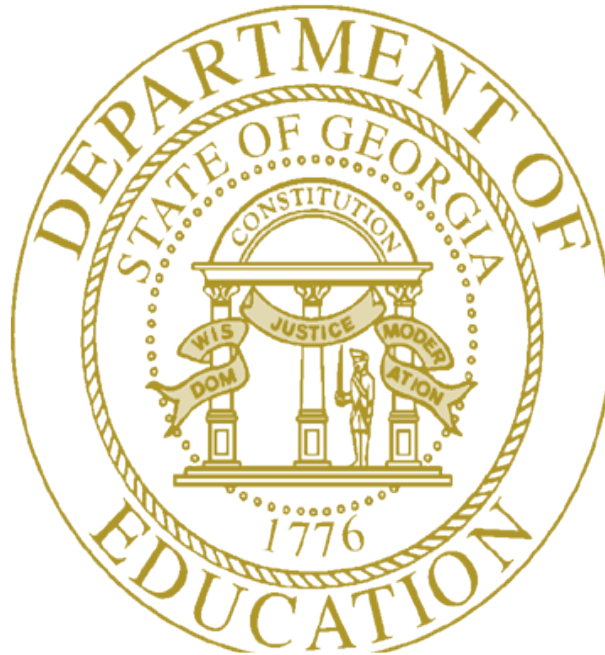


School Improvement
Federal Programs



21st Century Community
Learning Centers Program

Operations Manual for Sub-grantees

2011-2012

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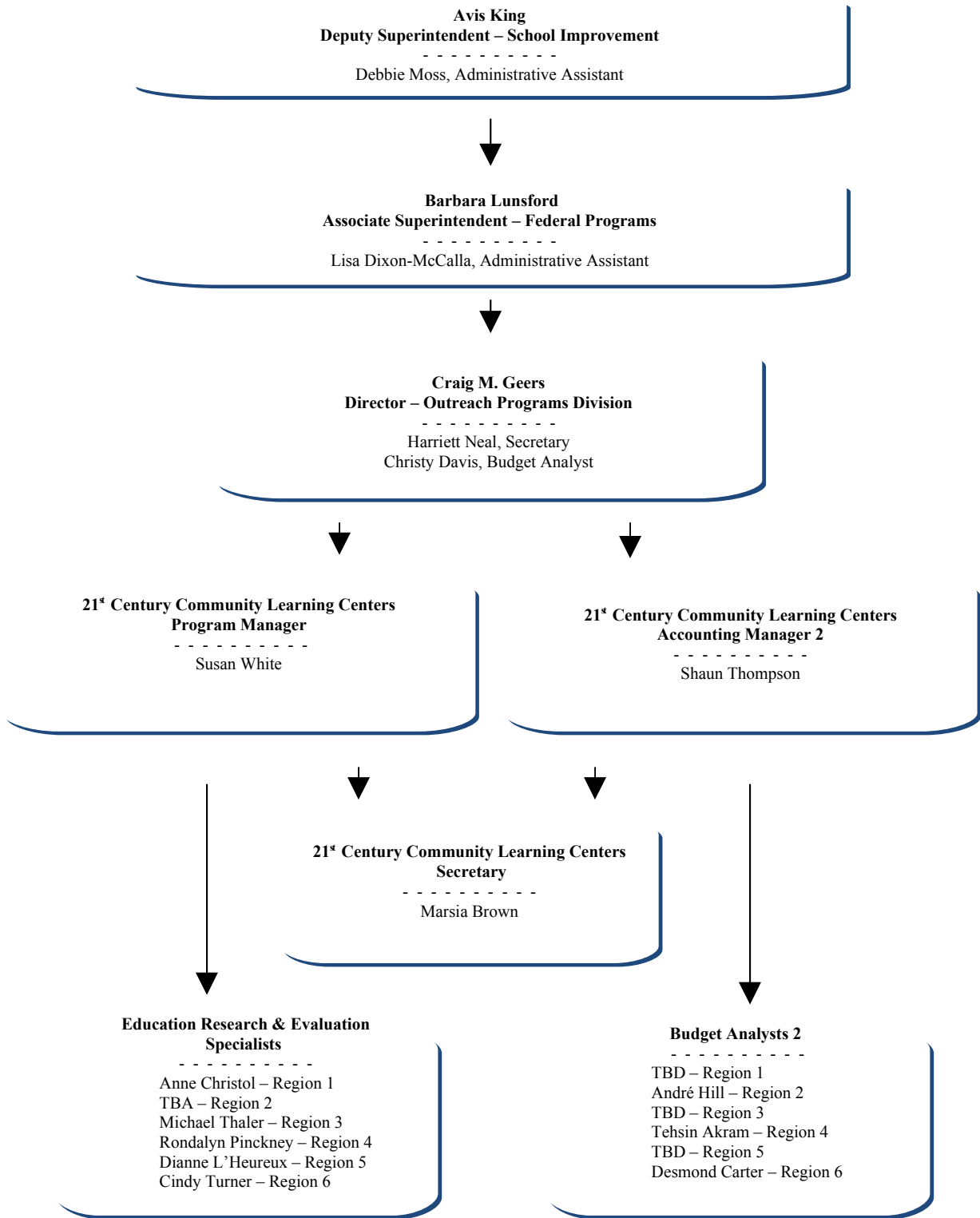
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I. Organizational Chart



II. Disclaimer and Original Sources

This manual is provided as a resource for 21st Century Community Learning Centers (21stCCLC) program Sub-grantees. It is intended to provide uniform practices to ensure fidelity in the implementation of the 21st 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 Sub-grantees during their annual training and are available on the 21st CCLC website.

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 Sub-grantees.

U.S. Department of Education (US ED)

www.ed.gov

Georgia Department of Education 21st CCLC

http://gadoe.org/ci_iap_learning.aspx

The Elementary and Secondary Education Act (ESEA)

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

21st Century Community Learning Centers - Legislation

<http://www.ed.gov/programs/21stcclc/index.html>

21st Century Community Learning Centers - Guidance

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

Office of Management and Budget (OMB) Circulars

OMB Circulars A-87, A-122, A-21

<http://www.whitehouse.gov/omb/circulars/>

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://www.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

III. Program Description

The 21st Century Community Learning Centers (21st 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 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 "clients". Respect their time. This program is optional, not required, so the activities need to be attractive, as well as effective.

We want to improve academic achievement, but we also want students to be successful in enrichment opportunities. 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 set students up to succeed. 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.

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

Remember that the 21st CCLC grant requires equitable participation of private school students, special education students, teachers, and other educational personnel who are a part of the target population. Your Education Research and Evaluation Specialist (ERES), at the annual monitoring visit will need to see documentation of letters sent to private schools, a list of your private schools, and documentation of any consultations or efforts to provide equitable participation of private school students.

IV. Fidelity to Approve Grant Application

a. Grant approved by the State Board of Education

Sub-grantees receive annual written Grant Award Notification letters from GaDOE regarding the State Board of Education (SBOE) approved funding allocation for the 21st CCLC program for each year within the three-year award period. The grant period is concurrent with the Federal fiscal year, July 1st – September 30th, 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, current year, as well as the annual award assurances. Grant awards must be accepted/approved by the Sub-grantee's local Board of Education or Board of Directors, whichever is applicable. Award letters and documented evidence of Board approval must be maintained for monitoring purposes.

The US ED will not permit a Sub-grantee to change the project's scope that was originally outlined in the application scored by the reviewers during the application reader scoring process. This policy is designed to provide basic fairness to applicants for discretionary sub-grants.

b. Fidelity to Grant Application: Grant Application Components

1. Know Your Grant Proposal

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 should align with the proposal's objectives and description.

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 measureable 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 and snack time, unless organized activities occur during snack time
- f. Creation of and maintenance of rosters

- g. Creation, communication, and documentation of activities and lesson plans
- h. Obtainment of materials and equipment; creation of updated inventories following guidelines
- i. Correlation of out-of-school activities to Common Core Georgia Performance Standards (CCGPS) supports the students' regular school program
- j. Establishment of and communication of required policies and procedures (see Section G)

2. Staffing and Professional Development

- a. Staffing organization
 - i. Implementation of the program's organizational, managerial, and staffing structure
 - ii. Hiring of appropriate staff
 - iii. Utilization of district/organizational hiring procedures
 - iv. Verification of instructional staff's possession of required certifications/qualifications
 - v. Acquisition of annual national criminal background checks on all staff prior to employment
 - vi. Collection of fingerprinting information prior to employment
 - vii. Compliance with district plan for managing poor performance among staff
- b. Professional learning plan
 - i. Yearly schedule of professional learning opportunities
 - ii. Agendas
 - iii. Staff rosters with attendance – sign-in sheets by participants a requirement for each planned opportunity
 - iv. Collection of evaluations on professional learning
- c. Job descriptions of key personnel with required qualifications
 - i. Program directors (see Appendix D)
 - ii. Site coordinators
 - iii. Teachers
 - iv. Support staff
 - v. Evaluator (see Appendix C)
- d. Time and effort records maintained
 - i. Daily or weekly completion of timesheets
 - ii. If needed, completion of PARs at least monthly (section IX.G.3)
 - iii. Offering of specific detail as to the type of 21st 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

- a. Establishment of advisory council and operating procedures for the council
- b. Mandatory inclusion of at least two parents and two students by selected advisory council members, as well as other community partners and stakeholders

- c. Determination of advisory council meeting dates (minimum of 2 times per year)
(see Appendix G)
 - d. Keeping and filing of copies of invitations, agendas, sign-in sheets, notification, etc., for monitoring
 - e. Offering of snacks via partnerships.
4. Communication
- a. Specific program information for target community provided
 - b. Student/parent handbook (see Appendix E)
 - c. 21st CCLC staff handbook (see Appendix F)
 - d. 21st CCLC staff communication with parents
 - e. Communication with community and stakeholders
 - f. Communication with principals, superintendents/CEO, and other regular day staff
 - g. Details/methods of communication in appropriate language(s)
 - h. Documentation of communications (notes, agendas, sign-in sheets, evaluations, notifications, reminders, emails etc.)
 - i. Reports to parents and regular school day teachers on student progress
5. Safety and Transportation
- a. On-site safety
 - b. Regularly (at least twice per semester) scheduled safety, emergency drills (keep a log of drills to include type of drill, date, time, etc.). Safety drills include, but are not limited to fire drills, tornado, lockdown, 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
 - i. Written emergency preparedness plan
6. Sustainability Plan
- 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.
 - c. Communication with stakeholders regarding progress and program results
 - d. Summative evaluation:

- i. Certify data in June
- ii. Evaluation report and common data elements worksheet due on or before June 30th
- iii. Close out procedures at the conclusion of grant period

D. Program Amendments

Sub-grantees must obtain the prior approval of GaDOE 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)
2. Changes in key personnel (fiscal agent or program directors)
3. Obtaining 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 EDGAR 80.36 but does not apply to the procurement of equipment, supplies, and general support services
4. A request for prior approval of any budget revision (see Appendix L)

E. Record Keeping

It is essential that Sub-grantees maintain documentation and make such documentation available upon request to GaDOE and/or any individual acting on behalf of GaDOE. Records must be maintained for three years after the completion of the grant award.

