approved by appropriate GaDOE staff, the subgrantee is notified that a corrective action plan must be developed and implemented.
- b. The corrective action plan, at a minimum, must contain the following elements for each finding:
- i. Identification of the finding by the finding control number
  - ii. Strategies to correct the finding
  - iii. Timeline for corrective actions
  - iv. Procedures that will be used to ensure future compliance
  - v. Program Director's signature

#### 4. Corrective Action Plan

- a. The subgrantee must provide the written corrective action plan and supporting documents within 30 days of written notification of the GaDOE finding(s) from the on-site review. If the subgrantee disputes the amount of questioned costs which need to be repaid, it can provide additional documentation to the 21<sup>st</sup> CCLC staff to reduce or eliminate the amount of questioned costs. However, if the 21<sup>st</sup> CCLC staff is not satisfied with the documentation provided and the amount of questioned costs is not reduced or not reduced enough in the opinion of the subgrantee, then the subgrantee can file a formal appeal (see Step 6) to dispute the amount of questioned costs.
- b. The Program Manager will forward a written copy of the recommendations, upon receipt of the subgrantee corrective action plan, from the on-site review to the Financial Review Section and Grants Accounting Section of the Finance and Budget Office of GaDOE (FBO). In addition, a copy of all documents must be maintained by the subgrantee.
- c. The 21<sup>st</sup> CCLC ERES and Fiscal Analyst will monitor corrective action strategies to ensure that the subgrantee is implementing the written corrective action plan.
- d. Once the subgrantee has complied with the corrective action plan, the 21<sup>st</sup> CCLC program manager will provide notice to Financial Review that any findings have been resolved.

#### 5. Repayment of Federal Funds

The subgrantee must repay questioned costs with non-Federal funds, including interest, within the specified timeframe outlined in the written notification (see 2 C.F.R. § 200.410).

#### 6. Repayment of Federal Funds Appeals Hearing

- a. A subgrantee has the right to request a hearing if it alleges that GaDOE violated a state or Federal statute or regulation when GaDOE ordered, in accordance with a final state audit resolution determination, the repayment of misspent or misapplied 21<sup>st</sup> CCLC grant funds of the subgrantee.
- b. The subgrantee shall request a hearing within 30 days of the action of GaDOE. The request shall be submitted in writing to the 21<sup>st</sup> CCLC program manager and the Associate Superintendent for Federal Programs.
- c. Within 30 days after GaDOE receives the request, GaDOE shall hold a hearing on the record and shall review its action. The hearing may be conducted by a hearing officer.
- d. No later than 10 days after the hearing GaDOE shall issue its written ruling, including findings of fact and reasons for the ruling.
- e. If GaDOE determines that GaDOE's action was contrary to state or Federal statutes or regulations that govern the 21<sup>st</sup> CCLC program, GaDOE shall rescind its action.
- f. If GaDOE does not rescind its final action after the hearing and review, the subgrantee may appeal to the US ED Secretary.

## **XIII. Property, Materials, and Supplies**

### **A. Property Records and Inventory Procedures**

Subgrantees must have well-designed procedures in place, that follow 34 C.F.R. § 76.730, for managing materials, equipment, and supplies purchased with Federal funds.

### **B. Establishing Storage Locations and Records Access Protocol**

It is required that the subgrantee inform the GaDOE program office in writing within the first 60 days as to who is the designated custodian of records and where and how the records may be accessed should a current or closed award be subject to an audit, monitoring, or other authorized investigation.

### **C. Items Which Must be listed on the Inventory**

All items, equipment and materials, which have a life expectancy of more than one year must be listed on the inventory.

### **D. Utilization of Materials, Equipment and Supplies for 21<sup>st</sup> CCLC Participants**

The subgrantee may also make equipment available for use on other projects or programs currently or previously supported by the Federal government, providing such use will not interfere with the work on the projects or program for which it was originally acquired. First preference for other use shall be given to other program or projects supported by the awarding agency (see 2 C.F.R. § 200.313(c)(2)).

The subgrantee shall remove equipment or supplies from a private school if the equipment or supplies are no longer needed for the purpose of the project or removal is necessary to avoid use of the equipment of supplies for other than project purposes. (see § 76.661 (d)).

When no longer needed for the original program or project, the equipment may be used in other activities supported by the Federal awarding agency, in the following order of priority:

1. Activities under a Federal award from the Federal awarding agency which funded the original program or project, then
2. Activities under Federal awards from other Federal awarding agencies (see 2 C.F.R. § 200.313(c)(1)).

### **E. Maintenance of Property Records and Adequate Safeguards**

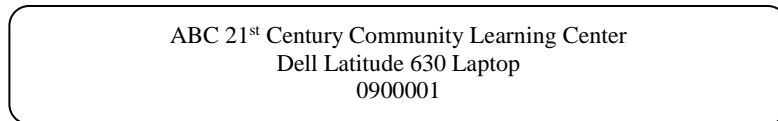
Property records, inventory log, must be maintained that include (see 2 C.F.R. § 200.313(d)(1)):

1. A description of the property
2. A serial number or other identification number
3. The source of funding for the property (including the Federal Award Identification Number)
4. Title holder
5. The acquisition date
6. The cost of the property
7. Percent allocated to the source
8. The location
9. The use and condition of the property

10. Any ultimate disposition data including the date of disposal and sale price of the property

The subgrantee should review inventory records periodically throughout the year. These records will be examined during the annual monitoring visit. Subgrantees may utilize their district's or organization's inventory format as long as the required information is included (see Appendix I).

All items purchased with 21<sup>st</sup> CCLC funds must be labeled with an inventory sticker such as the one shown below:



It is not necessary to include the 21<sup>st</sup> CCLC name on the sticker, so long as the serial number on the sticker can be traced to an inventory sheet that lists 21<sup>st</sup> CCLC as the program to which the item belongs.

The inventory number or property code assigned to the item must include the year of purchase. A control system must be developed to ensure adequate safeguards to prevent loss, damage, or theft of the property. Adequate maintenance procedures must be developed that include periodic review of equipment (especially pilferable items) to keep the property in good condition. Any loss, damage, or theft must be immediately reported to GaDOE and investigated and fully documented.

## **F. Technology Items**

There are many items, particularly technology items, such as personal digital assistants (PDAs), digital cameras, computers, iPads, etc., that tend to be highly and easily pilfered items. Pilferable items are especially subject to theft because they have a ready resale value or application to personal possession. These items must be tracked and inventoried and proper action taken to safeguard these items. Locking cabinets for storage of these pilferable items are considered an allowable expense. In the event technology items purchased with 21<sup>st</sup> CCLC funds are lost or stolen, it is the subgrantee's responsibility to replace the item(s). Subgrantees should follow the procedures and policies established by their agency for reporting theft or loss. The subgrantee must notify the GaDOE in the event of lost and stolen items.

Subgrantees are required to submit the Technology Request Form and receive approval from the GaDOE prior to purchasing technology items such as software, computers, laptops, tablets, or interactive monitors/boards. Please contact your ERES or FA before purchasing these items and if there is any uncertainty whether a purchase is considered to be a technology item. Please see Appendix P for the Technology Request Form, which must be utilized prior to purchasing technology items.

## **G. Disposition of Equipment and Supplies**

Use this process when:

1. The subgrantee withdraws or terminates early
2. Subgrantee's grant expires after full completion of the grant term

Disposition Process:

1. Subgrantee must submit complete inventory list for purchases from current grant funds within 10 working days of notifying GaDOE of voluntary termination or within 10 working days of the end of the grant period (purchases made with prior grants would have been disposed of when the prior grant ended).
2. Along with the inventory list, the subgrantee must also submit its proposed action plan for disposal or continued use of equipment on inventory list. Please note that inventory may be retained by the subgrantee if the item(s) are used in a program or project that is currently or formerly federally funded.
3. For inventoried equipment, subgrantee will specify and note in the inventory any equipment items that have a fair-market value of more than \$5,000 per unit. Please note that subgrantee must receive written approval from GaDOE to purchase any item over \$5,000 per unit.
4. For any item with a fair-market value greater than \$5,000, some portion of the value may need to be reimbursed to GaDOE. In this case, GaDOE will calculate the amount to be reimbursed in accordance with 2 C.F.R. § 200.313(e)(2).
5. For any item with a fair-market value less than \$5,000, or if no items are greater than \$5,000, proceed to step 7.
6. For non-inventoried supplies, subgrantee will specify and note in the inventory plan if the aggregate fair-market value of all remaining unused supplies is greater than \$5,000 and handle according to 2 C.F.R. § 200.313(e), if applicable. Please note that supplies may be retained by the subgrantee if the item(s) are used in a program or project that is currently or formerly federally funded. GaDOE determines "appropriateness" of the action plan within 10 working days of receipt.
  - a. If the plan is appropriate as determined by GaDOE, the subgrantee will be notified in writing that the action plan is to be implemented.
  - b. If the plan is not determined to be appropriate, the subgrantee will be notified in writing and given an additional 10 working days to re-submit an adjusted action plan.
  - c. If the plan is still not appropriate, GaDOE will direct specific actions to the subgrantee regarding disposition in accordance with 2 C.F.R. § 200.313(e) within 10 working days of receipt of final proposed plan.
7. Subgrantee will implement and complete the final agreed-upon action plan within 30 working days of notice (or other agreed-upon timeframe).
8. Upon completion of the final action plan, the subgrantee will submit a final notice to GaDOE stating disposition of all items has been completed in accordance with the plan within 10 working days of completed disposition.
9. GaDOE will send final notice of receipt and approval within 10 working days of receipt of final report from subgrantee.



## **XIV. Monitoring Subgrantees and Technical Assistance**

**Monitoring process consists of three major components:**

### **A. Monitoring of Expenditures**

Subgrantees must submit an original budget for approval once per year (no later than 30 days of receipt of the Grant Award Notification or grant continuation letter) along with any additional amendment(s) to the original budget, if needed, such as for carryover funds, throughout the year. The 21<sup>st</sup> CCLC program staff reviews each application and budget submission to ensure that expenditures are appropriate for the approved program before approving budgets. Once budgets are approved, the Fiscal Analysts review and approve subgrantees' reimbursements.

### **B. Monitoring of Program Requirements**

The 21<sup>st</sup> CCLC ERESs utilizes two types of monitoring processes to examine current year compliance with program operating requirements. The goal of the monitoring process is to ensure subgrantee compliance and, more importantly, to provide on-going technical assistance and training in an effort to develop high quality and effective 21<sup>st</sup> CCLC programs.

1. Routine on-site technical assistance visits: 21<sup>st</sup> CCLC program staff will conduct on-site technical assistance (announced and unannounced) visits throughout the year to provide guidance and training to subgrantees in areas such as compliance, monitoring, best practices, and program quality.
  - a. All new 21<sup>st</sup> CCLC subgrantees, as well as continuing subgrantees demonstrating a high need and those officially noted as "high-risk," will receive a technical assistance visit as early in the program year as possible and will receive more frequent visits.
  - b. The Site/Program Visitation Documentation form will be used to document visits by GaDOE staff.
2. Risk Based Monitoring

Every year, the GaDOE conducts a risk assessment using a combination of elements defined by the 21<sup>st</sup> CCLC office and Internal Auditors Office to determine the level of risk for each subgrantee. The results of the risk assessment will be used to determine the monitoring process utilized for the current fiscal year. Based upon the risk assessment results, subgrantees will be classified as Low Risk, Moderate Risk or Significant Risk.

Significant risk does not necessarily mean that a subgrantee is not performing the requirements of the program, federal regulations, or administrative procedures. It **does** mean that a subgrantee may be at a higher risk of having program elements that could cause a subgrantee not to perform the activities associated with the federal rules, regulations, and administrative procedures in a manner that keeps the subgrantee in compliance.

Once a subgrantee's risk is assessed, ERES and FA will monitor the subgrantee based upon the monitoring strategies listed below:

#### Significant Risk

The subgrantee will receive an on-site monitoring visit conducted by 21<sup>st</sup> CCLC monitoring ERES and FA using the Compliance and Performance Assessment Monitoring Form. The subgrantee must submit all documentation required by the pre-monitoring activities.

#### Moderate Risk

The subgrantee will receive a desktop monitoring review completed by the 21<sup>st</sup> CCLC monitoring ERES and FA. Subgrantees will upload documentation to provide evidence for the ERES and FA to determine compliance with certain identified indicators of the Compliance and Performance Form. The subgrantee must also submit all documentation required by the pre-monitoring activities.

#### Low Risk

The subgrantee must submit all documentation required by the pre-monitoring activities.

Please note that at any time, the GaDOE may determine that it is necessary to conduct an official on-site monitoring review regardless of results of risk assessment based upon evidence of serious or chronic compliance problems or other significant changes occurring after completion of risk assessment. Additionally, all new subgrantees will receive a full on-site monitoring review during the first year of the grant award. Lastly, if a subgrantee does not receive an on-site monitoring review for two consecutive years, then the GaDOE will conduct an on-site review the subsequent year.

### **C. Procedures for Annual Monitoring**

#### **1. Official On-Site Monitoring Process (Significant Risk)**

##### Prior to visit

1. 21<sup>st</sup> CCLC ERES will work with the subgrantees to schedule dates for the monitoring visit(s) and will determine with whom he/she will need to meet during the on-site visit.
2. Program director and site coordinators should organize and have available documents and evidence to demonstrate compliance with each standard in the Compliance and Performance Assessment Monitoring Form.

