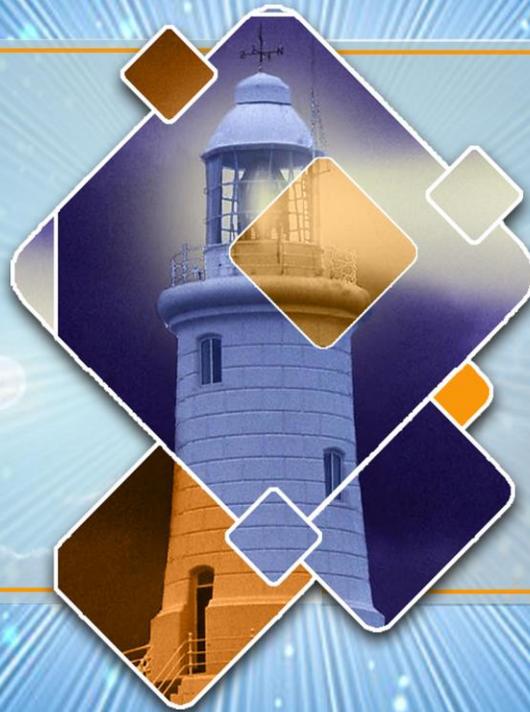


# 21st CENTURY COMMUNITY LEARNING CENTERS

## Fiscal & Program Accountability **Guidance Handbook**

**Fiscal Year 2019 Edition**



This Guidance Handbook is also available electronically on the Federal & State Regulations page of the 21st CCLC website at <http://www.azed.gov/21stcclc/federal-and-state-regulations/>



Presented by the Arizona Department of Education | 21st Century Community Learning Centers Grant





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## GUIDANCE HANDBOOK

### PURPOSE OF THIS HANDBOOK

*With the distribution and public posting of this document, the Arizona Department of Education (ADE) aims to provide guidance on compliance with the numerous statutory and regulatory requirements of the 21<sup>st</sup> Century Community Learning Centers (21<sup>st</sup> CCLC) Grant. The Fiscal and Program Accountability Guidance Handbook is a good reference for practices and standard expectations for all Arizona 21<sup>st</sup> CCLC grant programs. This guide should be read in along with the authorized statutes and applicable regulations that are relevant to the 21<sup>st</sup> CCLC Grant.*

### WHAT IS THE PURPOSE OF THE FUNDING?

- The purpose of the 21<sup>st</sup> Century Community Learning Centers (21<sup>st</sup> CCLC) program is to establish or expand a broad array of services in *community learning centers* for students during non-school hours or periods when school is not in session.
- Centers must offer adult family members of 21<sup>st</sup> CCLC students opportunities for active and meaningful engagement in their children's education, including opportunities for literacy and related educational development to enhance student learning.
- All 21<sup>st</sup> CCLC program services and activities must provide students who are struggling to meet academic expectations with opportunities for academic enrichment and instructional support to help them meet the challenging State academic standards in the core content areas including literacy, math and science.
- 21<sup>st</sup> CCLC programs must ensure that all services provided are designed to reinforce and complement the regular academic program of participating students and that services are in alignment with the instruction students receive during the school day.
- Programs must be continually evaluated to assess progress towards meeting their grant objectives in the areas of academics, youth development and family engagement.
- Requiring funds to supplement and not supplant.
- Ensure a safe and easily accessible learning environment, transportation, nutritious afterschool snacks and summer meals will be provided to students.
- Centers must offer services for students during non-school hours or periods when school is not in session (after school, before school, evenings, weekends, summer or other school vacation periods). Adult Family Engagement services may occur at any time.
- Programs must be equally accessible to all students at targeted schools regardless of their ability to pay. The ADE discourages the charging of any fees, as the amount of any funds placed into a site's 21<sup>st</sup> CCLC account will be deducted from the grant award for that site per federal law.



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C COMPLIANCE E EXPECTATIONS



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### GRANT ACCOUNTABILITY

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It is advised that Arizona's 21<sup>st</sup> CCLC grant funding recipients (grantees) become very familiar with the monitoring resources and guidance in this *21<sup>st</sup> CCLC Fiscal and Program Accountability Guidance Handbook*. Some of the key resources important to 21<sup>st</sup> CCLC program administration are listed below and online in the ADE 21<sup>st</sup> CCLC website.

The 21<sup>st</sup> CCLC unit staff is committed to offering comprehensive service to grantees regarding the implementation of their grant. Each grantee is assigned to an ADE 21<sup>st</sup> CCLC Program Education Specialist for the five-year duration of the 21<sup>st</sup> CCLC Grant. This highly qualified individual has direct experience with grants management. ADE 21<sup>st</sup> CCLC Program Education Specialists offer a system of technical assistance along with our system of accountability, but ultimately it is the responsibility of the sub-grantee to assure the greatest fidelity with the management of their approved 21<sup>st</sup> CCLC Grant as outlined in the General Statement of Assurance<sup>1</sup>.

### COMPLIANCE RESOURCES

- Federal Legislation, Regulations, and Guidance specific to 21<sup>st</sup> CCLC grant funding <http://www2.ed.gov/programs/21stcclc/legislation.html>
- Approved 21<sup>st</sup> CCLC Grant Application for the site and related revisions / continuing renewal applications. (Contact your ADE 21<sup>st</sup> CCLC Program Education Specialist if you do not have a copy of your own application.)
- ADE Grants Management Office Guidance and Procedures <http://www.azed.gov/grants-management/> phone (602) 542-3901 or email at [Grants@azed.gov](mailto:Grants@azed.gov)
- ADE 21<sup>st</sup> CCLC website <http://www.azed.gov/21stcclc/>

Note: Critical information is found on the Federal and State Regulations tabs of the website.

### CRITERIA FOR STAYING COMPLIANT

The list below includes an overview of requirements.

#### Grant recipients are *required* to:

- Read and understand their own approved 21<sup>st</sup> CCLC grant application
- Implement what is written in the original awarded grant
- Submit and follow the ADE General Statement of Assurance<sup>1</sup>

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<sup>1</sup> A General Statement of Assurance (GSA) guarantees accountability to the United States and the State by recipients of Federal and State assistance grants. The LEA assures, if awarded a grant, subgrant, or contract that it will accept funds in accordance with applicable Federal and State statutes, regulations, program plans, and applications.



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- Follow the ADE Grant Management Business Rules
- Submit Audit Evaluation when required
- Keep proper records
- Keep relevant records organized for announced and unannounced site visit
- Submit complete reports on or before deadlines
- Submit revision requests for any fiscal or programmatic change
- Receive approval for revisions prior to implementing any change in spending or program
- Meet the service requirement to students as outlined in the awarded grant
- Meet the service requirement to family members of participating students as outlined in the awarded grant
- Meet the service hour requirements (hours/days/ weeks/ summer program)
- Provide food for students in the program: At a minimum, afterschool snacks and summer meals
- Make progress towards the objectives outlined in the awarded grant

### Site Compliance Tool- Outline of Sections

#### 1. Direct Student Services

- a. Program services are provided for the number of hours and days per week proposed in original approved application.
- b. Student services are provided for the number of days as proposed in the application funding formula.
- c. Classes/Services provided support academic objectives for students.
- d. Classes/Services provided support youth development objectives for students.
- e. Services are provided to the projected number of regular student attendees.
- f. Services are being provided for the target population identified in the application.

#### 2. Family Engagement

- a. Ongoing family engagement services are provided as proposed in the original application.
- b. The family engagement activities offered support academic achievement of 21<sup>st</sup> CCLC students.

#### 3. Alignment to the School Day

- a. Student data is used to make decisions regarding program implementation.
- b. Regular communication occurs between 21<sup>st</sup> CCLC staff, school administrators, and regular school day staff to assess and enhance individual student academic progress.

#### 4. Safety and Transportation

- a. A 21<sup>st</sup> CCLC Safety Plan is developed and implemented.
- b. Services are provided in a safe and secure location.
- c. If services are provided in a location other than the school, the location will be at least as available and accessible to the students to be served as if the program were located in the school.
- d. Procedures for the safe transitions, including transportation of students between school, 21<sup>st</sup> CCLC site, and home have been established.
- e. Afterschool snacks and summer meals are provided.

#### 5. Barriers

- a. Students with disabilities have been identified and are being served.

#### 6. Evaluation

- a. Data needed to ensure compliance with all requirements are collected, compiled and reviewed on a regular basis.
- b. Data needed to measure progress toward reaching grant program objectives are collected, compiled, analyzed and reviewed on a regular basis.



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### 7. Dissemination

- a. Methods and strategies to disseminate and share information about the program, outcomes and accomplishments to parents, staff, students, community members and other stakeholders are being implemented.

### 8. Sustainability

- a. At least one active partnership has been established with an organization that is not the fiscal agent/LEA/school itself.
- b. At least one other federal, state, or local program is leveraged to ensure the most effective use of public resources.
- c. The site is actively building additional resources in support of its 21<sup>st</sup> CCLC program through showcasing the program, enlisting new partners and/or obtaining additional funds.

### 9. Fiscal Record Keeping

- a. Expenditure reports that follow cost principals and ADE Guidelines are kept, organized and available on request.
- b. Pre-approved purchase orders and receipts that coincide with approved budgets are tracked, organized and available on request.
- c. Payroll records showing positions approved in approved budget are kept, organized and available on request.
- d. Time and effort reports are completed, kept, organized and available upon request.
- e. Capital expenditures are in accordance with approved budgets and fixed assets are tracked appropriately.
- f. Reimbursement requests are submitted on a monthly basis.

### 10. Required Training

- a. 21<sup>st</sup> CCLC district director, the principal, site coordinators new to grant leadership attended the Grant Leadership Orientation (GLO) training.
- b. Principal and site coordinator(s) attended annual professional development relevant to the success of the 21<sup>st</sup> CCLC program. Any exceptions to this requirement must be approved in writing by ADE 21<sup>st</sup> CCLC program ADE 21st CCLC Program Specialist assigned to the grantee.

### 11. Classroom Observation

### 12. Maintaining Substantial Compliance



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### COMPLIANCE MONITORING

Assessment of sites may be completed via both **desktop** and **on-site** monitoring.

#### DESKTOP MONITORING

ADE 21st CCLC Program Education Specialists conduct routine desktop monitoring throughout the five-year grant period. The following lists contain the most commonly reviewed documentation.

1. ADE 21st CCLC Program Education Specialists may request the following documents from the grantee at any time during the grant project:

- Program At-A-Glance (completed)
- Program Schedule (Must include: Current schedule of student and family engagement activities and classes, time of classes, days of the week.)
- Monthly Expenditure Spreadsheet (previous month)
- Daily Class/Activity Attendance Form for each class (blank)
- Student Registration/Permission Form (blank)
- Lesson Plan, Curriculum Overview or Syllabus (one completed example)

2. ADE 21st CCLC Program Education Specialists also review the following supporting documentation for evidence of compliance:

- Original Awarded 21<sup>st</sup> CCLC Application
- Annual Continuing (Renewal) Application
- ADE Grants Management System
- Annual Performance Report (APR)
- Site Evaluation Report
- Student Attendance Reporting
- Summary of Classes Report
- Site Visit Notes
- 21<sup>st</sup> CCLC Grantee Leadership Orientation sign in sheet
- Written Communication

#### SITE VISIT MONITORING

The main purpose of an on-site visit is to ensure capacity of the site to manage the 21<sup>st</sup> CCLC grant with fidelity and to comply with state and federal guidance and regulations. Site visits from the ADE 21<sup>st</sup> CCLC Program Education Specialist accomplish compliance monitoring and enable the ADE 21st CCLC Program Education Specialist to offer technical assistance and resources to help program leaders strengthen their programs.

During a site visit, the ADE 21st CCLC Program Education Specialist will follow up on any questions or potential concerns identified during desktop monitoring and completes an assessment of any items that were not previously addressed. The visit includes a conference with the principal and site coordinators, a review of program and fiscal documentation and observation of program activities being offered.



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Site visits may occur as an announced visit or as an unannounced visit. Grantees should be prepared for both. Site visits will be conducted in each of the following cases:

- New (year 1) 21<sup>st</sup> CCLC sites
- Sites that are out of compliance
- As deemed necessary by the ADE 21<sup>st</sup> CCLC Program Education Specialist

Following the site visit, a 21<sup>st</sup> CCLC Compliance Report is completed and sent to 21<sup>st</sup> CCLC district and site program leaders. Any follow up issues are noted in the report. The person(s) responsible for addressing issues is identified, and how the ADE will determine achievement of compliance is also noted. Upon satisfactory resolution of any issues discovered on the site visit, a revised report will be sent to the 21<sup>st</sup> CCLC district and site program leaders.

