Alabama 21st Century Community Learning Centers

Operations Manual
Table of Contents

Foundations

1 The Law

2 Preparatory Procedures
   Laying the Foundation
   Advisory Council
   Pre-Opening Timeline
   Community Partners
   Joint Co-Applicant

3 Quality Indicators
   Program Management (Administrative/Leadership)
   Program Operations (Teachers/Daily Operational Staff)

4 Best Practice
   Finances
   Staffing and Students
   Academics and Enrichment
   Communication and Publicity
   Resources
   Additional Considerations

Operations

5 Program Operations
   Operational Hours

6 Financials
   Fiscal Oversight and Responsibility
   Budgetary Procedures
   Budgetary and Expenditure Reporting
   Administrative and In-direct Cost Allowances
   Necessary, Reasonable, and Customary
   Allowable and Non-Allowable Expenses

7 Fiscal Guidance and Considerations
   Supplanting vs. Supplementing
   Revisions and Carryover

8 Equipment and Inventory
   General Guidance
   Ordering Process
   Receipt and Cataloguing Inventory
9. Tuition and Fees

10. Transportation

11. Community Entity Funding Specifics

12. Safety
   - ALSDE Prevention and Support Services
   - Illness and Injury Emergency Plans
   - Premises Safety
   - Permits
   - Student Data
   - Student Attendance and Behavior

13. Compliance Assistance

14. Closeout Procedures
   - Records and Report Retention
   - Property (Equipment) and Supplies
   - Data Reports
   - Later Disallowances and Adjustments
   - Final Closeout

Students and Staff

14 Academic Enrichment
   - Educational Objectives
   - Resources
   - Lesson Plans and Activities
   - Best Practices
   - Field Trips

15 Employing the Right People
   - ALSDE Staffing Guidelines
   - General Policies
   - Interviewing and Hiring
   - Background Checks
   - Fingerprinting
   - Confidentiality
   - Orientation
   - Code of Ethics
   - Recording Hours / Timesheets
   - Professional Development
   - CPR Training
   - Volunteers
Foundations

1. The Law

The Federal and State laws pertaining to the appropriate administration of the 21st CCLC Grant are delineated. It is the grantee's responsibility to remain apprised of current legislation should the applicable laws and/or regulations change or be revised.

2. Preparatory Procedures

a. Guidelines, recommendations and suggestions for effectively planning and preparing to administer a quality 21st CCLC program are provided.
b. Pre-Opening Timeline, the Establishment of an Advisory Council, and the development of Community Partners – all in support of effectual program sustainability are included.

3. Quality Indicators and Best Practices

• From its inception to the completion of the project, these Quality Indicators should be utilized to perform regular Self-assessments of the ongoing operations and procedures of the program.
• Sound policies, procedures and resources for the effective management of the grantee's program are provided.
The 21st CCLC program is authorized under Title IV, Part B, of the Every Student Succeeds Act (ESSA), to provide opportunities for communities to establish or expand activities in community learning centers. The purpose of the 21st Century Community Learning Centers program, as described in Section 4201(a), is to establish or expand Community Learning Centers that accomplish the following:

- Provide opportunities for academic enrichment, including the provision of tutorial services to help students (particularly students in high poverty areas and those who attend low-performing schools) to meet challenging State and local academic standards.

- Offer students a broad array of additional services, programs, and activities that are designed to reinforce and complement the regular school day academic program of participating students.

- Offer families of students served by community learning centers opportunities for personal development in areas such as literacy and educational enhancement. The community learning center should develop and nurture the potential for parents and families to assist in instructing their children while supporting their children’s academic success and social development.

**USDOE web site for 21st Century Community Learning Centers**


**Elementary and Secondary Educational Act – Reauthorized as ESSA**

In the fall of 2016, the Elementary and Secondary Education Act of 1965 (also formerly known as No Child Left Behind) was reauthorized as the Every Student Succeeds Act – ESSA.

You may access the legislation in its entirety here – https://www.gpo.gov/fdsys/pkg/BILLS-114s1177enr/pdf/BILLS-114s1177enr.pdf

**USDOE 21st CCLC Non-Regulatory Guidance**

The Non-Regulatory Guidance documentation is intended to provide information to help state education agencies and eligible schools understand how to participate successfully in the federal 21st CCLC program. Using a question-and-answer approach, information is presented on the purpose of the program, allocation of funds to the states, the competitive award process within states, and evaluation and accountability, among other topics. https://www2.ed.gov/programs/21stcclc/guidance2003.pdf

Please be advised: As of October 2017, the Non-Regs are in the process of being updated by the USDOE, to reflect all changes enacted through the implementation of ESSA.
Federal Legislation, Regulations, and Guidance

Purpose and Program Description –
In support of the educational initiatives of the USDOE and Alabama State Department of Education (ALSDE), the 21st Century Community Learning Centers (21st CCLC) Competitive Grant funding is an opportunity for schools, community-based and faith-based organizations, universities, for-profit agencies, and other eligible entities to establish and expand community learning centers that provide students, particularly those who attend high-poverty and low-performing schools, with academic enrichment opportunities during non-school hours.

Successful programs must demonstrate collaboration and cooperation with regular school academic programs and assist students in meeting state and local college- and career-ready curriculum standards through the provision of enrichment opportunities. Programmatic efforts must afford students and families a broad array of activities that complement learning, positively impact youth development, and promote parent and family engagement.

Eligibility –
Any public or private organization is eligible to apply for a 21st CCLC grant. Examples of such agencies and organizations may be, but are not limited to, the following:

- Local Education Agencies (LEAs)
- Community-Based Organizations (CBOs)
- Faith-Based Organizations (FBOs)
- Institutions of higher education
- Non-profit agencies
- City or county governments
- For-profit corporations

Pursuant to ESSA, Title IV, Part B, Section 4204(b) (2) (H), with each proposal there is an expected standard of collaboration and coordination between any organization (CBO, FBO, Non-Profit Agency, public or private entity, etc.) and the local LEA. In like fashion, any LEA applying must partner, collaborate, and coordinate with at least one external organization within the community and/or State. An exception to this rule is only permissible by statute if the LEA can demonstrate it is unable to partner with a community-based organization within reasonable geographic proximity and of sufficient quality to meet the requirements of this component.

The proposed service site for a Community Learning Center (CLC) must be located within the geographical attendance zone of the eligible school(s) from which students will be served. By federal guidelines and statutes, the ALSDE must ensure that funding priorities and diversity among grantees are balanced with regard to geographical areas, urban and rural service sites, and as outlined within the applicable legislation.

Type of Projects

Each eligible entity that receives an award from the state may use the funds to carry out a broad array of before- and after-school activities (including those held during summer recess periods, weekends and holidays) to advance student achievement. These activities may include some of the following:
• Remedial education activities and academic enrichment learning programs, including those which provide additional assistance to students to allow the students to improve their academic achievement in 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 (LEP) students and that emphasize language skills and academic achievement
• Recreational activities
• Telecommunications and technology education programs
• Expanded library service hours
• Programs that promote parental involvement and family literacy
• Drug and violence prevention programs
• Counseling programs
• Character education programs

Legislation –

Title IV, PART B —
21ST CENTURY COMMUNITY LEARNING CENTERS
SEC. 4201. PURPOSE; DEFINITIONS

(a) PURPOSE — The purpose of this part is to provide opportunities for communities to establish or expand activities in community learning centers that—

1. Provide opportunities for academic enrichment, including providing tutorial services to help students, particularly students who attend low-performing schools, to meet the challenging State academic standards;

2. Offer students a broad array of additional services, programs, and activities, such as youth development activities, service learning, nutrition and health education, drug and violence prevention programs, counseling programs, arts, music, physical fitness and wellness programs, technology education programs, financial literacy programs, environmental literacy programs, mathematics, science, career and technical programs, internship or apprenticeship programs, and other ties to an in-demand industry sector or occupation for high school students that are designed to reinforce and complement the regular academic program of participating students; and

3. Offer families of students served by community learning centers opportunities for active and meaningful engagement in their children’s education, including opportunities for literacy and related educational development.

(b) DEFINITIONS — In this part:

1. COMMUNITY LEARNING CENTER — The term ‘Community Learning Center’ means an entity that—

i. Assists students to meet the challenging State academic standards by providing the students with academic enrichment activities and a broad array of other activities (such as programs and activities described in subsection (a)(2)) during non-school hours or periods when school is not in session (such as before and after school or during summer recess) that

   i. Reinforce and complement the regular academic programs of the schools attended by the students served; and
(ii) Are targeted to the students' academic needs and aligned with the instruction students receive during the school day; and

(B) Offers families of students served by such center opportunities for active and meaningful engagement in their children's education, including opportunities for literacy and related educational development.

(2) COVERED PROGRAM — The term 'covered program' means a program for which—

(A) The Secretary made a grant under this part (as this part was in effect on the day before the effective date of this part under the Every Student Succeeds Act); and

(B) The grant period had not ended on that effective date.

(3) ELIGIBLE ENTITY — The term 'eligible entity' means a local educational agency, community-based organization, Indian S. 1177—183 tribe or tribal organization (as such terms are defined in section 4 of the Indian Self-Determination and Education Act (25 U.S.C. 450b), another public or private entity, or a consortium of 2 or more such agencies, organizations, or entities.

(4) EXTERNAL ORGANIZATION — The term 'external organization' means—

(A) A nonprofit organization with a record of success in running or working with before and after school (or summer recess) programs and activities; or

(B) In the case of a community where there is no such organization, a nonprofit organization in the community that enters into a written agreement or partnership with an organization described in subparagraph (A) to receive mentoring and guidance in running or working with before and after school (or summer recess) programs and activities.

(5) RIGOROUS PEER-REVIEW PROCESS — The term 'rigorous peer-review process' means a process by which—

(A) Employees of a State educational agency who are familiar with the programs and activities assisted under this part review all applications that the State receives for awards under this part for completeness and applicant eligibility;

(B) The State educational agency selects peer reviewers for such applications, who shall—

(i) Be selected for their expertise in providing effective academic, enrichment, youth development, and related services to children; and

(ii) Not include any applicant, or representative of an applicant, that has submitted an application under this part for the current application period; and

(C) The peer reviewers described in subparagraph (B) review and rate the applications to determine the extent to which the applications meet the requirements under sections 4204(b) and 4205.

(6) STATE — The term 'State' means each of the 50 States, the District of Columbia, and the Commonwealth of Puerto Rico.

SEC. 4202. ALLOTMENTS TO STATES

(a) RESERVATION — From the funds appropriated under section 4206 for any fiscal year, the Secretary shall reserve—

(1) Such amounts as may be necessary to make continuation awards to sub-grant recipients under covered programs (under the terms of those grants);

(2) Not more than 1 percent for national activities, which the Secretary may carry out directly or through grants and contracts, such as providing technical assistance to eligible entities carrying out programs under this part or conducting a national evaluation; and

(3) Not more than 1 percent for payments to the outlying areas and the Bureau of Indian Education, to be allotted in accordance with their respective needs for assistance under this part, as determined by the Secretary, to enable the outlying areas and the Bureau to carry out the purpose of this part.

(b) STATE ALLOTMENTS — S. 1177—184

(1) DETERMINATION — From the funds appropriated under section 4206 for any fiscal year and remaining after the Secretary makes reservations under subsection (a), the Secretary shall allot to each State for the fiscal year an amount that bears the same relationship to the remainder as the amount the State received under subpart 2 of part A of title I for the preceding fiscal year bears to the amount all States received under that subpart for the preceding fiscal year, except that no State shall receive less than an amount equal to one-half of 1 percent of the total amount made available to all States under this subsection.
(2) REALLOTMENT OF UNUSED FUNDS — If a State does not receive an allotment under this part for a fiscal year, the Secretary shall reallocate the amount of the State’s allotment to the remaining States in accordance with this part.
(c) STATE USE OF FUNDS —
(1) IN GENERAL — Each State that receives an allotment under this part shall reserve not less than 93 percent of the amount allotted to such State under subsection (b), for each fiscal year for awards to eligible entities under section 4204.

(2) STATE ADMINISTRATION — A State educational agency may use not more than 2 percent of the amount made available to the State under subsection (b) for—
(A) the administrative costs of carrying out its responsibilities under this part;
(B) establishing and implementing a rigorous peer review process for sub-grant applications described in section 4204(b) (including consultation with the Governor and other State agencies responsible for administering youth development programs and adult learning activities); and
(C) awarding of funds to eligible entities (in consultation with the Governor and other State agencies responsible for administering youth development programs and adult learning activities).
(3) STATE ACTIVITIES — A State educational agency may use not more than 5 percent of the amount made available to the State under subsection (b) for the following activities:
(A) Monitoring and evaluating programs and activities assisted under this part.
(B) Providing capacity building, training, and technical assistance under this part.
(C) Conducting a comprehensive evaluation (directly or through a grant or contract) of the effectiveness of programs and activities assisted under this part.
(D) Providing training and technical assistance to eligible entities that are applicants for or recipients of awards under this part.
(E) Ensuring that any eligible entity that receives an award under this part from the State aligns the activities provided by the program with the challenging State academic standards.
(F) Ensuring that any such eligible entity identifies and partners with external organizations, if available, in the community.
(G) Working with teachers, principals, parents, the local workforce, the local community, and other stakeholders to review and improve State policies and practices to support the implementation of effective programs under this part.
(H) Coordinating funds received under this part with other Federal and State funds to implement high-quality programs.
(I) Providing a list of prescreened external organizations, as described under section 4203(a) (11).

