Step by Step Instruction for Special Assistance:
How to Apply for an Extension in Provision 2 or Provision 3

Professional Standards Learning Code: 3110
Length: 1 hour

*Released August 2016*

“How to Apply for an Extension in Provision 2 or Provision 3” is intended for the School Food Authorities in the state of Arizona. All regulations are specific to operating the National School Lunch Program under the direction of the Arizona Department of Education.
Objectives

This training will provide instructions in how to apply for an extension for Provision 2 or 3.

- Define the term *Extension*.
- Review the Extension application, where to access it, and application deadlines.
- Provide examples of how to calculate socioeconomic data with unemployment data and Direct Certification data.
Special Assistance Cycle

- Special Assistance Provision 2 and 3 use base year data for their non-base year claims. Provision 2 cycles use base year data for the following 3 years and Provision 3 cycles use base year data for the following 4 years.

- At the end of each special assistance cycle, the School Food Authority may:
  - return to regular claiming
  - participate in Community Eligibility Provision
  - conduct another base year or;
  - continue to claim with their original non base year data per the approval of the Arizona Department of Education (ADE) for an extension.
Comprehension Check Questions

- Throughout this guide there will be comprehension quiz questions to test your knowledge and help you apply what you’re learning.
- Be sure to review these quiz questions and the answers, available within the guide.
- This icon will indicate a comprehension quiz question, and the background of the slides will be a light purple like you see on this slide.
How to Apply for an Extension in Provision 2 or Provision 3

The Step by Step Instruction will review:

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What is an Extension?

Approval per Arizona Department of Education (ADE) to operate an additional four non-base years using your original base year data after your Special Assistance cycle has ended.
**Example Provision 2 Cycle with Extension**

<table>
<thead>
<tr>
<th></th>
<th>Year</th>
<th>BASE YEAR*</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>YEAR 1</strong></td>
<td>2010-2011</td>
<td></td>
</tr>
<tr>
<td><strong>YEAR 2</strong></td>
<td>2011-2012</td>
<td>1\textsuperscript{st} Non-Base Year</td>
</tr>
<tr>
<td><strong>YEAR 3</strong></td>
<td>2012-2013</td>
<td>2\textsuperscript{nd} Non-Base Year</td>
</tr>
<tr>
<td><strong>YEAR 4</strong></td>
<td>2013-2014</td>
<td>3\textsuperscript{rd} Non-Base Year</td>
</tr>
<tr>
<td>Year 1 of Extension</td>
<td>2014-2015</td>
<td>1\textsuperscript{st} Non Base Year due to Extension</td>
</tr>
<tr>
<td>Year 2 of Extension</td>
<td>2015-2016</td>
<td>2\textsuperscript{nd} Non Base Year due to Extension</td>
</tr>
<tr>
<td>Year 3 of Extension</td>
<td>2016-2017</td>
<td>3\textsuperscript{rd} Non Base Year due to Extension</td>
</tr>
<tr>
<td>Year 4 of Extension</td>
<td>2017-2018</td>
<td>4\textsuperscript{th} Non Base Year due to Extension</td>
</tr>
</tbody>
</table>
**Example Provision 3 Cycle with Extension**

<table>
<thead>
<tr>
<th>Years</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>YEAR 1</td>
<td>2010-2011</td>
</tr>
<tr>
<td>YEAR 2</td>
<td>2011-2012</td>
</tr>
<tr>
<td>YEAR 3</td>
<td>2012-2013</td>
</tr>
<tr>
<td>YEAR 4</td>
<td>2013-2014</td>
</tr>
<tr>
<td>YEAR 5</td>
<td>2014-2015</td>
</tr>
<tr>
<td>Year 1 of Extension</td>
<td>2015-2016</td>
</tr>
<tr>
<td>Year 2 of Extension</td>
<td>2016-2017</td>
</tr>
<tr>
<td>Year 3 of Extension</td>
<td>2017-2018</td>
</tr>
<tr>
<td>Year 4 of Extension</td>
<td>2018-2019</td>
</tr>
</tbody>
</table>

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Provision 3 Cycle
ADE Approval

- ADE may approve an extension if the income level of the school's population, as adjusted for inflation, has remained stable, declined or had only negligible improvement since the base year.