### **Fiscal Records Binder**

Grantees should have the following documents organized into a binder for each year of the program and available for the **SITE VISIT**:

- 21<sup>st</sup> CCLC Program At-A-Glance Document (this can be found on our website)
- Program Schedule
- Current Student Attendance Records by Class/Activity for each day
- Lesson Plan, Curriculum Overview or Syllabus for each class offered
- Monthly Expenditures Spreadsheet for the previous month
- Purchase Orders/Receipts
- Time Sheets, Time and Effort Logs, Daily Attendance Rosters for each Class/Activity (attached together with the Time Sheet as the cover)
- Fixed Assets (Capital Items) Log

### **Requested Program Contacts for the Site Visit**

- 21<sup>st</sup> CCLC District Director (if applicable)
- Site Coordinator
- Site Principal

### **Suggested Program Contacts for the Site Visit**

- Fiscal /Budget staff
- Partners
- Parents
- Evaluator

### **Snacks and Meals**

Arizona's 21<sup>st</sup> CCLC snacks and meals are funded by USDA snack and meals reimbursements through the Arizona Department of Education's Office of Health and Nutrition. All 21<sup>st</sup> CCLC sites are responsible for offering students afterschool snacks and summer meals during the 21<sup>st</sup> CCLC summer program that meet the nutrition guidelines of the USDA and applying for reimbursement through this program. Offering breakfast and evening meals through these programs is highly encouraged.



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### SAFETY & TRANSPORTATION

Arizona's 21<sup>st</sup> CCLC Department of Education requires sites to ensure a safe and easily accessible learning environment and transportation for students.

#### Learning Environment

All the State's awarded programs must provide for a safe and healthy learning environment by ensuring that the following components are incorporated in their applications and program implementation:

- Healthy food. Provide child nutrition programs including after school snack and summer meals. Most of Arizona 21<sup>st</sup> CCLC programs also offer free breakfast as part of their program and evening meals are increasingly being offered as well.
- Safe transportation from school or an alternative program site if that is part of the program.
- Students are served in an easily accessible environment.
- Site administrator and site coordinator must jointly develop a plan of action for safety and communication relevant to their student needs and community.

#### Transportation Guidance

Programs must establish a plan for the transportation of grant participants that clearly demonstrates procedures as described in the LEA Site original approved grant application.

- It is the fiduciary responsibility of the LEA to avoid supplanting with student transportation costs.
- Transportation cost billed to the 21<sup>st</sup> CCLC grant should not exceed 4% of the annual budget when deemed necessary.
- For additional questions related to transportation, please communicate with your assigned ADE 21st CCLC Program Education Specialist.

#### Safe and Easily Accessible Facility

Sites must provide assurance that the program is taking place in a safe and easily accessible facility. Evidence may include: Safety logs/plans, reports, original awarded 21<sup>st</sup> CCLC application, attendance records and emails.

Procedures are in place during the 21<sup>st</sup> CCLC program to include:

1. Fire Drills
2. Evacuation Drills
3. Lockdown Drills
4. Sign-in and Sign-out Sheets



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Services are provided in a secure and safe location

1. Secured campus to ensure safety – such as monitored or secured entrance and exit.
2. Established Accessibility. Students with disabilities are served with appropriate accommodations in an easily accessible environment.

Established procedures for tracking students during the program hours

1. Available during Program Hours:
  - a. Attendance Sheets
  - b. Sign-in & Sign-out Sheets
2. Available for Program Year:
  - a. Communication Log
  - b. Attendance Sheets
3. Established method for parent/guardian to reach 21<sup>st</sup> CCLC staff during program hours

Transportation and Transitions

1. Procedures have been established for safe transportation of students between school, 21<sup>st</sup> CCLC site and home.
2. Procedures have been established for transition of students from the regular school day program to the 21<sup>st</sup> CCLC program.

### USE OF 21<sup>ST</sup> CCLC LOGO & LANGUAGE REQUIREMENT

All communication to the public about your 21<sup>st</sup> CCLC program, including media/news stories, and publications, such as parent letters, registration forms, brochures, flyers, newsletters, or any other print materials used for your 21<sup>st</sup> CCLC program, must include the Arizona 21<sup>st</sup> CCLC logo and language, found in the 21<sup>st</sup> CCLC Logo & Language Requirement drop down section of the [Federal and State Regulations](#) button on the right side of the ADE 21st CCLC website.

### PROGRAM IMPLEMENTATION RESOURCES

- Federal Legislation, Regulations, and Guidance  
<http://www2.ed.gov/programs/21stcclc/legislation.html>
- Approved 21<sup>st</sup> CCLC Grant Application for the site and related revisions / continuing (renewal) applications  
<https://home.azed.gov/Portal/>
- The ADE 21<sup>st</sup> CCLC website at <http://www.azed.gov/21stcclc/> is created to provide grantees with access to relevant guidance and support for grant success, highlighting the following areas of compliance and technical assistance:
  - Federal and State Regulations
  - Required Reporting
  - Professional Development
  - Spotlight 21st CCLC
  - Academics



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- Youth Development
- Family Engagement
- Application Information
- 21<sup>st</sup> CCLC Program Resources provides a collection of best practices and templates and other resources.
- Video Vault

### **FAMILY ENGAGEMENT**

21<sup>st</sup> CCLC sites will report how many Adult Family Members participated in Family Engagement/Family Literacy and Related Services on state and federal reports. Family member may include parents, grandparents, foster parents, guardians, and other adults serving in a supportive role of a 21<sup>st</sup> CCLC participant.

#### **VI.16.01 – Family Engagement & Parental Involvement**

The purpose of family engagement & parental involvement is two-fold: (1) opportunities for active and meaningful engagement in their children’s education; and (2) opportunities for literacy and related educational development.

Family engagement & parent involvement may be satisfied by two (2) types:

**1. Family Engagement Opportunities (ESSA, Sec. 8101(39))** – Participation of parents in regular, two-way and meaningful communication involving student academic learning and other school activities, including ensuring:

- That parents play an integral role in assisting their child’s learning;
- That parents are encouraged to be actively involved in their child’s education in afterschool and school; and
- That parents are full partners in their child’s education and are included, as appropriate, in decision making and on advisory committees to assist in the education of their child.

**2. Family Literacy and Related Services (ESSA, Sec. 8101(24))** – Services provided to families that are of sufficient intensity in terms of hours, and of sufficient duration, to make sustainable changes in a family, and that integrate the following activities:

- Interactive literacy activities between parents and their children;
- Training for parents regarding how to be the primary teacher for their children and full partners in the education of their children; and
- Parent literacy training that leads to economic self-sufficiency.

Successful Family Engagement and Literacy may:

- ✓ Be based on the needs of the family through surveys, focus groups and family input;
- ✓ Include parents/families in the planning process;
- ✓ Include a calendar in advance for parents/families to prepare for services/opportunities (when possible);



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- ✓ Provide ample invites and reminders of offerings, which should include a variety of sources (i.e. in-person, phone calls, letters, student made
- ✓ invitation, etc.
- ✓ Be the culture of the campus.

### SAMPLE FORMS

You will find examples of some of the more commonly used forms in 21<sup>st</sup> CCLC programs in the appendix section of this handbook. In some cases, the forms are shortened in order to fit the formatting of the *Handbook*. These and other sample forms can be downloaded in electronic form from the [ADE 21<sup>st</sup> CCLC website](#).

To find the electronic examples of the following three forms, look under the following button on the right side of the 21<sup>st</sup> CCLC web page:

- [Federal & State Regulations](#)
  - Payroll/Attendance/Time & Effort Logs (for a sample Weekly Attendance Log)
  - Program At-A-Glance
  - Time and Effort Reporting



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**P**ROFESSIONAL **D**EVELOPMENT



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### **PROFESSIONAL DEVELOPMENT**

The 21<sup>st</sup> CCLC unit is dedicated to providing Professional Development (PD) opportunities for grantees throughout the duration of their grant award.

#### **ADE 21<sup>st</sup> CCLC Annual Professional Development Requirement**

Grant program leaders (the 21<sup>st</sup> CCLC Grant Site Principal, Site Coordinator and the District 21<sup>st</sup> CCLC Grant Director if applicable) are expected to attend a minimum of *one* professional development opportunity annually related to out-of-school time services. Compliance with this expectation is documented each year in the site's 21<sup>st</sup> CCLC Continuing (Renewal) Application by reporting on the professional development completed, and how the PD opportunities supported their 21<sup>st</sup> CCLC Program. Grant program leaders who do not complete the annual PD requirement will be placed in corrective action.

Grant leadership may take advantage of low/no cost monthly professional development offerings sponsored by the 21<sup>st</sup> CCLC program. Information on current year PD opportunities supporting the development and management of successful 21<sup>st</sup> CCLC grant programs will be provided by your ADE 21<sup>st</sup> CCLC program ADE 21<sup>st</sup> CCLC Program Specialist via email and many other opportunities are listed under the Professional Development button on the right side of the Arizona's 21<sup>st</sup> CCLC website page.

#### **ADE 21<sup>st</sup> CCLC Grant Leadership Orientation (GLO)**

*Principals (or their designee), coordinators and district directors new to leadership at an established 21<sup>st</sup> CCLC grant site are **required** to register for and attend the GLO.*

This orientation is for new 21<sup>st</sup> CCLC grantees and those new to leadership in their grant program. The GLO introduces and explains the culture of ADE 21<sup>st</sup> CCLC support and monitoring. This training provides new 21<sup>st</sup> CCLC program leaders with information necessary for a successful grant implementation and effective management. The orientation offers an overview of critical information leaders need to meet federal and state grant requirements. Participants leave the training with a bound reference copy of the 21<sup>st</sup> CCLC *Fiscal & Program Accountability Guidance Handbook*. The GLO is led by ADE 21<sup>st</sup> CCLC program staff, the same knowledgeable ADE 21<sup>st</sup> CCLC Program Education Specialists that work with 21<sup>st</sup> CCLC program leaders throughout the 5 years of the grant.

#### **ADE 21<sup>st</sup> CCLC Network Meeting and Site Visit**

These training and professional collaboration events are offered at various times throughout the year in different regional locations in the state. Participants have an opportunity to visit Arizona 21<sup>st</sup> CCLC sites that are on target in meeting their goals and objectives. Host site staff will highlight best practices and the model of programming that is working at their site. In addition, participants will visit the after school program at the site hosting the Networking Meeting and witness first hand one way to successfully implement programming. These events provide a valuable opportunity to network with Arizona 21<sup>st</sup> CCLC staff and 21<sup>st</sup> CCLC leaders from other



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schools with 21<sup>st</sup> CCLC programs from around the local region and often from elsewhere in the state. Participation is highly recommended.

### **ADE 21<sup>st</sup> CCLC Reporting 101**

This training is designed for grant leaders who are responsible for completing programmatic reporting for their site's 21<sup>st</sup> CCLC program. Reporting 101 will cover annual required reports for the 21<sup>st</sup> CCLC grant, including: the Site Evaluation Report, the Summary of Classes Report, the Annual Performance Report, and the Continuing Application. Collection of student level attendance through each site's Student Information System will also be addressed. Attendees will leave with understanding of the reporting requirements and with ideas of how to use their data to share the program's story with their stakeholders.



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REQUIRED REPORTING



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### REQUIRED REPORTING

Grantees shall prepare and submit all programmatic and fiscal reports required by the Department in a **timely and accurate** manner.

- Annual Performance Report (APR)
- Completion Report
- Continuing (Renewal) Application
- Student Attendance Reporting
- Site Evaluation Report
- Summary of Classes Report

#### Important note:

Always refer to the Required Reports tab of the ADE 21<sup>st</sup> CCLC website for reporting due dates, report templates, and guidance used to complete and submit the reports.

<http://www.azed.gov/21stcclc/required-reporting/>

#### **Annual Performance Report (APR)**

The US Education Department (ED) requires all 21<sup>st</sup> CCLC grantees to enter Summer, Fall and Spring Term data for submission to the U.S. Congress. The data collection template is provided by the ADE.