##### During Visit

1. 21<sup>st</sup> CCLC staff will meet with the subgrantee and complete the Compliance and Performance Assessment Monitoring Form. A copy of this form is located on the 21<sup>st</sup> CCLC's webpage.
2. 21<sup>st</sup> CCLC staff will review documentation and artifacts which support the elements of the Compliance and Performance Assessment Monitoring Form.
3. If necessary, 21<sup>st</sup> CCLC staff will conduct site visits.
4. If necessary, inventory purchased during the current grant year will be checked during site visits.

### Post Visit

1. Within 15 business days, the 21<sup>st</sup> CCLC monitoring ERES and FA will complete a report of the on-site review through the 21<sup>st</sup> CCLC Monitoring Portal. If the team found that each indicator was in compliance (all indicators marked Met), the sign-off of the on-site review will trigger an email to the 21<sup>st</sup> CCLC program manager or designee identified in the role as ‘District Coordinator’ and the 21<sup>st</sup> CCLC CEO/Superintendent, who is identified as the ‘District Superintendent’, who will review the information provided. Approval at this point will indicate that the that the monitoring report is complete and that the subgrantee is compliant.
2. If findings were indicated during the on-site review, the subgrantee should expect a monitoring results report, via the monitoring portal, within 15 days of the monitoring review. The GaDOE Team Lead will submit the monitoring report complete with corrective action plan requirements for any indicators found to be non-compliant. The 21<sup>st</sup> CCLC program manager or designee identified as ‘District Coordinator’ must upload and submit the documentation and required corrective action plan.
3. The subgrantee has 10 business days from receiving the monitoring results report to respond to the findings via a Corrective Action Plan.
  - a. The subgrantee must address each finding through the Corrective Action Plan and attach the required Corrective Action Plan as part of required documentation in the portal. The 21<sup>st</sup> CCLC program manager (‘District Coordinator’) and CEO/Superintendent (‘District Superintendent’) must both sign-off and submit the CAP.
  - b. The subgrantee must clearly label and attach all documentation that is required as part of the corrective action
  - c. Upon receipt of the Corrective Action Plan, the 21<sup>st</sup> CCLC monitoring ERES and FA will review documents and determine if all findings have been addressed, and that steps and timelines identified will be effective in resolving the findings.
  - d. If the information is not adequate, the ERES or FA will notify the subgrantee that revisions or further documentation are required.
  - e. Once all the findings have been cleared through the corrective action, the 21<sup>st</sup> CCLC program manager and Director of Federal Programs will sign off that the corrective action is complete. The subgrantee’s superintendent/CEO will receive notification that all findings have been resolved via email.

### **2. Official Desktop Monitoring Process (Moderate Risk)**

1. 21<sup>st</sup> CCLC ERES will work with the subgrantee to schedule a date when the desktop monitoring will be completed.
2. Subgrantees will upload supporting documentation for the programmatic and fiduciary indicators on the Compliance and Performance Assessment Monitoring Form that have been identified for the current fiscal year. A secure online platform will be utilized for the transmission of files and documents.
3. 21<sup>st</sup> CCLC staff will review documentation and artifacts which support the indicators of the Compliance and Performance Assessment Monitoring Form.
4. Within 15 business days, the 21<sup>st</sup> CCLC monitoring ERES and FA will complete a report of the desktop review through the 21<sup>st</sup> CCLC Monitoring Portal. If the team found that

each indicator was in compliance (all indicators marked Met), the sign-off of the on-site review will trigger an email to the 21<sup>st</sup> CCLC program manager, or designee identified in the role as ‘District Coordinator’ and the 21<sup>st</sup> CCLC CEO/Superintendent, who is identified as the ‘District Superintendent’, who will review the information provided. Approval at this point will indicate that the monitoring report is complete and that the subgrantee is compliant.

5. If findings were indicated during the desktop review, the subgrantee should expect a monitoring results report, via the monitoring portal, within 15 business days of the desktop monitoring review. The GaDOE Team Lead will submit the monitoring report complete with corrective action plan requirements for any indicators found to be non-compliant. The 21<sup>st</sup> CCLC program manager or designee identified as ‘District Coordinator’ must upload and submit the documentation and required corrective action plan.
6. The subgrantee has 10 business days from receiving the monitoring results report to respond to the findings through a Corrective Action Plan.
  - a. The subgrantee must address each finding through the Corrective Action Plan and attach the Corrective Action Plan as part of required documentation in the portal. The 21<sup>st</sup> CCLC program manager (‘District Coordinator’) and CEO/Superintendent (‘District Superintendent’) must both sign-off and submit the CAP.
  - b. The subgrantee must clearly label and attach all documentation that is required as part of the corrective action
  - c. Upon receipt of the Corrective Action Plan, the 21<sup>st</sup> CCLC monitoring ERES and FA will review documents and determine if all findings have been addressed, and that steps and timelines identified will be effective in resolving the findings.
  - d. If the information is not adequate, the monitoring ERES and FA will notify the subgrantee that revisions or further documentation are required.
  - e. Once all the findings have been cleared through the corrective action, the 21<sup>st</sup> CCLC program manager and Director of Federal Programs will sign off that the corrective action is complete. The subgrantee’s superintendent/CEO will receive notification that all findings have been resolved via email.

#### **D. “High-Risk” Status**

GaDOE may classify a subgrantee as “high-risk” due to non-compliance or poor performance by the subgrantee. As a result of this determination, GaDOE may impose special conditions and restrictions on the subgrantee (see 2 C.F.R. §§ 200.205 and 200.207).

1. A subgrantee may be considered “high-risk” if GaDOE determines that the subgrantee:
  - a. Has a history of unsatisfactory performance
  - b. Is financially unstable
  - c. Has a substandard management system
  - d. Has not conformed to the terms and conditions of previous awards OR
  - e. Is otherwise not responsible
2. If GaDOE classifies a subgrantee as “high-risk,” special conditions and restrictions may be imposed and shall correspond to the “high-risk” determination of the subgrantee. Examples of special conditions and restrictions include:
  - a. Withholding authority to proceed to the next phase until receipt of evidence of acceptable performance within a given funding period,

- b. Requiring additional, more detailed financial reports,
  - c. Additional project monitoring,
  - d. Requiring the subgrantee to obtain technical or management assistance,
  - e. Establishing additional conditions prior to approval.
3. Subgrantee's program director and superintendent/CEO will be notified, in writing, within 10 days of deciding to impose special conditions or restrictions on the subgrantee. The notification shall include the nature of the special conditions or restrictions, the reason(s) for imposing them, the corrective actions which must be taken before they will be removed, the time allowed for completing the corrective actions, and the method of requesting reconsideration of the special conditions or restrictions imposed.
  4. Failure to implement the corrective action plan may result in budget reduction, reimbursement delay, or termination of the grant due to non-performance or other sanctions.
  5. A subgrantee has the right to request reconsideration of the special conditions or restrictions imposed by GaDOE.
  6. A subgrantee may be removed from "high risk" by successfully meeting the restrictions and special conditions imposed upon the subgrantee by the agreed upon deadline. Upon confirmation of the completion of these steps, the 21<sup>st</sup> CCLC program manager will notify the superintendent/CEO that the subgrantee has been removed from the "high risk" designation. The subgrantee will continue to be monitored closely to ensure it continues to successfully implement the program.
  7. The GaDOE has the right to extend the "high risk" designation past the original deadline if it feels like progress has been made, but more time and scrutiny is needed to ensure the subgrantee can successfully implement the program.

A subgrantee may be classified as "high-risk" prior to the awarding of a 21<sup>st</sup> CCLC grant or during the duration of the grant period. If GaDOE determines that a subgrantee is "high-risk" prior to making an award to that subgrantee, the special conditions or restrictions shall be included in the award.

Within 20 days of the date of the "high-risk" notification letter from GaDOE, the subgrantee may submit, in writing, its request for reconsideration of the proposed special conditions or restrictions. The subgrantee shall submit its request for reconsideration to the Associate Superintendent for School Improvement and shall respond to each reason listed by GaDOE for the imposed special conditions or restrictions and explain why the reasoning is faulty or based upon excusable conduct.

If GaDOE does not receive a written request for reconsideration in a timely manner, the proposed special conditions or restrictions are considered unopposed and will be implemented in accordance with the notification.

If the subgrantee submits a timely written request, it shall be considered by 21<sup>st</sup> CCLC program staff. If the request is persuasive, GaDOE may modify the nature of the special conditions or restrictions, the corrective actions that were proposed, or the proposed time allowed for completing the corrective actions. If the request is not persuasive, the special conditions and restrictions will be imposed on the subgrantee as set forth in the notification.

GaDOE will notify the subgrantee of its final determination within 15 days of receipt of the request for reconsideration. GaDOE may extend these deadlines based upon good cause.

#### **E. Average Daily Attendance Monitoring**

The GaDOE closely monitors the average daily attendance (ADA) for all 21<sup>st</sup> Century Community Learning Centers programs during the regular school year through periodic site visits as well as regular checks through Cayen AS/21. As part of these checks, the GaDOE will run attendance reports to ensure 21<sup>st</sup> CCLC programs are achieving their target attendance numbers according to their approved grant application. One reason that GaDOE carefully reviews ADA is because all subgrantees' funding is directly tied, through the funding request worksheet, to the number of students served each day. Perhaps equally as important, ADA also provides a measurement of whether programs are making an impact for the number of proposed students in the approved grant application. Attendance data can also be a strong indicator of student interest in programs and activities. Our 21<sup>st</sup> CCLC programs cannot build skills, behaviors, and habits to help students be successful if students do not attend on a regular basis.

The attendance reports will not only allow the GaDOE to monitor ADA, but also strategically offer support and technical assistance for those programs with low average daily attendance. Following the first attendance report, the GaDOE will notify all subgrantees with sites whose ADA is below 70% of their targeted attendance goal. The purpose of this notification is to provide an early warning as well as support and strategies to improve attendance. After running the second attendance report, if a subgrantee has sites with ADA below 70% of their targeted attendance goal then the subgrantee will be required to submit a corrective action plan to the GaDOE for review. The required corrective action plan will be closely monitored to ensure the subgrantee is implementing identified steps and strategies to improve attendance. Following the final ADA report, if a subgrantee has sites with ADA that is less than 65% of its targeted attendance target goal then the subgrantee's grant award will be reduced for the following fiscal year. The budget will be reduced to accurately reflect what the site would receive at 120% of its highest ADA total for the year.

## **XV. Awarding Continuation Subgrants**

### **Continuation Determination**

Program staff will use annual data to determine if subgrantees are eligible for continuation funding. Subgrantees will receive a letter in July or August about grant continuation or other actions needed, as determined by the SBOE.

**Failure to be in compliance with any assurances or aspect of the subgrant award may result in the delay, reduction, or termination of grant funds.**

In order for a current subgrantee to be considered for continuation funding, all requirements listed below must be completed.

#### **A. Monitoring**

Annual continuation funds for subsequent years of the award term are contingent upon a subgrantee receiving a fully satisfactory annual program monitoring report (no open findings). All current year findings and corrective actions must be successfully resolved and implemented on or before June 30<sup>th</sup>.

#### **B. Program Performance Indicators**

A description of each subgrantee's 21<sup>st</sup> CCLC goals and objectives, are included in each approved application. Each subgrantee is required to complete and submit the 21<sup>st</sup> CCLC Common Data Elements and the summative evaluation report to the GaDOE by June 30<sup>th</sup>.

#### **C. Annual Performance Reporting Period**

Cayen AfterSchool 21 data must be accurate and fully up-to-date according to GaDOE timelines, including completing school year registration, demographics, activities data, student progress reports, school year attendance, objective status, and program operations report. Subgrantees must also certify data in Cayen Afterschool21 according to timelines determined by the GaDOE in alignment with US ED reporting deadlines.

#### **D. Financial Compliance**

Subgrantee must be in compliance with all budgetary, accounting, and audit procedures and deadlines.

### **Reduction or Termination of Grant Award**

The reduction or termination of a subgrant award may be initiated either by the subgrantee or GaDOE.

1. The subgrantee may terminate the grant award at any time upon mutual agreement of GaDOE.
2. GaDOE, by written notice, may terminate or reduce the grant award if the Federal funds supporting the grant are reduced or withdrawn by US ED.

3. GaDOE, by written notice, may terminate or reduce the grant award for nonperformance by the subgrantee at any time during the term of the award. Examples of nonperformance include, but are not limited to, the failure to:
  - a. Provide a high-quality program with evidence of substantial progress
  - b. Implement the program with fidelity as described in the subgrantee's application
  - c. Serve the targeted number of students on a daily basis
  - d. Adhere to the signed assurances
  - e. Submit required reports and documentation according to GaDOE's timeline
  - f. Implement a corrective action plan
  - g. Resolve an audit finding
  - h. Follow all requirements and guidelines as imposed by US ED or GaDOE 21<sup>st</sup> CCLC

#### **E. Termination Process**

##### **1. Subgrantee Initiated:**

A subgrantee may initiate termination of its grant award by submitting written notification to the 21<sup>st</sup> CCLC program manager and to the Associate Superintendent of Federal Programs. The notification shall state the reason(s) for initiating the termination process and the effective date of the termination. The Associate Superintendent of Federal Programs shall recommend to the State Board of Education to accept the subgrantee's decision to terminate the grant.

##### **2. GaDOE Initiated:**

Reduction or Withdrawal of Federal Funds by US ED: GaDOE Director of Federal Programs shall send written notification to the subgrantee that the Federal funds supporting the grant award have been reduced or withdrawn by US ED. The notification shall specify how the subgrantee will be affected by the reduction or withdrawal. This notification must be provided at least 30 days prior to the SBOE approving the reduction or withdrawal of the funds. The Associate Superintendent of Federal Programs shall submit the grant modifications to the SBOE for final approval.

