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June 29, 2011

Mr. Bryan Keohane
U.S. Department of Education
400 Maryland Avenue, SW
FB6, Room 3E238
Washington, DC 20202

Dear Mr. Keohane:

Please accept the 21st Century Community Learning Centers FY 2011 Program Update for New York State. The information herein describes changes and revisions made to the original 2002 State plan, and documents how such changes and revisions fall within the scope of the approved State plan while meeting the statutory purposes of the 21st Century Community Learning Centers program.

The updated State plan has been reviewed by the New York State Afterschool Network, which serves as the statewide advisory committee for the 21st Century Community Learning Centers program, as well as Senior Management at the State Education Department.

New York State is committed to offering high quality expanded learning opportunities such as 21st Century Community Learning Centers to students across the state, in order for them to achieve academic success and be college and career ready when they graduate.

Sincerely,

Kenneth G. Slentz

NEW YORK STATE PLAN FOR 21ST CCLC June 2011

PROGRAM INFORMATION

States are asked to update State plans with respect to the 21st CCLC program. Please describe (1) any changes or revisions made to your State's original State plan with respect to the 21st CCLC program; (2) how such changes or revisions fall within the scope and objectives of the approved State plan and your State's 21st CCLC program; and (3) how such changes or revisions meet the statutory purposes of the 21st CCLC program.

When the New York State Education Department (NYSED) prepared its initial State Plan in 2002, a broad range of stakeholders were convened to participate in the discussions around the implementation of NYSED's administration of the 21st Century Community Learning Centers program. NYSED initially established a statewide advisory committee of key stakeholders that went on to become the New York State Afterschool Network (NYSAN). NYSAN serves as the federally required advisory body for NYSED's 21st CCLC program and has had an active role in updating the 2002 State Plan to reflect the current administrative activities.

Changes that have occurred since the approval of the 2002 State Plan pertain to competitive priorities for program funding applicants, the process for the peer review of applications for funding, the establishment of the New York State Afterschool Network and adjustments in the provision of technical assistance and professional development for subgrantees. These changes are described below.

Section 1.6 of the 2002 State Plan indicated that the practice of having two lists of fundable programs was also eliminated: one for those that would serve SINI schools and one for those that would not. The list of SINI schools would be funded first. Two lists resulted in some very high quality proposals to serve non-SINI schools that had little chance of being funded while lower quality proposals to serve SINI schools were funded first. In 2009, NYSED established just one list of fundable programs for each geographic area. Priority points were awarded to the final average scores of fundable programs to ensure priority to schools that had been designated as Schools in Need of Improvement (SINI): six priority points to applications that would serve middle-level and high school students in SINI schools, and four priority points to applications that would serve elementary students in SINI schools. High-scoring applications without SINI priority still had a chance to be funded. As a result, nine high-scoring applications that did not serve SINI schools were funded.

Section 1.8 of the 2002 State Plan described the regional information sessions conducted for potential applicants for program funding. In 2009 to conserve staff time and travel dollars, regional information sessions were not conducted. Instead, NYSED produced a narrated PowerPoint presentation (Appendix 1) that was posted

on the web site and available to any one at any time. Feedback on this resource was quite positive. In addition, NYSED created an email address to receive and respond to questions specific to the 21st Century program and the application. The email address is still active as a technical assistance tool to grantees and others who are interested in the program.

Section 1.8 of the 2002 State Plan addressed the procedures for evaluating applications for funding. NYSED has conducted a peer review for all five funding competitions. NYSED selected reviewers through an application process that collected information about their professional and educational experience, experience in after school programming, geographic area of the state and other relevant factors. Peer reviewers were grouped in teams of three that reflect diversity in their backgrounds and constituency groups. Reviewers were informed of the proposals they would review and were required to sign a statement of "No Conflict of Interest." Any proposal that presented a possible conflict of interest was reassigned to a different team. Reviewers were also required to sign a statement pledging confidentiality. Each proposal was then rated by a team of three peer reviewers.

The first four peer reviews involved NYSED convening the reviewers at a centralized site for a period of three to five days to complete the reviews. NYSED conducted a training session for the reviewers at the beginning. The fifth peer review conducted in 2009 was handled electronically. Reviewers were selected in the same manner as before. Preparation materials were sent to each reviewer in advance. Each reviewer had a computer password to access the applications he or she was to review. NYSED staff was available to assist the reviewers by phone and email throughout the process. Reviewers submitted their scores electronically to NYSED. NYSED staff compiled the scores and determined which applications could be funded.

Section 2.2 of the 2002 State Plan addressed technical assistance, training, evaluation and dissemination of promising practices. NYSED did not engage the National Center for Community Education to provide training as indicated in the 2002 State Plan. Until 2010 training was provided at statewide and regional events conducted by the New York 21st Century Statewide Technical Assistance Center and the New York Regional Student Support Services Network Centers, respectively, to build the capacity of 21st Century programs to improve the outcomes for participating students. The training included topics identified in the 2002 Plan: effective management, staff development, collaboration, programming, integration with the school day, evaluation, sustainability, communication and effective practices in after school programming.

The New York Regional Student Support Services Network Centers were discontinued in 2010 requiring NYSED to develop other ways to provide ongoing technical assistance and professional development to the grantees. The 21st Century Statewide Technical Assistance Center has increased its efforts to assist the grantees by providing regional professional development and making technical assistance site visits. NYSED has also conducted regional sessions. NYSED staff is available daily to provide assistance through phone calls and e-mail. In addition,

New York State Afterschool Network has been a valuable resource to the 21st CCLC programs as its regional networks continue to gain momentum and promote quality after school programs.

NYSED established a Statewide Advisory Group as required by NCLB to advise NYSED on 21st CCLC program issues. This group of after school program providers collaboratively applied for and received funding from the C. S. Mott Foundation to establish the New York State Afterschool Network (NYSAN). See <http://www.nysan.org/>. NYSAN is a public-private partnership of organizations throughout the State dedicated to increasing the quality and availability of after school programs. NYSAN actively partners with NYSED in planning and implementing its out-of-school time programs. Over the past two years NYSED participated in NYSAN's RFP Task Force that worked to identify common requirements that could be consistent across all RFPs. NYSED, the NYS Office of Children and Family Services and other NYSAN member organizations also collaborated to map the availability of after school programs in local neighborhoods across the State. In this way, State agencies may be able to target higher need areas to be served by programs funded through their RFPs.

NYSAN defines "after school" broadly to include all programs that provide support for young people's intellectual, social, emotional and physical development outside the traditional school day, including programs that serve youth in kindergarten through 12th grade, take place in schools and in community-based settings, and occur both before and after school, and during weekends, holidays and summer breaks.

NYSAN facilitates connections among a broad range of state, regional and local partners representing afterschool program providers, youth, parents, public agencies, advocates, funders, evaluators, technical assistance and training providers, policymakers, businesses, researchers and community leaders.

SECTION A: GENERAL REQUIREMENTS

A.1 Section 4202(c) of the ESEA requires each State to reserve not less than 95 percent of its 21st CCLC funds to make subgrants, not more than two (2) percent for state administration activities, and not more than three (3) percent for State activities (20 U.S.C. 7172(c)).

Ninety-five percent of all 21st Century funds received by NYSED are awarded to local 21st CCLC programs. NYSED consolidates funds from various sources in order to maximize the use of the two percent of federal funds for administrative costs. NYSED also uses the two percent to support 2.2 FTE professional staff assigned to the 21st CCLC program and costs associated with the peer review of applications for funding 21st CCLC programs.

NYSED uses an on-line system called CAFE for tracking budgets and expenditures of grants and contracts awarded by the Department. All grantees and contractors have unique payee identification numbers to ensure accurate accounting.

As a prime grant awardee, the NYSED complies with the requirements of the Federal Funding Accountability and Transparency Act by reporting subgrants greater than or equal to \$25,000 awarded from all Federal grants greater than or equal to \$25,000. Monthly reports will be submitted through FSRs.gov by the end of the month following the month in which NYSED awards any sub grant greater than or equal to \$25,000. If any initial sub grant is below \$25,000 but subsequent modifications result in a total of \$25,000 or greater, the sub grant will be reported as of the date the sub grant exceeds \$25,000. If any initial sub grant is \$25,000 or greater but funding is thereafter deobligated to an amount \$25,000, NYSED will continue to report that sub grant.

NYSED also tracks the need for and conduct of A-133 audits. NYSED places a hold on payments to any grantee/contractor until it complies with the A-133 audit requirement.

NYSED's Office of Audit Services conducts audits of any program that has presented significant noncompliance or risk factors for noncompliance with fiscal requirements.

NYSED takes very seriously any allegations or complaints received directly from the field or referred by other government offices concerning programmatic or fiscal aspects of 21st CCLC programs. NYSED gathers available background information, contacts the local program and conducts an audit if needed. NYSED then takes the steps necessary to resolve the issues in question.

A.2 Section 4202(c)(3) of the ESEA states that each State monitor and evaluate the programs and activities; provide capacity building, training, and technical assistance; conduct a comprehensive evaluation (directly, or through a grant or contract) of the effectiveness of programs and activities; and provide training and technical assistance to eligible entities who are applicants for or recipients of awards. (*Federal Register: Volume 67, Number 99 (Appendix B: State Activities to Implement ESEA Programs)*)

Monitor and evaluate programs and activities

Staff conduct monitoring site visits throughout each year to programs that exhibit the highest risk factors (e.g., programs that receive large grant awards and programs that have had difficulty in implementing their programs or managing their grant funds) A standardized monitoring protocol (Appendix 2) that integrates the ten essential elements of effective after school programs is used for each visit. The elements, as identified in the New York State Afterschool Network (NYSAN) Program Quality Self-Assessment Tool (available at www.nysan.org), include

Environment and Climate
Administration and Organization

Relationships
Staffing and Professional Development
Programming and Activities.
Linkages Between the School Day and After School Programs
Youth Participation and Engagement
Parent, Family and Community Partnerships
Program Sustainability and Growth Measuring Outcomes and
Evaluation

NYSED staff also conducts telephone monitoring of programs in order to increase program oversight. A phone monitoring protocol (Appendix 3) is used to ensure consistency.

Provide capacity building, training and technical assistance

Capacity building and training activities are conducted for all grantees primarily by the NYSED Statewide 21st Century Technical Assistance Center (TAC), in collaboration with NYSED, as one- and two-day regional professional development events two times each year. Topics include integration of the State Common Core Standards in program activities, working with the program's independent evaluator, completion of the federal APR, use of the NYSAN Quality Self-Assessment Tool (QSA), fiscal reporting and submissions, sharing effective practices including successful family literacy initiatives, and other topics selected based on grantee surveys and the NYSED Mid-Year Report. During the 2011-12 school year NYSED will conduct a comprehensive needs assessment to be completed by school administrators, teachers, after school program staff, community-based stakeholders, parents and students that will provide up-to-date specific information on how NYSED can improve outcomes of the 21st CCLC program.

The TAC also conducts periodic three-hour technical assistance visits to local programs to provide assistance in resolving current and emerging programmatic and fiscal issues. In addition, the TAC maintains a web site (<http://www.nys21stcclc.org/>) to disseminate promising practices, regularly disseminates an electronic newsletter, responds to telephone and email requests for information and assistance, provides guidance to grantees in conducting the NYSAN Program QSA Tool and oversees the completion of the federal APR. The TAC's contract with NYSED expires September 30, 2011. To avoid a break in services to the grantees, NYSED has issued a RFP for the establishment of two Resource Centers, one to serve New York City and the other to serve the Rest of State areas. The new Centers are to begin October 1, 2011 for a contract period of five years.

Conduct a comprehensive evaluation (directly, or through a grant or contract) of the effectiveness of programs and activities

NYSED awarded a competitive contract to Research Works, Inc. in 2006 to conduct a state-level evaluation to determine the effectiveness of the New York State Education Department's 21st CCLC Program. Aspects of the evaluation included

improvements in participating students' academic performance and behavior and in-depth evaluations of selected 21st Century programs. Research Works, Inc. has also evaluated the effectiveness of the 21st CCLC Statewide Technical Assistance Center (TAC) with regard to its provision of professional development events for 21st CCLC grantees; technical assistance to the Regional Student Support Services Centers to build their capacity to assist 21st CCLC program providers in effectively implementing their programs; and its administration of the APR. The evaluator has utilized both quantitative and qualitative information from multiple data sources including data submitted to the federal web-based Annual Performance Report, program site visits and telephone interviews with a variety of stakeholders.

NYSED will continue to use the evaluation results guide its compliance, monitoring and reporting efforts; technical assistance and professional development activities; and to inform the field of the value and impact of the 21st CCLC program in their communities and statewide.

In working with the APR/PPICS, the evaluator realized that it contained very little actual raw data. Most of what was entered is frequency counts of already aggregated data so that real secondary analysis of the data was not possible. This database contains no student level data; therefore conclusions about student performance based on program attendance, time in activities and types of activities attended, are not possible. All children who come for 30 days or more are considered regular attendees and each child's student outcome data (grades, test scores, etc.) is collected and added to the aggregated data set. For example, one child may only participate in one activity for 30 days while another child may participate in the full program of academic enrichment, youth development service learning, etc. daily for 30 days; both students' grades and test scores are included in the student outcome aggregated data.

The evaluator's case studies suggest that 60 hours each year is the minimum amount of time for the 21st CCLC program to have any effect on the student – i.e. dosage as it relates to academic achievement, and moving from days of attendance, to hours. Grantees are required to take attendance at their sites each day of program operation. APR data are reported on 'regular attendees' – those who attend 30 days or more in a single program year. Calendar days equal program days, but calendar days do not reflect actual time spent in activities. Counting calendar days has proven to be unfair to programs, because it results in an inability to express actual time spent (dosage) in program activities by participants. One day of participation could be 20 minutes or 6 hours. Therefore, reporting days rather than hours of attendance does not take into consideration those students who attended an all-day Saturday program for several weeks or 6-hour summer programs than ran for 20 days.

NYSED will encourage 21st CCLC programs to record attendance as usual for the APR for the 2011-2012 year, but also to record attendance whereby two hours of program intervention is equal to one program day. For example, students who participate in a weekend program of four hours for 15 days would be counted as a

regular attendee. The new calculation may result in fewer regular attendees than reported on the APR, or the number may be offset because of the ability to count those attendees with higher dosage.

The evaluator suspects that part of the reason, in general, 21st CCLC programs are perceived as ineffective is due to the way that current data are being recorded and analyzed. Also, positive program outcomes may not be seen right away because programs of this type take time to become established and successful. This past year, the evaluator selected a sample of 15 programs from which to collect student-level data. NYSED is awaiting final reports.

The contract with Research Works, Inc. expires September 30, 2011. NYSED will issue a competitive RFP this summer to establish a new contract with an appropriate evaluator.

Provide training and technical assistance to eligible entities who are applicants for or recipients of awards

NYSED has conducted training and provided technical assistance to potential applicants for 21st Century funding in preparation for each of the five funding competitions conducted to date. For the first four competitions, NYSED staff conducted regional information sessions across the State. For the fifth competition conducted in 2009, NYSED provided an on-line narrated PowerPoint presentation (Appendix 1). This new approach had two primary benefits: It was less expensive to implement and it allowed NYSED to provide the same information to all potential applicants at the start of the competition and to continue its availability 24/7 throughout the proposal development period. NYSED staff also provided assistance via telephone and email.

A.3 Section 4203(a)(4) of the ESEA states that an application describes the procedures and criteria the SEA 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 local content and student academic achievement standards. (*Federal Register: Volume 67, Number 99 (Appendix B: State Activities to Implement ESEA Programs)*)

NYSED has conducted five competitions for 21st CCLC funding. Each followed the same key steps to select high quality applications for funding:

1. NYSED disseminated a Request for Proposals that provided information on the expectations and requirements of the 21st CCLC program and instructions to complete the application. Eligible applicants included public school districts, BOCES, charter schools, private schools, nonprofit agencies, city or county government agencies, faith-based organizations, institutions of higher education, and for-profit corporations. Public notice of the competition and application process

was published in the *New York State Contract Reporter*, posted on NYSED's website and sent to key stakeholders for further notice and dissemination.

2. NYSED recruited peer reviewers to complete the reviews of the applications. The first three recruitment efforts relied on a paper application process while the fourth and fifth competitions used the electronic Survey Monkey tool. The need for reviewers was publicized as broadly as possible to reach out to qualified individuals with diverse expertise, geographic location, gender, racial and ethnic backgrounds. NYSED was looking for those familiar with the operation of high quality youth programs in schools and communities – for example, teachers and principals, experts in expanded learning opportunities, college and university faculty, community educators, community service providers, practitioners from faith-based organizations and staff from foundations and charitable organizations. NYSED grouped the selected reviewers in teams of three that represented the diversity described earlier.

3. NYSED screened all proposals received on or before the due date to determine capacity to administer the program based on previous experience with similar amounts of funding at the State or federal level through government or foundation grants, proven fiduciary responsibility as demonstrated through annual audits or other relevant information as documented by the applicant on the "Capacity Determination Form" of the application.

NYSED staff then reviewed the proposals to verify that applicants would serve students who primarily attend (1) schools eligible for schoolwide programs under section 1114 of the ESEA; or (2) schools that serve a high percentage of students from low-income families – i.e., have a 40 percent free and reduced lunch rate or a 40 percent free lunch rate if in New York City.