#### **ADE 21<sup>st</sup> CCLC Reports**

##### **21<sup>st</sup> CCLC Site Evaluation Report**

The evaluation report serves as a periodic evaluation for grantees to assess their progress toward achieving their own grant objective outcomes. In addition, grantees should use their results to strengthen program or activities, to refine performance measures, and to celebrate successes achieved. Results should be made available to the public upon request.

##### **21<sup>st</sup> CCLC Student Attendance Reporting**

21<sup>st</sup> CCLC Student level attendance is now uploaded to ADE via each site's Student Information System (SIS) into the AzEDS system. Attendance is entered in the SIS for *all students who participated at least one day in the program*. Attendance is uploaded at least once a week, but daily entry is highly preferred. Reason: Data will be used by the school's site and LEA administration to monitor the impact of the program on its students and by ADE for State Level Evaluation, federal reporting, and cross referencing with other reporting.

##### **Summary of Classes Report**

This spreadsheet provides ADE program staff with a snapshot of what classes are being offered and the number of students that are being served in the site's 21<sup>st</sup> CCLC program. It enables ADE staff to provide technical assistance throughout the year to grantees that may need additional guidance.



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### GRANTS MANAGEMENT ENTERPRISE (GME) ADE Connect System

Through this online system, 21<sup>st</sup> CCLC grantees will submit the following:

#### Grant Application Revisions

Revisions (both budgetary and programmatic) as needed throughout each of the 5 years of the grant.

#### Reimbursement Requests

Because the 21<sup>st</sup> CCLC grant is awarded on a cost reimbursement basis, grantees' fiscal agents submit Reimbursement Requests at least monthly based on expenditures.

#### Completion Report

Fiscal offices also complete an annual Completion Report within 60 days of the project fiscal end date, showing a final accounting of actual expenditures during the fiscal year.

#### Continuing (Renewal) Application - yearly

Continuing Applications are submitted for 21<sup>st</sup> CCLC programs that will be entering Year 2, Year 3, Year 4 and Year 5 of their grant. The Applications include the following:

- Program performance data from the current program year (from the summer before the current academic year through the end of the program in the current academic year).
- Programs must demonstrate substantial compliance in order to receive funding renewal for years 2, 3, 4, and 5.
- Minor changes in the grant program operation may be requested for approval in the Continuing Application. This can include programmatic changes and budgetary changes but must honor the integrity and intent of the original awarded grant proposal.
- Recommendation: Check with your ADE 21st CCLC Program Education Specialist prior to submitting proposed changes in grant objectives, or if you have any questions regarding the allowability of a change you would like to submit.

All submissions through ADE's Grants Management system must be made by people authorized by their entity to submit in that system. Close attention must be paid to deadlines and guidance provided in the resources below and by the grantee's administrative and fiscal department. Also see the following *Use of Funds & Fiscal Management* section of this *Handbook*.

### REPORTING RESOURCES

- Federal Legislation, Regulations, and Guidance <http://www2.ed.gov/programs/21stcclc/legislation.html>
- Approved 21<sup>st</sup> CCLC Grant Application for the site and related ADE approved Application Revisions / Continuing (Renewal) Applications <https://home.azed.gov/Portal/>
- ADE Grants Management Office Guidance and Procedures <http://www.azed.gov/grants-management/> phone (602) 542-3901 or email at [Grants@azed.gov](mailto:Grants@azed.gov)
- ADE 21<sup>st</sup> CCLC website Required Reports page <http://www.azed.gov/21stcclc/required-reporting/>



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F<sub>ISCAL</sub> M<sub>ANAGEMENT</sub>



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### **USE OF FUNDS & FINANCIAL MANAGEMENT**

21<sup>st</sup> CCLC funds must be used to carry out before and after school and summer program activities (or activities during other times when school is not in session) **as described in the approved project application**. 21<sup>st</sup> CCLC funds may only be used to pay for authorized activities to meet the needs of participating students and their families.

Grant funds must be managed according to sound financial management practices. Grant recipients need to use fiscal control and fund accounting procedures that ensure proper disbursement of and accounting for federal funds. Procedures must be sufficient to enable grantees or auditors to trace funds to a level of expenditure adequate to show that the funds were spent properly as approved by ADE to achieve the goals of the project.

Expenses must be properly classified in the grant application budget, and sufficient detail must be provided to understand how the grant recipient plans to expend funds. The narrative explaining proposed expenses should show the calculations of funds needed. These details will enable the ADE to approve planned expenditures, and will allow auditors to determine if funds were expended as approved.

### **MANAGEMENT OF EXPENDITURES**

Program leaders should maintain (or obtain from their finance office) a monthly spreadsheet that identifies expenditures by budget line. Information on the spreadsheet must show vendor name and/or employee name with dollar amounts expended/encumbered, and reflect the current/latest balance.

The 21<sup>st</sup> CCLC Site Coordinator should review and approve expenditures prior to processing. All expenditures must be authorized by ADE in the approved application before the funds are expended. The Site Coordinator should keep track of all expenditures charged to the grant by budget line and be aware of current balances.

### **REVISIONS**

Revisions to the current approved budget must be submitted and pre-approved by ADE online in the Grants Management (GME) system. For each change, add written narrative on that line of the budget in the Budget Detail section below the original detail. Begin with the Revision number and the date, then a description of what is being reduced or added, then states the amount of the change (+/-) for each budget change requested.



**GUIDANCE HANDBOOK**

**Projected (Planned) Budget**



**EXPENSE CLASSIFICATION/CODING**

Before submitting 21st CCLC applications or budget revisions, ALWAYS contact your Business Manager for guidance. It is important to consult on all fiscal matters with your finance officers prior to any budget submission, as they will be familiar with the correct classification of budget items within the coding system for education. This will help ensure that your accounting system for grant expenditures will pass future audits.

Additional reference- The Chart of Accounts at the Arizona Auditor General site provides the most up to date guidance on budget classification:

- 1) [Arizona School Districts](https://www.azauditor.gov/reports-publications/school-districts/manuals-memorandums) or <https://www.azauditor.gov/reports-publications/school-districts/manuals-memorandums>  
or
- 2) [Arizona Charter Schools](https://www.azauditor.gov/reports-publications/charter-schools/manuals-memorandums) or <https://www.azauditor.gov/reports-publications/charter-schools/manuals-memorandums>

**EXPENDITURE ALLOCATION BY SCHOOL SITE**

Where a fiscal agent has more than one 21<sup>st</sup> CCLC grant award, expenditures must be allocated and accounted for separately by individual school site grant awards. Funds may not be commingled among grants by the fiscal agent, even when more than one grant is awarded to the fiscal agent in a given year.

**EXPENDITURES – ALLOWABLE/UNALLOWABLE**

*Determining if an expenditure is allowable...*

As a basic guideline, grant program leaders should ask, “Is the expenditure...?”

- Necessary for the performance or administration of the project
- Allocable to a particular cost objective
- Legal & authorized (or not prohibited) under state or local laws
- Consistent with uniform policies of other federal & non-federal activities
- Consistent with generally accepted accounting principles
- Adequately documented
- Reasonable (does not exceed that which would be incurred by a prudent person)

E.g. A prudent person would discontinue a class or activity as soon as it becomes apparent that student attendance has declined and no longer justifies the expense, or if it is not supporting approved grant objective(s).



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**ALLOWABLE COSTS**

Expenditures must be allowable and must be clearly tied to goals and objectives of the project or program.

Some examples of **non-allowable** expenditures are:

- District level expenses, not directly or clearly related to the program
- Entertainment (amusement, social activities)
- Food (exception – supplies for an ADE approved 21<sup>st</sup> CCLC cooking class)  
 Note: 21<sup>st</sup> CCLC programs are *required* to provide afterschool snacks and summer meals for students, but these expenses are reimbursable from ADE, and the grant does not supplant other funds.
- Incentives for students (plaques, t-shirts, etc.)
- Promotional or marketing items (flags, banners, t-shirts, etc.)
- Decorative items
- Purchases of facilities or vehicles
- Capital improvements (permanent fixtures or renovations)
- Lobbying
- Travel expenses for individuals not involved with the project

**COMMON AUDIT FINDINGS**

Audit findings due to non-compliance could result in “paying back” grant expenditures with M&O monies, suspension, and/or termination of the grant. It can also result in losing future grants or even going to jail for fraud/illegal activities.

Our auditors have informed us that two of the most common areas of audit findings are with Time & Effort and Fixed Assets documentation.

**21st CCLC Time & Efforts Reporting**

Your ADE 21st CCLC Program Specialist (or fiscal auditor) will review your fiscal management of paying staff by selecting random timesheets and looking for “proof” that staff were paid correctly.

Time Sheet	Time & Effort	Student Attendance Roster
Submitted by employee to be paid for their work. <div style="text-align: center;">IF</div> If the timesheet is submitted after the work is completed and then the employee is paid the time sheet may be accepted as Time & Effort documentation.	Submitted by employee after work is completed to certify that these funds were used to do the work the employee was paid to do.	Each class/activity taught by an employee should have attendance from that class attached to the time sheet and Time & Effort log as “proof” that the employee did the work they claimed pay for.

All 3 types of documentation should be attached together, with the TIME Sheet as the “cover” for each employee’s work.

**21<sup>st</sup> CCLC Time & Effort Reporting**

- Provide copies of timesheets for **each** employee paid out of the grant by pay period.
- Employee timesheets should be completely filled out through your LEA’s electronic time sheet systems or through paper forms signed with blue or black ink, including dates (month/day/year). Timesheets must be signed or electronically authorized by the



**GUIDANCE HANDBOOK**

supervisor (usually the site coordinator) and by the person authorizing payment, if a person different from the supervisor.

- Employees paid by stipend must attach back-up documentation which shows dates, actual hours worked and services performed during the time period for which they are requesting payment.
- Employee timesheets should match agency hiring forms such as a Personnel Action Request Form (PAR).
- Using the timesheet as the cover page, attach the corresponding copies of Time and Effort logs and student attendance rosters by class, for **each** 21<sup>st</sup> CCLC employee.
- Student attendance rosters must include: Class Name, Teacher/Activity Leader Name, Student Name and Dates of Class (month/day/year). Note substitute staff person’s name on the roster if there was one.
- Refer to your district auditor for additional guidance on Time and Effort reporting.

For more guidance on Time & Effort reporting, please refer to the [Federal & State Regulations](#) button on the right side of the 21st CCLC website.

**FIXED ASSESTS**

Fixed assets refer to tangible, non-expendable property having a useful life of more than one year and an acquisition as defined by your District/Charter’s fixed asset policy. To avoid supplanting, fixed assets purchased with 21<sup>st</sup> CCLC funds may only be used outside of the instructional day, unless the assets are purchased on a cost shared basis proportional to the amount of use during the school day.

Each program site should tag items purchased for 21<sup>st</sup> CCLC funding as 21<sup>st</sup> CCLC program property, and should keep a Fixed Asset Log meeting the following guidelines:

- Each 21<sup>st</sup> CCLC site should prepare a detailed listing of these fixed assets that includes all equipment purchased for 21<sup>st</sup> CCLC use such as computers, printers, and similar items with useful lives of one year or more.
- The fixed asset log should include property identification tag, asset description, serial #, funding source, purchase date, cost, and location. See [USFR](#) or [USFRCS](#) VI-E-2.
- [2 CFR § 200.12](#) Capital assets. (New under Uniform Guidance)

The following is an example of a Fixed Asset Log which may be used in 21<sup>st</sup> CCLC programs.

**21<sup>st</sup> CCLC Fixed Assets Log** – For items lasting more than 1 year (or at the expenditure level which your district considers items to be fixed assets and including such items as computers and printers)

Date Logged	Date of Purchase	Item Name/Description*	Cost	Property ID Tag #	Storage/Use Location
Example: 11/11/16	10/8/16	Item name (Brand name and model)	\$731.00	See below Item #001	English/Yearbook room locked supply

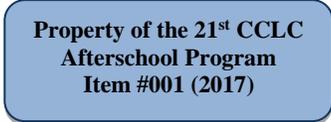


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				(2016)	storage
		Add additional rows as needed			

**\*Note: Each item must be logged separately.**

**Property Tag Example:**



Logs are kept for 21<sup>st</sup> CCLC fixed assets until the end of the grant, at which time the items may be used to continue to support activities at the school site for which the funding was awarded.

