

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



Health and Nutrition Services
Arizona Department of Education





Disclaimer

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are encouraged to access professional development materials directly from the training library to prevent use of outdated content.

Intended Audience

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

Objectives

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

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

TRAINING HOURS

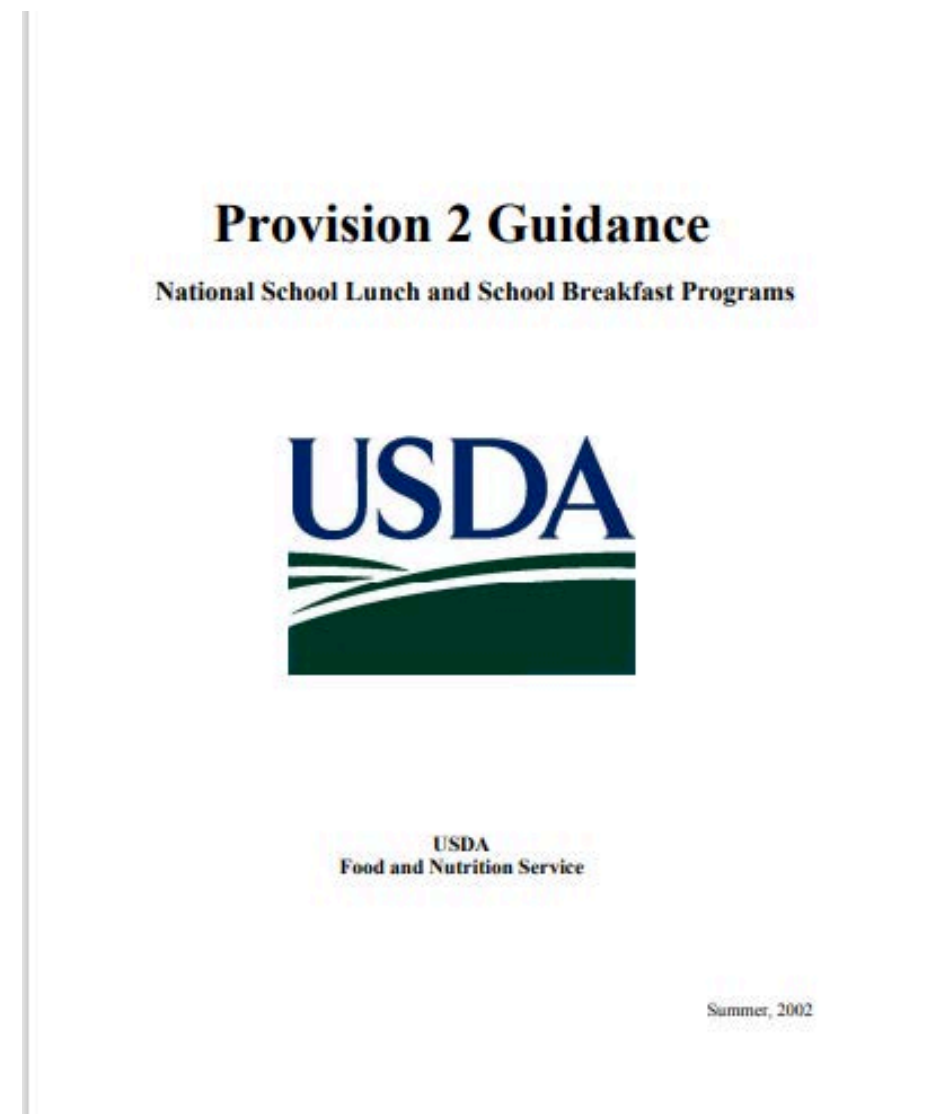
Information to include when documenting this training for Professional Standards:

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

Key Area: 3000 - Administration

Learning Code: 3130

Length: 45 minutes



The instruction within this Online Course is based on Chapter 3 of USDAs Special Assistance Guidance Manual.

It is recommended to review the Special Assistance Guidance Manual in addition to reviewing this course for complete guidance on Special Assistance.

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

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The following slides will only cover how-to instructions for applying and submitting an Extension in Provision 2 or 3. For more information about operating a Special Provision, please visit [HNS' online training library](#).

Introduction to Special Provision Extension

SECTION 1



Introduction to Special Provision Extension

School Food Authorities participating in Special Assistance Provision 2 or 3 may complete and submit an application to the Arizona Department of Education to request to operate an additional four non-base years using the original base year data after the Special Assistance cycle has ended.

KEY TERMS

School Food Authorities (SFA)

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

Special Assistance Cycle

Special Assistance Provisions 2 and 3 use base year data for their non-base year claims. Provision 2 cycles use base year data for the following 3 years and Provision 3 uses base year data for the following 4 years. At the end of the cycle, the SFA may return to regular claiming, participating in the Community Eligibility Provision, conduct another base year, or continue to claim with an extension of their original non-base year data per the approval of the Arizona Department of Education (ADE).

Special Provision Extension

Approval per the Arizona Department of Education (ADE) to operate an additional four non-base years using your original base year data after your Special Assistance cycle has ended.

Provision Cycle Examples

PROVISION 2 CYCLE WITH EXTENSION

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

Provision Cycle Examples

PROVISION 3 CYCLE WITH EXTENSION

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

Applying for an Extension

SECTION 2





Who would want to apply for an Extension?

Schools participating in Special Assistance Provision 2 or 3 that feel the socioeconomic status of their population has not significantly changed from their base year.

- For example, if that school were to do another base year, the school would establish around the same Free/Reduced/Paid claiming percentages as their original base year.

APPLICATION FORM

PERSONAL INFORMATION

Last Name _____ First Name _____ Middle _____

Address _____ City _____ State _____ Zip _____

Phone: _____ Email address: _____

Security Number: _____

a U.S. Citizen? ☐ Yes ☐ No

ever been ☐ Yes ☐ No

you willing to submit to a pre-employment drug screening test? ☐ Yes ☐ No

How Many Extensions Can Be Applied For?

You may apply for an extension every four years. You may continue to be granted an indefinite number of extensions, as long as you can demonstrate that the income level of your school's population has remained the same, declined, or had only a negligible improvement, when comparing the originally approved base year data and comparable current data for the year in which you are requesting the extension.

