**New York
21st Century Community Learning Centers**
SOARING BEYOND EXPECTATIONS

NYS 21CCLC
# Program Modification Request
## *FACT SHEET*

### Introduction & Overview

This document describes the procedures for submitting a program modification request. If a program director decides the program design approved in the original grant requires a revision to be made in order to improve functionality and/or evaluability, they can prepare a program modification request. Depending on the type of revision to the original grant, a budget amendment may also be required. Budget Amendments are reviewed **after** a program modification has been approved. See the Budget Amendment Fact Sheet for additional information regarding Budget Amendment procedures and documentation.

Changes to the prior-approved design might include, but are not limited to:

- ☑ Revising program objectives
- ☑ Adding or removing a school or site
- ☑ Adding or changing key personnel
- ☑ Modifying the Template for Goals & Objectives and the corresponding Evaluation Plan, etc.
- ☑ Adding or removing a **partner**
- ☑ Adding or removing a **vendor**

### DEFINITIONS

**Partner**: An individual, agency, organization, or other entity that provides products or services to the program and **is involved** significantly and meaningfully in overall program planning and implementation. A Partnership Agreement is required for all program partners.

**Vendor**: An individual, agency, organization, or other entity that only provides products or services to the program and **is not involved** in overall program planning and implementation. A Partnership Agreement is not required for vendors.

*In this definition, the local independent evaluator is in the category of a "vendor:" an external agent providing evaluation services.*

Program directors need to consult with their **local evaluator** prior to submitting any program modification requests. Program modifications must be submitted to the Technical Assistance Resource Centers (TARCs) and NYSED via the Survey Monkey Apply (SMA) Portal to review their request and any supporting documentation.

Instructions for using the SMA portal can be found on the Program Modifications and Budget Amendments Submissions on Survey Monkey Apply Technical Sheet. Within SMA, program modifications and budget amendments are referred to as "Applications.

Instructions for submitting program modifications and budget amendments are included below. Program modifications and budget amendments sent in through email will be returned to the sender with instructions to use SMA.

Through the SMA Portal and email communications, the TARCs and NYSED Program Office will review the submission, conduct follow-up inquiries to collect any additional information, as needed, and issue a decision along with an explanation to approve or deny the request. To expedite the review and decision-making processes, program directors are instructed to **provide thorough documentation** by following Steps 1 and 2 of the Procedure outlined below.

**Decisions:** Once the program director receives written notification from NYSED that **the program modification has been approved** the program may implement the authorized changes. The local evaluator and the regional Resource Center both need to be notified by the NYSED Program Office about the approval and when the planned program changes will be effective.

If the program director is notified that **the program modification has not been approved**, the program design and structure must remain unaltered. In this case, the program director can review the reasons approval was not granted and consider strategies to (a) request technical assistance from their regional TARC if a current program situation requires support, and/or (b) redraft the program modification request to incorporate necessary changes, then resubmit or edit the application through the SMA portal.

## Procedure for Preparing for a Program Modification Request

**Step 1** | **Prepare the Program Modification Request Documents**

- Acquire the **Program Modification Request Form** and supplemental forms that are available at: https://www.p12.nysed.gov/sss/21stCCLC/#ProgramMods
  - Provide complete, clear responses for every item in each section of the forms. Any response items left blank or containing "Not Applicable (N/A)" will not be accepted.
  - At the bottom of the Program Modification Request Form, indicate the planned implementation start date. Since any program modification must await official approval from NYSED, this projected date cannot precede the date the Request Form is submitted, nor can it precede the date NYSED issues a decision.
- Use the **Supplemental Forms Table**, below, to determine which accompanying forms are required.
- Consult with your local evaluator to understand how the proposed program modifications will affect the evaluation. Requests that include changes to the Program Objectives, Performance Indicators (PIs), or Measures require updates to the Template for Goals & Objectives, the Evaluation Plan, and the Logic Model or Theory of Change.

**Step 2** | **Submit Program Modification Request Form and Supplementary Documents for TARC Review**

- Log on to the 21st CCLC Survey Monkey Apply portal. Instructions for using the SMA portal can be found on the Program Modifications and Budget Amendments

[Submissions on Survey Monkey Apply Technical Sheet](). *Note: You will be prompted to create a Survey Monkey account if you do not have one.*

▶ When submitting a request, applicants will be asked to select their grant's geographic distinction (New York City or Rest of State). *Note: This will indicate which TARC receives your application for review.*

▶ Applicants will be asked to select their program from a dropdown menu and enter contact information and a planned implementation start date. Programs should not implement changes until notified of NYSED approval.

▶ Applicants will be prompted to upload the Program Modification Request Form and other applicable documentation.

▶ When finished, mark as complete and submit the application. It will go to the regional TARC you previously indicated for review. If requests include program modifications to any of the evaluation elements (Objectives, Performance Indicators, and Measures), the Statewide Evaluator may be consulted prior to submission. A TARC team member will respond to advise you once the review is complete.