**GRANTS MANAGEMENT ENTERPRISE (GME) ADE Connect System**

Through ADE’s online Grants Management system, 21<sup>st</sup> CCLC grantees will submit the following:

**Revisions** (both fiscal and programmatic). A revision is a request for a change in the original grant application. It can be for a fiscal change, a programmatic change or both. In general terms, revisions **must** honor the original integrity and intent of the awarded grant proposal. All revisions must be approved prior to any change in expenditures or program implementation. A revision can be submitted as needed.

**Fiscal Revisions**

Fiscal amendments must be submitted and approved prior to increasing or decreasing line item budgets and/or allocations, and include but are not limited to the following:

- Increasing a line item when the anticipated expenditures will exceed the budgeted line item amount by 10 percent or \$1,000 (whichever is greater).
- Increasing or decreasing budgeted line item amounts to reflect changed budget priorities, with or without changing the budget total.
- Changing a budgeted item or item description, even if the line item amount is unchanged.
- Indirect amount requested from the grant may change, but only within the fiscal agent or district’s negotiated indirect rate.

**Programmatic Revisions**

Programmatic revisions must be submitted and approved, even if the budgeted line item amount is unchanged, prior to:

- Changing staff duties or responsibilities.
- Changing the type or provider of contractual services.
- Modifying the project’s intent, focus, goal(s), or objective(s). Any modifications must still be within the grant’s overall purpose.



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### **Reimbursement Requests** – At least monthly & ongoing

Fiscal agents are expected to demonstrate responsible accounting practices in the following ways:

- Submit 21<sup>st</sup> CCLC grant expenditure reports for reimbursement at least monthly to ADE.
- Reimbursement Requests should not exceed 20% of the total annual allocation. In the unusual event of a request larger than 20% of the allocation, a note must be provided justifying the request in the History Log.
- No advances are allowed, as this grant is awarded on a reimbursement basis.

### **Completion Report** - yearly

All 21<sup>st</sup> CCLC grantees' fiscal officers are required to submit an annual Completion Report on the actual expenditures for the grant at the close of the fiscal year. Arizona's 21<sup>st</sup> CCLC program requests that these be completed **within 60 days of the project fiscal end date**. (The 21<sup>st</sup> CCLC grant is on a July 1 – June 30 fiscal year.)

### **Continuing (Renewal) Application** - yearly

Continuing Applications are submitted for 21<sup>st</sup> CCLC programs that will be entering Year 2, Year 3, Year 4 and Year 5 of their grant. Grantees submit a projected budget for the next fiscal year and program performance data from the current program year (which includes the summer before the current academic year through the end of the program in the current academic year). Renewal of 21<sup>st</sup> CCLC funding each year of the grant is contingent on maintaining substantial compliance with all requirements of the grant.

## FISCAL ACCOUNTABILITY RESOURCES

- Federal Legislation, Regulations, and Guidance  
<http://www2.ed.gov/programs/21stcclc/legislation.html>  
This page includes the following:
  - Elementary and Secondary Education Act, as amended, Title IV, Part B
  - Regulations
  - Uniform Grant Guidance:
    - Uniform Administrative Requirements, Cost Principles and Audit Requirements for Federal Awards
  - Non-Regulatory Guidance (Applies to awards made **prior** to 12/26/2016)
  - Note: Title 34, Code of Federal Regulations (CFR), Parts 75-79, 81 to 86 and 97-99 EDGAR is currently in transition. For awards made prior to 12/26/2014, EDGAR Parts 74 and 80 still apply. For awards made on or after 12/26/2014, 2 CFR Part 200, which includes the substance formerly in parts 74 and 80, applies.
- Approved 21<sup>st</sup> CCLC Grant Application for the site and related revisions/continuing applications



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- Arizona Auditor General Reports & Publications page for USFR and USFRCS which show correct expense classification/coding <https://www.azauditor.gov/reports-publications-1>
- ADE Grants Management Office Guidance and Procedures <http://www.azed.gov/grants-management/> phone (602) 542-3901 or email at [Grants@azed.gov](mailto:Grants@azed.gov)
  - Grants Management System Public Access <https://gme.azed.gov> for a quick reference guide, all APPROVED Funding Applications, Reimbursement Requests, Completion Reports (including all History Log comments) and all other publicly accessible information.
- ADE 21st CCLC website- [Federal & State Regulations](#) button <http://www.azed.gov/21stcclc/federal-and-state-regulations/>



**GUIDANCE HANDBOOK**

**M**AINAINING **C**OMPLIANCE



## GUIDANCE HANDBOOK

### MAINTAINING COMPLIANCE

The information contained in the *Fiscal and Program Accountability Handbook* provides a useful reference for 21<sup>st</sup> CCLC grant program leaders. It may be used as an outline of requirements and information important to maintaining fiscal and programmatic compliance. Where the Handbook is not comprehensive, additional references linking to the law, guidance and regulations governing management of these federal funds are provided for each section above.

Grantees failing to stay in compliance with State and Federal guidelines and law are subject to penalties and the Arizona Department of Education reserves the right to withhold, reduce, or terminate funding awards. Any violations of proper management of the 21<sup>st</sup> CCLC Grant may require other remedies legally available to the Arizona Department of Education.

Grantees in “Warning” or “Out of Compliance” status will be provided with Technical Assistance from their assigned ADE 21<sup>st</sup> CCLC Program Education Specialist and/or other ADE staff. Grant program leaders will be engaged in planning and offered guidance with the goal of ensuring the capacity of the leaders managing the grant program to bring the program into compliance with grant requirements. Grant program leaders may be required to attend additional professional development as warranted by their ADE 21<sup>st</sup> CCLC Program Education Specialist.

The Arizona Department of Education routinely evaluates each sub-grantee’s level of compliance with Federal statutes, regulations and terms and conditions of the sub-award for purposes of determining the appropriate monitoring (2 C.F.R.&200.331(b)). Risks can be both an opportunity and a threat to the grant project. The following categories have been established to identify the performance of sites:

#### FOUR PERFORMANCE LEVELS

I. No apparent risk
II. Low risk/ Warning
III. Moderate risk/ Out of compliance
IV. High risk

#### I. NO APPARENT RISK

Grant project management practices that are unlikely to result in low-quality programming or disruption of service. All grantees face multiple lower-priority issues on a regular basis, not all of which necessarily come to the attention of ADE. Site has capacity to address and solve these issues.



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### II. LOW RISK/WARNING

Grantees that demonstrate practices that may interfere with effective administration of the grant or to the ongoing quality of services provided. These include area of non-compliance with state or federal program expectations or requirements. Low risks must be addressed; if left unaddressed, over time, are likely to become moderate to high risks. Grantees showing evidence of failing to meet any single requirement or number of requirements of compliance are subject to a “Warning” status. At several points during the year, the assigned 21<sup>st</sup> CCLC Program Education Specialist completes desktop monitoring of all sites to assess compliance with grant requirements. During desktop monitoring, if an issue/issues are identified, the 21<sup>st</sup> CCLC Program Education Specialist will notify the grantee in writing of the issues needing resolution. The 21<sup>st</sup> CCLC Program Education Specialist will spell out how the program can demonstrate compliance, and how the 21<sup>st</sup> CCLC Program Education Specialist will monitor the issues to determine when/if they have been resolved. Technical assistance will always include referral of the program leaders to resources to help them get on track towards compliance.

New grantee leadership or change in conditions places a site into an automatic low risk category. The transition may warrant additional technical assistance and required professional development. A multitude of resources and tools exist and are available to assist grantees with establishing processes to meet program requirements.

ADE 21<sup>st</sup> CCLC Program Education Specialists always welcome requests for assistance via telephone or email. When an in-person meeting would help with issues of compliance or to provide some other type of support, that may be arranged as well.

### III. MODERATE RISK/OUT OF COMPLIANCE

Grantees who demonstrate substantial lack of capacity to manage the grant or perform according to their contractual obligations spelled out in the approved grant application and the General Statement of Assurances submitted to ADE by grant recipients will be found “Out of Compliance.”

1. Grantees who are Out of Compliance with grant requirements will receive a Corrective Action letter. As with a “Warning” situation, the grantee will be notified in writing of the issues needing resolution, how the program can demonstrate compliance, what technical assistance and resources can be offered and how ADE will monitor the issues to determine when/if they have been resolved.
2. A site visit will be scheduled with leadership of the 21<sup>st</sup> CCLC grant program to discuss the issues and their potential resolution.
3. Follow-up may be conducted in various ways depending on the progress made and the level of oversight/guidance needed.

Follow-up may include the following measures:

- Requiring the grantee to submit a Corrective Action Plan
- Conference: in-person or via telephone
- Requirement that grant leaders visit another successful 21<sup>st</sup> CCLC program site



**GUIDANCE HANDBOOK**

- Continued monitoring, which may include an audit of program and/or fiscal records depending on the identified issues
- A scheduled meeting which includes higher level district leaders or other ADE staff

**IV. HIGH RISK**

Grantees who significantly fail to comply with any term of the award will be considered “High Risk.” Once a grantee enters “High Risk” status, it may become necessary to hold funds until any critical issues become resolved. The ADE 21<sup>st</sup> CCLC Program Education Specialist assigned to the grantee will utilize all data available to make a decision regarding the reduction of funds in accordance with the federal and state guidelines. This data includes but is not limited to: communication with site leaders, observations documented in site visit report(s), desktop monitoring of the site’s Continuing Application, Summary of Classes Report(s), Annual Performance Report (APR), fiscal review, and any other data available.

Grantees may decide to opt out of the funding at any time if they determine that they do not have the capacity to manage the grant program. If this is the case, the designated ADE 21<sup>st</sup> Program Education Specialist will assist with this process.

**SERVICE TO STUDENTS / REDUCTION OF FUNDS**

Grantees must adhere to the fundamental program requirements by serving the number of “regularly attending” students (30 days or more) that are projected in the original awarded grant, and offering services for at least the number of days promised. Total budget allocation is substantially based on this projection, as the purpose of the funding is to serve students at least for the minimum number of days that usually produces a boost in academic success. **Formula:** *\$ per student x days of programming x number of projected regularly attending students.*

21<sup>st</sup> CCLC guidelines (see table) require that year to year funding will be earned if service to students is in line with the proposed number of projected regularly attending students and the total number of days the center is “open” offering classes and activities. The expectation is that grantees will always serve at least the number of students promised in their own awarded application. However, in recognition that programs may initially struggle to meet the numbers promised, the following minimum expectations have been established:

Year	Service to % of promised number of regular attendees as identified in the funding formula	Year	Program offered the % of promised number of days as identified in the funding formula
1	Must serve at least 75%	1	Must be offered 75%
2	Must serve at least 90%	2	Must be offered 100%
3	Must serve at least 90%	3	Must be offered 100%
4	Must serve at least 90%	4	Must be offered 100%
5	Must serve at least 90%	5	Must be offered 100%



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Sites that fail to serve at least the above percentage of the number of regularly attending students and days of programming promised in their own awarded 21<sup>st</sup> CCLC application are subject to an automatic 25% reduction in funding the following year. Failing to meet services to students in the following subsequent year renders the grantee subject to termination of 21<sup>st</sup> CCLC funding for that site.

In the event of grant termination, the sub-recipient will adjust the accounts due and will undertake no additional expenditures and begin liquidation of funds and submission of its final expenditure report through ADE Grants Management.

### **SUBSTANTIAL COMPLIANCE (Maintaining Funding for the 5 year Duration)**

Substantial Compliance is defined as compliance with the substantial or essential requirements of the 21<sup>st</sup> CCLC contract that satisfies its purpose or objective. Achieving Substantial Compliance means that a good faith attempt is made to perform the requirements of the agreement even if it does not precisely meet every term of the agreement.

To determine if a grantee is in Substantial Compliance with grant requirements, grantees are evaluated by using federal and state reports, the compliance monitoring tool, and other observations and data that assists with identifying the grantee's level of performance.

A grantee must meet expectations of substantial compliance to be eligible to renew funding. During the five potential years of funding the requirements for Substantial Compliance is as follows:

**Years 1-3.** If a site is found to be Out of Compliance or High Risk, the site will be provided with additional technical assistance, heavy monitoring and other requirements relevant to the site's finding(s).

