

# How to Apply for an Extension in Provision 2 or Provision 3



Health and Nutrition Services  
Arizona Department of Education







# Disclaimer

This training was developed by the Arizona Department of Education (ADE) Health and Nutrition Services Division (HNS). The content in this training is intended for professionals operating one or more USDA Child Nutrition Programs in Arizona under the direction of ADE. The information in this training is subject to change. Attendees are encouraged to access professional development materials directly from the training library to prevent use of outdated content.



# Intended Audience

**This training is intended for School Food Authorities (SFAs) operating the National School Lunch Program (NSLP). All regulations are specific to operating the NSLP under the direction of ADE.**

# Objectives

**At the end of this training, attendees should be able to:**

- explain the meaning of an Extension;
- complete the Extension application process, including where to access the application and application deadlines; and,
- calculate socioeconomic data with Unemployment data and Direct Certification data.

## TRAINING HOURS

Information to include when documenting this training for Professional Standards:

**Training Title:** How to Apply for an Extensions in Provision 2 or Provision 3

**Key Area:** 3000 - Administration

**Learning Code:** 3130

**Length:** 60 minutes





The instruction within this How-To-Guide is based on guidance from the Code of Federal Regulations (CFR), §210.10.

It is recommended to review the CFR in addition to reviewing this course for complete guidance on Special Provision Extensions.

[Click here](#) to access the manual.



# Quiz Time



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 answers available within the guide.

The question mark icon below will indicate a comprehension quiz question.





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The following slides will only cover how-to instructions for applying and submitting an Extension. For more information about operating a Special Provision, please visit [HNS' online training library](#).



# Introduction to Extension

## SECTION 1





# Definitions

This training was developed by the Arizona Department of Education (ADE) Health and Nutrition Services Division (HNS). The content in this training is intended for professionals operating one or more USDA Child Nutrition Programs in Arizona under the direction of ADE. The

## **School Food Authorities (SFA):**

The governing body which is responsible for the administration of one or more schools and has the legal authority to operate the Child Nutrition Programs (CNP). The SFA is responsible for maintaining the NSFS and observing the requirements for and limitations on the use of nonprofit school food service revenues.

## **Special Assistance Cycle:**

Special Assistance Provisions 2 and 3 use base year data for their non-base year claims. Provision 2 cycles use base year data for the following 2 years and Provision 3 uses base year data for the following 4 years. At the end of the cycle, the SFA may return to regular claiming, participating 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.

## **Special Provision Extension**

Approval per the 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.



# Provision 2 Cycle

Example Provision 2 Cycle with Extension		
YEAR 1	2020-2021	BASE YEAR*
YEAR 2	2021-2022	1st Non-Base Year
YEAR 3	2022-2023	2nd Non-Base Year
YEAR 4	2023-2024	3rd Non-Base Year
Year 1 of Extension	2024-2025	1st Non-Base Year due to Extension
Year 2 of Extension	2025-2026	2nd Non-Base Year due to Extension
Year 3 of Extension	2026-2027	3rd Non-Base Year due to Extension
Year 4 of Extension	2027-2028	4th Non-Base Year due to Extension



# Provision 3 Cycle

Example Provision 3 Cycle with Extension		
YEAR 1	2020-2021	BASE YEAR*
YEAR 2	2021-2022	1st Non-Base Year
YEAR 3	2022-2023	2nd Non-Base Year
YEAR 4	2023-2024	3rd Non-Base Year
YEAR 5	2024-2025	4th Non-Base Year
Year 1 of Extension	2025-2026	1st Non-Base Year due to Extension
Year 2 of Extension	2026-2027	2nd Non-Base Year due to Extension
Year 3 of Extension	2027-2028	3rd Non-Base Year due to Extension
Year 4 of Extension	2028-2029	4th Non-Base Year due to Extension



# 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.





# Applying for an Extension

SECTION 2





# Who would want to apply for an Extension?

Schools participating in Special Assistance Provision 2 or 3 that feel the 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.



# Eligibility

## 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.

# Quiz Time

How many years are granted for an extension?

**A** 2 Years

**B** 4 Years

**C** 3 Years

**D** 5 Years





# Quiz Time

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.



# Application Process

## WHERE DO I FIND THE EXTENSION APPLICATION?

There is a Special Assistance Extension Application Packet on the National School Lunch Forms Webpage, under the Program Forms and Resources button, located under the Special Provisions Options accordion.  
<https://www.azed.gov/hns/nslp/forms>.

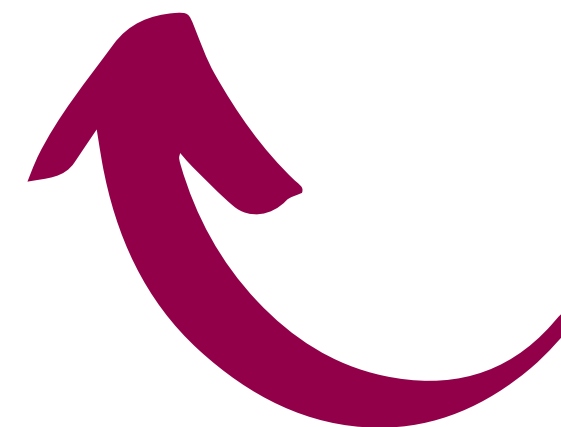
### ▼ Special Provision Options

#### Community Eligibility Provision (CEP)

- [CEP Application Information for SY 2023-2024](#)
- [CEP Participation Form](#)
- [CEP Eligibility Worksheet](#)
- [CEP Monthly Federal Reimbursement Estimator \(Excel\)](#)
- [CEP Grouping Calculator](#)
- [CEP Parent Outreach Letter](#)
- [Annual Identified Student Percentage \(ISP\) Form](#)

#### Special Assistance Provisions 2 and 3

- [Financial Analysis Tool](#)
- [Special Assistance Application](#)
- [Special Assistance Extension Application Packet](#)

