

Nita M. Lowey 21st CENTURY COMMUNITY LEARNING CENTERS

Guidance Handbook

Fiscal Year 2021 Edition



We equip Arizona students
to realize their potential

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 | Nita M. Lowey 21st Century Community Learning Centers Grant





21ST CCLC GUIDANCE HANDBOOK – FY’2021

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Overview



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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 Nita M. Lowey 21st Century Community Learning Centers Title IV-B (21st CCLC) Grant for fiscal year 2021. The 21st CCLC Guidance Handbook (2020-2021) edition is a good reference for practices and standard expectations for all Arizona 21st CCLC grant programs. This guide should be read in along with the authorized statutes and applicable regulations that are relevant to the 21st CCLC Grant.

WHAT IS THE PURPOSE OF THE FUNDING?

- The purpose of the Nita M. Lowey 21st Century Community Learning Centers Title IV-B (21st 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 may offer services for students only 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
- Centers must offer adult family members of 21st 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 21st 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.
- 21st 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.
- The ADE does not allow generation of 21st CCLC program income. This includes any program income, including fees for student participation. Any program income generated using 21st CCLC resources and placed into a site's 21st CCLC account will be deducted from the grant award for that site per federal law.

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Compliance Expectations



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GRANT ACCOUNTABILITY

It is advised that Arizona's 21st CCLC grant funding recipients (grantees) become very familiar with the monitoring resources and guidance in this *21st CCLC Guidance Handbook (2020-2021) edition*. Some of the key resources important to 21st CCLC program administration are listed below and online at the ADE 21st CCLC website.

Note: The most current version of the *Nita M. Lowey 21st Century Community Learning Centers Title IV-B (21st CCLC) Guidance Handbook* is always available online at the 21st CCLC website at the top of the [Federal & State Regulations](#) page.

The 21st CCLC unit staff is committed to offering comprehensive service to grantees regarding the implementation of their grant. Each grantee is assigned to an ADE 21st CCLC Education Program Specialist for the duration of the 21st CCLC Grant. This highly qualified individual has direct experience with grants management. ADE 21st CCLC Education Program Specialists offer a system of technical assistance along with our system of accountability. Ultimately it is the responsibility of the sub-grantee to assure the greatest fidelity with the management of their approved 21st CCLC Grant as outlined in the General Statement of Assurance¹.

COMPLIANCE RESOURCES

- Federal Legislation, Regulations, and Guidance specific to 21st CCLC grant funding <http://www2.ed.gov/programs/21stcclc/legislation.html>
 - Approved 21st CCLC Grant Application for the site and related revisions / continuing renewal applications. (Contact your ADE 21st CCLC Education Program 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
 - ADE 21st 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 21st CCLC grant application
- Implement what is written in the original awarded grant
- Submit and follow the ADE General Statement of Assurance¹
- Follow the ADE Grant Management Business Rules
- Submit Audit Evaluation when required
- Keep proper records

¹ 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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- Keep relevant records organized for announced and unannounced site visits
- 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 hours requirements (academic/summer program)
- Meet the service days requirements (academic/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
- Provide intentional program planning through lesson plans and/or syllabi
- Student/Teacher ratio:
 - Academic - 10 enrolled students (6 actual students) to 1 teacher
 - Summer – 15 enrolled students to 1 teacher
- School leaders must notify ADE 21st CCLC of new 21st CCLC Program coordinators
- No Administrator as Site Coordinator (may be allowable in summer if administrator is not on contract)
- Site Coordinator must be present during Center Hours

Site Compliance Tool

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 and to the projected number of regular student attendees 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 being provided for the target population identified in the application.

2. Direct Family Services

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

3. Alignment to the School Day

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

4. Safe and Healthy Learning Environment

- a. A 21st 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, 21st CCLC site, and home have been established.



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- e. Afterschool snacks and summer meals are provided.

5. Equity and Access

- 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.

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 21st CCLC program through showcasing the program, enlisting new partners and/or partnering with alternatively funded programs.

9. Fiscal Record Keeping

- a. Expenditure reports that follow cost principles 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.

10. Required Training

- a. (NEW) 21st CCLC district director, the principal, and site coordinators new to grant leadership participated in the Grant Leadership Orientation (GLO) training to understand grant requirements and regulations.
- b. (NEW and CONTINUING) Principal and site coordinator(s) attended 21st CCLC annual conference to support the success and best practices of the 21st CCLC program. Any exceptions to this requirement must be approved in writing by ADE 21st CCLC program specialist assigned to the grantee.

11. Classroom Observation

12. Maintaining Substantial Compliance



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COMPLIANCE MONITORING

Monitoring may be conducted via **desktop** and/or **on-site** visits.

DESKTOP MONITORING

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

1. ADE 21st CCLC Education Program Specialists may request the following documents from the grantee at any time during the grant project:
 - Program At-A-Glance
 - Program Schedule
 - ✓ Must include current schedule of student and family engagement activities/classes, time of classes and days of the week
 - Expenditure documentation
 - Daily Class/Activity Attendance Form for each class
 - Student 21st CCLC Registration/Permission Form
 - Lesson Plan, Curriculum Overview and/or Syllabi
2. ADE 21st CCLC Education Program Specialists also review the following supporting documentation for evidence of compliance:
 - Original Awarded 21st CCLC Application
 - Annual Continuing (Renewal) Application
 - ADE Grants Management System (GME)
 - Annual Performance Report (APR)
 - After School Safety Plan
 - Site Evaluation Report
 - Student Attendance Reporting (AzEDS)
 - Summary of Classes Report
 - Site Visit Notes
 - Written Communication
 - 21st CCLC Leadership Professional Development documentation