Termination for Nonperformance: The 21<sup>st</sup> CCLC Program Manager shall send written notification to the subgrantee that GaDOE is proposing to terminate its grant award for nonperformance. The notification shall include, at a minimum, the reason(s) for initiating the termination, the effective date of the proposed termination, and an explanation that the subgrantee may forego the termination process by electing to withdraw from the 21<sup>st</sup> CCLC grant program. The 21<sup>st</sup> CCLC Program Manager must provide this notification at least 30 days prior to sending a formal recommendation for termination to the SBOE.

The subgrantee has 15 days from receipt of the notification to respond in writing to the 21<sup>st</sup> CCLC Program Manager indicating its objection to the proposed termination. (If the subgrantee is only provided notice by regular U.S. Mail, then it is assumed that the subgrantee received the notification letter within 5 days of mailing.) The subgrantee shall respond to each reason listed by GaDOE for the proposed termination and explain why the reasoning is faulty or based upon excusable conduct.



If GaDOE does not receive a written objection within 15 days, the proposed termination is considered unopposed and may be presented at the next meeting of the SBOE for final action. If there is a dispute about timeliness, the date of the postmark stamped on the envelope or other appropriate wrapper in which the objection was mailed controls.

If the subgrantee submits a timely written objection, it shall be considered by 21<sup>st</sup> CCLC program staff. If the objection is persuasive, GaDOE may work with the subgrantee to develop a mandatory corrective action plan. If the objection is not persuasive, GaDOE will move forward with the proposed termination to the SBOE, but shall include the subgrantee's written objection with its presentation to the SBOE. Subgrantee will receive written notification of GaDOE's final recommendation to the SBOE. GaDOE may extend these deadlines based upon good cause.

If a subgrantee is terminated for nonperformance, it cannot reapply for a 21<sup>st</sup> CCLC grant that would begin at any point during the three consecutive school years after the termination action.

3. A subgrantee may continue to serve its participating students until the SBOE approves the grant termination. Thus, GaDOE shall be liable only for payment in accordance with the provisions of the 21<sup>st</sup> CCLC grant award for services rendered prior to the effective date of the termination.
4. A subgrantee has the right to request a hearing if it alleges that GaDOE violated a state or Federal statute or regulation when it terminated the 21<sup>st</sup> CCLC grant of the subgrantee.
  - a. The subgrantee shall request a hearing within 30 days of the action of the SBOE. The request shall be submitted in writing to the 21<sup>st</sup> CCLC Program Manager and the Associate Superintendent for School Improvement.
  - b. Within 30 days after GaDOE receives the request, GaDOE shall hold a hearing on the record and shall review its action. The hearing may be conducted by a hearing officer or hearing committee.
  - c. The Hearing Committee or Hearing Officer will issue a written ruling within 10 calendar days from the date of the hearing, including findings of fact and reasons for the ruling.
  - d. If the hearing results determine that GaDOE's action was contrary to state or Federal statutes or regulations that govern the 21<sup>st</sup> CCLC program, GaDOE shall rescind its action.
  - e. The subgrantee has the right to appeal the results of the hearing to the Secretary of (the United States Department) Education within 20 calendar days of receipt of the ruling.

## **XVI. Appendices**

- A. Assurances
- B. Acronyms
- C. Selection of and Working with External Evaluators
- D. Characteristics of Effective Program Directors
- E. Suggested Components of Student/Parent Handbook
- F. Suggested Components of Staff Handbook
- G. Suggested List of Agenda Topics for Advisory Council and/or Parent Meetings
- H. Resources
- I. Sample Inventory Form
- J. Reporting Fraud, Waste and Abuse
- K. Complaint Procedure
- L. Budget/Program Amendment Process
- M. Grant Close Out Procedures
- N. Safety Drill Documentation
- O. Cayen Afterschool 21 Calendar
- P. Technology Request Form
- Q. Field Trip Proposal Form
- R. Professional Learning Request Form
- S. Important Reminders Regarding Time and Effort Documentation
- T. GaDOE Conflict of Interest Policy
- U. Reimbursement Request Processing

## V. Chart of Accounts

## Appendix A - Grant Assurances

### Georgia Department of Education 21<sup>st</sup> Century Community Learning Centers (21<sup>st</sup> CCLC)

#### 2017 – 2018 Program Assurances for Subgrantees

The Georgia Department of Education (GaDOE) considers the applicant to be the fiscal agent for the grant. Therefore, any grants awarded will be in the name of the fiscal agent. These assurances will be in effect for FY18. Failure to be in compliance with any assurance or aspect of the subgrant award may result in the delay, reduction, or termination of grant funds.

The program assurances must be signed by the fiscal agent in the GaDOE Consolidated Application (Con App) portal by August 20, 2017. The program assurances must be signed in the portal prior to submitting the FY18 budget in the Con App.

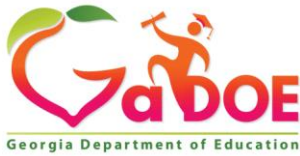
The Subgrantee hereby assures that it will comply with the following:

	<b>FY18 Assurances</b>
1.	The Subgrantee assures that it has the necessary legal authority to apply for and receive the 21 <sup>st</sup> CCLC subgrant(s).
2.	The signatory for these assurances certifies that he has the authority to bind the Subgrantee.
3.	Subgrantee certifies that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
4.	The Subgrantee certifies that the community was given timely notice of its intent to submit its application(s) and that the application(s) and any waiver request(s) were available for public review and comment after submission.
5.	The 21 <sup>st</sup> CCLC program(s) was developed, and will be carried out; in active collaboration with the schools the students attend.
6.	The Subgrantee engaged in timely and meaningful consultation with private school officials during the design and development of the 21 <sup>st</sup> CCLC program(s).
7.	The 21 <sup>st</sup> CCLC program will primarily target students who attend Title I schools or schools eligible for Title I schoolwide programs and their families.
8.	The Subgrantee certifies the instruction and content offered are secular, neutral, and non-ideological.
9.	The 21 <sup>st</sup> CCLC program will take place in a safe and easily accessible facility. It is the responsibility of the Subgrantee to ensure that it meets all requirements, including but not limited to, child-care licensing, occupancy, fire, water, and transportation of students.
10.	The 21 <sup>st</sup> CCLC program will be administered in accordance with all applicable statutes,

	regulations, program plans, and applications.
11.	The 21 <sup>st</sup> CCLC instructional program offered to students will be carried out as proposed in the application.
12.	Funding for subsequent years are dependent upon successful program implementation and progress aligned with the components and requirements of the request for proposal submitted. The subgrantee understands that if any of the following requirements are not adhered to, the subgrantee may forfeit future funding or received reduced funding: <ul style="list-style-type: none"> <li>• Attendance at orientation, training, and other required meetings</li> <li>• Proposed weekly number of hours of operations (minimum of 12 hours/week)</li> <li>• Program academic content aligned with stated goals, objectives, and the Georgia Standards of Excellence</li> <li>• Sound fiscal management including following reimbursement process requirements of the grant</li> </ul>
13.	Prior to any material change affecting the purpose, administration, organization, budget, or operation of the 21 <sup>st</sup> CCLC Program, the Subgrantee agrees to submit an appropriately amended application to GaDOE for approval.
14.	The Subgrantee agrees to notify the GaDOE, in writing, of any change in the contact information provided in its application.
15.	The activities and services described in the application shall be administered by or under the supervision and control of the Subgrantee. The Subgrantee shall not assign or subcontract, in whole or in part, its rights or obligations without prior written consent of GaDOE. Any attempted assignment without said consent shall be void and of no effect.
16.	The Subgrantee agrees that its program will be fully operational within 60 days of the receipt of their award letter.
17.	The Subgrantee will use fiscal control and sound accounting procedures that will ensure proper disbursement of and account for Federal and state funds paid to the program to perform its duties.
18.	Funds shall be used only for financial obligations incurred during the grant period.
19.	The Subgrantee will submit its annual budget within <b>30 days</b> of the grant award.
20.	An annual, external audit should be submitted to GaDOE within 6 months of the end of the Subgrantee's fiscal year.
21.	The Subgrantee will, if applicable, have the required financial and compliance audits conducted in accordance with the Single Audit Act Amendments of 1966 and 2 C.F.R. Part 2, Subpart F, "Audit Requirements".
22.	The fiscal agent will adopt and use proper methods of administering each program, including: (A) the enforcement of any obligations imposed on agencies, institutions, organizations, and other recipients responsible for carrying out each program; and (B) the timely correction of deficiencies in program operations that are identified through audits, monitoring, evaluation and/or technical assistance.
23.	The Subgrantee will cooperate in carrying out any evaluation of each such program conducted by or for the Georgia Department of Education, the U.S. Department of Education, or other state or Federal officials.

24.	The Subgrantee will submit reports to GaDOE and to the U.S. Department of Education as may reasonably be required. The Subgrantee will maintain such fiscal and programmatic records and provide access to those records, as necessary, for those departments to perform their duties.
25.	The Subgrantee will submit an annual summative evaluation report no later than June 30. If applicable, the Subgrantee will submit its summer session summative evaluation report no later than September 30.
26.	The Subgrantee agrees that GaDOE, or any of its duly authorized representatives, at any time during the term of this agreement, shall have access to, and the right to audit or examine any pertinent books, documents, papers, and records of the Subgrantee related to the Subgrantee's charges and performance under the 21 <sup>st</sup> CCLC subgrant.
27.	The Subgrantee understands that the control of 21 <sup>st</sup> CCLC grant funds and title to property acquired with 21 <sup>st</sup> CCLC grant funds will be in a public agency or in a nonprofit entity, institution, organization, or Indian tribe, if the law authorizing the 21 <sup>st</sup> CCLC program provides for assistance to those entities; and the public agency, nonprofit entity, institution, or organization, or Indian tribe will administer the funds and property to the extent required by the authorizing statutes.
28.	The property (e.g., computers, equipment, classroom desks, tables, and pilferable items) purchased with the 21 <sup>st</sup> CCLC grant funds must be managed in accordance with 2 C.F.R. § 200.310-316.
29.	The Subgrantee will submit proof of its Fidelity and Liability Insurance Policy and proof of minimum liability transportation insurance to the Georgia Department of Education within <b>60 days</b> of the grant award. (Does not apply to school districts)
30.	The Subgrantee is responsible for ensuring that all applicable liability insurance requirements are met.
31.	All required documentation (e.g., reimbursement requests, attendance data, student grades, test scores, etc.) will be entered and updated in a timely manner as stipulated by GaDOE.
32.	The Subgrantee certifies that state and national criminal background checks will be conducted annually for any and all individuals acting on behalf of the Subgrantee including: regular volunteers, employees, contractors, relatives, etc. prior to their employment, whether or not they have direct contact with students. In addition, the Subgrantee agrees to develop and utilize written policies on how the criminal background check results will be used in hiring and volunteer practices.
33.	The Subgrantee certifies that it will abide by GaDOE's Conflict of Interest and Disclosure Policy. Applicants with a conflict of interest must submit a disclosure notice.
34.	The Subgrantee understands that 21 <sup>st</sup> CCLC grant funds will not be used for lobbying the executive or legislative branches of the Federal government in connection with contracts, grants, or loans and will report payments made with unappropriated funds for lobbying purposes.
35.	The Subgrantee will comply with the Family Education Rights and Privacy Act of 1974.

36.	Subgrantee will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to Title VI of the Civil Rights Act of 1964, which prohibits discrimination on the basis of race, color, or national origin; Title IX of the Education Amendments of 1972, which prohibits discrimination on the basis of sex; Section 504 of the Rehabilitation Act of 1973, which prohibits discrimination on the basis of handicaps; and the Age Discrimination Act of 1975, which prohibits discrimination on the basis of age, and the Americans with Disabilities Act of 1990, which prohibits discrimination on a basis of disability.
37.	In accordance with the Federal Drug-Free Workplace and Community Act Amendments of 1989 and the Drug-Free Workplace Act of 1988, the Subgrantee understands that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance, marijuana, or dangerous drug is prohibited at geographic locations at which individuals are directly engaged in the performance of work pursuant to the 21 <sup>st</sup> CCLC grant.
38.	The Subgrantee will establish and communicate to all students, parents, and staff its procedure whereby anyone suspecting fraud, waste, or abuse involving 21 <sup>st</sup> CCLC funds shall contact the appropriate authorities.
39.	The 21 <sup>st</sup> CCLC grant award(s) and amount has been accepted by the local Board of Education (LEAs) or local Board of Directors (non-LEAs).