NYSED staff also checked the Private School Consultation Form (Appendix 4) in each proposal to ensure that the applicant had consulted with the private schools in the catchment area of the program to determine their interest in having their students and teachers participate in the 21st Century program should the applicant be selected for funding.

Eligible applications were checked for priority status - at least 75 percent of the schools to be served were designated as Schools in Need of Improvement (SINI) under NCLB, Section 1116 and whether the program was to serve elementary students or middle/high school students.

4. The first four competitions featured a convening of all peer reviewers at a centralized meeting facility for a period of 3 to 5 days in order to complete the reviews. NYSED staff prepared a review guide (Appendix 5) and conducted a training session for the reviewers. Each reviewer was given a number of proposals to rate. Each proposal was reviewed and rated by three reviewers. These three individuals discussed each application to determine a final average score based on consensus.

The fifth and most recent peer review in 2009 was conducted electronically. Proposals were made available to the reviewers electronically using a password system. Reviewers also submitted their scores to NYSED electronically. Future competitions will likely be conducted electronically as well.

The peer reviewers evaluated applications against a standardized scoring rubric (Appendix 6) organized in five areas of review: Need for the Project, Quality of Project Design, Quality of Evaluation Design, Organizational Leadership and Quality of the Management Plan and Adequacy of Resources. Reviewers also evaluated how well the programs included the three main components of all 21st CCLCS – academic enrichment, youth development and family literacy services – and to meet federal performance indicators.

In the first four competitions, lists of fundable programs were created separately for those with SINI priority and those without SINI priority. In 2009 separate lists were not created, but six priority points were added to the final average score of fundable applications that proposed to serve middle-level students or high school noncompleters who attend SINI schools; four priority points were added to the final average score of fundable applications that proposed to serve elementary students in SINI schools. This change enabled high quality proposals that did not serve SINI schools to be competitive. As a result, nine high-scoring applications that did not serve SINI schools were funded.

A.4 Section 4203(a)(5) of the ESEA states that the SEA must describe how it will ensure that awards made are of sufficient size and scope to support high-quality, effective programs that are consistent with the purpose of this part; and in amounts that are consistent with section 4204(h). (*Federal Register: Volume 67, Number 99 (Appendix D: Assurances)*)

NYSED trains peer reviewers on what constitutes a proposal of sufficient size and scope to be of high quality by looking at factors such as provisions for program management, days and hours of operation, numbers of students served, student-to-adult ratios, and transportation costs. In addition, applicants are encouraged to propose a broad array of activities since a comprehensive approach has been linked to high-quality, effective programs. Consistent with program law, grants will not be made in amounts less than \$50,000. Many proposals include 3 to 4 program sites and serve larger numbers of children, especially those from New York City and the Big Four Cities; however, NYSED does not consider any applicant's request of more than \$900,000 and an organization that submits more than one application cannot receive more than a total of \$900,000.

To address the need for geographic diversity, funds are allocated to each of the following three areas based on its relative share of the allocation to New York State schools of Title I funds, using the current percentages:

1. New York City - 60 %
2. Big Four Cities (Buffalo, Rochester, Syracuse, Yonkers – 10%
3. Rest of the State – 30 %

New York will use the schoolwide program eligibility priority, as set forth in the program law, for public schools in each of these areas. Eligibility can also be based on a school's free and reduced lunch rate: a 40 percent free lunch rate in New York City and a combined free and reduced lunch rate of 40 percent in all other areas of the State. Lists of eligible schools are posted on the Department's web page at the time of a funding competition.

A.5 Section 4203(a)(6) of the ESEA states that the SEA must describe the steps the SEA will take to ensure that programs implement effective strategies, including providing ongoing technical assistance and training, evaluation, and dissemination of promising practices. (*Federal Register: Volume 67, Number 99 (Appendix B: State Activities to Implement ESEA Programs)*)

Training and Technical Assistance, Dissemination of Promising Practices

NYSED provides training to its 185 grantees primarily through its 21st Century Statewide Technical Assistance Center (TAC). The TAC provides quarterly professional development events that include topics such as effective practices in after school programming, incorporating the Common Core Standards in program activities, program evaluation, family and community involvement, training of program staff and program sustainability. Professional development events are provided in a variety of formats such as in-person and virtual training, peer learning and coaching. The TAC regularly disseminates electronically a newsletter and maintains a web site that features current information on these topics (<http://www.nys21stccclc.org/>). The TAC also conducts technical assistance site visits to programs.

In March 2011 NYSED sponsored nine regional professional development sessions conducted by the Brustein & Manasevit law firm on the requirements of EDGAR for 21st Century grantees as well as fiscal staff of LEAs and other organizations (Appendix 7). The firm is under contract with NYSED and will likely be available to conduct additional sessions over the next year.

NYSED provides direct technical assistance to grantees through phone calls and an email box (emsc21stccclc@mail.nysed.gov) specifically for questions from grantees and the field related to the 21st Century program.

NYSED developed a Mid-Year Report, required of all grantees in January of each year (beginning in 2010), using Survey Monkey (Appendix 8). Grantees are asked to provide basic program information about the operation of each of their sites, attendance, etc. The Report also asks about professional development that has been offered, progress toward achieving program objectives, student involvement, family literacy activities, use of the NYSAN Quality Self-Assessment Tool, the independent program evaluation, and the program's advisory committee. The Report also asks the grantee to identify both its successes and challenges in

implementing the program. NYSED staff follows up with the grantees to resolve any issues.

NYSED also maintains frequent and regular communication with the State-level evaluator to follow up on any issues identified by the evaluator in its in-depth study of selected grantees and review of data submitted by grantees for the federal Annual Performance Report (APR). NYSED's State-level evaluator has developed a tip sheet (Appendix 9) for program evaluations. The evaluator has determined that local program evaluations vary greatly in quality and usefulness. At NYSED's request, the evaluator is developing a detailed evaluator's handbook to assist both evaluators and program managers.

Evaluation

NYSED evaluation requirements for all 21st CCLCs consist of the three components described below:

Independent Evaluation: Each 21st CCLC is required to engage an independent evaluator to assess progress toward achieving its objectives to provide a high-quality after school program. The cost of the independent evaluator may not exceed five percent of the total annual grant award for Round 5 grantees and eight percent of the total annual grant award for Round 4 grantees. The evaluation must be based on the factors included in the 21st Century Performance Indicators and principles of effectiveness. In order for a program to meet these principles, the program or activity must:

Be based upon an assessment of objective data regarding the need for before- and after- school programs (including during summer recess periods) and activities in the schools and communities,

Be based upon an established set of performance measures aimed at ensuring the availability of high quality academic enrichment and other developmental opportunities, and

If appropriate, be based upon scientifically-based research that provides evidence of the effectiveness of a program activity.

The results of the evaluation must be used to refine, improve, and strengthen the program; and made available to the public upon request.

Annual Performance Report (APR): Grantees are responsible for periodic entry of data into the APR, the federal web-based reporting system, <http://ppics.learningpt.org/ppics/public.asp>. The two purposes of the APR are to (1) demonstrate that substantial progress has been made toward meeting the objectives of the project as outlined in the grant application, and (2) collect data that addresses

the performance indicators for the 21st Century Community Learning Centers program. APR measures of participants' progress include:

Percentage whose math/English grades improved from fall to spring.

Percentage that meet or exceed the proficient level of performance on State Assessments in reading/language arts and mathematics.

Percentage whose regular classroom teacher reported (on a non-electronic survey) improvements in homework completion, class participation and behavior.

Grantees must evaluate the objectives identified in the federal APR as well as any others they have set for themselves.

NYSAN Program Quality Self-Assessment Tool (QSA): The QSA is the research-based planning and self-assessment tool developed by the New York State Afterschool Network (NYSAN) that is used by each program site two times each year. A Users Guide for the NYSAN QSA Tool is available at the same web site as the Tool. The QSA process should include representatives of all stakeholders involved in the program.

The Tool is organized consistent with the essential elements of a high quality after school program:

- Environment and Climate
- Administration and Organization
- Relationships
- Staffing and Professional Development
- Programming and Activities.
- Linkages Between the School Day and After School Programs
- Youth Participation and Engagement
- Parent, Family and Community Partnerships
- Program Sustainability and Growth Measuring Outcomes and Evaluation

Although the QSA tool is not considered to be an evaluation tool, the feedback from the QSA does contribute to the overall understanding of the outcomes of the program.

A.6 Section 4203(a)(7) of the ESEA states that the SEA must describe how program under the ESEA will be coordinated with programs under the ESEA, and other programs as appropriate. (*Federal Register: Volume 67, Number 99 (Appendix D: Assurances)*)

New York State is a Round 2 recipient of Race to the Top funding. Among NYSED's Race to the Top efforts are the Board of Regents January 2011 adoption of the Common Core State Standards in English language arts and math, science, social

studies, arts, technology and economics and Pre-Kindergarten education. Information on the Common Core State Standards can be found at http://www.p12.nysed.gov/ciai/common_core_standards/ .

The development of the Common Core Standards was part of a national effort led by the Council of Chief State School Officers and National Governors Association (NGA) to establish a single set of clear educational standards for ELA and math. Teachers, experts and parents were actively involved in this initiative. Preliminary professional development was provided in March 2011 to 21st CCLC grantees on the Common Core State Standards to prepare them for communicating with the regular school day teachers and aligning their own academic enrichment activities with the Standards. A webinar is being planned to provide additional training on this topic. NYSED will also develop curriculum models for schools' use.

NYSED also identified the State's persistently lowest-achieving schools and is assisting them in implementing one of the four school turnaround models: turnaround, restart, transformation or closure. Future 21st CCLC funding competitions will give greater priority to applicants that propose to serve students in these schools to provide them additional support.

Race to the Top initiatives and the Regents Reform Agenda that focus on college and career readiness, data systems that measure student success, preparing effective teachers and principals, and turning around the lowest-achieving schools have resulted in increased collaboration and coordination across NYSED offices, including Title I.

A.7 Section 4204(d)(1) of the ESEA states that an SEA may require an eligible entity to match funds awarded under this part, except that such match may not exceed the amount of the grant award and may not be derived from other Federal or State funds. (Federal Register: Volume 67, Number 99 (Appendix D: Assurances))

NYSED does not require its grantees to match any funds. It does encourage grantees to supplement or braid 21st Century funds with other funding sources to maximize the use of resources and to make efforts to sustain the program after the 21st Century grant period. Programs must be equally accessible to all students targeted for services, regardless of their ability to pay. Programs that charge fees may not prohibit any family from participating due to its financial situation. Programs that opt to charge fees must offer a sliding scale of fees and scholarships for those who cannot afford the program.

A.8 Section 4203(a)(b) states that the SEA must provide assurance that the SEA will make awards under this part only to eligible entities that propose to serve (A) students who primarily attend schools eligible for school-wide Title I programs and schools that serve a high percentage of students from low-income families; and (B) the families of students in schools eligible for school-wide Title I programs or schools that serve a high

percentage of students from low-income families. (*Federal Register: Volume 67, Number 99 (Appendix D: Assurances)*)

As stated in statute and the RFP, grants will be awarded only to eligible applicants that propose to serve students who primarily attend:

schools eligible for schoolwide programs under Title I, Section 1114 of the No Child Left Behind Act, **or**

schools with at least 40 percent of its students eligible for free or reduced priced lunch. (New York City requires that 40 percent of a school's students be eligible for free lunch.); and the families of these students.

If a particular school does not meet the 40 percent free/reduced lunch rate, it can still be identified as a school that serves a high percentage of students from low-income families if it meets one of the following criteria:

Administrative Option – In school districts with only one building per grade span (such as one K-6 building, one 7-8 building and one 9-12 building), if at least one of the buildings is on the list, then the other buildings in the district will be considered eligible for 21st CCLC purposes.

Feeder Pattern Option - A middle or high school that is not on the list will be considered eligible if the average of the "poverty measure" of the elementary schools that feed into that school is at or above 40 percent. However, in New York City students apply to enroll in the high school of their choice. Therefore, the feeder schools cannot be used to determine the eligibility of the high school.

Review of Documentation - Any other school not on one of these lists may be determined as serving a high percentage of students from low-income families upon a State Education Department review of documentation provided by the applicant. It is highly recommended that an applicant seeking to qualify under this option contact SED for assistance prior to preparing a proposal.

Note: If two or more schools are to be served by the applicant, at least 50% of the school buildings must meet the eligibility criteria stated above.

NYSED and the peer reviewers verify that each application includes services to the families of the students being served by the 21st CCLC program. Services can include instruction in such areas as English as a second language, computer skills, resume writing, job interviews and parenting.

A.9 Section 4204 (i)(1) states that the SEA must give priority to applications (A) proposing to target services to students who attend schools that have been identified as in need of improvement under section 1116 of the ESEA; and (B) submitted jointly by eligible entities consisting of not less than one local educational agency (LEA) receiving

funds under part A of title I; and community-based organization or other public or private entity. (*Federal Register: Volume 67, Number 99 (Appendix B: State Activities to Implement ESEA Programs and Appendix D: Assurances)*)

NYSED staff reviews each application to determine whether or not it proposes to serve schools that have been designated as a School in Need of Improvement (SINI). If it does, it receives competitive priority over applications that propose to serve students who do not attend SINI schools. If the applicant proposes to serve more than one school, at least 75 percent of the schools to be served must be SINI schools.

As stated in the most recent RFP, priority points will be awarded to applications that will serve students who attend schools in need of improvement as follows. Schools in need of improvement include SINI 1, SINI 2, Corrective Action, Planning for Restructuring and Restructuring schools.

Four (4) priority points are awarded to fundable applications (those receiving a final average score of at least 70) that propose to serve elementary students who attend schools in need of improvement.

Six (6) priority points will be awarded to fundable applications (those receiving a final average score of 70) that propose to serve middle-level students or high school noncompleters who attend SINI schools. (High school noncompleters are students who have dropped out or are at risk of not meeting the graduation requirements to earn a diploma)

NYSED staff reviews each application to verify that it has been submitted jointly by eligible entities consisting of not less than one local education agency receiving Title I, Part A funds and a community-based organization or other public or private entity

A.10 Section 4204 (i)(1) states that the SEA must give priority to applications shall provide the same priority to an application submitted by a local educational agency if the LEA 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. (*Federal Register: Volume 67, Number 99 ((Appendix D: Assurances)*)

Any LEA that does not apply jointly with another organization would have to document to the satisfaction of NYSED that no appropriate community-based organizations were available to partner with the LEA before NYSED could determine that it is eligible to compete for funding. If eligible, the application would not be penalized. To date, NYSED has not received any such applications.

SECTION B: EVALUATION OF PERFORMANCE

B.1 Section 4205(b) of the ESEA states that for a program or activity developed pursuant to this part to meet the principles of effectiveness, such program or activity shall be based upon an assessment of objective data regarding the need for before and after school programs (including during summer recess periods) and activities in the schools and communities; shall be based upon an established set of performance measures aimed at ensuring the availability of high quality academic enrichment opportunities; and shall if appropriate, be based upon scientifically based research that provides evidence that the program or activity will help students meet the State and local student academic achievement standards. (*Federal Register: Volume 67, Number 99 (Appendix D: Assurances)*)

Applicants for funding must describe the community where the target population of students and their families live and identify the specific needs of the children to be served. Applicants are expected to provide current and specific cited data to strongly document each of those needs. Suggested data sources may include, but are not limited to, academic achievement, percentage of students eligible for free and/or reduced lunch, percentage and/or rapid growth of limited English proficient students, incidence of risky behaviors and dropout rates. Applicants must also identify and document specific needs of the children's families to be served and by providing data such as poverty rates, literacy rates and education levels in the community. The applicant is also expected to demonstrate how the program will provide services and activities that are not currently available.

Applicants must also describe how the program will comply with the U.S. Department of Education's General Education Provisions Act (GEPA) to ensure equitable access to and meet the needs of special populations (e.g., students with disabilities, English language learners) and how the program will disseminate information about the center (including its location) to the community in a manner that is understandable and accessible.

All applicants must design their programs to meet the federal performance indicators. NYSED provided applicants a work plan template that enabled them to clearly state the program's objectives, activities, performance indicators and measures for each. See excerpt from the template below. At the recommendation of the State-level evaluator, Research Works, Inc., NYSED re-ordered the two performance indicators. The rationale is that offering a range of high quality services will lead to educational and social benefits and positive behavioral changes. The complete template is found in Appendix 10.