- If a Year 1-3 site is Out of Compliance and does not achieve Substantial Compliance by the end of the following year (the second year in a row), this demonstrates that the site doesn't have capacity to manage the grant program, and the site may either self-terminate or not qualify for the next year's funding.

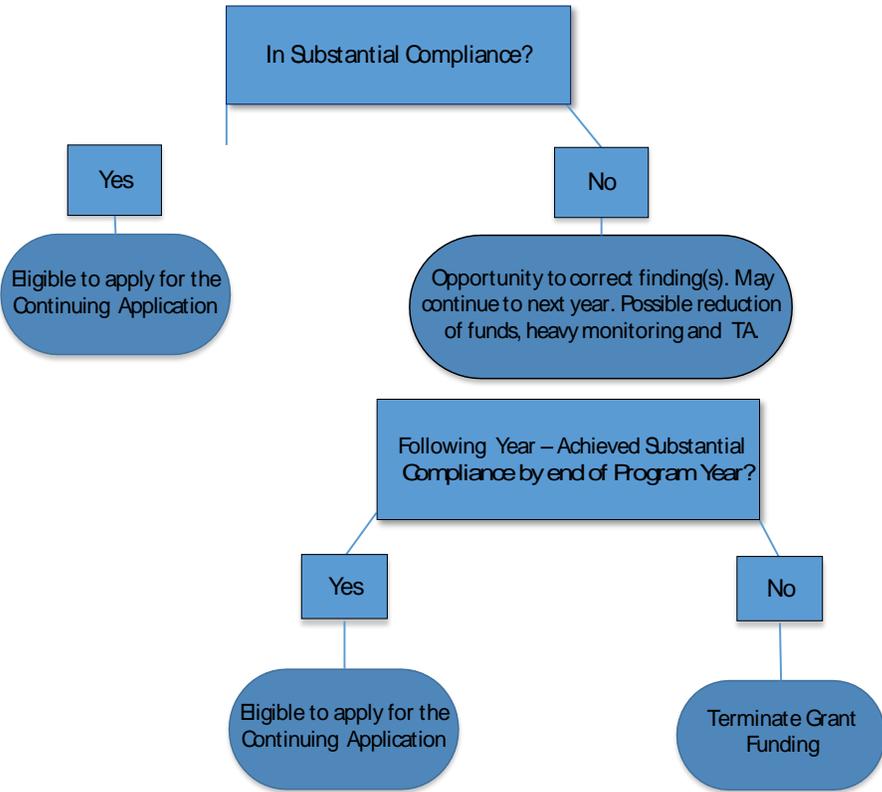
**Years 4-5.** Each grantee must have demonstrated Substantial Compliance in the preceding year to qualify for an additional Renewal year of funding. If a grantee finishes the year in "Out of Compliance" category, the grantee may not apply for continued funding in the Renewal Years 4 or 5 of that 5-year grant cycle.

Illustration Flow Chart on the next page.



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**Years 1-3**



**Years 4 & 5 (Renewal Years)**





## GUIDANCE HANDBOOK

### OBLIGATIONS ON CLOSING OUT THE GRANT

The grantee is responsible for the proper closure of 21<sup>st</sup> CCLC programs at the end of the grant funding.

Please be aware of the following:

1. **Official records** from federal grant programs must be maintained for several years in case of audit. Please ensure that your district helps you and your former coordinators with archiving these documents properly (such as attendance, time and effort and timesheets). Official guidance regarding maintenance of documentation for federal grants can be found at this Arizona State Library, Archives & Public Records link <http://www.azlibrary.gov/arm/retention-schedules>.
2. **Required reporting.** It is necessary to complete your last year with all reports submitted on time and complete, to ensure that your district will remain in good standing with the Arizona Department of Education.

Note: Districts must be in good standing to be eligible to apply for a new 21<sup>st</sup> CCLC grant. The Required Reporting page of ADE's 21<sup>st</sup> CCLC website maintains information on all 21<sup>st</sup> CCLC reporting requirements for your review.



**GUIDANCE HANDBOOK**

**A**UTHORIZING **L**EGISLATION



## GUIDANCE HANDBOOK

### Authorizing Legislation Governing the 21<sup>st</sup> CCLC in the Every Student Succeeds Act

#### PART B—21ST CENTURY COMMUNITY LEARNING CENTERS

**SEC. 4201. 21ST CENTURY COMMUNITY LEARNING CENTERS.**

(a) PROGRAM AUTHORIZED.—Part B of title IV (20 U.S.C. 7171 et seq.) is amended to read as follows:

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#### “PART B—21ST CENTURY COMMUNITY LEARNING CENTERS

**“SEC. 4201. PURPOSE; DEFINITIONS.**

“(a) PURPOSE.—The purpose of this part is to provide opportunities for communities to establish or expand activities in community learning centers that—

“(1) provide opportunities for academic enrichment, including providing tutorial services to help students, particularly students who attend low-performing schools, to meet the challenging State academic standards;

“(2) offer students a broad array of additional services, programs, and activities, such as youth development activities, service learning, nutrition and health education, drug and violence prevention programs, counseling programs, arts, music, physical fitness and wellness programs, technology education programs, financial literacy programs, environmental literacy programs, mathematics, science, career and technical programs, internship or apprenticeship programs, and other ties to an in-demand industry sector or occupation for high school students that are designed to reinforce and complement the regular academic program of participating students; and

“(3) offer families of students served by community learning centers opportunities for active and meaningful engagement in their children’s education, including opportunities for literacy and related educational development.

“(b) DEFINITIONS.—In this part:

“(1) COMMUNITY LEARNING CENTER.—The term ‘community learning center’ means an entity that—

“(A) assists students to meet the challenging State academic standards by providing the students with academic enrichment activities and a broad array of other activities (such as programs and activities described in subsection (a)(2)) during nonschool hours or periods when school is not in session (such as before and after school or during summer recess) that—

“(i) reinforce and complement the regular academic programs of the schools attended by the students served; and

“(ii) are targeted to the students’ academic needs and aligned with the instruction students receive



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during the school day; and

“(B) offers families of students served by such center opportunities for active and meaningful engagement in their children’s education, including opportunities for literacy and related educational development.

“(2) COVERED PROGRAM.—The term ‘covered program’ means a program for which—

“(A) the Secretary made a grant under this part (as this part was in effect on the day before the effective date of this part under the Every Student Succeeds Act); and

“(B) the grant period had not ended on that effective date.

“(3) ELIGIBLE ENTITY.—The term ‘eligible entity’ means a local educational agency, community-based organization, Indian

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tribe or tribal organization (as such terms are defined in section 4 of the Indian Self-Determination and Education Act (25 U.S.C. 450b)), another public or private entity, or a consortium of 2 or more such agencies, organizations, or entities.

“(4) EXTERNAL ORGANIZATION.—The term ‘external organization’ means—

“(A) a nonprofit organization with a record of success in running or working with before and after school (or summer recess) programs and activities; or

“(B) in the case of a community where there is no such organization, a nonprofit organization in the community that enters into a written agreement or partnership with an organization described in subparagraph (A) to receive mentoring and guidance in running or working with before and after school (or summer recess) programs and activities.

“(5) RIGOROUS PEER-REVIEW PROCESS.—The term ‘rigorous peer-review process’ means a process by which—

“(A) employees of a State educational agency who are familiar with the programs and activities assisted under this part review all applications that the State receives for awards under this part for completeness and applicant eligibility;

“(B) the State educational agency selects peer reviewers for such applications, who shall—

“(i) be selected for their expertise in providing effective academic, enrichment, youth development, and related services to children; and

“(ii) not include any applicant, or representative of an applicant, that has submitted an application under this part for the current application period; and

“(C) the peer reviewers described in subparagraph (B) review and rate the applications to determine the extent to which the applications meet the requirements under



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sections 4204(b) and 4205.

“(6) STATE.—The term ‘State’ means each of the 50 States, the District of Columbia, and the Commonwealth of Puerto Rico.

### “SEC. 4202. ALLOTMENTS TO STATES.

“(a) RESERVATION.—From the funds appropriated under section 4206 for any fiscal year, the Secretary shall reserve—

“(1) such amounts as may be necessary to make continuation awards to subgrant recipients under covered programs (under the terms of those grants);

“(2) not more than 1 percent for national activities, which the Secretary may carry out directly or through grants and contracts, such as providing technical assistance to eligible entities carrying out programs under this part or conducting a national evaluation; and

“(3) not more than 1 percent for payments to the outlying areas and the Bureau of Indian Education, to be allotted in accordance with their respective needs for assistance under this part, as determined by the Secretary, to enable the outlying areas and the Bureau to carry out the purpose of this part.

“(b) STATE ALLOTMENTS.—

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“(1) DETERMINATION.—From the funds appropriated under section 4206 for any fiscal year and remaining after the Secretary makes reservations under subsection (a), the Secretary shall allot to each State for the fiscal year an amount that bears the same relationship to the remainder as the amount the State received under subpart 2 of part A of title I for the preceding fiscal year bears to the amount all States received under that subpart for the preceding fiscal year, except that no State shall receive less than an amount equal to one-half of 1 percent of the total amount made available to all States under this subsection.

“(2) REALLOTMENT OF UNUSED FUNDS.—If a State does not receive an allotment under this part for a fiscal year, the Secretary shall reallocate the amount of the State’s allotment to the remaining States in accordance with this part.

“(c) STATE USE OF FUNDS.—

“(1) IN GENERAL.—Each State that receives an allotment under this part shall reserve not less than 93 percent of the amount allotted to such State under subsection (b), for each fiscal year for awards to eligible entities under section 4204.

“(2) STATE ADMINISTRATION.—A State educational agency may use not more than 2 percent of the amount made available to the State under subsection (b) for—

“(A) the administrative costs of carrying out its responsibilities under this part;

“(B) establishing and implementing a rigorous peerreview process for subgrant applications described in section 4204(b) (including consultation with the Governor and other State agencies responsible for administering youth development programs and adult learning activities); and



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“(C) awarding of funds to eligible entities (in consultation with the Governor and other State agencies responsible for administering youth development programs and adult learning activities).

“(3) STATE ACTIVITIES.—A State educational agency may use not more than 5 percent of the amount made available to the State under subsection (b) for the following activities:

“(A) Monitoring and evaluating programs and activities assisted under this part.

“(B) Providing capacity building, training, and technical assistance under this part.

“(C) Conducting a comprehensive evaluation (directly, or through a grant or contract) of the effectiveness of programs and activities assisted under this part.

“(D) Providing training and technical assistance to eligible entities that are applicants for or recipients of awards under this part.

“(E) Ensuring that any eligible entity that receives an award under this part from the State aligns the activities provided by the program with the challenging State academic standards.

“(F) Ensuring that any such eligible entity identifies and partners with external organizations, if available, in the community.

“(G) Working with teachers, principals, parents, the local workforce, the local community, and other stakeholders to review and improve State policies and practices  
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to support the implementation of effective programs under this part.

“(H) Coordinating funds received under this part with other Federal and State funds to implement high-quality programs.

“(I) Providing a list of prescreened external organizations, as described under section 4203(a)(11).