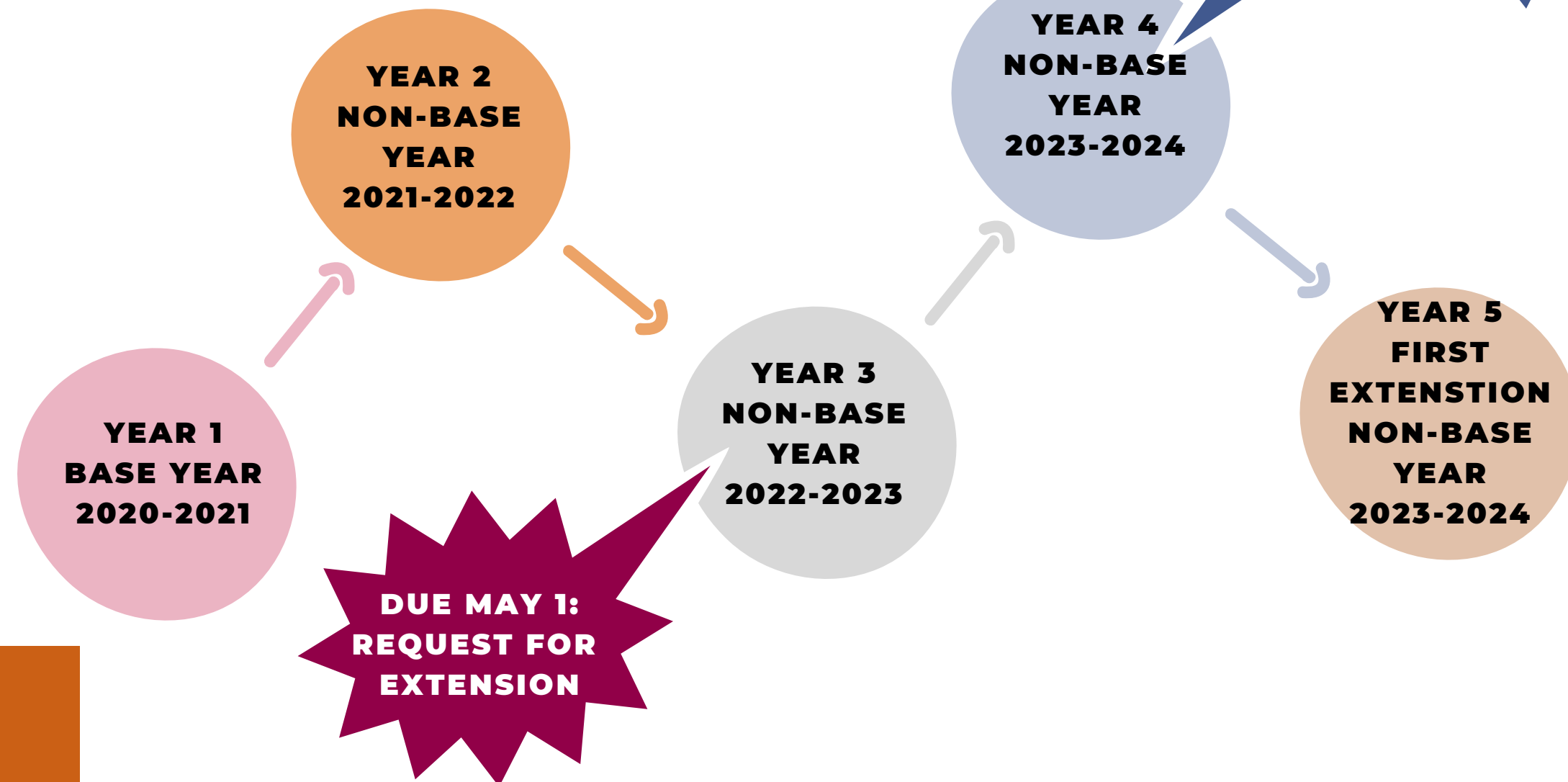




# When do I apply for an Extension?


## 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.



Example for a Provision 2  
Sponsor







### How to Apply for an Extension for Special Assistance Provision 2 or 3

There are two parts of the application for an extension for Special Assistance Provision 2 or 3. School Food Authorities (SFAs) applying must complete the application for Special Assistance Provision 2 or 3. Health and Nutrition Services (HNS) by the requestor.

#### #1. Early Submittal DUE MAY 1ST of your last non-base year



#### #2. DUE MARCH 1ST of your last non-base year



Example: Special Assistance Provision 2 or 3

Year 1 (base year)	Year 2 (non-base year)
Program Year: 2023 (2022-2023)	Program Year: 2024 (2023-2024)

### Request for an Extension on Special Assistance

Due March 1st of the Last Non-Base Year of the Current Cycle

Please review the Special Assistance Guidance Manual. After reviewing the manual, if you would like to apply for an extension on Special Assistance Program, please complete this application. Once completed, submit the application to HNS for review. **Please note that this application is not approved until you receive an official letter of approval from this department.**

Local Education Agency:

Contact/Title:

1. Indicate the Special Assistance Provision 2 or 3

2. Indicate the number of special assistance provisions

Please attach on School District

NAME OF SCHOOL DISTRICT

3. Please indicate the approved socioeconomic data source

Socioeconomic Data Source

Unemployment Data ☐ or Direct Certification percentages ☒

I CERTIFY that the information in this application is true and correct, and that I am authorized to operate the Special Assistance Program on behalf of the School District. I ensure that the socioeconomic data submitted is accurate and that the data is submitted by March 1st of the last non-base year of the current cycle.

Print Name (Authorized Representative)

Signature (Please print form and sign)

### Extension Calculation Worksheet

Due March 1st of the Last Non-Base Year of the Current Cycle

Local Education Agency:

CTDS#

Site Name:

Site CTDS#:

Contact/Title:

Phone #:

Please indicate the approved socioeconomic data that you are submitting to HNS. Data submitted must be from the base year and the last non-base year. All data must be submitted by **March 1st** of the last non-base year. Please ensure that the selection below matches what was indicated on your extension application from last year.

Socioeconomic Data Source (select one)	BASE YEAR	LAST NON-BASE YEAR
Unemployment Data <input type="checkbox"/> or Direct Certification percentages <input checked="" type="checkbox"/>		

Calculation for Socioeconomic Data Using Unemployment Data

Step	Formula	SFA's answer
Step 1: Calculate the percent in unemployment from the base year and the last non-base year.	$\frac{\text{Unemployment rate from the non-base year} - \text{unemployment from base year}}{\text{base year}}$	
Step 2: Calculate the percent change in unemployment from the base year to the last non-base year.	$\frac{(\text{Non-base year \%} - \text{base year \%})}{\text{Base Year \%}} \times 100$	
*Has the income level improved by 5% or more? (Yes or No) (Improved = Less Unemployment)		

\*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 be the answer to the question above 'yes'. In this example, the site would not be eligible for an extension based on Unemployment Data.

# Application Packet

THE APPLICATION PACKET CONSISTS OF 4 PAGES: THE INTRODUCTION, REQUEST, AND TWO CALCULATION PAGES.


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# Introduction


## PAGE 1:

Instruction page for the packet. Please read through this page to understand the different due dates.