ADE Approval

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

- **Negligible Improvement:** An improvement in the school population's base year income of no more than 5% change, as adjusted for inflation.

If approved, the SFA is granted a four-year extension.



Eligibility

WHO IS ELIGIBLE TO APPLY FOR AN EXTENSION?

A school operating Provision 2 or 3 is eligible to apply for an Extension if they meet the following criteria:

-  The school in their last non-base year;
- AND,**
-  The school has complied with all requirements of participating in Special Assistance such as retaining all base year records.*

NOTE

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

Application Process

WHERE DO I FIND THE EXTENSION APPLICATION?

The Special Assistance Extension Application Packet is available on the National School Lunch Forms Webpage, under the Program Forms and Resources button, located under the Special Provisions Options accordion.

- <https://www.azed.gov/hns/nslp/forms>

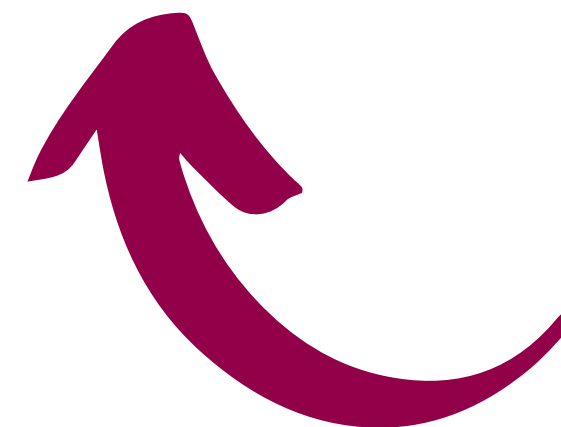
▼ Special Provision Options

Community Eligibility Provision (CEP)

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

Special Assistance Provisions 2 and 3

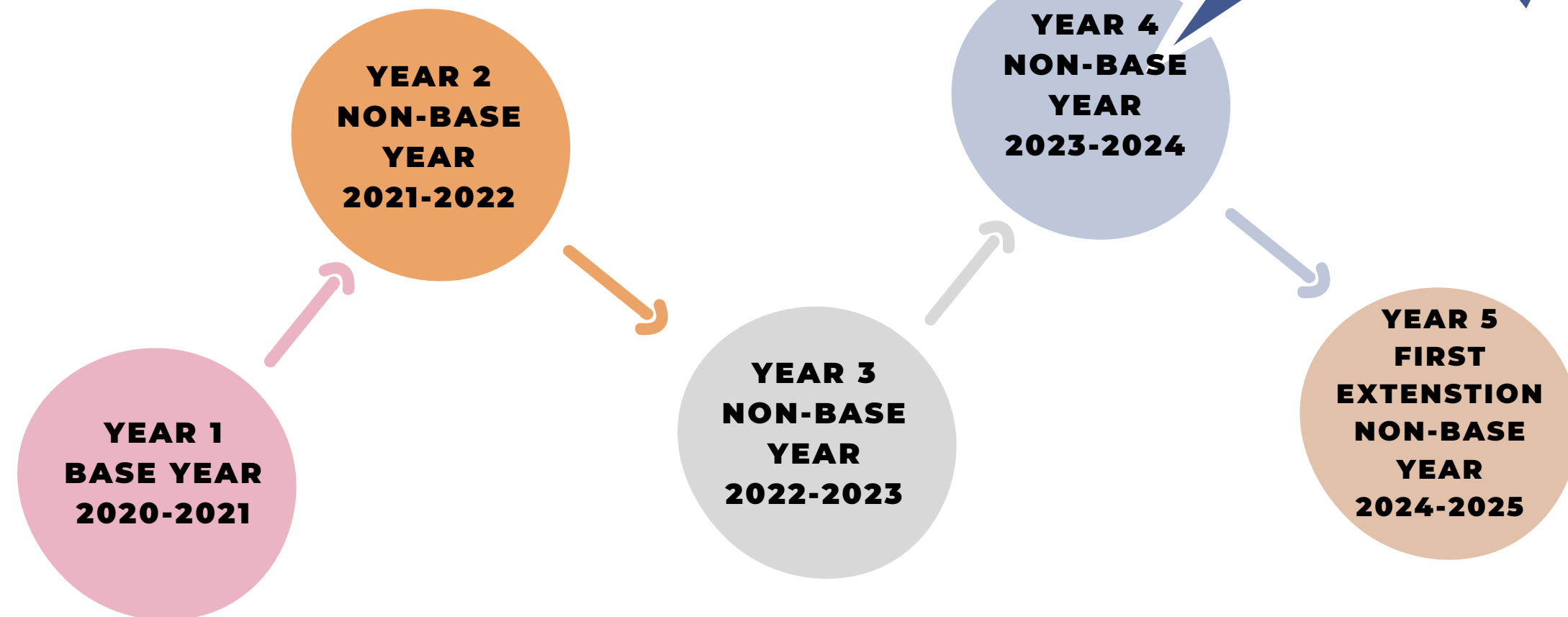
- [Financial Analysis Tool](#)
- [Special Assistance Application](#)
- [Special Assistance Extension Application Packet](#)



When do I apply for an Extension?

THE APPLICATION PROCESS:

- **March 1st** of the last non-base year: submit supporting socioeconomic data to apply for extension.



Example for a Provision 2
Sponsor

The application packet consists of four pages:

- 1 Introduction
- 2 Request for an Extension on Special Assistance
- 3 Extension Calculation Worksheet Using Unemployment Data
- 4 Extension Calculation Worksheet Using Direct Certification Percentages

Special Assistance Extension Application Packet

Prior to applying for a Special Assistance Extension, you must apply for an extension for Special Assistance under the Arizona Department of Education's Provision 2 Application packet to the Arizona Department of Education by the last non-base year.

Components of a Complete Special Assistance Extension

- Request for an Extension on Special Assistance
- Extension Calculation Worksheet (one for each site)
- Supporting Documentation: Socioeconomic data source is used for socioeconomic data submitted to support the calculation
- Training Certificate - The training certificate must be submitted for each site

For more information, please review the [Arizona Department of Education's Provision 2 Application Packet](#).

