



Addendum to New York State's 21st Century Community Learning Centers Evaluation Manual

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Joint Responsibilities Between Local Evaluator and Program Administration

These responsibilities, and required or recommended supporting documents to be used to demonstrate the program's compliance with these responsibilities, are spelled out in the most recent Site Monitoring Visit Report Template (posted on the NYS 21st CCLC website at <http://www.nys21cclc.org/program-resources/forms/>).

- Evaluability and fidelity are established and maintained through active collaboration between program manager(s) and the local evaluator. The logic model is reviewed at least annually and updated as needed.
- Ongoing communication with local program evaluator(s) is maintained including attendance and participation in the Advisory group (also called an Advisory Council, Advisory Board, etc.)
- The program manager plays an active role in reviewing, editing as needed, and approving the Annual Evaluation Report, which is prepared by the evaluator. The evaluator maintains ongoing communications with the program manager and other stakeholders to ensure continuous, data-based program improvement.
- Students' satisfaction and perception of program impact is formally assessed at least once annually for all participants at each program site. (See *Requirements for Student Surveys*, below.)
- Participating students' day school teachers are surveyed once per year to assess perceived changes in students' behavior, academic engagement, and achievement. (See *Requirements for Day School Teacher Surveys*, below.)

Revised Local Program Evaluation Framework and Timeline

Modifications to this Framework, originally presented in the New York State's June 2013 Evaluation Manual, are shown in the following tables.

NYSED 21CCLC

Local Program Evaluation Framework & Timeline

This table outlines New York State's Requirements for Local Program Evaluations beginning July, 1st 2022

Activity/Deliverable	Description	Time	Person(s) Responsible	Purpose
Evaluability (Year 1)	Three stage process of ensuring that the program is ready to be evaluated, and establishing a practical, reliable and systematic way of studying program processes and outcomes.	Year 1 of the program	Program Director, Program Evaluator	For program leaders and the evaluator to create a set of guiding documents for mapping and measuring progress toward the achievement of outcomes.
Stage 1: <i>First Advisory Meeting</i>	Evaluator meets with key program stakeholders to review program theory, create or revisit the program logic model and to review and obtain consensus for the indicators and measures that will be used in the evaluation.	To occur by August 31	Program Director, Program Evaluator	For program leaders and program stakeholders to help build consensus of understanding of the evaluation. For evaluator to determine if the program can be effectively and reliably evaluated and, if necessary, to work with program staff to tie together any loose ends.
Stage 2: <i>First Site Visit</i>	First required site visit to check on program timeline, program/employee handbook, and program data collection procedures and to observe program implementation fidelity using a structured protocol.	30-60 days following the start of program. Typically in November or December.	Program Evaluator	For program leaders and site staff to be informed of program status regarding readiness to be evaluated. For evaluator to determine the program's readiness to be evaluated.
Stage 3 <i>Evaluability Process Checklist</i>	Evaluability Process Checklist guides the evaluator through Stages 1 and 2 in the process. It is to be completed by the Program Evaluator and submitted to NYSED by the Project Director.	Submitted by December 31 st	Program Evaluator, Program Director	For NYSED managers to identify possible technical assistance needs of grantees. This should be considered a formative assessment.

Activity/Deliverable	Description	Time	Person(s) Responsible	Purpose
Program Fidelity Check (Years 2 - 5)	Process of helping check that the program is being implemented as designed. Documents including, but not limited to, the following are reviewed and updated: program logic model and/or theory of change model , operational plans, and other guidance documents	Years 2 - 5 of the program	Program Evaluator, Program Director	For evaluator to check implementation fidelity and to assess the program's integration of improvement recommendations obtained from multiple sources. These sources include, but are not limited to: (1) the prior year's AER and other communications of evaluation findings, (2) feedback from stakeholders via the annual needs assessment/ satisfaction surveys, (3) TARC feedback and Action Plan items, (4) QSA findings
<i>Site Visit #1</i>	First of the two annual site visits, focused on observing early program level administration and implementation based on updated program plans, including the logic model/theory of change.	Annually in November or December.	Program Evaluator	For evaluator to observe implementation fidelity, considering updates and improvements, and share immediate, high-priority feedback with Program Director. (Usually less focused on point of service activity observations than Site Visit #2.)
Interim Evaluation Report	Formative report on: <ul style="list-style-type: none"> • Fidelity of implementation and other implementation issues • Progress toward objectives • Recommendations for program improvement 	Provided annually to program managers in February or March.	Program Evaluator	For program leaders to be aware of evaluation findings and recommendations for mid-course corrections. <i>*Reports may be collected from a sample of programs by NYSED to review with the TARCs and the Statewide Evaluator.</i>
Evaluator Attendance at Quarterly Advisory Meetings	Evaluator is required to attend and report on evaluation activities at mandatory program advisory meetings. Evaluator is present during meetings as an external evaluator to collect data on perceived strength of partnerships and community collaboration.	Schedule for annual Quarterly Meetings: <ul style="list-style-type: none"> • 1st Meeting – August/September • 2nd Meeting – November/December • 3rd Meeting – February/March • 4th Meeting – May/June 	Program Director, Program Evaluator	For program leaders to receive updates on evaluation. For evaluator to collect information regarding information dissemination, strength of partnerships and community collaboration.