## Appendix B – Acronyms

21 <sup>st</sup> CCLC	21 <sup>st</sup> Century Community Learning Centers
ADA	Americans with Disabilities Act
ADA	Average Daily Attendance
APR	Annual Performance Review
ASYD	Georgia Afterschool & Youth Development
CFR	Code of Federal Regulations
EDGAR	Education Department General Administrative Regulations
EOC	End of Course test
EOG	End of Grade test
EPLS	Excluded Parties List System
ERES	Education Research and Evaluation Specialist
FA	Fiscal Analyst/Auditor
FAIN	Federal Award Identification Number
FBO	Finance and Budget Office of GaDOE
GAAP	Generally Accepted Accounting Principles
GaDOE	Georgia Department of Education
GAORS	Grants Accounting Online Reporting System
GEPA	General Education Provisions Act
GSA	U.S. General Services Administration



GSE	Georgia Standards of Excellence
GTID	Georgia Testing Identifier
IDEA	Individuals with Disabilities Education Act
IEP	Individualized Education Program
LEA	Local Educational Agency
non-LEA	Non-Local Education Agency
OIG	Office of Inspector General of the U.S. Department of Education
OMB	U.S. Office of Management & Budget
PAR	Personnel Activity Report
RFP	Request for Proposal
SAM	System for Award Management
SBOE	State Board of Education
SEA	State Educational Agency
US ED	United States Department of Education

## **Appendix C – Selection of and Working with External Evaluators**

All subgrantees must use an external evaluator to conduct the ongoing evaluation component of their programs. Please review the following guidance when identifying and selecting the external evaluator.

### **Requirements:**

Evaluators should:

1. Be retained by a contract and not by a MOA or MOU, if they are paid from 21<sup>st</sup> CCLC funds, by using applicable procurement policies and procedures.
2. Have no invested interest in the 21<sup>st</sup> CCLC program, including current or past employees of the agency, employee's family members, partners or participants
3. Attend annual 21<sup>st</sup> CCLC Evaluation Training Session with GaDOE and local leaders.
4. Have experience with evaluation practices and educational programs.
5. Visit with program director and conduct individual site visits that preferably coincide with report card grading periods, at minimum, since this is a good time to review program progress.
6. Provide three references to program director at time of hire
7. Attend Advisory Board or Council meetings.
8. Collaboratively work with site coordinators and program directors in collecting data and determining program revisions for continuous improvement.
9. Use state-provided reporting forms.
10. Be trained in 21<sup>st</sup> CCLC data system. Access data directly from AfterSchool 21 instead of tasking the 21<sup>st</sup> CCLC local program leaders to provide data.
11. Complete formative assessments as described in RFP and subgrantee Operations Manual and submit to Program Director in time to be reviewed and returned for revisions prior to Program Director submission to GaDOE on or before February 1.
12. Complete the End-of-the-Year Summative Evaluation Report and Common Data Elements worksheet and submit to Program Director in time to be reviewed and returned for revisions prior to Program Director submission to GaDOE on or before June 30
13. Complete the Summer Evaluation Report and submit to Program Director for review prior to Program Director submission to GaDOE on or before August 30
14. Not be the author of the grant. However, evaluators can provide valuable advice regarding data collection tools and evaluation design in development of the grant.

### **Best Practices**

1. Willing to be actively involved with the program including monthly visits to sites
2. Experience with nonprofit organizations and youth development
3. Talk with students, parents, staff and other stakeholders frequently
4. Be accessible and responsive
5. Mindful of the 21<sup>st</sup> CCLC staff as their customer.
6. Regular communication with 21<sup>st</sup> CCLC leaders, responsive to their needs
7. Provide clear, honest and relevant recommendations for improvement

## Appendix D – Characteristics of Effective Program Directors

*High-functioning programs have strong leaders that are dedicated to the afterschool program.*

Strong leaders:

1. Articulate the program's vision, mission, and goals of the 21<sup>st</sup> CCLC program to staff, administrators, students, families, and community leaders to generate support.
2. Are organized and help site coordinators organize and document their work.
3. Recruit and support high performing staff.
4. Observe and evaluate instructional staff according to program policy.
5. Create and expect positive work environments for staff and students.
6. Are "hands on" and are highly involved and visible in the various program sites.
7. Collaborate often and frequently with staff and all stakeholders.
8. Have high expectations for student behavior, school attendance, work habits, and attitudes toward learning.
9. Require and foster frequent communication and collaboration between regular school day and 21<sup>st</sup> CCLC staff.
10. Provide real time and job embedded professional learning to 21<sup>st</sup> CCLC staff that meets staff's needs.
11. Are very familiar and committed to the effective implementation of the grant.
12. Require and foster on-going progress monitoring of student progress.
13. Develop, publish, and implement effective procedures and policies to ensure an effective 21<sup>st</sup> CCLC program.
14. Demonstrate an ability to successfully meet all deadlines.
15. Walk through activities multiple times/week.
16. Review and analyze Cayen AfterSchool 21 data no less than monthly and make adjustments as a result of review and analysis.
17. Encourage and require ongoing communication between program staff and parents regarding student success, challenges, and progress.
18. Stay informed and knowledgeable of current guidance by attending all GaDOE trainings, meetings and other professional development opportunities

## **Appendix E – Components of Student and Parent Handbook**

*Please note that the list below contains recommended items that should be communicated with students and parents through the handbook. Subgrantees should design student and parent handbooks to meet the needs of their program and address the required components. Subgrantees should refer to the FY18 Compliance and Performance Monitoring Form and FY18 Pre-Monitoring Activity indicators to ensure student and parent handbooks include all required policies and procedures.*

### **A. Overview**

1. Purpose, goals, and outcomes of the 21<sup>st</sup> CCLC program
2. Registration and enrollment
3. How the 21<sup>st</sup> CCLC program is different from student's regular school day (enrichment, unique opportunities, class size, parent involvement, etc.)
4. How the 21<sup>st</sup> CCLC program supports and communicates with student's regular school day program
5. Program duration
6. Daily, weekly, and monthly schedules
7. School holidays, early release days, and inclement weather procedures
8. Field trip information and requirements
9. Eligible students
10. Recruitment Plan- include special needs students/private school students
11. Confidentiality of student information
12. Non-discriminatory practices
13. Complaint procedures
14. Fraud, Waste, and Abuse Policy
15. Child Abuse Reporting Procedures and Policy
16. Fee structure (if applicable - must be approved by GaDOE)

### **B. Student Health and Safety**

1. Code of Conduct
  - a. Expectations for student behavior
  - b. Student leadership development and opportunities
  - c. Social skills
  - d. Consequences for poor choices
  - e. Appropriate Internet and computer usage
  - f. Dress code (appropriate footwear)
2. Wellness
  - a. Nutritional snacks and availability of drinking water
  - b. Proper nutrition
  - c. Recreation and physical activity
  - d. Dental health
  - e. Tobacco, drug, and alcohol prevention
  - f. Resistance behaviors (with regards to poor choices, peer pressures, risky behaviors, bullying, etc.)
  - g. Medicine, student illness, injuries, etc.

3. Transportation
  - a. Check-out procedures
  - b. Parent drop-off and pick-up procedures, including late pickup
  - c. To whom students are released and parent visitation
  - d. Bus transportation procedures
  - e. Bus safety actions procedures
4. Emergency Procedures
  - a. Practice safety drills (fire, lockdown, etc.)
  - b. Maintain emergency contact information
  - c. Immediate inclement weather procedures (tornado, severe storm, flash flooding, etc.)
- C. Student Progress
  1. Goals and objectives of the 21<sup>st</sup> CCLC program
  2. Homework and tutoring
  3. Enrichment opportunities
  4. Communication on student progress with regular school day teachers
  5. Communication with parents and student on student progress
  6. Communication with English Language (EL) students and parents
  7. Parent permission to obtain grades and standardized test results from student's school (should be included in registration form)
  8. Evaluation data collected to determine program's effectiveness (grades, attendance, surveys, standardized test results, etc.)
  9. Goals students set for themselves
  10. How the program will be evaluated
  11. Accommodations for students with IEPs, 504 Plans, and cultural/linguistic needs
  12. Student discipline records and progress
- D. Attendance Policy that includes
  1. Transition from regular school day to 21<sup>st</sup> CCLC program
  2. Maintaining enrollment or inactive status
  3. Incentives and benefits of regular attendance (must be funded by partners if using tangible incentives)
- E. Parent Engagement
  1. Opportunities for parents or parents with students
  2. Communication in various languages
  3. Opportunities for parent feedback and input
  4. Resources for parents
    - a. Outside agencies
    - b. Community resources
  5. Communication on sustainability plan
  6. Community linkage and work with partners
- F. Fiscal Issues
  1. Fraud, Waste and Abuse Policy
  2. Program Fees – Prior written approval from GaDOE is required for implementation
- G. Acknowledgment Page (include signature requirement and date)

## Appendix F – Components of Staff Handbook

*The 21<sup>st</sup> CCLC staff handbook may contain many of the components of the student and parent handbook or may be a supplement to that handbook. Please note that the list below contains recommended items to include in the staff handbook. Subgrantees should design staff handbooks to meet the needs of their program and address the required components. Subgrantees should refer to the FY17 Compliance and Performance Monitoring Form to ensure staff handbooks include all required policies and procedures. Components for the staff handbook should include:*

### A. Student Achievement - Expectations for Staff

1. Program goals and objectives
2. Lesson planning
3. Terms and conditions of employment
  - i. Hiring procedures, including national criminal background checks and fingerprints
4. Schedules, early release, and holidays
5. Enrichment opportunities that support the GSE
6. How progress toward goals and objectives will be measured through continuous assessment and evaluation
7. Assessments of student progress
8. Communication of student progress with students, parents, and regular school day teachers
9. Maximizing student-teacher interactions/instruction
10. Appropriate homework and tutoring practices
11. 21<sup>st</sup> CCLC partners and Advisory Council
12. Results of needs assessment
13. Required documentation
  - a. Communications with regular school day staff (formal and informal contacts)
  - b. Parent contacts
  - c. Parent involvement activities
  - d. Student attendance
  - e. Student progress
  - f. Other

### B. Expectations for Instructional Staff

1. Application process for employment
2. Lesson plans
3. Criteria for formal and informal observations, walk-throughs, and annual performance evaluation
4. Professional learning requirements and additional opportunities
5. Evaluations/feedback/results of poor performance and/or employee disciplinary action (follow district/organization's human resource procedures)
6. Required documentation of time and effort to meet 21<sup>st</sup> CCLC grant guidelines
7. Code of Ethics
8. Role in parent engagement

9. Policies/Procedures
  - a. Written Conflict of Interest Policy
  - b. Written Procurement Procedures
  - c. Written Cash Management Procedures
  - d. Written Allowability Procedures
  - e. Inventory and maintenance of supplies, equipment, and materials
  - f. Internet and computer usage
  - g. Reporting of suspected child abuse, etc.
  - h. Process for reporting fraud, waste, and abuse
  - i. Reporting of sexual harassment
  - j. Complaint procedure
  - k. Non-discriminatory expectations
  - l. Annual national criminal background checks, including fingerprinting
  - m. Instructional staff observations evaluations and subsequent actions
  - n. Confidentiality requirements
  - o. Compliance with ADA, IDEA, other Federal regulations/laws
  - p. Nepotism Policy
  - q. Hiring/Employment Policy
  - r. Written Method for Conducting Technical Evaluations of Proposals and Selecting Recipients
  - s. Written Travel Policy
  
- C. Student Safety
  1. Emergency plan, evacuation routes, and practice drills
  2. Discipline plan at the student, classroom, and grade level
  3. Social skill instruction, anti-bullying strategies, and relationship building with students and parents
  4. Transportation procedures, drop off and pick up procedures
  5. Student Internet usage
  6. Field trip procedures
  
- D. Nuts and Bolts
  1. Obtaining materials and supplies
  2. Safeguarding materials, equipment, and supplies
  3. Reporting staff absences
  4. Staff dress code
  5. Observe copyright laws with copying or using materials
  
- E. Acknowledgement page (should include required signature and date)

## **Appendix G – Suggested List of Agenda Topics for Advisory Council and/or Partner Meetings**

1. Results of the needs assessment
2. Program goals and objectives
3. Basic information about target population, such as the number of students, grade levels, activities, etc.
4. How the 21<sup>st</sup> CCLC program is different from the student's regular school day
5. How the 21<sup>st</sup> CCLC program supports student achievement and aligns with the regular school day
6. Solicit input, perspectives, and questions from Advisory Council members
7. Purpose of 21<sup>st</sup> CCLC and how funding is obtained
8. Innovative practices and programs in other areas
9. Have instructional staff share their learning from professional learning opportunities
10. Invite students and parents to share their experiences and perspectives on the 21<sup>st</sup> CCLC program
11. Invite students to share their work or projects
12. Discuss community issues, goals, and initiatives
13. Conduct a panel discussion with program leaders, school, LEA, state leaders regarding pertinent issues
14. Program results and supporting data (not individual student data due to confidentiality issues)
15. Conduct problem solving (brainstorming, setting priorities, planning) sessions regarding community issues and challenges
16. Sustainability Plan
17. Community resources
18. Have the evaluator discuss formative and summative evaluations
19. Examples of evidence-based activities
20. Parent or family engagement topics



## Appendix H – Resources

*The list below describes some key resources on out-of-school programs, majority of these resources are listed in the 21<sup>st</sup> CCLC non-regulatory guidance. The GaDOE does not endorse the findings or programs that are featured at the websites. This list is not meant to be exclusive.*

**21<sup>st</sup> Century Community Learning Centers –**  
<http://www2.ed.gov/programs/21stcclc/index.html>

**Academy for Educational Development –** [www.afterschool.org](http://www.afterschool.org)

This website is hosted by AED to share practices that are working in out-of-school programs. The website contains practices from programs around the country, and also enables users to talk with other out-of-school staff and share their own practices.

**C. S. Mott Foundation –** [www.mott.org](http://www.mott.org)

The Mott Foundation is a partner of the U.S. Department of Education’s 21st Century Community Learning Centers initiative. The foundation is a private philanthropy that awards grants, in four program areas, in the United States and selected regions internationally.