Objective 1: 21st Century Community Learning Centers will offer a range of high-quality educational, developmental, and recreational services for students and their families.		
<u>Sub-Objective 1.1:</u> Core educational services. 100% of Centers will offer high quality services in core academic areas, e.g., reading and literacy, mathematics, and science.		
Program Objective 1.1-1:		
Activities to Support This Program Objective	Performance Indicator(s) of Success	How It Will Be Measured

B.2 Section 4205(b)(2) of the ESEA states that the program or activity shall undergo a periodic evaluation to assess its progress toward achieving its goal of providing high quality opportunities for academic enrichment. The results of evaluations under subparagraph (A) shall be used to refine, improve, and strengthen the program or activity, and to refine the performance measures; and made available to the public upon request, with public notice of such availability. (Federal Register: Volume 67, Number 99 (Appendix D: Assurances))

NYSED evaluation requirements for all 21st CCLCs consist of the three components described below:

Independent Evaluation: Each 21st CCLC is required to engage an independent evaluator to assess progress toward achieving its objectives to provide a high-quality after school program. The cost of the independent evaluator may not exceed 5 percent of the total annual grant award. The evaluation must be based on the factors included in the 21st Century Performance Indicators and principles of effectiveness. In order for a program to meet these principles, the program or activity must:

Be based upon an assessment of objective data regarding the need for before- and after- school programs (including during summer recess periods) and activities in the schools and communities,

Be based upon an established set of performance measures aimed at ensuring the availability of high quality academic enrichment and other developmental opportunities, and

If appropriate, be based upon scientifically-based research that provides evidence of the effectiveness of a program activity.

The results of the evaluation must be used to refine, improve, and strengthen the program; and made available to the public upon request.

Annual Performance Report (APR): Grantees are responsible for periodic entry of data into the APR, the federal web-based reporting system <http://ppics.learningpt.org/ppics/public.asp>. The two purposes of the APR are to (1) demonstrate that substantial progress has been made toward meeting the objectives of the project as outlined in the grant application, and (2) collect data that addresses the performance indicators for the 21st Century Community Learning Centers program. APR measures of participants' progress include:

Percentage whose math/English grades improved from fall to spring.

Percentage that meet or exceed the proficient level of performance on State Assessments in reading/language arts and mathematics.

Percentage whose regular classroom teacher reported (on a non-electronic survey) improvements in homework completion, class participation and behavior.

Grantees must evaluate the objectives identified in the federal APR as well as any others they have set for themselves.

NYSAN Program Quality Self-Assessment Tool (QSA): The QSA is the research-based planning and self-assessment tool developed by the New York State Afterschool Network (NYSAN) (www.nysan.org) that is used by each program site two times each year. The QSA process should include representatives of all stakeholders involved in the program.

The Tool is organized consistent with the essential elements of a high quality after school program:

- Environment and Climate
- Administration and Organization
- Relationships
- Staffing and Professional Development
- Programming and Activities.
- Linkages Between the School Day and After School Programs
- Youth Participation and Engagement
- Parent, Family and Community Partnerships
- Program Sustainability and Growth Measuring Outcomes and Evaluation

Although the QSA tool is not considered to be an evaluation tool, the feedback from the QSA does contribute to the overall understanding of the outcomes of the program.

B.3 Section 4203(a)(12) of the ESEA states that the State must describe the results of the State's needs and resources assessment for before and after school activities, which shall be based on the results of on-going State evaluation activities. (*Federal Register: Volume 67, Number 99 (Appendix D: Assurances)*)

NYSED has several ways of assessing the needs and resources for before and after school activities. NYSED uses input received from grantees to determine their needs for professional development and assistance in their Mid-Year Reports, their evaluations of professional development activities and issues that are raised during the provision of technical assistance.

During the 2011-12 school year NYSED will conduct a comprehensive needs assessment to be completed by school administrators, teachers, after school program staff, community-based stakeholders, parents and students that will provide up-to-date specific information on how NYSED can improve outcomes of the 21st CCLC program.

NYSED has participated this past year in NYSAN's RFP Task Force grant initiatives that worked to identify common requirements for applicants that could be consistent across all RFPs rather than have differing or conflicting requirements. NYSED also partnered with NYSAN to map the availability of after school programs in local neighborhoods across the State. In this way, State agencies may be able to target higher need areas in their RFPs to be served by programs. NYSED will consider the recommendations of the Task Force and the results on the mapping when drafting new RFPs for after school programs..

SECTION C: ASSURANCES

C.1 Section 4203(a)(9) of the ESEA 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. (*Federal Register: Volume 67, Number 99 (Appendix D: Assurances)*)

NYSED complies with this assurance in several ways. The NYSED Grants Finance Unit provides on its web site extensive and easily understandable guidance on the management of state and federal grant funds. The Grants Finance Unit also reviews and approves grantees' yearly fiscal reports for appropriateness of expenditures. NYSED's Audit Services Unit monitors the A-133 audits that are required of any organization that annually receives more than \$500,000 in public funds. In addition, the federal single audit selects individual grantees for a closer examination of fiscal compliance.

NYSED also has procedures to resolve allegations of fraud, waste, abuse or mismanagement of local, state, or federal education funds (including information on vendors who receive education funds) The procedures begin with the conduct a preliminary assessment, with one of the following three results: Begin an audit or review; forward your information to a more appropriate agency or authority; or close the case.

NYSED web sites provide more information:

A-133 audits:

<http://www.oms.nysed.gov/oas/SingleAudit/>

Fraud, waste and abuse:

<http://www.oms.nysed.gov/oas/fraud/>

Grants Finance:

<http://www.oms.nysed.gov/cafe/guidance/>

Audit plan:

http://www.oms.nysed.gov/oas/Audit_Plan/2009_11AUDITPLANwarrafinal.pdf

C.2 Section 4203(a)(10) of the ESEA 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. The SEA must clearly describe how it will meet this requirement. (*Federal Register: Volume 67, Number 99 (Appendix D: Assurances)*)

The RFP for funding requires that the applicant describe how the transportation needs of participating students will be met. The proposal review rubric identifies and assigns points to this requirement for inclusion in the final score relative to how well the applicant will meet this need.

C.3 Section 4203(a)(11) of the ESEA states that the SEA must provide an assurance that the application was developed in consultation and coordination with appropriate State officials, including the chief State school officer, and other State agencies administering before and after school (or summer school) programs, the heads of the State health and mental health agencies or their designees, and representatives of teachers, parents, students, the business community, and community-based organizations. The SEA must clearly describe how it will meet this requirement. (*Federal Register: Volume 67, Number 99 (Appendix D: Assurances)*)

As NYSED began to draft the revised State Plan for 2011, it provided the 2002 State Plan to the membership of the New York State Afterschool Network (NYSAN) for review and comment. Members' comments have been infused into the draft 2011 State Plan. The draft 2011 State was also shared with NYSAN for final consensus. NYSAN is a public-private partnership of which NYSED and the New York State Office of Children and Families is a part, of organizations throughout the state dedicated to increasing the quality and availability of after school programs. NYSED posted the draft 2011 State Plan on its Student Support Services web site at

www.p12.nysed.gov/sss to invite comments from the public. The Commissioner of Education and the Associate Deputy Commissioner for Curriculum, Instruction and Field Services have both given their approval of this Plan.

C.4 Section 4203(a)(8) of the ESEA contains an assurance that the State educational agency will make awards for programs for a period of not less than 3 years and not more than 5 years; and will require each eligible entity seeking such an award to submit a plan describing how the community learning center to be funded through the award will continue after funding under this part ends. The SEA must clearly describe how it will meet this requirement. (*Federal Register: Volume 67, Number 99 (Appendix D: Assurances)*)

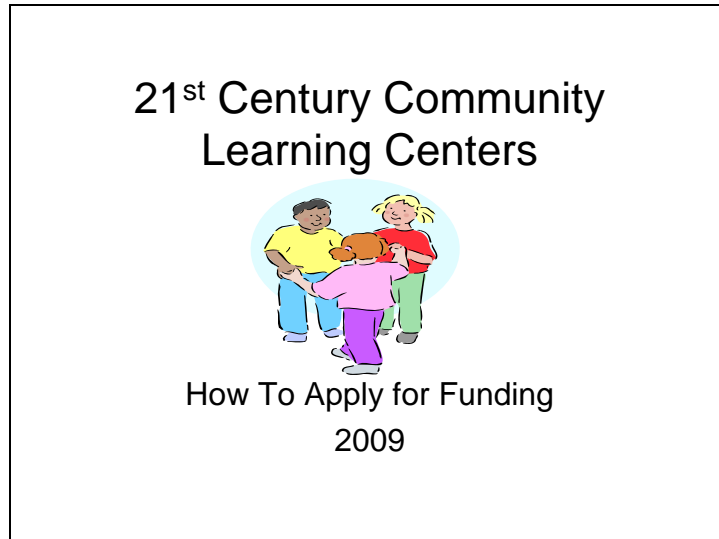
NYSED's Request for Proposals for 21st CCLC funding states an award period of five years and that the funding award will remain at the same level for each year. The RFP also requires that the proposal describe the sustainability plan that will be followed in order to continue after the 21st CCLC funding ends. NYSED allows the grantee to use three percent of its annual award to support sustainability efforts. NYSED includes sustainability as one topic in its professional development for grantees and encourages grantees to take advantage of planning resources available such as those from the Finance Project. Sustainability is a component of both the site visit and telephone monitoring protocols. NYSED staff makes recommendations during these discussions with grantees.

APPENDICES

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Narrated PowerPoint for funding applications

Slide 1



Welcome to the New York State Education Department informational session on applying for 21st Century Community Learning Center funding.

For previous competitions, we have provided this information through regional sessions. The new on-line approach has two primary benefits. First, it is less expensive to implement. Second, it allows us to provide the same information to all potential applicants at the start of the competition and to continue its availability 24/7 throughout the proposal development period.

If you have questions, you can email them to the address on the next slide. We will post all questions and responses on our web site, also shown on the next slide, as quickly as possible, and usually within the day.

Questions and Answers

- emsc21stcclc@mail.nysed.gov
- www.emsc.nysed.gov/sss/

Send your questions to the email address.

Look for the responses on the web site.

Agenda

- Background information
- What is required in the 2009 RFP
 - New requirements
 - Ongoing requirements
- Quality programs
- Additional Information

First, we will provide some background about 21st Century programs. Then, we will talk about application and program requirements. Some are new and others are the same as in previous funding competitions.

Throughout the rest of this presentation, the term “21st Century Program” will be used in place of the longer “21st Century Community Learning Centers Program.” Similarly, the term “Department” will be used in place of “New York State Education Department.”

After looking at the basics of 21st Century programs, we will cover the elements of quality 21st Century programs and the process of developing meaningful objectives.

21st Century Community Learning Centers



Background Information

We will now provide background information about the 21st Century Program.

Three Components of All 21st CCLC Programs

- opportunities for academic enrichment
 - positive youth development:
 - drug and violence prevention
 - counseling
 - art, music and recreation
 - character education
 - literacy & related educational development to families of students
- ** All programs are to include the 10 essential elements of quality programs (QSA)

Every 21st Century program must have three major components.

The first is academic enrichment. Academic enrichment means activities that supplement, enhance or reinforce what is learned during the regular school day. Academic enrichment is not a repetition or follow-up drill of the classroom lesson. An example may be a cooking class in which the student measures the ingredients and uses the math that was learned about fractions in the classroom. Another example could be a cultural event to celebrate a country that is being studied in the social studies class.

Service learning is another appropriate enrichment opportunity – a community service project that incorporates the learning from the regular curriculum.

The second component of each 21st Century program is positive youth development – these activities encourage students to develop into well-rounded and healthy adults who are contributing members of their communities. Appropriate activities could include recreation and sports, art, music, dance, drug and violence prevention, counseling and character education.

The third component of every 21st Century program is the provision of literacy and related educational services to the families of the students that are based on the their needs. For example, families may need instruction in English or computer skills, or assistance in preparing resumes to look for better jobs. This component should consist of ongoing programs and services. Occasional family events are encouraged but are not sufficient to meet this program requirement.

All three components should reflect the ten essential elements of quality after school programming that are described on page 2 of the RFP and are contained in the Quality Self-Assessment Tool that will be discussed in more detail later.

Funding Allocations

- Federal funds – NCLB Title IV, Part B
 - About \$35 million for new programs this year
- Title I formula is used.
 - 60% to New York City
 - 10% to Big Four Cities of Buffalo, Rochester, Syracuse and Yonkers
 - 30% to Rest of State
- Up to \$900,000 set aside for successful for-profit applicants, not awarded by geographic region.
 - Limit of \$450,000 per for-profit application

Where does the money for 21st Century Programs come from? 21st Century programs are federally funded by Title IV, Part B of the No Child Left Behind Act. This year, about \$35 million is available to support new programs. The exact amount is not yet known.

The Department administers these funds. It awards funds to all parts of the State using the formula that is used to distribute Title I funds: 60% to New York City, 10% to the Big Four Cities of Buffalo, Rochester, Syracuse and Yonkers, and 30% to the rest of the State.

In addition, \$900,000 of the available funds are set aside to fund for-profit organizations that apply. Each for-profit application is limited to \$450,000. This amount is not allocated geographically.

New York 21st CCLC

- Round 4 Programs = 108
- Round 3 Programs = 88
 - funding ends June 2009
- Over half of the grantee lead agencies are Community Based Organizations

As a bit of history, Round 4, the most recent funding competition, resulted in 108 new programs. In Round 3, 88 programs were funded. Both Rounds include at least one for-profit organization.

It should be noted that community-based organizations are the lead agencies for more than half of New York's 21st Century programs.

Who Can Apply?

- LEA's - Public school districts, BOCES, charter schools, private schools
- Not-for-profit and for-profit agencies
- City or county government agencies
- Faith-based organizations
- Institutions of higher education
- Round 4 programs can apply to expand their current program to serve more students or add another component – e.g., GED classes, the arts.

WHO CAN APPLY?

. Local education agencies (LEAs) are public school districts and BOCES. For the purpose of applying for 21st Century funding, charter schools and private schools are also considered to be LEAs. All LEAs must apply in partnership with another organization.

. Other agencies, including not-for-profit and for-profit organizations, faith-based organizations, local government agencies and institutions of higher education are also eligible to apply. But they must apply in partnership with an LEA.

. In addition, current Round 4 grantees can apply to start another program or expand their current program by serving more students or by adding a new program component such as GED preparation, or the arts.

Application Eligibility

FEDERAL ABSOLUTE PRIORITY – programs must primarily target students who attend schools that are eligible under section 1114 for Title I school wide programs or schools that serve a high percentage of students from low income families (40% free lunch in NYC, or 40% free and reduced lunch in ROS).

In order for a 21st Century program application to be eligible for review, it must primarily target students who attend schools with high poverty.

Generally, a school building is considered to have high poverty if –

- . It is eligible for a Title I school-wide program, meaning that the school has a high level of poverty, or
- . It is in NYC and has a free lunch rate of at least 40%, or
- . It is located in another part of the State and has a combined free and reduced lunch rate of at least 40%.

If an applicant proposes to serve students from more than one school, at least 50% of the participating schools must have high poverty.

Additional options for determining that a school has high poverty are covered in the next slide.

High Poverty Schools

Ways to determine high poverty:

1. Lists of eligible schools
2. Feeder pattern option
3. Administrative option
4. Special Review of Documentation

How can you find out if a school has high poverty and is eligible for 21st Century funding?

The first way is to look at the lists of eligible high poverty schools that are included with the RFP. Any school on one of the eligibility lists satisfies the high poverty criteria.

These are schools that, in New York City, have at least a 40% free lunch rate. The schools listed that are outside of New York City have at least a 40% combined free and reduced lunch rate.

Another method to determine if a school building is eligible is the “feeder pattern” option. A middle or high school building can be considered high poverty if the elementary schools that feed into it have an average free and reduced lunch rate of at least 40%, or for New York City middle schools, an average free lunch rate of 40%. This approach cannot be used for high schools in New York City because students can apply to attend any high school in the City.

The administrative option applies to small school districts that have just one building per grade span – i.e., one elementary school, one middle school and one high school. If just one of the buildings has high poverty, then all the buildings of the district are considered to have high poverty.

On occasion, a community’s needs may warrant eligibility for 21st Century funding even though the school does not meet the high poverty criteria we have just described. In such

cases, the applicant can submit documentation and other local data to the Department for a special review and determination of eligibility. This request for a special review should be made BEFORE beginning to write the grant application.

21st Century Community Learning Centers



The RFP

Let's talk about the RFP itself.

RFP - 2009

- Estimated \$35 million available for Round 5 programs
- Five-year funding period 7/1/09 – 6/30/14
- Annual awards range from \$50K to \$900K
- Due Date : Postmarked or delivered by
March 27, 2009
Original and 1 CD in Word or .pdf
file

As previously cited, the Department expects to have about \$35 million available for this round of programs.

Funding will be awarded for five years, beginning on July 1, 2009 and continuing through June 30, 2014.

Annual awards can range from a minimum of \$50,000 to a maximum of \$900,000, depending on the size and scope of the program.

Proposals must be postmarked or delivered by March 27, 2009. The address is included on page one (1) of the RFP.

The proposal package must include one hard copy of the complete application with original signatures in blue ink AND a CD that contains the complete proposal prepared in Word or as a .pdf file.

Timeline	
• Jan 28	- Request for Proposals (RFP) issued
• March 27	- Proposals must be postmarked or delivered.
• Mar & Apr	- Department verifies applicants' eligibility for funding and for priority points.
• April	- Peer Review
• May	- Selected proposals are announced and grant or grant contract preparation begins.
• July 1	- Funding begins.

On this slide you will see the timeline for this funding competition.

The Request for Proposals was issued January 28.

March 27 is the date by which proposals must be postmarked or delivered to the Department.