Request for an Extension on Special Assistance

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

Please review the [United States Department of Education's Provision 2 Guidance Manual](#). After reviewing the manual, if you would like to apply for an extension on Special Assistance Program, please complete this application. Once completed, submit the application to HNS for review. Please note that this application is not approved until you receive an official letter of approval.

Local Educational Agency:
Contact/Title:

- Indicate the Special Assistance Provision 2.
- Indicate the number of special assistance sites.

Name of School(s) Applying for an Extension

☐ **Training Certificate:** Please complete a Training Certificate for each site.

☐ **Extension Calculation Worksheet(s):** I am submitting only one data source - unemployment data.

☐ **Supporting Documentation: Socioeconomic data source:** I am submitting socioeconomic data source is used for socioeconomic data submitted to support the calculation on the Extension Calculation Worksheet.

☐ **List of All Sites:** If more sites are applied for School District Letterhead. Similar to: Breakfast (B), Lunch (L), or both (BL) sites.

I CERTIFY that the information in this application is true and correct. I understand that the Special Assistance Program is a federal program and that I am responsible for ensuring that the socioeconomic data indicated year of the cycle.

Print Name (Authorized Representative): _____

Signature: _____

Extension Calculation Worksheet

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

A separate calculation worksheet and supporting data is required for each site applying for an extension.

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

Please indicate the approved socioeconomic data that you are submitting to HNS. Data submitted must be from the base year and the last non-base year. All data must be submitted by **March 1st** of the last non-base year.

SOCIOECONOMIC DATA SOURCE (select one):
Unemployment Data ☐ or Direct Certification Percentages ☐

CALCULATION FOR SOCIOECONOMIC DATA USING UNEMPLOYMENT DATA*

Insert the month/year and numbers from unemployment map for base year and last non-base year.			
BASE YEAR		NON-BASE YEAR	
Month/Year	Unemployment Data (%)	Month/Year	Unemployment Data (%)
CALCULATIONS: <i>Note: If the Non-Base Year Unemployment Data % is greater than the Base Year Unemployment Data % above, the following calculations are not needed, however, unemployment data must still be submitted.</i>			
Calculate the change in percent in unemployment from the base year and the last non-base year by subtracting:		0.00	
Non-Base Year Unemployment Data % - Base Year Unemployment Data % <i>For the purposes of these calculations, use the absolute value (positive number) of the difference.</i>			
Calculate the percent change in unemployment from the base year to the last non-base year by dividing the difference found in the prior calculation by the Base Year Unemployment Data % and multiplying by 100.		NaN	
$\frac{(\text{Non-Base Year \%} - \text{Base Year \%})}{\text{Base Year \%}} \times 100$			
Yes or No: Has the income level improved by more than 5%? <i>Improved = Lower Unemployment Rate</i>			
<i>*Example: If the unemployment rate in the base year is 78% and in the last non-base year is 70%, the percent change would be improved by 10.26%, which would be the answer to the question above 'yes'. In this example, the site would not be eligible for an extension based on Unemployment Data.</i>			

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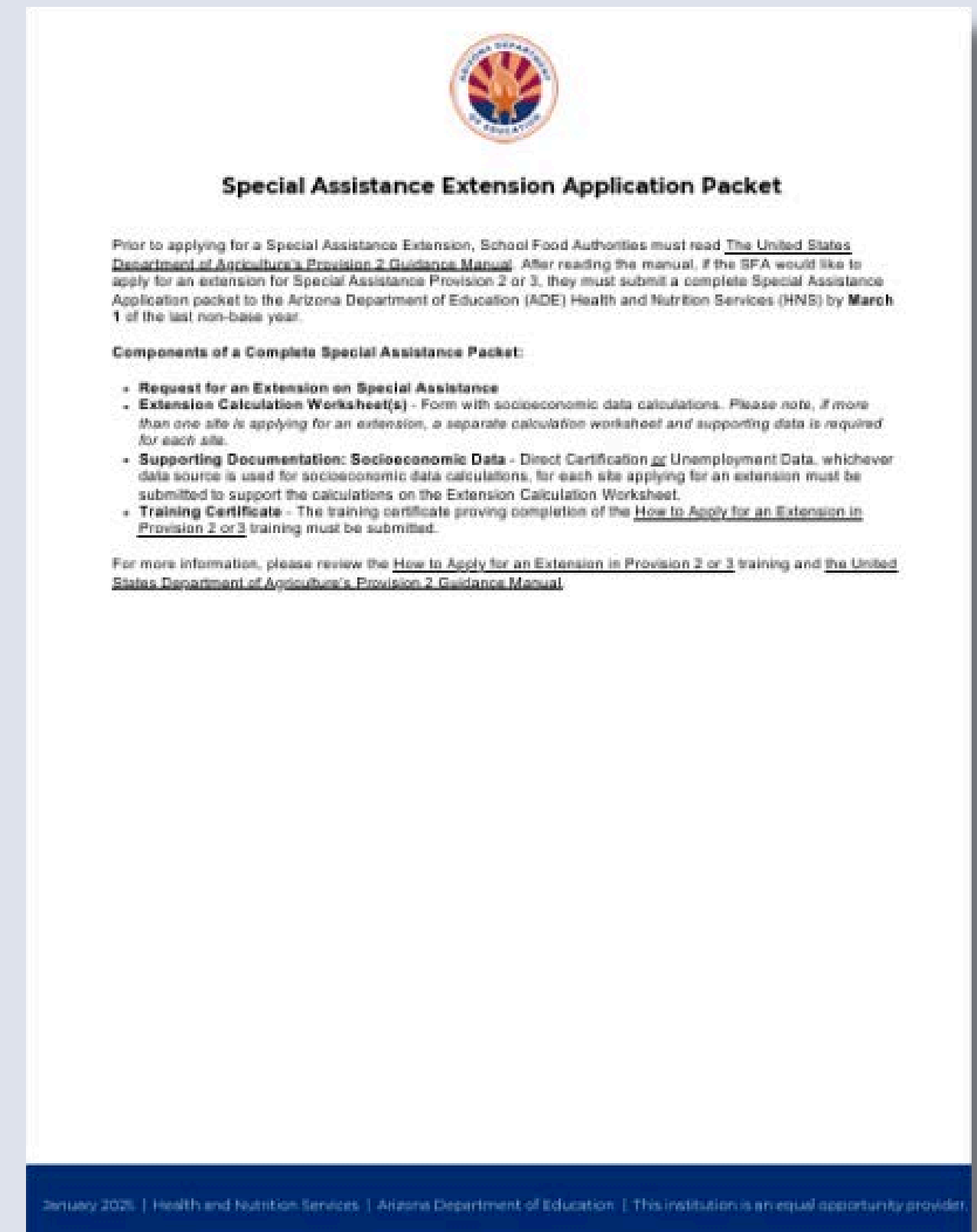
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Introduction

PAGE 1: INSTRUCTIONS

The first page of the Special Assistance Extension Packet provides basic instructions.

