What's New in Round 6

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

Let's take a look at the changes in requirements in this new 21st Century request for proposal.

What's NEW in Round 6

Submission of Proposals

- Electronic Submission through ReviewRoom
- In addition, mailed signed originals of:
  - Application Cover Page
  - Participating Schools Form
  - Partnership Agreement(s) (Appendix 1)
  - FS-10 Budget
  - Capacity Determination Form
  - Payee ID Form. Note: Payee ID Form is not required if applicant is an LEA

Contact ReviewRoom forTechnical Questions
(Not NYSED)
support@reviewroom.com

In previous competitions, applicants submitted only paper copies and/or CDs of the application package. For this funding competition, applicants are to submit proposals electronically, through the ReviewRoom portal. ReviewRoom is an online application submission system. In addition to the electronic submission that is due no later than December 14th, 2012 at 3:00 pm, a packet with original signatures of the key documents listed on the slide must be mailed to the Department with a postmark date of no later than December 14th, 2012.

Detailed instructions for the application submission are on page 21 of the RFP. Technical questions regarding the electronic submission of the RFP through the ReviewRoom portal should **not** be sent to the Department. Those questions should be directed to support@reviewroom.com.

Linking with the School Day and Education Reform

- Align and coordinate with regular school day curriculum and teachers
- Incorporate NYS and Common Core Standards
- Utilize the Department's Social Emotional Development and Learning Guidelines
- Support school and district goals
- Integrate Regent's Reform priority for college and career readiness

21st Century programs have always embodied connections with the school day and support of student's readiness to learn. Round 6 applicants must plan, describe and implement 21st Century program activities that will be even more clearly aligned and coordinated with the regular school day and school day teachers, the New York State and Common Core Learning Standards, and the Guidelines for Social and Emotional Development and Learning. All programs must offer program activities that support school and district goals, as well as the Regents Reform priority for college and career readiness.

Resources for standards, guidelines and Regents Reform are located on the Resources for Applicants page of the electronic RFP application.

Use of Time to Expand Learning

21st Century programs can operate:

- Before school
- After school
- Weekends
- Holidays
- Summers
- And/Or during school to extend the regular school day

Expanded learning time may include the time that a school extends its normal school day, week, or year to provide additional instruction or educational programs

Multiple program options may be used by all recipients of 21st Century grant funding, including before school, after school, weekends, holidays and/or summer recess. Under NY State's recently approved Elementary and Secondary Education Act waiver, 21st Century program funds may also be used to expand learning time within the school day. Expanded learning time may include the time that a school extends its normal school day, week, or year to provide additional instruction or educational programs for all students beyond the State-mandated requirements for minimum hours in a school day, days in a school week, or days or weeks in a school year. Using funds to extend the school day is optional for all applicants.

No matter what design a program chooses to implement, all programs must be implemented through a partnership that includes at least one school and at least one community organization with demonstrated records of success in designing and implementing before school, after school, summer learning, and/or expanded learning time activities.

The parameters for using funds during the school day are clearly outlined throughout the RFP and must be adhered to.

Priority Schools

- 5% of lowest performing public and charter schools in the state
- Required to expand learning time by a minimum of 200 student contact hours per year
- May opt to satisfy this requirement by implementing a 21st Century grant, before, during, after-school, weekends, summers and/or holidays
- Must ensure the integration of academics, enrichment, and skill development through hands-on experiences that make learning relevant and engaging
- Must complete the Priority School Certification Form

Priority Schools are among the lowest five percent in the State in terms of combined English language arts and mathematics performance that are not making progress, as well as those schools that have graduation rates below 60% for the last several years. Through the ESEA waiver, Priority schools must increase learning time by a minimum of 200 student contact hours per year. They have several funding options to support the increase in hours, one of which is now 21st Century funding.

It is important to note that Priority Schools may count 21st Century programming toward the 200 hour increase, even if they choose to have programming outside of the regular school day. Some partnerships may decide that offering services to children during non-school hours best meets the needs of student, family and community.

Priority Schools, in partnership with community agencies, that choose to use 21st Century funds to expand learning time within the school day must offer programming to all students, with the intent of serving at least 50% of the student population, and must ensure integration of academics, enrichment, and skill development through hands-on experiences that make learning relevant and engaging. They must not simply add more seat time for their students. Priority schools utilizing this option must complete a Priority School Certification Form, located in Appendix 10 of the RFP application.

More information about priority schools in relation to the 21st Century programming can be found on Page 10 of the RFP.

Focus Schools

- 10% of lowest performing of state public and charter schools of a specific student population
- Focus Districts determine Focus Schools
- Not required by the Department to expand learning time by 200 hours

Focus Schools are those in which the performance of an accountability group, (for example; racial or ethnic groups, low-income students, English language learners, or students with disabilities), is among the lowest performing in the State for English language arts and mathematics combined, and in which the accountability group is not making progress. Initially, Focus Districts were identified by the Department. Districts then determined which school buildings in the district would be identified as Focus Schools.