SITE VISIT MONITORING

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

During a site visit, the ADE 21st CCLC Education Program 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) 21st CCLC sites
- Sites that are out of compliance
- As deemed necessary by the ADE 21st CCLC Education Program Specialist
- May be contacted upon request

Following the site visit, a 21st CCLC Compliance Report is completed and sent to 21st 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 21st 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**:

- 21st 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 and/or Syllabus for each class offered
- Monthly Detailed Expenditures Spreadsheet for the previous month from LEA/Site Business Department
- Purchase Orders/Receipts
- Documentation that the LEA's Human Resources hiring and volunteer screening procedures are followed, such as
 - Time Sheets, Time and Effort Logs, Daily Attendance Rosters for each Class/Activity (attached together with the Time Sheet as the cover)
 - Payroll records showing positions approved in approved budget are kept, organized and available on request.
 - Evidence that relevant Human Resources policies and procedures are followed.
- Fixed Assets (Capital Items) Log

Requested Program Contacts for the Site Visit

- 21st CCLC District Director (if applicable)
- Site Coordinator
- Site Principal

Suggested Program Contacts for the Site Visit

- Fiscal /Budget staff
- Partners
- Parents
- Evaluator

Healthy Food

Arizona's 21st CCLC snacks and meals are funded by USDA snack and meals reimbursements through the Arizona Department of Education's Office of Health and



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Nutrition. All 21st CCLC sites are responsible for offering students afterschool snacks and summer meals during the 21st 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.

SAFE & ACCESSIBLE LEARNING ENVIRONMENT

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

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:

Accessibility

Students are served in an easily accessible learning environment.

- Students with disabilities are served with appropriate accommodations in an easily accessible environment.

Healthy food

At a minimum, Arizona's 21st CCLC programs provide after school snack and summer meals. Sites are also highly encouraged to offer free breakfast and evening meals as part of their program.

- Arizona's 21st CCLC snacks and meals are funded by USDA child nutrition programs reimbursements through the Arizona Department of Education's Office of Health and Nutrition. 21st CCLC programs are responsible for applying for reimbursement through this program.
- All 21st CCLC sites are responsible for offering students healthy food during the program that meets the nutrition guidelines of the USDA.

Transportation Guidance

Programs must establish procedures for safe transportation of students between the 21st CCLC program school site (or an alternative program site if that is part of the program) and home. Programs must establish a plan for the transportation of grant participants that clearly demonstrates procedures as described in the Site original approved grant application.

- If program services are located in a facility other than the students' elementary school or secondary school, that part of the regular 21st CCLC program must be at least as available and accessible to the students to be served as if the program were located in the students' school.
- It is the fiduciary responsibility of the LEA to avoid supplanting with student transportation costs.
- Transportation cost billed to the 21st CCLC grant should not exceed 4% of the annual budget when deemed necessary.
- For any questions related to transportation, please communicate with your assigned ADE 21st CCLC Education Program Specialist.



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Transitions

Procedures must be established for safe transition of students, whether the transition is from the regular school day program to the 21st CCLC program, or if the transition is from one program activity area to another.

Safe and Easily Accessible Facility

21st CCLC program sites must provide assurance that the program is taking place in a safe and easily accessible facility. There should be established procedures for tracking students during the program hours and methods for parents/guardians to reach 21st CCLC staff during program hours. The site campus should be secured to ensure safety by such means as monitored or secured entrances and exits.

Evidence may include: Safety logs/plans; reports; original awarded 21st CCLC application; attendance records; fire, evacuation and lockdown drill records; sign-in and sign-out sheets and emails.

The site administrator and site program coordinator must jointly develop a plan of action for safety and communication relevant to their student needs and community.

- An example of an acceptable *21st CCLC Program Basic Emergency Plan* is found on the Federal & State Regulations page of the ADE 21st CCLC website [Safety and Healthy Environments](#) resources.
- All Sites are required to adopt and develop a 21st CCLC Program Basic Emergency Plan which must be in place prior to the start of the program in the fall.
- Visit the [Federal & State Regulations](#) page of the 21st CCLC website for additional information.

USE OF 21ST CCLC LOGO & LANGUAGE REQUIREMENT

All communication to the public about your 21st CCLC program, including media/news stories, and publications, such as parent letters, registration forms, brochures, flyers, newsletters, or any other electronic/print materials used for your 21st CCLC program, must include the Arizona 21st CCLC logo and language, found in the 21st 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 21st CCLC Grant Application for the site and related revisions / continuing (renewal) applications
<https://home.azed.gov/Portal/>
- The ADE 21st CCLC website at <http://www.azed.gov/21stcclc/> provides grantees with access to relevant guidance and support for grant success, highlighting the following areas of compliance and technical assistance:



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- Federal and State Regulations
- Required Reporting
- Professional Development
- Spotlight 21st CCLC
- 21st CCLC Resources Page
 - Academics
 - Youth Development
 - Family Engagement
 - Partnerships
 - Sustainability
 - Application Information
 - 21st CCLC Program Resources (examples of best practices, partnership and templates)
- Video Vault

SAMPLE FORMS

The 21st CCLC grant focuses on assisting our Arizona grantees in building and sustaining comprehensive afterschool programs. In order to continuously provide better assistance, fiscal and programmatic grant tools have been compiled and made available on the ADE 21st CCLC website. Templates and other sample forms can be downloaded from the ADE 21st CCLC website under the relevant topic area.