After all applications are received, the Department will screen each one to ensure that the high poverty eligibility requirement has been met and to determine which proposals qualify for priority points based upon a focus on programs for students who attend schools in need of improvement. These priority points will be explained later in the presentation.

During April all eligible applications will be reviewed using an electronic peer review process. We'll talk more about that later on.

Selected proposals will be announced in early May and the grant or grant contract preparation will begin.

Funding begins on July 1, 2009.

What's NEW in Round 5 ?

- Submission of Proposals
 - A hard copy of the proposal containing required original signatures (in blue ink)
 - A CD containing the complete proposal in Word or .pdf file

We will now explain the changes in requirements in this new 21st Century application for funding.

In previous competitions, applicants submitted only paper copies of the application package. This time, applicants are to submit one hard copy of the application with the required original signatures in blue ink and one CD that contains the complete application prepared in either Word or as a .pdf file. The required original signatures are listed in the RFP.

New in Round 5, cont.

- Schools in Need of Improvement (SINI) Status
 - 2007-08 SINI list will be used, unless the 2008-09 list is available
 - Schools that have recently lost SINI status due to restructuring cannot be considered as SINI schools.

The 2007-08 list of Schools in Need of Improvement, or “SINI” schools will be used to determine priority points status of applications unless the 2008-09 list becomes available. Note that schools that have recently lost their SINI status due to restructuring cannot be considered as schools in need of improvement. Therefore, applications that propose to serve newly restructured schools cannot receive SINI priority.

New in Round 5, cont.

- Funding Priorities
 - Six priority points will be added to fundable applications that propose to serve primarily middle-level students or high school noncompleters who attend SINI schools.
 - Four priority points will be added to fundable applications that propose to serve primarily elementary students who attend SINI schools.

New in this competition is the awarding of priority points to fundable applications that primarily serve students in SINI schools.

Fundable means that the application has earned a minimum score of 75 points. Priority points can then be added to the fundable score, as follows:

Six (6) priority points will be added to the scores of applications that propose to primarily serve middle-level students or high school noncompleters who attend SINI schools. High school noncompleters are those students who are at risk of not meeting the graduation requirements to earn a diploma OR who have already dropped out of school and are working toward re-enrollment in school.

Four (4) priority points will be added to the scores of applications that propose to primarily serve elementary students who attend SINI schools.

Note that if an applicant is proposing to serve students from more than one school, at least 75% of the participating schools must be SINI in order to receive priority points.

Just as the overall funding is distributed geographically across the State, applications with fundable scores will be grouped by geographic area and listed in rank order. Funding to for-profit applicants is not distributed geographically.

Priority Points

6 Priority Points	4 Priority Points	0 Priority Points
Primarily serves middle level students or high school noncompleters who attend SINI schools	Primarily serves elementary students who attend SINI schools	Serves students who do not attend SINI schools

This chart recaps how priority points are awarded.

And, as a reminder, the application is eligible for priority points only if it initially scores at least 75 points.

New in Round 5, con't.

- Up to 3% of annual award can be used for sustainability planning but not for fund raising activities.
- Resource for sustainability planning:
www.financeproject.org

As in previous funding competitions, each application must include a sustainability plan that describes how the program will continue after federal 21st Century funding ends.

Up to 3% of the annual award can be used for sustainability planning. Examples of appropriate uses of the 3% include hiring a consultant to seek out and procure other grants and means of support for the program or to obtain training or other assistance on how to sustain the full program when 21st Century funding ends. Note that the 3% **cannot** be used for fund-raising activities.

One excellent resource for sustainability planning is The Finance Project. Its web site is www.financeproject.org

New in Round 5, cont.

- The overall cost of evaluator cannot exceed 5% of annual award.
- Template for Goals and Objectives
 - Activity
 - Performance Indicators of Success
 - How Progress Will be Measured

Also new for Round 5 is the reduction in the allowable cost of contracting with an independent program evaluator, as required by this program. The cost cannot exceed 5% of the annual award. (This is a reduction from 8%.)

The acceptable use of tables and charts in the application is still limited to numerical data and schedules. However, applicants are now expected to use the template that is provided in the application to display the activities, performance indicators of success and measures of progress for the program's goals and objectives. A sample of the template is shown on the next slide.

Template for Goals and Objectives

Objective 1: 21st Century Community Learning Centers will offer a range of high-quality educational, developmental, and recreational services for students and their families.		
<i>Sub-Objective 1.1: Core educational services. 100% of Centers will offer high quality services in core academic areas, e.g., reading and literacy, mathematics, and science.</i>		
Program Objective 1.1-1:		
Activities to Support This Program Objective	Performance Indicator(s) of Success	How Progress Will Be Measured

We will talk more about how to use the template later in the presentation. The template will assist you in developing program objectives that are clear and meaningful and program activities that are aligned with the objectives. Applicants will enter their own program objectives, then complete the template with activities, performance indicators and measures of progress.

New in Round 5, cont.

- Reporting Requirements
 - Report to the Department 2 times each year
 - Jan 1 and July 1
 - Use Department-provided Report Form
 - Improve Department assistance to programs
 - Identify effective practices
 - Enhance accountability for funds

Another new requirement relates to program reporting. Programs will be required to submit a report to the Department two times each year, on January 1st and July 1st. The first report from Round 5 grantees will be due on January 1st, 2010. A report form will be provided by the Department. Program reports will enable the Department to be more familiar with each program, to improve the assistance it provides to the grantees, to identify effective practices that can be shared with other 21st Century programs and to enhance accountability for the use of 21st Century funds.

Round 4 grantees will also be expected to satisfy this reporting requirement.

New in Round 5, cont.

- Peer Review Process
 - Electronic; no central review site
 - Continue to have 3 reviewers for each application and average the three scores to calculate final average score
 - Budgets of for-profit applications will continue to be reviewed by the Department's Contract Administration Unit.

Another new feature is that the peer review will be electronic. There will be no statewide convening of the reviewers.

Although we will continue to have three reviewers for each application, the same three reviewers will not all review the same proposals.

The three scores will be averaged to calculate the final average score.

As in the past, the Department's Contract Administration Unit will review and evaluate the "Adequacy of Resources" section and the budget of for-profit applications.

Ongoing Requirements

- Private school consultation
- Partnership agreements
- Partner v. vendor
- SACC Registration
- Quality Self-Assessment Tool (QSA) – 2x/year www.nysan.org
- Department Consortium Policy

Many of the application requirements remain the same.

Private school consultation. If private schools are in the catchment area to be served by your proposal, you must contact them to determine their interest in sending their students to participate in your program. If a private school accepts your offer to participate, by all means include it in planning the program and encourage in-kind contributions. However, you are not required to tailor your program to meet the private school's needs. A private school consultation form is included in the RFP. Note that this consultation is not required if the applicant is a private school or charter school.

Partnership agreements between the applicant and its partners are required. Partnership agreements clearly define the role and responsibilities of each of the partners. The RFP has information on developing agreements that are customized to your program.

We often receive questions about whether an organization is a partner or a vendor. In short, a partner is an organization that is active in the planning and implementation of the 21st Century Program. The partner has specific responsibilities for the program. A vendor, on the other hand, would provide a product or service such as a series of dance lessons, but would have no other input or responsibility for the 21st Century program.

School Age Child Care Registration is required for any program operated by an organization other than a school that serves 7 or more children under the age of 13. More information on this requirement will come later in this presentation.

The Program Quality Self-Assessment Tool, often referred to as the QSA, is to be conducted two times each year. More details about the QSA will be presented as well.

We will now talk about the Department's Consortium Policy.

Consortium Policy

- Organizations can form a consortium to apply in partnership for 21st Century funding.
- Only one can serve as the official applicant and fiscal agent.
- Specific, written partnership agreements among all partners.

The Department's Consortium Policy applies to organizations that form a consortium to apply in partnership for 21st Century funding. The Office of the State Comptroller directed State agencies to develop a consortium policy that would address grant awards. The Comptroller then approved the policies. The policy is included in the RFP. To summarize,

- Some situations encourage the creation of a consortium. For example, when a smaller organization does not have the capacity to operate a program single-handedly, it may form a consortium with one or more other organizations to apply for funds.
- Although a consortium is established, only one of the consortium members can serve as the official applicant and fiscal agent.
- The partnership agreements that we spoke about earlier are required for each member of the consortium.

Consortium Policy (cont.)

- The applicant/fiscal agent must be an active partner (except for SUNY/CUNY Research Foundations).
- It cannot serve as a mechanism to pass grant funds through to other recipients.
- It cannot sub-grant funds to other partners unless the fiscal agent cannot provide the services itself.
- It is responsible for services provided by the partners, and
- It must coordinate the plan for the provision of those services.

The main points to remember about the policy are:

The applicant/fiscal agent must be an active partner in the consortium – that is, it cannot serve only as a mechanism to pass grant funds through to other partners.

The fiscal agent cannot sub-grant funds to other partners unless the fiscal agent cannot provide the services itself.

The fiscal agent is responsible for the services provided by the other partners and it must coordinate the plan for the provision of those services.

School Age Child Care Licensing

- Required for CBOs, colleges and universities, and municipalities
- Proposes to serve seven or more children under the age of 13
- Provision applies to after-school programs whether operated in schools or community locations.
- The Office of Children and Family Services (OCFS) Regulation 18 NYCRR Part 414
- Contact OCFS Bureau of Early Childhood Services for registration information

We are aware that the requirements of School Age Child Care licensing can be confusing. Hopefully the following information will help clarify who needs to obtain SACC licensing in order to run a 21st Century program, and to provide the safest environment possible for the children you propose to serve.

Applicants must obtain School-Age Child Care (SACC) registration in accordance with New York State Office of Children and Family Services (OCFS) Regulations if the lead applicant is a community organization, college or university, or municipality and proposes to serve **seven** or more children under the age of 13.

Whether the program operates in a school building or community based site, it must meet SACC requirements pertaining to buildings and equipment, discipline, fire protection and safety, staff background checks and clearances, etc. Programs that serve some children over the age of 13 and 7 or more children who are under the age 13 must complete the SACC registration process. If the program proposes to **ONLY** serve children 13 or older, a SACC license is not required, although it is certainly advisable for the purpose of addressing the overall safety of all children involved.

Prior to receiving 21st Century funds and prior to providing services to students, this registration process, where required, must be completed. Applicants are encouraged to notify the appropriate regional OCFS office of their intent to seek registration once proposed sites have been identified, as the process can take several months. This will expedite the approval process subsequent to award notification. A list of regional offices for OCFS is located in appendix 5 of the RFP.

Upon grant award notification, a copy of the SACC license for each approved site must be submitted to the Department's 21st Century program office.

Preparing the Budget

- Use FS-10 Budget Form
- Costs are to be adequate and reasonable
- Transportation costs are allowable
- Nutrition costs are not allowed
- If equipment has a unit cost of \$5,000 or less, place it in “supplies”
- No budget narrative

All proposed budgets for the 21st CCLC program are to be prepared on an FS-10 form. The link to the form, as well as to the Department’s fiscal guidelines, is available on page A-15 in the RFP. Remember that the FS-10 must bear the original signature of the Chief Administrative Officer of the lead fiscal agent.

Costs for your 21st CCLC proposal should be adequate and reasonable. There is no minimum or maximum cost per child, as costs will vary according to geographic area, as well as from proposal to proposal. The important thing is that costs should be adequate in order to offer quality programming, and reasonable within the context of your organization and community.

Transportation costs are allowable, including busing or other forms of public transportation such as the use of Metro cards in New York City, and/or field trips.

Funding for nutritional services must be obtained from sources other than 21st Century. It is strongly encouraged that children be provided with a healthy snack as part of a comprehensive program. Many schools will be eligible to receive funds through the United States Department of Agriculture (USDA) Food and Nutrition Service for after school snacks, and in some cases, to provide meals. The website for USDA is listed on page A-38 of the RFP.

For an item to be considered as Equipment, it must have a unit cost of \$5,000. If the unit cost is under \$5000, these items are considered to be Supplies and Materials. Small incentives for students are allowed, such as T-shirts, book bags, etc.

A budget narrative is no longer a part of the budget or proposal for funding. The program narrative should include a little more detail so that the budget is understandable to the reviewer.

How to Calculate Indirect Costs

- Costs that benefit more than one program
- Cannot be readily assigned to one specific program
- Examples:
 - Photocopier
 - Clerical support
 - Electricity
- The modified direct cost base used to calculate indirect costs
- Exclude the portion of each subcontract in Purchased Services exceeding \$25,000 and any flow through funds

Indirect costs are costs that benefit more than one program and cannot be readily assigned to one specific program. Examples of indirect costs include printers, electricity, human resources and payroll services, central storage and clerical support.

All entities, except for-profit agencies, are eligible to claim indirect costs in their proposed budgets.

Please be careful when calculating the modified direct cost base used to calculate indirect costs in Code 90 on the FS-10 Form. Many applicants forget that the fiscal agent must exclude the portion of each subcontract listed in Code 40 for Purchased Services that exceeds \$25,000.

Indirect Cost Rates

- School Districts and BOCES – Department determines.
- Colleges and Universities – 8%.
- CBOs, Charter Schools and Municipalities
 - Prepare budget using 2.6%.
 - If selected for funding, can apply for up to 8%.
- Upon approval, a budget amendment is required.
- Higher rate is approved on an annual basis.

The Department calculates indirect cost rates in accordance with the U.S. Department of Education regulations. Restricted indirect cost rates are to be used for 21st Century grant awards.

The Department determines school district and BOCES indirect cost rates. Check with the school's business office to find out what rate to use if the school or BOCES is the lead agency.

Colleges and universities can use an indirect cost rate of 8%.

CBOs, Charter Schools and Municipalities must prepare their proposed budgets using a 2.6% indirect cost rate. If selected for funding, the agency may then apply to increase the indirect cost rate to a maximum of 8%. This request must be made to the Department's Grants Finance Unit and, once approved, a budget amendment must be completed to adjust existing funds to accommodate the higher rate.

Please note that the higher rate must be applied for and approved by the Grants Finance Unit on an ANNUAL basis.

21st Century Community Learning Centers



Quality Programs

For the next several slides we will discuss elements that are important in creating a quality 21st CCLC program.

Quality Programs

- Meeting the needs of students and families
- Effective Partnerships
- Meaningful Involvement
- Positive Youth Development
- Quality Objectives
- Principles of Effectiveness
- Ongoing Evaluation/Self Assessment

21st Century Programs involve a comprehensive approach to providing quality out of school time experiences for students and their families. We will focus on what is involved in creating a quality program, and sustaining quality through the life of the 21st Century grant.

Topics we will cover are:

Meeting the needs of Students and families

Effective partnerships

Meaningful Involvement of students and families

Positive Youth development

Quality Objectives

Principles of Effectiveness

And Ongoing Evaluation and self assessment

Meeting the Needs of Students and Families

- Describe the community where students and their families live
- Based on local data (Be specific!)
 - Poverty / free & reduced lunch rates
 - Literacy / education levels
 - Needs of the community
- Provide services not currently available, and literacy services for families

Meeting the needs of students and families: In the Need for Project section of the RFP, it is important to describe the community where students and their families live. Be sure to reference local data which includes but is not limited to poverty, free and reduced lunch rates, literacy and education levels, and needs of the community. The proposal must convey a concrete understanding of the community, as well as what services are not currently available to families in order to help frame the proposal in relation to need for a 21st Century program in that area.

Be mindful to provide data that is current and specific enough to strongly support those needs.

Providing literacy and other educational development opportunities for families of students is an essential element of 21st Century programming, along with academic enrichment and youth development. Opportunities for families should be ongoing, such as computer classes, GED classes, English as a second language, job readiness skills, etc. While it is important and valuable to invite families to the program for celebrations, presentations and family nights, the focus of family involvement regarding literacy and education needs to be ongoing.

Effective Partnerships

- At least one LEA and one CBO
- Collaboration in planning and design
- History of working together
- Substantial roles in delivery of services, sharing grant resources and having significant involvement in management and oversight
- Linkages with the school day
- Program activities are integrated with the regular school day program
- Clear communication

Effective Partnerships: All 21st Century programs must reflect a partnership between least one local education agency and one community-based organization.

Effective partnerships usually begin prior to writing the actual RFP, when potential partners meet regularly to collaborate and plan for program design.

A solid partnership should be evident through all stages of programming, from initial planning through implementation, to evaluation. It can be very obvious to grant reviewers when partnerships are thrown together at the last minute to apply for funding. So whenever applicable, include a description of the history of working together.

The various partners should have substantial roles in the delivery of services and sharing of grant resources, and they should have significant involvement in management and oversight of the grant.

Linkages with the school day is one of the most important aspects of the 21st Century grant, and developing strong partnerships to promote those linkages is paramount.

The RFP should describe how program activities will be aligned and coordinated with the regular school day and how staff will collaborate with school day teachers.

It is also important to discuss with school partners how records will be accessed for evaluation and reporting purposes. At times this can become a stumbling block between schools and outside agencies so be sure to address the issue as part of program design.

Methods of communication between schools and community organizations that are well-defined from inception of the program will be beneficial for all involved throughout the life of the grant.

Meaningful Involvement of Students and Families

- In Planning and Design
- During Program Implementation
- Assisting with Evaluation

Meaningful Involvement of Students and Families: A quality 21st Century program establishes a strong collaboration and relationship with students, families and the community in order to achieve program goals. You will find that the theme of promoting meaningful involvement of students and families is woven throughout the RFP.