If any litigation, claim, or audit is started before the end of the three-year period, the records shall be retained until all litigation, claim, or audit findings have been resolved and final action taken. Specific details regarding this requirement are in EDGAR.

Filing and documentation system for grant program and individual sites should be established. Sub-grantees 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.

(For further information, see *Illuminate* webinar from Oct. 23, 2009 – “What and How to Document.” Log in as *guest*.)

http://illuminate.gavirtualschool.org/doe/play_recording.html?recordingId=1254343581906_1256308245484

V. Requirements for the First 30 Days of the Annual Grant

A. Required training for program leaders

Sub-grantee program managers and fiscal designees must attend the initial training sessions offered by the Department of Education 21st CCLC Program.

B. Budget submission

The budget is submitted through the Consolidated Application within 30 days of receiving the grant award notice. Deadline is **August 21, 2012**.

C. Review Federal and state rules and regulations

Program directors should review the following resources to ensure program and staff compliance:

- Review your approved grant application,
- The Operations Manual for Sub-grantees (Read the Manual; sign off required)
- Yearly calendar of events and deadlines
- The Georgia Department of Education (GaDOE)'s 21st CCLC information (http://public.doe.k12.ga.us/ci_iap_learning.aspx)
- Federal government's Non-regulatory Guidance (on training CD provided by GaDOE and at <http://www2.ed.gov/programs/21stcclc/legislation.html>.)
- Education Department General Administrative Regulations (EDGAR)
- The 21st CCLC statute
- OMB Circulars A-87, A-122, A-21.

D. Parent/student and staff handbooks

Develop and maintain student/parent and staff handbooks for staff and students

E. Grant assurances

Grant Assurances, are reviewed, signed and returned to GaDOE within 30 days of the grant award. Deadline is **August 21, 2012**.

F. Staffing/hiring

Staffs are hired according to the district/organization's procedures and policies.

Document and file evidence of the following:

Annual national criminal background checks,

Fingerprinting is completed at hiring time,

Staff, students, and parents are oriented to the program,

Professional learning plan and subsequent scheduled opportunities are shared with staff,

Staff are well informed about their job descriptions, performance expectations, and information regarding their job performance evaluations,

Staff entered and updated in Cayen AfterSchool 21.

G. Required policies and procedures

Required policies and procedures are established, documented and communicated

Conflict of interest,

Reporting of suspected child abuse,

Process for reporting fraud, waste, and abuse,

Complaint procedure (See Appendix),

Non-discriminatory expectations (see Assurances in Appendix),

Annual national criminal background checks,

Instructional staff evaluations and subsequent actions,

Confidentiality requirements,

Compliance with ADA, IDEA, other Federal regulations/laws,

Attendance,

Transportation,

Internet and technology usage for staff and students,

Emergency/Safety procedures.

H. Student registration

Student registration must be recorded and completed in the data system

AfterSchool 21 within 30 days of student enrolling.

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 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 21st 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. Establishing Storage Locations and Records Access Protocol

It is required that the sub-grantee 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.

Requirements for the First 60 Days of the Annual Grant

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

Non-LEA Sub-grantees are required to secure a Fidelity Bond listed in favor of GaDOE. The Fidelity Bond must be issued in the amount equal to 25 percent of the annual grant award. The 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 “certificate holder.” Sub-grantees must provide GaDOE a copy of the bond and policy within 60 days of receiving the Grant Award Notification. Failure to comply with this deadline may result in the termination of the grant.

b. Complete Self-Assessment

Complete the self-assessments specified by your ERES found in the “Building and Managing Quality Afterschool Programs” publication. Provide preliminary rubric scores to your ERES on the appropriate form (see Appendix M). You will need to complete this self-assessment again at the end of the year.

c. On-site Visit

Your assigned ERES will schedule an on-site visit to the new Sub-grantees within 60 days of the start of programming.

d. External Evaluator

External evaluator is selected, and expectations are reviewed, and regularly scheduled meetings are determined (see Appendix C). It is recommended that student progress be reviewed by the external evaluator every grading period. Contracts with evaluators should be completed outlining deliverables, timelines, expectations, and due dates. Since the agreement involves payment, a contract should be used instead of a Memorandum of Understanding.

e. High-Risk Determination

“High-risk” determination, if needed, is communicated to Sub-grantee and Superintendent/CEO in writing. Subsequent actions are communicated in writing. (Note that “high-risk” determination may be instituted at any point during the grant period.)

f. Collaborate with Regular School Staff

Establish important collaboration with students’ regular school day staff, particularly with local school principals. Document collaborative communications, for example, emails, phone logs, meeting agendas, informal conversations, and passport reports between teachers, etc.

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

1. Setting mutual goals and objectives that support local school improvement plans and increase student achievement
2. Fostering communication between students' regular school day staff and out-of-school staff
3. Promoting parent engagement
4. Recruiting students who are in the sub-grant's targeted population
5. Working with regular school day staff to increase student achievement
6. Aligning extended learning activities to local academic standards and GPS
7. Providing feedback with regard to student performance
8. Sharing instructional practices
9. Promoting access to facilities
10. Providing resources or assistance
11. Sharing student achievement data

g. Advisory Council Meetings

Schedule Advisory Council Meetings for the year (see Appendix G).

h. Fall Term Grades are Recorded

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

VI. Effective Data Collection and Program Evaluation

A. Measureable Goals and Objectives

1. See applicable pages of the grant application or Request for Application (RFA) on the 21st CCLC website for specific guidance.
2. All goals and objectives should be shared with partners, regular school staff, out-of-school staff, parents, evaluator, and students.
3. End-of-the-year results on goals and objectives will be reported in CAYEN AfterSchool 21.

b. Progress Monitoring and Formative Evaluations

Each Sub-grantee 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. The results of the formative evaluations must 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
3. The format for the formative evaluation is provided by the 21st CCLC department. The written formative evaluation reports must contain, at minimum, the following elements:
 - a. *Student Attendance*: Data on average daily attendance and enrollment at each site
 - b. *Program Operation*: Synopsis of current level of operation at each site
 - c. *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)
 - d. *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 AfterSchool 21's online User's Manual for specific instructions.)

1. Georgia Testing Identification (GTID) numbers should be entered for all students.
2. All students should be registered into CAYEN AfterSchool 21 at the beginning of the program; set up term calendar.
3. Build rosters in CAYEN AfterSchool 21.
4. Daily attendance should be taken and recorded in a timely manner.
5. Grades should be entered for each grading period for reading and math (you may enter other subject grades as determined by your program's goals and objectives). If middle or high school students do not have reading grades, enter language arts grades.
6. Standardized test scores should be entered. Criterion References Competency Test (CRCT) scores should be entered for students in grades 3-8, end of course tests (EOCT) for Language Arts and Math should be entered for grades 9-11 and Georgia High School Graduation Test (GHS GT) scores for students in grade 12.

7. Sub-grantees have the option to use CAYEN AfterSchool 21 to generate surveys as one tool to assess the effectiveness of the program for their students. Teacher surveys are required; however, and results must be entered into CAYEN AfterSchool 21 at the end of the year.
8. Data must be certified by the Program Director for school year program by June 30th. Complete Annual Performance Report (APR) Certification Summary in CAYEN AfterSchool 21.

d. Summative Evaluation Requirements

Each 21st CCLC program must submit a summative evaluation report by June 30th. The summative report, which is prepared by the third party 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. Overview and History
This section should contain a general overview of the Sub-grantee's 21st 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.
2. Student Attendance and Enrollment
 - a. Student enrollment (per site and for the grant as a whole); enrollment should include total enrollment and the number and percentage of which were regular attendees (attending >30 days).
 - b. Average daily attendance (per site)
 - c. Student demographics (e.g., gender, ethnicity)
3. 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).
4. Quality of Staffing
The composition of site staff is one method for assessing the quality and breadth of a 21st 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 utilization of certified teachers.
5. Common Data Elements page
6. Objective Assessment
Within the grant application, 21st CCLC programs proposed 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.
7. Other Observations (*Optional*)
If appropriate, provide other relevant findings pertaining to the 21st 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 program's partnerships (e.g., partnership development, partner maintenance, and contributions to the program).

9. Overall Recommendations

Provide an overall assessment of the 21st CCLC program, as well as any program-wide recommendations to enhance program quality.

The summative evaluation report is required of all 21st 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 21st 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 years two and three. Failure to show adequate progress towards achieving objectives may result in discontinuation of funding or increased monitoring, audit, and evaluation efforts by GaDOE.

VII. Parent Involvement

A. Parent Engagement Activities

Establish and schedule parent engagement activities. Some activities may include various classes such as financial planning, parenting skills, typing, art night, game night, reading night, etc.

b. Documentation

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

Sample Sign-in Sheet

Date	Printed Name	Signature	Role (parent, guardian, student)

c. Literacy Activities

Specify activities that encourage or enhance literacy in the home for 21st CCLC students. Examples of activities include GED preparation or English classes.

VIII. Financial Management Principles

A. Fiscal Requirement

It is important to note that this is a reimbursement only grant. The Sub-grantees must initially expend their own funds prior to receiving reimbursement from GaDOE. Therefore, it is highly recommended and expected that all Sub-grantees have the capital to sustain full program operations for a minimum of three months. GaDOE will not reimburse funded Sub-grantees for expenditures that are not allowable under the 21st CCLC program and for expenditures that are not in the approved budget.

The Georgia Online Reporting System (GAORS) and the Consolidated Application portal 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.

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
 - i. To ensure effective and efficient operations
 - ii. To ensure reliability of financial reporting
 - iii. To ensure compliance with applicable laws and regulations.
 - b. Operating Controls
 - i. Fiduciary 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.
 - 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.g., OMB Circulars A-87, A-21; A-122 Cost Principles, Regulatory and Non-Regulatory Guidance; EDGAR; and Code of Federal Regulations).