Although there is a strong need to provide comprehensive services to Focus schools, and a partnership involving a Focus School may choose to design a program that expands school hours, Focus schools are not required to expand learning time by 200 hours per year.

Funding Priorities

- Applications serving Priority Schools are eligible to earn Six (6) priority points when proposing to serve middle or high school students, or high school non-completers who attend Priority Schools. (High school non-completers are students who have dropped out or are at risk of not meeting the graduation requirements to earn a diploma).
- Applications serving Priority Schools are eligible to earn five (5) priority points when proposing to serve elementary students.
- Applications serving Focus Schools are eligible to earn three (3) priority points when proposing to serve middle or high school students, or high school non-completers who attend Focus Schools. (High school non-completers are students who have dropped out or are at risk of not meeting the graduation requirements to earn a diploma.
- Applications serving Focus Schools are eligible to earn two (2) priority points when proposing to serve elementary students.

Now for funding Priorities: As in the past, schools designated as being in accountability status will receive some type of priority points. New designations and names have been made by the Department since the last round of 21st Century funding in 2009. In this funding competition, priority points will be awarded to fundable applications that primarily serve students in Priority or Focus 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:

6 priority points will be added to the scores of applications that propose to primarily serve middle or high school students, or high school noncompleters who attend Priority 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. Applications serving Priority Schools are eligible to earn 5 priority points when proposing to serve elementary students.

3 priority points will be added to the scores of applications that propose to primarily serve middle or high school students who attend Focus schools. Applications serving Focus Schools are eligible to earn 2 priority points when proposing to serve elementary students.

Note that if an applicant is proposing to serve students from more than one school, at least 66% or 2/3 of the participating schools must be Priority or Focus in order to receive priority points.

Schools that have not been designated as Priority or Focus can still apply for 21st Century funding as long as they meet the basic eligibility guidelines for Free and reduced Lunch.

Funding Priorities, cont.

Example: Four schools are included in one application: School W is a Priority High School, School X is a Focus Middle School, School Y is a Focus Elementary School, and School Z is not in accountability status.(3 out of 4 schools are in accountability status which is 75%, thus making the application eligible for priority points).

- (School W at 6 points) + (School X at 3 points) + (School Y at 2 points) = 11 priority points
- (School W) + (School X) + (School Y) = 3 schools in accountability
- 11/3 = 3.67 priority points

Here is an example of how priority points for Priority and Focus schools will be awarded.

Four schools are included in one application: School W is a Priority High School, School X is a Focus Middle School, School Y is a Focus Elementary School, and School Z is not in accountability status.

3 of the 4 schools, or 75%, are in accountability status, making the application eligible for priority points.

School W's 6 points, School X's 3 points, and School Y's 2 points are added to = 11 points

11 points, divided by 3 schools in accountability status, = 3.67 Priority Points

Funding Priorities, cont.

In addition:

One (1) priority point will be given to applications that include high-need rural public school districts as defined by districts ranked number 4 on the Need/Resource Capacity Category Index.

In addition to priority points for Priority or Focus schools, in this funding competition schools that are located in high needs rural school districts in New York State may receive one extra priority point. The link for the list of high-need rural public school districts as defined by districts ranked number 4 on the Need/Resource Capacity Category Index can be found on page 9 of the RFP.

The need/resource capacity index is a measure of a district's ability to meet the needs of its students with local resources based on a ratio of the estimated poverty percentage to the Combined Wealth Ratio of the District. High Need Rural districts are at or above the 70th percentile and have: 1) fewer than 50 students per square mile; or 2) fewer than 100 students per square mile and an enrollment of less than 2,500. More information about the Needs Resource Capacity Index can be found on the Resources for Applicants web page of the ReviewRoom submission portal for the RFP.

Note that if an applicant is proposing to serve students from more than one school, at least 66% or 2/3 of the participating schools must be ranked as High Need Rural in order to receive a priority point.

Summary of Priority Points

5-6 Priority Points	2-3 Priority Points	1 Priority Point	0 Priority Points
Primarily serves elementary (5 pts), middle or high school students or high school non-completers (6 pts) who attend Priority Schools	Primarily serves elementary (2 pts), middle or high school students or high school non-completers (3 pts) who attend Focus Schools	Primarily serves high-need rural public school districts (as defined by districts ranked number 4 on the Need/Resource Capacity Category Index	Serves students who do not attend primarily Priority, Focus or high needs rural schools

This chart recaps how priority points are awarded.

As a reminder, the application is eligible for priority points only if it initially scores at least 75 points, and if 66%, or 2/3 of the participating schools are in accountability status or are high needs rural schools. 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.

It is important to remember that school and community partners may apply for this grant even if the partnering schools are not eligible for any priority points, but do meet the poverty eligibility guidelines. In the past there have been several grants awarded to high quality programs that did not receive any priority points.