### How to Apply for an Extension for Special Assistance Provision 2 or 3

There are two parts of the application for an extension for Special Assistance Provision 2 or 3. School Food Authorities (SFAs) applying must complete each part and submit to the Arizona Department of Education (ADE) Health and Nutrition Services (HNS) by the required due date.



**#1. Early Submittal DUE MAY 1ST of your second to last non-base year**



- **Request for an Extension on Special Assistance - Form** indicating which sites are requesting an extension and indicating how the socioeconomic data will be collected next year (i.e. Direct Certification or Unemployment rates).



**#2. DUE MARCH 1ST of your last non-base year**

- **Request for an Extension on Special Assistance** if the SFA did not complete an early submission by May 1 of the second to last non-base year.
- **Extension Calculation Worksheet - Form** with socioeconomic data calculations.
- **Socioeconomic Data** - Data (Direct Certification or Unemployment data) printed off that supports the calculations on the Extension Calculation Worksheet.

Example: Special Assistance Provision 2 Sponsor

Year 1 (base year)	Year 2 (non-base year)	Year 3 (non-base year)	Year 4 (non-base year)	Year 5 (First Non-Base Year of Extension)
		 Early submittal DUE May 1st: Request for an Extension on Special Assistance	 DUE March 1st: Request for an Extension on Special Assistance, Extension Calculation Worksheet, and Supporting Data	
Program Year: 2023 (2022-2023)	Program Year: 2024 (2023-2024)	Program Year: 2025 (2024-2025)	Program Year: 2026 (2025-2026)	Program Year: 2027 (2026-2027)

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# Request for an Extension

**PAGE 2:**

In your ***second to last non-base year***, complete page 2 and submit this form to ADE ***by May 1st***.

When choosing Socioeconomic Data, it 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 for the packet. Please read through this page to understand the different due dates.

## Request for an Extension on Special Assistance

Due March 1st of the Last Non-Base Year of the Current Cycle

Please review the Special Assistance Guidance Manual. After reviewing the manual, if you would like to apply for an extension on Special Assistance Program, please complete this application. Once completed, submit the application to HNS for review. **Please note that this application is not approved until you receive an official letter of approval from this department.**

Local Education Agency:	CTDS#
Contact/Title:	Phone #:

1. Indicate the Special Assistance Provision (2 or 3) that is currently being operated: \_\_\_\_\_
2. Indicate the number of special assistance sites that are being operated: \_\_\_\_\_

Please attach on School District Letterhead a list of all sites. Please indicate the fields listed below.

NAME OF SCHOOL	BASE YEAR	BREAKFAST (B), LUNCH (L), OR BOTH (BL)

3. Please indicate the approved socioeconomic data that will be submitted to the Arizona Department of Education. Data submitted must be from the base year and the last non-base year. All data must be submitted by **March 1st** of the last non-base year.

Socioeconomic Data Source (select one)	BASE YEAR	LAST NON-BASE YEAR
Unemployment Data <input type="checkbox"/> <u>or</u> Direct Certification percentages <input type="checkbox"/>		

I CERTIFY that the information in this application is true, and that I agree to carry out the terms of the agreement to operate the Special Assistance Program. I understand that this information is given in connection with the receipt of federal funds and that deliberate misinterpretation may be subject to prosecution under applicable federal statutes. I ensure that the socioeconomic data indicated above will be submitted to ADE no later than March 1st of the last non base year of the cycle.

**Print Name (Authorized Representative):** \_\_\_\_\_

**Signature (Please print form and sign it):** \_\_\_\_\_

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

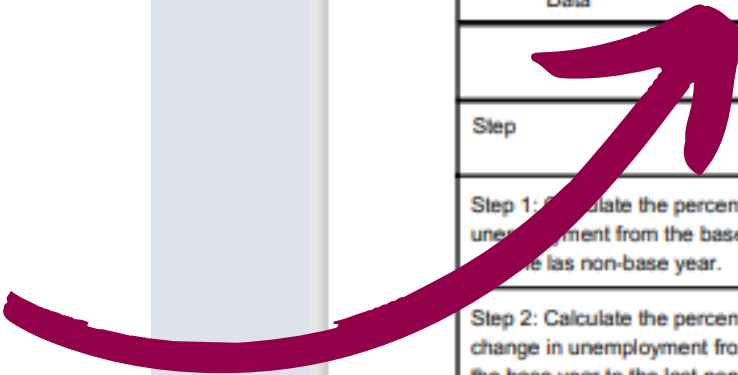


# Extension Calculation Worksheet

## PAGES 3 AND 4:

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



Extension Calculation Worksheet

Due March 1st of the Last Non-Base Year of the Current Cycle

Local Education Agency:	CTDS#
Site Name:	Site CTDS#:
Contact/Title:	Phone #:

Please indicate the approved socioeconomic data that you are submitting to HNS. Data submitted must be from the base year and the last non-base year. All data must be submitted by **March 1st** of the last non-base year. Please ensure that the selection below matches what was indicated on your extension application from last year.

Socioeconomic Data Source (select one)	BASE YEAR	LAST NON-BASE YEAR
Unemployment <input type="checkbox"/> or Direct Certification percentages <input type="checkbox"/>		
Calculation for Socioeconomic Data Using Unemployment Data		
Step	Formula	SFA's answer
Step 1: Calculate the percent in unemployment from the base year to the last non-base year.	Unemployment rate from the non base year -- unemployment from base year	
Step 2: Calculate the percent change in unemployment from the base year to the last non-base year.	$\frac{(\text{Non-base year \%} - \text{base year \%})}{\text{Base Year \%}} \times 100$	
*Has the income level improved by 5% or more? (Yes or No) (Improved = Less Unemployment)		

\*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 be the answer to the question above 'yes'. In this example, the site would not be eligible for an extension based on Unemployment Data.

Extension Calculation Worksheet

Due March 1st of the Last Non-Base Year of the Current Cycle

Local Education Agency:

CTDS#

Site Name:

Site CTDS#:

Contact/Title:

Phone #:

Please indicate the approved socioeconomic data that you are submitting to HNS. Data submitted must be from the base year and the last non-base year. All data must be submitted by **March 1st** of the last non-base year. Please ensure that the selection below matches what was indicated on your extension application from last year.

Socioeconomic Data Source  
(select one)

BASE  
YEAR

LAST NON-BASE  
YEAR

Unemployment Data ☐

or Direct Certification percentages ☐

Calculation for Socioeconomic Data Using Unemployment Data

Step	Formula	SFA's answer
Step 1: Calculate the percent in unemployment from the base year and the las non-base year.	$\frac{\text{Unemployment rate from the non base year} - \text{unemployment from base year}}{\text{base year}}$	
Step 2: Calculate the percent change in unemployment from the base year to the last non-base year.	$\frac{(\text{Non- base year \%} - \text{base year \%})}{\text{Base Year \%}} \times 100$	
*Has the income level <b>improved</b> by 5% or more? (Yes or No) (Improved = Less Unemployment)		

\*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.