**ERIC Clearinghouse on Information & Technology –** [www.thegateway.org](http://www.thegateway.org)

This website contains Internet-based lesson plans, curriculum units and other education resources. Browse subject and keyword lists, or search The Gateway. Retrieved records will link directly to the Internet resources they describe.

**The Finance Project –** [www.financeproject.org](http://www.financeproject.org)

This website is part of a series of technical assistance resources on financing and sustaining out-of-school time and community school initiatives developed by The Finance Project, with support from the DeWitt Wallace-Reader's Digest Fund.

**Federal Resources for Educational Excellence (FREE) –** [www.ed.gov/free](http://www.ed.gov/free)

Resources for teaching and learning from 30 Federal agencies with search tools and a bulletin board for teachers and Federal agencies to communicate about potential collaboration on new teaching and learning resources.

**Find Youth Info –** <http://findyouthinfo.gov/>

A website for parents, teachers, out-of-school providers, and children to learn about out-of-school resources from many different government and non-profit agencies.

**Georgia Afterschool & Youth Development Standards –** [georgiaasyd.org](http://georgiaasyd.org)

The Georgia ASYD Quality Standards highlight the important components of high quality programs and are based on national research and best practices.

**Harvard Family Research Project –** [www.gse.harvard.edu/hfrp](http://www.gse.harvard.edu/hfrp)

The Harvard Family Research Project website, sponsored by the Harvard Graduate School of Education, provides information on evaluation and ways to evaluate out-of-school programs.

**The National Governor's Association** – <http://www.nga.org/cms/home.html>

The National Governor's Association has information on schools and out-of-school programs.

**National Institute for Out-of-School Time** – <http://www.niost.org/>

Located at the Center for Research on Women at Wellesley College, the National Institute for Out-of-School Time studies issues and policy regarding children's out-of-school time. Their website contains research and publications about quality management and curriculum for afterschool programs.

**National Network for Child Care (NNCC)** – <http://www.nncc.org/>

The NNCC website houses a database of publications and a listserv supported by the U.S. Department of Agriculture's Cooperative Extension Service.

**North Central Regional Educational Laboratory (NCREL)** – [www.ncrel.org/sdrs](http://www.ncrel.org/sdrs)

Internet resources and examples of out-of-school programs compiled by one of the U.S. Department of Education-funded regional education laboratories.

**U.S. Department of Agriculture** – <http://www.usda.gov/wps/portal/usda/usdahome>

The Child Nutrition program of the Food and Nutrition Service provides information on the out-of-school snack program, including eligibility and reimbursement.

**U.S. Department of Education** – <http://www.ed.gov/>

The Department presents information about national education issues, publications, education statistics, and information about its different offices and programs. For more about out-of-school programs, visit 21st

**U.S. Department of Health and Human Services** – <http://www.hhs.gov/>

The section on Health and Human Child Care Programs, including the Child Care Development Fund, offer useful resources.

**U.S. Department of Justice** – <http://www.justice.gov/>

This site provides information for children and youth on crime prevention, staying safe, volunteer and community service opportunities, and the criminal justice system. *In addition to websites, the following listserv may be of interest:*

**You for Youth** – [www.y4y.ed.gov](http://www.y4y.ed.gov)

Online professional learning community that helps you connect with your colleagues and share what you've learned about best practices. The online community provides professional learning opportunities in areas such as (1) supporting positive relationships with children and youth, (2) providing professional development and technical assistance opportunities, (3) creating partnerships, (4) managing your program, and (5) leading your staff.

### **EDinfo**

Subscribe to this news service listserv with the latest information about the U.S. Department of Education at [www.ed.gov/news.html](http://www.ed.gov/news.html)



## **Appendix J – Reporting Fraud, Waste, or Abuse**

Anyone suspecting fraud, waste, or abuse involving US ED funds or programs should call or write:

Subgrantee Administrator(s)

or

Georgia Department of Education  
Office of Legal Services  
1852 Twin Tower East  
205 Jesse Hill Jr. Drive SE  
Atlanta, GA 30334  
Telephone: (404) 232-1066  
Email: [sdrake@doe.k12.ga.us](mailto:sdrake@doe.k12.ga.us)

or

Office of Inspector General's Hotline (choose the method of contact which best suits you):

Call the OIG Hotline's toll free number 1-800-MIS-USED. The Hotline's operating hours are Monday, Wednesday, and Friday 9:00 am until 11:00 am, Eastern Time; Tuesday and Thursday, 1:00 pm until 3:00 pm, Eastern Time except for holidays.

Complete and submit a Complaint Form (English, Español)

To ensure complete anonymity, download a hardcopy of the special complaint form, complete, and mail to:

Inspector General's Hotline  
Office of Inspector General  
U.S. Department of Education  
400 Maryland Avenue, SW  
Washington, DC 20202-1500

## **Appendix K – Complaint Procedure**

**Georgia Department of Education**  
**Complaint Procedures under the Elementary and Secondary Education Act (ESEA)**

**Section 9304 – General Applicability of State Educational Agency Assurances**

**Section 9503 – Complaint Process for Participation of Private School Children**

**A. Grounds for a Complaint**

Any individual, organization or agency (“complainant”) may file a complaint with the Georgia Department of Education (“Department”) if that individual, organization or agency believes and alleges that a local educational agency (“LEA”), the state educational agency (“SEA”), or an agency or consortium of agencies is violating a Federal statute or regulation that applies to a program under the Elementary and Secondary Education Act. The complaint must allege a violation that occurred not more than one year prior to the date that the complaint is received, unless a longer period is reasonable because the violation is considered systemic or ongoing. This procedure applies to complaints that may involve, relate to 21<sup>st</sup> CCLC.

**B. Complaints Originating at the Local Level**

As part of its Assurances within ESEA program grant applications and pursuant to Section 9306 of the ESEA, an LEA accepting Federal funds also agrees to adopt local written procedures for the receipt and resolution of complaints alleging violations of law in the administration of covered programs. Therefore, for complaints originating at the local level, a complaint should not be filed with the Department until every effort has been made to resolve the issue through local written complaint procedures. If the complainant has tried to file a complaint at the local level to no avail, the complainant must provide the Department with written proof of their attempt to resolve the issue at the local level.

**C. Filing a Complaint**

A complaint must be made in writing and signed by the complainant. The complaint must include the following:

1. A statement that the LEA, SEA, agency or consortium of agencies has violated a requirement of a Federal statute or regulation that applies to an applicable program
2. The date on which the violation occurred
3. The facts on which the statement is based and the specific requirement allegedly violated (include citation to the Federal statute or regulation);
4. A list of the names and telephone numbers of individuals who can provide additional information
5. Whether a complaint has been filed with any other government agency, and if so, which agency
6. Copies of all applicable documents supporting the complainant’s position
7. The address of the complainant

The complaint must be addressed to:

Georgia Department of Education  
Office of Legal Services  
1852 Twin Towers East  
205 Jesse Hill Jr. Drive SE  
Atlanta, GA 30334  
Telephone: (404) 232-1066  
Email: [sdrake@doe.k12.ga.us](mailto:sdrake@doe.k12.ga.us)

Once the complaint is received by the Office of Legal Services, it will be copied and forwarded to the appropriate Federal Program Manager.

#### Investigation of Complaint

Within ten days of receipt of the complaint, the General Counsel or his or her designee will issue a Letter of Acknowledgement to the complainant that contains the following information:

1. The date the Department received the complaint
2. How the complainant may provide additional information
3. A statement of the ways in which the Department may investigate or address the complaint
4. Any other pertinent information

If the complaint involves an LEA, the Department will also send a copy of the Letter of Acknowledgement to the local Superintendent, along with a copy of the complaint. The Department will contact the LEA to clarify the issues and review the complaint process. If the complaint cannot be resolved through this contact, the Department will invite the LEA to submit a written response to the Department, and to provide a copy of the response to the complainant.

Appropriate Department staff will review the information and determine whether:

1. Additional information is needed
2. An on-site investigation must be conducted
3. Must be taken to resolve the issues raised in the complaint
4. A Letter of Findings can be issued

If additional information or an investigation is necessary, the Department will have 60 days from receipt of the information or completion of the investigation to issue a Letter of Findings.

If the Letter of Findings indicates that a violation has been found, corrective action will be required and timelines for completion will be included.

Either the 30-day or the 60-day timelines outlined above may be extended, if exceptional circumstances exist.

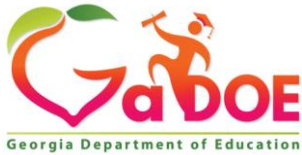
The Letter of Findings will be sent directly to the complainant, as well as the other parties involved.

Right of Appeal

If an individual, organization or agency is aggrieved by the final decision of the Department, that individual, organization or agency has the right to request review of the decision by the United States Secretary of Education. The review is at the Secretary's discretion.

For complaints filed pursuant to Section 9503 (20 U.S.C. § 7883, complaint process for participation of private school children), a complainant may appeal the Department's decision to the United States Secretary of Education no later than 30 days from the date on which the complainant receives the Letter of Findings. The appeal must be accompanied by a copy of the Department's decision and include a complete statement of the reasons supporting the appeal.

**Appendix L – Budget and Program Amendment Process/Form**



1. Subgrantee/Program Name: \_\_\_\_\_ Cohort: FY\_\_\_\_
2. Project Director: \_\_\_\_\_ \* Phone No.: \_\_\_\_\_
3. Email: \_\_\_\_\_ Date: \_\_\_\_\_
4. Please Check One: \_\_\_\_\_ Program Amendment \_\_\_\_\_ Budget Amendment \_\_\_\_\_ Both
5. Amendment No. : a.(Program) PA/ \_\_\_\_\_ b.(Budget)FY18B/ \_\_\_\_\_ c.(Program & Budget)PA/ \_\_\_\_\_ FY18B/ \_\_\_\_\_

<b>6. Current Grant Language:</b> State <b>current language</b> in most recently approved grant or grant amendment and page number that it can be found.	<b>7. Amended Language:</b> Write <b>amended language</b> to reflect requested changes. **	<b>8. Rationale</b> for the proposed change.	<b>9. Implementation:</b> Discuss how the proposed changes will be implemented in line with the approved goals and objectives.

\* If there is a Project Director change, please provide his/her contact information (phone, fax, email, and mailing address) and a copy of his/her resume.



\*\* If there is a change pertaining to a spreadsheet (i.e., budget, site profile form, funding request worksheet), please state “Refer to attached spreadsheet” in Column 7; there is no need to provide a narrative detailing each change within this chart.

**10.** List name and contents of attachments accompanying this amendment, if not already listed in Column 7.

- 11.** Grant amendments must be signed by the grant’s Fiscal Agent, all Joint Applicants, Program Director, and Superintendent/CEO.
- 12.** Please email a signed copy and listed attachments to your Region’s Education Research and Evaluation Specialist or Fiscal Analyst.
- 13.** My signature below indicated that I have read and approved the amended changes to the most recently approved grant application.

---

Signature of Fiscal Agent

---

Date

---

Signature of Joint Applicant or Authorized Designee

---

Date

---

Signature of Program Director

---

Date

---

Signature of Superintendent/CEO

---

Date

Georgia Department of Education Action:

Approved

Not Approved

21<sup>st</sup> CCLC Education Research and Evaluation Specialist \_\_\_\_\_ (signature, date)

21<sup>st</sup> CCLC Fiscal Analyst \_\_\_\_\_ (signature, date)

21<sup>st</sup> CCLC Program Manager \_\_\_\_\_ (signature, date)

**Budget/Program Amendment Form Instructions  
2017-2018**

1	Subgrantee name is the name on grant application. The program name is the unique program identifier, if it has one. For example ABC School District would be the subgrantee name, while ALLSTARS might be the program name. In this example, the subgrantee would write “ABC School District- ALLSTARS”. The cohort would be FY15, FY16, or FY18.
2	Project/program director’s name and phone number
3	Project/program director’s email address. The date is the date the amendment is mailed to GaDOE.
4	Check line to indicate type of amendment: Program, Budget or Both
5a	Insert Program Amendment (PA) number. NOTE: The number should reflect the amendment from the beginning of the subgrant and will continue sequentially until the subgrant ends. The Program Amendment (PA) number will not start over each fiscal year. (Example: PA/1, PA/2, PA/3, etc.)
5b	Insert Budget Amendment (B) number. NOTE: The Budget Amendment (B) number WILL start over each fiscal year. (Example: FY16B/1, FY16B/2, etc. and FY17B/1, FY17B/2, etc. and FY18B/1, FY18B/2, etc.)
5c	Use this line, if your amendment requires BOTH a program and budget amendment. NOTE: Follow the same instructions for 5a and 5b. The amendment numbers MAY not be the same due to the fiscal year. (Example: PA/1, FY12B/1); (Example: PA/2, FY12B/3); (Example: PA/3, FY12B/1)
6	Insert current language in original grant application or most recently approved amendment and the page number where it can be found.
7	Insert amended language to reflect requested change(s) to original grant application or previous approved amendment (Addition or deletion to language). Please note that it is acceptable and encouraged to state “Refer to attached spreadsheet” for changes to spreadsheets, such as budgets, site profile forms, or funding request worksheets. It is not necessary to write out each of the changes, so long as the spreadsheets make it clear what is being changed. Updated funding request worksheets, with total equal to or exceeding original approved worksheets, are needed if requesting a change to the number of students, hours per week, or weeks per year.
8	State the reason for the change. How will this change benefit your subgrant? OR Why is it necessary to make this change? (If this is a change in program director, superintendent, etc., state that.)
9	State how the proposed amendment is consistent with the goals/objectives of the subgrant and how the change will be implemented. To add additional rows, select the “Tab” key when the cursor is in this cell.
10	If attachments accompany the proposed amendment, be sure to name each attachment accordingly.
11	Send an electronic copy to your Regional Education Research and Evaluation Specialist (ERES) and/or Fiscal Analyst (FA).
12	Fiscal agent, joint applicant designee, program director, superintendent/CEO must sign and date the form.