- e. Sub-grantee Monitoring
 - i. Inform Sub-grantee(s) of grant requirements.
 - ii. Conduct periodic reviews to ensure that Sub-grantee has satisfied all Federal grant reporting and recordkeeping requirements; monitor internal operating and accounting control systems.
 - f. Document Control System
 - i. Develop written documentation of 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.
 6. Request any further “prior approvals” when identified.
 7. 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.
 8. Prepare necessary reports
 - a. Source Documentation
 - i. Appropriately support transactions entered into the Sub-grantee’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 Sub-grantee’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.
 9. Maximize site visits by GaDOE to enhance program, show organizational strength, and demonstrate commitment to the project.
 10. Keep GaDOE and the public aware and informed about grant project progress.
 11. Evaluate the extent to which measurable project objectives are being met.
 12. Liquidate all obligations incurred under the award within the set deadline.
 13. Ensure and oversee the performance of final audits and resolution of findings.
 14. Establish an adequate system for records retention.

c. Use of Funds

Section 4205 of Title IV, Part B provides that a Sub-grantee 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 Sub-grantee 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.

These basic guidelines should be followed when determining the allowability of charges to a Federal grant. To be allowable under the 21st CCLC program, costs must meet the following general criteria:

1. Be necessary and reasonable for the proper and efficient performance and administration of the 21st CCLC program
2. Be allocable to the 21st CCLC program
3. Be authorized or not prohibited under state or local laws or regulations
4. Be consistent with uniform policies of other Federal and non-Federal activities
5. Be accorded consistent treatment
6. Be in accordance with generally accepted accounting principles
7. Not be included as a cost or used to meet a cost sharing or matching requirement of any other Federal program
8. Be net of all applicable credits
9. Be adequately documented

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) applicable circulars.

Sub-grantees 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, or local funds available to support activities allowable under the 21st CCLC program.

d. Allowable Costs (21st CCLC – Non-Regulatory Guidance)

1. Salaries and fringe benefits
2. Professional learning and training
3. Consultants, subcontractors, and evaluators
4. Classroom materials and supplies
5. Remedial education activities and academic enrichment learning programs, including providing additional assistance to students to allow the students to improve their academic achievement
6. Mathematics and science education activities
7. Arts and music education activities
8. Entrepreneurial education programs
9. Tutoring services (including those provided by senior citizen volunteers) and mentoring programs
10. Programs that provide out-of-school activities for limited English proficient students that emphasize language skills and academic achievement
11. Recreational activities

12. Telecommunications and technology education programs
13. Expanded library service hours
14. Programs that promote parental involvement and family literacy
15. Programs that provide assistance to students who have been truant, suspended, or expelled to allow these students to improve their academic achievement
16. Drug and violence prevention programs, counseling programs, and character education programs

e. Unallowable Costs

1. District-level expenses not directly or clearly related to the program
2. Costs to develop, prepare, or write the 21st CCLC proposal cannot be charged to the grant directly or indirectly by either the agency or contractor without prior USED approval.
3. Pre-award costs may not be charged against the grant funds can be used only for activities conducted and costs incurred after the start date of the grant.
4. A field trip without the approved academic support is considered entertainment.
5. End-of-year celebrations or food associated with parties or socials are non-allowable expenditures.
6. Unapproved out-of-state or overnight field trips, including retreats, lock-ins, etc.
7. Incentives (e.g., plaques, trophies, stickers, t-shirts, give-a-ways)
8. Advertisements, promotional, or marketing items
9. Decorative items
10. Purchase of facilities or vehicles (e.g., buses, vans, cars)
11. Land acquisition
12. Capital improvements, permanent renovations
13. Supplanting Federal, state, or local funds (e.g., using grant dollars to fund summer school classes previously offered and paid for by district or other funds)
14. Direct charges for items or services that the indirect cost rate covers
15. Dues to organizations, federations, or societies for personal benefits
16. Any costs not allowable for Federal programs per EDGAR or per OMB Cost Principles Circulars (A-21, A-87, and A-122)

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 Budget Analyst, consult the appropriate OMB Circulars, or email your questions to 21stCCLC@doe.k12.ga.us or your ERES.

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 control 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.

g. Salaries, Wages, and Benefits

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.

An employee's compensation charged to the 21st CCLC grant must be supported by auditable documentation that meets the standards of: 2 CFR Part 220 (OMB Circular A-21 Cost Principles for Educational Institutions – colleges and universities); 2 CFR Part 225 (OMB Circular A-87 Cost Principles for State, Local, and Indian Tribal Governments – state and LEAs); or 2 CFR Part 230 (OMB Circular A-122 Cost Principles for Non-Profit Organizations). Such documentation includes payroll records in accordance with the practice of the agency.

The percentage of costs of an employee's salaries and wages charged to the 21st CCLC grant award may not exceed the percentage of time the employee actually worked on the allowable activities associated with the 21st CCLC grant. The OMB Circulars require 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 21st 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.

2. Employee Benefits

Fringe benefits paid to 21st 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. Documentation with PARs.

For the purpose of this document, "cost objective" means a program function or activity. The 21st CCLC program is considered a cost objective. 2 CFR Parts 220, 225, and 230 are policy directives affecting what costs must be documented. The requirement for

maintaining time distribution records are in addition to those for payroll documentation. If an employee works solely on the 21st 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 21st CCLC program. A semi-annual certification certifies that the employee has worked 100 percent of his/her time on the 21st 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 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 21st CCLC program and some other program or activity; a PAR is required. The Federal government requires that a PAR is required for employees who work on multiple cost objectives.

- a. Employee assignments and/or objectives requiring a PAR
 - a. More than one Federal award
 - 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

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 21st 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. Cost charged to the 21st 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
- #### 5. "Compensation for Federal Services"

Some of the most complex (and most commonly faced) costs to Federal programs fall under the broad category of "compensation for personnel services." The three sets of cost principles (OMB Circulars A-21, A-87, and A-122) reflect fairly significant differences when it comes to compensation for personnel services, and each circular should be consulted directly for comprehensive rules:

- a. OMB Circular A-21, Cost Principles for Educational Institutions provides guidance for colleges and universities.

- b. OMB Circular A-87, Cost Principles for State, Local, & Indian Tribal Governments provides guidance for state and LEAs.
- c. OMB Circular A-122, Cost Principles for Non-Profit Organizations provides guidance for non-profit organizations.

The type of agency awarded a 21st 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.

Statutory Requirements: Sections 4203(a)(9) & 4204(b)(2)(G) of Title IV, Part B
Regulatory Requirements: 2 CFR Part 225; 2 CFR Part 220; 2CFR Part 230; 34 CFR 80.42(a)(1) of EDGAR; US ED Non-Regulatory Guidance

h. Fees and Program Income

Please 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 program activities specified in the grant application.

All programs must receive written approval from GaDOE prior to implementing a fee-based system and comply with the conditions of the award and with applicable statutes, regulations, and policies of the 21st CCLC program.

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. Section 4203(a)(9) of Title IV, Part B requires that the 21st CCLC project funds supplement (increase), and not supplant (replace) existing funding for the activities allowed in the project. The statute requires that state and LEAs use Federal funds only to supplement the amount of funds available from non-Federal sources for the education of students participating in 21st CCLC programs. The local educational agency (LEA) cannot use these funds to supplant funds that would, in the absence of 21st CCLC funds, have been spent on participating students.

The US ED's section in the OMB Circular A-133 Compliance Supplement (a guide for auditors performing single audits) listed some of these sample situations in which supplanting is presumed to have occurred:

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

Statutory Requirements: Section 4204(b)(G) of Title IV, Part B
Regulatory Requirements: 20 U.S.C. 7174(b)(2)(G); US ED, Non-Regulatory Guidance, February 2003, Page 7; 2 CFR Part 220 (OMB Circular A-21),
2 CFR Part 225 (OMB Circular A-87) & 2 CFR Part 230 (OMB Circular A-122)

j. Indirect Costs for Sub-grantees

Indirect cost differs from direct costs because they 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 has been given authority by the US ED to negotiate indirect cost proposals and to approve indirect cost rates for school districts. 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.

Regulatory Requirement: 2 CFR Part 225 [OMB Circular A-87]

k. Procurement of Contractual Services

Procurement of contractual services refers to the Sub-grantee purchasing the services of a vendor or contractor. Sub-grantees must establish procurement procedures that reflect applicable state and local laws and regulations, provided that the procurements conform to applicable Federal law and the standards identified in 34 CFR Part 80.36. Sub-grantees are required to administer contracts in a manner that ensures the contractor performs in accordance with the terms, conditions, and specifications of the contract or purchase order. Section 287.058 F. S. requires every contract to contain a written agreement describing all provisions and conditions of the contractual services.

Georgia statute allows the use of a purchase order instead of a written agreement. However, the purchase order must contain an adequate description of the service, the contract period, and the method of payment. Regardless of whether a purchase order or written agreement is used, the document must contain clear and specific language regarding 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. 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. If using a purchase order, the purchase order should state that the terms may not be modified by the vendor.

In accordance with 34 CFR Part 85, Sections 85.105 and 85.110, applicants are required for certain contractual services certify that they are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any

Federal department or agency. In addition, OMB Circular A-133 provides that recipients of Federal funds must verify that contractors are not suspended or debarred or otherwise excluded from receiving Federal funds. Prior to contracting with vendors and their principals, Sub-grantees should determine if certification of debarment and suspension is required for the contractual services in question. If certification is a requirement, the Sub-grantee must verify that the vendors and their principals are not suspended, debarred, or otherwise excluded from receiving Federal funds. Sub-grantees should 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. Sub-grantees must access the State of Georgia Suspended and Debarred Suppliers list at <http://doas.ga.gov/StateLocal/SPD/Contracts/Pages/SpdDebar.aspx> and the Federal EPLS at www.epls.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.

Statutory Requirements: Section 287.058 F. S.

Regulatory Requirements: 34 CFR Part 80.36; 34 CFR Part 85, Sections 85.105 and 85.110 of EDGAR; OMB Circular A-133; OMB Circular A-133 and the Compliance Supplement to OMB Circular A-133

I. Memorandums of Understanding (MOU) or Memorandums of Agreement (MOA)

MOUs and MOAs can be binding, non-binding or partly binding and partly non-binding. It all depends on the intention of the parties and the drafting of the agreement. Whenever, 21st CCLC funds are expended, a contract should be used instead of a MOU or MOA. Typically MOUs and MOAs are for the duration of the grant, while contracts are issued on an annual basis. MOAs and MOUs should include a termination provision so that if the grant is terminated the MOA or MOU ends.

m. Reporting Fraud, Waste, and Abuse

Anyone suspecting fraud, waste, or abuse involving 21st CCLC funds or programs should 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).