Budget Restrictions

No more than:

10% for administrative costs (including Indirect Costs)

5% for planning and professional development

8% for Evaluation

Lead fiscal agent must provide 15% direct service

The goal of every 21st Century program should be to spend the vast majority of funds to provide direct programming for students and families. In this grant,

No more than 10 percent of the total annual award may be used for administrative costs, inclusive of Indirect Costs, for school or agency administrative or support staff who do not provide direct service to participants, such as: a school administrator being in the building during program hours, a CEO of a community partner organization, or support staff whose duties only include data entry and/or fiscal management, or general duties resulting in salaries being covered by indirect costs.

No more than 5 percent of the total annual award may be used for collaborative planning and professional development related directly to 21st Century programs.

No more than 8 percent of the total annual award may be used for independent program evaluation.

In a few slides we will discuss the Department's Consortium policy, and the Lead fiscal agent's requirement to provide a minimum of 15% direct service to participants.

Evaluation Reporting Requirements

- Evaluation Manual
  - Evaluability - getting the program's "big idea" and its measurement out of the narrative and into operation.
  - Implementation - measuring program operation: the procedures and the decisions made during program development; how the program operates – the services it delivers and the functions it carries out.
  - Impact - identifying the results of a program's efforts, answering the question: What difference did the program make?

All 21st Century grantees are required to hire an independent evaluator who will assist in supporting high quality programming, which in turn helps to ensure a high probability of positive student academic, social-emotional and behavioral outcomes. Round 6 program evaluators are required to use The Evaluation Manual, which contains a roadmap for evaluation that will assist in measuring program outcomes. Evaluation will include:

Evaluability - getting the program's "big idea" and its measurement out of the narrative and into operation. This is a critical point of contact in ensuring program success from the very beginning stages.

Implementation - measuring program operation: the procedures and the decisions made during program development; how the program operates – the services it delivers and the functions it carries out.

Impact - identifying the results of a program's efforts, answering the question: What difference did the program make? Was the program successful in addressing the needs as stated in the original application?

Round 6 program evaluators must, at a minimum, use the reporting tools and schedule which are detailed in the Evaluation Manual. The manual is located in the Resources for Applicants web page of the ReviewRoom submission portal for the RFP.

New in Round 6, cont

- Taking Attendance by Activity
- Documenting use of time during the school day
- Tracking costs allocated to the program

Evaluation and research data has shown that the longer students attend a 21st Century program, the more likely they are to achieve academic success. In the past, programs have been asked to keep attendance by day, not by time or activity. One student may have attended for 20 minutes and another for 2 hours, yet the attendance data may look the same for both. Round 6 Programs must provide a plan for keeping individual student attendance by time in each activity, in order to meet or exceed the legislative intent of a minimum of 90 hours per year (to equal 30 days per year at three hours per day), and to provide data that will more accurately reflect achievement.

Applicants choosing to utilize the 21st CCLC program to expand learning time by a minimum of 200 student contact hours per year in a Priority school must document procedures for monitoring program attendance during the school day.

Programs must have a documented system for tracking program costs that are specifically allocated for the 21st Century program, including funds spent during school hours. Schools may not use these dollars to supplant school day staffing and/or activities.

Ongoing Requirements
(what's not new in Round 6)

- 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 them 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. Certain roles and responsibilities listed on the Sample Partnership Agreement in this RFP are required, and in addition, partners should add customized details specific to the program they are offering.

-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 the presentation.

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

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.

Let's go over the Department's Consortium Policy.

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 that are included in the RFP. To summarize,

-The 21st Century grant requires the creation of a consortium, or in this case, a partnership.

-Although a consortium is established, only one of the consortium members may serve as the official applicant and fiscal agent.

- The partnership agreements discussed 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) and must provide 15% direct service
- 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 consortium 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 lead fiscal agent must provide direct service to youth and families in the program in the minimum amount of 15% of the total annual grant award. Direct services can include teachers, activity leaders, the provision of specific activities for students and families, site rental, school usage fees, etc.

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

Finally, the fiscal agent is responsible for the services provided by the other partners, and 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

The following information will help clarify who needs to obtain School-Age Child Care, or 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 SACC registration in accordance with New York State Office of Children and Family Services, or 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. If a portion of your program will operate during regular school day, a SACC license is not required during those hours.

Prior to receiving 21st Century funds and prior to providing services to students, the SACC 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 and Materials”
- No budget narrative
- Composite Budget

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 in the RFP. Remember that the FS-10 must be mailed and 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. 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 be 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 in the RFP.

For an item to be considered as Equipment, it must have a unit cost of at least $5,000. If the unit cost is under $5000, these items are considered to be Supplies and Materials. Incentives, rewards and awards for students are not allowed.

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

A summary Composite Budget is also required. It will reflect a summary of the budget categories on the FS-10 and the total number of children the applicant proposes to serve, resulting in a total cost per child. If the cost per student is over 1500 dollars, the application will not be reviewed. It is certainly allowable to have a cost per student of less than 1500 dollars.

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, with the exception of 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 dollars.

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.

No More than 10% for administration INCLUDING the indirect cost %.

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 a 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.

A Very Important aspect of this funding cycle to remember is the 10% administrative cap, which INCLUDES the indirect cost rate. For instance: If a CBO claims an indirect cost rate of 2.6 percent, they may only include administrative costs totaling 7.4 percent.