Students and families should be involved in all aspects of the program, beginning with planning and design. One way to receive initial input is to gather information via student or parent surveys, focusing on wants and needs for programming. All partners, including youth, families, and the community, need to decide how youth participation will be incorporated. There are several questions to keep in mind when thinking about how to involve students and families in your program, including; How will consistent and active participation be promoted from the start, and how will families be involved in decision making and planning?

Once the program is implemented, what opportunities will youth participants have to express their ideas, concerns and opinions? How will program staff communicate with families regarding information about matters concerning their child, as well as information about community resources to meet their needs? When evaluating the program, how will students and families be meaningfully involved? What methods will be used to gain insight and feedback from these most important stakeholders? All of these questions should be carefully considered when planning for programming

Positive Youth Development

- Focus on the whole child
- Help youth build and maintain positive relationships with adults, peers and the community
- **Services:** Doing FOR Youth
- **Supports:** Doing WITH Youth
- **Opportunities:** Done BY Youth

By focusing on the whole child during programming, staff can help equip students with the skills they need to be more ready to learn during the school day, as well as helping them to build and maintain positive relationships with adults, peers and the community. Offering enrichment to students in core academic areas as well as in the arts, technology, recreation and health is a way to promote social and emotional development and learning, and an overall sense of well-being.

Providing opportunities for positive youth development should be inherently woven into the fabric of 21st Century programming. Staff can offer participants avenues for building positive developmental assets through services, supports and opportunities:

Services are those things that are done for youth through the provision of resources, knowledge or goods. Examples include nutrition services and mental health services.

Supports are those things done with youth, often in the form of interpersonal relationships and developed through activities such as tutoring, mentoring, Big Brothers and Big Sisters, etc.

Opportunities are things done by youth - providing chances for exploration, personal expression, and self-determination. Examples include service learning projects and student leadership opportunities.

Principles of Effectiveness

Programs based on:

- Assessment of objective data to identify need
- Research-based program activities that meet the stated needs
- An established set of performance measures (achievement, attendance, behavior, etc.) to demonstrate outcomes

Creating a quality 21st Century program involves basing that program on certain Principles of Effectiveness. They include:

1. Assessment of objective data to identify need. Applicants should prove need through current and specific data regarding students, families and the community where they live.
2. Use of research-based program activities to address the identified needs. When providing services in core academic areas where scientifically-based research has been conducted and is available – such as reading and math – a 21st Century program should employ strategies based on that research.
3. Development of an established set of performance measures (achievement, attendance, behavior, etc) to demonstrate outcomes.

What this means is that you need to plan for programming as you go along. Sound planning and a focus on research-based activities and learning will be the key to program quality. Remember to keep these principles in mind as you develop your program goals and objectives.

Developing Quality Objectives

- Based on Performance Indicators

Developing **SMART** Objectives:

- Objectives are **S**pecific and activities detailed
- Desired outcomes can be **M**easured
- Objectives are **A**ttainable and **R**ealistic
- Objectives include **T**imelines for progress

By developing SMART program objectives, applicants will create a framework for quality programming, and a roadmap for useful evaluation and sustainability efforts.

Always remember Objectives should be based on the federal 21st Century Performance Indicators, which are listed in Appendix 7 of the RFP, and will be reviewed in the next slide.

All objectives should be Specific, with detailed program activities to support the objective, so that outcomes can be Measured.

It is important that objectives be Attainable and Realistic. Saying that you will have 100% parent participation, or that 95% of students will increase their test scores by a whole letter grade in one year may be wishful thinking, but may not be realistic nor attainable. It is admirable to create rigorous objectives in order to promote positive achievement, just don't set the bar so high that desired outcomes will be out of reach.

Finally, objectives should include a Timeline for progress which will help with data collection to measure success of the students and the program.

Performance Indicators
Appendix 7

Objective 1 – 21st Century Community Learning Centers will offer a range of high-quality educational, developmental, and recreational services for students and their families.

- 1.1 Core educational services.
- 1.2 Enrichment and support activities.
- 1.3 Community involvement.
- 1.4 Services to parents and other adult community members.
- 1.5 Extended hours.

Objective 2 – Students participating in 21st Century Community Learning Centers programs will demonstrate educational and social benefits and exhibit positive behavioral changes.

- 2.1 Achievement.
- 2.2 Behavior.

The goal of all 21st Century programs in the United States is to enable public elementary and secondary schools to plan, implement, or expand learning opportunities for the benefit of the educational, health, social service, cultural and recreational needs of students and their families.

Performance Indicators, listed in their entirety in Appendix 7 of the application, are designed to support the development of program objectives for implementation and student outcomes that meet this federal statutory goal.

Those of you who have written previous 21st Century grants may notice that Objectives 1 and 2 have been reversed for this RFP. The reason for this is that common sense tells us that Implementation leads to Outcomes, not the other way around. Therefore, Objective 1 now reflects activities and services that will be offered to students and their families, and Objective 2 reflects the gains that students will make as a result of those services.

Developing individual program objectives will be explained more clearly in the next slide.

<h2 style="text-align: center;">Template for Goals and Objectives</h2> <p style="text-align: center;">Appendix 8</p>		
<p>Objective 1: 21st Century Community Learning Centers will offer a range of high-quality educational, developmental, and recreational services for students and their families.</p>		
<p>Sub-objective 1.1: Core educational services. 100% of centers will offer high quality services in core academic areas, e.g., reading and literacy, mathematics, and science.</p>		
<p>Program Objective 1.1-1: <i>The program will offer opportunities for participants to utilize math and science skills through solving real life world problems in a constructivist learning environment.</i></p>		
Activities in support of this program objective	Performance indicator(s) of success	How progress will be measured
LEGO Robotics lab offered to students 3x per week for 12 weeks	30 Students will attend the Robotics Lab for 30 days or more	Attendance records

The new Template for Goals and Objectives can be found in Appendix 8 of the grant application. This template **MUST** be used when developing program objectives for your grant. Paste the template, **without the instructions**, into the body of your 30-page narrative.

This example shows just one program objective, but you may have more than one for each Sub-Objective. To add additional program objectives, simply copy and paste the rows and cells needed.

In this example, the Program Objective includes a concrete description of what your program will offer to achieve the Sub-Objective above it.

Activities to support the program objective should include **WHAT** participants will actually do. Note that activities should be quantified whenever possible.

Performance Indicators of Success state how you will know if the activity is successful.

How progress is measured describes the tools that will be used to measure this progress or success. In this case, Attendance records are used.

A reminder: Be sure to make all of your program objectives measurable, attainable and realistic.

Ongoing Evaluation and Self Assessment

Ongoing self assessment - NYSAN QSA
(Available at www.nysan.org)

Annual Performance Report (APR)

The Role of the Independent Evaluator

Benefits of evaluation

Evaluation and assessment is an integral part of all 21st Century programs. There are three major components to evaluation and assessment, beginning with the Quality Self Assessment process.

The New York State After-School Network (NYSAN) Quality Self Assessment tool (QSA) must be used twice each year. As outlined in the application, the quality elements in the QSA should also be infused into your proposal on all levels. You will find a link to the QSA under Program Requirements in the RFP. It is important to remember that the QSA is a planning and self-assessment tool - not an evaluation tool. The overall goal of self-assessment should be to elicit input from all stakeholders in order to promote program quality and effective outcomes.

The Annual Performance Report (APR) is a federal web-based reporting system and is required for all 21st Century grantees. This comprehensive report consists of data gathered for such things as attendance, free and reduced lunch rates, ethnicity, ELA and Math grades, state assessment scores, program activities and components, teacher surveys, and more. Programs need to be aware of this report from the onset in order to gather necessary data throughout the year.

Each grantee must contract with an independent evaluator to conduct periodic assessment of the 21st Century program's progress toward achieving its objectives. The evaluator should also work in concert with you on the QSA and APR. The results of the evaluation must be used to refine, improve and strengthen the program, as well as made available to the public upon request. The cost of an independent evaluator may not exceed 5% of the total annual grant award.

There are many benefits of self-assessment and evaluation. Collecting concrete information and data about your program allows stakeholders to be constantly aware of program quality and areas for improvement. In addition, the data can be used to prove prior success and future need when seeking additional funding in order to sustain the program.

21st Century Community Learning Centers



Additional Information

There are a few additional things to note:

Peer Review

- Department staff do not review applications.
- Department selects peer reviewers to ensure a diversity of backgrounds (e.g., school personnel, CBOs) and geographic representation.
- Department trains the reviewers.
- If you would like to be a peer reviewer, you can apply online at www.emsc.nysed.gov/sss/ .

The Department administers the peer review process, but its staff do not review or score the applications. The Department selects reviewers to ensure that a large diversity of backgrounds are represented. The Department provides training for the reviewers so that they are appropriately prepared for the task. Individuals who want to serve as peer reviewers can apply to the Department, using the online system at www.emsc.nysed.gov/sss/

What happens after the Peer Review?

- Department notifies the successful applicants.
- Department prepares the grants for LEAs and municipalities; grant contracts or contracts for all others.
- The applicant signs and returns the prepared contract to Department.
- Both the NYS Attorney General and Comptroller must approve.
- Department initiates the payment process.
- Advance payment of 20% to all except for-profit organizations.

What happens after the peer review?

Once the peer review is completed there are several steps involved from notifying successful applicant to generating payment and starting programs.

After the Department notifies applicants who will be awarded 21st Century funding, the program office must prepare grants for LEA's and municipalities, and grant contracts for all others, including CBOs, colleges and universities, charter schools, and for-profit organizations. After being reviewed by the Department's Fiscal Management office, the grant contracts are sent to the applicant to be signed by the CEO, and returned to the Department. Both the NYS Attorney General and Comptroller must then approve them. This process may take up to six weeks. For LEA's and municipalities who have grants (not grant contracts) the turn-around time may be shorter.

Once grants and grant contracts are processed and approved, an initial payment of 20% of the annual award amount will be generated to the grantee. For-profit agencies will not receive advance payment, and must submit vouchers after services are rendered.

The process for completing contracts may feel cumbersome and takes time. The good news is that once your initial contract is in place, funding in the next 4 years flows more smoothly.

Questions about the RFP

Questions about the RFP must be submitted by email only to:

emsc21stcclc@mail.nysed.gov

Questions must be received by February 13th
Questions and answers will be posted by February 23rd at www.emsc.nysed.gov under “funding opportunities”

We understand that you may have follow-up questions regarding the RFP. Please feel free to contact the 21st Century program office at the email listed above. Your questions will be answered in a timely manner. All questions must be received by February 13th and will be posted in their entirety by February 23rd.

Thank you for your time. We hope this webinar has been informative, and wish you luck in your pursuit of 21st Century funding.

Appendix 2

NYSED Site Visit Monitoring Protocol

NEW YORK STATE EDUCATION DEPARTMENT

NCLB TITLE IV B- 21ST CENTURY COMMUNITY LEARNING CENTERS

SITE VISIT MONITORING REPORT

Provider Name:		Project #	
Site Visit Date:		Site Type:	
Program Address:			
Program Director:		Telephone #	
Director's Email:			
SED Staff Conducting Monitoring Visit:			

A:PROGRAM ADMINISTRATION	Yes	No	Did Not Observe	Comments
1) Maintains all required documents (e.g. health certificate, security clearance, insurance, etc.) where applicable.				
2) Creates and uses an employee handbook that clarifies internal policies and procedures.				
3) Creates and uses a parent or participant hand book that clarifies participant responsibilities, rules for program participation, etc.				
4) Maintains personnel files for all staff, including a current staffing table showing the days and hours of employment for all program staff.				
5) Maintains and has readily available participant files and documentation (including medical records), including				

documentation showing where participants are during program hours.				
6) Maintains current and accurate activity schedule with room assignments.				
7) Maintains current and accurate attendance records of participants.				
8) Negotiates use of school, CBO, and community resources to best meet the needs of participants and their families.				
9) SACC License is readily available (<i>please list expiration date as shown on license</i>) _____.				
10) Documentation for required finger printing of staff is maintained.				
11) Program administration and the fiscal department of the lead agency work together to prepare the budget and monitor spend-down.				
12) Fiscal records are readily available and complete.				
13) Time sheets and payroll records are readily available and complete, and are in accordance with federal regulations for tracking Time and Effort.				
14) System is in place to conduct the Program Quality Self-Assessment (QSA) two times each year.				
15) There is evidence of ongoing communication with program evaluators.				
16) Ongoing, relevant professional development opportunities are available for staff.				

B:ENVIRONMENT AND SAFETY	Yes	No	Did Not Observe	Comments
1) An efficient system is in place for safe check in/sign out of participants.				
2) An efficient system is in place for locating missing participants.				
3) There are adequate materials and supplies available for participants.				
4) Students are provided with a healthy snack and/or dinner.				
5) The physical environment is safe and free from health hazards (clean, well-lit, comfortable temperature, etc).				

6) If held at a school, the program has access to school equipment, including computer and science labs, libraries, classrooms, gyms and playgrounds.				
7) There is a system in place for advance notification of changes in pick-up and drop-off routines of participants.				
8) There is a system of safe transport of participants.				
9) Program staff is familiar with the school safety plan.				
10) Procedures are in place to ensure that staff are aware of and prepared to address individual student's special medical needs that may require immediate attention.				
11) Program staff is familiar with the school's Code of Conduct.				
12) Appropriate emergency procedures and supplies are present (1 st aid kit, fire extinguisher, safety procedures and fire exits posted, etc).				
13) Procedures are in place for early dismissals, emergency closings, lock-downs, etc.				

C: PROGRAMMING	Yes	No	Did Not Observe	Comments
1) The program incorporates high quality academic support into daily programming (homework, and/or tutoring).				
2) The program offers project-based, experiential programming that builds on the school day curricula and core subject areas.				
3) Enrichment and youth development activities in the arts, music, drama, recreation, technology, etc., are offered on a regular basis.				
4) Staff enables participants an opportunity to explore resources and issues in their community through service learning and other projects.				
5) In general, program activities are research based and assist students in achieving overall academic				

success.				
6) Students with special needs are included in programming.				
7) Staff Integrates opportunities for the development of participants' personal responsibility, self-direction, and leadership throughout the program.				
8) Staff are sensitive to the culture and language of program participants.				
9) An efficient system of communicating with school day staff is in place to monitor academic and behavioral progress of students.				
10) There is evidence of ongoing family literacy initiatives.				

D: STUDENT/PARENT/FAMILY AND COMMUNITY PARTNERSHIPS	Yes	No	Did Not Observe	Comments
1) There is evidence that students are involved in program design, structure and policy.				
2) There is evidence that the program involves families in decision making and planning.				
3) There are examples of parent and community communication throughout the program (newsletters, bulletin boards, etc.).				
4) There is evidence that families are provided with information about community resources to meet their needs.				
5) Parents and community members have the opportunity to be actively involved in the program, including serving as volunteers.				
6) Current Advisory Board listing is readily available and there is a regular schedule of meetings (3-4 times per year).				
7) Advisory board includes a wide array of stakeholders including superintendents, school principals, parents, students, community partners,				

elected local officials, etc.				
8) The program has relationships with community partners in order to enhance program offerings in the arts, culture, civic engagement for students, etc.				

E: SUSTAINABILITY				
1) The program has developed a long term plan for sustaining the program.				
2) Designated staff are working diligently to ensure that the program is sustainable once the grant period ends by accessing resources within the community and building relationships with local business and institutions, where available.				

Noted Best Practices and Recommendations:

Telephone Monitoring Protocol

21st Century Community Learning Centers Project

TELEPHONE MONITORING SUMMARY REPORT

Project Name _____ Date _____

Contract # _____

Name of staff person being interviewed _____

Job Title _____ Phone Number _____

XX

Baseline Information

Budgeted Number of children:

Daily attendance average:

Percentage of participants who come on a regular basis (2 or more days per week):

Number of program sites:

Grade levels served:

Hours of operation:

Days of programming per week:

= Hours per week:

Summer programming: Y / N If so, hours/days of operation:

Budget

Annual funding amount:

Fiscal administration:

Program Director has access to the budget and/or participates in fiscal planning and management. Y / N If so, in what manner. If not, why not?

Program Partners

Agencies or individuals currently sub-contracted as partners or vendors:

There is an Advisory Committee, made up of contracted partners. Y / N If yes, other individuals who serve on the committee:

Frequency of committee meetings:

Meeting agenda items typically include:

Staff and Training

Number of staff on a daily basis: _____ (by site or by entire program)

Breakdown of staff by position:

Professional development training opportunities for staff and frequency of training:

Staff team planning meetings (frequency and subject matter):

Program Details

Program length (start-up and end dates):

Nutritional Services: Breakfast Snack Dinner

How are nutritional services paid for?

Safe transportation home for participants: (school buses, taxi's, public transportation, parent pick-up, designated walkers, etc)

Regular fire drills: Y / N

Safety plans: Y / N For what types of emergencies?