In addition to reviewing this training, please read through this page to understand the Extension Application Packet.



Request for an Extension

PAGE 2: REQUEST

In your ***last non-base year***, complete the form, supporting documentation, and training certificate and submit this packet to ADE ***by March 1st***.

- When choosing Socioeconomic Data, it must be reflective of the school's population and must directly correspond to the area covered under the school's attendance area.
- You may use unemployment data or Direct Certification percentages for the packet.

Request for an Extension on Special Assistance

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

Please review [the United States Department of Agriculture's Provision 2 Guidance Manual](#). After reviewing the manual, if you would like to apply for an extension on Special Assistance Program, please complete this application. Once completed, submit the application to HNS for review. **Please note that this application is not approved until you receive an official letter of approval from this department.**

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

1. Indicate the Special Assistance Provision (2 or 3) that is currently being operated: _____

2. Indicate the number of special assistance sites that are being operated: _____

Name of School(s) Applying for an Extension	Base Year	BREAKFAST (B), LUNCH (L), OR BOTH (BL)

ADDITIONAL ATTACHMENTS:

☐ **Training Certificate:** Please complete and attach the training certificate proving completion of the [How to Apply for an Extension in Provision 2 or 3](#) training.

☐ **Extension Calculation Worksheet(s):** Please complete and submit an Extension Calculation Worksheet based on only one data source - unemployment data or Direct Certification Percentages, for each site applying for an extension.

☐ **Supporting Documentation: Socioeconomic Data:** Please attach the Direct Certification or Unemployment Data, whichever data source is used for socioeconomic data calculations, for each site applying for an extension to support the calculations on the Extension Calculation Worksheet.

☐ **List of All Sites:** If more sites are applying for an extension than fit in the chart above, please attach a list of all sites on School District Letterhead. Similar to the chart above, the name of the school, base year, and meals served - Breakfast (B), Lunch (L), or both (BL) must be indicated.

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

Print Name (Authorized Representative): _____

Signature: _____

Date: _____

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Extension Calculation Worksheet

PAGES 3 AND 4: EXTENSION CALCULATIONS

In your ***last non-base year***, complete and submit the Extension Calculation Worksheet and submit, with supporting data, to ADE ***by March 1st***.



Only one source of socioeconomic data is required.

Extension Calculation Worksheet

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

A separate calculation worksheet and supporting data is required for each site applying for an extension.

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

Please indicate the approved socioeconomic data that you are submitting to HNS. Data submitted must be from the base year and the last non-base year. All data must be submitted by March 1st of the last non-base year.

SOCIOECONOMIC DATA SOURCE (select one):

Unemployment Data ☒ or Direct Certification Percentages ☐

CALCULATION FOR SOCIOECONOMIC DATA USING UNEMPLOYMENT DATA*

Insert the month/year and number from employment map for base year and last non-base year.

BASE YEAR		NON-BASE YEAR	
Month/Year	Unemployment Data (%)	Month/Year	Unemployment Data (%)

CALCULATIONS:

When Non-Base Year Unemployment Data % is greater than the Base Year Unemployment Data % above, the following calculations are *not* needed, however, unemployment data must still be submitted.

Calculate the change in percent in unemployment from the base year and the last non-base year by subtracting: Non-Base Year Unemployment Data % - Base Year Unemployment Data % <i>For the purposes of these calculations, use the absolute value (positive number) of the difference.</i>	0.00
Calculate the percent change in unemployment from the base year to the last non-base year by dividing the difference found in the prior calculation by the Base Year Unemployment Data % and multiplying by 100. $\frac{(\text{Non-Base Year \%} - \text{Base Year \%})}{\text{Base Year \%}} \times 100$	NaN
Yes or No. Has the income level improved by more than 5%? <i>Improved = Lower Unemployment Rate</i>	

*Example: If the unemployment rate in the base year is 78% and in the last non-base year is 70%, the percent change would be improved by 10.26%, which would be the answer to the question above "yes". In this example, the site would not be eligible for an extension based on Unemployment Data.

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Extension Calculation Worksheet

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

A separate calculation worksheet and supporting data is required for each site applying for an extension.

Local Educational Agency:

CTDS #:

Site Name:

Site CTDS#:

Contact/Title:

Phone #:

Please indicate the approved socioeconomic data that you are submitting to HNS. Data submitted must be from the base year and the last non-base year. All data must be submitted by March 1st of the last non-base year.

SOCIOECONOMIC DATA SOURCE (select one):

Unemployment Data ☐ Direct Certification Percentages ☐

CALCULATION FOR SOCIOECONOMIC DATA USING UNEMPLOYMENT DATA*

Insert the month/year and numbers from unemployment map for base year and last non-base year.

BASE YEAR		NON-BASE YEAR	
Month/Year	Unemployment Data (%)	Month/Year	Unemployment Data (%)

CALCULATIONS:

Note, if the Non-Base Year Unemployment Data % is greater than the Base Year Unemployment Data % above, the following calculations are **not** needed, however, unemployment data must still be submitted.

Calculate the change in percent in unemployment from the base year and the last non-base year by subtracting:
Non-Base Year Unemployment Data % - Base Year Unemployment Data %
For the purposes of these calculations, use the absolute value (positive number) of the difference.