Activity/Deliverable	Description	Time	Person(s) Responsible	Purpose
<p>Point of Service Quality Review <i>Site Visit #2</i></p>	<p>Second of the two annual required observations, focused on implementation and delivery of activities. Evaluators may use the Out of School Time (OST), Modified OST, or other valid, reliable observation instrument.</p>	<p>Annually during second half of program year; typically between March to May.</p>	<p>Program Evaluator</p>	<p>For program leaders to receive evaluator observation findings, both formally and informally. Samples may be collected by NYSED to inform technical assistance needs of programs.</p>
<p>Annual Evaluation Report (AER)</p>	<p>Summative report focusing on the program year ending June 30, plus any prior year findings that could not be reported in the previous AER. Report features the following key content:</p> <ul style="list-style-type: none"> • Findings from both site visits. • Results (including any approved updates) from the measurement of Performance Indicators (PIs) describing progress toward meeting implementation and outcome objectives. • Description of data collection methods, measures, data quality, analyses performed, limitations encountered. • Improvement recommendations for following year. If it is last year of funding, this section can provide implications for future program planning. <p>This report is required to follow the NYSED-approved AER Template. Additions to this template and/or other reporting and communications individualized for the client may also be provided.</p>	<p>Submitted annually by September 30th.</p>	<p>Program Evaluator provides to the Project Director for approval and submission</p>	<p>For program leaders to be informed of their program successes and areas where improvement is needed. NYSED will collect AERs from the Program Directors. They will be reviewed as part of the monitoring process to identify technical assistance needs. The Statewide Evaluator will study a rotating selective sample of AERs to identify trends, opportunities, and needs related to quality local evaluation.</p>

Activity/Deliverable	Description	Time	Person(s) Responsible	Purpose
Recommended Activities¹				
Collaboration & Sharing of Data Reported to NYSED & USDOE	<p>Required program and activity attendance and outcome data that are entered into the EZReports system at certain intervals.</p> <p>These data are uploaded into the Federal 21APR reporting system, which is also available to NYSED and program evaluators.</p> <p>More granular reports can also be generated to support local evaluations.</p>	<p>Student records: as soon as registration is known, updated as needed.</p> <p>Activity descriptions: by August 31, or before commencement of activities.</p> <p>Activity attendance: year round.</p> <p>Day school teacher(s): by May 1st.</p> <p>Survey of day school teachers (Teacher Survey): entered by NYSED/State Evaluator, distributed ca. May 14th.</p> <p>Other surveys: as specified by Performance Indicators.</p> <p>Outcome results: as specified by APR requirements and Performance Indicators</p>	<p>NYSED staff, Project Director, Program Evaluator (optional)</p>	<p>Student registration, attendance, participation and outcome records are required to inform the reporting of all 5 GPRA Measures required by the USDOE, and in many cases, also to assess local Performance Indicators.</p> <p>The Teacher Survey provides an assessment of student improvements in engagement in learning, using teacher reports; this is one of the 5 GPRA Measures required by the USDOE. These and other surveys might also be used to inform results of local Performance Indicators.</p>

¹ These are activities not explicitly required of the Local Evaluator, but strongly recommended (where consistent with the evaluation contract) in the spirit of Participatory Evaluation, to promote effective partnership between the program and evaluator, and to support the collection and reporting of high-quality data.