IX. Grant Fund Management

A. Budget and Reimbursement Approval Process

The 21st CCLC Budget Analysts receive, review, and approve all original budgets, amended budgets, and reimbursement requests.

b. Original Budget Approval Process

1. For potential new Sub-grantees, 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 sub-grant awards.
2. For existing Sub-grantees, the comprehensive review of continuation year original budgets occurs in the summer after successful initial review of evaluation, report performance data from the previous year, and prior to SBOE approval of the sub-grant continuation award.

Upon SBOE approval, Sub-grantees will receive access and be able to submit their budgets through the Consolidated Application portal. The Sub-grantees 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 coordinator will input the budget information and sign-off.
3. The designated Superintendent will review, approve, and sign-off.
4. The Budget Analyst will receive an email notification from the Consolidated Application of the budget submitted by Sub-grantee.
5. The Budget Analyst will review all budget submittals for approval.
6. Upon budget approval in the Consolidated Application, the Sub-grantee will receive an email notification.
7. If the budget is rejected in Consolidated Application, the Sub-grantee will receive an email notification, as well as a Budget Checklist document by email from the Budget Analyst. It is the Sub-grantee's responsibility to correct and re-submit the budget in the Consolidated Application.

c. Amended Budget Approval Process

1. Sub-grantees may submit amended budgets throughout the fiscal year as needed. However, all amended budgets must be submitted no later than May 15th of each fiscal year.
2. The Sub-grantee is required to submit an amended budget 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/BA before such deviations.
 - c. When changes in key personnel occur
 - d. When programmatic changes occur

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. Consultation with your ERES/BA is highly recommended in these cases.

3. Procedures for Program/Budget Amendments:
 - a. Sub-grantee will complete the Program/Budget Amendment Form in its entirety, signed in blue ink, and mail to the Budget Analyst.
 - b. If there are any changes in the budget details, the Sub-grantee will submit a detailed 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 Budget Analyst will receive an email notification from the Consolidated Application of amended budget submitted by Sub-grantee.
 - f. The Budget Analyst will review all amended budget submittals for approval.
 - g. Upon approval in the Consolidated Application, the Sub-grantee will receive an email and written notification.
 - h. If the amended budget is rejected in the Consolidated Application, the Sub-grantee will receive an email notification as well as a Budget Checklist document by email from the Budget Analyst. It is the Sub-grantee'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

The 21st CCLC program is a reimbursable grant. The Sub-grantee 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 15th calendar day of each month.

Invoice Application Procedures:

1. The preparer will log into the Invoice Application; prepare and submit a reimbursement request.
2. The submitter will log into the Invoice Application; review, certify, and submit the reimbursement request.
3. The Budget Analyst will receive an email notification from the Invoice Application that a reimbursement request was submitted by the Sub-grantee.
4. The Budget Analyst will review request for approval.
5. Upon approval in the Invoice Application, the Sub-grantee will receive an email notification.
6. Funds will be directly deposited into the Sub-grantee's account on Thursday of the following week of approval.
7. If the reimbursement request is rejected in the Invoice Application, the Sub-grantee will receive an email notification as well as a Reimbursement Request Review document by email from the Budget Analyst. It is the Sub-grantee's responsibility to correct and re-submit the reimbursement request in the Invoice Application.

E. Personnel Working Capital Request

First time sub-grantees have the option to be allotted up to a 20% of the total grant award for the first three months following the grant award to provide for personnel costs only. This option is only available the first year of the initial grant award. To take advantage of this option, sub-grantees must formally make its request in writing to GaDOE's 21st CCLC Program Manager for approval and must attend the specific training for this option.

1. Procedures for Personnel Working Capital Request Approval:
 - a. The designated Superintendent must submit in writing a request to participate in this option.
 - b. The written request must be accompanied by a Cash Flow Statement for the first three months after the grant has been awarded.

2. Procedures in the Consolidated Application if Approved:
 - a. The designated Superintendent will complete the Prayer Certification and sign-off.
 - b. The designated coordinator will input the three months of personnel cost (base pay plus benefits) only and sign-off.
 - c. The designated Superintendent will review, approve, and sign-off.
 - d. The Budget Analyst will receive an email notification from the Consolidated Application of the budget submitted by Sub-grantee.
 - e. The Budget Analyst will review all budget submittal for approval.
 - f. Upon budget approval in the Consolidated Application, the Sub-grantee will receive an email notification.
 - g. If the budget is rejected in Consolidated Application, the Sub-grantee will receive an email notification, as well as a Budget Checklist document by email from the Budget Analyst. It is the Sub-grantee's responsibility to correct and re-submit the budget in the Consolidated Application within the given timeframe.

3. Procedures in the Invoice Application if Approved:
 8. The preparer will log into the Invoice Application; prepare and submit the first of three requests. The preparer must upload as documentation for the first of the three months of the Cash Flow Statements.
 9. The submitter will log into the Invoice Application; review, certify, and submit the request. The submitter must submit the request **no later than the second Thursday of each month.**
 10. The Budget Analyst will receive an email notification from the Invoice Application that a request was submitted by the Sub-grantee.
 11. The Budget Analyst will review request for approval.
 12. Upon approval in the Invoice Application, the Sub-grantee will receive an email notification.
 13. Funds will be directly deposited into the Sub-grantee's account on Thursday of the following week of approval. The fiscal agent **must expend funds within three calendar days of receipt.**
 14. If the request is rejected in the Invoice Application, the Sub-grantee will receive an email notification as well as a Request Review document by email from the Budget Analyst. It is the Sub-grantee's responsibility to correct and re-

submit the request in the Invoice Application within the given timeframe. However, please refer to “Note” section below.

15. The above process is followed for first **three months only** following the initial grant award.

4. Procedures in the Invoice Application to Upload Payroll Supporting Documentation (Actual) for each request:

- a. The preparer will log into the Invoice Application; prepare and upload, in second month’s request, the supporting documentation (payroll actual) for the first personnel working capital request that was submitted and approved in month one.
- b. The preparer must also prepare and upload the second month’s Cash Flow Statement and submit it along with the supporting documentation (payroll actual) in second of three requests.
- c. The submitter will log into the Invoice Application; review, certify, and submit the request. The submitter must submit the request **no later than the second Thursday of each month.**
- d. The Budget Analyst will receive an email notification from the Invoice Application that a request was submitted by the Sub-grantee.
- e. The Budget Analyst will review request for approval.
- f. Upon approval in the Invoice Application, the Sub-grantee will receive an email notification.
- g. Funds will be directly deposited into the Sub-grantee’s account on Thursday of the following week of approval. The fiscal agent **must expend funds within three days of receipt.**
- h. If the request is rejected in the Invoice Application, the Sub-grantee will receive an email notification as well as a Request Review document by email from the Budget Analyst. It is the Sub-grantee’s responsibility to correct and re-submit the request in the Invoice Application. However, please refer to “Note” section below.

Note: The timelines associated with this option are exact and **must** be adhered to. If a sub-grantee fails to meet its first submittal deadline or is not in compliance with any of its signed program assurances, it will have forfeited this option and will automatically be moved to the standard reimbursement request process immediately. There are neither exceptions nor appeal process if this option is approved. As a reminder, sub-grantees may not exceed 20% of the total grant award and this option is only available during the first three months following the grant award.

5. Procedures in the Invoice Application after the Three Months Following Grant Award:

- a. The preparer will log into the Invoice Application; prepare and submit a reimbursement request.
- b. The submitter will log into the Invoice Application; review, certify, and submit the reimbursement request.
- c. The Budget Analyst will receive an email notification from the Invoice Application that a reimbursement request was submitted by the Sub-grantee.
- d. The Budget Analyst will review request for approval.
- e. Upon approval in the Invoice Application, the Sub-grantee will receive an email notification.

- f. Funds will be directly deposited into the Sub-grantee's account on Thursday of the following week of approval.
- g. If the reimbursement request is rejected in the Invoice Application, the Sub-grantee will receive an email notification as well as a Reimbursement Request Review document by email from the Budget Analyst. It is the Sub-grantee's responsibility to correct and re-submit the reimbursement request in the Invoice Application.

TIMELINE

Option 1 - August Start:

Month	Required Documentation	Submission Due Date	Pay Date	Funds Expended By
August	Cash Flow Statement for August	August 11, 2011	August 31 st	September 2, 2011
September	Payroll Report (Actual) for August Cash Flow Statement for September	September 8, 2011	September 30 th	October 3, 2011
October	Payroll Report (Actual) for September Cash Flow Statement for October	October 13, 2011	October 31 st	November 2, 2011
November	Payroll Report (Actual) for October All outstanding General Operating Expenditures (July 1 st - October 31 st)	November 15 th		
December	All supporting documentation for operating expenses (November 1 st - 30 th)	December 15 th		

Option 2 - September Start:

Month	Required Documentation	Submission Due Date	Pay Date	Funds Expended By
September	Cash Flow Statement for September	September 8, 2011	September 30 th	October 3, 2011
October	Payroll Report (Actual) for September Cash Flow Statement for October	October 13, 2011	October 31 st	November 2, 2011
November	Payroll Report (Actual) for October Cash Flow Statement for November	November 10, 2011	November 30 th	December 2, 2011
December	Payroll Report (Actual) for November All outstanding General Operating Expenditures (July 1 st - November 30 th)	December 15 th		
January	All supporting documentation for operating expenses (December 1 st - 31 st)	January 15 th		

f. Carryover Funds

21st CCLC sub-grants are awarded for a three-year period. Across this three-year period, GaDOE will make funds available during 15-month cycles that overlap between July 1st and September 30th. However, each year the sub-grant award is looked at and awarded

individually. Upon the expiration of each 15-month period on September 30th, a Completion Report must be submitted by the Sub-grantee within 30 days.

1. Under Title IV, Part B, funds that were not expended may be carried over to the following year of the sub-grant award period. However, if a Sub-grantee carries over a significant percentage of funds (greater than 15 percent), the failure to expend funds promptly may indicate a problem in the administration of the program. Should it be determined that a Sub-grantee has a significant amount of carryover resulting from poor program administration, GaDOE may choose to reduce the Sub-grantee's carryover funds. The final determination of the availability and reissuing of carryover funds is made by GaDOE.
2. Individual Sub-grantees 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 and must be submitted by October 30. The completion report is used to report the expenditures spent on the grant and should be submitted by the Sub-grantee's fiscal agent.
 - c. The Grants Accounting Department calculates a total amount of carryover funds and includes that amount, if allowed, as an allocation of sub-grants for the next fiscal year.
 - d. Sub-grantees are notified of carryover funds through the Consolidated Application and through written notification from Grants Accounting. Sub-grantees must submit an amended budget no later than 30 days after the date of the written notification.

g. Procedures for Completion Report Application

1. The designated coordinator will:
 - a. Log into Completion Report Application
 - b. Load a new budget
 - c. Enter all expenditures
 - d. Enter contact information
 - e. Review Audit Trail information
 - f. Submit the Completion Report

h. Delaying Access to Competitive Grant Funds

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

1. Sub-grantee monitoring
2. Sub-grantee's audit finding(s)
3. The investigation of a signed written complaint that the Sub-grantee has failed to comply with provisions in the ESEA
4. A report received of fraud, waste, and abuse of resources purchased with 21st CCLC program grant funds

5. A Sub-grantee's "high-risk" status

i. Audit Resolution Process

Each Sub-grantee's fiscal agent must have an annual audit of its financial statements (external audit). An external audit consists of a methodical review and objective examination of a fiscal agent'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 21st CCLC Accounting Managers no later than six months after the end of their fiscal year.