Handbooks: Staff Handbook Y / N Participant Handbook Y / N

Parent Handbook Y / N

Nurse on site during program hours: Y / N If No, describe the procedure for dispensing medication and/or accessing immediate medical attention:

Program Dynamics

Incorporating academic support into daily programming (homework, tutoring, mentoring):

Examples of activity based learning that builds on the school day and core subject areas:

Unique enrichment opportunities and/or youth development activities:

Accommodations for children with special needs:

Meaningful student involvement in program planning:

Effective links between the after-school programming and the school day:

Ways in which the program promotes family literacy:

Level of program support from school administrators:

Evaluation

Outside Evaluation:

Name of program evaluator:

Amount the evaluator is paid:

Number of times the evaluator visits the program during the year:

Instrument(s) that the evaluator uses to evaluate the program: (APR, QSA, Focus Groups, surveys, etc)

Frequency of written reports by the program evaluator:

Self Assessment:

Frequency of use of the NYSAN Quality Self-Assessment Tool:

System for utilizing the QSA and participants involved in the process:

How the results of the QSA are used to improve program quality

The APR:

Review of the program's goals and objectives as stated on the APR (frequency, who is involved in the process):

Goals and Objectives are measurable and attainable:

Ways in which the program uses the APR information to improve program quality:

Sustainability

Efforts made to sustain the program:

BEST PRACTICES and SED RECOMMENDATIONS

Signed By: _____

Date: _____

Private School Consultation Form

**Private School Consultation Form
(To be completed by all applicants. Duplicate as needed.)**

Students who attend private schools in the area to be served by the proposed program are eligible to participate. If any private schools are located in the area to be served, the applicant is expected to consult with the private school officials during the design and development of the program on issues such as needs identification, services to be offered, service delivery, program assessment, and scope and size of services to be provided to private school students.

1. Are any private schools located in the area to be served by the proposed program?

_____ **yes** _____ **no**

2. If **yes**, list all private schools that were consulted but **declined** the opportunity to have their students participate. In the second column, print the name, title and phone number of the school that was consulted. In the third column, provide the date(s) and type(s) of consultation (e.g., face-to-face meeting, e-mail, fax, telephone call, letter and videoconference) and the reason(s) for declining. Private schools whose students will participate in the program should be listed on the Participating Schools Form on page A8.

Private School Name		Date(s) and Type(s) of Consultation and reason (s) for declining to participate.

New York State Guidebook for 21st CCLC Peer Reviewers

New York State Education Department

Peer Review Process

Round 5

April - May 2009

Foreword

This Guidebook is meant to assist you, the reviewer, in understanding the peer review process and your responsibilities as a reviewer. It also provides important guidelines for reviewing the applications.

Instructions for Reviewers

Dear Reviewer,

Thank you for your willingness to review 21st Century Community Learning Centers proposals for New York State's 2009 Round 5 funding competition. The New York State Education Department (SED) as well as the grant applicants are depending on you to read each of the proposals carefully, score fairly, and maintain confidentiality throughout the peer review process. Below is a list of items you will find in your reviewer's packet, with instructions and guidance about how to use each form.

Statement of Confidentiality: Please read and sign the statement of confidentiality. Mail back to SED immediately in the addressed envelope provided.

Statement Regarding Conflict of Interest: You will receive an email with a list of proposals that you have been assigned to review. If you have a conflict with any proposal based on the Conflict of Interest form, please contact SED immediately. If there are no conflicts please sign the form and return it along with the signed Statement of Confidentiality in the addressed envelope provided.

NYS Guidebook for Peer Reviewers: The Reviewer Guidebook contains background information about NCLB Title IV Part B: 21st Century Community Learning Centers, eligibility, program requirements, technical information, evaluation criteria for reviewers and an overview of the review process. *Please read this document in its entirety prior to reviewing any proposals.*

Demographic Perspectives from Around the State: Information has been gathered from existing programs around New York State to help reviewers get a sense of demographics, culture, challenges and benefits from many points of view. Depending on what geographical area you are reviewing and/or if your proposals are from a school district or a community organization, take some time to review information that may pertain to that particular region.

Scoring Guidelines for Reviewers: The Scoring Guideline contains the scoring rubric with adjoining information on what constitutes an excellent, good, fair or weak score for each element of the proposal. This document will be every helpful in discerning the difference between levels of quality.

Sample Technical Review Form: A sample review form is included in this guidebook. The actual fill-in review form will be sent to you by email along with your reviewer code.

Quick Notes:

21st Century applications were submitted on a CD. The CD was then uploaded onto the SED server to allow access by the assigned reviewers.

You will receive an email that contains your own individual password and reviewer code along with instructions on how to access the applications you have been assigned to review. It will also include the fill-in Technical Review Form to be used for each application.

If the CD contained more than one file, e.g., the program narrative, the budget, etc., these individual files have been placed together in a folder before it was uploaded to the server.

All application components are included on the files provided to you. However, when evaluating the application, you should only review the five sections of the Program Narrative, the Partnership Agreements and the FS-10 Budget Form.

You do not need to check for the required signatures. Some applications will show scanned signatures while others won't show any. SED has already verified that the paper copy of the application contained the required original signatures.

Although applicants may follow the formatting guidelines perfectly, sometimes the formatting was not maintained when the application was uploaded to the server. See the review guidebook for further discussion about formatting.

Helpful Links: The following links may help round out your knowledge about the 21st Century application process and the ten essential elements of successful programming.

- Link to the RFP: <http://www.emsc.nysed.gov/funding/pastrfps0809.html> The posting also includes the questions received from the applicants and SED's responses.
- Link to the Quality Self-Assessment Tool:
<http://www.nysan.org/content/document/detail/1991/>
Each 21st Century program is to conduct this self-assessment two times each year.
- Link to the Technical Assistance Webinar (in Word format):
www.emsc.nysed.gov/sss
This webinar was made available to all potential applicants during the competition.

Contacting SED: We understand that you may need SED guidance in order to move forward in reviewing a proposal (e.g., allowable activities, budget

discrepancies, formatting issues). SED staff will be available to answer questions each weekday, between 9am and 4 pm. Call 518-486-6090, and please ask for either Linda Woodward or Betsy Kenney.

Please check your email frequently. SED will forward to all reviewers any questions received, along with the answers, as well as any clarifying information that may be of help to all reviewers.

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I. INTRODUCTION TO THE APPLICATION PROCESS

A. Background

With the reauthorization in 2001 of the Elementary and Secondary Education Act, commonly known as the No Child Left Behind Act (NCLB), the responsibility for administering the 21st Century Community Learning Centers (21st CCLC) program was transferred to state education agencies. This program supports after-school programs and other extended learning opportunities (before-school, weekends, summers, etc.) for students and their families. Its fundamental goal is to provide a comprehensive array of programs and services through collaboration between schools and community partners. By providing academic enrichment and positive youth development opportunities to students, as well as family literacy and other educational programs for families of these students, these programs can make a significant contribution to closing the achievement gap in our neediest schools.

The U.S. Department of Education strongly encourages a peer review of applications to help ensure that proposed projects are worthwhile and that the review process is objective, fair and impartial. Your reviews are the foundation of higher level State Education Department funding decisions. As a result of your efforts, a select number of high quality applications will be funded for a period of five years. The Guidebook for 21st CCLC Program Application Reviewers is intended to improve the quality of application reviews and make your task easier by clarifying your responsibilities and sharpening your review skills.

B. Statutory Basis of the 21st Century Program

The 21st Century Community Learning Centers program is authorized under Title IV, Part B of the Elementary and Secondary Education Act, as amended by the *No Child Left Behind Act of 2001*. Its purpose is to create or expand 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 State and local student academic achievement standards in core academic subjects such as reading and mathematics;
- (2) offer students a broad array of additional services, programs, and activities, such as youth development activities, drug and violence prevention programs, counseling programs, art, music, and recreation programs, technology education programs, and character education programs, 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 literacy and related educational development.

A Community Learning Center must be located in a safe and easily accessible facility. It must offer services when school is not in session (before school, after school, during holidays or summer recess). The applicant must address how students will travel safely to and from the center and home.

C. Eligibility

Any public or private organization is eligible to apply for 21st CCLC funding. This includes public school districts, BOCES, charter schools, private schools, nonprofit agencies, city or county government agencies, faith-based organizations, institutions of higher education, and for-profit corporations. Priority will be given to applicants whose programs will serve middle level and/or high school students who attend schools that are currently identified as being in school improvement status. SED will check each application before the peer review to verify the eligibility of the schools and determine whether priority points may be awarded.

The applicant must demonstrate that its proposed program was developed and will be carried out in active collaboration among all partners including the eligible school(s) the students attend. A partnership signifies meaningful involvement in planning, as well as specific individual or joint responsibilities for program implementation. Each applicant/fiscal agent must submit, as part of the application, a signed Partnership Agreement (see Appendix 2) with each of its partnering agencies.

D. Definitions

Local Education Agency or LEA is usually synonymous with a school district. It is an entity defined under State law as being legally responsible for providing public education to elementary and secondary students. *For the purpose of the 21st Century funding competition, an LEA can also be a BOCES, nonpublic school or charter school.*

Community-based organization or CBO is a public or private nonprofit organization of demonstrated effectiveness that (a) is representative of a community or significant segments of the community; and (b) provides educational or related services to individuals in the community.

BEDS Codes – Each school building in New York State has its own unique identifying number code (assigned by the State Education Department) that is used for data reporting, payments, etc. BEDS stands for Basic Educational Data System. The BEDS code for each school is to be included on the Participating Schools Form

Indirect Costs are costs of activities that benefit more than one program or objective and, therefore cannot be readily assigned to only one specific program or objective.

Indirect costs are generally classified under functional categories such as general maintenance and operation expenses, general office and administration expenses, general overhead expenses and other allowable general expenses.

Purchased Services is the budget category for services to be provided by an organization or individual that cannot be provided by the applicant. Examples include transportation, instruction for an activity and the independent evaluator. There is no limit on the percentage of grant funds that the applicant can use for Purchased Services; however, the applicant must have an active role in the implementation of the program. The NYSED Consortium Policy for State and Federal Discretionary Grant Programs further defines the required active role of the applicant. The policy can be found in the first part of the 21st Century funding announcement at www.emsc.nysed.gov.

E. Program Requirements

All 21st Century Community Learning Centers (21st CCLCs) must have three strands of program activity: academic enrichment, youth development and family literacy/ educational programs for participants' families. In addition, programs are to be designed to reflect the 10 essential elements of high quality after school programs outlined in the Program Quality Self-Assessment (QSA) Tool that was developed by the New York State Afterschool Network. The QSA Tool is available at www.nysan.org.

- Environment and Climate
- Administrative and Organization
- Relationships
- Staffing and Professional Development
- Programming and Activities.
- Linkages Between the School Day and After School Programs
- Youth Participation and Engagement
- Parent, Family and Community Partnerships
- Program Sustainability and Growth
- Measuring Outcomes and Evaluation

SED requires all 21st Century programs to conduct the QSA two times each year for self-assessment and planning for program improvement. It provides an opportunity for program leaders and key staff, in collaboration with other stakeholders, to utilize a common set of standards to assess, plan, design and execute strategies for ongoing program improvement. The 10 essential elements of high quality after school programs listed below are the foundation for all professional development provided to 21st Century programs by SED, its Statewide 21st Century Technical Assistance Center and Regional Student Support Services Network Centers.

Additional information about the QSA Tool and other resources are available online at www.emsc.nysed.gov/sss/ by clicking on the link for 21st CCLC.

The activities listed below are allowable in 21st Century programs. They are intended to advance student achievement, positive youth development and services to families. Consistent with the goal of providing a comprehensive array of programs and service, applicants are strongly encouraged to incorporate several of these activities in their proposals.

- Remedial education activities and academic enrichment learning programs, including providing additional assistance to students to allow the students to improve their academic achievement
- Mathematics and science education activities
- Arts and music education activities
- Entrepreneurial education programs
- Tutoring services (including those provided by senior citizen volunteers) and mentoring programs
- Programs that provide after-school activities for limited English proficient students that emphasize language skills and academic achievement
- Physical fitness and wellness activities, nutrition education
- Telecommunications and technology education programs
- Expanded library service hours
- Programs that promote parental involvement and family literacy
- Programs that provide assistance to students who have been truant, or suspended, to allow the students to improve their academic achievement
- Drug and violence prevention, counseling programs and character education programs

F. Competitive Priorities

When you receive the applications to review, SED will have already verified the applicant's eligibility for funding and determined its competitive priority, if any.

1. Absolute Priority:

Programs must primarily target students who attend schools that are eligible under section 1114 for Title I school wide programs or schools that serve a high percentage of students from low income families.

2. Competitive Priority:

Section 4204(1) of NCLB requires that competitive priority be given to applications:

- proposing to target services to students who attend schools that have been identified as schools in need of improvement (SINI) under NCLB, Section 1116, and
- submitted jointly by eligible entities consisting of not less than one local education agency receiving Title I, Part A funds and a community-based organization or other public or private entity.

Additional competitive priority will be given to programs that serve middle-level students or high school noncompleters – i.e., high school students who have dropped out or who are at risk of not meeting the graduation requirements to earn a diploma – who attend SINI schools.

The priority for middle-level students is intended to encourage programs in the middle level grades where current state assessment data reveal significant achievement gaps. Applicants will be expected to propose programs that reflect a balance of activities between academic enrichment and youth development, as well as featuring interagency collaboration. Given the physical, emotional and psychological changes experienced by early adolescents, it is especially critical that programs and strategies be developmentally appropriate. In addition, youth development opportunities can provide positive ways to channel the needs of these students for exploration, personal expression and self-determination.

The priority for high school noncompleters is intended to encourage high school programs with a special focus on students who are at risk of not meeting the graduation requirements for various reasons including, but not limited to, low credit accumulation, difficulties with the required state assessments or attendance problems. In addition to receiving academic enrichment, many of these students would benefit from a broad array of programs and services including service learning to help them overcome these barriers to learning. Programs may also include efforts to reach out and serve students who have already dropped out of high school, but who would like a second chance to earn a diploma by re-enrolling in school.

II. PEER REVIEW TECHNICAL INFORMATION

A. Introduction

The New York State Education Department receives applications in confidence and protects the confidentiality of their contents. Every effort is also made to avoid any situation that would present a conflict of interest for a reader. Abuse of confidentiality and undetected conflict of interest undermines the entire review process. Please read this section carefully. You will be required to sign a statement of confidentiality prior to beginning the review. If you have concerns regarding any application you may be assigned to read, you are responsible for reporting this matter to the 21st Century program staff immediately.

B. Confidentiality

The entire grants review process is confidential. You may not discuss an application or your written comments or scores with anyone else before, during, or after your review. Do not, under any circumstances, contact an applicant to obtain further information.

Reviewers' comments are also confidential. Please use your reviewer code assigned by the State Education Department on all review forms.

Review forms are never provided to applicants before the reviewers' names have been deleted. A list of reviewers' names may be furnished, however, if requested.

C. Conflict Of Interest

The 21st CCLC Program staff attempt to eliminate any situation that would present a conflict of interest for a peer reviewer. All reviewers will be assigned to review proposals outside of their funding pool (New York City, Big 4 Cities or Rest of State). All reviewers must sign a statement of "no conflict" prior to beginning the peer review process.

Before you receive the applications for review, you will receive an email that lists the applications being assigned to you. Please review this list. If you have a conflict or think you may have a conflict, contact the 21st Century Program staff immediately. Also respond quickly by return email to verify that you have not identified any potential conflicts of interest.

Review assignments may be changed if necessary. Circumstances that could be called a conflict of interest may or may not exclude you from serving as a reviewer. If, at any time, you think you may have a conflict of interest, contact 21st Century program staff immediately.

Conflicts of interest may arise if:

- An application has been submitted for this competition in which you or your spouse will benefit financially from grant funds (if awarded).
- You or your spouse are affiliated with an organization that submitted an application, but you will not benefit financially from that application.
- An applicant named you as a consultant in an application with or without your prior knowledge.
- A situation exists that may be perceived as a conflict, such as reviewing proposals from your region of the State, reviewing proposals in which a family member (other than your spouse) stands to benefit financially, reviewing proposals from an organization or individual with whom you are negotiating employment, etc.

D. Freedom of Information Act

Each applicant can request to receive a copy of the reviewer comments for his or her application. The public may also request individual reviewer comments under the Freedom of Information Act (FOIA). Therefore, as you write comments, be aware that the Technical Review Forms will be sent to the applicants and may be sent to the general public. Even though your name is removed when the forms are made public, you must exercise care when writing comments. It is important that your comments are *clear, legible, well justified*,

and that they reflect a *thorough review* of the *entire application based on the selection criteria* governing this application.

III. GETTING STARTED

The applications have been stored on the Department's server for easy access by the peer reviewers. You will receive an email that contains your own individual password and reviewer code along with instructions on how to access the applications you have been assigned to review.

The applications you receive for review will contain the items listed below. ***The first three items (in italics) are not to be reviewed.*** Please review all others.

- *The Application Checklist (A-1)*
- *The Capacity Determination Form (A2-3)*
- *Required federal and State assurances.*
- Application Cover Page (A-4) – Includes the applicant's signature.
- Table of Contents (A-5) – Provides page numbers for various parts of the application.
- Partnering Agencies Form (A-6) - Partnership agreements are to be submitted for the listed partners of the program.
- Private School Consultation Form (A-7) – Documentation that private schools have been offered the opportunity to participate in the applicant's program.
- Participating Schools Form (A-8) – All schools that have students participating in the program. The principals of those schools must sign this form.
- Program Summary Form (A-9) – A summary of the applicant's funding and program experience and a brief checklist about the proposed program.
- Program Site(s) Form (A-10) – Applicants list the site(s) where the program will actually take place.
- Program Abstract – A one-page summary of the proposal.