State-specific APR reporting requirements

- One day of participation is defined as three hours. An activity lasting more than three hours is counted proportionally as more than one day, while an activity lasting less than three hours is counted as a fraction of a day.
- A “family member” can include any adult who plays an important role in the child’s life. That person does not need to be in the same household.
- NYS programs do not use feeder schools; every school is either a partner school to the CBO sub-grantee or there is an LEA sub-grantee program site.
- “Day schools” are those schools at which students attend their regular instructional program. In LEA programs which have school-based program sites, the day school is generally the same as the program site. However, CBO sub-grantees often use their own premises, or schools, as program sites, which draw students from multiple partnering day schools.
- Collaboration includes joint planning and decision making.
- NYSED’s definition of a “partner” may be a CBO partnering with an LEA sub-grantee or an LEA partnering with a CBO sub-grantee. A “partner,” as distinguished from a “vendor,” is an entity that collaborates with the sub-grantee in program planning and decision-making. A vendor is an entity that enters into a contract with the sub-grantee to provide goods and/or services but is not a primary collaborator.
- NYS currently uses the State English Language Arts (ELA) and Math exams (when available) as the measure of student achievement for all sub-grantees. In addition, for sub-grantees not located in New York City, NYS also uses report card grades as an additional measure of student achievement. As of spring 2021, day school teacher surveys are required for all programs to obtain behavior and engagement indicators (as well as achievement indicators to replace gains in standardized test scores, which could not be assessed for the 2020-21 school year).
- Changes in federally required GPRA measures, which will be implemented as of the 2021-22 program year, will result in changes in APR data collection and reporting requirements, which will be detailed in a later revision of this addendum or in the new Evaluation Manual.

Requirements for Annual Evaluation Reports (AERs)

As of Year 2 (Program Year 2018-2019), all AERs are required to comply with the format, as well as the content, specified in the “Annual Evaluation Report Template” -- which may be updated annually – and is posted on the NYS 21st CCLC website (<http://www.nys21cclc.org/program-resources/professional-development-materials/evaluation-materials/>). A “fact sheet” may be posted each year, as needed, at the same URL, summarizing any changes from the prior year template.

Requirements for Day School Teacher Surveys

All programs are now required to administer a survey to the day school ELA and math teachers, or for elementary students, the classroom teacher, that is prepared by NYSED and updated annually as needed. These surveys assess teachers' perceptions of participating students' improvements in behavior and engagement in learning, which are among the GPRA measures required by the USDOE. These and other surveys might also be used to inform results of local and state-wide Performance Indicators, including academic achievement in years, and/or for grades, where standardized test gains are not available. Currently, surveys are to be administered in May of each year to the teachers of all students who have participated in at least 10 hours of the current year's 21st CCLC program since the start of the school year. (Students who only participate in the summer are not included in the teacher surveys.)

Requirements for Student Surveys

NYSED has decided that the Short-term Student Outcomes Survey (SSOS) is no longer required for any sub-grantees, and the State will no longer collect a sample of these surveys from selected sites. However, because students are the primary beneficiaries of 21st CCLC program services, NYSED has determined that evaluators are still required to administer either the SSOS or another student survey of their choice to inform local program evaluations, including objectives for social-emotional learning, or other indicators that are not addressed in the required teacher survey. Such surveys can also be useful for cross-validating or supplementing federal outcome indicators, as an opportunity to provide students with "meaningful involvement in program planning and design," as specified in the RFP, and for informing continuous program improvement, consistent with the QSA process. Quality standards for alternate surveys, discussed under *Requirements for all major data collection instruments*, below, must be adhered to.

Exceptions

In the case of populations (notably early childhood grades) for which age- and content-appropriate surveys are not realistic, it is highly recommended that input from these participants be obtained through other means, such as observations and/or focus group interviews.

Beginning in the 2018-19 program year, data collection on these populations through one or more of the above methods has become a requirement.

Requirements for Program Observations

As described in the evaluation manual, the second annual required site visit per program site is for the purpose of assessing 'point of service' quality of program activities. It is strongly recommended that the research-based OST (Out of School Time) Observation Instrument, cited in the manual, be used for this purpose. An "adapted" OST Observation Instrument ("OST-A") can now also be found at <http://www.nys21cclc.org/for-evaluators/>, to support observations of virtual programming. If there is a compelling need to use a different instrument – for example, if the grantee already has an established observation process that would make implementation of the OST or OST-A redundant – an alternative observation protocol may be used. Observations must use a structured observation protocol, and

quality standards for alternate observation protocols, discussed under *Requirements for all major data collection instruments*, below, must be adhered to.

Requirements for all major data collection instruments that are locally-selected or locally-developed

While no specific psychometric criteria are currently established for selection or creation of alternate surveys or observation protocols, careful consideration should be given to the AEA evaluation principles reproduced in the Evaluation Manual, including but not limited to: adherence to high technical standards, exploration of the shortcomings and strengths of the instruments, respect for differences among participants, and consideration of the possibility of producing misleading conclusions. It is recommended that published, validated instruments be used wherever possible if an appropriate instrument can be identified. In choosing or creating instruments, local evaluators should assume responsibility for ensuring the technical quality of the instrument, but should confer with program staff to ensure that the instrument is appropriate to use with the target population, and that it has face validity for assessing their local objectives.