- Negligible improvement: an improvement in the base year income level of the school’s population that is 5% or less, as adjusted for inflation.

- If approved, the SFA is granted a four year extension.
Who can Apply for an Extension?
Who would want to apply for an Extension?

Schools participating in Special Assistance Provision 2 or 3 that feel their socioeconomic status of their population has not significantly changed from their base year. For example, if that school did another base year, the school would establish around the same Free/Reduced/Paid claiming percentages as their original base year.
Who is eligible to apply for an extension?

A school operating Provision 2 or 3 who:

• Are in their second last non-base year; and

• Have complied with all requirements of participating in Special Assistance such as retaining all base year records.*

*Note-All original data used to establish base year percentages must be retained for the duration of the cycle, plus all extensions, plus 5 years. If original data (i.e. DC match lists) cannot be found or located, this would mean you are out of compliance with the provision and must either return to normal NSLP operation, or apply for a new base year.
Comprehension Check Questions

How many years are granted for an extension?
A. 2 years
B. 4 years
C. 3 years
D. 5 years
How many years are granted for an extension?

A. 2 years
B. 4 years
C. 3 years
D. 5 years

If approved, the SFA is granted a 4 year extension to continue operating under a non-base year.
Special Assistance Extension Application
Apply for an Extension

When do I apply for an Extension?

*The application is a two-part process:

- May 1st of the second to last non-base year: Request for an Extension
- March 1st of the last non-base year: Submit supporting socioeconomic data
Where do I find the Extension Application?

There is a Special Assistance Extension Application Packet on the Special Assistance webpage [http://www.azed.gov/health-nutrition/special-assistance].
Extension Application Packet (3 pages)

Page 1: Explains the two-part application

Page 2: Request the Extension
Due in second to last non-base year

Page 3: Extension Calculation Worksheet
Due in last non-base year
Page 2: Request for an Extension

Page 1 of the Application Packet
Instruction page for the packet. Please read through this page to understand the different due dates.
Page 2: Request for an Extension

Page 2 of the Application Packet

In your second to last non base year, complete and submit this form to ADE by May 1st.

Choosing Socioeconomic Data Socioeconomic data must be reflective of the school’s population and must directly correspond to the area covered under the school’s attendance area. You may use unemployment data or Direct Certification percentages.
In your last non-base year, complete and submit this form along with supporting data to ADE by March 1st.

Choosing Socioeconomic Data Refer back to the page 2 (Request for an Extension submitted in May of your second to last non-base year.) Make sure the same socioeconomic data box is checked.

Use this table to complete your calculation if you are using unemployment rates.

Use this table to complete your calculation if you are using Direct Certification percentages.
What are the due dates for the both parts of the Special Assistance Application for an Extension?

A. Both parts are due March 1\textsuperscript{st} of your last non-base year.

B. Notification is due May 1\textsuperscript{st} of your second to last-non base year and the submission of data is due March 1\textsuperscript{st} of your last non-base year.

C. Notification is due March 1\textsuperscript{st} of your last non-base year, submission of data is due May 1\textsuperscript{st} of your last non-base year.
What are the due dates for the both parts of the Special Assistance Application for an Extension?

A. Both parts are due March 1\textsuperscript{st} of your last non-base year.

B. Notification is due May 1\textsuperscript{st} of your second to last-non base year and the submission of data is due March 1\textsuperscript{st} of your last non-base year.

C. Notification is due March 1\textsuperscript{st} of your last non-base year, submission of data is due May 1\textsuperscript{st} of your last non-base year.

\textit{In order to apply for an extension, SFAs must submit a Notification that they are going to apply for an extension by May 1\textsuperscript{st} of your second to last non-base year. The next program year (last non-base year), SFAs will submit data by March 1\textsuperscript{st}.}
Calculating Socioeconomic Data
There are two different ways to calculate socioeconomic data:

1. Unemployment Data
2. Direct Certification Data

The following slides will review the different data sources to help you determine which method works best for your organization.
Using Unemployment Data

*Extension Application Page 3*
Using Unemployment Data

- Find unemployment percentages of your county in the current year and of your base year.
- Calculate the percent change by plugging in your values on the Extension Calculation Worksheet.
Using Unemployment Data

1. Go to: http://data.bls.gov/map/

2. On webpage, click on the tab
3. Using the dropdown, select Arizona.
4. Using the dropdowns to the right, select the year and month of this current school year.