- Program Narrative – A detailed description of the proposed program.
- FS-10 Budget for first year only, 7/1/09-6/30/10 – The required budget form that allocates funds to various categories such as salaries, supplies, etc.
- Partnership Agreement(s) – Attached to the application. There should be one for each partner listed on the Partnering Agencies Form. Sometimes there will be one Agreement signed by more than one partner. If that is the case, the Agreement must clearly delineate which partner is responsible for which activities.

Note: Applicants were directed **not** to submit supplementary materials such as letters of support, videos, publications, press clippings, testimonial letters, etc. because they will **not** be reviewed. Any that were included in the application package have been discarded. If by chance you find one, please disregard it.

IV. EVALUATION CRITERIA, DEMOGRAPHIC PERSPECTIVES, SCORING GUIDELINES AND THE TECHNICAL REVIEW FORM

A. Evaluation Criteria

The Program Narrative should respond to each of the five sections listed below.

- 1) Need for Project (12 points)
- 2) Quality of Project Design (38 points)
- 3) Quality of Program Evaluation (14 points)
- 4) Organizational Leadership and Quality of the Management Plan (16 points)
- 5) Adequacy of resources (20 points)

Each section has a maximum point value and contains specific evaluation criteria that have individual point values. You will determine the number of points to be awarded to each of the criteria, signifying Excellent, Good, Fair or Weak.

Excellent Specific and comprehensive. Complete, detailed, and clearly articulated information as to how the criteria are met. They will include well-conceived and thoroughly developed ideas.

Good General but sufficient detail. Adequate information as to how the criteria are met, but some areas are not fully explained and/or questions remain. Some minor inconsistencies and weaknesses.

- Fair** Sketchy and non-specific. Criteria appear to be minimally met, but limited information is provided about approach and strategies. Lacks focus and detail.
- Weak** Does not meet the criteria, fails to provide information, provides inaccurate information, or provides information that requires substantial clarification as to how the criteria are met.

As a reviewer, you are responsible for using only the evaluation criteria on the Technical Review Form to guide your rating of the applications. Sometimes the applicant will incorporate the response to one of the criteria in a different section. It is appropriate for the reviewer to evaluate and credit that information even though it is not in the expected section.

B. Demographic Perspectives

Appendix 1 contains demographic perspectives that may be reflected in the applications. These perspectives are intended to provide a sense of the communities that are to be served by the 21st Century program. Perspectives pertain to rural communities; the Big Four Cities of Buffalo, Rochester, Syracuse and Yonkers; Long Island; and an overview of the structure and organization of the New York City Department of Education

C. Scoring Guidelines

Appendix 2 has more detailed guidelines on how to determine whether the applicant's response to each of the criteria is Excellent, Good, Fair or Weak.

D. The Technical Review Form

Appendix 3 is a sample Technical Review Form. As you evaluate an application you will provide written comments and numerical scores for each of the evaluation criteria. You will enter these comments and scores on an electronic Technical Review Form that you will submit electronically to the Department.

The Technical Review Form consists of a cover page, summary page and a comment/score sheet for each selection criterion in each of the five sections of the narrative.

- The Cover Page includes your name and any comments about the application that you want to convey to the State Education Department. These are never shared with the applicants or anyone outside the Department.
- The summary page contains the scores for each of the five sections and the total score.

- The review forms identify all criteria for each section and provide space for reviewers to comment on the strengths and weaknesses of the applicant's response. The reviewer determines and records numerical scores reflective of those strengths and weaknesses.

The numerical scores you assign to an application's response to the selection criteria must be consistent with the comments you write. Comments and scores should reflect the same overall assessment. You should never pair a negative comment with a positive score, or vice versa.

Check your scores to make sure that you have written them correctly and used the appropriate point scale. You should also double-check the scores on the summary page of the Technical Review Form to ensure that they match the scores you have given for each section and that the final total has been computed without error.

V. THE REVIEW PROCESS

A. State Education Department Responsibilities

The State Education Department is responsible for identifying projects that best address the specific educational needs targeted by legislation. The responsibilities of the 21st Century Program staff who administer the peer review process include the following:

- Receive applications and verify eligibility and priority status of each
- Recruit and select peer reviewers
- Assign applications to reviewers
- Provide informational materials to prepare the reviewers for their responsibilities
- Provide technical assistance to the reviewers
- Verify final scores and recommend applications for funding
- Approve budgets and assist in the preparation of grants and grant contracts.

B. Reviewer's Role

Each application will be reviewed by three reviewers. Each reviewer is asked to read approximately seven or eight applications. Reviewers are selected by the 21st Century Program on the basis of their general and specialized experience in a program area. Reviewers are expected to draw upon their expertise in evaluating applications according to the scoring criteria included in the application package. The reviewer is the primary source of objective assessment and bears a large responsibility for making an accurate evaluation. Peer reviewers are expected to:

Before you start your review, consider the number of applications you must review and the amount of time allotted for your review. Then, decide how much time you can spend on each application. Some applications may require more time, others less; establishing a maximum number of hours for review will ensure each application receives sufficient attention.

Reading Tips

- Read with a purpose.
- Focus on information related to the criteria.
- Skim over nonessential information.
- Concentrate on key words/phrases.
- Read critically.
- Read quickly.
- Don't try to memorize.
- Take notes, if necessary.
- Relax and clear your mind of personal concerns.
- Minimize distractions.

C. Formatting Requirements

Formatting errors will result in considerable penalties - e.g., the proposal will not be reviewed in its entirety or the proposal will be rejected. The following requirements were included in the RFP.

- The Program Narrative cannot exceed 30 double-spaced pages, paginated, using one-inch margins and Times New Roman standard font in 12-point.
- The allowed 30 pages includes the "Template for Goals and Objectives Based on 21st Century Community Learning Centers Performance Indicators" (Appendix 7). The Template for Goals and Objectives may be single spaced in Times New Roman, standard style, in 12-point type using one-inch margins.
- Charts can be used **ONLY** to display numerical data or activity schedules. Charts may be single spaced but must be in Times New Roman, standard style, in 12-point type using one-inch margins.
- Other types of charts are not allowed. Charts cannot be used for narrative purposes.
- **The 30 pages do not include the Budget (FS-10), Partnership Agreement(s) or commitment letters that will result in additional funding or other support for the program.**

Although applicants may follow the formatting guidelines perfectly, sometimes the formatting isn't maintained when the document is saved on a CD. Therefore, please take particular note the following:

- The narrative is relatively close to 30 pages, double spaced and in a reasonably sized font for reading.
- The Template for Goals and Objectives is included.
- Other charts are used only to display numerical data or activity schedules.

Please contact 21st Century program staff immediately if you have serious concerns about the formatting of an application.

D. Analysis of Applications

Every application will respond to the evaluation criteria to some degree. Your task is first to locate the relevant response and then to analyze the quality of that response. Your analysis should be an objective appraisal that focuses on *how well* the application responds to the selection criteria.

Guidelines:

- The applicant's intentions must be clear and specific, not obscured by meaningless jargon.
- The ideas presented must flow logically.
- The application must provide a complete response to the selection criteria.
- The activities outlined in the different sections of the application must be consistent with each other.
- The activities proposed by the applicant must be consistent with current, accepted knowledge and ideas in that field.
- Formatting requirements have been followed.

E. Writing Comments

Your comments should focus on the strengths and weaknesses of an application's response *to the evaluation criteria*. Although you may find many additional strengths and weaknesses as you read, you are not expected to comment on each one.

Thorough evaluations of an applicant's responses to the selection criteria are very important. Comments should not simply describe what the application says. Comments must evaluate the application content concisely, clearly, and comprehensively. Be sure to differentiate comments based on fact from those based on professional judgment.

Guidelines:

- Be specific.
- Evaluate rather than simply describe.
- Document your evaluation.

- Be tactful.
- Write legibly.
- Use complete sentences.
- Use proper grammar and spelling.

VI. After the Review

- The 21st CCLC Program staff receives the reviewers' written evaluations, verifies their adequacy, and enters the scores into a database. Fundable programs (those that receive a score of at least 75 points) are then separated by geographic pool (New York City, the "Big Four" cities of Buffalo, Rochester, Syracuse and Yonkers or the Rest of the State) and ranked by score. 21st Century program staff prepare written funding recommendations for approval by the Department.
- Upon approval, the 21st Century program office notifies successful applicants and announces the awards.
- Funding begins July 1, 2009 for a period of five years.
- The 21st CCLC Program provides copies of reviewers' evaluations to all applicants who request them. EDGAR regulations entitle all applicants to receive such copies. In addition, applicants may receive a list of all the reviewers' names; however, evaluations are not attributed to specific reviewers.
- The 21st CCLC Program staff monitors the programs throughout the five-year funding period.

Reviewer Code:

Applicant:

Article I.

Article II.

Review Cover Page

Appendix 6
Application Scoring Rubric

Reviewer's Name (Print):

Notes for State Education staff:

Reviewer Affirmation: I have reviewed this form,
including

New York State Education Department
2009 – 2014 21ST CENTURY COMMUNITY LEARNING CENTERS
REVIEW FORM

TECHNICAL

Reviewer Code:

Applicant:

Article I.

Article II.

all mathematical calculations and attest that it is
thorough and accurate.

Reviewer's Signature:

Date:

TECHNICAL REVIEW FORM

Reviewer Code:

Applicant:

Article I.

Article II.

Summary Page

1. Need for project	12 points	<input style="width: 80%; height: 20px;" type="text"/>
2. Quality of project design	38 points	<input style="width: 80%; height: 20px;" type="text"/>
3. Quality of program evaluation	14 points	<input style="width: 80%; height: 20px;" type="text"/>
4. Organizational leadership and quality of the management plan	16 points	<input style="width: 80%; height: 20px;" type="text"/>
5. Adequacy of resources	20 points	<input style="width: 80%; height: 20px;" type="text"/>
Total	100 points	<input style="width: 100%; height: 25px;" type="text"/>

Rating Guidelines - the scores assigned on the following pages should align with these guidelines:

- Excellent** Specific and comprehensive. Complete, detailed, and clearly articulated information as to how the criteria are met. They will include well-conceived and thoroughly developed ideas.
- Good** General but sufficient detail. Adequate information as to how the criteria are met, but some areas are not fully explained and/or questions remain. Some minor inconsistencies and weaknesses.
- Fair** Sketchy and non-specific. Criteria appear to be minimally met, but limited information is provided about approach and strategies. Lacks focus and detail.
- Weak** Does not meet the criteria, fails to provide information, provides inaccurate information, or provides information that requires substantial clarification as to how the criteria are met.

New York State Education Department
 2009 – 2014 21ST CENTURY COMMUNITY LEARNING CENTERS
 REVIEW FORM

TECHNICAL

Reviewer Code:

Applicant:

Article I.

Article II.

Reviewer Instructions: Indicate the score which best describes your assessment. Indicate the subtotal for each section. Transfer the final section totals to the summary page.

1. NEED FOR PROJECT	EXCELLENT	GOOD	FAIR	WEAK	
maximum 12 points					
The narrative describes the community where the target population of students and their families live. (2 points)					
The narrative identifies specific needs of the children to be served and provides current and specific cited data that strongly document each of those needs. Data sources include, but are not limited to, academic achievement, percentage of students eligible for free and/or reduced lunch, percentage and/or rapid growth of limited English proficient students, incidence of risky behaviors and dropout rates. (4 points)					
The narrative identifies specific needs of the children’s families to be served and provides current and specific cited data that strongly document each of those needs. Data sources may include, but are not limited to, poverty rates, literacy rates and education levels in the community. (4 points)					
Describes how the program will provide services and activities that are not currently available. (2 points)					
TOTAL					

TOTAL SCORE 1. (maximum 12 pts.) _____

Reviewer Code:

Applicant:

Article I.

Article II.

Comments:

2. QUALITY OF PROJECT DESIGN (max. 38 pts.)					
Using the template, program objectives are clearly stated and measureable. Activities, performance indicators and measures are provided and aligned for each objective. (12 points)					
Demonstrate how the goals and objectives are linked to the identified needs of the students and their families. (3 points)					
Demonstrates that activities are based on knowledge from current research and/or best practices. (3 points)					
Describes how the activities will be aligned and coordinated with the regular school day and how staff will collaborate with regular school day teachers. (5 points)					
Describes the provisions that have been made to access student records for the purpose of program evaluation. (1 point)					
Provides the weekly schedule for each site with times and locations. Includes scheduling for vacation or summer programs. (2 points)					

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Describes how students and parents have been involved and will have ongoing, meaningful involvement in the planning and implementation of the program. (3 points)					
Describes plans for recruitment and retention of students in the program and expectations for regular attendance of students. (2 points)					
Describes procedures for taking attendance on a daily basis, by activity. (1 point)					
Describes how the program will ensure equitable access to and meet the needs of special populations (e.g., students with disabilities, English language learners). <i>Note: This is a GEPA requirement, see Appendix __.</i> Also describes how the program will disseminate information about the center (including its location) to the community in a manner that is understandable and accessible. (2 points)					
Describes how the program will meet health, nutrition and safety needs of the students as well as how students will travel safely to and from the center and home. (2 points)					
Describes plan to provide ongoing professional staff development that is based on the needs of staff and is directly aligned with the goals and objectives to promote quality programming. (2 points)					
TOTAL					
TOTAL SCORE 2. (maximum 38 pts.) _____					

Reviewer Code:

Applicant:

Article I.

Article II.

Comments:

3. QUALITY OF PROGRAM EVALUATION (max. 14 points)					
Identifies and describes the qualifications of the external evaluator who will collect and analyze data that assess progress toward meeting the program’s goals and objectives. (2 points)					
Describes the evaluation instruments that will be used and the types of data that will be collected including student attendance. (3 points).					
Indicates how frequently the evaluator will provide reports and feedback to the program. (1 point)					
Describes how the data and evaluation instruments are aligned with the goals, measurable objectives and expected outcomes					

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of the proposed program and the current Performance Indicators for all 21st Century Community Learning Centers. (4 points)					
Describes how information gained from the evaluation will be used to monitor progress and guide ongoing efforts for continuous program improvement. (2 points)					
Indicates how students and families will have meaningful involvement in the development and implementation of the evaluation process. (2 points)					
TOTAL					

TOTAL SCORE 3. (maximum 14 points) ____

Comments:

Reviewer Code:

Applicant:

Article I.

Article II.

4. Organizational Leadership and quality of the management plan. (maximum 16 pts.)					
Describes the applicant organization’s experience or promise of success in providing after school programs that enhance student achievement and positive youth development. (5 points)					
Includes a sustainability plan that describes efforts to maintain the when 21 st Century funding ends. (2 points)					
Describes management structure and responsibilities of key staff positions and the recruitment and role of volunteers. (3 points)					
Describes the role and responsibilities of each partnering organization for which there is a customized, signed partnership agreement. (4 points)					
Describes the composition, role and regular schedule of meetings of the program advisory committee that includes representation from program and partnering administrative staff, students, parents and community members. (2 points)					
TOTAL					

TOTAL SCORE 4. (maximum 16 pts.) _____

Reviewer Code:

Applicant:

Article I.

Article II.

Comments

5. ADEQUACY OF RESOURCES (max. 20 points)					
Describes the commitment of resources for the program, including, but not limited to, facilities, equipment, supplies and in-kind services. (4 points)					
Demonstrates that expenditures are reasonable and are primarily targeted to the provision of direct services to students. (4 points)					
Describes how federal, state and local funds will be combined or coordinated for the most effective use of public resources. (4 points)					
Describes purpose of the allocation of funds to each budget category of the FS-10 Budget Form. In particular, describe how Purchased Services are linked to the objectives and activities of the program. (8 points)					
TOTAL					

New York State Education Department
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REVIEW FORM

TECHNICAL

Reviewer Code:

Applicant:

Article I.

Article II.

TOTAL SCORE 5. (MAXIMUM 20 POINTS) ____

Comments

Roadmap of EDGAR and OMB Circulars

NY Regional 21st CCLC Training Sessions



March 2011
By: Brustein & Manasevit
www.bruman.com

Roadmap of EDGAR and OMB Circulars

- a) 80.20(b) (p. 58) – Standards for Financial Management Systems
- b) 80.22 (p. 60) – Allowable Costs
- c) A-87 Basic Guidelines (p. 8)
- d) A-87 Composition of Cost (p. 10)
- e) 80.23 (p. 60-61) - Period of Availability of Funds
- f) 76.707 (p. 38) - When Obligations Are Made
- g) 76.708 (p. 39) - When Certain Subgrantees May Begin to Obligate Funds
- h) 76.710 (p.40) - Obligations Made During a Carryover Period are Subject to Current Statutes, Regulations, and Applications.