### “SEC. 4203. STATE APPLICATION.

“(a) IN GENERAL.—In order to receive an allotment under section 4202 for any fiscal year, a State shall submit to the Secretary, at such time as the Secretary may require, an application that—

“(1) designates the State educational agency as the agency responsible for the administration and supervision of programs assisted under this part;

“(2) describes how the State educational agency will use funds received under this part, including funds reserved for State-level activities;

“(3) contains an assurance that the State educational agency—

“(A) will make awards under this part to eligible entities that serve—

“(i) students who primarily attend—

“(I) schools implementing comprehensive support and improvement activities or targeted support



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- and improvement activities under section 1111(d); and
- “(II) other schools determined by the local educational agency to be in need of intervention and support; and
- “(ii) the families of such students; and
- “(B) will further give priority to eligible entities that propose in the application to serve students described in subclauses (I) and (II) of section 4204(i)(1)(A)(i);
- “(4) describes the procedures and criteria the State educational agency will use for reviewing applications and awarding funds to eligible entities on a competitive basis, which shall include procedures and criteria that take into consideration the likelihood that a proposed community learning center will help participating students meet the challenging State academic standards and any local academic standards;
- “(5) describes how the State educational agency will ensure that awards made under this part are—
- “(A) of sufficient size and scope to support high-quality, effective programs that are consistent with the purpose of this part; and
- “(B) in amounts that are consistent with section 4204(h);
- “(6) describes the steps the State educational agency will take to ensure that programs implement effective strategies, including providing ongoing technical assistance and training, evaluation, dissemination of promising practices, and coordination of professional development for staff in specific content areas and youth development;
- “(7) describes how programs under this part will be coordinated with programs under this Act, and other programs as appropriate;
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- “(8) contains an assurance that the State educational agency—
- “(A) will make awards for programs for a period of not less than 3 years and not more than 5 years; and
- “(B) will require each eligible entity seeking such an award to submit a plan describing how the activities to be funded through the award will continue after funding under this part ends;
- “(9) contains an assurance that funds appropriated to carry out this part will be used to supplement, and not supplant, other Federal, State, and local public funds expended to provide programs and activities authorized under this part and other similar programs;
- “(10) contains an assurance that the State educational agency will require eligible entities to describe in their applications under section 4204(b) how the transportation needs of participating students will be addressed;
- “(11) describes how the State will—
- “(A) prescreen external organizations that could provide



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assistance in carrying out the activities under this part; and

“(B) develop and make available to eligible entities a list of external organizations that successfully completed the prescreening process;

“(12) provides—

“(A) an assurance that the application was developed in consultation and coordination with appropriate State officials, including the chief State school officer, and other State agencies administering before and after school (or summer recess) programs and activities, the heads of the State health and mental health agencies or their designees, statewide after-school networks (where applicable) and representatives of teachers, local educational agencies, and community-based organizations; and

“(B) a description of any other representatives of teachers, parents, students, or the business community that the State has selected to assist in the development of the application, if applicable;

“(13) describes the results of the State’s needs and resources assessment for before and after school (or summer recess) programs and activities, which shall be based on the results of on-going State evaluation activities;

“(14) describes how the State educational agency will evaluate the effectiveness of programs and activities carried out under this part, which shall include, at a minimum—

“(A) a description of the performance indicators and performance measures that will be used to evaluate programs and activities with emphasis on alignment with the regular academic program of the school and the academic needs of participating students, including performance indicators and measures that—

“(i) are able to track student success and improvement over time;

“(ii) include State assessment results and other indicators of student success and improvement, such as improved attendance during the school day, better classroom grades, regular (or consistent) program S. 1177—187

attendance, and on-time advancement to the next grade level; and

“(iii) for high school students, may include indicators such as career competencies, successful completion of internships or apprenticeships, or work-based learning opportunities;

“(B) a description of how data collected for the purposes of subparagraph (A) will be collected; and

“(C) public dissemination of the evaluations of programs and activities carried out under this part; and

“(15) provides for timely public notice of intent to file an application and an assurance that the application will be available for public review after submission.



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“(b) DEEMED APPROVAL.—An application submitted by a State educational agency pursuant to subsection (a) shall be deemed to be approved by the Secretary unless the Secretary makes a written determination, prior to the expiration of the 120-day period beginning on the date on which the Secretary received the application, that the application is not in compliance with this part.

“(c) DISAPPROVAL.—The Secretary shall not finally disapprove the application, except after giving the State educational agency notice and an opportunity for a hearing.

“(d) NOTIFICATION.—If the Secretary finds that the application is not in compliance, in whole or in part, with this part, the Secretary shall—

“(1) give the State educational agency notice and an opportunity for a hearing; and

“(2) notify the State educational agency of the finding of noncompliance and, in such notification—

“(A) cite the specific provisions in the application that are not in compliance; and

“(B) request additional information, only as to the noncompliant provisions, needed to make the application compliant.

“(e) RESPONSE.—If the State educational agency responds to the Secretary’s notification described in subsection (d)(2) during the 45-day period beginning on the date on which the agency received the notification, and resubmits the application with the requested information described in subsection (d)(2)(B), the Secretary shall approve or disapprove such application prior to the later of—

“(1) the expiration of the 45-day period beginning on the date on which the application is resubmitted; or

“(2) the expiration of the 120-day period described in subsection (b).

“(f) FAILURE TO RESPOND.—If the State educational agency does not respond to the Secretary’s notification described in subsection (d)(2) during the 45-day period beginning on the date on which the agency received the notification, such application shall be deemed to be disapproved.

“(g) LIMITATION.—The Secretary may not give a priority or a preference for States or eligible entities that seek to use funds made available under this part to extend the regular school day.

### “SEC. 4204. LOCAL COMPETITIVE SUBGRANT PROGRAM.

“(a) IN GENERAL.—

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“(1) COMMUNITY LEARNING CENTERS.—A State that receives funds under this part for a fiscal year shall provide the amount made available under section 4202(c)(1) to award subgrants to eligible entities for community learning centers in accordance with this part.

“(2) EXPANDED LEARNING PROGRAM ACTIVITIES.—A State that receives funds under this part for a fiscal year may use funds under section 4202(c)(1) to support those enrichment and engaging academic activities described in section 4205(a)



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that—

“(A) are included as part of an expanded learning program that provides students at least 300 additional program hours before, during, or after the traditional school day;

“(B) supplement but do not supplant regular school day requirements; and

“(C) are carried out by entities that meet the requirements of subsection (i).

“(b) APPLICATION.—

“(1) IN GENERAL.—To be eligible to receive a subgrant under this part, an eligible entity shall submit an application to the State educational agency at such time, in such manner, and including such information as the State educational agency may reasonably require.

“(2) CONTENTS.—Each application submitted under paragraph (1) shall include—

“(A) a description of the activities to be funded, including—

“(i) an assurance that the program will take place in a safe and easily accessible facility;

“(ii) a description of how students participating in the program carried out by the community learning center will travel safely to and from the center and home, if applicable; and

“(iii) a description of how the eligible entity will disseminate information about the community learning center (including its location) to the community in a manner that is understandable and accessible;

“(B) a description of how such activities are expected to improve student academic achievement as well as overall student success;

“(C) a demonstration of how the proposed program will coordinate Federal, State, and local programs and make the most effective use of public resources;

“(D) an assurance that the proposed program was developed and will be carried out—

“(i) in active collaboration with the schools that participating students attend (including through the sharing of relevant data among the schools), all participants of the eligible entity, and any partnership entities described in subparagraph (H), in compliance with applicable laws relating to privacy and confidentiality; and

“(ii) in alignment with the challenging State academic standards and any local academic standards;

“(E) a description of how the activities will meet the measures of effectiveness described in section 4205(b);

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“(F) an assurance that the program will target students who primarily attend schools eligible for schoolwide programs under section 1114 and the families of such students;



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- “(G) an assurance that subgrant funds under this part will be used to increase the level of State, local, and other non-Federal funds that would, in the absence of funds under this part, be made available for programs and activities authorized under this part, and in no case supplant Federal, State, local, or non-Federal funds;
- “(H) a description of the partnership between a local educational agency, a community-based organization, and another public entity or private entity, if appropriate;
- “(I) an evaluation of the community needs and available resources for the community learning center, and a description of how the program proposed to be carried out in the center will address those needs (including the needs of working families);
- “(J) a demonstration that the eligible entity will use best practices, including research or evidence-based practices, to provide educational and related activities that will complement and enhance academic performance, achievement, postsecondary and workforce preparation, and positive youth development of the students;
- “(K) a description of a preliminary plan for how the community learning center will continue after funding under this part ends;
- “(L) an assurance that the community will be given notice of an intent to submit an application and that the application and any waiver request will be available for public review after submission of the application;
- “(M) if the eligible entity plans to use volunteers in activities carried out through the community learning center, a description of how the eligible entity will encourage and use appropriately qualified persons to serve as the volunteers; and
- “(N) such other information and assurances as the State educational agency may reasonably require.
- “(c) APPROVAL OF CERTAIN APPLICATIONS.—The State educational agency may approve an application under this part for a program to be located in a facility other than an elementary school or secondary school only if the program will be at least as available and accessible to the students to be served as if the program were located in an elementary school or secondary school.
- “(d) PERMISSIVE LOCAL MATCH.—
- “(1) IN GENERAL.—A State educational agency may require an eligible entity to match subgrant funds awarded under this part, except that such match may not exceed the amount of the subgrant and may not be derived from other Federal or State funds.
- “(2) SLIDING SCALE.—The amount of a match under paragraph (1) shall be established based on a sliding scale that takes into account—
- “(A) the relative poverty of the population to be targeted by the eligible entity; and
- “(B) the ability of the eligible entity to obtain such matching funds.



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- “(3) IN-KIND CONTRIBUTIONS.—Each State educational agency that requires an eligible entity to match funds under this subsection shall permit the eligible entity to provide all or any portion of such match in the form of in-kind contributions.
- “(4) CONSIDERATION.—Notwithstanding this subsection, a State educational agency shall not consider an eligible entity’s ability to match funds when determining which eligible entities will receive subgrants under this part.
- “(e) PEER REVIEW.—In reviewing local applications under this part, a State educational agency shall use a rigorous peer-review process or other methods to ensure the quality of funded projects.
- “(f) GEOGRAPHIC DIVERSITY.—To the extent practicable, a State educational agency shall distribute subgrant funds under this part equitably among geographic areas within the State, including urban and rural communities.
- “(g) DURATION OF AWARDS.—A subgrant awarded under this part shall be awarded for a period of not less than 3 years and not more than 5 years.
- “(h) AMOUNT OF AWARDS.—A subgrant awarded under this part may not be made in an amount that is less than \$50,000.
- “(i) PRIORITY.—
- “(1) IN GENERAL.—In awarding subgrants under this part, a State educational agency shall give priority to applications—
- “(A) proposing to target services to—
- “(i) students who primarily attend schools that—
    - “(I) are implementing comprehensive support and improvement activities or targeted support and improvement activities under section 1111(d) or other schools determined by the local educational agency to be in need of intervention and support to improve student academic achievement and other outcomes; and
    - “(II) enroll students who may be at risk for academic failure, dropping out of school, involvement in criminal or delinquent activities, or who lack strong positive role models; and  - “(ii) the families of students described in clause (i);
- “(B) submitted jointly by eligible entities consisting of not less than 1—
- “(i) local educational agency receiving funds under part A of title I; and
  - “(ii) another eligible entity; and
- “(C) demonstrating that the activities proposed in the application—
- “(i) are, as of the date of the submission of the application, not accessible to students who would be served; or
  - “(ii) would expand accessibility to high-quality



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services that may be available in the community.

“(2) SPECIAL RULE.—The State educational agency shall provide the same priority under paragraph (1) to an application submitted by a local educational agency if the local educational agency demonstrates that it is unable to partner with a community-based organization in reasonable geographic proximity and of sufficient quality to meet the requirements of this part.

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“(3) LIMITATION.—A State educational agency may not give a priority or a preference to eligible entities that seek to use funds made available under this part to extend the regular school day.

“(j) RENEWABILITY OF AWARDS.—A State educational agency may renew a subgrant provided under this part to an eligible entity, based on the eligible entity’s performance during the preceding subgrant period.

### “SEC. 4205. LOCAL ACTIVITIES.

“(a) AUTHORIZED ACTIVITIES.—Each eligible entity that receives an award under section 4204 may use the award funds to carry out a broad array of activities that advance student academic achievement and support student success, including—

“(1) academic enrichment learning programs, mentoring programs, remedial education activities, and tutoring services, that are aligned with—

“(A) the challenging State academic standards and any local academic standards; and

“(B) local curricula that are designed to improve student academic achievement;

“(2) well-rounded education activities, including such activities that enable students to be eligible for credit recovery or attainment;

“(3) literacy education programs, including financial literacy programs and environmental literacy programs;

“(4) programs that support a healthy and active lifestyle, including nutritional education and regular, structured physical activity programs;

“(5) services for individuals with disabilities;

“(6) programs that provide after-school activities for students who are English learners that emphasize language skills and academic achievement;

“(7) cultural programs;

“(8) telecommunications and technology education programs;

“(9) expanded library service hours;

“(10) parenting skills programs that promote parental involvement and family literacy;

“(11) programs that provide assistance to students who have been truant, suspended, or expelled to allow the students to improve their academic achievement;

“(12) drug and violence prevention programs and counseling



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programs;

“(13) programs that build skills in science, technology, engineering, and mathematics (referred to in this paragraph as ‘STEM’), including computer science, and that foster innovation in learning by supporting nontraditional STEM education teaching methods; and

“(14) programs that partner with in-demand fields of the local workforce or build career competencies and career readiness and ensure that local workforce and career readiness skills are aligned with the Carl D. Perkins Career and Technical Education Act of 2006 (20 U.S.C. 2301 et seq.) and the Workforce Innovation and Opportunity Act (29 U.S.C. 3101 et seq.).