## Appendix M – Grant Closeout Procedures

### Grant Closeout Requirements

#### A. Purpose

The following procedures are to be followed by sub-grantees to close out 21<sup>st</sup> Century Community Learning Centers (21<sup>st</sup> CCLC) awards that have reached the end of their approved funding cycles. These procedures are established in accordance with 2 C.F.R. Part 200 (Uniform Administrative Requirements, Cost Principles and Audit Requirements for Federal Awards) and State of Georgia guidelines, regulations and policies pertaining to closing-out a federal grant.

#### B. Records Retention

While 2 C.F.R. § 200.332 states that all sub-grant-related records must be retained for a period of three (3) years after the award cycle expires, the statute of limitations is five (5) years after the award cycle expires. Therefore, in Georgia, the requirement is that all 21<sup>st</sup> CCLC sub-grantees must retain all records pertinent to the Federal award for five (5) years after the award cycle expires. When the original records are paper, electronic versions may be substituted through the use of duplication or other forms of electronic media. See 2 C.F.R. § 200.335 – Methods for collection, transmission and storage of information.

The retention period for the records begins on the day that the sub-grantee submits to GaDOE its final expenditure report, also known as the Completion Report, or on October 31, whichever date is earlier. For example, the final year Completion Report for FY13 sub-grantees is due October 31, 2017. All records from the start of the award cycle, July 1, 2013, for this sub-grant award must be made available for audits, examinations, excerpts, and transcripts through October 31, 2022, or earlier if the final expenditure report was submitted prior to October 31, 2017.

It is to be noted that the right of access to records remains for as long as the records are retained. It is also to be noted that if any litigation, claim, or audit is started before the end of the five-year period, the records shall be retained until all litigation, claim, or audit findings have been resolved and final action taken.

All records for contractors compensated with 21<sup>st</sup> CCLC funds must also be retained per 2 C.F.R. § 200.332. This includes retaining purchase orders, invoices, receipts, and any and all documentation supporting expenditures associated with the implementation of the grant award services. For further guidance pertaining to this requirement, please see 2 C.F.R. § 200.318.

When establishing storage locations and records access protocols, the sub-grantee must inform the GaDOE 21<sup>st</sup> CCLC program office in writing as to who the designated custodian of the records is and where and how the records may be accessed should the sub-grantee be subject to an audit, monitoring, or other authorized investigation. Finally, all records retained must be stored in such a manner so as to comply with FERPA regulations. See 34 C.F.R. Part 99.

#### C. Equipment and Supplies

2 C.F.R. § 200.313 defines equipment as “tangible personal property (including information technology systems) having a useful life of more than one year and a per-unit acquisition cost which equals or exceeds the lesser of the capitalization level established by the non-Federal entity for financial statement purposes, or \$5,000.” Supplies are defined as “all [other] tangible personal property other than equipment, as defined [above]” according to 2 C.F.R. § 200.314. As previously stated, property and inventory records including acquisition and disposal information should be retained for five years following the close-out of the grant.

Per 2 C.F.R. § 200.313(c), if the program continues once the grant funds cease, the program may continue to use the equipment that was previously acquired. As part of the close-out of an award, or when the program no longer continues to operate, sub-grantees must offer to transfer 21<sup>st</sup> CCLC equipment to other programs or projects currently or previously supported by Federal funds.

Generally, the priority of equipment use after the grant ends is determined in the following order:

1. The equipment is used to sustain the 21<sup>st</sup> CCLC program at the same site. This includes those programs that have reapplied and are projected to receive funding through a subsequent 21<sup>st</sup> CCLC Request for Proposal (RFP).
2. The equipment can be used to support another Federal program (i.e., Title I) at the same site, another site within that organization, or targeted school(s) served by the 21<sup>st</sup> CCLC program. There is no order of preference regarding whether it stays at the current site or another site, so long as it stays within the current fiscal agent.  
Option two should apply to the vast majority of LEAs since school districts, especially those with Title I eligible schools, undoubtedly receive other Federal funds.
3. If there is no other Federal program, the site is free to keep the equipment.

An important caveat to these options is that the GaDOE does have the right to remove the equipment from an expiring program and place it with an existing program. The GaDOE does not plan on exercising this option often, but may do so if extenuating circumstances exist.

In regards to supplies, per 2 C.F.R. § 200.314, when there is “[an] inventory of unused supplies exceeding \$5,000 in total aggregate value upon termination or completion of the project or program and the supplies are not needed for any other Federal award, the [sub-grantee] must retain the supplies for use on other activities or sell them”. In either case, per 2 C.F.R. § 200.313(e)(2), the sub-grantee must compensate the GaDOE an amount calculated by multiplying the current market value or proceeds from sale by the sub-grantee percentage of participation in the cost of the original purchase. If the supplies are sold, the sub-grantee may deduct and retain from grant award \$500 or ten percent of the proceeds, whichever is less, for its selling and handling expenses.

The sub-grantee must submit their disposition of inventory proposal plan to GaDOE by August 31, 2018. Final authorization for the implementation of the disposition plan will be issued by

written approval by GaDOE. Prior to final approval, the GaDOE may conduct an inventory review including a site visit when equipment is being transferred. Once approved, the sub-grantee must update their inventory log with the disposition status. For more information regarding the disposition of equipment and supplies, please refer to Section XI, sub-section G of the 21<sup>st</sup> CCLC FY17 Subgrantee Operations Manual for Sub-grantees. For proper procedures regarding inventory documentation, see Section XI, Property, Materials, and Supplies, in the current Subgrantee Operations Manual.

#### D. Budget Amendment Requests

All final GaDOE 21<sup>st</sup> CCLC program budget amendment requests must be submitted via the Consolidated Application system and approved by May 15<sup>th</sup> for the fiscal year in which the grant award cycle ends.

#### E. Nutrition Programs

If there is no longer a need for a school nutrition program, sub-grantees are required to contact the school district School Nutrition Program Manager to advise him or her of the program ending status. The manager may need to make arrangements to conduct a final site visit where nutrition fiscal records and unique close out requirements will be reviewed. The manager will make you aware of how to prepare for the visit and any other items that may need to be reviewed.

#### F. Reports

All school-year performance reports, including final evaluation reports, certification of Cayen AfterSchool 21 data, and all Cayen Afterschool 21 reporting requirements, required as a condition of the grant award must be completed by the required deadline.

- The final Summative Evaluation report(s) and Common Data Elements form must be submitted to the sub-grantee's Education Research & Evaluation Specialist (ERES) by June 15, 2018.
- The data for Fall 2017 term must be certified in Cayen AS/21 by June 22, 2018.
- The Summer Evaluation report(s) should be submitted to the sub-grantee's ERES by August 31, 2018. All data should be updated in Cayen AS/21 including certification of the Spring 2017 term data.

#### G. Later Disallowances and Adjustments - See 2 C.F.R. § 200.344

The completion of the grant award cycle does not affect:

- a) GaDOE's right to disallow costs and recover funds on the basis of a later audit or other review;
- b) The sub-grantee's obligation to return any funds due as a result of later refunds, corrections, or other transactions;

- c) Records retention as required by GaDOE and 2 C.F.R. § 200.332;
- d) Property management requirements in 2 C.F.R. § 200.311 and 200.313;  
and
- e) Audit requirements in accordance with 2 C.F.R. Part 2, Subpart F.

#### H. Final Closeout

GaDOE will close out a grant when it determines that all applicable administrative actions and all required work of the sub-grantee have been completed and approved.

## **II. Grant Closeout Checklist**

The following are items to consider tracking when you are planning for or are in the process of closing out your 21<sup>st</sup> CCLC program grant award. The list is not all-inclusive, and some items may not apply to your particular situation. Additional actions unique to your situation may also need to occur. These items simply represent GaDOE's 21<sup>st</sup> CCLC requirements and other suggestions.

1. Notify the following persons, in writing, of your program's closing:
  - a. School district officials;
  - b. Your staff;
  - c. Your partners;
  - d. Parents/Families/Legal guardians and their students;
  - e. Governing authorities/board; and
  - f. Any other program stakeholders.
2. Notify families of other possible programs including contact information, if appropriate and available.
3. Develop a comprehensive action timeline for your closeout procedures to occur. The timeline should detail the roles and responsibilities of all impacted individuals and include due dates.
4. Properly close out all vendor contracts and finalize all payment requirements so that nothing remains due or in question.
5. Take appropriate action on all pending invoices to ensure complete payment for goods and services delivered.
6. Submit all requests for reimbursement of allowable expenditures following GaDOE's reimbursement process.
7. Finalize any outstanding monitoring review corrective actions.
8. Submit your final program evaluation as required by GaDOE.
9. Complete the Disposition Proposal and submit to GaDOE (Section X. Sub-Section G. Disposition of Equipment and Supplies in the current Operations Manual for Subgrantees). Please note a site visit by GaDOE staff may be required to complete and verify this step.
10. Submit budget Completion Report by October 31



**Appendix N - Safety Drill Documentation**

**Safety Drill Documentation**

The subgrantee will establish and maintain a written **Emergency Preparedness Plan** designed to manage emergencies or the consequences of natural disasters that may disrupt the normal operational hours of the 21<sup>st</sup> CCLC program site. This Emergency Preparedness Plan will be shared with students, parents and staff. The plan includes procedures for safety drills such as fire drills, tornado/inclement weather drills, and lockdown drills. **The subgrantee conducts regularly scheduled safety drills during program operational hours. It is recommended that one fire drill, one tornado/inclement weather drill, and one lockdown drill be conducted each semester at each site.**

Name of Program \_\_\_\_\_

Site \_\_\_\_\_

Date	Type of Drill	Time Drill Began	Time Drill Ended	Number of <u>Students</u> Participating in Drill	Number of <u>Adults</u> Participating in Drill	Comments

**Appendix O - Cayen Afterschool 21 Calendar**

**FY18 Cayen Afterschool 21 Calendar**

<p><b>July &amp; August 2017</b></p>	<ul style="list-style-type: none"> <li>• Add/Edit Users</li> <li>• District/Grantee Maintenance: Main Info, APR Details, Objectives Add/Update</li> <li>• Grade Scales, Evaluation &amp; School Years: Grade Scales, Evaluation, &amp; Tests</li> <li>• Site Info: Site Staff, Edit Calendar, Funding Sources, APR Info/Reporting Period: APR Reporting, Hours of Operation, Anticipated Info, Prior Operations</li> <li>• Establish Activities &amp; Sessions – Any needed Site Info Defaults</li> <li>• Register Participants &amp; Staff (Different from Staff Info)</li> <li>• GTID Numbers</li> <li>• Begin verifying Summer 2017 data</li> </ul>
<p><b>September 2017</b></p>	<ul style="list-style-type: none"> <li>• Attendance should be updated by the 10<sup>th</sup> of each month, including Inactive Status Update.</li> <li>• Add/Edit Partners: Include any contributions to date</li> <li>• Run Attendance Report, Missing Attendance Report, Staff Background Report</li> <li>• Run All APR Reports in preparation for Summer Evaluation, if applicable. (Due August 31)</li> <li>• Certify Summer 2017 data (date TBD)</li> </ul>
<p><b>October 2017</b></p>	<ul style="list-style-type: none"> <li>• Attendance should be updated by the 10<sup>th</sup> of each month, including Inactive Status Update.</li> <li>• Collect &amp; Enter Quarter 1 Grades</li> <li>• Update Partner Contributions</li> <li>• Certify Spring 2017 data (date TBD)</li> <li>• Run APR Summary and Review Report</li> </ul>
<p><b>November 2017</b></p>	<ul style="list-style-type: none"> <li>• Attendance should be updated by the 10<sup>th</sup> of each month, including Inactive Status Update.</li> <li>• Run Attendance Report, Missing Attendance Report, Staff Background Report</li> <li>• Run APR Summary and Review Report</li> </ul>
<p><b>December 2017</b></p>	<ul style="list-style-type: none"> <li>• Attendance should be updated by the 10<sup>th</sup> of each month, including Inactive Status Update.</li> <li>• Run Attendance Report, Missing Attendance Report, Staff Background Report</li> <li>• Run APR Summary and Review Report</li> </ul>