SEC. 4203. STATE APPLICATION.
(a) IN GENERAL — In order to receive an allotment under section 4202 for any fiscal year, a State shall submit to the Secretary, at such time as the Secretary may require, an application that—
(1) designates the State educational agency as the agency responsible for the administration and supervision of programs assisted under this part;
(2) describes how the State educational agency will use funds received under this part, including funds reserved for State-level activities;
(3) contains an assurance that the State educational agency—
(A) will make awards under this part to eligible entities that serve—
(i) students who primarily attend—
(I) schools implementing comprehensive support and improvement activities or targeted support and improvement activities under section 1111(d); and
(II) other schools determined by the local educational agency to be in need of intervention and support; and
(ii) the families of such students; and
(B) will further give priority to eligible entities that propose in the application to serve students described in sub-clauses (I) and (II) of section 4204(i) (1)(A) (i);
(4) describes the procedures and criteria the State educational agency will use for reviewing applications and awarding funds to eligible entities on a competitive basis, which shall include procedures and criteria that take into consideration the likelihood that a proposed community learning center will help participating students meet the challenging State academic standards and any local academic standards;
(5) describes how the State educational agency will ensure that awards made under this part are—
   (A) of sufficient size and scope to support high-quality, effective programs that are consistent with the purpose of this part; and
   (B) in amounts that are consistent with section 4204(h);
(6) describes the steps the State educational agency will take to ensure that programs implement effective strategies, including providing ongoing technical assistance and training, evaluation, dissemination of promising practices, and coordination of professional development for staff in specific content areas and youth development;
(7) describes how programs under this part will be coordinated with programs under this Act, and other programs as appropriate; S. 1177—186
(8) contains an assurance that the State educational agency—
   (A) will make awards for programs for a period of not less than 3 years and not more than 5 years; and
   (B) will require each eligible entity seeking such an award to submit a plan describing how the activities to be funded through the award will continue after funding under this part ends;
(9) contains an assurance that funds appropriated to carry out this part will be used to supplement, and not supplant, other Federal, State, and local public funds expended to provide programs and activities authorized under this part and other similar programs;
(10) contains an assurance that the State educational agency will require eligible entities to describe in their applications under section 4204(h) how the transportation needs of participating students will be addressed;
(11) describes how the State will—
   (A) pre-screen external organizations that could provide assistance in carrying out the activities under this part; and
   (B) develop and make available to eligible entities a list of external organizations that successfully completed the pre-screening process;
(12) provides—
   (A) an assurance that the application was developed in consultation and coordination with appropriate State officials, including the chief State school officer, and other State agencies administering before and after school (or summer recess) programs and activities, the heads of the State health and mental health agencies or their designees, statewide Afterschool networks and representatives of teachers, local educational agencies, and community-based organizations; and
   (B) a description of any other representatives of teachers, parents, students, or the business community that the State has selected to assist in the development of the application, if applicable;
(13) describes the results of the State’s needs and resources assessment for before and after school (or summer recess) programs and activities, which shall be based on the results of on-going State evaluation activities;
(14) describes how the State educational agency will evaluate the effectiveness of programs and activities carried out under this part, which shall include, at a minimum—
   (A) a description of the performance indicators and performance measures that will be used to evaluate programs and activities with emphasis on alignment with the regular academic program of the school and the academic needs of participating students, including performance indicators and measures that—
      (i) are able to track student success and improvement over time;
      (ii) include State assessment results and other indicators of student success and improvement, such as improved attendance during the school day, better classroom grades, regular (or consistent) program S. 1177—187 attendance, and on-time advancement to the next grade level; and
      (iii) for high school students, may include indicators such as career competencies, successful completion of internships or apprenticeships, or work-based learning opportunities;
   (B) a description of how data collected for the purposes of subparagraph (A) will be collected; and
   (C) public dissemination of the evaluations of programs and activities carried out under this part; and
(15) provides for timely public notice of intent to file an application and an assurance that the application will be available for public review after submission.

(b) DEEMED APPROVAL — An application submitted by a State educational agency pursuant to subsection (a) shall be deemed to be approved by the Secretary unless the Secretary makes a written determination, prior to the expiration of the 120-day period beginning on the date on which the Secretary received the application, that the application is not in compliance with this part.

(c) DISAPPROVAL — The Secretary shall not finally disapprove the application, except after giving the State educational agency notice and an opportunity for a hearing.
(d) NOTIFICATION — If the Secretary finds that the application is not in compliance, in whole or in part, with this part, the Secretary shall—

(1) give the State educational agency notice and an opportunity for a hearing; and
(2) notify the State educational agency of the finding of noncompliance and, in such notification—
(A) cite the specific provisions in the application that are not in compliance; and
(B) request additional information, only as to the noncompliant provisions, needed to make the application noncompliant.

(e) RESPONSE — If the State educational agency responds to the Secretary's notification described in subsection (d)(2) during the 45-day period beginning on the date on which the agency received the notification, and resubmits the application with the requested information described in subsection (d)(2)(B), the Secretary shall approve or disapprove such application prior to the later of—

(1) the expiration of the 45-day period beginning on the date on which the application is resubmitted; or
(2) the expiration of the 120-day period described in subsection (b).

(f) FAILURE TO RESPOND — If the State educational agency does not respond to the Secretary's notification described in subsection (d)(2) during the 45-day period beginning on the date on which the agency received the notification, such application shall be deemed to be disapproved.

(g) LIMITATION — The Secretary may not give a priority or a preference for States or eligible entities that seek to use funds made available under this part to extend the regular school day.

SEC. 4204. LOCAL COMPETITIVE SUBGRANT PROGRAM

(a) IN GENERAL — S. 1177—188

(1) COMMUNITY LEARNING CENTERS — A State that receives funds under this part for a fiscal year shall provide the amount made available under section 4202(c)(1) to award sub-grants to eligible entities for community learning centers in accordance with this part.

(2) EXPANDED LEARNING PROGRAM ACTIVITIES — A State that receives funds under this part for a fiscal year may use funds under section 4202(c)(1) to support those enrichment and engaging academic activities described in section 4205(a) that—
(A) are included as part of an expanded learning program that provides students at least 300 additional program hours before, during, or after the traditional school day;
(B) supplement but do not supplant regular school day requirements; and
(C) are carried out by entities that meet the requirements of subsection (i).

(b) APPLICATION — (1) IN GENERAL —To be eligible to receive a sub-grant under this part, an eligible entity shall submit an application to the State educational agency at such time, in such manner, and including such information as the State educational agency may reasonably require.

(2) CONTENTS — Each application submitted under paragraph (1) shall include—
(A) A description of the activities to be funded, including—
(i) an assurance that the program will take place in a safe and easily accessible facility;
(ii) a description of how students participating in the program carried out by the community learning center will travel safely to and from the center and home, if applicable; and
(iii) a description of how the eligible entity will disseminate information about the community learning center (including its location) to the community in a manner that is understandable and accessible;

(B) a description of how such activities are expected to improve student academic achievement as well as overall student success;
(C) a demonstration of how the proposed program will coordinate Federal, State, and local programs and make the most effective use of public resources;
(D) an assurance that the proposed program was developed and will be carried out—
(i) in active collaboration with the schools that participating students attend (including through the sharing of relevant data among the schools), all participants of the eligible entity, and any partnership entities described in subparagraph (H), in compliance with applicable laws relating to privacy and confidentiality; and
(ii) in alignment with the challenging State academic standards and any local academic standards;
(E) a description of how the activities will meet the measures of effectiveness described in section 4205(b); S. 1177—189

(F) an assurance that the program will target students who primarily attend schools eligible for schoolwide programs under section 1114 and the families of such students; an assurance that sub-grant funds under this part will be used to increase the level of State, local, and other non-Federal funds that would, in the absence of funds under this part, be made available for programs and activities authorized under this part, and in no case supplant Federal, State, local, or non-Federal funds;

(G) a description of the partnership between a local educational agency, a community-based organization, and another public entity or private entity, if appropriate;

(H) an evaluation of the community needs and available resources for the community learning center, and a description of how the program proposed to be carried out in the center will address those needs (including the needs of working families);

(I) a demonstration that the eligible entity will use best practices, including research or evidence-based practices, to provide educational and related activities that will complement and enhance academic performance, achievement, postsecondary and workforce preparation, and positive youth development of the students;

(J) a description of a preliminary plan for how the community learning center will continue after funding under this part ends;

(K) an assurance that the community will be given notice of an intent to submit an application and that the application and any waiver request will be available for public review after submission of the application;

(L) if the eligible entity plans to use volunteers in activities carried out through the community learning center, a description of how the eligible entity will encourage and use appropriately qualified persons to serve as the volunteers; and

(M) such other information and assurances as the State educational agency may reasonably require.

(c) APPROVAL OF CERTAIN APPLICATIONS — The State educational agency may approve an application under this part for a program to be located in a facility other than an elementary school or secondary school only if the program will be at least as available and accessible to the students to be served as if the program were located in an elementary school or secondary school.

(d) PERMISSIVE LOCAL MATCH —

(1) IN GENERAL — A State educational agency may require an eligible entity to match sub-grant funds awarded under this part, except that such match may not exceed the amount of the sub-grant and may not be derived from other Federal or State funds.

(2) SLIDING SCALE — The amount of a match under paragraph (1) shall be established based on a sliding scale that takes into account—

(A) the relative poverty of the population to be targeted by the eligible entity; and

(B) the ability of the eligible entity to obtain such matching funds. S. 1177—190

(3) IN-KIND CONTRIBUTIONS — Each State educational agency that requires an eligible entity to match funds under this subsection shall permit the eligible entity to provide all or any portion of such match in the form of in-kind contributions.

(4) CONSIDERATION — Notwithstanding this subsection, a State educational agency shall not consider an eligible entity’s ability to match funds when determining which eligible entities will receive sub-grants under this part.

(e) PEER REVIEW — In reviewing local applications under this part, a State educational agency shall use a rigorous peer-review process or other methods to ensure the quality of funded projects.

(f) GEOGRAPHIC DIVERSITY — To the extent practicable, a State educational agency shall distribute sub-grant funds under this part equitably among geographic areas within the State, including urban and rural communities.

(g) DURATION OF AWARDS — A sub-grant awarded under this part shall be awarded for a period of not less than 3 years and not more than 5 years.

(h) AMOUNT OF AWARDS — A sub-grant awarded under this part may not be made in an amount that is less than $50,000.

(i) PRIORITY — (1) IN GENERAL — In awarding sub-grants under this part, a State educational agency shall give priority to applications—
(A) proposing to target services to—
   (i) students who primarily attend schools that—
      (I) are implementing comprehensive support and improvement activities or targeted support and
          improvement activities under section 1111(d) or other schools determined by the local
          educational agency to be in need of intervention and support to improve student academic
          achievement and other outcomes; and enroll students who may be at risk for academic
          failure, dropping out of school, involvement in criminal or delinquent activities, or who lack
          strong positive role models; and
      (ii) the families of students described in clause (i);
   (B) submitted jointly by eligible entities consisting of not less than 1 —
      (i) local educational agency receiving funds under part A of title I; and
      (ii) another eligible entity; and
   (C) demonstrating that the activities proposed in the application—
      (i) are, as of the date of the submission of the application, not accessible to students who
          would be served; or
      (ii) would expand accessibility to high-quality services that may be available in the community.
(2) SPECIAL RULE —The State educational agency shall provide the same priority under paragraph
    (1) to an application submitted by a local educational agency if the local educational agency
    demonstrates that it is unable to partner with a community-based organization in reasonable
    geographic proximity and of sufficient quality to meet the requirements of this part. S. 1177—
    191
(3) LIMITATION —A State educational agency may not give a priority or a preference to eligible entities
    that seek to use funds made available under this part to extend the regular school day.
    (j) RENEWABILITY OF AWARDS —A State educational agency may renew a sub-grant
        provided under this part to an eligible entity, based on the eligible entity’s performance
        during the preceding sub-grant period.

SEC. 4205. LOCAL ACTIVITIES.
    (a) AUTHORIZED ACTIVITIES — Each eligible entity that receives an award under section 4204
        may use the award funds to carry out a broad array of activities that advance student academic
        achievement and support student success, including—
        (1) academic enrichment learning programs, mentoring programs, remedial education activities, and
            tutoring services, that are aligned with—
            (A) the challenging State academic standards and any local academic standards; and
            (B) local curricula that are designed to improve student academic achievement;
        (2) well-rounded education activities, including such activities that enable students to be eligible for
            credit recovery or attainment;
        (3) literacy education programs, including financial literacy programs and environmental literacy
            programs;
        (4) programs that support a healthy and active lifestyle, including nutritional education and regular,
            structured physical activity programs;
        (5) services for individuals with disabilities;
        (6) programs that provide after-school activities for students who are English learners that emphasize
            language skills and academic achievement;
        (7) cultural programs;
        (8) telecommunications and technology education programs;
        (9) expanded library service hours;
        (10) parenting skills programs that promote parental involvement and family literacy;
        (11) programs that provide assistance to students who have been truant, suspended, or expelled to
            allow the students to improve their academic achievement;
        (12) drug and violence prevention programs and counseling programs;
        (13) programs that build skills in science, technology, engineering, and mathematics (referred to in this
            paragraph as ‘STEM’), including computer science, and that foster innovation in learning by supporting
            nontraditional STEM education teaching methods; and
        (14) programs that partner with in-demand fields of the local workforce or build career competencies
            and career readiness and ensure that local workforce and career readiness skills are aligned with the

(b) MEASURES OF EFFECTIVENESS — S. 1177—192

(1) IN GENERA — For a program or activity developed pursuant to this part to meet the measures of effectiveness, monitored by the State educational agency as described in section 4203(a)(14), such program or activity shall—

(A) be based upon an assessment of objective data regarding the need for before and after school (or summer recess) programs and activities in the schools and communities; be based upon an established set of performance measures aimed at ensuring the availability of high-quality academic enrichment opportunities;

(B) if appropriate, be based upon evidence-based research that the program or activity will help students meet the challenging State academic standards and any local academic standards;

(C) ensure that measures of student success align with the regular academic program of the school and the academic needs of participating students and include performance indicators and measures described in section 4203(a) (14) (A); and

(D) collect the data necessary for the measures of student success described in subparagraph (D).

(2) PERIODIC EVALUATION — (A) IN GENERAL — The program or activity shall undergo a periodic evaluation in conjunction with the State educational agency’s overall evaluation plan as described in section 4203(a) (14), to assess the program’s progress toward achieving the goal of providing high-quality opportunities for academic enrichment and overall student success.

(B) USE OF RESULTS — The results of evaluations under subparagraph (A) shall be—

(i) used to refine, improve, and strengthen the program or activity, and to refine the performance measures;

(ii) made available to the public upon request, with public notice of such availability provided; and

(iii) used by the State to determine whether a sub-grant is eligible to be renewed under section 4204(j).

(iv) SEC. 4206. AUTHORIZATION OF APPROPRIATIONS.

There are authorized to be appropriated to carry out this part $1,000,000,000 for fiscal year 2017 and $1,100,000,000 for each of fiscal years 2018 through 2020.

** Though very detailed with an abundance of information, not every situation a grantee will encounter can be addressed in the law and regulations. Therefore, it is essential when in doubt – the grantee must seek the assistance of the ALSDE and/or their assigned Technical Advisor. **
Preparatory Procedures

Though some of that which is detailed below will have already been completed by the time a Grantee has received funding, it is imperative attention be given to the information provided to ensure the stability and longevity of the program.

Laying the Foundation

Preparing for a 21st Century Community Learning Center is a multi-faceted process which requires much in-depth planning, research, and due diligence. 21st CCLC programs are developed and implemented as partnerships between schools and community organizations to change for good the lives of students and their families.