Some key examples of forms are found in the following areas:

1) [Federal & State Regulations](#) [*located on the right side of the 21st CCLC home page*]

- 21st CCLC Logo & Language Requirements
- Payroll/Attendance/Time & Effort Logs
- Time and Effort Reporting

2) [Required Reporting](#) [*located on the right side of the 21st CCLC home page*]

3) [21st CCLC Program Resources](#) link [*located at the bottom of the 21st CCLC home page*] has other helpful templates of forms in the following areas:

- Annual Verification Checklist
- Communication Resources
- Staffing Resources
- Structures and Program Design

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Fiscal Accountability



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FISCAL ACCOUNTABILITY

21st 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**. 21st CCLC funds may only be used to pay for authorized activities to meet the needs of participating students and their families. 21st CCLC grant funds are not allowed to be carried over from one fiscal year to the next.

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 21st 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

Approved state or federally funded projects may be revised to reflect changes in program objectives, line item allocations and additional monies (subject to program regulations). Revisions must be submitted to the Arizona Department of Education via ADE Connect. Revisions can be made throughout the fiscal year. The deadline for accepting revisions is set by the program area. See the 21st CCLC Website at <http://www.azed.gov/21stcclc/> for the current revision deadline. The 21st CCLC Team highly recommends that you start looking at revisions in the Spring of each fiscal year. Revisions can be fiscal or programmatic in nature, or a combination of both.

Two Types of Revisions

1. Fiscal
 - Move funds because of a late start to the 21st CCLC program (unused salaries and associated benefits)



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- Move funds to salary/benefits to start up a new mid-year class
 - Move funds to purchase capital items for a 21st CCLC approved class
 - Move funds to order more supplies for the 21st CCLC summer school program
 - Move funds to hire a retired teacher or other contractor to provide instructional services
 - Move leftover academic funds for 21st CCLC summer school programs
 - Move funds to a line item to balance the budget line for each of your function/object codes
 - Changing a detailed budgeted capital item or item description, even if the line item amount is unchanged
2. Programmatic
- Replace the assessment tool that is no longer being used in the original grant application
 - Modify project intent, focus, goal(s) or objective(s). Any modifications must still be within the 21st CCLC grant's overall purpose and have the pre-approval of your assigned Education Program Specialist

Tips for Successful Revisions

- Communicate with your assigned Education Program Specialist. He/she will be able to let you know if it is allowable and will provide tips for a successful revision
- Communicate with your organization's business office to find out where funds should be placed in the various budget codes
- Communicate clearly in the narrative descriptions in the ADE Connects System. You must provide a trail of where the funds came from and where they are going to in the revision
- Begin your revision with the revision date in the narrative description so it makes it easier to locate the most recent revisions during the review process. (Example: "Revision #1 10/01/20...")
- The revision language you provide in the narrative description section should include whether you are increasing or decreasing that line and by how much. And you should provide a very brief description of what the increase and decrease is for
- Submit all fiscal revisions PRIOR to incurring expenses to avoid an audit finding. Failure to maintain alignment with expenditures and the budget in the Grants Management System can result in the questionable costs needing to be paid back to the Federal Grant

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.



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- 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 21st 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 Costs

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). If a class attendance stays below 6 students for more than 6 consecutive days, then the class must be canceled and the students should be moved to other 21st CCLC classes.

Expenditures – Unallowable Costs

Some examples of **unallowable** expenditures are:

- District level expenses: not directly or clearly related to the program
- Entertainment: including field trips to places where the purpose of the trip is to reward students or provide amusement, social activities, or entertainment. Any field trip must have pre-approval from your assigned Education Program Specialist
- Food (exception – supplies for an ADE approved 21st CCLC cooking class – minimal cost)
- Incentives for students (plaques, t-shirts, trophies, 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
- Out of State Student Travel



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Generation of 21st CCLC Program Income IS NOT ALLOWABLE

- Generation of 21st CCLC program income is **NOT** allowed by ADE. This includes any program income, including charging fees for student participation.
 - ✓ Participant fees can result in exclusion. Even if scholarships are offered, or the fees seem nominal to program staff or leaders, some students or their families may not even apply to participate if they see or become aware of a fee for the program. As there is no way to prove that this type of exclusion is not happening, and it is the intent of the law to ensure that exclusion does not occur, ADE does **NOT** allow 21st CCLC participant fees.
 - ✓ Program income is defined as income generated using 21st CCLC resources which also includes program income from fundraising.

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 & Effort Reporting

The Federal Government requires any employee, funded by federal grants, must maintain documentation showing that their time is allocable to a federal program. 2CFR200.403(a). That documentation must be based on records accurately reflect that work performed. 2CFR200.430(i)

- The employee’s time must be documented in writing.
- The documentation should reflect the actual time spent by the employee on activities of the federal program(s) being charged.
- The period covered by the documentation may not exceed one month unless an approved substitute system is in place.
- The documentation should account for each employee’s time for the period covered (including state/local activities).
- The documentation must be signed by the employee and the employee’s supervisor. This requirement applies to all federal awards and sub-awards, including those received directly from the federal government, unless specifically exempted by the Office of Management and Budget (OMB)
- Employee timesheets should be filled out completely 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 supervisor (usually the site coordinator) and by the person authorizing payment, if a person different from the supervisor.



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21st CCLC Time and Efforts Reporting

Your ADE Education 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. If the time sheet 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.

- 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** 21st 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 Assets

An item should be coded as equipment if it is included in the examples listed on the *Capital Outlay Worksheet (C.O.W.)* in the Grants Management System or if it meets all three equipment criteria listed below:

1. Typically has a useful life of at least 1 year
2. Typically repaired rather than replaced when worn or damaged
3. “An independent unit that retains its original shape, appearance, and character with use and does not lose its identity through fabrication or incorporation into different or more complex substances”

All 3 tests must apply for districts to use the Capital Outlay codes in the Grants Management System. The Capital Outlay Codes are: 6731-6739

Disclaimer for Charter Schools: Charters will use 6600 or 0190 depending on the unit cost. Contact your business office for additional guidance.