<b>January 2018</b>	<ul style="list-style-type: none"> <li>• Attendance should be updated by the 10<sup>th</sup> of each month, including Inactive Status Update.</li> <li>• Collect &amp; Enter Quarter 2 Grades</li> <li>• Update Partner Contributions</li> <li>• Run All Reports in preparation for Monitoring &amp; for Formative Assessment (Due Feb 1)</li> </ul>
<b>February 2018</b>	<ul style="list-style-type: none"> <li>• Attendance should be updated by the 10<sup>th</sup> of each month, including Inactive Status Update.</li> <li>• Run Attendance Report, Missing Attendance Report, Staff Background Report</li> </ul>
<b>March 2018</b>	<ul style="list-style-type: none"> <li>• Attendance should be updated by the 10<sup>th</sup> of each month, including Inactive Status Update.</li> <li>• Collect &amp; Enter Quarter 3 Grades</li> <li>• Update Partner Contributions</li> <li>• Run APR Summary and Review Report</li> <li>• Distribute and forward parent, student and teacher surveys</li> </ul>
<b>April 2018</b>	<ul style="list-style-type: none"> <li>• Attendance should be updated by the 10<sup>th</sup> of each month, including Inactive Status Update.</li> <li>• Run Attendance Report, Missing Attendance Report, Staff Background Report</li> <li>• Gather &amp; Enter Survey Results</li> </ul>
<b>May 2018</b>	<ul style="list-style-type: none"> <li>• Attendance should be updated by the 10<sup>th</sup> of each month, including Inactive Status Update.</li> <li>• Gather &amp; Enter Survey Results</li> <li>• Collect &amp; Enter Quarter 4 Grades</li> <li>• Gather &amp; Enter Georgia Milestones Data – (optional to enter in AFTERSCHOOL 21 – the state gathers this data, but you are still responsible for providing results to your external evaluator)</li> <li>• Set up 2018-2019 Term (Summer, Fall, Spring) information - Term, Staff, Registration, Rosters, Activities &amp; Sessions</li> </ul>
<b>June 2018</b>	<ul style="list-style-type: none"> <li>• Attendance should be updated by the 10<sup>th</sup> of each month</li> <li>• Run All Reports in preparation for Certification &amp; Summative Evaluation Report/Common Data Elements Chart (Due June 30)</li> <li>• Fix any missing or incorrect data</li> <li>• Rerun All APR Reports</li> </ul>

**Appendix P - Technology Request Form**

**21<sup>st</sup> Century Community Learning Centers - Technology Request Form**

**Name of Program:** type the name of the program here

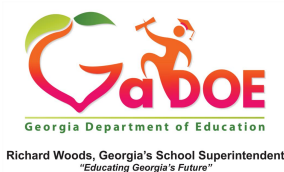
**Person completing form:** type name here

**Date:** \_\_\_\_\_

Complete and submit to ERES for prior approval if requesting 21<sup>st</sup> CCLC reimbursement for technology items such as software, computers, iPads, iPods, Wii, etc. Do not complete if there are no costs or if using other funding resources. ERES will submit to FA for funding approval.

<b>Goals/Objectives:</b> List (write out) the goal(s) and objective(s) in the <u>grant application</u> that is/are associated with this purchase.			
<b>Purpose:</b> Provide a detailed purpose and use for the intended items. Include activities and timeframe for usage.			
<b>Assurances:</b> What assurances will be used so items are used for the 21 <sup>st</sup> CCLC program only?			
<b>Storage:</b> How will the items and accessories be stored for safety to prevent theft or damage?			
<b>Accountability:</b> Describe the check-in/check-out system you will have in place for these items.			
<b>Cost:</b> List cost for each item. Give total for the proposed number of items. (i.e. 6 iPads x \$450 = \$2,700).			
<b>Item (software, computers, iPads, iPods, Wii, etc.)</b>	<b>Qty.</b>	<b>Cost per item</b>	<b>Total</b>
<b>Grand Total</b>			
<b>Program Amendment:</b> Will a program amendment be needed to incorporate the items with your goals and/or objectives? <b>YES or NO</b>			
<b>Budget Amendment:</b> Will a budget amendment be needed to allocate funding? <b>YES or NO</b>			

## Appendix Q - Field Trip Proposal Form



### Field Trip Proposal Form

**Name of Program** type the name of the program here

**Person completing form** type name here

**Date** \_\_\_\_\_

Complete and submit to ERES for prior approval if requesting 21<sup>st</sup> CCLC reimbursement. Do not complete if there are no costs or if using other funding sources. ERES will submit to FA for funding approval.

Form and supporting documentation must be submitted at least two weeks prior to date of requested event.

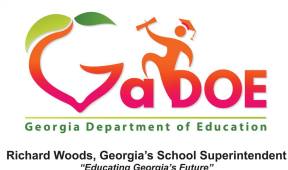
The field trip must have the ability to change grades, bring college awareness, career awareness, support the program goals and objectives as listed in the grant application and have a positive impact on student growth and achievement. They should be connected to the academic or enrichment program and provide an educational experience from which students can grow academically. Field trips for entertainment purposes are not allowable.

If the field trip requires advance purchase of tickets, please note that the GaDOE will only reimburse up to 110% of the actual attendance cost and not necessarily the full cost of pre-purchased tickets for field trips.

<b>Goal:</b> List (write out) the goal(s) from <u>grant application</u> that is associated with this field trip:		
<b>Objective:</b> List (write out) the objective(s) from <u>grant application</u> that is (are) associated with this field trip:		
Description of field trip:		
Date:	Time:	Contact Hours:
Location: Name and address of field trip activity.	Distance: Number of miles round trip.	Type of Transportation

<b>Field trip destination/title/topic (include website link):</b>			
<b>Use the following spaces to provide a description of the field trip purpose as well as a description of the teaching that will occur prior to, during, and after the field trip to make it contextually relevant to student learning. Attach pre-/post-activity worksheets, lesson plans or assessments.</b>			
<b>Purpose:</b>			
<b>Pre-Activity(s):</b>			
<b>Activity(s) during the field trip:</b>			
<b>Post-Activity(s):</b>			
<b>Attendees:</b> List the number of students and chaperones attending. (Suggested staff to student ratio - 1:10)			
<b>Costs:</b>	<b>Qty. or #</b>	<b>Cost per item</b>	<b>Total</b>
Students			
Chaperones			
Mileage Costs- # of miles (Qty) x cost per mile			
Bus Driver Costs (# of drivers x hourly rate x # of hours)			
<b>Grand Total</b>			
<b>Are there funds allocated for this field trip in the approved FY Budget?</b>		<b>Yes</b>	<b>No</b>

## Appendix R - Professional Development Request Form



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

### Professional Learning Request Form

**Name of Program** type the name of the program here

**Person completing form** type name here

**Date** \_\_\_\_\_

Complete and submit to ERES for prior approval if requesting 21<sup>st</sup> CCLC reimbursement. Do not complete if there are no costs or if using other funding resources. ERES will submit to FA for funding approval. Must be submitted at least 2 weeks prior to event.

**Goals/Objectives:** List (write out) the goal(s) and objective(s) in the grant application that is/are associated with this training, workshop, or conference

--

#### Description of training, workshop, or conference

Date	Time	Contact Hours

**Provide title/name/topic of training, workshop or conference**

--

**Where will the training, workshop or conference be held?**

--

**Provide a brief description of the activity/event and describe how you plan to implement information gained from the training, workshop or conference in your 21<sup>st</sup> CCLC program. Include how the training will meet the needs of your students.**

--

<b>Facilitator or Coach:</b> Name of person conducting training or workshop. (Not applicable if conference.)			
Is there a separate fee to the trainer or is this included in participant's costs? If so, list total cost.			\$
<b>Attendees:</b> List the number of attendees and their role below (i.e. 2 site coordinators, 6 teachers):			
<b>Cost:</b> List cost for each attendee. Give total for the proposed number of attendees. (# attendees x cost per person. Example: 6 attendees x \$150 = \$900 registration). Include cost of fuel (# miles x cost per mile = Total cost), room charges (# of nights x cost per night = Total cost), etc., if conference.			
<b>Item (i.e. registration, hotel etc.)</b>	<b>Qty.</b>	<b>Cost per item</b>	<b>Total</b>
<b>Grand Total</b>			

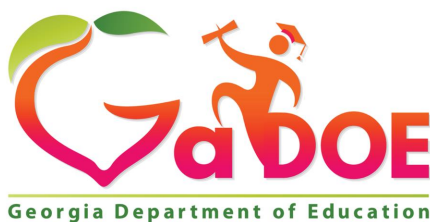


## **Appendix S - Time and Effort Documentation**

### **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 21<sup>st</sup> 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. GaDOE may request documents relating to proof of payment/transfer of payroll

## Appendix T – GaDOE Conflict of Interest Policy



Richard Woods, Georgia's School Superintendent  
*"Educating Georgia's Future"*

### Georgia Department of Education Conflict of Interest and Disclosure Policy

Georgia's conflict of interest and disclosure policy is applicable to entities conducting business on behalf of and /or doing business with the Georgia Department of Education (Department) and entities receiving a grant to implement a program and/or project approved by the State Board of Education. This policy is applicable for entities receiving state and/or Federal funds. Questions regarding the Department's conflict of interest and disclosure policy should be directed to the program manager responsible for the contract, purchase order and/or grant.

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#### Official Entity Name for Fiscal Agent/Subgrant Award Recipient

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#### Subgrantee/Program Name(s) (list names of all subgrants awarded to Fiscal Agent)

##### I. Conflicts of Interest

It is the policy of the Department to avoid doing business with Applicants, subcontractors of Applicants who have a conflict of interest or an appearance of a conflict of interest. The purpose of this policy is to maintain the highest level of integrity within its workforce, and to ensure that the award of grant Agreements is based upon fairness and merit.

##### a. Organizational Conflicts of Interest

All grant applicants ("Applicants") shall provide a statement in their proposal which describes in a concise manner all past, present or planned organizational, financial, contractual or other interest(s) with an organization regulated by the GaDOE, including but not limited to Local Education Agencies (LEAs), or with an organization whose interests may be substantially affected by the Department's activities, and which is related to the work under this grant solicitation. The interest(s) in which conflict may occur shall include those of the Applicant, its affiliates, proposed consultants, proposed subcontractors and key personnel of any of the above. Past interest shall be limited to within one year of the date of the Applicant's grant proposal. Key personnel shall include:

- any person owning more than 20% interest in the Applicant
- the Applicant's corporate officers
- board members

- senior managers
- any employee who is responsible for making a decision or taking an action on this grant application or any resulting Agreement where the decision or action can have an economic or other impact on the interests of a regulated or affected organization.

- i. The Applicant shall describe in detail why it believes, in light of the interest(s) identified in (a) above, that performance of the proposed Agreement can be accomplished in an impartial and objective manner.
- ii. In the absence of any relevant interest identified in (a) above, the Applicant shall submit in its grant application a statement certifying that to the best of its knowledge and belief no affiliation exists relevant to possible conflicts of interest. The Applicant must obtain the same information from potential subcontractors prior to award of a subcontract.
- iii. GaDOE will review the statement submitted and may require additional relevant information from the Applicant. All such information, and any other relevant information known to the Department, will be used to determine whether an award to the Applicant may create a conflict of interest. If any such conflict of interest is found to exist, the Department may:
  1. Disqualify the Applicant, or
  2. Determine that it is otherwise in the best interest of the Department to make an award to the Applicant and include appropriate provisions to mitigate or avoid such conflict in the grant awarded.
- iv. The refusal to provide the disclosure or representation, or any additional information required, may result in disqualification of the Applicant for an award. If nondisclosure or misrepresentation is discovered after award, the resulting grant Agreement may be terminated. If after award the Applicant discovers a conflict of interest with respect to the grant awarded as a result of this solicitation, which could not reasonably have been known prior to award, an immediate and full disclosure shall be made in writing to the Department. The disclosure shall include a full description of the conflict, a description of the action the Applicant has taken, or proposes to take, to avoid or mitigate such conflict. The Department may, however, terminate the Agreement for convenience if the Department deems that termination is in the best interest of the Department.

**b. Employee Relationships**

- i. The Applicant must provide the following information with its application and must provide an information update within 30 days of the award of a contract, any subcontract, or any consultant agreement, or within 30 days of the retention of a Subject Individual or former Department employee subject to this clause:
  1. The names of all Subject Individuals who:

- a. Participated in preparation of proposals for award; or
  - b. Are planned to be used during performance; or
  - c. Are used during performance; and
- ii.** The names of all former Department employees, retained by the Applicant who were employed by the Department during the two year period immediately prior to the date of:
- 1. The award; or
  - 2. Their retention by the Applicant; and
  - 3. The date on which the initial expression of interest in a future financial arrangement was discussed with the Applicant by any former Department employee whose name is required to be provided by the contractor pursuant to subparagraph (ii); and
  - 4. The location where any Subject Individual or former Department employee whose name is required to be provided by the Applicant pursuant to subparagraphs (i) and (ii), are expected to be assigned.
- iii.** "Subject Individual" means a current Department employee or a current Department employee's father, mother, son, daughter, brother, sister, uncle, aunt, first cousin, nephew, niece, husband, wife, father-in-law, mother-in-law, son-in-law, daughter-in-law, brother-in-law, sister-in-law, stepfather, stepmother, stepson, stepdaughter, stepbrother, stepsister, half-brother, half-sister, spouse of an in-law, or a member of his/her household.
- iv.** The Applicant must incorporate this clause into all subcontracts or consultant agreements awarded under this Agreement and must further require that each such subcontractor or consultant incorporate this clause into all subcontracts or consultant agreements at any tier awarded under this Agreement unless the Department determines otherwise.
- v.** The information as it is submitted must be certified as being true and correct. If there is no such information, the certification must so state.

**c. Remedies for Nondisclosure**

The following are possible remedies available to the Department should an Applicant misrepresent or refuse to disclose or misrepresent any information required by this clause:

- 1. Termination of the Agreement.
- 2. Exclusion from subsequent Department grant opportunities.
- 3. Other remedial action as may be permitted or provided by law or regulation or policy or by the terms of the grant agreement.

- d. Annual Certification.** The Applicant must provide annually, based on the anniversary date of Agreement award, the following certification in writing to GaDOE. The annual certification must be submitted with the grantees annual end of year program report.