   Choose the same month from your base year and current year to compare unemployment rates. For example: if you choose unemployment data from November of the current year, you must find unemployment data from November of your base year.

5. Click "Draw Map"
5. Find your county and the unemployment percentage.
6. Print this page for your records and for the backup documentation you are required to submit with the packet.

In Cochise County, the unemployment rate in December of the current year is 7.8%.
7. Change the year at the top of the page to the year of your base year. Do not change the month. Then click *Draw Map.*
8. Find your county and the unemployment percentage.
9. Print this page for your records.

In Cochise County, the unemployment rate in December of my base year was 8.6%.
Here is the how to calculate the percent change for the socioeconomic data using unemployment data on the Extension Calculation handout (page 3).

<table>
<thead>
<tr>
<th>Step</th>
<th>Formula</th>
<th>Sponsor’s answer</th>
</tr>
</thead>
<tbody>
<tr>
<td>Step 1: Calculate the difference in unemployment from the base year and the last non-base year.</td>
<td>( \frac{\text{Unemployment rate from the non base year} - \text{unemployment from base year}}{\text{unemployment from base year}} )</td>
<td>7.8% - 8.6% = 0.8%</td>
</tr>
<tr>
<td>Step 2: Calculate the percent change in unemployment from the base year to the last non-base year.</td>
<td>( \frac{(\text{Non base year %} - \text{base year %})}{\text{Base year %}} \times 100 )</td>
<td>-0.8% x 100 = 9%</td>
</tr>
</tbody>
</table>

*Has the income level improved by 5% or more? (Yes or No) (Improved= Less unemployment)

Yes, it has improved by 9%

This data supports that the unemployment has improved and the base year data is not reflective of the current population.
Mountain Springs Unified is applying for an extension using socioeconomic data. In their base year, 10.2% of the county was unemployed. Later in the non-base year, the income level improved! Now only 5.2% of the county was unemployed. Has the income level improved by 5% or more?

A. Yes, it was 10.2% and now it is 5.2%, a difference of 5%.
B. Yes, it has improved by 49%.
C. No, it has not improved.
Comprehension Check Questions

Mountain Springs Unified is applying for an extension using socioeconomic data. In their base year, 10.2% of the county was unemployed. Later in the non-base year, the income level improved! Now only 5.2% of the county was unemployed. Has the income level improved by 5% or more?

A. Yes, it was 10.2% and now it is 5.2%, a difference of 5%.
B. Yes, it has improved by 49%.
C. No, it has not improved.

**Calculation for Socioeconomic Data Using Unemployment Data**

<table>
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<tr>
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<th>Formula</th>
<th>Sponsor’s answer</th>
</tr>
</thead>
<tbody>
<tr>
<td>Step 1: Calculate the difference in unemployment from the base year and the last non-base year.</td>
<td>Unemployment rate from the non base year – unemployment from base year</td>
<td>5.2% - 10.2% = -5.0</td>
</tr>
<tr>
<td>Step 2: Calculate the percent change in unemployment from the base year to the last non-base year.</td>
<td>( \frac{(\text{Non base year } % - \text{base year } %)}{\text{Base year } %} \times 100 )</td>
<td>( \frac{(-5.0)}{10.2%} \times 100 = -49% )</td>
</tr>
</tbody>
</table>

*Example: If the unemployment rate in the base year is 78% and in the last non-base year is 70%, the percent change would be improved by 10.25%, which would the answer to the question above ‘yes’. In this example, the site would not be eligible for an extension based on Unemployment Data.*
Based on this example, would the Mountain Springs be approved for an extension based on the socioeconomic data?

A. Yes, the SFA is still in a county where there is unemployment.

B. No, the income levels have improved by 49%, which more than 5%.

C. Yes, the SFA submitted an application for extension.
Comprehension Check Questions

Based on this example, would the Mountain Springs be approved for an extension based on the socioeconomic data?