To avoid supplanting, fixed assets purchased with 21st CCLC funds may only be used outside of the regular school day, unless the assets are purchased on a cost shared basis proportional to the amount of use during whole day. Each program site should tag items purchased from 21st CCLC funding as “21st CCLC program property”, and should keep a Fixed Assets Log meeting the following guidelines:



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- Each 21st CCLC site should prepare a detailed listing of these fixed assets that includes all equipment purchased for 21st CCLC use such as computers, printers, and similar items that pass all 3 tests mentioned above
- The Fixed Assets Log should include the date logged, date purchased, item name/description, cost, property identification tag, and location (see the example below)
- Fixed Assets Logs are kept for 21st 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

Note: The purpose of a Fixed Assets Log is to track the location and use of equipment used in the 21st CCLC Program. The Capital Outlay Worksheet (C.O.W.) is required when an LEA budgets in the capital codes within the Funding Application in the Grants Management System.

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

21st 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: 11/11/20 | 10/8/20 | Item name (Brand name and model) | \$731.00 | See below Item #001 (2020) | English/Yearbook room locked supply storage |
| | | | | | |
| | | Add additional rows as needed | | | |
| | | | | | |

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

Property Tag Example:

Property of the 21st CCLC
Afterschool Program
Item #001 (2020)

Logs are kept for 21st 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.



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GRANTS MANAGEMENT ENTERPRISE (GME) ADE CONNECT SYSTEM

Through ADE's online Grants Management system, 21st CCLC grantees will submit the following:

Revisions (both fiscal and programmatic) – ongoing

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.

Reimbursement Requests – monthly

The Arizona Department of Education (ADE) Grants Management staff review and approve Reimbursement Requests (RR) from fiscal agents/LEAs for reimbursement of grant expenditures.

All questions about Reimbursement Requests from grantees should go to the Grants Management Staff. Grants Management staff can be reached by email at grants@azed.gov or by calling their hotline:

Grants Management Hotline - 602.542.3901

Technical Support and Training Assistance - Option 1

Fiscal Questions (CRs and RRs) - Option 2

Fiscal Monitoring - Option 3

Common FAQ's about Reimbursement Request

Q: If my Reimbursement is over 10% of the allocation what do I need to do?

A: A justification as to why the request is over 10% of the allocation will be required for the approval. The justification should be placed in the History Log upon submission of the reimbursement.

Q: If my reimbursement is over 20% of the allocation what do I need to do?

A: A justification as to why the request is over 20% of the allocation and expenditure documentation will be required for the approval. The justification should be placed in the History Log upon submission of the reimbursement. Expenditure documentation needs to be uploaded as a related document in the reimbursement request. The expenditure documentation should indicate the time frame in which the expenditures occurred and the types of expenditures. Examples of the expenditure documents includes: invoices for expenditures or financial reports from Accounting Systems, such as Visions, QuickBooks, etc.

Q: What do I do if I have expenditures that occurred prior to the Project Begin Date?

A: Expenditures prior to the Project Begin Date are not permitted for any grants.



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Reimbursement Request Deadline

All Reimbursement Requests must be submitted and approved PRIOR to the project end date. Reimbursement Request deadlines will be set, as applicable, based on ADE/ADOA accounting requirements for the fiscal year and/or project end dates. It is usually 5-10 business days before the end of the fiscal year.

Completion Report - yearly

The Arizona Department of Education (ADE) Grants Management staff review and approve Completion Reports (CR) from fiscal agents/LEAs for reimbursement of grant expenditures as a final accounting for actual expenditures after the end of the fiscal year.

All 21st CCLC grantees' fiscal officers are highly recommended to submit an annual Completion Report on the actual expenditures for the grant within 60 days of the project fiscal end date to allow time for processing. Completion Reports are due within 90 days of the project fiscal end date. (The 21st CCLC grant is on a July 1 – June 30 fiscal year.)

LEAs can reach the Grants Management Team by email at grants@azed.gov or by calling the hotline:

Grants Management Hotline - 602.542.3901

Technical Support and Training Assistance - Option 1

Fiscal Questions (CRs and RRs) - Option 2

Fiscal Monitoring - Option 3

Continuing (Renewal) Application - yearly

Continuing Applications are submitted for 21st CCLC programs that will be entering Year 2 and Year 3 of their grant. Renewal applications may be submitted in Year 4 and Year 5 of the grant if the applicant maintained substantial compliance in the previous award years. (See Substantial Compliance under the Maintaining Compliance section below for further explanation). Grantees submit a projected budget for the next fiscal year. Renewal of 21st CCLC funding each year of the grant is contingent on maintaining substantial compliance with all requirements of the grant. The Word version of the 21st Century Community Learning Centers Continuing/ Renewal Application and guidance will be available in the Required Reporting section of the 21st CCLC website in the beginning of February and will be available for submission online in the ADE Connect system on March 1, each year. Application guidance will also be available at that time. Contact your assigned Education Program Specialist with questions.

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)



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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
- 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/>

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Frameworks



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21ST CCLC FRAMEWORKS

ACADEMICS

ESSA, the authorizing statute, provides *Measures of Effectiveness* to guide 21st CCLC grantees in identifying and implementing programs and activities that can directly enhance student learning. (The *Measures of Effectiveness* can be found on the [ADE 21st CCLC website](http://www.azed.gov/21stcclc/) at <http://www.azed.gov/21stcclc/> in the Application Resources section under “Grant Application Recommended Resources.”)