The proceeding pages and information are a mere skeletal guideline provided to hopefully increase the probability of a program's success. All grantees or those interested in becoming a 21st CCLC grantee must – in all aspects – defer to the thorough guidance and insight provided by the Alabama State Department of Education.

Do the homework!!!

- Know the regulations and stipulations required by Federal and State laws
  - Understand the legal documentation contained within this manual and the afore-referenced websites
  - Meet all eligibility standards as required by law (Refer to pages 5 – 14).
- Thoroughly review and know the requirements outlined in the ALSDE RFA (Request for Application)
- Organize multiple planning meetings to prepare the application
- Establish the program's leadership or management team and an Advisory Council
- Survey students, parents, and other stakeholders. Conduct sound, extensive research to address the specific needs of the community served through the program. – Evidence-based Research
- Involve key players from the school, community organizations and surrounding community in the planning process. – Community Partners
- Allow plenty of time to prepare the proposal carefully and thoughtfully. Do not rush through the process.

Advisory Council

** It is advisable to seek advice! **

An Advisory Council is a collection of individuals who bring unique knowledge and skills which complement the knowledge and skills of the program's leadership in order to more effectively guide the CLC.

The 21st CCLC Grant specifies that each Grantee must have an Advisory Council which meets on a regular basis. Since scheduling can be quite a challenge, the ALSDE recommends the council meet at least twice a year.

Advisory Council members can answer questions, analyze business plans, recommend new markets and introduce the program to useful individuals to further its objectives.

The Advisory Council does not have formal authority to govern the 21st CCLC program. That is, the Advisory Council cannot issue directives that must be followed. Rather, it serves to make recommendations and/or provide key information and materials.
Select Advisory Council members wisely. It is highly recommended that the council be truly reflective of the community the program serves while embracing great diversity with a broad array of views and expertise.

*Things to remember and consider –*

**Advisory Board Attributes:**
- Objective and honest
- Knowledge and expertise in various scholastic and business realms that differ from program leadership
- A genuine interest in helping the program succeed
- Problem solvers who are good communicators
- Diverse in skills, work and life backgrounds
- Top or well-respected individuals in their field
- Well-connected with networks that may be leveraged to assist the program

**Legalities/Ground Rules:**
- Require a non-disclosure agreement (Although children nor their families should ever be discussed in meetings, it is imperative that any information communicated never be publicly divulged.)
- Set expectations for the time commitment you expect & duration of appointment
- Provide a written invitation letter
- Let each member know the specific type of assistance needed
- Always provide a meeting agenda. This is a volunteer elite advisory team. Respect their time. Say thank you, and express appreciation.

**Advisory Board Value:**
- Identify the desired result from engaging an advisory board
- Ask yourself, how will the program be different in one year, because of this board?
- How often will membership be rotated? Is this ongoing and how often will the Council meet?

A suggested listing of possible Advisory Board topics is provided in *Appendix A-2*. More information and materials are soon to be added to the manual and website to increase and improve community, family and parental involvement.

*Please note that the LEA School Board and/or the COMMUNITY ENTITY governing board govern Advisory Council actions/recommendations. The applicable board must first approve actionable recommendations.*
Pre-opening Timeline

The following timeline is provided as a guide to prepare for the opening of a 21st CCLC Program prior to the submission of the Competitive Grant Application to the ALSDE, and thereafter until the point of opening.

Since this is a working manual that which is left blank should be completed by the grantee as the pertinent dates are made available and mandated by the ALSDE. This list is not intended to be comprehensive but should serve as an overall guideline.

- Obtain LEA/Superintendent or Board approval 6 months to a year prior to applying for the 21st CCLC Grant
- Formulate Research and Development Committee
- Conduct market and demographic investigative study (SBR)
- Appoint Advisory Council
- Select Leadership of the Program
- Obtain all pertinent legal operating documentation (Submit with app.) (i.e. DHR licensure, IRS Employer ID #, inspections, certifications, etc.)
- Develop complete comprehensive Safety Plan to be formally included in the application
- Consult with ALSDE Representative 6 mos. to 3 mos. before applying
- Schedule ALSDE visit to determine capacity to implement
- Attend ALSDE – sponsored Application Technical Assistance Workshop(s)
- Application Due Date
- Grant Readings and Reviews (ALSDE)
- Allocation Award Announcements
- Advertising Campaign At least 3 months prior to opening
- Develop policies & procedures
- Create Student/Parent/Staff Policy Handbook s
- Prepare Comprehensive Registration Form (Packet)
- Plan and organize Staff Preparation and Training
- Interview and Hire Staff At least 1 month prior to opening
- Conduct Staff Training, setting expectations and standards (A Staff Handbook is highly advisable.)
- Meet with School Day Teachers and Staff
- Begin ordering and purchasing needed materials & equipment
- Establish snack program with the State Child Nutrition Program
- Distribute Registration Forms, allowing 2 – 3 weeks for registration
- Finalize Operational Procedures At least 3 weeks prior to opening
  - Filing and Accounting System
  - Sign-in/Sign-out Sheets
  - Scheduling of Staff, Students, Contractors, etc.
  - Safety Procedures solidified
- Facilitate Parent/Family and Staff Orientations opening At least 1 week prior to opening
Community Partners

The information available regarding the selection, establishment, and nurturing of community partners is overly abundant in today’s world. Our society has begun to recognize the tremendous need for quality, affordable afterschool programs in response to the educational, developmental, and security needs of students. Additionally, our culture has seen the demand for increased parental/family support as societal pressures have perpetually escalated.

Therefore, the awareness and desire to support afterschool initiatives is available. It must be our goal to properly identify those within the community who are willing to establish mutually beneficial relationships.

The 21st CCLC Grant requires that each grantee establish at least one viable relationship with a Community Partner with whom they have an ongoing association.

By building working associations within the community served, the following can be accomplished:

- Achievement that individuals alone cannot undertake
  The adage, "No man is an island," rings very true when establishing a sustainable program that will serve the families of the community for years to come.

- A systematic, comprehensive approach to address community needs
  The grantee, after having done their due diligence, must provide a program that is specifically geared toward meeting the needs that are indigenous to the area served.

- Enhancement of advocacy and resource development
  A genuinely effective program will foster a better understanding of educational objectives and needs. It will gender volunteerism and engagement; and provide businesses and agencies with potential skilled employees from student ranks.

- Creation of additional public recognition, visibility for the program and community needs
  "The Proof is in the Pudding" – Initially, when garnering support, utilize nationally and locally publicized data that verifies student/family necessities and how an effective 21st CCLC will be beneficial to all. Once established, use the data and success stories from your own program, that will generate ongoing collaboration and assistance. Remember…a grantee should consider the entire community a partner. Endless possibilities abound!

Finally, and most importantly...

- Students are exposed to a broad array of activities that enhance academic achievement and directly connect them to the community and workforce
  By nurturing the family as a holistic entity, the desire for lifelong learning and attainment are fostered to benefit all involved.

A basic structural guideline to consider while formulating viable partnerships is provided here.

Clarify the goals, mission and objectives of the program
- Write the vision and make it plain for all constituents to know and see
- Outline the goals, the needs, the expectations of the program

Develop an understanding of relevant existing activities in the school and in the community (outside of your organization), as well as a thorough understanding of your own resources and expertise
- Help the potential partner understand how the program will benefit them and the community
Decide the type of partnership you want to create and identify desired results

- Engage partners in determining their interests, needs, goals, and expectations from the relationship
- Link the objectives to the specific services and resources available through the potential partner

Create a realistic implementation plan that meets schools needs and leverages school and community resources

- Draft a proposal establishing the benefits and expectations for both parties
- Be specific with timelines, activities, resources, etc.

Maintain constant communication among partners, both informal and formal dialogue -- anticipating challenges, solving problems, resolving conflicts, and assessing progress

- Mutually determine the contact individual(s)
- Remain open, honest and consistent
- Let the "thank you’s" be numerous and often
- Publicly recognize the partner’s help and support
- Invite partners to 21st CCLC events
- Include partners in all communications – newsletters, assemblies, programs, etc.

Plan for long-term sustainability and build capacity within the school community

- Complete an annual review/evaluation of the partnership with partners
- Invite existing partners to recommend additional partnerships, if they are pleased with the ongoing results
- The number of partners is unlimited – they may provide services, funding, activities, etc. – the possibilities are limitless

When seeking the appropriate partners and collaborators, begin with some of the following broad categories:

- Service provider agencies
- Community volunteer-based organizations
- Consumer/advocacy groups
- Professional associations
- Higher Education (Colleges, Universities)
- Businesses, Corporations, and Retailers
- Community leaders
- Cooperative Extension Services
- Financial Institutions
- Churches
- Police and Fire Departments, Public Works
- Hospitals
- Hotels and Restaurants
- Parks and Recreations
- Arts Alliance
- High School Clubs
- Fraternities and Sororities
- Boys and Girls Club
- Gyms and Wellness Centers
- Museums
- Senior Citizen Organizations
JOINT CO-APPLICANT

A Joint Co-Applicant is defined as an entity that provides a significant level of support during the pre-grant design, planning, and application phase, followed by significant involvement during the post-award program delivery of grant related services. Although the support may come in monetary form, in order to be considered a co-applicant, the organization must play an ongoing continuous role throughout the grant period, without which the applicant would not be able to have pursued a joint collaborative award of a 21st CCLC grant. Please be mindful of the following as you implement your program:

- Remember, your proposal was submitted through combined efforts!
- This collaboration is not merely a partnership through contracted provided services and can include material in-kind contributions to the program.
- Both partners must work extensively in the planning and design of the program.
- Both partners must demonstrate substantial roles in the delivery of services.
- Both partners must share grant resources to implement the proposed project effectively.
- Both partners must be involved in the management and oversight of the proposed program.
- Both partners must maintain a signed agreement (Form 5) between both entities stating the collaboration of efforts, resources, and funding. This document must clearly define and detail the roles and responsibilities of all parties involved with explicit expectations outlined.

If you submitted a joint proposal as a Joint Co-Applicant you must remember that the collaboration outlined in the application included detailed information regarding partnership management, programmatic collaboration, and fiscal collaboration and cooperation. (i.e. Narrative, Project Design, Services, Management, Assessment, etc.) You must implement every area with fidelity! Maintaining the funding throughout the entirety of the grant award period is contingent upon you maintaining the viability of the collaborative partnership.

Note: The ALSDE reserves the right to reduce or withdraw funding if the program fails to adhere to grant fidelity.

Quality Indicators

From the beginning to the completion of the project, Quality Indicators should be utilized to perform regular Self-assessments of the ongoing operations and procedures of the program. The standards should be employed to ensure the effective and efficient implementation of all programmatic policies and procedures. During fiscal year FY 2017 – 2018, state specific Quality Standards developed in collaboration with the ALSDE, ALACN, ALDHR, USHHS, and a taskforce of representatives were released.

The first listing of standards and indicators pertains to the successful management and oversight of the program. The latter refers to the daily operations and practices that enable the grantee to offer a superior product to its students, families and community.

** Please note - Although all verbiage pertains to Afterschool programs, the same principles and practices should be applied to both before-school and summer programs. **

Program Management (Administrative/Leadership)

Standard: The school's/community entity’s policies and procedures support high quality Afterschool programming for all children.

- The school/community entity supports the after-school program budget through direct and in-kind contributions, including staff, space, utilities, maintenance, administration, materials, and equipment.
- There is an Afterschool site coordinator/program director responsible for facilitating regular
and ongoing coordination and communication between and among school and after-school staffs, families, and participants.

- Afterschool staff members model respect, cooperation, and honesty, reflect cultural diversity, and are philosophically aligned with the program goals and desired results.
- The principal and/or after-school site coordinator/project director implement a plan for improving staff recruitment and retention, and for providing adequate financial compensation and benefits.
- The school/community entity identifies sources whose contributions to sliding fee scales, subsidies, and scholarships will make the after-school program affordable for all families.
- The school/community entity accommodates children with special needs by utilizing school and community resources.
- Afterschool staff understands and embraces cultural differences and regularly plan activities that reflect various cultural traditions.
- Appropriate staff-to-child ratios are maintained by hiring adequate numbers of qualified staff and volunteers. Recommended ratio is between 1:10 and 1:15, with group size not to exceed 30, for ages 6 and older.
- There is an after-school program handbook that includes current program policies and procedures.
- A comprehensive orientation on program philosophy, routines, and practices is provided for new staff members.
- Multiple systems are in place to maintain ongoing communication and routine sharing of information between after-school staff and families about their children's well-being.
- Family members are encouraged to visit and/or volunteer in the program and have opportunities for input on policy and procedures.
- Afterschool staff participates in a process of continuous program evaluation and improvement.
- When the School/Community Entity contracts with a vendor to provide services, a written agreement is in place to ensure sound communication and to clarify policies, roles, and responsibilities with regard to space, supplies, storage, procedures for opening and closing, lines of communication, cleanup and maintenance, finances, licensing, and accountability.

**Standard: Procedures are in place to ensure the safety and security of children.**

- There is a system for signing children in and out of the after-school program, for locating children at all times, and for knowing who will pick up each child at the end of the day.
- Staff is trained in first-aid procedures and practices, and current health, safety, and nutrition standards appropriate for school-age children. There is current documentation that the after-school program meets state and-or local health and safety guidelines and regulations.
- The School/Community Entity building and grounds are clean, aesthetically pleasing, safe, and well maintained. A sign with the 21st CCLC logo and name will be prominently displayed on the school campus or other program site, and included on all forms of communication (i.e. letterhead, brochures, website, etc.)

**Standard: The program is supported with adequate and financial and material resources.**

- Budget allocations reflect support of a variety of program options.
- The School/Community Entity, volunteers, and community advisors actively seek supplemental financial or material support from parents, business, civic organizations, and government and social service agencies to support programming options.
- The Afterschool program has access to school equipment, supplies, and resources, including computer and science labs, libraries, classroom facilities, gyms, and playgrounds.

**Standard: The Afterschool program is supported by provision of professional development opportunities for staff.**

- A current schedule of workshops, seminars, and other development opportunities offered by local schools, universities, churches, and civic organizations are displayed prominently and staff is encouraged to attend.
- Time and financial resources are provided for attendance at workshops, seminars, and conferences; for subscriptions to professional journals; and for professional interaction with other Afterschool staff.
- Afterschool staff is included in appropriate development opportunities offered by the school.
- Afterschool staff receives at least 10 hours of in-service training a year in some of the following:
  - Child and adolescent development
  - Recognizing the range of children's abilities
  - Developing multiple activities for a wide range of age and skill levels
  - Understanding cultural diversity
  - Guiding behavior
  - Program management and evaluation
  - Leadership traits and behavior
  - Communication skills
  - Group processes
  - Effectively working with families
  - Identifying and working with special needs children
- The Afterschool site coordinator/project director meets regularly with staff to provide continuous feedback and supervision, and to determine in-service needs.