0.00

Calculate the percent change in unemployment from the base year to the last non-base year by dividing the difference found in the prior calculation by the Base Year Unemployment Data % and multiplying by 100.
$$\frac{(\text{Non-Base Year \%} - \text{Base Year \%})}{\text{Base Year \%}} \times 100$$

NaN

Yes or No. Has the income level improved by more than 5%?
Improved = Lower Unemployment Rate

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

Use the table on page 3 to complete your calculation if you are using **Unemployment Rates**.

Extension Calculation Worksheet

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

A separate calculation worksheet and supporting data is required for each site applying for an extension.

CALCULATION FOR SOCIOECONOMIC DATA USING DIRECT CERTIFICATION PERCENTAGES*

Insert the year and number of directly certified (DC) and enrolled students for the base year and non-base year.

BASE YEAR				NON-BASE YEAR			
Year	Number of Students DC	Total Enrolled	Percentage (Students DC/Enrolled)	Year	Number of Students DC	Total Enrolled	Percentage (Students DC/Enrolled)
			NaN				NaN

CALCULATIONS:

Note, if the Non-Base Year % is greater than the Base Year % above, the following calculations are **not** needed, however, DC data must still be submitted.

Calculate the change in percent in students DC from the base year and the last non-base year by subtracting:
Non-Base Year DC % - Base Year DC %
For the purposes of these calculations, use the absolute value (positive number) of the difference.

NaN

Calculate the percent change from the base year to the last non-base year by dividing the difference found in the prior calculation by the Base Year DC% and multiplying by 100.
$$\frac{(\text{Non-Base Year \%} - \text{Base Year \%})}{\text{Base Year \%}} \times 100$$

NaN

Yes or No. Has the income level improved by more than 5%?
Improved = Less children matching in Direct Certification

*Example: If the percentage of students directly certified in the base year is 71.4% and in the last non-base year is 68%, the percent change would have improved by 4.78%, which would make the answer to the question above 'no'. In this example, the site would be eligible for an extension based on the Direct Certification percentages.

* Please note, when completing this form digitally, calculations will be processed automatically. ADE HNS highly encourages operators to confirm accuracy by completing the calculations manually in the opportunity an error is present.

Use the table on page 4 to complete your calculation if you are using **Direct Certification Percentages**.

NOTE
Once numbers are entered into the worksheet, it will automatically calculate change in percentage.

Calculating Socioeconomic Data

SECTION 3



Ways to Calculate Socioeconomic Data

1. UNEMPLOYMENT DATA
2. DIRECT CERTIFICATION DATA

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

This calculation is not needed if there is a decrease in income level.

- Meaning, DC data or unemployment data is higher in non-base year than base year.



Using Unemployment Data

PAGE 3 OF THE APPLICATION PACKET

The Calculation for Socioeconomic Data using **Unemployment Data** can be completed in two steps:

- 1

Find unemployment percentages of your county in the current year and of your base year.
- 2

Calculate the percent change by plugging in your values on the Extension Calculation Worksheet.

Extension Calculation Worksheet

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

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

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

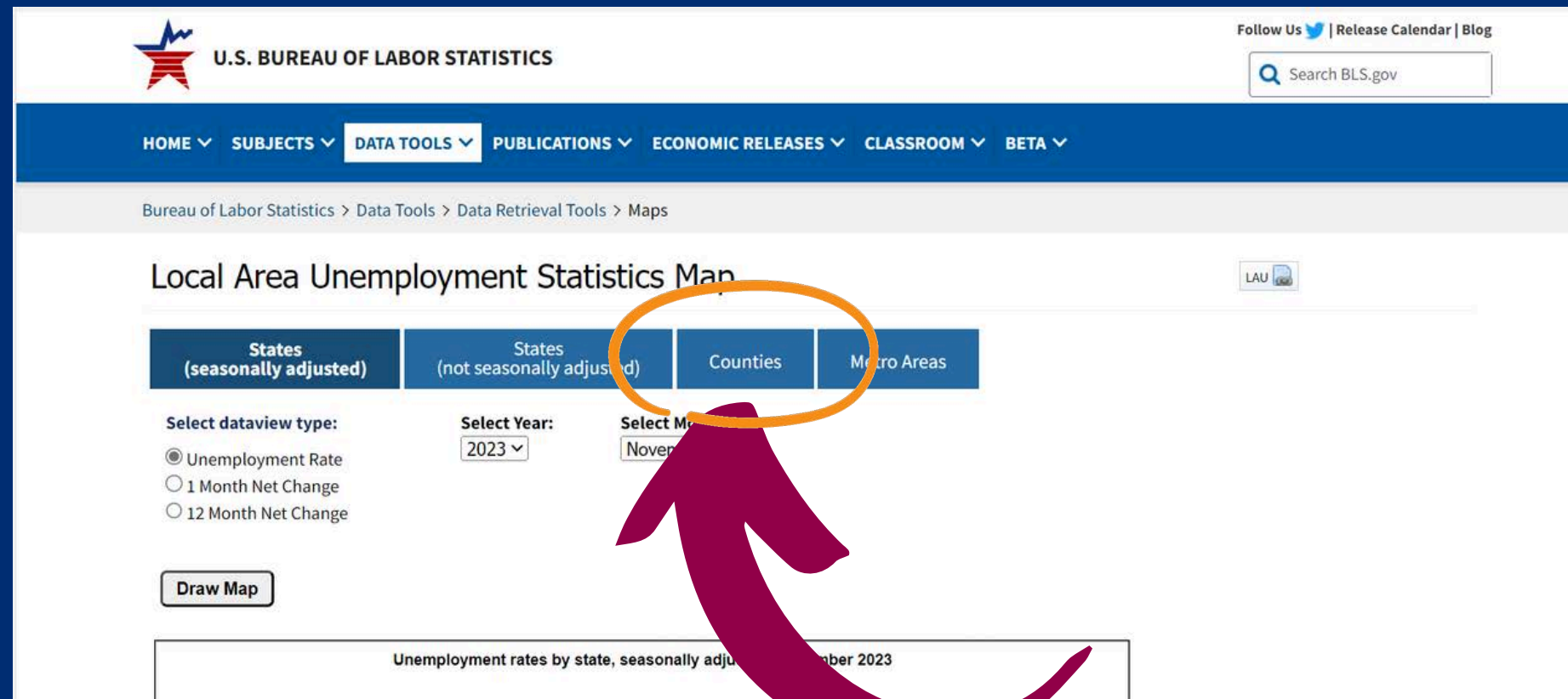
Socioeconomic Data Source (select one)	BASE YEAR	LAST NON-BASE YEAR
Unemployment Data ☐ or Direct Certification percentages ☐		
Calculation for Socioeconomic Data Using Unemployment Data		
Step	Formula	SFA's answer
Step 1: Calculate the percent in unemployment from the base year and the last non-base year.	<i>Unemployment rate from the non base year -- unemployment from base year</i>	
Step 2: Calculate the percent change in unemployment from the base year to the last non-base year.	$\frac{(\text{Non- base year \%} - \text{base year \%})}{\text{Base Year \%}} \times 100$	
*Has the income level improved by 5% or more? (Yes or No) (Improved = Less Employment)		
*Example: If the unemployment rate in the base year is 78% and in the last non-base year is 70%, the percent change would be improved by 10.25%, which would be the answer to the question above 'yes'. In this example, the site would not be eligible for an extension based on Unemployment Data.		