“(b) MEASURES OF EFFECTIVENESS.—

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“(1) IN GENERAL.—For a program or activity developed pursuant to this part to meet the measures of effectiveness, monitored by the State educational agency as described in section 4203(a)(14), such program or activity shall—

“(A) be based upon an assessment of objective data regarding the need for before and after school (or summer recess) programs and activities in the schools and communities;

“(B) be based upon an established set of performance measures aimed at ensuring the availability of high-quality academic enrichment opportunities;

“(C) if appropriate, be based upon evidence-based research that the program or activity will help students meet the challenging State academic standards and any local academic standards;

“(D) ensure that measures of student success align with the regular academic program of the school and the academic needs of participating students and include performance indicators and measures described in section 4203(a)(14)(A); and

“(E) collect the data necessary for the measures of student success described in subparagraph (D).

“(2) PERIODIC EVALUATION.—

“(A) IN GENERAL.—The program or activity shall undergo a periodic evaluation in conjunction with the State educational agency’s overall evaluation plan as described in section 4203(a)(14), to assess the program’s progress toward achieving the goal of providing high-quality opportunities for academic enrichment and overall student success.

“(B) USE OF RESULTS.—The results of evaluations under subparagraph (A) shall be—

“(i) used to refine, improve, and strengthen the program or activity, and to refine the performance measures;

“(ii) made available to the public upon request,



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with public notice of such availability provided; and  
“(iii) used by the State to determine whether a  
subgrant is eligible to be renewed under section 4204(j).

**“SEC. 4206. AUTHORIZATION OF APPROPRIATIONS.**

“There are authorized to be appropriated to carry out this  
part \$1,000,000,000 for fiscal year 2017 and \$1,100,000,000 for  
each of fiscal years 2018 through 2020.”.



<https://www.azed.gov/essa/>

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#### G. Title IV, Part B: 21<sup>st</sup> Century Community Learning Centers

1. *Use of Funds (ESEA section 4203(a)(2))*: Describe how the SEA will use funds received under the 21<sup>st</sup> Century Community Learning Centers program, including funds reserved for State-level activities.

Arizona’s Title IV, Part B (21st CCLC) program supports student participants in meeting the State’s rigorous academic standards. Funded programs are designed to align with State and school goals and specifically assist targeted students in their school day learning objectives. Sub-grantees design CCLC services to address issues identified in their needs assessment that can impact student success and target identified students who are struggling to meet academic expectations, including those in foster care, who are homeless, migrant and English Language Learners and those who are served through Title I, including equitable consultation for private school students where those schools fall within the regular service attendance area of the individually funded communities.

Arizona funds 21st CCLC programs serving students and their families in schools with at least 40% low-income students, and gives priority to low-performing schools identified by Federal and Arizona State Accountability labels for the school year prior to application submission.

Arizona’s 21st CCLC programs maintain a strong commitment to improving math, reading/language arts/literacy, and science through small class instruction and tutoring. Complementing this primary focus, 21st CCLC programs in the State supplement the students’ regular academic school day by creating a rich variety of classes and activities outside of the instructional day that help students become proficient and connect with



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learning through project-based, hands on enrichment that is tied to real-world college and career application, and that build career competencies and readiness. This enrichment includes offerings in STEM (Science, Technology, Engineering and Math), environmental literacy programs, art, music and physical education, mentoring, technology education including coding, and nutrition and health education.

Other Title funding is used to a significant degree by Arizona's 21st CCLC programs, enabling a much greater impact on school day student achievement and on academic and youth development outcomes than would be possible using 21st CCLC funding alone. Additionally, due to Arizona's requirement that 21st CCLC programs develop partnerships, resources such as collaboration with Institutions of Higher Education, the Parks and Cooperative Extension Agents are highly developed and these resource ideas are shared in a highly collegial manner between current grantees as well as new incoming grantees.

Out of the 21st Century Community Learning Centers funds allocated to Arizona, ADMINISTRATIVE and ACTIVITIES funds will be allocated and used as allowable by Statute. STATE ADMINISTRATIVE funds enable the State to carry out its administrative responsibilities including the management of subgrant competitions. Arizona uses a state of the art online Grants Management system for collecting, reviewing and approving 21st CCLC applications, budgetary and programmatic revisions, fiscal reimbursement requests and completion reports. Federal grants management assurances, GAN (Grant Award Notifications) and other key documentation and communication are archived online for reference or auditing purposes. (The Arizona peer review process is described in detail in section 2 below.) Additionally, STATE ACTIVITIES funds enable Arizona to provide a comprehensive tiered system of ongoing compliance monitoring, training and technical assistance through a cadre of seven Regional 21st CLCC ADE 21st CCLC Program Specialists. Arizona reserves the remaining STATE APPLICATION funds for its allocation of awards to eligible entities with an average of \$120,000 each annually for a five year period with funds reducing to 75% in Years 4 and 5 of the grant where renewable. (The application process is described in detail in section 2 below.)

Arizona ensures that all communication and assistance regarding the application for funding, program and fiscal management are clearly in alignment with State and Federal Statute and guidance from start to finish to enable sub-grant leadership the highest probability of building capacity and ensuring successful management.

Applicants for 21st CCLC funds in Arizona must assure the State that data collection and mandatory reporting will be submitted as required for the federal 21APR data collection system and for requisite Arizona fiscal and programmatic reporting and evaluation purposes as well. Included in Arizona's requirements for its grantees is to collect and report on the number of participants who improve in classroom participation during the instructional day and in homework completion.



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The State requires its 21st CCLC sub-grantees to monitor and report on grant outcome objectives that are SMART - Specific, Measurable, Attainable, Realistic and Time Bound (showing growth annually within the program year). Arizona's grantees must report on grant objectives for student participants' academic progress in the areas of math and reading/language arts/literacy measured through benchmark or formative testing; growth in adult family members understanding/knowledge of how to help their child succeed academically and movement in at least one youth development indicator.

Arizona monitors include the following major output objective indicators that programs are maintaining compliance: Number of students reaching "regularly attending" status of 30 days or more; Summary of Classes listing program offerings, which grant objectives each class/activity is designed to impact, average daily attendance by class; number of adult family members of 21st CCLC students served and how they were involved; how the annual professional learning requirement for grant leaders was met; that healthy snack and transportation is provided; that the learning environment is safe; staffing; fiscal records are kept in order; at least one active partnership is involved in the program.

Arizona requires sub-grantees to complete mid-year and end of year reports allowing for desktop compliance monitoring, continuous improvement planning with sites. One portion of this required reporting asks each site to complete a Site Evaluation Plan which includes a self-assessment of all components of grant compliance and a comprehensive SWOT (Strengths, Weaknesses, Opportunities and Threats) based on their findings for grant objectives. These are both a report to the State, and a document used for sharing and discussion with awardees' local communities as a continuous improvement document.

The current State evaluation plan monitors academic improvement in the areas of math and reading/language arts/literacy for student participants. Data is gathered through a secure system and access is limited by a rigorous Arizona system to ensure that student data access does not violate FERPA. Data is gathered on every student who has attended a 21st CLCC program for one (1) day or more that includes 1) a unique student identifier that follows the student to any school in the state, 2) the number of days the student attended the 21st CCLC Program at that site that year, and 3) the grade that student was in for that year. Evaluation results are available for public review. The focus of the State evaluation plan may be revised to include other factors, particularly those identified by the U.S. Education Department as critical GPRA measures in the future.

All new grantees and site leaders who are new to the grant at their site are provided with an initial Regional in person New Grantee Orientation (with a pre-orientation web-based learning component). Every site receives a 21st CCLC Program Guidance Handbook to use as a reference. This Handbook is also available online, along with other resources useful to 21st CCLC leaders in Arizona. Annual and periodic desktop monitoring and scheduled and unscheduled site visits enable the State to develop technical assistance and



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professional learning as needed. Professional learning is offered through the U.S. Education Department's You4Youth (Y4Y) portal, through peer led networking trainings at "lighthouse" 21st CCLC programs, online through the Arizona Department of Education's 21st CCLC website, through phone calls, emails and various other means as needed.

Based on a weighted system of compliance monitoring and risk assessment, Arizona's Regional 21st CCLC Program ADE 21st CCLC Program Specialists document any issues that need to be addressed and follow up to ensure that all identified issues are addressed. Effort is taken to ensure that technical assistance, guidance and training provided support programs to maintain compliance and full funding. Level of support is matched to level of need, and is successful in most cases. However, for the rare circumstances when programs do not have the capacity to come into compliance, they may be terminated or opt out of funding.

*2. Awarding Subgrants (ESEA section 4203(a)(4)): Describe the procedures and criteria the SEA will use for reviewing applications and awarding 21<sup>st</sup> Century Community Learning Centers funds to eligible entities on a competitive basis, which shall include procedures and criteria that take into consideration the likelihood that a proposed community learning center will help participating students meet the challenging State academic standards and any local academic standards.*

A State that receives funds under this part for a fiscal year shall provide the amount made available under section 4202(c)(1) to eligible entities for community learning centers in accordance with this part. To be eligible to receive an award, an eligible entity shall submit an application to the State Educational Agency at such time, in such manner, and including such information as the SEA may reasonably require. Contents, approval of certain applications, permissive local match, peer review, geographic diversity, duration of awards, amount of awards and priority regulations are included under SEC. 4204, LOCAL COMPETITIVE GRANT PROGRAM.

Arizona announces annual statewide application competitions contingent on adequate funding. When soliciting competitive projects, Arizona's application process is carefully aligned with Federal and State requirements. Competitive grants are awarded in accordance with Federal and Arizona State Statutes, which require a Request for Grant Proposal be written specifying all required expectations for the entities to perform through a description or scope of work. Application guidance has been designed to create a level playing field where all applicants have an equal opportunity for success. The State accomplishes this in part by making expectations transparent and guidance as clear as possible, and by communicating this guidance in written and verbal formats via an ADA compliant website. Clarification can be sought via email and all responses are posted on the application page of the State's 21st CLCC website in a FAQs section so that no applicant receives access to information that another applicant would not have access to.



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The process has resulted in a proportionate mix of Regional (urban vs. rural), regular public school and charter school and tribal sites benefitting from 21st CLCC grant awards.

Arizona's 21st CLCC grant awards for no less than \$50,000 annually for up to five (5) years provided funds are available and performance objectives are met, with the last two (2) years of funding being reduced for all awards to 75% in Years 4 and 5 of grant funding. Awards may be renewed for each successive year, up to the 5 year term, upon maintaining satisfactory compliance/low risk. A tiered system of technical assistance and compliance monitoring, including submission of a Continuing Application for each following year, ensures that each sub-grantee is eligible for renewed funding each year of the five potential years of funding.

The 21st CLCC grant applicants respond to the following application sections online through Arizona's Grants Management system:

- Program Need
- Program Design and Implementation
- Adequacy of Resources
- Program Objectives and Activities
- Evaluation
- Sustainability

Incorporated in the application sections, the applicants must demonstrate how their proposed program will comply with all aspects of the statutory requirements, including how its activities will meet the measures of effectiveness described in section 4205(b). The law and the Measures of Effectiveness are among the downloadable resources on the State's 21st CCLC website's application page and are referenced in the guidance for completing Arizona's 21st CCLC grant application.

Applicants must complete and upload the following assurances as part of their online applications:

- General Statement of Assurance (GSA) completed by the fiscal agent of compliance with Statutes and regulations including, sound accounting practices. The GSA contains an assurance that funds will supplement and not supplant other funds as indicated in ESSA.
- Participant Verification Form. This form is signed by external non-LEA partners to demonstrate their commitment to assist or provide some type of resources or expertise the 21st CCLC program.
- Adequacy of Resources Form provides signatures of responsible parties for each category of service provision, management and fiscal oversight, which provides assurance that the capacity to manage a federal grant accountably and in compliance with all requirements and regulations; data collection, evaluation and reporting is in place.
- Private School Consultation Form



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- Statement of Assurance of Original Work
- Statement of Assurance of Community Notification

All of the State's awarded programs must provide for a safe and healthy learning environment by ensuring that the following components are incorporated in their applications and program implementation:

- **Healthy food.** Provide child nutrition programs including after school snack and summer meals. Most of Arizona 21st CCLC programs also offer free breakfast as part of their program and evening meals are increasingly being offered as well. These snacks and meals are funded by USDA snack and meals reimbursements through the Arizona Department of Education's Office of Health and Nutrition.
- **Transportation.** Safe transportation from school or an alternative program site if that is part of the program.
- **Students with disabilities** are served with appropriate accommodations in an easily accessible environment.
- **Adult family members** of those students who are actively participating in the regular 21st CCLC program are involved in the success of their children by providing adults with educational services and activities that are designed to help them advance their children's academic achievement. These may be services to support family engagement and/or family literacy that supports student learning.