Roadmap of EDGAR and OMB Circulars

- i) 80.32 (p. 67) - Equipment
- j) 80.36 (p. 69) - Procurement
- k) 80.42 (p. 79) – Retention and Access Requirements for Records
- l) 76.730 (p. 42) – Records Related to Grant Funds
- m) 80.40 (p. 76) – Monitoring and Reporting Program Performance
- n) 80.43 (p. 80) - Enforcement
- o) 76.401 (p. 19) – Disapproval of an Application – Opportunity for a Hearing

Roadmap of EDGAR and OMB Circulars

- p) Appendix B to A-87 – Selected Items of Cost
 - + Advertising (p. 1) (outreach)
 - + Personnel Costs (p. 2 – salaries and wages p.6)
 - + Meetings (p. 8)
 - + Travel (p. 9)
- q) A-133 – Single Audits
 - + 210 (p. 1) – Subrecipient and Vendor Determinations
 - + Comp. Supp.
 - + 200 (p. 2) – Audit Requirements
 - + 320 (p. 3) – Report Submission
 - + Pass Through (p. 8)
- r) 81.32 (p. 84) - Proportionality
- s) Appendix to Part 81 (p. 86) – Illustrations of Proportionality
- t) 81.33 (p. 84) – Mitigating Circumstances

QUESTIONS?



THE DISCLAIMER!

This presentation is intended solely to provide general information and does not constitute legal advice. Attendance at the presentation or later review of these printed materials does not create an attorney-client relationship with Brustein & Manasevit. You should not take any action based upon any information in this presentation without first consulting legal counsel familiar with your particular circumstances.

21st CCLC Mid-Year Report: January 2011

Lead Agency Program Information

Thank you in advance for filling out the mid-year report carefully and accurately.

IMPORTANT NOTES:

ONLY THE LEAD AGENCY GRANTEE SHOULD COMPLETE THIS REPORT.

Once you complete the report and hit "Done", you will not be able to go back and re-open the report or change answers.

*An asterisk denotes a required response.

*** 1. Lead Agency Name**

*** 2. Project Number (0187-11-xxxx)**

*** 3. Name and title of individual completing report**

*** 4. Phone Number**

*** 5. Email Address**

6. Number of program sites in this grant:

1

2

3

4

5

6

7

8

9

10

11

12

Appendix 8

Grantee Mid-Year Report

Independent Evaluator Information

*** 1. Name of Independent Evaluator**

*** 2. Evaluator's email address**

3. Frequency of contact with the evaluator

Daily

Weekly

Monthly

Quarterly

Other (please specify)

4. Primary method of contact with evaluator

Phone

email

in-person meetings

Other (please specify)

5. Extent to which the evaluator provides useful information that helps improve the program:

To a great degree

To a moderate degree

Slightly

Not at all

Comments

6. Frequency of written reports received from the evaluator. (Check all that apply)

- Monthly
- Quarterly
- Semi-annually
- Annually

Other (please specify)

7. What percentage of the total grant award is paid to the evaluator each year?

8. In what ways could the evaluator be more helpful to you in your efforts for ongoing program improvement?

9. Does the evaluator give permission to SED to share contact information (including name, email and phone number) with the 21st Century Statewide Evaluator and 21st Century Technical Assistance Center?

- Yes
- No

PROGRAM SITE INFORMATION

Page 5

Please fill out a separate page for each program site.

Name of Program Site

SUMMER Program Site Information

Is School Aged Child Care (SACC) License required?

Program Site Information Start and End Dates

Grade Levels Served

Hours of Operation

Target Enrollment (as stated in proposal)

Current Enrollment

Average Daily Attendance

Staff to Student Ratio

SCHOOL YEAR Program Site Information

Start Date

Grade Levels Served

Hours of Operation

Target Enrollment (as stated in proposal)

Current Enrollment

Average Daily Attendance

Staff to Student Ratio:

This program site's greatest success during the reporting period:

This program site's greatest challenge during the reporting period:

Have you completed entering information for all of your program sites??

5. Topics covered include: (Check all that apply)

- Youth Development
- Classroom Management
- Lesson Planning
- Project Based Learning
- SACC Mandated Training
- Safety (CPR/First Aid/AED)
- Violence Prevention
- Parent Involvement
- Student Engagement
- Partnering With Community Based Organizations
- How to use the NYSAN Quality Self-Assessment tool effectively

Other (please specify)

6. Please list details of TWO Professional Development events that occurred in the past six months.

Date	<input type="text"/>
Topic(s)	<input type="text"/>
Provider/Trainer(s)	<input type="text"/>
Number of Participants	<input type="text"/>
Number of Program Sites Represented	<input type="text"/>
Overall Evaluation of Training (Excellent/Good/Fair/Poor/No Eval)	<input type="text"/>
Date	<input type="text"/>
Topic(s)	<input type="text"/>
Provider/Trainer(s)	<input type="text"/>
Number of Participants	<input type="text"/>
Number of Program Sites Represented	<input type="text"/>
Overall Evaluation of Training (Excellent/Good/Fair/Poor/No Eval)	<input type="text"/>

Advisory Committee Information

1. Does your program have an Advisory committee?

Yes

No

2. If yes, how often does the program advisory committee meet on a regular basis?

Monthly

Quarterly

Every six months

Once a year

3. Please list those who participate in meetings: (Check all that apply)

Program Staff

Program Administrators

School Administrators

Community Partners

Evaluator

Students

Parents

Community Members

Other (please specify)

4. Agenda items include: (Check all that apply)

Program Planning and Design

Program Review

Budget Review

Use of the NYSAN Quality Self-Assessment Tool

Evaluator's Update

Other (please specify)

21st CCLC Mid-Year Report: January 2011

5. Dates of the last two meetings, number of attendees, and action steps taken at each meeting.

Date of Meeting

Number of Attendees

Action Steps Taken Toward Program Improvement

Date of Meeting

Number of Attendees

Action Steps Taken Toward Program Improvement

Program Quality Self-Assessment Tool

1. Has your program used the NYSAN Program Quality Self-Assessment Tool this year?

Yes

No

If No, why not?

2. Which stakeholders were involved in using the Tool to assess your program? (Check all that apply)

Program administrators

Program staff

School administrators

School staff

Students

Parents

Partnering Agencies

Volunteers

Community members

Other (please specify)

3. How/when has your program utilized the Tool? (Check all that apply)

At staff meetings

At advisory committee meetings

Gave to individuals to fill out on their own

Filled out the whole Tool at once

Focused on one Element at a time

Other (please specify)

4. Which Elements of the Tool has the program used to assess its level of competency thus far? (Check all that apply)

- Environment/Climate
- Administration/Organization
- Relationships
- Staffing/Professional Development
- Programming/Activities
- Linkages Between Day and After School
- Youth Participation/Engagement
- Parent/Family/Community Partnerships
- Program Sustainability/Growth
- Measuring Outcomes/Evaluation

5. Please briefly describe one improvement your program has made as a result of using the Program Quality Self-Assessment Tool.

6. Does your program need further assistance in learning how to use the Tool more effectively?

- Yes
- No

Student Involvement

1. Are students regularly and meaningfully involved in program design, structure and policy?

Yes

No

2. Describe how students are meaningfully involved.

Please give two examples of how program activities are linked with the school day.

Family Engagement

1. Family engagement opportunities that occurred during the last year:

- Program orientation
- Family events (game nights, movies, etc)
- Student showcases
- Cultural awareness events
- Volunteer opportunities

Other (please specify)

2. Please list the average number of parents or guardians attending the following activities:

Program orientation	<input type="text"/>
Family events	<input type="text"/>
Student showcases	<input type="text"/>
Cultural awareness events	<input type="text"/>
Volunteer opportunities	<input type="text"/>
Other	<input type="text"/>

3. Please list the average amount of time spent in the following activities:

Program orientation	<input type="text"/>
Family events	<input type="text"/>
Student showcases	<input type="text"/>
Cultural awareness events	<input type="text"/>
Volunteer opportunities	<input type="text"/>
Other	<input type="text"/>

4. Please briefly describe any practices that your program has found to be effective in improving parent participation in family engagement activities.

21st CCLC Mid-Year Report: January 2011

Program Challenges and Questions for SED

Please be sure to include program challenges, questions and/or concerns in the areas below, and State Education Department program staff will respond to your needs as soon as possible.

Thank you for completing the mid-year report!

1. Briefly describe any challenges your program has been facing, and steps taken to resolve them. Let us know if further assistance is needed.

CHALLENGE:	<input type="text"/>
Steps taken to resolve the issue:	<input type="text"/>
Results:	<input type="text"/>
Remaining problem(s):	<input type="text"/>
Assistance needed:	<input type="text"/>
CHALLENGE:	<input type="text"/>
Steps taken to resolve the issue:	<input type="text"/>
Results:	<input type="text"/>
Remaining problem(s):	<input type="text"/>
Assistance needed:	<input type="text"/>

2. Remaining questions or concerns for State Education Department program staff:

New York State Evaluation Tip Sheet for 21st CCLC Programs

Important to remember: Evaluation is not punitive. Evaluation is not something that is done to you. Evaluation is considered part of management and is paid for out of the management budget, it is not an expense to program delivery. Good evaluations will collect data in order to provide you with high quality information for you to use to help you make decisions to continuously improve your program.

What to expect from your evaluator:

Support regarding the Annual Performance Report (APR) Requirements -

- **Evaluators should help coordinate and have some involvement in the collection of data for the APR, particularly the teacher surveys, report card grades and student test scores.** Some evaluators do the actual collection, particularly in smaller programs involving a small number of schools, for instance. In larger programs, with multiple feeder schools, a program person may be given the task of actually collecting the data. **In New York City, evaluators should be familiar with Youthservices.net software and provide assistance with data collection using this system.**
- **Evaluators should provide technical assistance in the entering of the data for the APR and/or enter outcome data for the APR.** That includes the student achievement data, teacher survey data and indicating whether or not objectives have been met.

Support beyond the APR -

- **Evaluators should provide program administrators with a clear evaluation plan that makes clear what evaluation services will be provided within the designated budget.** Evaluators should explain to key stakeholders, especially program directors and program staff, what data will be collected as part of the evaluation beyond the data required for the APR, when it will be collected, and the reasons for collecting it (What the data will tell program management and how that information will help them improve or maintain the quality of their program). The evaluator must provide a timeline regarding the data collection schedule in order to ensure that the information will be provided to program management in time for it to be useful in decision-making. Possible data sources include: student surveys,

student focus groups, parent surveys, parent focus groups, program staff surveys, school administrator surveys/interviews, community based organization (CBO) partner surveys/interviews, site visit observations, etc. What data sources are used should be driven by what a program wants to learn, together with, how much an evaluator can do within the evaluation budget.

- **It is recommended that local evaluators include site visits as part of their program evaluation.** A typical number of site visits to a program is about 4 times per year, at a minimum, 2 per year, to determine such things as fidelity of implementation with the original proposal, whether the program is reaching its target population and target numbers, whether program is of high quality, if students are engaged, and any other indicators that would inform whether objectives stated in the individual grant proposal are being met. These are things that cannot be measured over a distance.
- **It is recommended that one site visit should include an observation of the parent/family component** with the above mentioned questions again considered.
- **Evaluators should provide ongoing feedback to program administrators, which should include suggestions for mid-course corrections.** This should be formal, such as monthly or quarterly reports, meetings, conversations and/or memos. In addition to ongoing, formal reporting, the evaluator should also provide an annual summary report including the analysis and interpretation of all data (including that reported in the interim reports), and conclusions and recommendations (including those previously made and reported). Nothing in this final report should be a surprise to program personnel if there has been ongoing **communication throughout the year. As communication is a two way street, programs have to keep their evaluator informed of all program plans, whether programmatic or administrative in nature, that might impact program implementation. This program responsibility should be included in any evaluation contract.**
- **Cooperation with the Statewide Evaluation is required of evaluators by responding to all surveys and/or correspondence initiated as part of the Statewide Evaluation.** An Annual Evaluation Report will be required to be submitted to The New York State Education Department for all Round 4 and the soon to be Round 5 programs beginning next program year, to be submitted in 2010. These are the first cohorts to be mandated to have an external evaluator.

Other recommended evaluation activities that program staff and evaluators have found to be especially helpful include the following:

- **Creation of a logic model with program staff is a strategy used by many evaluators to obviate to program personnel what was originally promised in the grant proposal, the purpose of the promised activities and the expected results of providing the activities. When the evaluator gets together with key stakeholders, at the beginning of a program, to collaboratively create a logic model of its program, it has been proven to be an extremely worthwhile exercise.** Many site coordinators and other program staff are

often not familiar with the grant proposal for their programs. The process of collaboratively creating the logic model is equally as useful as the actual product. The logic model itself can be revisited periodically and provides a nice frame of reference for ongoing productive discussions between the evaluator and key stakeholders.

- **The NYSAN Quality Self Assessment (QSA) instrument is a very useful checklist that offers programs a way to assess themselves in several areas that help them to pinpoint their compliance with mandatory pre-conditions and capacities for a quality program. The logic model, mentioned in the previous bullet, applies these pre-conditions and capacities as resources to the effective delivery of the 21st Century Community Learning Center program. The NYSAN QSA helps you to assess your material, organizational and personnel resources without which a high quality program is not possible. By facilitating the use of these two instruments, evaluators can provide essential guidance to program personnel on how to interpret the information provided by them. NYSED mandates the use of the QSA twice each year for programs to reflect on their programs' preconditions and capacities. While most elements should be in place before the start of your program, it is good to periodically reflect to make sure they are still in place. Evaluators, as facilitators of the tool, can be effective in offsetting the tendencies of some to score themselves too generously and not honestly reflect.**

- **While not currently mandated, it is highly recommended that evaluators attend the bi-annual TASE conference Evaluator Track sessions, of which there are typically two at each conference, and which are normally held in the fall and spring of each year.** These sessions help to increase the sharing of 'Best Practices' in evaluation and provide the opportunity to share and network. Attendance at the TASE Conference also benefits evaluators and the programs they serve in the receipt of updates and information from The Technical Assistance Center (TAC) program manager, State Evaluator and State Coordinator. The cost of this attendance should be included in any evaluation contract, including program commitment to pay evaluator travel to the conferences.

Grantee Work Plan Template

Template for Goals and Objectives Based on

21st Century Community Learning Centers Performance Indicators

The template below provides both the structure and focus to assist grantees in planning activities that are aligned with the performance indicators for the federal 21st Century Community Learning Centers objectives. **Copy the template, without the instructions, into the body of the program narrative.** Completed, it will count toward the allowed 30 pages.

- Insert your own program objectives below each sub-objective. If you have more than one for each sub-objective, they should be numbered 1.1-1, 1.1-2., etc.
- *Activity* should include a brief description of the activity and identify the number of days, sessions or hours that it will be offered.
- *Performance indicator(s) of success* is the desired outcome, such as “85% of the students will improve at least 5 NCEs on standardized test scores in math.”
- *How it will be measured* is the mechanism(s) that will be used to determine if the performance indicator(s) of success has been met, such as “NYS Regents and standardized tests.”

Objective 1: 21st Century Community Learning Centers will offer a range of high-quality educational, developmental, and recreational services for students and their families.		
<u>Sub-Objective 1.1:</u> Core educational services. 100% of Centers will offer high quality services in core academic areas, e.g., reading and literacy, mathematics, and science.		
Program Objective 1.1-1:		
Activities to Support This Program Objective	Performance Indicator(s) of Success	How It Will Be Measured

<i>Sub-Objective 1.2: Enrichment and support activities. 100% of Centers will offer enrichment and youth development activities such as nutrition and health, art, music, technology and recreation.</i>		
Program Objective 1.2-1:		
Activities to Support This Program Objective	Performance Indicator(s) of Success	How It Will Be Measured
<i>Sub-Objective 1.3: Community Involvement. 100% of Centers will establish and maintain partnerships within the community that continue to increase levels of community collaboration in planning, implementing and sustaining programs.</i>		
Program Objective 1.3-1:		
Activities to Support This Program Objective	Performance Indicator(s) of Success	How It Will Be Measured
<i>Sub-Objective 1.4: Services to parents and other adult community members. 100% of Centers will offer services to parents of participating children.</i>		
Program Objective 1.4-1:		
Activities to Support This Program Objective	Performance Indicator(s) of Success	How It Will Be Measured
<i>Sub-Objective 1.5: Extended hours. More than 75% of Centers will offer services at least 15 hours a week on average and provide services when school is not in session, such as during the summer and on holidays.</i>		
Program Objective 1.5-1:		

Activities to Support This Program Objective	Performance Indicator(s) of Success	How It Will Be Measured
<p>Objective 2: Participants of 21st Century Community Learning Center Programs will demonstrate educational and social benefits and exhibit positive behavioral changes.</p>		
<p><i>Sub-Objective 2.1: Achievement.</i> Students regularly participating in the program will show continuous improvement in achievement through measures such as test scores, grades and/or teacher reports.</p>		
<p>Program Objective 2.1 – 1:</p>		
Activities to Support This Program Objective	Performance Indicator(s) of Success	How It Will Be Measured
<p><i>Sub-Objective 2.2: Behavior.</i> Regular attendees in the program will show continuous improvements on measures such as school attendance, classroom performance and decreased disciplinary actions or other adverse behaviors.</p>		
<p>Program Objective 2.2 – 1:</p>		
Activities to Support This Program Objective	Performance Indicator(s) of Success	How It Will Be Measured