If a Sub-grantee receives \$500,000 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 Sub-grantee's compliance with requirements contained in the OMB Circular A-133 Compliance Supplement that are applicable to each of the Sub-grantee's major Federal programs. If an auditor finds that the Sub-grantee has not complied with Federal regulations then the auditor will issue a finding in the single audit report. The Sub-grantee's fiscal agent 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. Audit firms present the single audit report in both ways.

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 21st CCLC Accounting Managers. For single audit reports performed by an independent auditor, the Sub-grantee's fiscal agent is responsible for submitting a copy of the single audit report, including any findings or questioned costs, to the 21st CCLC Accounting Manager.
- b. The 21st CCLC Accounting Managers shall initiate an investigation into which, if any, questioned costs must to be repaid by the Sub-grantee to GaDOE by forwarding a copy of the single audit report to the assigned ERES and BA(s). The ERES will contact GaDOE's Internal Audit Manager to obtain the auditor's working paper, which supports the single audit findings.

2. Sub-grantee On-Site Visit

- a. The 21st CCLC Accounting Managers shall send written notification within 24 hours, if warranted, to the Sub-grantee that the assigned 21st CCLC ERES and BA(s) will conduct an on-site review of the Sub-grantee to investigate any single audit finding(s) within two weeks. 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 Sub-grantee's on-site review, the 21st CCLC ERES or BA(s) determines that there may be additional questioned costs that were not previously identified in the single audit; the 21st CCLC ERES or BA(s) may expand the on-site review to the extent necessary.

3. Post-Sub-grantee On-Site Visit

- a. The 21st CCLC ERES and the BA(s) shall submit a written analysis of the results of the Sub-grantee's on-site review to the 21st CCLC Accounting Manager and

Associate Superintendent for Federal Programs. 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 whether the aforementioned questioned costs should be repaid by the Sub-grantee to GaDOE and a determination if corrective action by the Sub-grantee is necessary.

- i. Actions on recommendations that can be corrected by providing the Sub-grantee technical assistance (e.g., record keeping, developing plans, etc.) can be determined and approved by the Accounting Managers.
 - ii. A recommendation requiring the withholding of Federal funds until the Sub-grantee is compliant or the return of Federal funds (i.e., questioned costs) to the 21st CCLC program must be elevated by the Associate Superintendent for Federal Programs and to the Deputy Superintendent for Federal Programs. The Deputy will determine if recommendations should be elevated to GaDOE's Cabinet. Once recommendations are approved by appropriate GaDOE staff, the Sub-grantee must be 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. Superintendent's signature

4. Corrective Action Plan

- a. The Sub-grantee 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 fiscal agent disputes the amount of questioned costs which need to be repaid, it can provide additional documentation to the 21st CCLC staff to reduce or eliminate the amount of questioned costs. However, if the 21st 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 fiscal agent, then the fiscal agent can file a formal appeal (see Step 6) to dispute the amount of questioned costs.
- b. The Associate Superintendent for Federal Programs will forward a written copy of the recommendations, upon receipt of the Sub-grantee 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 Sub-grantee.
- c. The 21st CCLC ERES and Budget Analyst(s) will monitor corrective action strategies to ensure that the Sub-grantee is implementing the written corrective action plan. The 21st CCLC staff must notify the Associate Superintendent for Federal Programs in writing if the Sub-grantee is not on target to resolve finding(s). The Associate Superintendent for Federal Programs will make recommendations on appropriate actions including withholding of funds until the Sub-grantee is in compliance.
- d. Once the Sub-grantee has complied with the corrective action plan, the

21st CCLC Accounting Manager will provide notice to the Associate Superintendent for Federal Programs for review. Upon approval, notice will be sent to Financial Review and Grants Accounting that any findings have been resolved.

5. Repayment of Federal Funds

The Sub-grantee must repay questioned costs with non-Federal funds within the specified timeframe outlined in the written notification.

6. Repayment of Federal Funds Appeals Hearing

a. A Sub-grantee 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 21st CCLC grant funds of the Sub-grantee.

b. The Sub-grantee shall request a hearing within 30 days of the action of GaDOE. The request shall be submitted in writing to the 21st CCLC Accounting 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 21st CCLC program, GaDOE shall rescind its action.

If GaDOE does not rescind its final action after the hearing and review, the Sub-grantee may appeal to the US ED Secretary.

X. Property, Materials, and Supplies

A. Property Records and Inventory Procedures

Sub-grantees should have well-designed procedures in place for managing materials, equipment, and supplies purchased with Federal funds.

b. Establishing Storage Locations and Records Access Protocol

It is required that the sub-grantee 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.

c. Items Which Must be Listed on the Inventory

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

d. Utilization of Materials, Equipment and Supplies for 21st CCLC Participants

The Sub-grantee 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.

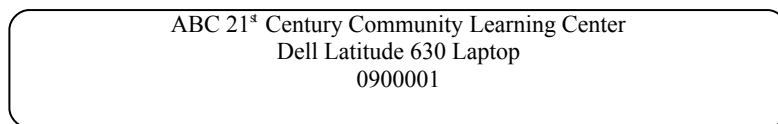
e. Maintenance of Property Records and Adequate Safeguards

Property records must be maintained that include:

1. A description of the property
2. A serial number or other identification number
3. The source of property (supplier)
4. Who holds title
5. The acquisition date
6. The cost of the property
7. The location
8. And use and condition of the property

The Sub-grantee should review inventory records periodically throughout the year. These records will be examined during the annual monitoring visit. Sub-grantees 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 21st CCLC funds must be labeled with an inventory sticker such as the one shown below:



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 investigated and fully documented.

f. Significant Technological Items

There are many items, particularly technological items, such as personal digital assistants (PDAs), digital cameras, etc., that tend to be 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.

g. Disposition of Equipment and Supplies

Use this process when:

1. Sub-grantee voluntarily decides to terminate the grant early
2. Sub-grantee's grant expires after full completion of 3-year (or 5-year) grant term
3. This process may or may not be used in situations where GaDOE is instrumental in causing the cessation of the sub-grant. GaDOE reserves the right to use this process and/or utilize other remedies that may be legally available, in accordance with EDGAR 80.43.

Disposition Process:

1. Sub-grantee 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 Sub-grantee 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 Sub-grantee if the item(s) are used in a program or project that is currently or formerly federally funded.
3. For inventoried equipment, Sub-grantee will specify and note in the inventory any equipment items that have a fair-market value of more than \$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 EDGAR 80.32.
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, Sub-grantee 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 EDGAR 80.33, if applicable. Please note that supplies may be retained by the Sub-grantee 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 Sub-grantee will be notified in writing that the action plan is to be implemented.
 - b. If the plan is not determined to be appropriate, the Sub-grantee 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 Sub-grantee regarding disposition in accordance with 80.32 (e) (3) within 10 working days of receipt of final proposed plan.
7. Sub-grantee 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 Sub-grantee 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 Sub-grantee.

XI. Monitoring Sub-grantees and Technical Assistance

GaDOE's monitoring process consists of three major components

A. Monitoring of Expenditures

Sub-grantees 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. The 21st 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 Budget Analysts review and approve Sub-grantees' reimbursements.

b. Self-Assessment Results

Using the publication *Building and Managing Quality Afterschool Programs*, Program Directors will complete the 19 items in the enclosed rubrics and review those results with the 21st CCLC ERES during the first fall visit. These results will serve as a needs assessment for technical assistance.

c. On-site Monitoring of Program Requirements

The 21st CCLC ERES conduct a minimum of two types (see steps 1 and 2) of on-site monitoring visits to examine current year compliance with program operating requirements. The goals of the on-site monitoring visits are to ensure Sub-grantee compliance and, more importantly, to provide on-going technical assistance and training in an effort to develop high quality and effective 21st CCLC Sub-grantee programs.

1. Routine on-site technical assistance visits: 21st CCLC program staff will conduct on-site technical assistance (announced and unannounced) visits throughout the year to provide guidance and training to Sub-grantees in areas such as compliance, monitoring, best practices, and program quality.
 - a. All new 21st CCLC fiscal agents, as well as continuing Sub-grantees 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. All Sub-grantees will be monitored each year. Low risk programs will receive a desk-top monitoring in lieu of an on-site visit.
3. Annual, official on-site visit: All high and medium risk 21st CCLC Sub-grantees, together with their respective fiscal agents, will receive an official on-site monitoring visit each year of the award period. At a minimum, a 21st CCLC ERES and BA will conduct the on-site monitoring using the Compliance and Performance Assessment Monitoring Form.

d. Procedures for annual official on-site monitoring

Prior to visit

1. 21st CCLC ERES will work with Sub-grantees to schedule dates for the monitoring visit(s) and will determine with whom he/she will need to meet at the on-site visit.
2. Program Director and Site Directors 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. 21st CCLC staff will meet with the Sub-grantee and complete the Compliance and Performance Assessment Monitoring Form. A copy of this form is located on the 21st CCLC's webpage.
2. 21st CCLC staff will review documentation and artifacts which support the elements of the Compliance and Performance Assessment Monitoring Form.
3. 21st CCLC staff will conduct site visits to as many sites as time permits.
4. Inventory purchased during the current grant year will be checked during site visits.

Post Visit

1. 21st CCLC ERES will complete a written report of the monitoring visit within 15 business days of the visit and send it to the Sub-grantee through the U.S. mail.
2. If the monitoring visit results in findings, the Sub-grantee has 10 business days from receiving the Monitoring Results- On-site Visit letter to respond to the findings via a Corrective Action Plan.
 - a. Upon receipt of the Corrective Action Plan, the 21st CCLC ERES and Budget Analysts will review documents and determine if all findings have been addressed, and that steps and timelines identified will be effective in resolving the findings.
 - b. If the information is not adequate, the ERES and Budget Analysts will work with the Sub-grantee to develop a more effective Corrective Action Plan.
3. Upon approval of the Corrective Action Plan and follow-up visit or document review, the ERES will communicate in writing to the Sub-grantee that findings have been resolved.

e. "High-Risk" Status

GaDOE may classify a Sub-grantee as "high-risk" due to non-compliance by the Sub-grantee. As a result of this determination, GaDOE may impose special conditions and restrictions on the Sub-grantee.