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

Request for an Extension on Special Assistance

Due March 1st of the Last Non-Base Year of the Current Cycle

Continuation

Calculation for Socioeconomic Data Using Direct Certification Percentages

Step	Formula	SFA's answer
Step 1: Calculate percentage of students with access to free meals through Direct Certification from the <b>base year</b> .	$\frac{\text{Number of students directly certified}}{\text{Total Enrollment}}$	
Step 2: Calculate percentage of students with access to free meals through Direct Certification from the <b>last non-base year</b> .	$\frac{\text{Number of students directly certified}}{\text{Total Enrollment}}$	
Step 3: Calculate the percentage change.	$\frac{(\text{Non- base year \%} - \text{base year \%})}{\text{Base Year \%}} \times 100$	
*Has the income level <b>improved</b> by 5% or more? (Yes or No) (Improved = Less children matching in Direct Certification)		

\*Example: If the percentage of students directly certified in the base year is 71.4% and in the last non-base year is 68%, the percent change would have improved by 4.76%, which would make the answer to the question above 'no'. In this example, the site would be eligible for an extension based on the Direct Certification percentages.

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Use this table to complete your calculation if you are using Direct Certification percentages.



# Quiz Time

What are the due dates for both parts of the Special Assistance Application for an Extension?

- A** Both parts are due March 1st of your last non-base year
- B** Notification is due May 1st of your second to last non-base year and the submission of data is due March 1st of your last non-base year
- C** Notification is due March 1st of your last non-base year, and submission of data is due May 1st of your last non-base year





# Quiz Time

What are the due dates for both parts of the Special Assistance Application for an Extension?

**A** Both parts are due March 1st of your last non-base year

**B** Notification is due May 1st of your second to last non-base year and the submission of data is due March 1st of your last non-base year

**C** Notification is due March 1st of your last non-base year, and submission of data is due May 1st of your last non-base year

To apply for an extension, SFAs must submit a Notification that they are going to apply for an extension by May 1st of your second to last non-base year. In the next program year (last non-base year), SFAs will submit data by March 1st.





# Calculating Socioeconomic Data

## SECTION 3





# 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

## PAGE 3 OF THE APPLICATION PACKET

- 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.



Extension Calculation Worksheet

Due March 1st of the Last Non-Base Year of the Current Cycle

Local Education Agency:	CTDS#
Site Name:	Site CTDS#:
Contact/Title:	Phone #:

Please indicate the approved socioeconomic data that you are submitting to HNS. Data submitted must be from the base year and the last non-base year. All data must be submitted by **March 1st** of the last non-base year. Please ensure that the selection below matches what was indicated on your extension application from last year.

Socioeconomic Data Source (select one)	BASE YEAR	LAST NON-BASE YEAR
Unemployment Data <input type="checkbox"/> or Direct Certification percentages <input type="checkbox"/>		
Calculation for Socioeconomic Data Using Unemployment Data		
Step	Formula	SFA's answer
Step 1: Calculate the percent in unemployment from the base year and the last non-base year.	<i>Unemployment rate from the non base year -- unemployment from base year</i>	
Step 2: Calculate the percent change in unemployment from the base year to the last non-base year.	$\frac{(\text{Non- base year \%} - \text{base year \%})}{\text{Base Year \%}} \times 100$	
*Has the income improved by 5% or more? (Yes or No)		
*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 be the answer to the question above 'yes'. In this example, the site would not be eligible for an extension based on Unemployment Data.		

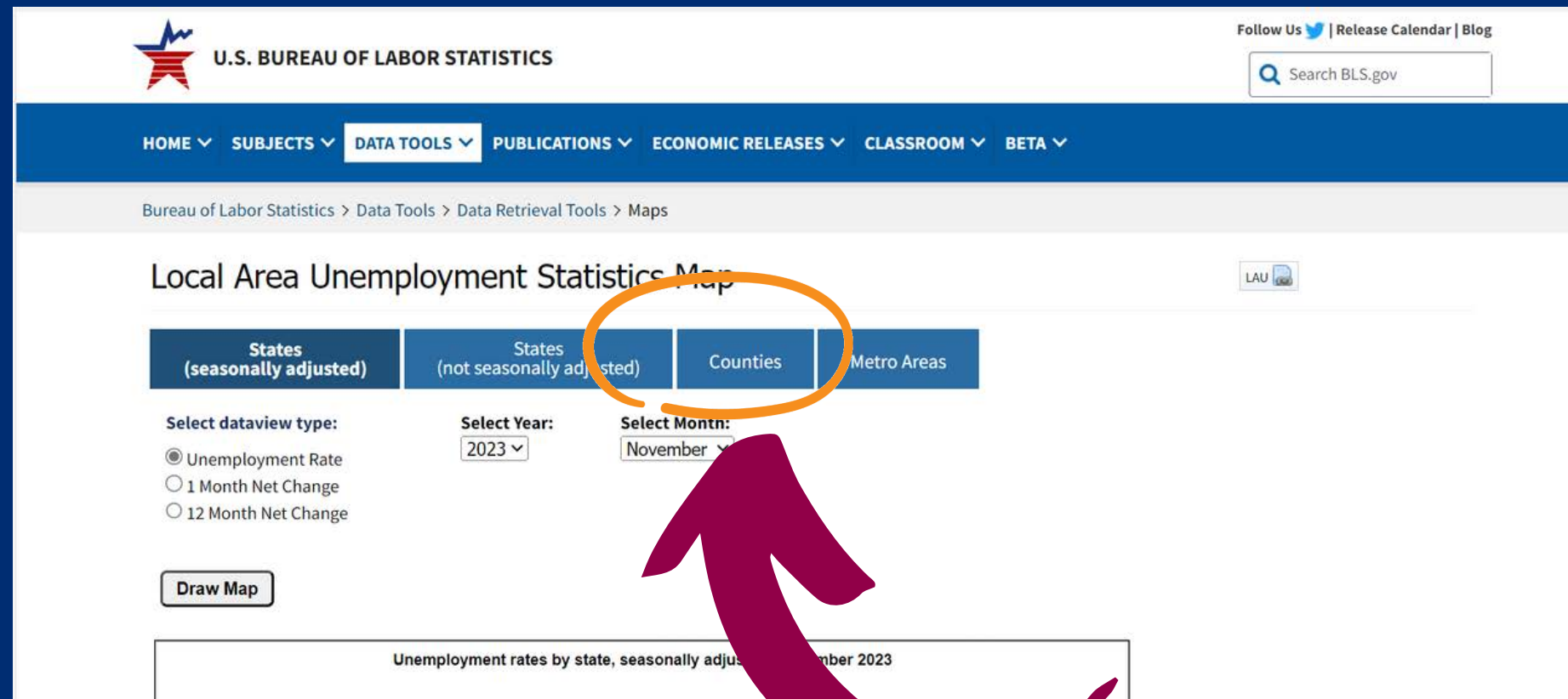
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# Using Unemployment Data

## HOW TO CORRECTLY IDENTIFY THE UNEMPLOYMENT DATA

- Go to: [\*\*http://data.bls.gov/map/\*\*](http://data.bls.gov/map/)
- On the webpage, click on the **Counties** tab.