The Arizona Department of Education (ADE) 21st CCLC ADE 21st CCLC Program Specialists conduct an initial screen of all applications to ensure eligibility and compliance with Arizona's Competitive Discretionary Grant Guidelines and Procedures. If any of the following criteria is not met the application will be disqualified and will not move on to the Peer Review Process: 1) Application submitted by the due date and time 2) 40% or higher Free and Reduced Lunch count 3) Complete Application and 4) 4. Correct Application (written to serve students of one school site). Further, based on a rubric, if any of the following criteria are not met, the application may not move on for Peer Review: 1) Charter Board Compliance Check – good standing. This check relates to the charter contract as well as state, federal and local laws; 2) Arizona Grant Management- good standing with fiscal management and reporting, no programmatic holds; 3) 21st CCLC Prior Grant – good standing, compliant with grant requirements and 4) Budget Alignment – budget requests are substantially allowable and reasonable within application parameters. Applicants that are disqualified during the initial screening are notified of non-compliance status. Any applicant may appeal application decisions. During the initial screening, ADE staff also confirms whether applications moving on to the Peer Review have met the criteria to receive Priority Points based on low standing in Federal and Arizona State Accountability labels for the year prior to application submission.

Arizona uses a panel of peer reviewers to review and score 21st CCLC applications. A geographically diverse panel of reviewers with relevant expertise in effective academic, enrichment, youth development and related youth programs is selected to participate. No



## GUIDANCE HANDBOOK

reviewer is selected that has a conflict of interest evidenced by being a current application round applicant or a representative thereof. The reviewers receive a thorough training through a secure online portal which includes reviewer expectations, an education in the law establishing the grant, Arizona's application and application guidance, and training in completing consistent scoring and comment writing based on a scoring rubric that is provided within the application guidance. Each application receives 3 independent reviews. Reviewers provide numerical scores and written comments regarding the strengths and weaknesses of each of the sections of the application using a rubric and based on the established criteria for each section. The reviewers are also able to alert 21st CCLC staff to any conditions which they believe should be addressed by ADE.

Upon completion of the grant review, a rank ordered funding slate is developed based on averaging the 3 peer reviewers' scores for each application. Arizona awards the top ranking applications for which it has sufficient funding. All funding is contingent upon receipt of federal funds. In the event that anticipated federal funding is decreased, a proportional decrease will be made to all awardees.



**GUIDANCE HANDBOOK**

**A**PPENDIX



**GUIDANCE HANDBOOK**

## WEEKLY STUDENT ATTENDANCE ROSTER

**NOTE:** Daily class/activity attendance is recorded weekly for each class on one attendance roster form. This documentation is attached to each teacher/activity leader’s time sheet along with the time and effort log.

Class/Activity: \_\_\_\_\_ Hours: \_\_\_\_\_

School: \_\_\_\_\_ Teacher(s): \_\_\_\_\_

Dates: \_\_\_\_\_

Class/Activity takes place:     Before     After School     Summer

<b>STUDENTS ATTENDING ACTIVITY</b>								
Please enter a “P” for present, an “A” for absent, or a “T” for tardy on the lines provided. If a student is not in your class, please put a line through their name. Also add students enrolled in your class, but missing from the attendance sheet.								
<i>Last Name</i>	<i>First Name</i>	<i>Middle initial</i>	<i>Grade level</i>	<i>M</i> _/_/_	<i>TU</i> _/_/_	<i>W</i> _/_/_	<i>TH</i> _/_/_	<i>F</i> _/_/_

### Substitutes/Assisting Staff/Volunteers

Name	Dates	Hrs Per Week

NOTES:



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**PROGRAM AT-A-GLANCE**

All 21<sup>st</sup> CCLC grant awards are based on the *original approved* proposal for the site. Grantees will be expected to provide the services specified in the original proposal each of the 5 years of the grant.



**21<sup>st</sup> Century Program At-A-Glance**



<b>District/Organization:</b>		<b>Cycle</b>																					
<b>Site Name:</b>		<b>Year</b>																					
Continued funding is assured when 21 <sup>st</sup> CCLC programs are in good standing. Providing the services stated in the original approved application on which funding was based is an important component of remaining in good standing with ADE. The following outline of services and objectives stated in your 21 <sup>st</sup> CCLC application gives staff and administration a guide to some of the most critical expectations for your own program throughout each year of your grant.																							
Student Services	Adult Services	Total Center Hours of Operation																					
Total # of proposed Student Regular Attendees (30 days or more)  <input style="width: 100%; height: 30px;" type="text"/>	Total # of proposed Adult Family members to be served  <input style="width: 100%; height: 30px;" type="text"/>	Your site is open: <table border="1" style="width: 100%; margin-top: 10px;"> <thead> <tr> <th style="width: 70%;"></th> <th style="width: 30%;">Entire Year</th> </tr> </thead> <tbody> <tr> <td style="font-size: x-small;">Total # of hours per week</td> <td style="width: 30px; height: 20px;"></td> </tr> <tr> <td style="font-size: x-small;">Total # of days per week</td> <td style="width: 30px; height: 20px;"></td> </tr> <tr> <td style="font-size: x-small;">Total # of weeks per year</td> <td style="width: 30px; height: 20px;"></td> </tr> </tbody> </table>			Entire Year	Total # of hours per week		Total # of days per week		Total # of weeks per year													
	Entire Year																						
Total # of hours per week																							
Total # of days per week																							
Total # of weeks per year																							
Direct Student Services available to Students:  <table border="1" style="width: 100%; font-size: x-small;"> <thead> <tr> <th style="width: 15%;"></th> <th style="width: 30%;">Academic Year</th> <th style="width: 30%;">Summer</th> </tr> </thead> <tbody> <tr> <td style="font-size: x-small;">Total # of hours per week</td> <td style="width: 30px; height: 20px;"></td> <td style="width: 30px; height: 20px;"></td> </tr> <tr> <td style="font-size: x-small;">Total # of days per week</td> <td style="width: 30px; height: 20px;"></td> <td style="width: 30px; height: 20px;"></td> </tr> <tr> <td style="font-size: x-small;">Total # of weeks per year</td> <td style="width: 30px; height: 20px;"></td> <td style="width: 30px; height: 20px;"></td> </tr> </tbody> </table>		Academic Year	Summer	Total # of hours per week			Total # of days per week			Total # of weeks per year			Family Member Services available to Adult Family members:  <table border="1" style="width: 100%; font-size: x-small;"> <thead> <tr> <th style="width: 70%;"></th> <th style="width: 30%;">Entire Year</th> </tr> </thead> <tbody> <tr> <td style="font-size: x-small;">Total # of hours per week</td> <td style="width: 30px; height: 20px;"></td> </tr> <tr> <td style="font-size: x-small;">Total # of days per week</td> <td style="width: 30px; height: 20px;"></td> </tr> <tr> <td style="font-size: x-small;">Total # of weeks per year</td> <td style="width: 30px; height: 20px;"></td> </tr> </tbody> </table>		Entire Year	Total # of hours per week		Total # of days per week		Total # of weeks per year		Total # of days per year  <input style="width: 100%; height: 30px;" type="text"/>	
	Academic Year	Summer																					
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Total # of weeks per year																							
	Entire Year																						
Total # of hours per week																							
Total # of days per week																							
Total # of weeks per year																							
<b>Program Objectives (Copied from Grant Application)</b>																							
<b>Academic Objectives</b>																							

The 21<sup>st</sup> Community Learning Centers Programs are funded by a federal grant from the U.S. Department of Education and administered by the Arizona Department of Education. For more information visit: <http://www.azed.gov/21stcclc>.



**GUIDANCE HANDBOOK**



## 21<sup>st</sup> Century Program At-A-Glance



**Youth Development Objectives**

**Family Engagement Objective**

**Plan (Narrative):**

Staffing	Other Funding Sources	Total Budget Year 1-5
<p><b><u>Instruction</u></b></p> <p># of Teaching Positions paid out of 21<sup>st</sup> CCLC funding</p> <p># of teaching positions paid out of another funding source</p> <p>Total # of Teaching Positions</p> <p><b><u>Support Services</u></b></p> <p>Total # of Support Staff Positions</p> <p><b><u>Administrative</u></b></p> <p>Total # of Administrative Positions</p>	<p><b><u>Additional Contributing Funding Sources</u></b></p> <p style="height: 270px;"></p>	<p><b>Year 1:</b></p> <p><b>Year 2:</b></p> <p><b>Year 3:</b></p> <p><b>Year 4:</b></p> <p><b>Year 5:</b></p> <p><b>Budget formula:</b></p> <p># of Regular attendees                      x Total # of days open                      x \$8 (cycle 12) \$10 (cycles 13 &amp; 14) =</p>

Revised 5/10/18

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**GUIDANCE HANDBOOK**

**TIME AND EFFORT REPORTING**

*BI-WEEKLY TIME & EFFORT LOG (For each grant by pay period)*

NAME: \_\_\_\_\_ Grant #1 Name: 21st CCLC  
 Grant #2 Name: \_\_\_\_\_  
 Location: \_\_\_\_\_ Pay Period ending date: \_\_\_\_\_

DATE	SPECIFY JOB PERFORMED – Class/Activity <small>(Teacher/coordinator/aide functions)</small>	COMMENTS/ SUBSTITUTE NOTES	TOTAL HOURS GRANT #1	TOTAL HOURS GRANT #2
<b>TOTAL HOURS:</b>				

\_\_\_\_\_  
**Employee Signature / Date**

\_\_\_\_\_  
**Supervisor Signature/Date**

*WEEK 2 TIME & EFFORT LOG*

NAME: \_\_\_\_\_ Grant #1 Name: 21st CCLC  
 Grant #2 Name: \_\_\_\_\_  
 Location: \_\_\_\_\_ Pay Period ending date: \_\_\_\_\_

DATE	SPECIFY JOB PERFORMED – Class/Activity <small>(Teacher/coordinator/aide functions)</small>	COMMENTS/ SUBSTITUTE NOTES	TOTAL HOURS GRANT #1	TOTAL HOURS GRANT #2
<b>TOTAL HOURS:</b>				

\_\_\_\_\_  
**Employee Signature / Date**

\_\_\_\_\_  
**Supervisor Signature/Date**

Note: A sample of a **monthly** Time & Effort document is also available online.



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**GUIDANCE HANDBOOK**

☀ We highly encourage immediate communication with the assigned Education Program ADE 21st CCLC Program Specialist should a grantee require technical assistance.

**About us**

<p><b>Arizona Department of Education</b>                  21<sup>st</sup> CCLC Unit                  1535 W Jefferson Street,                  Bin #7                  Phoenix, AZ 85007                  Phone: 602-364-2349                  E-mail:                  21stCCLCInbox@azed.gov</p>	<p><b>Unit Staff</b>                  Catherine Evilsizor, Dir.                  Dawn Fitzhugh                  Ray Gee                  Randy Huckabone                  Molly Kemp                  Lisa Kluge                  Kim Logan                  Emma Chavez                  Anderson Yazzie Jr</p>	<p>The Arizona Department of Education does not discriminate on the basis of race, religion, color, national origin, sex, disability or age in its programs, activities or in its hiring and employment practices. For questions regarding this statement, please contact Administrative Services at 602-542-3186.</p>
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Diane M. Douglas  
 Superintendent of Public Instruction

The 21<sup>st</sup> Century Community Learning Center afterschool program is funded by a federal grant from the U.S. Department of Education and administered by the Arizona Department of Education. These contents do not necessarily represent the policy of the agency, nor should endorsement by the federal government be assumed.

For more information visit: [www.azed.gov/21stcclc/](http://www.azed.gov/21stcclc/)

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