A. Yes, the SFA is still in a county where there is unemployment.

B. No, the income levels have improved by 49%, which more than 5%.

C. Yes, the SFA submitted an application for extension.

Since the change is greater than 5%, the data from the base year would not reflect current household status. Therefore, an extension would not be granted.
Using Direct Certification Data

Extension Application Page 3
Using Direct Certification Percentages

- Use your Direct Certification percentages from your base year (Filed with base year records)
- Conduct Direct Certification for the final non-base year. (For help conducting Direct Certification, refer to Step by Step: How to Conduct Direct Certification)
- Calculate the percent change by plugging in your values on the Extension Calculation Worksheet

*If you do not have the original match list printed/downloaded from the CNP Direct Certification website from your base year, you are out of compliance with the provision and must either return to normal NSLP operation, or apply for a new base year. ADE cannot accept match results/data provided by your electronic point of service database (i.e. NutriKids).
Using Direct Certification Percentages

Calculate the percent change for the socioeconomic data using Direct Certification Data on the Extension Calculation handout (page 3).

Example: During the base year, the total enrollment was 420 students; and 305 students were directly certified. During the non base year, the total enrollment is 465; and 300 students were directly certified.

<table>
<thead>
<tr>
<th>Step</th>
<th>Formula</th>
<th>Sponsor's answer</th>
</tr>
</thead>
<tbody>
<tr>
<td>Step 1: Calculate percentage of students with access to free meals through Direct Certification from the base year.</td>
<td>( \frac{\text{Number of students directly certified}}{\text{Total Enrollment}} )</td>
<td>305 = 73% 420</td>
</tr>
<tr>
<td>Step 2: Calculate percentage of students with access to free meals through Direct Certification from the last non-base year.</td>
<td>( \frac{\text{Number of students directly certified}}{\text{Total Enrollment}} )</td>
<td>300 = 65% 465</td>
</tr>
<tr>
<td>Step 3: Calculate the percent change.</td>
<td>( \frac{(\text{Non base year %} - \text{base year %})}{\text{Base year %}} \times 100 )</td>
<td>65-73 = 11% 73</td>
</tr>
</tbody>
</table>

*Has the income level improved by 5% or more? (Yes or No) (Improved= less children matching in Direct Certification)

Yes, it has improved by 11%.

This data supports that the unemployment has improved and the base year data is no longer reflective of the current population.
Submitting the Extension Application
Let’s Review:

- An extension is an approval per Arizona Department of Education (ADE) to operate an additional four non-base years using your original base year data after your Special Assistance cycle has ended.
- SFAs can access the three page Extension Application on the ADE Special Assistance Webpage.
- The application is a two-part process.
Submitting the Application

The Application:

- SFAs will review the application and follow the instructions on page 1 of the Extension Application.
- SFAs will apply for an extension by submitting page 2 of the Extension Application to ADE by May 1st of their second to last non base year.
- Once determined that the data has remained stable, declined or had only negligible improvement in the last non-base year, SFAs must submit page 3 and their supporting data (EITHER unemployment data or Direct Certification data) to ADE by March 1st of their last non base year.
ADE Contact Information

Fax/email all parts of the Application by the due dates stated in this guide to the ADE Special Assistance Coordinator.

Fax: 602-542-1531
Email: ADESchoolNutrition@azed.gov
Questions?

For additional questions you may contact School Nutrition Programs at (602) 542-8700 or contact your assigned specialist directly.
Technical Assistance

If you have any questions about applying for an extension please contact your *School Nutrition Program Specialist.*
Congratulations!

You have completed the *Step by Step Instruction for Special Assistance: How to Apply for an Extension in Provision 2 or Provision 3*. To request a Certificate, please go to the next slide.

In order to count this training towards your Professional Standards training hours, the training content must align with your job duties.

- Information to include when documenting this training for Professional Standards:
  - Training Title: *Step by Step Instruction for Special Assistance: How to Apply for an Extension in Provision 2 or Provision 3*
  - Learning Code: 3110
  - Key Area: 3000-Administration
  - Length: 1 hour

- Please note, attendees must document the amount of training hours indicated on the training despite the amount of time it takes to complete it.
Requesting a Training Certificate

Please click on the link below to complete a brief survey about this training. Once the survey is complete, you will be able to print your certificate of completion from Survey Monkey. *This will not appear in your Event Management System (EMS) Account.

https://www.surveymonkey.com/r/OnlineHowToGuides

The information below is for your reference when completing the survey.

Training Title: Step by Step Instruction for Special Assistance: How to Apply for an Extension in Provision 2 or Provision 3
Professional Standards Learning Code: 3100
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