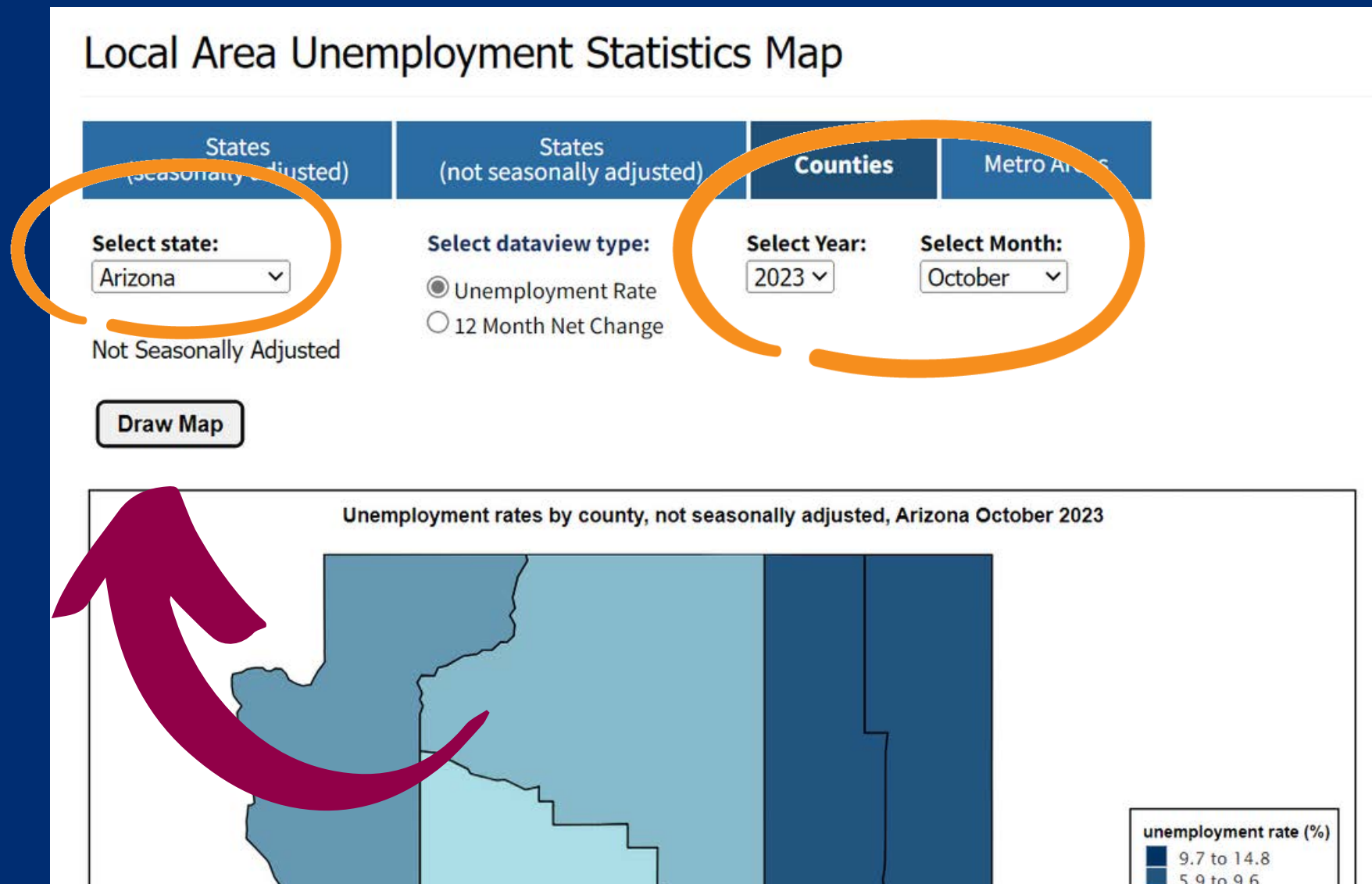
# Using Unemployment Data

## HOW TO CORRECTLY IDENTIFY THE UNEMPLOYMENT DATA

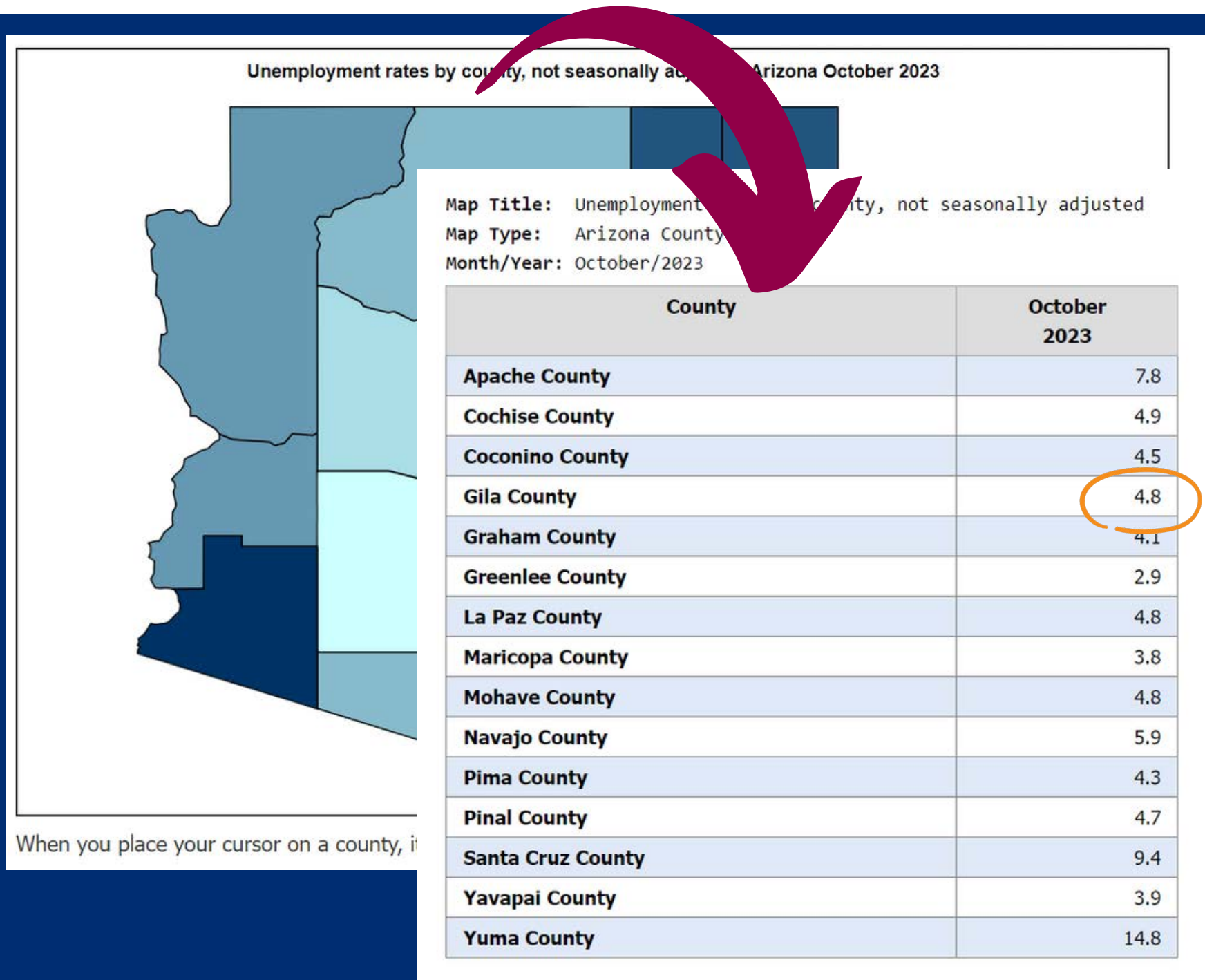
Using the dropdowns, select Arizona, the year and month of this current school year.

- 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.

Click **Draw Map**.







# Using Unemployment Data

## HOW TO CORRECTLY IDENTIFY THE UNEMPLOYMENT DATA

Find your county and the unemployment percentage.