Evaluators will be required to submit sample questions from, or attach copies of any alternate instruments they use in an appendix of the Annual Evaluation Report. In the body of the report, they will be required to make a case for the appropriateness and consistency with AEA principles of any key instruments that were locally selected or developed, and to comment on how useful the instruments proved to be in informing program improvement and local evaluation objectives.

Modifications to the Evaluability Process

In response to suggestions from the field, NYSED had re-examined expectations for the Evaluability Process and submission of the Evaluability Checklist. A new requirement for the July/August Advisory meeting agenda is the reassessment of the program logic model, and the adoption of any revisions agreed upon by all stakeholders. This annual logic model updating is now required in lieu of the annual submission of the Evaluability Checklist, which is now only required in the first year of the five year funding cycle.

Overview of Fidelity Monitoring

As noted in the 21st CCLC Evaluation Manual, evaluators are required to assess program fidelity as part of their evaluation of the success of a program's implementation. Broadly speaking, fidelity refers to how well a program adheres to its original design – or, where applicable, to *NYSED-approved* design modifications. This assessment can be encompassed by the following major program components:

- alignment of program outputs (scheduling, activity and participation levels) with the stated plan;
- alignment of program administration activities (such as development of documentation procedures, creation of a program handbook, and communications with stakeholders) with requirements in the Evaluation Manual and Addendum, and with the plan stated in the grant proposal; and
- quality of program activities (for example, providers' effectiveness in supporting student independence, or success in aligning program content with the school day), in alignment with the plan stated in the grant proposal.

Fidelity of program outputs can be assessed based on the extent to which implementation Performance Indicators have been obtained. For additional required grant components that may not be reflected in your Performance Indicators, fidelity should be assessed based on how closely these program activities align with what was described in your grant proposal or NYSED-approved program modifications.

Program fidelity is required to be assessed, at a minimum, at least once a year during the first site visit. Ideally, the assessment should be updated multiple times throughout the year so that any deficiencies can be addressed. The accompanying Program Fidelity Chart, developed by L&G Research, provides one example of how the status of fidelity of program outputs might be monitored. Evaluators should consider extending such monitoring to fidelity of program administration and implementation quality as well.

New Federal Vendor for APR Data

The 21APR system, managed by the Tactile Group, has replaced the Profile and Performance Information Collection System (PPICS) as the system that collects APR program data from sub-grantees for reporting to the U.S. Department of Education.

New State Vendor for Maintaining and Reporting Local and State Data

As a result of a Request for Proposals circulated by NYSED, a new vendor, ThomasKelly Software Associates (TKSA), was selected to develop and maintain a statewide data collection and reporting system for the 21st CCLC program, called EZReports. This data warehouse will link local program data with State SIRS data, and will generate APR reports for each sub-grantee. The system is able to upload sub-grantee APRs directly to the Tactile Group's 21APR. Resource Centers provide support on use of the system to program staff where possible; and ongoing trainings and technical assistance are provided by TKSA (see the "Support" link in EZReports for user guides, training videos, FAQs, and a link for submitting support tickets).

Data for Addressing GPRA Indicators on Student Achievement

NYSED currently requires reporting of ELA and Math assessment scores to assess student achievement outcomes. In addition, NYSED currently requires reporting of report card grades for sub-grantees not located in New York City. Due to barriers experienced in obtaining report card grades in NYC, NYSED is no longer able to require NYC sub-grantees to report this data. In addition, due to interruptions to standardized testing in spring 2019 resulting from the COVID-19 pandemic, NYSED is requiring collection of indicators of academic achievement gains through teacher reports, at least for spring of 2021.

Reporting Student Attendance

Annual reporting of student program attendance, a requirement stated in the original RFP for program sub-grantees, is primarily the responsibility of program administration, but is often supported by the local evaluator, depending on the sub-grantee's evaluation contract. Attendance, which was previously reported annually on the student attendance roster, is now documented (by student, by date and by activity) in EZReports. All attendance records must be brought up to date by July 15. These records are

used to determine whether programs are meeting their attendance targets (as described in the RFP), and beginning in Year 2, are being used to support the assessment of statewide program objectives. For this reason, also beginning in Year 2, student ID codes must be provided for all students who have an official district or state ID. Nevertheless, to protect privacy, students for whom district regulations regarding parental consent have not been met will not be included in the analyses.