**Standard:** The LEA/COMMUNITY ENTITY supports safe transportation to and from Afterschool programs.

- The School/Community Entity makes every effort to provide safe and free or low-cost transportation to and from the after-school program.
- High standards are maintained for vehicle and driver safety and in selection of sites for drop-off and pick-up.
- Systems and procedures are in place for advance notification of changes in pick-up and drop-off routines for children.

**Standard:** LEA/COMMUNITY ENTITY and Afterschool staffs demonstrate respect for the importance of both school and after-school experiences in children's development.

- School/Community Entity and after-school staff create a welcoming environment for children and their families by accommodating reasonable requests, and taking concerns or suggestions through proper channels.
- A clear set of expectations for children's behavior is developed consistent with the needs, goals, and philosophy of both the school and the after-school program School/Community Entity and after-school staffs show professional respect for one another.
- Liaisons from the school and after-school staffs maintain a flow of information by holding regular meetings to identify complimentary goals, determine desired results and goals for individual children, work toward a broad curriculum approach, and share and reflect on successes and challenges.
- The school Principal(s) and the site coordinator/program director work together to prevent or resolve problems.
- The School/Community Entity and Afterschool staffs promote consistent regular school day and Afterschool practices that reflect and celebrate diversity.

**Program Operations (Teachers and Daily Operational Staff)**

**Standard:** Afterschool programming reflects a commitment to promote knowledge, skills, and understanding through enriching learning opportunities that complement the school day.

- Schools/Community Entities use their resources and influence to ensure the program focuses on the development of the whole child, integrating supports for emotional, physical,
social, and cognitive development.

- Opportunities for socializing and practice of social skills are provided.
- Opportunities for enrichment include some of the following:
  - Communication skills in reading, writing, speaking, spelling, and listening
  - Math skills in computation, application, and problem solving
  - Scientific inquiry into the natural and physical world, as well as practical applications of science and technology
  - The interrelationships of people and cultures to historic, geographic, and economic environments
  - Participants in the arts, including visual arts, music, dance, and drama.
  - Development of physical fitness and motor skills through sports and other physical activity.
  - Opportunities for problem-solving that strengthen decision-making and higher-level thinking skills.
  - Study and time-management skills to encourage children's responsibility for their own learning.
  - Personal and civic responsibility and the significance of service to others.
  - Appreciation of, and respect for, differences in culture, race, and gender.
  - Skill development in computer and multimedia technology.

**Standard:** The Afterschool program actively seeks and promotes the involvement and support of the entire community in program planning and implementation.

- School/Community Entity staff provides the essential link between school and after-school experiences by sharing information on curriculum, homework assignments, assessment results, and instructional strategies.
- Parents and other family members are welcome to support children's learning by participating or volunteering in Afterschool activities, and they receive advice on promoting learning opportunities at home.
- Community members are invited to share their special talents and expertise with children in the after-school program.
- Public facilities, such as libraries, parks, and community centers are utilized for expansion of program offerings.
- Churches, civic clubs, social service agencies, etc. are approached to provide volunteers, funding, and community service opportunities for children.
- The Staff applies for available government funding.
- Area businesses are encouraged to provide release time for employees who volunteer their special expertise, and to donate surplus supplies and equipment.
- The Staff establishes relationships with local colleges and universities that provide student volunteers, as well as a wealth of faculty expertise.
- The program maintains a library of current resources for staff use, including books, videotapes, and training manuals.

**Standard:** The LEA/COMMUNITY ENTITY's policies and procedures support high-quality Afterschool programming for all children.

- The LEA/COMMUNITY ENTITY supports the after-school program budget through direct and in-kind contributions, including staff, space, utilities, maintenance, administration, materials, and equipment.
- There is an Afterschool site coordinator/program director responsible for facilitating regular and ongoing coordination and communication between and among school and Afterschool staffs, families, and participants.
- Afterschool staff model respect, cooperation, and honesty, reflect cultural diversity, and are philosophically aligned with the program goals and desired results.
- The principal and/or after-school site coordinator/project director implement a plan for improving staff recruitment and retention and for providing adequate financial compensation and benefits.
- The School/Community Entity identifies sources whose contributors to sliding fee scales, subsidies, and scholarships will make the after-school program affordable for all families.
- The school accommodates children with special needs by utilizing school and community resources.
- Afterschool staff understands and embraces cultural differences and regularly plan activities that reflect various cultural traditions.
- Appropriate staff-to-child ratios are maintained by hiring adequate numbers of qualified staff and volunteers. Recommended ratio is between 1:10 and 1:15, with group size not to exceed 30, for ages 6 and older.
- There is an after-school program handbook that includes current program policies and procedures.
- A comprehensive orientation on program philosophy, routines, and practices is provided for new staff members.
- Multiple systems are in place to maintain ongoing communication and routine sharing of information between Afterschool staff and families about their children's well-being.
- Family members are encouraged to visit and/or volunteer in the program and have opportunities for input on policy and procedures.
- Afterschool staff participates in a process of continuous program evaluation and improvement.
- When the School/Community Entity contracts with a vendor to provide services, a written agreement is in place to ensure sound communication and to clarify policies, roles, and responsibilities with regard to space, supplies, storage, procedures for opening and closing, lines of communication, cleanup and maintenance, finances, licensing, and accountability.

**Standard:** Procedures are in place to ensure the safety and security of children.

- There is a system for signing children in and out of the after-school program, for locating children at all times, and for knowing who will pick up each child at the end of the day.
- Inspection of equipment by certified safety professional is done on a monthly basis.
- Staff is trained in first-aid procedures and practices, and current health, safety, and nutrition standards appropriate for school-age children.
- There is current documentation that the after-school program meets federal, state and local health and safety guidelines and regulations.
- The School/Community Entity building, and grounds are clean, aesthetically pleasing, safe, and well maintained.
- A sign with the 21st CCLC logo and name will be prominently displayed on the school campus or other program site, and included on all forms of communication (i.e. letterhead, brochures, website, etc.)

**Standard:** The program is supported with adequate financial and material resources.

- Budget allocations reflect support of a variety of program options.
- The LEA/COMMUNITY ENTITY consistently maintains all accounting reports and makes them readily accessible to federal, state and local authorities.
- The LEA/COMMUNITY ENTITY, volunteers, and community advisors actively seek supplemental financial or material support from parents, businesses, civic organizations, and government and social service agencies to support programming options.
- The Afterschool program has access to school equipment, supplies, and resources, including computer and science labs, libraries, classroom facilities, gyms, and playgrounds.

**Standard:** The Afterschool program is supported by provision of professional development opportunities for staff.

- A current schedule of workshops, seminars, and other development opportunities offered by local schools, universities, churches, and civic organizations are displayed prominently and staff is encouraged to attend.
- Time and financial resources are provided for attendance at workshops, seminars, and conferences; for subscriptions to professional journals; and for professional interaction with other after-school staff.
- Afterschool staff is included in appropriate development opportunities offered by the school.
- Afterschool staff receive at least 10 hours of in-service training a year in some of the following:
  - Child and adolescent development
- Recognizing the range of children’s abilities
- Developing multiple activities for a wide range of age and skill levels
- Understanding cultural diversity
- Guiding behavior
- Program management and evaluation
- Leadership traits and behavior
- Communication skills
- Group processes
- Effectively working with families
- Identifying and working with special needs children

The Afterschool Site Coordinator/Project Director meets regularly with staff to provide continuous feedback and supervision and to determine in-service needs.

**Standard:** The School/Community Entity supports safe transportation to and from after-school programs.

- The School/Community Entity makes every effort to provide safe and free or low-cost transportation to and from the after-school program.
- High standards are maintained for vehicle and driver safety and in selection of sites for drop-off and pick-up.
- Systems and procedures are in place for advance notification of changes in pick-up and drop-off routines for children.

**Standard:** School/Community Entity and after-school staffs demonstrate respect for the importance of both school and after-school experiences in children’s development.

- School/Community Entity and after-school staffs create a welcoming environment for children and their families by accommodating reasonable request and taking concerns or suggestions through proper channels.
- A clear set of expectations for children's behavior is developed consistent with the needs, goals, and philosophy of both the school and after-school program.
- Liaisons from the School/Community Entity and after-school staffs show professional respect for one another.
- Liaisons from the School/Community Entity and after-school staffs maintain a flow of information by holding regular meetings to identify complimentary goals, determine desired results and goals individual children, work toward a broad curriculum approach, and share and reflect on successes and challenges.
- The school principal and the site coordinator/program director work together to encourage and facilitate the process of change and innovation.
- The school principal and the site coordinator/program director work to prevent or resolve problems.
- The school and after-school staffs promote consistent school day and after-school practices that reflect and celebrate diversity

The above Quality Indicators were reproduced with permission from the Educational Products Department of the National Association of Elementary School Principals. *
Best Practices

The following list of Best Practices or Considerations is provided by the combined efforts of the ALSDE Technical Advisors. Their many years of experience have allowed them to deal with many issues and have enabled them to advise grantees regarding potential pitfalls.

Some of these matters are addressed elsewhere in the manual in a more extensive manner, but bear reiterating due to their importance. While others must be mentioned in order to emphasize their significance and urge the grantee to diligently address the subject.

Finances

- No matter the role or position, be familiar with all aspects of the budget. This will serve as a guide regarding the expenditure of money for the various facets of the program.
- The budget can and should be revised as needed throughout the fiscal school year, but the last revision permissible must be submitted to the ALSDE no later than June 15th. Money cannot be spent prior to being submitted and approved by the ALSDE.
- All expenditures of funds must follow approved system guidelines (Schools – LEA stipulations / Community Entities – Board approval)...usually submitted, approved, and filed by purchase order.
- A line item within the budget may be exceeded by up to 10% without a revision being submitted.
- Budgetary and financial questions should first be addressed with the ALSDE assigned Technical Advisor and the local LEA Chief School Financial Officer of the applicable system, or the Community Entity’s Accounting Department. If a resolution is not found, the grantee should then defer to the ALSDE.
- Community Entities should attempt to abide by the guidelines of the applicable LEA system. By seeking the counsel of both the LEA system and their individual governing boards, financial issues should promptly be resolved.
- Administrative and Indirect Costs cannot exceed 20% of the approved grant for the fiscal school year.
- If expenses become necessary in an area of the budget where no monies have been allocated, it cannot be revised after-the-fact to include money in that area.
- 21st CCLC funds cannot be utilized for fundraising activities.
Staffing

The major key to the success of a program is hiring the right staff. It must be clearly communicated, “This is not a babysitting service.”

- Pay and compensation must be comparable to the fair market standard. However, compensation cannot and must not be excessive.
- To prevent staff burnout, their schedules can be regularly or periodically rotated. For example, MWF and T/TH scheduling; and/or alternate days from week to week.
- It is recommended, that the budget reflect more staff positions than needed initially. The budget can be revised later, if necessary, to delete some of these positions.
- All staff members must receive 10 hours of verifiable training each year. Records must be maintained for evaluation purposes.
- All staff members must be very familiar with the goals and objectives of the program as outlined within the original application.
- Staff members should understand that the 21st CCLC program works in conjunction with the school(s) served; but, however, it is not merely a continuation of the school day. The students should enjoy attending and look forward to participating in the program.
- Staff should plan daily, weekly, and monthly activities and maintain complete documentation.
- Regular communication between staff and the regular classroom teachers should be maintained and documented.
- College students or qualified high school students can be utilized as aides where appropriate; however, volunteers and student workers under the age of 21 years of age or older cannot provide student supervision without an adult being present.
- Time sheets for every staff member must be completed and filed accordingly. All time sheets must be approved and signed by the Site Coordinator/Program Director. Each applicable board must have approved hours recorded on all time sheets. (LEA – School Board / Community entities – Governing Board)
- Daily staffing should be based upon actual student attendance numbers.
  (i.e. Lower attendance = Fewer teachers)

Students

- The maximum teacher to student ratio in a 21st CCLC program can be no greater than 1:15.
- Procedures for dealing with behavioral or disciplinary problems must be established and in accordance with the applicable Board's policies.
- Behavioral policies should be well documented, so students, parents, and staff are fully aware of them and the consequences of disciplinary infractions.
- A signed agreement between the program, parents, and students acknowledging their understanding and compliance with all policies, rules and guidelines should be on file. A Parent/Student Handbook is highly advisable.
- Attendance is not mandatory; however, guidelines should be in place should students abuse the privilege of attending.
- Grouping of students by age, grade level, and/or interests for certain activities, etc. is highly advisable.
- If special needs students will be in attendance, a plan must be in place to accommodate their requirements.
- Participation is a privilege, not a right. Disciplinary problems will not be rewarded with continued attendance.

Academics and Enrichment

- The US Department of Education requires that all 21st CCLC programs offer language, reading, and math skills enrichment activities as part of their agenda. With imagination and creativity, the possibilities are unlimited.
- Homework assistance can be an integral part of the daily and weekly schedule. Targeted homework time allotment should not exceed 20 minutes.
- Remediation activities to supplement a student's learning should be provided. This will require continual communication with the classroom teacher(s) and a spirit of collaboration.
Communication and Publicity

- Keeping the lines of communication open with the superintendent, principals, (all those in leadership), parents, and community members is absolutely essential.
- Progress reports, notes sent home, and personal one-on-one contacts with parents will not only effectively communicate the program's initiatives; but they will also help the cause of word of mouth publicity.
- An Advisory Council can assist with publicity and community awareness suggestions. The council must meet at least twice a year. The agenda and minutes of the meeting must be available for review by the ALSDE and filed accordingly.
- At the beginning of the program, the community and parents must be well informed. (i.e. the purpose and mission, the first day, fees, activities, etc.)
- Communication can be done in many forms...flyers, letters home from the school administration and/or program director, newspaper articles, press releases to the local radio and TV station for public service announcements, church bulletins, handbills in grocery bags, etc.
- Federal and state reports are useful information for the dissemination of publicity.
- Family involvement can be enhanced with activities for the entire family of 21st CCLC participants. For example – GED, computer, or parenting classes, special programs, etc.
- Changes in any programming details should be immediately and comprehensively detailed to all those involved.