**Print** this page for your records and for the backup documentation you are required to submit with the packet.



For example, based on the screenshots above, the unemployment rate in Gila County for October 2023 is 4.8%.



## Local Area Unemployment Statistics Map

States (seasonally adjusted) States (not seasonally adjusted) **Counties** Metro Areas

Select state: Arizona ▼

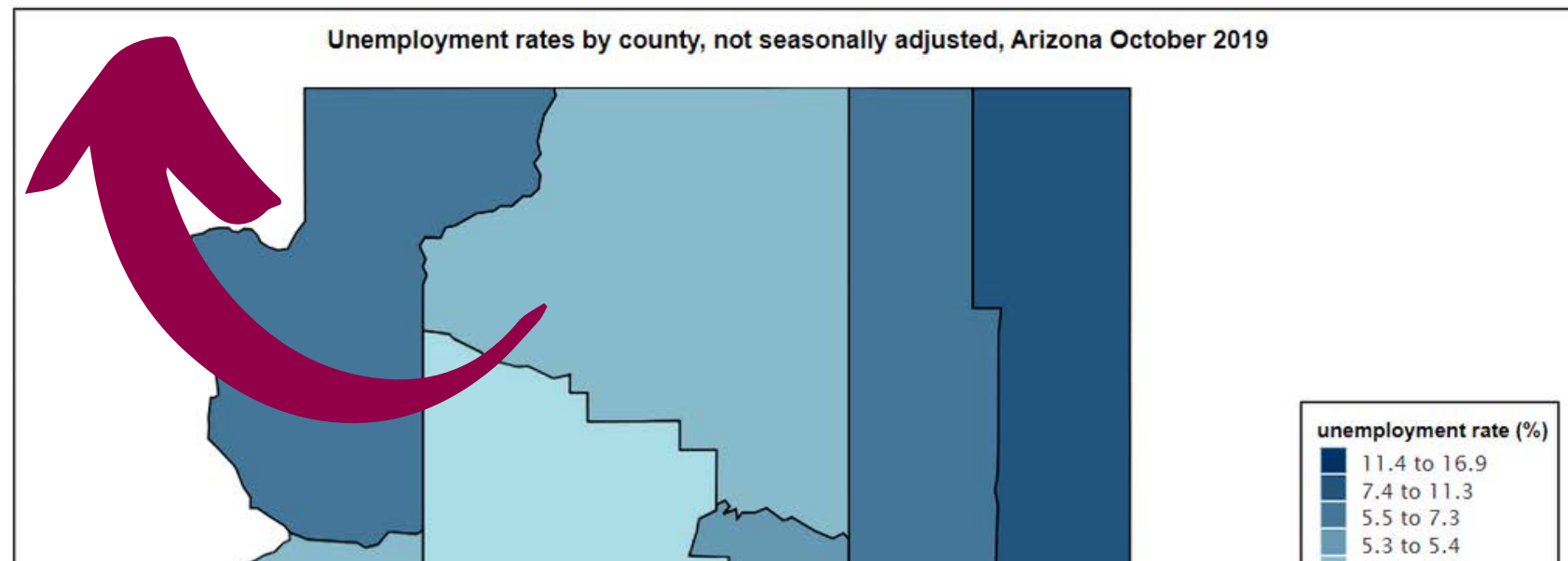
Select dataview type: ☒ Unemployment Rate ☐ 12 Month Net Change