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Using Unemployment Data

HOW TO CORRECTLY IDENTIFY UNEMPLOYMENT DATA

- Go to: **<http://data.bls.gov/map/>**
- On the webpage, click on the **Counties** tab.



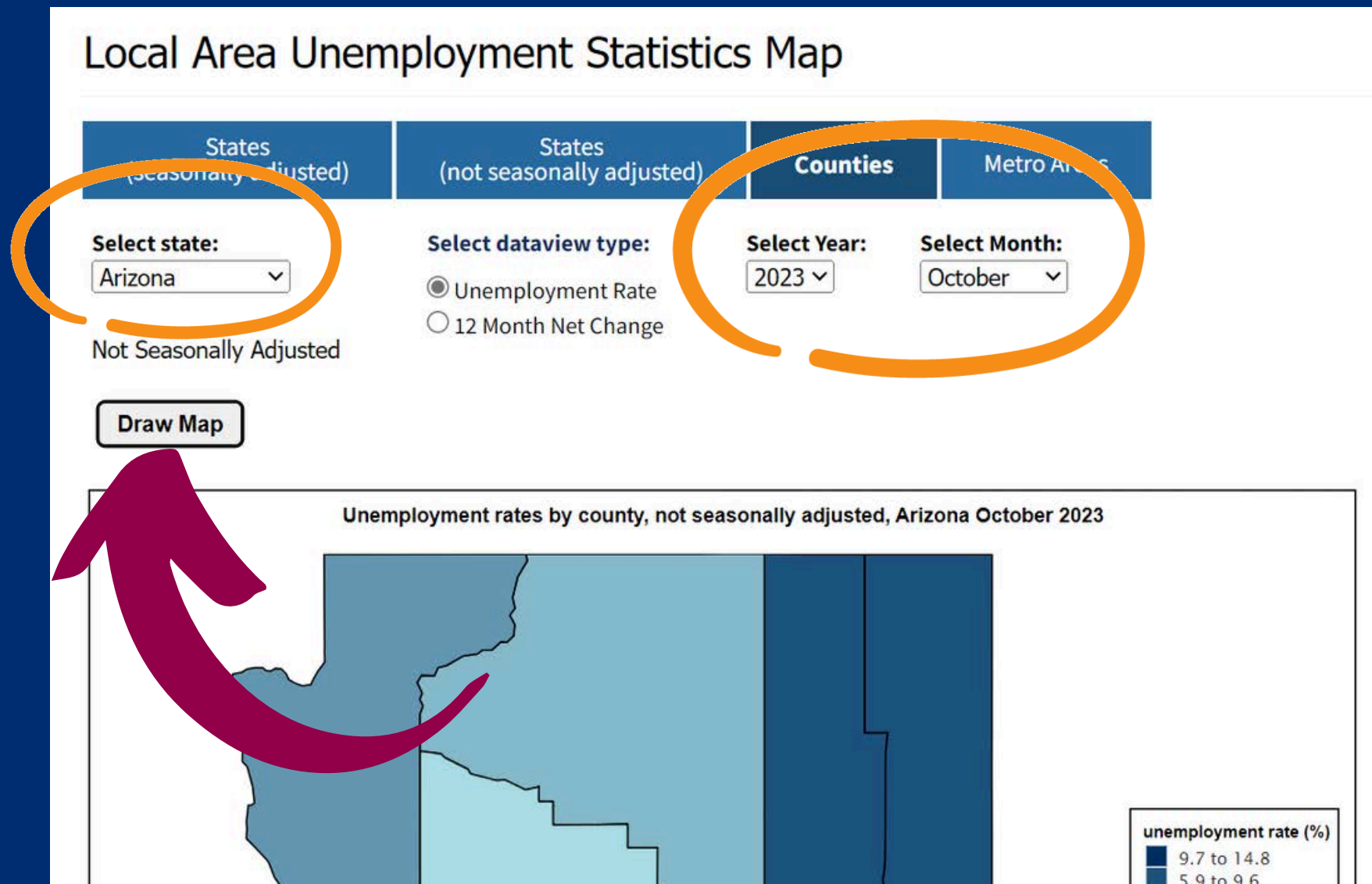
Using Unemployment Data

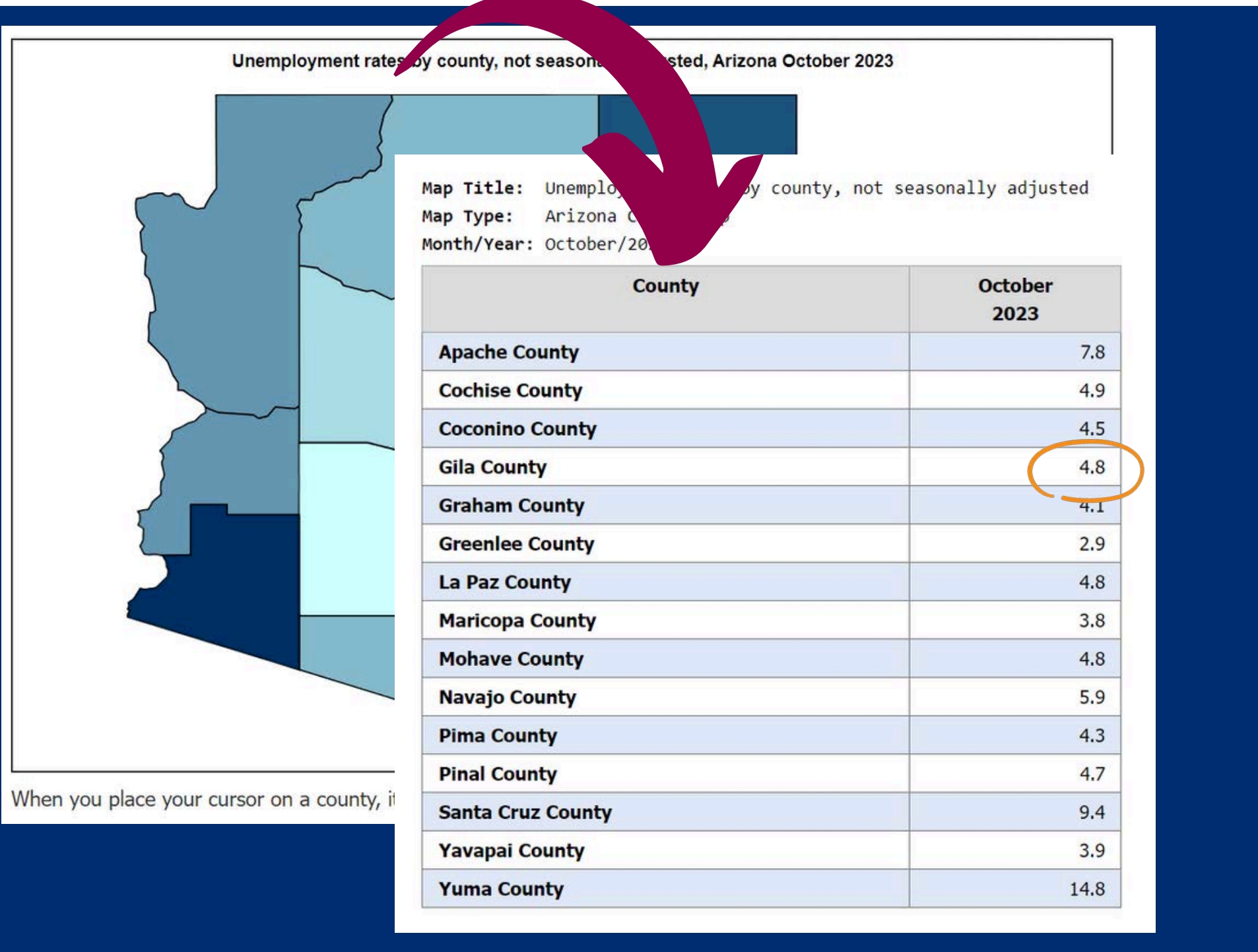
HOW TO CORRECTLY IDENTIFY THE UNEMPLOYMENT DATA

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

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

Click **Draw Map**.





Using Unemployment Data

HOW TO CORRECTLY IDENTIFY THE UNEMPLOYMENT DATA

Find your county and the unemployment percentage.