Resources

- Not only should grantees utilize physical resources wisely, but they should leverage community relationships wisely as well. Grantees should reach out to the Cooperative Extension Services, civic clubs, charitable organizations, church groups, governmental agencies, fire and police personnel, etc.
- Volunteers should be incorporated into the program when appropriate. Screen and select them carefully. Examples of which can be college students, senior citizens, grandparents, business professionals, etc. Volunteers should never be left alone to supervise the students.

Additional Considerations

- It is highly advisable to involve the state Child Nutrition Program for providing snacks to the students in the program.
- The coordination of Title 1 monies may be available to supplement initiatives of the program. Check with the LEA superintendent and CSFO for guidance.
- There should be a documented sustainability plan that reflects how the program will survive and grow after the grant money is no longer available.
- Determine in advance whether the program will operate during holidays, spring break, and summer. A plan must be developed if the program is not going to strictly adhere to the school calendar. This plan must be approved in advance by the ALSDE.
- Daily and weekly transportation costs can oftentimes become cost prohibitive (field trips excluded). If the intention is to transport students to and from the program, the grantee may want to consider having a designated drop-off/pick-up site for parents to coordinate their efforts – rather than a house-to-house delivery system.
- Each site should have several members of the staff trained in CPR and First Aid Safety concerns should be addressed from the beginning; and the local policies related to the administering of medications, illness, fire and tornado drills, accidents, intruders, etc. followed.
- There should be some form of outside communication plan for alerting parents, families, and the community should an emergency arise. Several programs utilize walkie-talkies for internal communication, and find them to be quite useful.
- Students can only be released into the care of their designated parents or a pre-approved designee. The name(s) of the person(s) to whom the care of a student can be transferred must be available, and a request for photo identification is still necessary at the time of pick-up. A sign-out sheet must be maintained and must include the name of the person picking up the student, the time of dismissal, and the date. If it is a designee, a driver's license, phone number, or other information may be required.
Program Operations

Guidance related to hour of operations

Financials

Appropriate financial management and fiscal responsibility pertaining to the proper administration of the 21st CCLC grant are outlined.

Fiscal Guidance and Considerations

Guiding fiscal clarification and FAQ’s are provided.

Equipment and Inventory

Guidelines and regulations pertaining to that which is purchased with 21st CCLC funding are specified and outlined.

Program Income

Specifications regarding programmatic income are clarified in this component of the Operations Manual.

Transportation

Allocations, allowances, and legal considerations pertaining to the transporting of students are outlined.

Community Entities Funding Specifics

Community and Faith-based Organizations have specific requirements that must be followed for effective programmatic implementation.

Safety

Safety procedures indigenous to the 21st CCLC program must be developed and implemented.

Compliance Assistance

Monitoring, evaluation, and assessment are addressed.

Closeout Procedures

Procedures for closing out program at the end of the funding cycle.
Program Operations

Operational Hours
The ALSDE requires elementary schools (or 21st CCLC sites that serve elementary Grades K-6) to be open five days per week for a minimum of ten contact hours, Monday-Friday, for the entire regular school year. If the 21st CCLC site serves middle school and/or high school students, the site should be open three to five days per week for a minimum of six contact hours, for the entire regular school year. Operation during school holidays, weekends, summer, and other school breaks is a local decision, recognizing that desired results are directly related to the amount of contact time with students. Please note: No student activities are allowed during regular school hours.

Federal guidance indicates that students are the intended beneficiaries of the project; however, the U.S. Department of Education believes that younger children who will become students in the schools being served can also participate in project activities designed to get them ready to succeed in school. While some 21st CCLC funds might be used for projects that include preschoolers, an entire project may not be directed to preschoolers because the intent of the legislation is to focus on the school-age population and their families. Please note the standards below which are related to program operations:

Financials

Fiscal Oversight and Responsibility

Foundation Receiving federal and state funding for the care and oversight of children requires tremendous responsibility and accountability. It is an ongoing process that demands consistent and continual supervision and attention. To accomplish this directive, the grantee must begin with the correct foundation.

When building a house, one must diligently "count the cost." The grantee must determine the true cost of providing a quality program for all students and their respective families. Remember, 21st CCLC funding is considered "seed" money and is not intended to establish the program from its inception. The grantee must have the capacity to operate a Before/After School program, realizing the 21st CCLC grant cannot and must not be its sole source of income. The ALSDE will assist the potential grantee in determining its true capacity to ensure success and sustainability.

Additionally, as stated previously in the Preparatory Procedures - Planning Strategies portion of the manual, one valuable tool for determining the true cost per child can be found on the following website:

http://www.wallacefoundation.org/cost-of-quality/Pages/default.aspx

** Though this instrument is a very valuable resource, it is merely a tool to be used as the grantee estimates what the overall expense will be. Please keep in mind, it cannot account for every incidental variable. **

Financial Management The grantee must establish and adhere to sound financial management practices that continually consider and remain consistent with the following:

- Federal laws, regulations and guidance
- Alabama state statutes, fiscal rules and responsibilities
- Generally accepted accounting and finance principles
Sound financial management practices reasonably ensure that the fiscal impact of the grantee’s operations are planned, controlled and accurately recorded and accounted for according to ALSDE rules, guidelines, and specifications.

All fiscal transactions should comply with applicable laws, grant stipulations, and donor restrictions.

A system of Internal Controls must be implemented to ensure the successful implementation of effective financial management.

All grantees are entrusted with the responsibility of preserving and administering Alabama state resources and using these resources in a prudent manner for their designated purposes as provided by federal and state laws.

**Fiscal Transactions** Each individual who **personally participates** in any fiscal transaction must ensure the following checks and balances are performed:

- All individuals involved have proper authorization
- Specific to any expense transaction, there are adequate funds allocated within the approved budget to cover the transaction
- Reasonable consideration is given to the impact of the transaction to the overall program
- The transaction is timely and properly recorded and in accordance with the ALSDE financial system
- All original and corresponding documentation is correctly verified and filed
- It is recommended for accountability purposes that transactions be confirmed by at least two signatures – preferably a supervisory signature should be included (Please adhere to the applicable LEA and/or COMMUNITY ENTITY governing board procedures.)
- Supervisors must be responsible for properly informing all **employees** of the LEA/COMMUNITY ENTITY’s fiscal transaction policies and procedures.

**Internal Controls** To ensure and maintain much needed Internal Controls, Principals, Site Coordinators/Directors, Supervisors, etc. should continually ask some of the following questions:

- Have **all** employees (Exempt, Non-exempt, Volunteers) been properly trained and instructed regarding their role in the program’s fiscal responsibility?
- Have I provided adequate guidance and direction regarding spending practices to those in my charge through ongoing conversations, daily operations, and performance reviews?
- Have I explained to everyone involved with our program they will be held personally accountable for their actions when processing fiscal transactions?
- Have I set the tone for ethical conduct and integrity avoiding the very appearance of impropriety?
- Have I ensured that my own delegated approval authority is consistently carried out properly?
- Are duties segregated so that no **one** individual controls all phases of a transaction?
- Are the authorization and record keeping procedures adequate to achieve accuracy and reliability of accounting data and other management information?
- Is there compliance with all applicable laws, regulations and rules, as well as with contracts, grant guidelines and specifications, and donor restrictions?
- Is there a process to inform in a proper and timely manner all constituents of the appropriate handling of financial matters for the program?
- Are all assets - including facilities, data, equipment, supplies, inventory, accounts receivable, and cash (to include - checks and credit card payments) - protected from unauthorized access or theft?
- Is there a viable process of continuous assessment and adjustment for any changes or revisions that would affect accountability and internal controls?
- Have I voiced or reported any concerns to the ALSDE to preserve program compliance and success?
Budgetary Procedures

The Budget is the grantee's roadmap to fulfilling the mission of the program. It is the projected plan through which ideas are translated into expenses. Through diligent planning a comprehensive budget can accomplish the following:

- It can help refine the program's goals while reflecting realistic resources.
- It can compel everyone working with the program to use funds wisely and efficiently.
- It can provide accurate information to adjust, analyze, and evaluate programs and activities.
- It can aid in decision-making.
- It can provide a historical reference to be used for future planning.

Basic Budgetary Components

- A mission statement of the program's goals, objectives and priorities (What do we want to accomplish? How will we accomplish this? How much will the program cost? Other than the 21st CCLC Grant, how will the program be funded?) This should be considered a Budgetary Narrative.
- A specified time period to which the budget applies (i.e. ALSDE fiscal school year/Oct. 1 – Sept.30)
- A method of reviewing budget plans and procedures
- Budgeted financial statements: An estimated detailed income breakdown and an estimated detail expense breakdown

Developing a Budget

- When establishing the program, preparations must begin well in advance because the process will take quite some time to ensure a thorough plan.
- For established programs, preparations should begin several months prior to the close of the current fiscal year.
- Research and adhere to the individual LEA and/or COMMUNITY ENTITY governing board policies regarding expenditure deadlines. Remember to keep in mind summer programs as well.
- Prepare a comprehensive outline of the program's planned activities for the upcoming year.
- Determine available funds (annual income, cash on hand and funds in the bank, interest, etc.).
- Do careful studies of funding sources, costs, estimated and probable fundraisers.
- Estimate anticipated income and when it is expected to be available (fees, grants, annual gifts, donations, etc.).
- Define needed expense (curricula, materials and supplies, hardware, software, advertising, printing costs, etc.).
- Get price quotations on certain expenditures and delegate certain responsibilities to ascertain anticipated costs.
- Adhere to State Bid laws – check with the purchasing department of LEA regarding this matter.
- Rank in order by their relative importance, which activities and initiatives are the wisest expenditure of funds.
- All costs must be directly correlated to the needs, goals, and objectives of the program.
- Remain cognizant of how much is available to be allocated for each necessary line item.
- Negotiate as necessary while eliminating less essential expenditures and limiting certain others.
- Revise, review, coordinate, cross-reference, and then assemble income and expenditures into a final budget.

Managing the Budget
• Once prepared, approved, and adopted, the budget must be closely managed.
• Formulate general policies and procedures needed to achieve objectives.
• Keep an accurate log of financial transactions (income and expenses) - maintain in an organizational record book - check and balance records periodically.
• As stated previously, internal controls must be established for safeguards and accurate accounting data -- this encourages adherence and accountability.
• Control cost -- allow only approved expenditures.
• Habitually assess the budget numerous times during the budgeted period.

Budgetary and Expenditure Reporting

**LEA's** - Each LEA system has a Chief School Financial Officer (CSFO). Many budgetary and financial questions can be answered by the CSFO. If greater insight and further clarification are needed, ALSDE and/or the program's assigned Technical Advisor are always available to assist the grantee.

To ensure budgetary compliance and accountability, LEA's are responsible for posting their comprehensive budget to the state E-GAP system with the submission of their initial or continuation application (RFA) each fiscal year. The budget will in turn be reviewed/approved/not approved by the ALSDE with recommended changes and revisions. Monies cannot be spent prior to the budget being approved.

Revisions may be submitted via E-GAP throughout the fiscal year. However, all revisions must be reviewed, discussed, and approved by the assigned Technical Advisor before submitting them to the SDE for approval.

**For CSFO's only:**

Both the budget and expenditures must be updated and recorded in McAleer - the state's electronic accounting system. Alabama state law stipulates McAleer must be regularly updated within 45 days of the end of each month. All requisition orders, receipts, bills of sale, etc., and any other corresponding, supporting documentation pertaining to purchases and expenditures must be maintained and filed accordingly. [http://www.aasbo.com/](http://www.aasbo.com/)

**Community Entities** - Each Community Entity must have their own established financial and budgetary systems in place prior to applying for the 21st CCLC grant. Policies and procedures should be established in general accordance with the aforementioned parameters provided within this section of the manual.

To ensure budgetary compliance and accountability, Community Entities are responsible for posting their comprehensive budget to the state eGAP system with their initial or continuation application (RFA) each fiscal year. The budget will in turn be reviewed/approved/not approved by the ALSDE with recommended changes and revisions. Monies cannot be spent prior to the budget being approved.

Revisions may be submitted via e-GAP throughout the fiscal year. However, all revisions must be reviewed, discussed, and approved by the assigned Technical Advisor before submitting them to the SDE for approval.

All expenditures must be submitted to the ALSDE Accounting Department on a month-by-month basis. All requisition orders, receipts, bills of sale, etc., and any other corresponding, supporting documentation pertaining to purchases and expenditures must be maintained and filed accordingly.
** For both LEA’s and Community Entities, documentation will be regularly examined by the ALSDE and the program’s assigned Technical Advisor. **

Additional Budgetary Considerations

- Everything, both within the budget and expenses, must be properly allocated to the correct line item, and duly traceable through documentation.
- Administrative and Indirect costs may not exceed the ALSDE allowed administrative cap. (Please refer to the following section for greater clarification.)

Administrative and Indirect Cost Allowances

Administrative Costs are defined as expenses directly related to the salaries and benefits of the following individuals and/or those responsible for the effective management and leadership of the CLC program: Program Director, Site Coordinator, Secretary, Financial Officer, Bookkeeper, etc. By ALSDE definition, Administrative costs are considered one type of Indirect Costs.

A few considerations when allocating Administrative funds –

- Although eGAP allows grantees to allocate all salary funding into Extended Day/Dependent Care, this is not advisable.
- It is preferable and highly recommended that all 21st CCLC administrative salaries be allocated under General Administrative. This allows for transparent traceability and accountability. This should be applicable to the Budget Narrative as well.
- COMMUNITY ENTITY’s – Whatever accounting system is utilized with your organization, this same type of transparency is highly advisable and recommended.
- Job Descriptions must be truly reflective of job duties and responsibilities. In other words, unless Administrators are genuinely performing teaching/instructional responsibilities including abundant face time with the students, their salaries cannot be considered instructional. Therefore, they must be deemed Administrative and allocated accordingly.
- Salaries and expenses related to the direction and supervision of such functions as instruction, guidance, attendance, transportation, community services, and student services are not indirect costs.

Indirect Costs are defined as those costs of a general nature which are not readily identifiable with the activities of the grant; but are, nevertheless, incurred for the joint benefit of those activities and other activities or programs of the organization.

Indirect costs are costs meeting the following criteria:

- Incurred for a common or joint purpose benefiting more than one cost
- Not readily assignable to the cost objectives specifically benefited, without effort disproportionate to the results achieved.