Select Year: 2019 ▼

Select Month: October ▼

Not Seasonally Adjusted

Draw Map



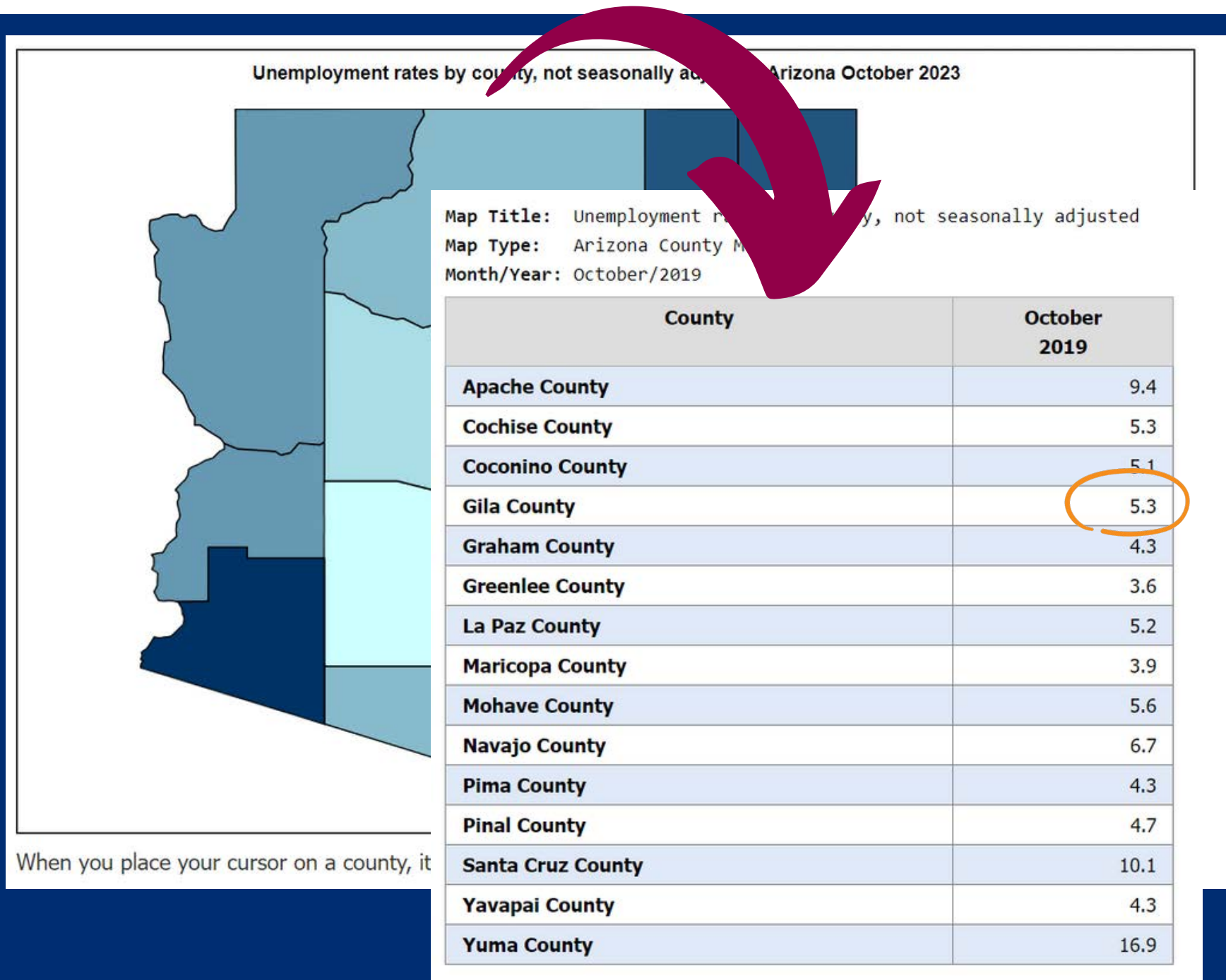
# Using Unemployment Data

## HOW TO CORRECTLY IDENTIFY THE UNEMPLOYMENT DATA

Change the year at the top of the page to the year of your **base year**. Do not change the month.

Click **Draw Map**





# Using Unemployment Data

## HOW TO CORRECTLY IDENTIFY THE UNEMPLOYMENT DATA

Find your county and the unemployment percentage.

**Print** this page for your records and for the backup documentation you are required to submit with the packet.



For example, based on the screenshots above, the unemployment rate in Gila County for October 2019 (base year) is 5.3%.



# Calculating Unemployment Data

Here is how to calculate the percent change for the socioeconomic data using unemployment data on the Extension Calculation handout (page 3).

Socioeconomic Data Source (select one)		BASE YEAR	LAST NON-BASE YEAR
Unemployment Data <input checked="" type="checkbox"/> or Direct Certification percentages <input type="checkbox"/>		2019	2023
Calculation for Socioeconomic Data Using Unemployment Data			
Step	Formula	SFA's answer	
Step 1: Calculate the percent in unemployment from the base year and the las non-base year.	<i>Unemployment rate from the non base year -- unemployment from base year</i>	4.8% - 5.3% = 0.5%	
Step 2: Calculate the percent change in unemployment from the base year to the last non-base year.	$\frac{(Non- base year \% - base year \%)}{Base Year \%} \times 100$	0.5% / 5.3% x 100 = 9.43%	
*Has the income level <b>improved</b> by 5% or more? (Yes or No) (Improved unemployment)		YES Improved by 9.43%	
*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.			

This data supports that the unemployment has improved and the base year data is not reflective of the current population

# Quiz Time

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		
Step	Formula	Sponsor's answer
Step 1: Calculate the difference in unemployment from the base year and the last non-base year.	<i>Unemployment rate from the non base year – unemployment from base year</i>	5.2%-10.2% = -5.0
Step 2: Calculate the percent change in unemployment from the base year to the last non-base year.	$\frac{(Non\ base\ year\ \% - base\ year\ \%)}{Base\ year\ \%} \times 100$	$\frac{(-5.0)}{10.2\%} \times 100 = -49\%$
*Has the income level improved by 5% or more? (Yes or No) (Improved= Less unemployment)		
*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.		





# Quiz Time

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.

The unemployment rate has decreased, meaning unemployment has improved by 49% change from the base year to the current year. 49% less people are unemployed in the current year than in the base year.



# Quiz Time

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 is more than 5%.
- C Yes, the SFA submitted an application for an extension.

Calculation for Socioeconomic Data Using Unemployment Data		
Step	Formula	Sponsor's answer
Step 1: Calculate the difference in unemployment from the base year and the last non-base year.	<i>Unemployment rate from the non base year – unemployment from base year</i>	5.2%-10.2% = -5.0
Step 2: Calculate the percent change in unemployment from the base year to the last non-base year.	$\frac{(Non\ base\ year\ \% - base\ year\ \%)}{Base\ year\ \%} \times 100$	$\frac{(-5.0)}{10.2\%} \times 100 = -49\%$
*Has the income level improved by 5% or more? (Yes or No) (Improved= Less unemployment)		
*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.		





# Quiz Time

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 is more than 5%.
- C** Yes, the SFA submitted an application for an 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 Percentages

## PAGE 4 OF THE APPLICATION PACKET

- 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 .