1. A Sub-grantee may be considered "high-risk" if GaDOE determines that the Sub-grantee:
 - 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
 - e. Is otherwise not responsible
2. If GaDOE classifies a Sub-grantee as "high-risk," special conditions and restrictions may be imposed and shall correspond to the "high-risk" determination of the Sub-grantee. Special conditions and restrictions may include one or more of the following

- 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 Sub-grantee to obtain technical or management assistance,
 - e. Establishing additional prior approval.
3. Sub-grantee's Program Director and Superintendent/CEO will be notified, in writing, within 10 days of deciding to impose special conditions or restrictions on the Sub-grantee. 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 correction action plan may result in termination of the grant due to non-performance.
5. A Sub-grantee has the right to request reconsideration of the special conditions or restrictions imposed by GaDOE.

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

Within 20 days of the date on the notification letter from GaDOE, the Sub-grantee may submit, in writing, its request for reconsideration of the proposed special conditions or restrictions. The Sub-grantee shall submit its request for reconsideration to the Associate Superintendent for Federal Programs 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, then the proposed special conditions or restrictions are considered unopposed and will be implemented in accordance with the notification.

If the Sub-grantee submits a timely written request, it shall be considered by 21st 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 Sub-grantee as set forth in the notification.

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

XII. Awarding Continuation Sub-Grants

Continuation Determination

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

Failure to be in compliance with all assurances or any aspect of the sub-grant award may result in the delay, reduction, or termination of continuation funds.

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

A. Monitoring

Annual continuation funds for years two and three of the award term are contingent upon a Sub-grantee 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 15th of each year.

b. Program Performance Indicators

A description of each sub-grantee's 21st CCLC goals and objectives, are included in each approved application. Each Sub-grantee is required to complete and submit the 21st CCLC Common Data Elements and the evaluation report to the Program Manager by June 30th of each year.

c. Profile and Performance Information Collection System (PPICS)

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. Sub-grantees must also certify data by June 30th of each year.

d. Financial Compliance

Sub-grantee must be in compliance with all budgetary, accounting, and audit procedures and deadlines.

e. Reduction or Termination/Reduction of Grant Award

The termination of a sub-grant award may be initiated either by the Sub-grantee or GaDOE.

1. The Sub-grantee may terminate the grant award at any time, in whole or in part, upon mutual agreement of GaDOE.
2. GaDOE, by written notice, may terminate the grant award, in whole or in part, if the Federal funds supporting the grant are reduced or withdrawn by US ED.

3. GaDOE, by written notice, may terminate the grant award for nonperformance by the Sub-grantee 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 as described in the Sub-grantee's application
 - c. Adhere to the signed assurances
 - d. Submit required reports and documentation according to GaDOE's timeline
 - e. Implement a corrective action plan
 - f. Resolve an audit finding

f. Termination Process

1. Sub-grantee Initiated:

A Sub-grantee may initiate termination of its grant award, in whole or part, by submitting written notification to the 21st CCLC Program Manager and to the Associate Superintendent for Federal Programs. The notification shall state the reason(s) for initiating the termination process and the effective date of the termination. The Associate Superintendent for Federal Programs shall notify the SBOE of the Sub-grantee's decision to terminate the grant.
2. GaDOE Initiated:

Reduction or Withdrawal of Federal Funds by US ED: GaDOE Director of Outreach Programs shall send written notification to the Sub-grantee that the Federal funds supporting the grant award have been reduced or withdrawn by US ED. The notification shall specify how the Sub-grantee 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 for Federal Programs shall submit the grant modifications to the SBOE for final approval.

Termination for Nonperformance: The 21st CCLC Program Manager shall send written notification to the Sub-grantee 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 Sub-grantee may forego the termination process by electing to withdraw from the 21st CCLC grant program. The 21st CCLC Program Manager must provide this notification at least 30 days prior to sending a formal recommendation for termination to the SBOE.

The Sub-grantee has 15 days from receipt of the notification to respond in writing to the 21st CCLC Program Manager indicating its objection to the proposed termination. (If the Sub-grantee is only provided notice by regular U.S. Mail, then it is assumed that the Sub-grantee received the notification letter within 5 days of mailing.) The Sub-grantee 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 two weeks 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 Sub-grantee submits a timely written objection, it shall be considered by 21st CCLC program staff. If the objection is persuasive, GaDOE may work with the Sub-grantee 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 Sub-grantee's written objection with its presentation to the SBOE. Sub-grantee will receive written notification of GaDOE's final recommendation to the SBOE. GaDOE may extend these deadlines based upon good cause.

If a Sub-grantee is terminated for nonperformance, it cannot reapply for a 21st CCLC grant that would begin at any point during the three consecutive school years after the termination action.

3. A Sub-grantee 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 21st CCLC grant award for services rendered prior to the effective date of the termination.
4. A Sub-grantee has the right to request a hearing if it alleges that GaDOE violated a State or Federal statute or regulation when it terminated the 21st CCLC grant of the Sub-grantee.
 - a. The Sub-grantee shall request a hearing within 30 days of the action of the SBOE. The request shall be submitted in writing to the 21st CCLC Program Manager and the Associate Superintendent for Federal Programs.
 - 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. No later than 20 days after the hearing, the hearing officer or committee shall issue its written ruling, 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 21st CCLC program, GaDOE shall rescind its action.

XIII. Appendices

- A. Assurances
- B. Acronyms
- C. Selection of and Working with 3rd Party 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
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- I. Sample Inventory Form
- J. Reporting Fraud, Waste and Abuse
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- M. Self-Assessment Reporting Form
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Appendix A – Assurances

**21st Century Community Learning Centers (21st CCLC)
2011-2012 Sub-grantee Assurances**

Official Entity Name for Fiscal Agent/Sub-Grant Award Recipient

Instructions: The authorized signatory must initial the box adjacent to each assurance and must sign and date the document in **blue ink** to certify agreement to comply with each assurance. The fiscal agent must sign and date the document as well. These assurances will be in effect for FY12.

The Sub-grantee hereby assures that it will comply with the following:

Number	Initial Each Box Below in Blue Ink	Assurances
1.		The Sub-grantee assures that it has the necessary legal authority to apply for and receive the 21 st CCLC sub-grant.
2.		The signatory for these assurances certifies that he has the authority to bind the Sub-grantee.
3.		Sub-grantee 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 Sub-grantee certifies that the community was given timely notice of its intent to submit an application and that the application and any waiver request(s) were available for public review and comment after submission.
5.		The 21 st CCLC program was developed, and will be carried out in active collaboration with the schools the students attend.
6.		The Sub-grantee engaged in timely and meaningful consultation with private school officials during the design and development of the 21 st CCLC program.
7.		The 21 st CCLC program will primarily target students who attend Title I schools or schools eligible for Title I school-wide programs and their families.
8.		The Sub-grantee certifies the instruction and content offered are secular, neutral, and non-ideological.
9.		The 21 st CCLC program will take place in a safe and easily accessible facility. It is the responsibility of the Sub-grantee to ensure that it meets all requirements, including but not limited to, child-care licensing, occupancy, fire, and water.
10.		The 21 st CCLC program will be administered in accordance with all applicable statutes, regulations, program plans, and applications.

11.		The 21 st CCLC instructional program offered to students will be carried out as proposed in the application.
12.		Prior to any material change affecting the purpose, administration, organization, budget, or operation of the 21 st CCLC Program, the Sub-grantee agrees to submit an appropriately amended application to Georgia Department of Education for approval.
13.		The Sub-grantee agrees to notify GaDOE, in writing, of any change in the contact information provided in its application.
14.		The activities and services described in the application shall be administered by or under the supervision and control of the Sub-grantee. The Sub-grantee 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.
15.		The Sub-grantee agrees that its program will be fully operational within 30 days of the first day of school.
16.		The Sub-grantee 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.
17.		Funds shall be used only for financial obligations incurred during the grant period.
18.		The Sub-grantee will submit its annual budget within 30 days of the grant award.
19.		The Sub-grantee assures that 21 st CCLC funds will be used to increase the level of state, local, and other non-Federal funds that would, in the absence of 21 st CLCL funds, be made available for programs and activities authorized by the 21 st CCLC program. In no case should 21 st CCLC program funds supplant Federal, state, non-Federal, and other local funds that the applicant would otherwise receive.
20.		An annual, external audit should be submitted to GaDOE within 6 months of the end of the Sub-grantee's fiscal year.
21.		The Sub-grantee will, if applicable, have the required financial and compliance audits conducted in accordance with the Single Audit Act Amendments of 1966 and OMB Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations.
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 Sub-grantee will cooperate in carrying out any evaluation of each such program conducted by or for the GaDOE, the U.S. Department of Education, or other state or Federal officials.
24.		The Sub-grantee will submit reports to GaDOE and to the U.S. Department of Education as may reasonably be required. The Sub-grantee will maintain such fiscal and programmatic records and provide access to those records, as necessary, for those departments to perform their duties.
25.		The Sub-grantee will submit an annual summative evaluation report no later than June 30 th . If applicable, the Sub-grantee will submit its summer session summative evaluation report no later than September 30 th .
26.		The Sub-grantee 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 Sub-grantee related to the Sub-grantee's charges and performance under the 21 st CCLC subgrant.
27.		The Sub-grantee understands that the control of 21 st CCLC grant funds and title to property acquired with 21 st 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 st 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 st CCLC grant funds must be managed in accordance with EDGAR section 74.34 through 74.37 (for non-profit organizations) and with EDGAR section 80.32 and 80.33 (for school districts).
29.		The Sub-grantee will submit proof of its Fidelity and Liability Insurance Policy to the Georgia Department of Education within 60 days of the grant award (does not apply to school districts).
30.		The Sub-grantee is responsible for ensuring that all applicable liability insurance requirements are met.
31.		All required documentation (e.g., reimbursement requests, attendance data, etc.) will be entered and updated in a timely manner as stipulated by GaDOE. All reimbursement requests, along with the required documentation must be submitted on the 15 th of each month. The Completion Report must be submitted by October 30. A budget amendment must be submitted within 45 days of the date of carryover funds notification memorandum.
32.		The Sub-grantee certifies that state and national criminal background checks will be conducted annually for any and all individuals acting on behalf of the Sub-grantee including: volunteers, employees, contractors, relatives, etc., prior to their employment, whether or not