As used in the calculation of a restricted indirect cost rate, occupancy and space maintenance costs means such costs as:

- Building costs whether owned or rented
- Janitorial services and supplies
- Building, grounds and parking lot maintenance
- Guard services
- Light, heat, and power
- Telephone, fax and other communication services

** All grantees must not exceed a 20% allocation for Administrative/Indirect Costs. **

** Additionally, LEA’s must use their LEA-assigned Administrative/Indirect Cost % rate, and must not exceed this allocation. **
A complete explanation of Indirect Costs can be found in the document provided by the ALSDE at the following link: (Please be advised: This information is updated periodically/annually)

https://publicdatareports.alsde.edu/leareports/default.aspx

After reviewing the information provided therein, it is understandable why clear comprehension can be quite a challenge. LEA’s, please remember CSFO’s are an endless resource and can provide indispensable insight. LEA’s and COMMUNITY ENTITY’s, the assigned Technical Advisor and the ALSDE Administrator and staff are always willing to answer questions and offer guidance.

Throughout the years, clarification, examples and FAQ’s regarding Indirect Costs have been requested and given. Though the document above is provided, the possible nuances and enumerable scenarios preclude the ability to address them all. Providing the most useful information and awareness is the primary goal, and can best be served by referring grantees to those who have the best comprehensive answers.

Therefore, though stated multiple times throughout this document ---

When in doubt...please consult the ALSDE and/or the assigned Technical Advisor, or the Staff of the Truman Pierce Institute at Auburn University!

Necessary, Reasonable, and Customary

Just because it’s allowable doesn’t mean it’s prudent nor approvable!

**Necessary**

- A cost is necessary if –
  - Needed for the performance or administration of your grant
  - Follows sound business practices
  - Reflects fair market prices for comparable goods or services

  - Do I really need this to administer the program?
  - Is this the minimum/maximum amount needed to meet the needs of the students?

**Reasonable**

- Is this cost targeted to valid programmatic/administrative considerations?
- Does our program have the sustainable capacity to use what we are purchasing for this program?
- Did we pay a fair market rate and can we prove it?
- If this expense were in the local newspaper ‘HEADLINES,’ would I be comfortable or completely embarrassed?
Allowable & Non-Allowable Expenses

The following specifications are taken directly from the Non-Regulatory Guidance provided by the federal government. (Under Revision by the USDOE, October 2017.)

Each eligible organization that receives an award may use the funds to carry out a broad array of before- and after-school activities (or activities during other times when school is not in session) that advance student achievement. In the Department’s view, local grantees are limited to providing activities within the following list:

- 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
- Recreational activities
- Telecommunications and technology education programs
- Expanded library service hours
- Programs that promote parental involvement and family literacy
- Drug and violence prevention programs, counseling programs, and character education programs

Academic enrichment can include tutoring in core academic subjects, and provide extra learning opportunities that provide students with ways to practice their academic skills through engaging, hands-on activities.

Such activities might include some of the following:
- Chess clubs – to foster critical thinking skills, persistence and other positive work habits
- Theatre programs – to encourage reading, writing and speaking as well as teamwork, goal-setting and decision-making
- Book clubs – to encourage reading and writing for pleasure
- Cooking programs – to foster the application of reading, writing, math and science skills
- Poetry contests and slams – to encourage reading, writing and speaking
- Woodworking programs – to encourage planning, measurement, estimation and other calculation skills
- Computer clubs – to encourage the use of graphics, internet skills, print and newspaper publishing; to promote writing, editing and knowledge of and comfort with technology

These types of enrichment programs are consistent with evidence of the importance of constructive learning activities during the non-school hours.

For example, researcher Reginald Clark found that economically disadvantaged youth who participated in constructive learning activities for 20-35 hours per week performed better in school than their more passive peers.

You will note when reviewing these specifications, programs are given a wide berth regarding the opportunities they may provide students and their families.

**To assist with compliance and further insight, a list of “Allowable and Non-Allowable” expenditures is contained on the following pages. A complete comprehensive list does NOT exist. This list is only to be used as a guide, and NOT to be considered exhaustive. When questions arise and further clarification is needed, the grantee must defer to the ASLDE**
and the assigned Technical Advisor for guidance. If in doubt...ASK!
**Allowable and Non-Allowable Expenses (Continued)**

The following summary is provided for the grantee’s convenience and is to be utilized as a “guide” only. The ALSDE does not accept responsibility for Grantee interpretation of the Cost Principles from EDGAR as outlined below. Prior to expending funds, grantees should consult the ALSDE and/or their assigned Technical Advisor. All costs must be budgeted and approved on the original Grant Application (or Revision) prior to expenditure. Some costs, even after the original Grant approval, will require specific approval from ALSDE prior to the expense.

<table>
<thead>
<tr>
<th>Items of Cost</th>
<th>In accordance with the uniformed publication of the Office of Management and Budget (OMB) Circulars, the following list is obtained from EDGAR. The regulations are applicable across all federal agencies and organizations, flow-through state agencies, and federal grantee recipients.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Accounting</td>
<td>Allowable – §200.302 - §200.303</td>
</tr>
<tr>
<td>Advertising</td>
<td>Allowable for recruitment of grant personnel; procurement of goods and services; and disposal of surplus materials and any other specific purpose necessary to meet the requirements of the Federal award – §200.421</td>
</tr>
<tr>
<td>Audit Services</td>
<td>Allowable for audits conducted under the Single Audit Act, now addressed in the consolidated OMB Circulars.</td>
</tr>
<tr>
<td>Award for Participation</td>
<td>Although not specifically addressed in EDGAR, allowed when necessary to accomplish program objective. Acceptable awards include certificates, plaques, ribbons, and small trophies nominal in cost, or inexpensive instructionally related items such as pens/pencils to be used in the classroom</td>
</tr>
<tr>
<td>Bad Debts</td>
<td>Unallowable – §200.426</td>
</tr>
<tr>
<td>Bonding Costs</td>
<td>Allowable for employees who handle grant funds when in accordance with sound business practices – §200.427</td>
</tr>
<tr>
<td>Communication (may include telephone, FAX, postage-mailing services, electronic communication, etc.)</td>
<td>Allowable – §200.421(2)</td>
</tr>
<tr>
<td>Compensation for Personnel Services (may include salaries, wages, and benefits)</td>
<td>Allowable if costs are reasonably comparable for similar work &amp; charges are supported with time distribution records and other documentation as stipulated throughout EDGAR. Accurate time sheets that reflect actual hours worked must be maintained and filed accordingly - §200.430 – 200.431</td>
</tr>
<tr>
<td>Construction or remodeling</td>
<td>Unallowable – §200.439(3)</td>
</tr>
<tr>
<td>Items of Cost</td>
<td>Description</td>
</tr>
<tr>
<td>--------------------------------------------------</td>
<td>---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
</tbody>
</table>
| **Contributions/Donations to others**             | Unallowable – §200.434  
* Ex.-Grant money cannot be donated to receive free publicity or acknowledgment. (i.e. Ad in a Yearbook, etc.)                                                                                                                                                                                                                       |
| **Criminal Background Checks**                   | Allowable – §200.430                                                                                                                                                                                                                                                                                                                        |
| **Defense, Prosecution, Claims and Appeals**     | Unallowable – §200.435  
Unallowable for prosecution of claims against federal or state governments and agencies *(Be advised: numerous stipulations apply.)*                                                                                                                                                                            |
| **Depreciation and Use Allowance**               | Allowable based on acquisition cost as stipulated in EDGAR – §200.313  
Please defer to the *Closeout Procedures* delineated in this manual for very detailed specifications.                                                                                                                                                                                      |
| **Disbursing Service**                           | Allowable – §200.300 - §200.309  
• Allowable for cost of disbursing funds by the CFSO, treasurer or other designated officer  
• Accurate time sheets that reflect actual hours worked must be maintained and filed accordingly  
• These hours must be allocated as a line within the budget and must fall within the ALSDE Admin allowance.                                                                                                                                                                   |
| **Displays, Demonstrations, and Exhibits**       | Allowable – §200.461                                                                                                                                                                                                                                                                                                                        |
| **Employee Benefits**                            | Allowable – §200.414, 430, 431, 437                                                                                                                                                                                                                                                                                                         |
| **Entertainment**                                | Unallowable – §200.438  
* The federal Capital Expense threshold is much higher than the Alabama State mandated allowance. Therefore, no OMB Circular citation is warranted.  
* Capital expense is defined by the ALSDE, as items that cost greater than $5000 per unit and require specific approval from the ALSDE prior to purchase.                                                                                                             |
| **Equipment & Other Capital Expenditures**       | (includes shipping cost and ancillary charges)  
• The federal Capital Expense threshold is much higher than the Alabama State mandated allowance. Therefore, no OMB Circular citation is warranted.  
• Capital expense is defined by the ALSDE, as items that cost greater than $5000 per unit and require specific approval from the ALSDE prior to purchase.                                                                                                             |
<table>
<thead>
<tr>
<th>Items of Cost</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Executive Lobbying Costs</td>
<td>Unallowable – §200.450</td>
</tr>
<tr>
<td>Field Trips</td>
<td>Although not specifically addressed in EDGAR, <strong>educational</strong> field trips are allowable when directly related to a teacher’s lesson as part of instructional strategies, and when necessary to meet program objectives. Limited to <em>in-state</em> travel only, without ALSDE approval.</td>
</tr>
<tr>
<td>Fines and Penalties</td>
<td>Unallowable – §200.441 Unallowable, except when incurred as a result of compliance with specific federal award provisions.</td>
</tr>
<tr>
<td>Food Costs</td>
<td>Although not specifically addressed in EDGAR, food costs are allowable for students &amp; participants as long as they are necessary &amp; reasonable to accomplish the goals &amp; objectives of the program. *</td>
</tr>
<tr>
<td>Fundraising, including financial campaign</td>
<td>Unallowable – §200.442 * Grant money cannot be spent to raise money. (Ex. Buying materials to raffle)</td>
</tr>
<tr>
<td>and solicitations of gifts, donations, contributions</td>
<td></td>
</tr>
<tr>
<td>Goods and Services for personal use</td>
<td>Unallowable – §200.445</td>
</tr>
<tr>
<td>Hospitality Rooms</td>
<td>Unallowable – §200.432 * Ex. – Banquet Halls, etc. for hosting Events, hotel rooms for program guest. Such expenses are permissible for the ALSDE, but not flow-through sub-recipient awardees.</td>
</tr>
<tr>
<td>Housing and Personal Living Expenses</td>
<td>Unallowable – §200.445 * Housing allowances and living expenses must be pre-approved by the USDOE. No 21st CCLC sub-recipient would be eligible for such consideration.</td>
</tr>
<tr>
<td>Insurance</td>
<td>Insurance is allowable when pursuant to the grant and when in accordance with governmental unit’s policy and sound business practices. – §200.447</td>
</tr>
<tr>
<td>Lobbying</td>
<td>Unallowable – §200.450</td>
</tr>
</tbody>
</table>

* The ruling regarding food varies from state to state. ALSDE allows the purchase of food for students within reasonable boundaries. ALSDE highly recommends the incorporation of the state’s **Child Nutrition Program** as a collaborative partner for healthy snacks, etc. As examples, ALSDE views trips to The Golden Corral, Dairy Queen, etc. as **unacceptable**.
<table>
<thead>
<tr>
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</tr>
</thead>
<tbody>
<tr>
<td>Maintenance, Operations, and Repair</td>
<td>Maintenance and operation of <em>building space</em> used for grant activities is allowable to maintain property's functionality as specified in EDGAR. – §200.452</td>
</tr>
<tr>
<td>Materials and Supplies (includes Shipping costs)</td>
<td>Allowable, while bearing in mind the stipulations of <em>Reasonable and Customary</em>. – §200.453</td>
</tr>
<tr>
<td>Meetings/Conference</td>
<td>Allowable for dissemination of information related to the grant. §200.432 (i.e. Parent, School, Community meetings, etc.)</td>
</tr>
<tr>
<td>Memberships</td>
<td>Allowable for membership with business, professional, and technical organizations related to the grant. Membership must be in the name of the grantee organization and not in the name of an individual. §200.454</td>
</tr>
<tr>
<td>Memorabilia</td>
<td>Unallowable – §200.421 and §200.467</td>
</tr>
<tr>
<td>Pre – Award (Pre – Agreement) Costs</td>
<td>Unallowable unless specific approval is given by the ALSDE. – §200.458</td>
</tr>
<tr>
<td>Professional Development</td>
<td>Allowable – §200.430 and §200.459</td>
</tr>
<tr>
<td>Promotional Items (such as t-shirts, caps, tote bags, key chains, etc.)</td>
<td>Unallowable – §200.421 ALSDE allows the purchase of 1 T-shirt with the 21st CCLC logo prominently displayed for identification and safety purposes.</td>
</tr>
<tr>
<td>Proposal Cost (i.e. preparing Grant application and proposals)</td>
<td>The ALSDE in accordance with USDOE regulations, does not allow costs of preparing grant applications/proposals for competitive discretionary grants. Additionally, grant funding cannot be utilized for preparing applications/proposals to obtain grant monies.</td>
</tr>
<tr>
<td>Public Relations</td>
<td>Allowable only when specifically required by the grant award for communicating with the public regarding grant activities; or to keep the public informed on matters of public concern and as specified in EDGAR. – §200.421 Costs of public relations designed solely to promote the LEA/COMMUNITY ENTITY are unallowable.</td>
</tr>
<tr>
<td>Items of Cost</td>
<td>Description</td>
</tr>
<tr>
<td>----------------------------------</td>
<td>-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Publication and Printing Costs</td>
<td>Allowable – §200.461</td>
</tr>
<tr>
<td>(includes distribution &amp; mailing of publications)</td>
<td></td>
</tr>
<tr>
<td>Rearrangements and Alterations</td>
<td>Allowable for ordinary and normal rearrangement and alteration of facilities to accommodate effective facilitation – but <em>not</em> for purposes of capital improvements or construction. – §200.462</td>
</tr>
<tr>
<td>Reconversion Costs</td>
<td>Allowable to restore facility to the condition existing immediately prior to the grant award (less the costs related to normal wear and tear). – but <em>not</em> for purposes of capital improvements or construction §200.462</td>
</tr>
<tr>
<td>Recruiting</td>
<td>Allowable – §200.463</td>
</tr>
<tr>
<td>Rental Costs</td>
<td>Allowable to the extent that the rates are comparable to that of other rental property in the locale of the program; and as specified by the very detailed provisions detailed in EDGAR. – §200.465</td>
</tr>
<tr>
<td>Service Learning</td>
<td>Allowable as it pertains to the implementation of the grant, and in keeping with all other Allowable/Unallowable expense specifications.</td>
</tr>
<tr>
<td>Souvenirs</td>
<td>Unallowable – §200.421</td>
</tr>
<tr>
<td>Subscriptions</td>
<td>Allowable for business, professional, and technical periodicals when related to the Grant. Subscriptions must be in the name of the grantee organization and not in the name of the individual. §200.454</td>
</tr>
<tr>
<td>Taxes</td>
<td>Allowable except for self-assessed taxes. §200.470</td>
</tr>
<tr>
<td>Items of Cost</td>
<td>Description</td>
</tr>
<tr>
<td>--------------------</td>
<td>-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Training and Education</td>
<td>Allowable for the training and development of employees. – §200.430, §200.472 and §200.459</td>
</tr>
<tr>
<td>Transportation</td>
<td>Allowable for the purposes of bus rentals, etc. §200.473</td>
</tr>
<tr>
<td></td>
<td>However, grant funds cannot be used to purchase buses, vans, etc.</td>
</tr>
<tr>
<td>Transportation of Goods</td>
<td>Allowable for goods directly related to the grant and purchased with grant funds. §200.473</td>
</tr>
<tr>
<td>Travel Costs</td>
<td>▪ Travel costs are allowable related to expenses for transportation, lodging, sustenance, and related items incurred by employees traveling on official business.</td>
</tr>
<tr>
<td></td>
<td>▪ Such costs may be charged on an actual cost basis, on a per diem or mileage basis in lieu of actual costs incurred, or in a combination the two – provided the method uses is applied to an entire trip, and results in charges consistent with those normally allowed in like circumstances in non-federally-sponsored activities.</td>
</tr>
<tr>
<td></td>
<td>▪ Notwithstanding the provisions of EDGAR, travel costs of officials covered by that section, when specifically related to federal awards are allowable with the prior approval of the LEA.</td>
</tr>
<tr>
<td></td>
<td>▪ All LEA grantees must abide by the policies of the applicable LEA Board.</td>
</tr>
<tr>
<td></td>
<td>▪ All COMMUNITY ENTITY grantees must abide by the policies of the applicable governing COMMUNITY ENTITY Board.</td>
</tr>
<tr>
<td></td>
<td>§200.474</td>
</tr>
<tr>
<td>Tuition and Fees</td>
<td>Allowable as it pertains specifically to the grantee program.</td>
</tr>
<tr>
<td></td>
<td>Please refer to the Tuition &amp; Fees portion of the Operations Manual.</td>
</tr>
</tbody>
</table>