▶ **TARC REVIEW PROCESS**. After an application has been completed, it cannot be edited until it is reviewed by the TARC. Once reviewed the TARC program staff send the application back for editing. Applicants can then make edits and changes to their program modification and/or budget amendment within SMA, and reupload documents and forms. The TARC may request additional information and documents after submission. After a program edits their application it is resubmitted and will not be available again until the TARC program staff allows for it to be edited again or be sent to NYSED for final approval.

## Step 3 | Submit Modification Request Form and Supplementary Documents for NYSED Review

▶ Once reviewed and cleared by the TARC, log on to the [21stCCLC Survey Monkey Apply portal](). When prompted to select your grant's geographic distinction, select "SED Review (Only to be selected AFTER Resource Center Review)."

▶ Applicants should complete and/or upload any TARC-approved information within the portal. Once finished, mark as complete and submit the application. It will now go to NYSED staff for review.

## Step 4 | Decision & Next Steps. Once NYSED has reviewed the program modification, programs will be notified of one of two possible outcomes:

▶ **APPROVED** with the date of NYSED's approval. If the approved program modification requires a budget amendment, submit the budget amendment within SMA. See the [Budget Amendment Fact Sheet]() for additional information regarding budget amendment procedures and documentation. If approved to add a new site or school, the subgrantee must reach out to their TARC Data Specialist(s) for assistance in adding the site or school and any associated attendance within EZReports.

▶ **DENIED** with an explanation. Program modification requests that propose to significantly change the scope of services established in the original program design are unlikely to receive approval.

▶ **NYSED REVIEW PROCESS**. After an application has been completed, it cannot be edited until it is reviewed by NYSED. Once reviewed NYSED program staff will send the application back for editing. Applicants can then make edits and changes to their program modification and/or budget amendment, as well as reupload documents and forms. NYSED may request additional information and documents after submission. After a program edits their application it is resubmitted and will not be available again until NYSED program staff allow for it to be edited again.

▶ In alignment with [Records Retention Policy](), a subgrantee should maintain all approved NYSED program modifications and budget amendments for the duration of the grant.

▶ **If you are having technical difficulties with the SMA platform, **please use the support function** within the Survey Monkey Apply Portal.

*All requests require a Program Modification Request Form AND additional documentation listed below.*

## Supplemental Forms Table

| Modification Area | Supplemental Forms<br>submitted with Program Modification Request Form |
|---|---|
| **Adding a new school** to the grant | ✓ Signed Partnership Agreement (signed by principal, superintendent, & lead agency)<br>✓ Participating Schools Form<br>✓ Program Site Form (if program will operate at school building)<br>✓ Program schedule<br>✓ SACC license, if required<br>✓ Budget amendment, if applicable |
| **Removing a school** from the grant | ✓ Signed letter from principal/school representative dissolving the partnership<br>✓ Budget amendment, if applicable |
| **Adding a new program location** (not at a school) | ✓ Program Site form<br>✓ Program schedule<br>✓ **SACC registration** if required<br>✓ Budget amendment, if applicable |
| **Removing a program location** (not at a school) | ✓ Program site form (revision)<br>✓ Budget amendment, if applicable |
| **Adding a new partner** (with an organization) | ✓ Signed Partnership Agreement (signed by new partner and lead agency)<br>✓ Budget amendment (required)<br>✓ Updated Program Activity Schedule if programming will change |

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| **Removing a partner** from the grant | ✓ Signed letter of dissolvement from the lead agency's partner (CEO/Executive Director of partner organization or principal and superintendent of partnering school(s))<br>✓ Budget amendment (required) |
| **Adding a new vendor** to the grant | ✓ Budget amendment (required)<br>✓ Updated Program Activity Schedule if activity schedule will change |
| **Removing a vendor** from the grant | ✓ Budget amendment (required)<br>✓ Updated Program Activity Schedule if programming will change |
| **Modifying Extended Learning Time (ELT)** services during the school day to the grant/site | ✓ Participating Schools Form<br>✓ Program schedule<br>✓ School schedule<br>✓ Budget amendment, if applicable |
| **Removing ELT services** from the grant/site | ✓ Budget amendment, if applicable |
| **Adding new grade level(s)** to the grant/site | ✓ Program schedule<br>✓ Budget amendment, if applicable |
| **Removing grade level(s)** from the grant/site | ✓ Program schedule<br>✓ Budget amendment, if applicable |
| **Changing Evaluation Elements** (e.g., Program Objectives, Performance Indicators, or Measures) | ✓ In the email to the regional TARC (see Step 2, first arrow) the Program Director **indicates the local evaluator was consulted** about the changes to the Evaluation Elements and understands the Evaluation Plan and Logic Model/Theory of Change will need to be edited to reflect any program modifications approved by NYSED. *The local evaluator is copied to this email. |