**Request for an Extension on Special Assistance**  
Due March 1st of the Last Non-Base Year of the Current Cycle  
**Continuation**

Calculation for Socioeconomic Data Using Direct Certification Percentages		
Step		
Step 1: Calculate percentage of students with access to free meals through Direct Certification from the <b>base year</b> .	$\frac{\text{Number of students directly certified}}{\text{Total Enrollment}}$	
Step 2: Calculate percentage of students with access to free meals through Direct Certification from the <b>last non-base year</b> .	$\frac{\text{Number of students directly certified}}{\text{Total Enrollment}}$	
Step 3: Calculate the percentage change.	$\frac{(\text{Non-base year \%} - \text{base year \%})}{\text{Base Year \%}} \times 100$	
*Has the income level <b>improved</b> by 5% or more? (Yes or No) (Improved = Less children matching in Direct Certification)		
*Example: If the percentage of students directly certified in the base year is 71.4% and in the last non-base year is 68%, the percent change would have improved by 4.76%, which would make the answer to the question above 'no'. In this example, the site would be eligible for an extension based on the Direct Certification percentages.		

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# Using Direct Certification Percentages

## PAGE 4 OF THE APPLICATION PACKET



\*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).

### Request for an Extension on Special Assistance

Due March 1st of the Last Non-Base Year of the Current Cycle

#### Continuation

Calculation for Socioeconomic Data Using Direct Certification Percentages		
Step		
Step 1: Calculate percentage of students with access to free meals through Direct Certification from the <b>base year</b> .	$\frac{\text{Number of students directly certified}}{\text{Total Enrollment}}$	
Step 2: Calculate percentage of students with access to free meals through Direct Certification from the <b>last non-base year</b> .	$\frac{\text{Number of students directly certified}}{\text{Total Enrollment}}$	
Step 3: Calculate the percentage change.	$\frac{(\text{Non-base year \%} - \text{base year \%})}{\text{Base Year \%}} \times 100$	
*Has the income level <b>improved</b> by 5% or more? (Yes or No) (Improved = Less children matching in Direct Certification)		
*Example: If the percentage of students directly certified in the base year is 71.4% and in the last non-base year is 68%, the percent change would have improved by 4.76%, which would make the answer to the question above 'no'. In this example, the site would be eligible for an extension based on the Direct Certification percentages.		

# Calculating Direct Certification Data

Calculate the percent change for the socioeconomic data using Direct Certification Data on the Extension Calculation handout (page 4)

Calculation for Socioeconomic Data Using Direct Certification Percentages		
Step	Formula	SFA's answer
Step 1: Calculate percentage of students with access to free meals through Direct Certification from the <b>base year</b> .	$\frac{\text{Number of students directly certified}}{\text{Total Enrollment}}$	$305/420 = .726$ $.726 \times 100 = 73\%$
Step 2: Calculate percentage of students with access to free meals through Direct Certification from the <b>last non-base year</b> .	$\frac{\text{Number of students directly certified}}{\text{Total Enrollment}}$	$300/465 = .645$ $.645 \times 100 = 65\%$
Step 3: Calculate the percentage change.	$\frac{(\text{Non- base year \%} - \text{base year \%})}{\text{Base Year \%}} \times 100$	$65-73 / 73 = .109$ $.109 \times 100 = 10.9\%$
*Has the income level <b>improved</b> by 5% or more? (Yes or No) (Improved = Less children matching in <b>base year</b> than in <b>last non-base year</b> )		YES Improved 11%
*Example: If the percentage of students directly certified in the base year is 71.4% and in the last non-base year is 68%, the percent change would have improved by 4.76%, which would make the answer to the question above 'no'. In this example, the site would be eligible for an extension based on the Direct Certification percentages.		

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.

This data supports that the socioeconomics of the population has **improved** and the base year data is not reflective of the current population



# Submitting the Extension Application



SECTION 4



# Submitting an Application

- An extension is an approval per 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 four-page Extension Application on the NSLP Forms web page.
- The application is a two-part process.





# 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 3/4 and their supporting data (EITHER unemployment data or Direct Certification data) to ADE by March 1st of their last non-base year.

# Submitting the Application

**ADE Contact Information:**

Fax/email all parts of the Application by the due dates stated in this guide to your Health and Nutrition Services Specialist.

**Fax:** 602-542-1531

**Email:** [ContactHNS@azed.gov](mailto:ContactHNS@azed.gov)





# CONTACT US

If you have a question or require additional assistance, please contact your assigned specialist or contact HNS.



602-542-8700



ContactHNS@azed.gov



[www.azed.gov/hns](http://www.azed.gov/hns)







# Congratulations

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**You have completed the Online Course:  
How to Apply for an Extension in Provision 2 or  
Provision 3**

Information to include when documenting this  
training for Professional Standards:

**Training Title:**  
How to Apply for an  
Extension in Provision 2  
or Provision 3

**Key Area: 3000 – Administration**  
**Learning Code: 3130**  
**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.



# Certificate

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## Requesting a training certificate

Please click the button to complete a brief survey about this online training. Once the survey is complete, you will be able to print your certificate of completion from Survey Monkey.



Information to include when documenting this training for Professional Standards:

**Training Title:**  
**How to Apply for an  
Extension in Provision 2  
or Provision 3**

**Key Area: 3000 – Administration**  
**Learning Code: 3130**  
**Length: 1 hour**

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







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Program information may be made available in languages other than English. Persons with disabilities who require alternative means of communication to obtain program information (e.g., Braille, large print, audiotape, American Sign Language), should contact the responsible state or local agency that administers the program or USDA's TARGET Center at (202) 720-2600 (voice and TTY) or contact USDA through the Federal Relay Service at (800) 877-8339.

To file a program discrimination complaint, a Complainant should complete a Form AD-3027, USDA Program Discrimination Complaint Form which can be obtained online at: <https://www.usda.gov/sites/default/files/documents/USDA-OASCR%20P-Complaint-Form-0508-0002-50811-28-17Fax2Mail.pdf>, from any USDA office, by calling (866) 632-9992, or by writing a letter addressed to USDA. The letter must contain the complainant's name, address, telephone number, and a written description of the alleged discriminatory action in sufficient detail to inform the Assistant Secretary for Civil Rights (ASCR) about the nature and date of an alleged civil rights violation.

The completed AD-3027 form or letter must be submitted to USDA by:

**Mail:** U.S. Department of Agriculture Office of the Assistant Secretary for Civil Rights  
1400 Independence Avenue, SW Washington, D.C. 20250-9410; or

**Fax:** (833) 256-1665 or (202) 690-7442; or

**Email:** [program.intake@usda.gov](mailto:program.intake@usda.gov)

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