This chart is in no way comprehensive - ALWAYS defer to the guidance of the ALSDE and the assigned Technical Advisor prior to the expenditure of funds!
Fiscal Guidance and Considerations

Supplementing vs. Supplanting

Though an unpalatable subject at times, it must still be addressed to avoid ambiguity and confusion. So, let's keep it as simple, clear and succinct as possible.

The majority of this information is primarily applicable to LEA's.

A Little Clarity

The term “supplement” is defined as “to add to” while the term “supplant,” means “to replace or take the place of.”

Both federal and state laws require that 21st CCLC program funds be used to supplement (increase), but not supplant (replace), the existing level of federal, state, local and other non-federal or state funds that have been available to conduct before and after school program activities.

- Grant (categorical) funds are additional resources to provide targeted services beyond the basic educational program.
- Grant (categorical) funds do not replace nor are they a substitute for state and local expenditures.
- Using federal funds to substitute or replace existing or previously existing programs and services funded by non-federal sources (state/local) is considered supplanting.
- Additionally, substituting or replacing funds from other federal/state programs required by law for specific categories of students is considered supplanting.

The Rule

The Federal Supplement not Supplant Provision requires that federal funds be used to augment the regular educational program. They must not be used to substitute for funds or services that would otherwise be provided during the time period in question.

The statute requires that state and local educational agencies (SEA’s and LEA’s) use federal funds received through entitlement and competitive funding only to supplement the amount of funds available from nonfederal sources for the education of students and applicable programs.

The SEA and LEA cannot use these federal funds to supplant funds that would, in the absence of federal funding, have been spent to provide for students and their families through the 21st CCLC program.

Bottom Line –

For the time period in question (the life of the grant during that fiscal school year), what would have occurred in the absence of federal funds? The SEA and/or LEA must demonstrate that it would not have provided the services in question with non–federal funds had the federal funds not been available.
Examples and FAQ's

- An agency may increase (supplement) its existing state-funded student enrollment in an Afterschool program by using new federal or state funds to increase the number of students in the program.

- A school district currently funds the librarian’s salary during the hours of 3 p.m. to 7 p.m. with State general funds. Now that the district is approved for a 21st CCLC grant, the district would like to use these grant funds to pay for the librarian’s salary during the hours of 3 p.m. to 6 p.m. The district may not use 21st CCLC funding to pay for the librarian’s time, because this would be supplanting.

- Last year the LEA used state and local funds to provide a writing program for an Afterschool Program (i.e. specialized teacher, materials, assessments, etc.). This year the LEA wants to use 21st CCLC funds to continue the program. This could be considered supplanting.

Question: May 21st CCLC funds be used to enhance an existing program (e.g., hire additional teachers)?

Answer: Yes. 21st CCLC funds may be used to enhance an existing After School Education or 21st CCLC program if the program expands to serve additional students and/or schools/sites.

Question: How will the ALSDE monitor programs for compliance with the “supplement not supplant” requirement?

Answer: The ALSDE provides technical assistance directly and through an assigned Technical Advisor. Additionally, ALSDE conducts Compliance Assistance Monitoring. The process consists of data and document review and onsite visits to determine compliance with requirements for each categorical program, including before and after school programs.

Question: Can 21st CCLC grantees use funds from other federal, state and local programs that have related purposes?

Answer: Yes. The US Department of Education and the ALSDE strongly encourage local programs to identify other sources of related funding and to describe, in its programs plans, how these resources will be combined or coordinated to offer a high quality, sustainable before and after school programs.

The Key

- Keep in mind...a determination regarding supplanting is very case specific; and it is difficult to provide general guidelines without examining the details of each situation.

- A tremendous amount of extensive documentation is essential. (i.e. Board notes and minutes, rationale and justifications, collaboration and cooperation of funding, etc.)

- Seek the guidance of ALSDE and/or the assigned Technical Advisor prior to the expenditure of funds....as with most anything else!
Revisions

Throughout the school fiscal calendar year, it may become necessary to "revise" or adjust the initial budget which was submitted with the original application. A modification may be needed to meet the program needs and maintain the integrity of the grant application’s primary goals and objectives.

Revisions must be submitted through the same application process or chain of command…the LEA/COMMUNITY ENTITY etc. must adhere to the procedures delineated by their applicable system and/or governing board.

- Program Director/Coordinator
- CSFO or Financial Officer
- Principal/Superintendent
- ALSDE State Coordinator

Revisions should include the following:
- Detailed budgetary delineation
- Detailed narrative justification
- Detailed implementation plan for revised funds

**Prior to submitting a revision to the ALSDE, please allow the assigned Technical Advisor to review all applicable documentation.

**Final approval from the ALSDE must be complete prior to the expenditure of funds. The responsibility lies with the grantee to follow-up with the ALSDE to secure approval. **

Please note: Though the ALSDE allows revisions throughout the life of the grant, the last revision of the fiscal school year must be submitted no later than June 15th.

(Some LEA's and Community Entities’ governing boards will only allow one to two revisions a year, and have very specific regulations regarding their timing and submission…the grantee must defer to these guidelines.)

Carryover

In accordance with Title IV, Part B statute, grantees may carryover 21st CCLC funds not expended during the fiscal year. These funds may be carried over to the following year of the grant award period for Year 1 and Year 2 of the grant’s Period of Performance (3 year grant cycle). Legislation does not stipulate the amount or percentage permissible for carryover; however, retaining a significant amount of carryover may indicate that the grantee is having problems with the administration of the 21st CCLC program.

For the allowance of the carryover of funds, a grantee must first meet the following criteria:

- Acceptable program performance as evaluated by ALSDE and the assigned Technical Advisor
- Effective implementation of the original approved Request for Application (RFA)
- Grantee's satisfactory scoring results on the ALSDE's Risk Assessment Instrument
- Timely submission of an annual continuation application
- Documented compliance with all grant requirements
- The submission of a revised budget for the next fiscal year to include carryover funds
- The three year grant period has not ended

Note: See Appendix C-1 and Appendix C-2
Equipment and Inventory

When referring to *Equipment and Inventory* policies, all LEA districts/systems and most COMMUNITY ENTITY’s will have established guidelines and procedures, which *cannot* be usurped or overridden. Therefore, within those boundaries additional considerations are delineated here.

For some COMMUNITY ENTITY’s who have no pre-existing plan, the following will serve as a framework to structure their policies and procedures.

1. Adhere to all financial budgetary guidelines. Purchases may *not* occur without having been budgeted within the original grant application and approved by the ALSDE.

2. Establish a line of command and the order of progression to be followed throughout the process –
   - Assessment of need (Individual and/or committee)
   - Request of purchase (Requisition order)
   - Approval process (Signature of at least 2 individuals – Supervisory authorization) (*LEA’s follow system’s protocol – COMMUNITY ENTITY’s 2 signatures is advisable for accountability purposes*)
   - Placement of order (Purchase Order Form with PO #; Designated individual or department)
   - Filing system (Pre-order, Post-order, Receipt and Disbursement)

3. Determine procedures to be implemented upon receipt of equipment/merchandise –
   - Point of receipt (Check-in processes, Individual responsible, etc.)
   - Bill of Lading and Purchase Order correspondence
   - Inspection of equipment
   - Inventory ID # assigned to merchandise
   - Labeled as 21st CCLC property (when purchased with 21st CCLC funds)

4. Document the arrival and disposition of newly acquired product –
   - Individuals assigned responsible for the recording of all inventory information
   - All information pertaining to the merchandise must be recorded in master Inventory Listing (*See Appendix E-1.*)
   - The documentation should include the following:
     - Description
     - Serial or manufacturer identification number
     - Original cost
     - Purchase order number
     - Acquisition date
     - Institutional Inventory # assigned
     - Category
     - Location – Building, room, department
     - Department to which equipment is assigned
     - Person to whom the equipment is assigned

*Please note*: Capitalized equipment (products that cost more than $5000 per unit) purchases must receive prior approval from the ALSDE. A memorandum of justification must be submitted with the request. The explanation must specify the intended purpose of the purchase, delineate the usage, and demonstrate how it will beneficially impact the program.

If any type of equipment is stolen, a certified police report, which fully lists all properties taken, must be submitted to the ALSDE. Any compensatory insurance payments made to the grantee must be reimbursed to the program.
Program Income

Program income is any gross income earned by the non-Federal entity that is directly generated by a supported activity or earned as a result of the Federal award during the period of performance (2 CFR §200.80). At this time, the Alabama 21st CCLC program does not offer Program Income as defined under the ESSA in the competitive grant program.

Transportation

- If transportation is to be provided, a plan as to how students will participate must be documented. Buses including Charter buses, utilized must be regularly inspected and the reports should be maintained on-site, as well as submitted to the LEA/COMMUNITY ENTITY governing board.
  
  ~ Alabama State law strictly prohibits transportation of students in vans. ~

- Students must be instructed in transportation safety. Because students will encounter situations that are outside the realm of the ordinary school day, and must know how to respond properly – it is mandatory that bus drills specific to Afterschool be conducted once a semester and during the summer. (For instance, Afterschool programs will have students riding a bus after dark in the winter; and they will need to know how to exit safely.)

- As stated in Student Data, on a Student's Registration Form there must be a listing of those prohibited from picking-up the child. Additionally, the parent/guardian must identify in writing those who have the right to pick-up a child. These listings must be enforced at both the program center and a transportation stop.

- To execute this policy effectively, an employee must be assigned to greet the parent/guardian/designated individual, and sign the student out. The employee must have the above-mentioned lists, and the parent must provide proper identification.

  ~ NO child should EVER be released from the program without the signature of an authorized person. ~

- A plan should be in place in case a student is not picked up. A sense of security and care must be conveyed to the child, because he/she will be concerned. Each person on his or her contact list from the Enrollment Form must be called. When this is exhausted to no avail, the grantee may have to resort to the local police department or the local Department of Human Resources.

- Before all field trips, a permission form must be obtained from the parents/guardians of each student participating. Without signed approval, a student may not participate. All emergency, medical, and contact information for each student on the field trip must accompany those in supervision.

- All transportation drivers must have a method of communication with the Program Director or program site. (i.e. cell phone, walkie-talkie, smoke signals, etc.)

- Any changes in transportation procedures, routines, or routes must be provided in writing to all parents/guardians and students well in advance.
Community Entity Funding Specifics

Every month, the CBO/FBO must submit their ES-2 in E-Gap and mail-in the Form 3 along with all documentation. The due date is the 15th of the following month.

All applicable documentation must be submitted with the Form 3 on a monthly basis. This documentation should include – but not be limited to – some of the following: (This is not an all-inclusive list.)

Ø Copies of Payroll records (must itemize total compensation for each employee – salary, plus benefits)
Ø Travel expenses and corresponding receipts
Ø All purchases (include receipts, invoices, BOL’s, etc.)

** The ALSDE Accountant assigned to the maintenance of a Community Entity’s account will contact each program to establish due dates, timelines, and any additional expectations. **
Safety

The safety of students must reign as paramount! It does not matter what educational objectives are upheld...if students are unsafe...all is for naught!

Included in this portion of the manual are general safety guidelines for the grantee's consideration. *Adherence and compliance to the LEA and/or governing board's safety regulations is imperative.*

Deferring to the LEA/Board assigned Safety Procedures, does not release the grantee from the responsibility of having an **on-site** viable plan of action. All safety processes must be well documented with forms, drills, maps, etc.

Compliance with ALSDE Prevention and Support Services

- **LEA’s** – If the grantee operates a program on a school property, a copy of the school’s safety plan must be obtained. *All* employees must be fully trained regarding all aspects of the plan. That which is specific or indigenous to the grantee must be implemented into the school’s plan and documented accordingly.

- **COMMUNITY ENTITY’s** – If the grantee operates at a site that is *not* a public school, the grantee must meet all safety standards set forth by the appropriate licensing agency. A thorough, comprehensive safety plan that includes the program’s site must be well documented and readily accessible.

An effective Safety Plan should include some of the following:

- Fire Drills, Fire Exits, and Evacuation Routes
- Severe Weather Drills and Procedures
- Intruder Alert

All fire drills, severe weather drills, and Lockdown drills must be documented with the dates, times, those who participated, and the results. (Perhaps rotating drills – 1 per month) If any problems arise during a drill, they should be notated with the occurrence and the corrective actions to be taken. Future drills must include documentation as to how outstanding issues have been resolved.

Considerations...

- The program operates during hours that differ from the regular school hours to which the students will be accustomed. Therefore, they will need to be well-informed regarding any differences and program nuances.
- Give specific attention to any students who are completely unfamiliar with the building and grounds, and those with special needs.
- The Grantee must have reliable telephone service to ensure communication capabilities throughout an emergency.