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

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

Local Area Unemployment Statistics Map

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

Select state:
Arizona ▼

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

Select Year:
2019 ▼

Select Month:
October ▼

Not Seasonally Adjusted

Draw Map

Unemployment rates by county, not seasonally adjusted, Arizona October 2019

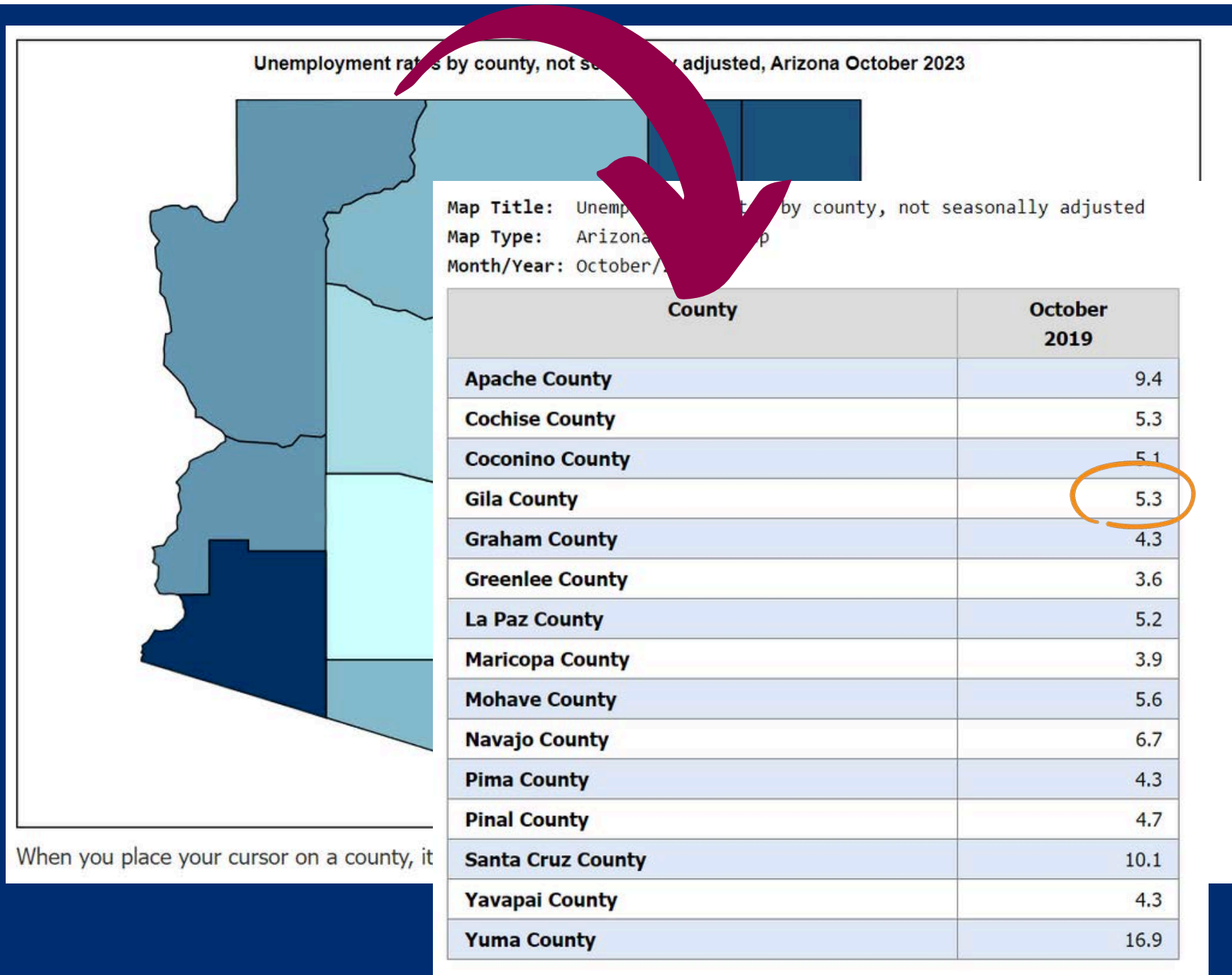


Using Unemployment Data

HOW TO CORRECTLY IDENTIFY THE UNEMPLOYMENT DATA

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

Click **Draw Map**



Using Unemployment Data

HOW TO CORRECTLY IDENTIFY THE UNEMPLOYMENT DATA

Find your county and the unemployment percentage.

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



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

Calculating Unemployment Data

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

Socioeconomic Data Source (select one)		BASE YEAR	LAST NON-BASE YEAR
Unemployment Data ☒ or Direct Certification percentages ☐		2019	2023
Calculation for Socioeconomic Data Using Unemployment Data			
Step	Formula	SFA's answer	
Step 1: Calculate the percent in unemployment from the base year and the las non-base year.	<i>Unemployment rate from the non base year -- unemployment from base year</i>	4.8% - 5.3% = 0.5%	
Step 2: Calculate the percent change in unemployment from the base year to the last non-base year.	$\frac{(Non- base year \% - base year \%)}{Base Year \%} \times 100$	0.5% / 5.3% x 100 = 9.43%	
*Has the income level improved by 5% or more? (Yes or No) (Improved = Less Employment)		YES Improved by 9.43%	
*Example: If the unemployment rate in the base year is 78% and in the last non-base year is 70%, the percent change would be improved by 10.25%, which would the answer to the question above 'yes'. In this example, the site would not be eligible for an extension based on Unemployment Data.			

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

Using Direct Certification Percentages

PAGE 4 OF THE APPLICATION PACKET

The Calculation for Socioeconomic Data using **Direct Certification Percentages** can be completed in three steps:

- 1 Use your Direct Certification percentages from your base year (filed with base year records) .
- 2 Conduct Direct Certification for the final non-base year.
 - *For help conducting Direct Certification, refer to Step by Step: How to Conduct Direct Certification found on [ADE's Training webpage](#).*
- 3 Calculate the percent change by plugging in your values on the Extension Calculation Worksheet.

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

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

Using Direct Certification Percentages

PAGE 4 OF THE APPLICATION PACKET



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

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

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

Calculating Direct Certification Data

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

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

Example:

During the **base year**, the total enrollment was 420 students; and 305 students were directly certified.

During the **non-base year**, the total enrollment is 465; and 300 students were directly certified.