Arizona’s 21st CCLC grantees must provide academic enrichment activities to students in high-poverty schools to help them meet State and local standards in the core content areas of reading/literacy and math. Arizona’s 21st CCLC programs also provide Science, Technology, Engineering and Math (STEM) opportunities for their students. These activities must

- Address the needs of the schools and communities
- Be continuously evaluated using performance measures
- When appropriate – be implemented using evidence-based research
- Complement the students’ regular academic program
- Focus services on academic enrichment opportunities for students and families

Arizona’s 21st CCLC grant applications are strategically written to contain objectives related to student’s academic needs. 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).

Areas measured by grant outcome objectives should include 1) Academic- Math, reading, language arts, and literacy measured through benchmark/formative testing, 2) Youth Development and 3) Family Engagement designed to support growth in adult family members’ understanding/ knowledge of how to help their child succeed.

Arizona’s grantees must report on grant objectives for student participants’ movement in at least two academic improvement indicators.

- One objective must be math related
- One objective must be reading/literacy related
- If a third objective is submitted, it can be math, reading, or another academic area

Activities must support achievement of these grant specific objectives, and support students that are struggling to meet the challenging state academic standards in core content areas, utilizing evidence-based research to develop and implement activities and curriculum.

Summer Programs

All Arizona 21st CCLC programs must offer summer programs as indicated in the direct student services operational requirements of the 21st CCLC grant application.



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Successful academic programs:

- ✓ Are based on the needs of the students through assessments, surveys, teacher/family input
- ✓ Use an evidence-based curriculum
- ✓ Include students/families/school day staff in the planning process
- ✓ Work with school day goals to continue intentional learning
- ✓ Provide hands-on engaging learning opportunities
- ✓ Incorporate Project-Based Learning, small group settings, and youth voice
- ✓ Include a calendar in advance for students/families to prepare for services/opportunities (when possible)
- ✓ Ensure that the program structure promotes time on task, and uses strategies to encourage attendance (including in-person, phone calls, letters, student made invitations, etc.)

Also see the Academics page of the 21st CCLC website at
<http://www.azed.gov/21stcclc/academics/>

YOUTH DEVELOPMENT

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' movement in at least one youth development indicator. Support for youth development should be incorporated into all student classes and activities. Additionally, some activities may be designed specifically to support youth development and leadership.

Also see the Youth Development page of the 21st CCLC website at
<http://www.azed.gov/21stcclc/youth-development/>

FAMILY ENGAGEMENT

Arizona's 21st CCLC program will report how many Adult Family Members participated in Family Engagement/Family Literacy and Related Services on state and federal reports. Family members may include parents, grandparents, foster parents, guardians, and other adults serving in a supportive role of a 21st CCLC participant.

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 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.



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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);
- ✓ Provide ample invites and reminders of activity offerings, inclusive of a variety of sources (i.e. in-person, phone calls, letters, student made invitations, etc.)
- ✓ Be the culture of the campus.

Also see the Family Engagement page of the 21st CCLC website at <http://www.azed.gov/21stcclc/family-engagement/>

PARTNERSHIPS

The Arizona Department of Education 21st CCLC team is deeply committed to the power of quality after school programming for Arizona students. We encourage sites to consider additional strategies, such as involving adult family members, appropriately screened volunteers, and community organizations to help support student and family programs.

Identifying Potential Partners

A 21st CCLC partner is considered a person, place or just about anything in between. Various partnerships created provide benefits for the youth served in the site's local community. When a site is looking to identify a partnership, there are many things to take into consideration.

- Partnerships that leverage local resources
- Asset mapping or assessing gaps that partnerships can provide for
- Provide opportunities that your community might not otherwise have be able to offer your students

Where can 21st CCLC programs find supporting partnerships?

- Form A – the Participant's Verification Form

Each 21st CCLC subgrantee's original application included Form A – the Participant's Verification Form. These listed partners are a good place to begin building a community of support. Partners signing Form A agreed to providing 21st Century Community Learning Centers (CCLC) program educational and related activities that will complement and enhance students' academic performance and achievement.



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- The ADE 21st CCLC [Program Resources](#) page of the website offers many suggestions for partnership opportunities, and other ways to strengthen 21st CCLC programs, in particular:
 - The Community as Partner tab contains the [External Organizations List](#)
 - The Organizational Resources tab contains links to many State and National resources

Note: ADE's inclusion of an organization on Arizona's eligible provider list is not an endorsement of the organization, nor is it a certification or verification of the quality of activities provided by the organization.

SUSTAINABILITY

21st CCLC programs should be designed to build a sustainable model which can support continuation of programming and supports for students into the future.

The Arizona field has described sustainability as the ability to continue practices, projects or activities because structures and systems have been built during the course of the 21st CCLC program to:

- secure resources/knowledge base to continue services
- introduction of new/more effective methods of learning and instruction that are incorporated into the school day
- connect with and secure ongoing involvement of stakeholders
- create mutually beneficial relationships
- showcase quality programs and services

Sustainability can include internal and external partnerships that will collaborate to provide youth and families in their communities with opportunities beyond the duration of the 21st CCLC grant funding.

Sustainability Planning:

- Determine which program activities should continue
- Connect the operating costs of those activities to a funding strategy
- Bring together data, resources, and strategies to guide your efforts as you progress

*Georgia Health Policy Center
Bringing the Future into Focus, 2011*

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Maintaining Compliance

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MAINTAINING COMPLIANCE

The information contained in the *21st CCLC Guidance Handbook* provides a useful reference for 21st 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 providing guidance and regulations governing management of these federal funds are provided on the Arizona Department and Federal Department of Education’s websites.