ANNUAL CERTIFICATION OF DISCLOSURE OF CERTAIN EMPLOYEE RELATIONSHIPS

The Applicant represents and certifies that to the best of its knowledge and belief that during the prior 12-month period (**APPLICANT MUST CHECK AT LEAST ONE BOX BELOW**):

A former Department employee(s), current Department employee, or Subject Individual(s) has been retained to work under the Agreement or subcontract or consultant agreement and complete disclosure has been made.

No former Department employee(s), current Department employee, or Subject Individual(s) has been retained to work under the Agreement or subcontract or consultant agreement, and disclosure is not required.

**II. Disclosure of Conflict of Interest after Agreement Execution**

If after Agreement execution, Applicant discovers a conflict of interest which could not reasonably have been known prior to Agreement execution; an immediate and full disclosure shall be made in writing to the Department. The disclosure shall include a full description of the conflict, a description of the action the Applicant has taken, or proposes to take, to avoid or mitigate such conflict. The Department may, however, terminate this Agreement for convenience if the Department deems that termination is in the best interest of the Department.

**III. Incorporation of Clauses**

The Applicant must incorporate the clauses in paragraphs A, B, and C of this section into all subcontracts or consultant agreements awarded under this Agreement and must further require that each such subcontractor or consultant incorporate this clause into all subcontracts or consultant agreements at any tier awarded under this Agreement unless GaDOE determines otherwise.

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**Signature of Fiscal Agency Head (official subgrant recipient)**

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**Printed Name of Fiscal Agency Head and Position Title**

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**Date**

---

**Signature of Applicant's Authorized Agency Head (required)**

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**Printed Name of Applicant's Authorized Agency Head and Position Title**

---

**Date**

---

**Signature of Co-applicant's Authorized Agency Head (if applicable)**

---

**Printed Name of Co-applicant's Authorized Agency Head and Position Title (if applicable)**

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**Date (if applicable)**

## **Appendix U - Reimbursement Request Processing**

### **21<sup>st</sup> Century Community Learning Centers FY18 Reimbursement Request Processing in GaDOE Invoice Application (Invoice App) portal**

GaDOE reserves the right to require additional supporting documentation (or explanations), not mentioned in this list at any point during the fiscal year.

#### 1. Salary and benefits (for all 21<sup>st</sup> CCLC employees)

##### **LEAs**

1. Payroll system generated report (one or more of: earnings register detail, benefits distribution report, payroll summary)

##### **Non-LEAs**

1. Payroll system generated report or spreadsheet (if payroll system generated report is unavailable)
2. Electronic payment/checks (ADP) register
3. Cancelled checks, if requested by GaDOE

##### **LEAs and Non-LEAs (Optional - if required by GaDOE)**

1. Time and effort documentation (e.g. semi-annual certificates, Personnel Activity Reports (PARs), time-sheets)
2. Proof of salary transfer/payment
3. Copy of employment contract/appointment letter

#### 2. Contractors (any non-employee service providers such as enrichment contractors, external evaluators, professional development trainers, consultants)

1. Invoice
2. Program Director signed approval on the invoice
3. Proof of payment
4. Professional development services: workshop agenda
5. Parent involvement activities: workshop agenda

#### 3. Field Trip Admission Fees

1. Invoice
2. Program Director signed approval on the invoice
3. Proof of payment

#### 4. Student Transportation

1. Invoice from Transportation Department/Transportation service provider
2. Program Director signed approval on the invoice
3. Proof of payment
4. Mileage log (Optional – if required by GaDOE)

5. Travel Expense (e.g. for regular commuting, professional development)

1. Travel Expense Statement and expense receipts, if applicable
2. Professional development and non-routine travel: workshop, conference, or meeting agenda
3. Program Director signed approval on the Travel Expense Statement and invoices (e.g. receipts, bills, airline ticketing invoice)
4. Proof of payment

6. National Criminal Background Check (NCBC)

1. Invoice
2. List of persons covered by the NCBC (indicated on the invoice, for example)
4. Program Director signed approval on the invoice
5. Proof of payment

7. Fidelity Bond and General Liability Insurance (**Non-LEAs only**)

1. Invoice
2. Program Director's signed approval on the invoice
3. Proof of payment

8. Telephone

1. Phone bill reflecting 21<sup>st</sup> CCLC charges (and basis of proration, if applicable)
2. Program Director signed approval on the invoice/bill
3. Proof of payment
4. If reimbursement is for a personal phone used for 21<sup>st</sup> CCLC business purposes, then attach policy/approval from Program Director (or his/her supervisor) endorsing the reimbursement

9. Utilities

1. Utility bill
2. Program Director signed approval on the invoice/bill
3. Proof of payment

10. Indirect Cost

1. General ledger/expense statement that serves as the basis of the indirect cost with annotation indicating how the cost was calculated
2. Journal Entry/General Ledger that demonstrates that the indirect cost has been charged to the 21<sup>st</sup> CCLC sub ledger

11. Purchase of goods and other expenses not categorized above

1. Purchase order
2. Invoice



3. Program Director signed approval on the invoice
4. Proof of payment

**Notes:**

- A. Invoices should be detailed, i.e. information such as nature of service or description of goods purchased, actual dates of service, date-wise site name, number of hours of service, number of students served, number of units purchased, as applicable, should be clearly indicated on the document
- B. Acceptable proof of payment (sub-grantee's choice of **any one** of the following. GaDOE may require more than one from this list).
  1. Detailed general ledger/ (21<sup>st</sup> CCLC sub ledger) reports (that includes date and check numbers, and amounts)
  2. Cancelled checks, if required by GaDOE
  3. Bank statements
  4. Receipts with credit/debit card verification (Note: Please note: hotel bills should indicate zero balance due)
- C. Applicable expenses such as enrichment activity, field trips, parent involvement activities should have corresponding attendance data in Cayen Afterschool 21 portal
- D. Unbudgeted items and expenses that may result in budget overruns may require additional documents, explanation, and a program/budget amendment depending on the magnitude and nature of the expense
- E. If expense is or should be split-funded/prorated across multiple cost objectives, then please attach document explaining basis of cost proration

## Appendix V – Chart of Accounts

### FY18 21<sup>st</sup> Century Community Learning Centers APPROVED CHART OF ACCOUNTS

#### 1000 INSTRUCTION

Instruction includes activities dealing directly with the interaction between teachers and students. Teaching may be provided for students in a school classroom, in another location such as a home or hospital, and in other learning situations such as those involving co-curricular activities. It may also be provided through some other approved medium such as television, radio, telephone, and correspondence. Included here are the activities of aides or classroom assistants of any type (clerks, graders, teaching machines, etc.) which assist in the instructional process.

#### Object Codes to Be Used With Function Code 1000

110	Teacher salaries (Certified Teachers)
140	Para Professionals & Aides Salaries (Non-Certified Teachers)
200	Employee Benefits (FICA, Medicare, TRS, Etc.)
300	Contracted Special Instructors (Jazzercise, Dance, Karate, etc.)
532	Subscription (online software)
610	Supplies (paper, etc.)
611	Supplies – Technology (computer supplies)
612	Computer Software
615	Expendable Equipment (items costing less than \$5000)
616	Expendable Computer Equipment (items costing less than \$5000)
641	Textbooks
642	Books and Periodicals

#### 2100 PUPIL SERVICES

Activities designed to assess and improve the well-being of students and to supplement the teaching process. Activities include guidance, counseling, testing, attendance, social work, health services, etc. Also, include supplemental payments for additional duties such as coaching or supervising extracurricular activities.

#### Object Codes to Be Used with 2100

145	Interpreter (hearing impaired or language)
163	Nurse

#### Object Codes to Be Used with 2100, continued

174	School Psychologist
-----	---------------------

177	Family Services/Parent Coordinator
191	Site Coordinators
200	Employee Benefits
300	Contracted Services (Counselors, Family Coordinator, etc.)
520	Student Liability Insurance
530	Communication
580	Travel
610	Supplies
611	Supplies (Technology related)
612	Computer Software
615	Expendable Equipment
616	Expendable Computer Equipment
641	Textbooks
642	Books and Periodicals
810	Field Trip Admission Fees

## **2210 IMPROVEMENT OF INSTRUCTIONAL SERVICES**

Activities which are designed primarily for assisting instructional staff in planning, developing and evaluating the process of providing challenging learning experiences for students. These activities include curriculum development, techniques of instruction, child development and understanding, staff training and professional development.

### *Object Codes to Be Used with 2210*

113	Substitutes (Certified)
114	Substitutes (Non-Certified)
116	Professional Development Stipends
199	Other Salaries and Compensation
200	Benefits
300	Contracted Services (Group putting on training)
580	Travel to and from training
610	Supplies
810	Registration Fees for Workshops

## **2220 EDUCATIONAL MEDIA SERVICES**

Activities concerned with directing, managing and operating educational media centers. Included are school libraries, audio-visual services and educational television.

### *Object Codes to Be Used with 2220*

165	Media Specialist
200	Benefits
300	Contracts
610	Supplies

## **2230 GENERAL ADMINISTRATION**

Activities concerned with establishing and administering policy for operating a grant program. These include the activities of the members of the Board of Education or Board of Directors. Local activities in interpretation of the laws and statutes and general liability situations are charged here, as are the activities of external auditors. Also, recorded here are activities performed by the superintendent, administrative support personnel and deputy, associate superintendent having overall administrative responsibility.

### *Object Codes to Be Used with 2230*

142	Clerical Staff (e.g. data person)
190	Program Director
200	Benefits
332	Fingerprinting, national criminal background checks
444	Other Rentals (Copier Lease)
520	Surety Bonds (Non-LEAs)
530	Communication
580	Travel (during the course of day to day activities)
610	Supplies (paper, etc.)
611	Supplies (technology related)
612	Computer Software
615	Expendable Equipment (e.g. desk)
616	Expendable Computer Equipment
642	Books (e.g. Reference books on afterschool programs)
810	Registration Fees

## **2300 GENERAL ADMINISTRATION**

Activities concerned with establishing and administering policy for operating a grant program. These include the activities of the members of the Board of Education. Local activities in interpretation of the laws and statutes and general liability situations are charged here, as are the activities of external auditors. Also, recorded here are activities performed by the superintendent, administrative support personnel and deputy, associate superintendent having overall administrative responsibility.

### *Object Codes to Be Used with 2300*

- 300 Contracting Services, External Auditors
- 880 Federal Indirect Cost Charges

## **2500 SUPPORT SERVICES - BUSINESS**

Activities concerned with the fiscal operation of the LUA (Local Unit of Administration), including budgeting, financial and property accounting, payroll, inventory control, internal auditing and managing funds. Also included are purchasing, warehouse and distribution operations, and printing, publishing and duplicating operations.

### *Object Codes to Be Used with 2500*

- 142 Clerical Staff
- 148 Accountant
- 200 Benefits
- 300 Contractors (e.g. CPA firms for Non-LEAs)
- 580 Travel (GaDOE Training)

## **2600 MAINTENANCE AND OPERATION OF PLANT SERVICES**

Activities concerned with keeping the physical plant open, comfortable, and safe for use, and keeping the grounds, buildings, and equipment in effective working condition and state of repair. This includes the activities of maintaining safety in buildings, on the grounds, and in the vicinity of schools. Property insurance expenditures are recorded in this function.

### *Object Codes to Be Used with 2600*

- 186 Custodial Personnel
- 200 Benefits
- 300 Contractors
- 430 Repair and Maintenance
- 441 Rent
- 520 Insurance (Property)
- 620 Utilities (allocated)

## **2700 STUDENT TRANSPORTATION SERVICE**

Activities concerned with the conveyance of students to and from school and trips to school activities. These activities include supervision of student transportation, vehicle operation, servicing and maintenance, bus monitoring and traffic direction. Transportation insurance expenditures are charged to this function.

### Object Codes to Be Used with 2700:

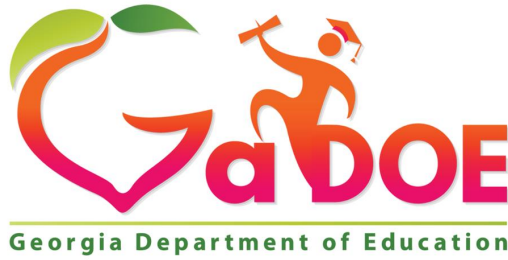
180	Bus Drivers
191	Transportation Administrator
200	Benefits
300	Contractors
430	Repair and Maintenance (Allocated)
511	Student Transportation Purchased from another LEA within the State
519	Non-school forms of transportation
520	Insurance
595	LEA transportation
620	Mileage

## **2900 OTHER SUPPORT SERVICES**

All other support services not properly classified elsewhere in the 2000 series.

### Object Codes to Be Used with 2900

300	Program Evaluator
810	Dues and Fees (membership fees in professional service organizations that pertain to the 21 <sup>st</sup> CCLC program)



Richard Woods, Georgia's School Superintendent  
*"Educating Georgia's Future"*

## 21<sup>st</sup> Century Community Learning Centers (21<sup>st</sup> CCLC) FY18 Subgrantee Operations Manual Acknowledgement Form

As Program Director for \_\_\_\_\_ (subgrant), I have received and read the 2017-2018 21<sup>st</sup> CCLC Subgrantee Operations Manual.

Name (printed): \_\_\_\_\_

Title: \_\_\_\_\_

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

As Fiscal Agent for \_\_\_\_\_ (subgrant), I have received and read the 2017-2018 21<sup>st</sup> CCLC Operations Manual.

Name (printed): \_\_\_\_\_

Title: \_\_\_\_\_

Signature: \_\_\_\_\_

Date: \_\_\_\_\_