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



Submitting the Extension Application



SECTION 4

Submitting an Application

An extension is an approval per ADE to operate an additional four non-base years using your original base year data after your Special Assistance cycle has ended.

SFAs can access the four-page Extension Application Packet on the NSLP Forms and Resources webpage.

- azed.gov/hns/nslp/forms



APPLICATION FORM

PERSONAL INFORMATION

Last Name _____ First Name _____ Middle _____

Address _____ City _____ State _____ Zip _____

Phone: _____ Email address: _____

Security Number: _____

U.S. Citizen? ☐ Yes ☐ No

Willing to submit to a pre-employment drug screening test? ☐ Yes ☐ No

The Application

- ✓ SFAs will review the application and follow the instructions on page 1 of the Extension Application.
- ✓ SFAs will apply for an extension by submitting the entire Extension Application packet, supporting documentation, and training certificate to ADE by March 1st of their last non-base year.
- ✓ Once determined that the data has remained stable, declined, or had only negligible improvement in the last non-base year, SFAs must submit page 3/4 and their supporting data (EITHER unemployment data or Direct Certification data) to ADE by March 1st of their last non-base year.

CONTACT US

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



602-542-8700



ContactHNS@azed.gov



www.azed.gov/hns





Congratulations

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

Information to include when documenting this
training for Professional Standards:

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

Key Area: 3000 – Administration
Learning Code: 3130
Length: 0.75 hour

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

Certificate

Requesting a training certificate

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



Information to include when documenting this training for Professional Standards:

Training Title:

**How to Apply for an
Extension for Provision 2
or Provision 3**

Key Area: 3000 – Administration

Learning Code: 3130

Length: 0.75 hour

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





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Persons with disabilities who require alternative means of communication for program information (e.g., Braille, large print, audiotape, American Sign Language, etc.) should contact the state or local agency that administers the program or contact USDA through the Telecommunications Relay Service at 711 (voice and TTY). Additionally, program information may be made available in languages other than English.

To file a program discrimination complaint, complete the USDA Program Discrimination Complaint Form, [AD-3027](#), found online at [How to File a Program Discrimination Complaint](#) and at any USDA office or write a letter addressed to USDA and provide in the letter all of the information requested in the form. To request a copy of the complaint form, call (866) 632-9992. Submit your completed form or letter to USDA by:

1. **Mail:** U.S. Department of Agriculture, Office of the Assistant Secretary for Civil Rights, 1400 Independence Avenue, SW, Mail Stop 9410, Washington, D.C. 20250-9410;
2. **Fax:** (202) 690-7442; or
3. **Email:** program.intake@usda.gov.

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