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 21st CCLC Grant may require other remedies legally available to the Arizona Department of Education.

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 RISK LEVELS

| |
|---------------------------------------|
| I. No Apparent Risk |
| II. Low Risk/ Warning |
| III. Moderate Risk/ Out of Compliance |
| IV. High Risk/Out of Compliance |

I. No Apparent Risk

Grantees demonstrate 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 their issues.

II. Low Risk/Warning

Grantees demonstrate practices that may interfere with effective administration of the grant or quality of services provided. These include areas of non-compliance with state or federal program guidelines or requirements. Low risks must be addressed; if left unaddressed, over time, are likely to become moderate to high risks. Grantees that demonstrate evidence of failing to meet any single requirement are subject to a “Warning” status. Grantees will be provided with written communication including a timeline to resolve the issue.

Site with new grantee leadership or change in conditions places a site into an automatic low risk category. The transition may warrant additional technical assistance and



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required professional development. A multitude of resources and tools exist and are available to assist grantees with establishing processes to meet program requirements.

III. Moderate Risk/Out of Compliance

Grantees demonstrate practices a lack of capacity to manage the grant or to perform according to their contractual obligations as required in the approved grant application and the General Statement of Assurances submitted to ADE. Grantees will be found “Out of Compliance.”

1. Grantees Out of Compliance with grant requirements will receive a Corrective Action letter and/or Special Grant Award Conditions letter in ADE Grants Management. Grantees will be notified in writing of issues needing resolution. This includes 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 to discuss the issues and their potential resolution.
3. Monitoring 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:
 - Require the grantee to submit a Corrective Action Plan
 - Schedule in-person or via telephone conference
 - Require grant leaders visit another successful 21st CCLC program site
 - Monitor site continuously, which may include an audit of program and/or fiscal records depending on the identified issues
 - Scheduled meeting with District leaders or other ADE staff
 - Request additional documentation
 - Withhold funds until evidence of acceptable performance
 - Reduce funds with or without conditions
 - Require site staff to attend additional professional development as warranted by their ADE 21st CCLC Education Program Specialist

IV. High Risk/Out of Compliance

Grantees demonstrate practices failing to manage the grant or perform according to their contractual obligations as required in the approved grant application and General Statement of Assurances submitted to ADE by grantees will be found “High Risk/Out of Compliance.” Once a grantee enters “High Risk” status, it may become necessary to hold funds until any critical issues are resolved. The ADE 21st CCLC Education Program Specialist assigned to the grantee will utilize all data available to make a decision regarding the reduction or termination of funds in accordance with the federal and state guidelines. This data includes but is not limited to: Communications 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 reviews. Communication will be noted in ADE Grants Management.

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Serious issues which may include situations that are dangerous, harmful or involve abuse of grant funds may have the grant award immediately terminated without implementing prior steps.

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 21st Education Program Specialist will assist with this process.

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.

SERVICES 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.*

21st 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 and offer the number of days promised in their original awarded application. However, in recognition that programs may initially need time to implement programming and build the “Out of School time” culture 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% |

SUBSTANTIAL COMPLIANCE (Maintaining Funding for the 5 year Duration)

Substantial Compliance is defined as compliance with the substantial or essential requirements of the 21st 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.



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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 assist 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).

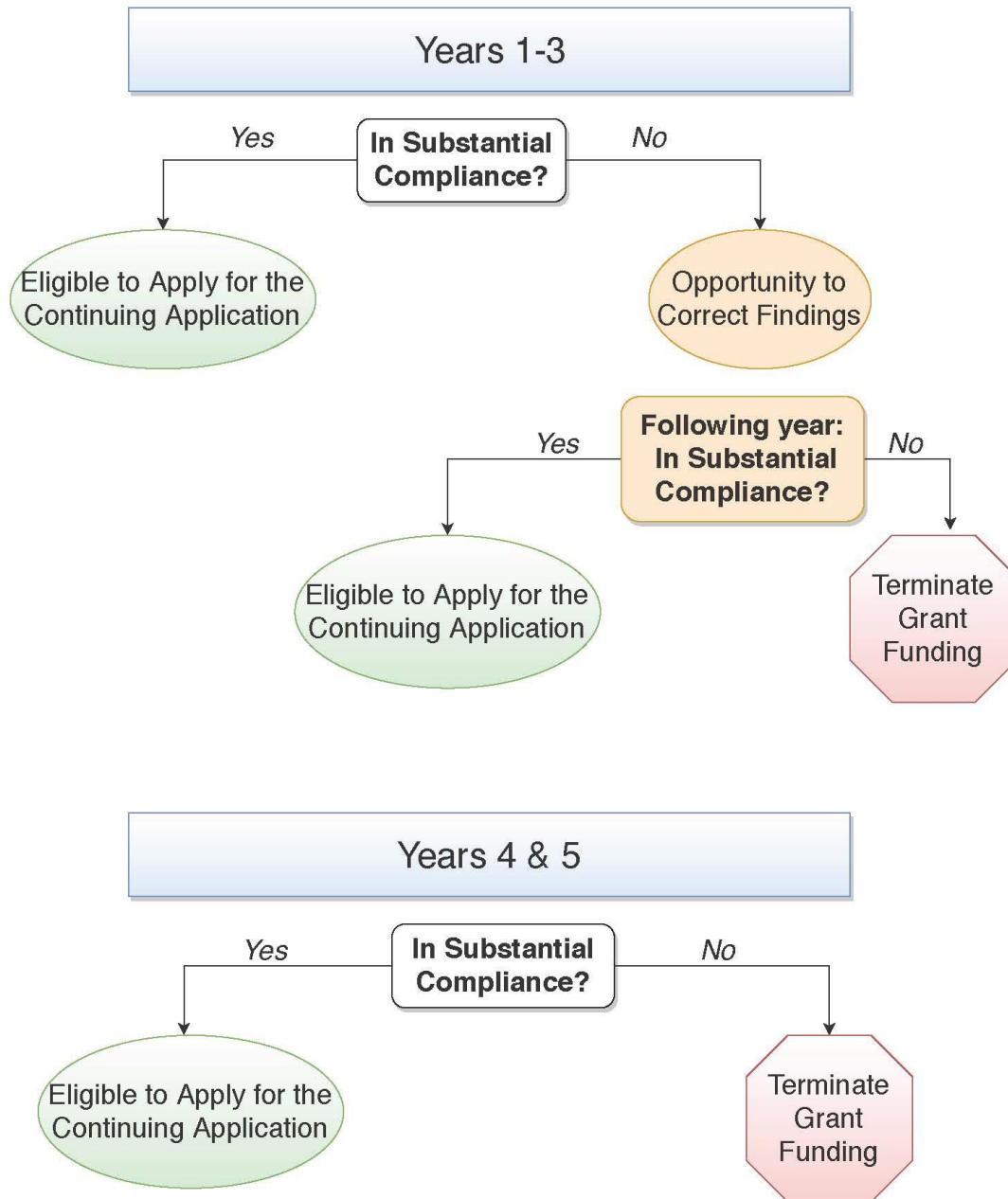
- If a Year 1-3 site is Out of Compliance and does not achieve Substantial Compliance by the end of the following year (the second year in a row), this demonstrates that the site doesn't have capacity to manage the grant program, and the site may either self-terminate or not qualify for the next year's 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 an "Out of Compliance" category, the grantee will not be approved for continued funding in the Renewal Years 4 or 5 of that 5-year grant cycle.