23.		The Sub-grantee will cooperate in carrying out any evaluation of each such program conducted by or for the GaDOE, the U.S. Department of Education, or other state or Federal officials.
		they have direct contact with students. In addition, the Sub-grantee agrees to develop and utilize written policies on how the criminal background check results will be used in hiring and volunteer practices.
33.		The Sub-grantee certifies that it will abide by GaDOE's Conflict of Interest and Disclosure Policy.
34.		The Sub-grantee understands that 21 st 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 Sub-grantee will comply with the Family Education Rights and Privacy Act of 1974 (34 C.F.R. 99).
36.		Sub-grantee 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 ADA 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 Sub-grantee 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 st CCLC grant.
38.		The Sub-grantee will establish and communicate to all students, parents, and staff its procedure whereby anyone suspecting fraud, waste, or abuse involving 21 st CCLC funds shall call or write the appropriate authorities.
40.		The 21 st CCLC grant has been accepted/adapted by the local Board of Education (LEAs) or local Board of Directors (non-LEAs).
41.		Subsequent years of funding within the grant award are dependent upon successful program implementation and progress aligned with the components of the request for application submitted. The Sub-grantee understands that if any of the following requirements are not adhered to, the sub-grantee may forfeit future funding or receive reduced funding: <ul style="list-style-type: none"> • Attendance at orientation, training, and other required meetings • Proposed weekly number of hours of operation (minimum of 12

23.		The Sub-grantee will cooperate in carrying out any evaluation of each such program conducted by or for the GaDOE, the U.S. Department of Education, or other state or Federal officials.
		hours/week <ul style="list-style-type: none"> • Program academic content aligned with states goals, objectives, and GPS • Sound fiscal management

My signature below certifies that I am the authorized signatory for the Sub-grantee, and that I have read, understand, and agree to abide by all assurances. I also understand that failure to abide by all assurances may result in loss or reduction of grant funding.

Legal Name of Entity

Name of Entity (doing business as)

Signature of Sub-grantee's Superintendent/CEO

Date

Printed Name of Sub-grantee's Superintendent/CEO

Title

Signature of Sub-grantee's Fiscal Agent

Date

Printed Name of Sub-grantee's Fiscal Agent

Title

Appendix B – Acronyms

21st Century Community Learning Center

21 st CCLC	21 st Century Community Learning Centers
ADA	Americans with Disabilities Act
APR	Annual Performance Review
CFR	Code of Federal Regulations
EDGAR	Education Department General Administrative Regulations
EOCT	End of Course Test
EPLS	Excluded Parties List System
ERES	Education Research and Evaluation Specialist
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
GHSGT	Georgia High School Graduation Test
GPS	Georgia Performance Standards
GSA	U.S. General Services Administration
GTID	Georgia Test Identifier System
IDEA	Individuals with Disabilities Education Act
IEP	Individualized Education Program
LEA	Local Educational Agency
non-LEA	Not a Local Education Agency (Non-profit/For-profit)
OIG	Office of Inspector General of the U.S. Department of Education

OMB	U.S. Office of Management & Budget
PAR	Personnel Activity Report
PPICS	Profile and Performance Information Collection System
RFA	Request for Application
SBOE	State Board of Education
SEA	State Educational Agency
US ED	U.S. Department of Education

Appendix C – Selection of and Working with Third Party Evaluators

Considerations for Hiring a Third Party Evaluator

Requirements:

Evaluators must:

1. Be retained by a contract and not by a MOA or MOU, if they are paid from 21st CCLC funds.
2. Attend annual Evaluation Information Session with GaDOE and local leaders.
3. Have experience with evaluating educational programs.
4. Visit (no less than once every 6 weeks) with Program Director and conduct individual site visits that preferably coincide with report card grading periods since this is a good time to review program progress.
5. Provide three references to Program Director at time of hire
6. Attend all Advisory Board or Council meetings.
7. Collaboratively work with site coordinators and Program Directors in collecting data and determining program revisions for continuous improvement.
8. Use state-provided reporting forms.
9. Be trained in 21st CCLC data system. Access data directly from AfterSchool 21 instead of tasking the 21st CCLC local program leaders.
10. Complete formative assessments as described in RFA and Sub-grantee Operations Manual.
11. Complete the End-of-the-Year Summative Evaluation Report and submit on or before to GaDOE by June 30th of each year.
12. Complete the Summer Evaluation Report on or before September 30th.
13. Not be or have been an 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 clients; monthly visits to sites
2. Experience with nonprofit organizations
3. Talk with students, parents, staff and other stakeholders frequently
4. Be accessible
5. Mindful of the 21st CCLC staff as their customer.
6. Regular communication with 21st CCLC leaders, responsive to their needs

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 21st CCLC program to staff, administrators, students, families, and community leaders to generate support.
2. Are organized and help site leaders to organize and document their work.
3. Recruit and support high performing staff.
4. Create and expect positive work environments for staff and students.
5. Are "hands on" and are highly involved in the various sites.
6. Collaborate often and frequently with staff and all stakeholders.
7. Have high expectations for student behavior, school attendance, work habits, and attitudes toward learning.
8. Require and foster frequent communication and collaboration between regular school day and 21st CCLC staff.
9. Provide real time and job embedded professional learning to 21st CCLC staff that meets staffs' needs.
10. Are very familiar and committed to the effective implementation of the grant.
11. Require and foster on-going progress monitoring of student progress.
12. Develop, publish, and implement effective procedures and policies to ensure an effective 21st CCLC program.
13. Walk through activities multiple times/week.
14. Review and analyze AfterSchool 21 data no less than monthly and make adjustments as a result of review and analysis.

Appendix E – Suggested Components of Student and Parent Handbook

Please note that the items below are just a suggested list. Sub-grantees should design student and parent handbooks to meet the needs of their program.

A. Welcome

1. Purpose, goals, and outcomes of the 21st CCLC program
2. Registration and enrollment
3. How the 21st CCLC program is different from student's regular school day (enrichment, unique opportunities, class size, parent involvement, etc.)
4. How the 21st 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
8. Field trip information and requirements
9. Eligible students
10. 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
 - c. To whom students are released and parent visitation
 - d. Bus transportation procedures
 - e. Bus safety actions procedures

4. Emergency Procedures
 - a. Practice drills (fire, tornado, lockdown, etc.)
 - b. Maintaining emergency contact information
 - c. Inclement weather procedures

C. Student Progress

1. Goals and objectives of the 21st 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. Parent permission to obtain grades and standardized test results from student's school (should be also included in registration form)
7. Evaluation data collected to determine program's effectiveness (grades, attendance, surveys, standardized test results, etc.)
8. Goals students set for themselves
9. How the program will be evaluated
10. Accommodations for students with IEPs, 504 Plans, and culturally diverse needs
11. Student discipline records and progress

D. Attendance

1. Transition from regular school day to 21st 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

Appendix F – Suggested Components of Staff Handbook

The 21st 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 items below are just a suggested list. Sub-grantees should design staff handbooks to meet the needs of their program. Suggested Components for the Staff Handbook may include:

A. Student Achievement- Expectations for Staff

1. Program goals and objectives
2. Lesson planning
3. Terms of employment
4. Schedules, early release, and holidays
5. Enrichment opportunities that support the GPS
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. 21st CCLC partners and Advisory Council
12. Results of needs assessment
13. Required documentation (see Oct. 23, 2009 *Illuminate* webinar titled “What and How to Document”)
http://illuminate.gavirtualschool.org/doe/play_recording.html?recordingId=1254343581906_1256308245484
- 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 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 21st CCLC grant guidelines
7. Code of Ethics
8. Role in parent engagement

9. Policies/Procedures
 - a. Conflicts of interest
 - b. Purchasing procedures
 - c. Inventory and maintenance of supplies, equipment, and materials
 - d. Internet and computer usage
 - e. Reporting of suspected child abuse, etc.
 - f. Process for reporting fraud, waste, and abuse
 - g. Complaint procedure
 - h. Non-discriminatory expectations (see Appendix A)
 - i. Annual national criminal background checks
 - j. Instructional staff evaluations and subsequent actions
 - k. Confidentiality requirements
 - l. Compliance with ADA, IDEA, other Federal regulations/laws

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

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

Please note that the items below are just a suggested list.

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 21st CCLC program is different from the student's regular school day
5. How the 21st CCLC program supports student achievement
6. Solicit input, perspectives, and questions from Advisory Council members
7. Purpose of 21st CCLC and how funding is obtained
8. Innovative programs in other areas
9. Have instructional staff share their learning from professional learning opportunities
10. Invite students to share their experiences and perspectives on the 21st 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 to discuss formative and summative evaluations
19. Examples of researched based activities
20. Parent Involvement or Family Engagement

Appendix H – Resources

The list below, located in the 21st CCLC Non-Regulatory Guidance, describes some key resources on out-of-school programs. The US ED does not endorse the findings or programs that are featured at the websites. This list is not meant to be exclusive.

21st Century Community Learning Centers – www.ed.gov/21stcclc/

Academy for Educational Development – 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.

Benton Foundation Kids Campaign – www.connectforkids.org

This website contains information for adults about opportunities to improve their community for children. It has specific information and resources on out-of-school time.

C. S. Mott Foundation – 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

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

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

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.

General Services Administration – www.afterschool.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.

Harvard Family Research Project – 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 – www.nga.org

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

National Institute for Out-of-School Time – www.wellesley.edu/WCW/CRW/SAC

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) – 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

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

Northwest Regional Educational Laboratory (NWREL) – www.cfw.tufts.edu

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 – www.fns.usda.gov/cnd

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 – 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 – 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 – www.justice.gov/usao/eousa/kidspage/

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:*

EDinfo

Subscribe to this news service listserv with the latest information about the U.S. Department of Education at www.ed.gov/news.html

Appendix I – Sample Inventory Form



Inventory

Sample Inventory Sheet

ABC 21st Century Community Learning Center
Equipment Inventory

Inventory Number	Description and model number	Manufacturer's serial number or	Vendor	Original cost	Date of Purchase	Location	Disposition
09-0001	Dell Laptop Latitude D630	EK2354	Dell	\$1,200.00	7-109	Director's office (Room 314)	

Appendix J – Reporting Fraud, Waste, or Abuse

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

LEA 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

or

Office of Inspector General's Hotline (choose the method of contact which best suits you): oig.hotline@ed.gov

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 21st 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

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.

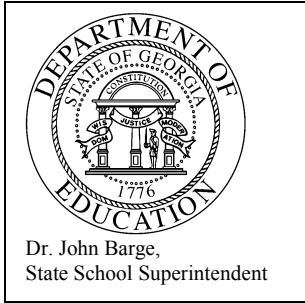
The Letter of Findings will be sent directly to the complainant, as well as the other parties involved.