Substantial Compliance Illustration Flow Chart on the next page.

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Substantial Compliance





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OBLIGATIONS ON CLOSING OUT THE GRANT

Grantees are responsible for the closure of 21st CCLC programs at the end of their last year of grant award (usually at the end of five years). Grant leaders should be aware of the following:

Official Records: Federal grant programs must maintain official records for five years for possible audit purposes. Grant leaders must ensure that their LEA/fiscal agent assists in archiving documents properly (such as attendance, time and effort, and timesheets) because the LEA will provide assistance with archiving crucial program documentation according to the latest requirements. Official guidance regarding maintenance of documentation for federal grants can be found at Arizona State Library, Archives & Public Records link at www.azlibrary.gov/arm/retention-schedules.

Program Supplies: ADE allows the school site whose students were the recipients of the 21st CCLC program services to keep any capital items and instructional supplies that were purchased through 21st CCLC funding. The intent is to continue support of site participants.

Required Reporting: It is necessary to complete the last year of the site's 21st CCLC grant program with all reports submitted on time. This ensures the LEA/fiscal agent remains in good standing with ADE. Grantees in the last year do not complete a continuing (renewal) application. **However, the following annual reports must also be submitted in the last year of the grant:**

- APR
- Summary of Classes
- Site Evaluation*
- Annual Verification Checklist
- Student Attendance Reported online in AzEDS through the school's Student Information System (SIS) for the last year of your 21st CCLC grant

The ADE 21st CCLC website [Required Reporting](#) page maintains ALL of the current reporting templates and guidance for your review.

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Professional Development



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PROFESSIONAL DEVELOPMENT

The ADE 21st CCLC unit is dedicated to providing Professional Development (PD) opportunities to support the growth and development of successful 21st CCLC programs throughout the duration of their award.

ADE 21st CCLC Annual Professional Development Requirements:

All (NEW and CONTINUING) Principal(s) and Site Coordinator(s) are required to attend the **21st CCLC Annual Leadership Conference** to support the success and best practices of the 21st CCLC program.

Additionally, all (NEW) 21st CCLC District director(s), Principal(s), and Site Coordinator(s) participate in the 21st CCLC Grant Leadership Orientation (GLO)* training to understand grant requirements and regulations. This orientation may be provided through online modules, webinars, or through sessions at the 21st CCLC Annual Leadership Conference.

Exceptions to the professional development requirements stated above must be approved by the ADE 21st CCLC Education Program Specialist assigned to the grantee. Specialists may require and/or recommend that grant leaders attend additional specific PD opportunities. PD serves as an important source of technical assistance for grantees.

Professional Development

Information on current year PD will be provided by your ADE 21st CCLC Education Program Specialist. Our website shares State and National PD opportunities under the *Professional Development* tab: <https://www.azed.gov/21stcclc/trainings-professional-development/>

ADE 21st CCLC Annual Leadership Conference

This annual conference offers 21st CCLC grant leaders a full day of PD designed to inform, train, and support them in their leadership roles. Attendance at this conference is a compliance requirement for grantees. Previous sessions have included:

- Safety Planning
- Family Engagement
- Program Sustainability
- STEM in Afterschool

The conference familiarizes participants with key resources needed to do their job successfully:

- Assigned ADE Education Program Specialist
- 21st CCLC Guidance Handbook
- Arizona's 21st CCLC Website (<https://www.azed.gov/21stcclc/>)

ADE 21st CCLC Grantee Leadership Orientation (GLO)

All (NEW) 21st CCLC District director(s), Principal(s), and Site Coordinator(s) participate in the GLO training to understand grant requirements and regulations. This orientation may be



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provided through online modules, webinars, or through sessions at the 21st CCLC Annual Leadership Conference.

The Grant Leadership Orientation (GLO) introduces *new leaders* to:

- ADE/State and Federal compliance regulations;
- ADE/State provided support and compliance monitoring;
- Assurances, policies, reporting, and data collection;
- Budgets and Grants Management Enterprise (GME)

This training provides 21st CCLC leaders with information for successful grant implementation and effective management.

ADE 21st CCLC Networking Meetings

Networking meetings are offered throughout the year in different regional locations in Arizona. Participants have an opportunity to visit a 21st CCLC site that are on target in meeting their goals and objectives. Host site staff highlight best practices and the model of programming working at their afterschool program. These meetings provide a valuable opportunity for program staff and leaders to grow their network, facilitate connections among grantees, and widen the lens of 21st CCLC best practices.

ADE 21st CCLC Reporting 101 (online and/or in-person)

This training is designed for grant leaders responsible for completing programmatic reports for their 21st CCLC program. Reporting 101 covers the following annual required reports:

- Site Evaluation Report
- Summary of Classes Report
- Annual Performance Report (APR)
- Continuing Application

The collection of student level attendance through the site's Student Information System will also be addressed. Attendees will leave understanding reporting requirements and how to use their site data to share their program's story with stakeholders.

You for Youth (Y4Y)

Y4Y is the online professional learning technical assistance portal for all 21st CCLC grants provided by the U.S. Department of Education. Relevant and meaningful information for State Coordinators, Site Coordinators, and 21st CCLC Practitioners is available at

<https://y4y.ed.gov/>

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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 21st 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) – 3 times per year

The US Education Department (ED) requires all 21st 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 21st CCLC REPORTS

21st CCLC Site Evaluation Report – yearly

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.

21st CCLC Student Attendance Reporting – at least weekly

21st 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.

21st CCLC Summary of Classes Report – 2 times per year

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 21st 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, 21st CCLC grantees will submit the following:

Grant Application Revisions – *as needed*

Revisions (both budgetary and programmatic) are allowable as needed throughout the duration of the grant. Revisions must be approved by ADE prior to any change in expenditure of funds. Revisions must honor the integrity and intent of the original awarded grant proposal. Contact your ADE 21st CCLC Education Program Specialist for additional technical assistance.

Reimbursement Requests – *at least monthly*

Because the 21st CCLC grant is awarded on a cost reimbursement basis, grantees' fiscal agents must submit Reimbursement Requests on a regular basis based on expenditures. For additional technical assistance the Grants Management Team can be reached by email at grants@azed.gov or by calling the Grants Management Hotline at: (602) 542-3901 – *Option 2 for Fiscal Questions (CRs and RRs)*

Completion Report – *yearly*

Fiscal offices also complete an annual Completion Report within 90 days of the project fiscal end date, showing a final accounting of actual expenditures during the fiscal year. All 21st CCLC grantees' fiscal officers are highly recommended to submit an annual Completion Report on the actual expenditures for the grant within 60 days of the project fiscal end date. 21st CCLC funds are not allowed to be carried over from one fiscal year to the next. The 21st CCLC grant is on a July 1 – June 30 fiscal year. For additional technical assistance the Grants Management Team can be reached by email at grants@azed.gov or by calling the Grants Management Hotline at: (602) 542-3901 – *Option 2 for Fiscal Questions (CRs and RRs)*

Continuing (Renewal) Application – *yearly*

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

- Programs will submit the full projected budget for the next fiscal year. This may include budgetary changes but must honor the integrity and intent of the original awarded grant proposal.
- 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 (Renewal) Application. This can include programmatic changes but, again, these must honor the integrity of the original awarded grant proposal.
- Recommendation: Check with your ADE 21st CCLC Education Program 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



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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 21st 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 at
<http://www.azed.gov/grants-management/>
phone (602) 542-3901 or email at Grants@azed.gov
- ADE 21st CCLC website Required Reports page at
<http://www.azed.gov/21stcclc/required-reporting/>

Nita M. Lowey 21st CCLC

Guidance Handbook

Fiscal Year 2021 Edition

Authorizing Legislation



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Authorizing Legislation Governing the 21st CCLC in the Every Student Succeeds Act

PART B— Nita M. Lowey 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— Nita M. Lowey 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 during the school day; and

“(B) offers families of students served by such center opportunities for active and meaningful engagement in



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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 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.



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"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

"(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



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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 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



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- 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 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

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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.

“(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



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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) 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



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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;

“(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

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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

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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 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.



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“(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 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, 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.”.

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

Arizona State Plan, pages 61-66

G. Title IV, Part B: 21st Century Community Learning Centers

1. *Use of Funds (ESEA section 4203(a)(2)): Describe how the SEA will use funds received under the 21st 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 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,



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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.

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



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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 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 21st 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,



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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. 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.



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- 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
- 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,



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enrichment, youth development and related youth programs is selected to participate. No 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.

Nita M. Lowey 21st CCLC

Guidance Handbook

Fiscal Year 2021 Edition

About Us

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

About Us

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| <p>Arizona Department of Education 21st CCLC Unit 400 West Congress Street, Bin #33 Tucson, AZ 85701 Phone: 520-638-4294 E-mail: 21stCCLCInbox@azed.gov</p> | <p>Unit Staff Catherine Evilsizor, DAS Doreen Candelaria Dawn Fitzhugh Lisa Kluge Ray Gee Kim Logan Rita Miller Emma Chávez Trish Zilliox 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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For more information visit:
<https://www.azed.gov/21stcclc/>

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