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



2011-2012 Budget/Program Amendment Process Form



1. Sub-grantee Name: _____ Date: _____
2. Project Director: _____ * Phone No.: _____
3. Email: _____
4. Please Check One: _____ Program Amendment _____ Budget Amendment _____ Both _____
5. Amendment No. : a.(Program) PA/ _____ b.(Budget)FY12B/ _____ c.(Program & Budget)PA/ _____ FY12B/ _____

6. Page number in original grant where language proposed for change is found.	7. Current Grant Language: State current language in most recently approved grant.	8. Amended Language: Write amended language to reflect requested changes (deletion/addition to original language).	9. Rationale for change to the grant.	10. Implementation: Discuss how amendment is consistent with goals/objectives of the grant.	11. Budget: <ol style="list-style-type: none"> a. Provide detailed/estimation of cost associated with change. b. If a 10% increase or decrease results, a budget amendment is also required. c. Describe from which line item (s) fund will be moved into order to accommodate change.

*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.

12. List name and contents of attachments accompanying this amendment.

13. Grant amendments must be signed in [blue ink](#) by the grant’s Fiscal Agent, all Joint Applicants, Program Director, and Superintendent/CEO. Original copies should be mailed to:

Georgia Department of Education
Office of School Improvement
21st Century Community Learning Centers
1862 Twin Towers East
205 Jesse Hill Jr. Drive
Atlanta, Georgia 30334

14. Please email a copy to your Region’s Education Research and Evaluation Specialist (ERES) or Budget Analyst.

15. 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

Disapproved

21st CCLC Education Research and Evaluation Specialist _____ (signature, date)

21st CCLC Budget Analyst _____ (signature, date)

21st CCLC Program Manager _____ (signature, date)

21st CCLC Accounting Manager _____ (signature, date)

Budget/Program Amendment Form Instructions

1. Sub-grantee name. (Name on grant application) and date amendment is submitted.
2. Project/program director's name and phone number
3. Project/program director's email address
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: FY12B/1, FY12B/2, etc. and FY13B/1, FY13B/2, etc. and FY14B/1, FY14B/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. Page number in original grant application where language for proposed amendment is located.
7. Insert current language in original grant application or most recently approved amendment.
8. Insert amended language to reflect requested change(s) to original grant application or previous approved amendment (Addition or deletion to language).
9. State the reason for the change. How will this change benefit your sub-grant? OR Why is it necessary to make this change? (If this is a change in program director, superintendent, etc., state that.)
10. State how the proposed amendment is consistent with the goals/objectives of the sub-grant.
11. State the cost associated with the proposed change in detail. State an estimation of the proposed budget change. Include from which line item fund will be moved into for the proposed change. NOTE: If a 10% increase or decrease results, then a budget amendment is required. If there is not a change in the budget, state "there will not be any changes in the budget associated with this amendment" or something similar.
12. If attachments accompany the proposed amendment, be sure to name each attachment accordingly.

13. Fiscal agent, all joint applicants, program director and superintendent/CEO should sign in **BLUE** ink.
Originals should be mailed to:
Georgia Department of Education
Office of School Improvement
21st Century Community Learning Centers
1862 Twin Towers East
205 Jesse Hill Jr. Drive
Atlanta, Georgia 30334
14. Send an electronic copy to your Regional Education Research and Evaluation Specialist (ERES) and/or Budget Analyst (BA).
15. Fiscal agent, joint applicant designee, program director, superintendent/CEO signatures in **BLUE** ink. Date of signature in **BLUE** ink.

Appendix M – Self-assessment Reporting Form

This form allows Sub-grantees to tally the results of the 19 rubrics in the *Building and Managing Quality Afterschool Programs* publication. Obtain a total score by adding the rubric score (1-10) on each of the items on each of the 15 “Quality-O-Meter.” You and your 21st CCLC Educational Research and Evaluation Specialist will discuss the strengths and work areas that result from the Self-Assessment. The self-assessment may be completed by the Program Director, each of the Site-Directors and then totaled, or completed collaboratively.

1. Program Organization

	Fall Self-Assessment Total	Spring Self-Assessment Total
Program Leadership		
Program Governance		
Program Structure		
Staff Characteristics		
Student Behavior		

2. Academic Programming Practices

	Fall Self-Assessment Total	Spring Self-Assessment Total
Goal-oriented Programs		
Standards-Based Learning Activities		
Research-Based Curriculum & Instructional Practices		

3. Supportive Relationships in Afterschool

	Fall Self-Assessment Total	Spring Self-Assessment Total
Linking to the Regular School Day		
Professional Development		
Building/Maintaining Relationships		
Peer Collaboration and Cooperative Learning		
Family Engagement		
Community Connections		

4. Achieving Program Outcomes

	Fall Self-Assessment Total	Spring Self-Assessment Total
Achieving Program Outcomes		

Appendix N – Grant Close Out Procedures

Grant Closing Procedures

A. Purpose

The following procedures are to be followed by sub-grantees to close out 21st CCLC awards that have reached the end of their approved cycles (i.e., following the five-year or three-year funding cycles). These procedures are established in accordance with the Education Department General Administrative Regulations (EDGAR), 34 CFR, Part 74 (Administration of Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-Profit Organizations), EDGAR, 34 CFR, Part 80 (Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments), and State of Georgia guidelines, regulations and policies pertaining to closing-out a grant.

B. Records Retention

While EDGAR, 34 CFR, Part 74.53 and Part 80.42, states that all sub-grant related records, including all financial and programmatic records, supporting documentation, statistical records (i.e., data collection records, both retained in the Afterschool 21 system and on-site) and other records required by the terms and conditions of the sub-grant award, by program regulations and/or by policies must be retained for three (3) years after the award cycle expires, the statute of limitations is five (5) years after the award cycle expires. Therefore the Georgia 21st CCLC requirement is that all financial and programmatic records, etc. described heretofore, should be retained for five (5) years after the award cycle expires. EDGAR, 34 CFR, Part 80.42 (4)(d) allows for copies made by microfilming, photocopying, or similar methods to be substituted for the original records.

The start date of the retention period begins on the day that the sub-grantee submits to GaDOE its final expenditure report, referred to as the Completion Report (i.e., defined as being no later than 30 days after the last date of funding availability under the sub-grant award cycle, or October 30). For example, the final year Completion Report for sub-grantees ending their three-year award cycle that began in FY09 is October 30, 2011. Assuming the sub-grantee complies with the October 30, 2011 dead line, all records from the start of the three-year award cycle, July 1, 2008, for this sub-grant award must be made available for audits, examinations, excerpts, and transcripts through October 30, 2016.

It is to be noted that the rights of access to records remain for as long as the records are retained – meaning, rights of access to records that continue to exist beyond the required five year period may be accessed. It is also to be noted that if any litigation, claim, or audit is started before the end of the three-year period, the records shall be retained until all litigation, claim, or audit findings have been

resolved and final action taken – meaning, the records must not be destroyed after five years if a resolution has not been reached.

All records, including the programmatic and fiscal records of contractors compensated for services with 21st CCLC funds, must be retained following the same procedures listed in the preceding paragraph. This includes retaining purchase orders, invoices, receipts, and any and all documentation supporting expenditures associated with the implementation of the grant award services. Ensuring that independent contractors retain records adhering to the length of time specified may be problematic, and it is recommended that all contracts with independent contractors contain language citing records retention requirements for services paid for with 21st CCLC funds. For further guidance pertaining to this requirement, please see EDGAR, CFR Part 74.48(d) and Part 80.36(i)(10).

When establishing storage locations and records access protocols, it is required that the sub-grantee inform the GaDOE program office in writing as to who is the designated custodian of the records and where and how the records may be accessed should a closed award be subject to an audit, monitoring, or other authorized investigation. It is also to be noted that all records retained must be stored in such a manner so as to comply with FERPA regulations.

C. Equipment and Supplies

EDGAR, CFR 34, Part 80.3 defines “equipment” as tangible, nonexpendable, personal property having a useful life of more than one year or an acquisition cost of \$5,000 or more per unit.” Supplies are defined as all other tangible personal property other than equipment, as defined above.

Property and inventory records, including acquisition and disposal information, should be retained for five years following the close-out of the grant, as specified in the preceding paragraphs regarding Records Retention.

Per EDGAR, CFR 34, Part 80.32; 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, and when the program no longer continues to operate, sub-grantees must offer to transfer 21st CCLC equipment/capital outlay items to other programs or projects currently or previously supported by Federal funds.

For the proper procedure to follow for the disposition of equipment and supplies, please refer to section XI, sub-section F of the Operations Manual for Sub-grantees. In addition, for proper procedures regarding Inventory documentation, see Section XI. A. Property Records and Inventory in the current Operations Manual for Sub-grantees.

D. Budget Amendment Requests

All final GaDOE 21st CCLC program budget amendment requests must be submitted via the Consolidated Application system and approved by May 15 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/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 submitted to GaDOE by June 30th of each year set during each year of the grant and the final year of the grant award [EDGAR, 34 CFR 80.50].

All summer performance reports should be submitted to the district's ERES and all data updated in Cayen AfterSchool 21 by September 30 of each year.

G. Later Disallowances and Adjustments

The completion of the grant award cycle does not effect:

- a) GaDOE's right to disallow costs and recover funds on the basis of a later audit or other review(s);
- 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,
- d) Audit requirements in accordance with Georgia's A-133 Single Audit policies and procedures.

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 21st 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 21st CCLC aforementioned requirements and other suggestions.

Notify of program closing, in writing:

- a. Your school district officials;
- b. Your staff;
- c. Your partners;
- d. Parents/Families/Legal guardians and their students;
- e. Governing authorities/board;
- f. Any other program stakeholders.

- (1) Notify families of other possible programs including contact information, if appropriate and available.
- (2) Develop a comprehensive action timeline for your close out procedures to occur, and make sure that all impacted individuals know their roles and responsibilities in the process, as well as clear due dates.
- (3) Properly close out all vendor contracts and finalize all payments requirements so that nothing remains due or in question.
- (4) Take appropriate action on all pending invoices to ensure complete payment for goods and services delivered.
- (5) Submit all requests for re-imbursement of allowable expenditures following GaDOE's re-imbursement process.
- (6) Finalize any outstanding monitoring review corrective actions
- (7) Submit your final program evaluation as required by GaDOE
- (8) Complete the disposition proposal and submit to GaDOE (Section XI. A. Property and Inventory in the current Operations Manual for Sub-grantees).
- (9) Submit Completion Report by Oct. 31.