Illness and Injury Emergency Plans

- The LEA/COMMUNITY ENTITY must have an emergency contingency plan to manage possible student and personnel illness and injury.

- All staff should be trained in first-aid procedures and practices. Additionally, they should be well-versed in current health and safety standards for school-age children.

- An effective Emergency Plan should specifically assign tasks and duties to individuals who will responsibly carry out their duties in the event of an emergency.
The Emergency Plan should include the following:
- Listing of personnel who are CPR and First-Aid certified and trained
- Location of fixed telephone lines and other communication devices (i.e. cell phones, walkie-talkies, radios, etc.)
- Location of all emergency equipment and supplies, and who is to retrieve it
- Assignment of those responsible for the immediate care of injured or ill students
- Assign those responsible for contacting emergency personnel
- All contact information for EMS, fire department, police department, etc. The information must be up-to-date, accurate and easily accessible.
- Assignment of who is to contact the designated family member in case of emergency
- Determination of evacuation process, if necessary, which should detail personnel responsible, transportation, and alternative relocation site
- Assignment of individual responsible for contacting parents in the case of evacuation

Parents should be fully informed (meetings, handbook, letters, notices, etc.) of ALL emergency procedures, evacuation measures, contact information and processes, etc.

An Accident Report form should be developed. The report should include some of the following information:
- Student name
- Date and time
- Description of the accident
- Description of corresponding injury(s)
- Description of the treatment provided and/or the action taken
- Name of the parent or other designated individual notified
- Time of notification

Premises Safety

- The entrance accessible to the public should contain information (signage) about the program, which should include the hours of operation.
- Someone should be assigned to attend the entrance. This individual will serve to greet the students and welcome the public while recognizing any potential problem. The assigned individual should be adept at assessing situations, and fully versed in the procedures of dealing with intruders.
- The building should have only one accessible entrance from the outside. All other doors should open only from the inside allowing staff and students numerous avenues of regress; and yet preventing others from wondering into the building.
- A strategic plan to ensure the safety of students and personnel against intruders should be developed and implemented. Staff should be trained to deal with such contingencies and be aware of how the police and other agencies are to be notified. A secure location should be designated to allow for escape and shelter, if possible.
- A complete inspection of the building, surrounding premises, playground, etc. should occur annually (at minimum). For example, attention should be given to the security of janitorial chemicals while giving consideration to potholes and dangling limbs in the playground. The grantee should develop their own comprehensive checklist that is specific to their location.
- When events occur that involve inviting parents, family members, and the community – strict monitoring procedures should be implemented to prevent unsupervised access to the students by any community member.
Permits

- The grantee must obtain all necessary permits, ensure ongoing inspections, and maintain all required renewals. These should include, but are not limited to the following:
  - Fire Inspection reports
  - Department of Public Health Inspection reports
  - Food Permits*
  - Food Equipment Inspection reports*
  - Transportation Permits
  - Bus Inspection reports

* If LEA or State required when conducting food preparation instructional activities

- Inspection results must be addressed immediately; and permits should be maintained at all times for verification.

Student Data

- It is essential that student files and all data pertaining to them be securely stored and only accessible to pertinent staff members.

- The grantee must develop a Registration Form that should include, but not limited to the following information:
  - Student Name
  - Parent/Guardian Name and Address
  - Emergency Contact Person – including phone number and relationship to the child
  - Insurance Information in the case of an emergency
  - List of all medications being taken by the student – include name of medication, dosage, and parental permission to administer
  - A detailed list of persons not permitted to pick-up the student
  - A listing of special needs of the student which should include known allergies
  - Parental Permission to photograph the child for safety purposes
  - A listing of individuals in order of contact preference
  - Corresponding documentation may be submitted.
  - A copy of the corresponding court order must be submitted.

- Pertinent information related to a child's safety and welfare should be recorded on color-coded documents that staff members can easily access. Additionally, this information should be transcribed to a concise spreadsheet type of document for the Program Director and other appropriate personnel.

Student Attendance and Behavior

- Attendance policies should be communicated with parents and families from the onset of the program. Some of the following information should be conveyed:
  - Attendance will be taken daily
  - Students are expected to attend unless the program is otherwise notified in writing
  - Parents/Guardians will be informed if their child is not in attendance and program officials have not been notified

- A program handbook containing policies, procedures, rules and regulations should be provided parents/guardians when their children are enrolled. Student behavior and conduct should be addressed in this document.

- Students and their families must be apprised of what type of behavior is acceptable and unacceptable. Both should know what type of disciplinary measures will be taken when there is an infraction of the rules.
A behavioral violation notification should be developed. The form can be used to keep parents informed of any disciplinary issues; and should require a parental/guardian signature acknowledging the issue.

All communications and documentation with parents/guardians regarding their children’s conduct must be filed and maintained. Attendance is a privilege and not an entitlement.

Compliance Assistance

The ultimate goal of the ALSDE is to provide as much guidance and assistance possible, as a Grantee navigates the waters of effectively administering the 21st CCLC Grant for their Before/After/Summer School Program.

As Alabama educators, our fundamental guiding principle should be to provide high caliber quality educational programs to ensure the success of the students entrusted to our care. This is only possible as we continually monitor and assess our efforts, be open to honest feedback, and habitually seek to improve our outcomes.

In keeping with these objectives, ALSDE will provide assistance through some, but not limited to, the following endeavors: *

- ALSDE Compliance Review/Monitoring (Statewide schedule determined and posted annually)
- ALSDE Desk Review
- 21st CCLC LEA and COMMUNITY ENTITY Self – Assessment
- 21st CCLC Technical Advisor Compliance Assistance Checklist
- Risk Assessment
- EZ Reports – Please visit the Alabama Afterschool Community Network website for guidance and instruction – www.alacn.org
- Comprehensive Policy and Procedure Manual
- The Alabama Afterschool Community Network website – www.alacn.org
- The Alabama 21st CCLC website - http://alabam21cclc.org/

Grantees have the knowledge and expertise to continually add to this list; and it is requested that new ideas and recommendations be shared with others via the Alabama 21st CCLC website. Together we all become stronger. Please contact the 21st CCLC Coordinator – Contact Us – to offer additional ideas and suggestions.

We hope the Alabama 21st CCLC website will continue to assist with tools and opportunities to ensure programmatic success.

* Conducted by the State Coordinator on an ongoing basis. In addition to the above referenced instruments and requirements, ALSDE Accounting also monitors McAleer postings (State accounting system), expenditure reports, timeliness of the submission of reports and applications, quality of information submitted in reports and applications, etc.

PLEASE NOTE: ALSDE’s attempts to be of assistance to grantees are not limited to this simple listing. Each grantee is provided a Technical Advisor who is always willing to answer questions and be of help anytime. Additionally, the State Coordinator will gladly offer support whenever needed and possible.
Closeout Procedures

The information contained within this portion of the manual is relevant to the grantees who are coming to the end of the life of their grant; and have chosen to not re-apply for a continuation of funding.

The procedures are divided into separate components, and a checklist is provided at the end.

Records Retention

- By federal regulation, the following should be retained for a period of 5 years –
  
  Please confirm with the applicable LEA/Governing Board to see if they specify a longer period of time.

  - All financial records
  - Programmatic records
  - Statistical reports (Data collection)
  - All other records required by the terms of the grant

  The starting date of the retention period begins on the day the grantee submits to the ALSDE its final expenditure report. (Due date to be specified by the ALSDE.)

  If any litigation, claim, or audit is started before the expiration of the 5 year period, the records shall be retained until all litigation, claims or audit findings involving the records have been resolved and final action taken.

- All records, including programmatic and fiscal records of contractors compensated for services with grant funding, must be retained following the same procedures and timelines listed above. This includes purchase orders, invoices, receipts, etc. to support expenditures.

- Grantees are responsible for maintaining all records justifying any 21st CCLC expenses, including records generated by vendors/contractors who provided services to the program.

- It is recommended that the grantee collect all records from contractors upon completion of each project, or ensure contracts with vendors contain language requiring independent contractors retain all 21st CCLC records for the same length of time specified above.

Property/Equipment and Supplies

- Property/Equipment is defined as a material unit that retains shape and appearance with use, is non-expendable, and is an investment of money.

- Property and Inventory Records for items identified, as “property/equipment” should be retained for 5 years following the closeout of the grant, as specified in the preceding information.

- A written descriptive, narrative must be provided to the ALSDE as to how the retention and storage of all relevant records, reports, files, and documents will be stored and maintained.

- Disposition of equipment as part of the closeout procedures –

  LEA's

  - If the program continues after the grant expires, the grantee may retain equipment purchased with 21st CCLC funds for the ongoing propagation of the program. The grantee will need to submit a letter to the ALSDE regarding their intentions.

  - If the school will not continue to have an afterschool program, the grantee may retain the equipment if they are a Title 1 school. If they are not a Title 1 school then they must offer to transfer equipment and items to other federally funded 21st CCLC programs within the
district/area of the current grant; and then to other federal educational programs, such as Title 1 funded schools/programs.

- A copy of the composite Equipment Inventory List and The Transfer of Equipment Form should correspond and match.

**Community Entities**

If the program continues after the grant expires, the grantee may retain equipment purchased with 21st CCLC funds for the ongoing propagation of the program and must submit a letter of their intentions to the ALSDE.

- After grant funding ends and the Community Entity has elected to continue the original program, the ALSDE reserves the right to periodically inspect the ongoing efforts of the program. A COMMUNITY ENTITY’s failure to maintain its efforts will result in the forfeiture of property/equipment purchased with 21st CCLC funds.
- If the program ends, the grantee must first offer to transfer equipment and items to other federally funded 21st CCLC programs within the district/area of the current grant; and then to other federal educational programs, such as Title 1 funded schools/programs.
- **A copy of the composite Equipment Inventory List and The Transfer of Equipment Form should correspond and match.**

** If no federal program accepts the property/equipment, disposition of the equipment will be determined by the ALSDE. Please defer to the 21st CCLC State Coordinator for instruction. **

- **Supplies** are defined as consumable items that lose their original appearance with use, are expendable, and typically inexpensive.

- **Per EDGAR §200.439:** If there is residual inventory of unused supplies exceeding $5000 in total aggregate fair market value upon termination (close-out) or completion of a grant, the supplies should first be offered to another 21st CCLC program within the district/area. If they are not needed by another 21st CCLC program, the supplies/equipment may be offered to another federally sponsored school/program/project within the community.

** If no federal program needs nor accepts the supplies, disposition of the supplies will be determined by the ALSDE. Please defer to the 21st CCLC State Coordinator for instruction. **

**Data and Reports**

Grantees remain responsible for the following:

- Providing data required to be submitted to the federal PPICS system
- Provide programmatic, financial, evaluation, etc. information as requested by ALSDE
- Submission of all performance reports and other records required as a condition of the grant within 90 days or the required due date set by the ALSDE after the termination of the grant

**Later Disallowance and Adjustments**

The termination of a grant does not affect –

- The ALSDE’s right to disallow costs and recover funds on the basis of a later audit or other review
- The grantee’s obligation to return any funds due as a result of later refunds, corrections, or other transactions
- Records retention as required by federal law
Final Closeout

When the Period of performance, i.e. Grant period ends, a member of the ALSDE team or a technical Assistant will help to facilitate the close out process. When the ALSDE determines closeout procedures have been completed, grantees will receive a 21st CCLC Closeout Acknowledgement notice to retain with the program’s records.
Students and Staff

15 Academic Enrichment

The primary objective of an effective and impactful 21st CCLC program must be enhanced, experiential, hands-on learning.

16 Employing the Right People

Effective interviewing and hiring practices are provided.
Academic Enrichment

Educational Objectives

Though Out-of-School programs are drastically different from the traditional classroom setting, tremendous opportunities to learn, grow and improve scholastic performance are desirable and realistically attainable.

21st Century Community Learning Centers, since their inception and by definition, are not merely babysitting services nor are they intended to solely exist for homework assistance.

The challenge lies in incorporating enjoyable, engaging, and experiential activities that enhance and ensure learning. Students should remain oblivious to the fact they are being taught while experiencing supplemental lessons to increase their overall knowledge and understanding.

The Key – Although the educational methodologies are very similar to those of traditional classroom preparation and lesson plans, Out-of-School programs’ groundwork must emphasize engaging, hands-on, experiential activities that enhance and further learning.

This of course, requires much work for teachers, faculty and staff to ensure the fun and delight of students while they are unknowingly occupied in educational activities and experiences.

The resources and ideas for the incorporation of games, activities and exploration are literally limitless. Listed here are a few from which teachers and staff may draw:

http://alex.state.al.us/index.php
https://www.y4y.ed.gov/
http://www.foundationsinc.org/
http://naaweb.org/
http://www.sedl.org/afterschool/toolkits/
http://www.thirteen.org/edonline/afterschool/activities/index.html
http://www.learningpt.org/afterschool/hqactivities/
http://exploratorium.edu/afterschool/
http://www.sheppardsoftware.com/web_games_menu.htm
http://teachers.net/lessonplans/subjects/games/

Grantees have the knowledge and expertise to continually add to this list; and it is requested that new ideas and recommendations be shared with others via the ALACN website. Together we all become stronger. Please contact the ALACN Coordinator – Contact Us – to offer additional ideas and suggestions.

We hope the ALACN website will continue to assist with tools and opportunities to ensure programmatic success.
Remember, the stipulations outlined for 21st CCLC programs within the documented regulations –

**Authorized Activities** – Each eligible entity that receives an award under this part may use the award funds to carry out a broad array of before and after school activities (including during summer recess periods) that advance student academic achievement, including some of the following:

- 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
- Recreational activities
- Telecommunications and technology education programs
- Expanded library service hours
- Programs that promote parental involvement and family literacy
- Drug and violence prevention programs, counseling programs, and character education programs

**Lesson Plans**

*~ He who fails to plan; plans to fail. ~*

The ALSDE has no desire to dictate or mandate cookie cutter programs and formats. However, certain standards must be implemented and maintained to adhere to the true intent of the 21st CCLC legislation and regulations.

To accomplish the goal of enriching a child’s educational experience, planning and preparation are absolutely essential. *Though assisting students with their homework is admirable and needed, an effective before/after school program must encompass far more.* The aforementioned websites enumerate many possible before/after school projects and activities to broaden the scope of the program.

All 21st CCLC Programs should seek to work collaboratively with the schools served to be an extension of both the family and the endeavors of the classroom teachers. Verbiage, terminology, and vocabulary should be familiar to the students to ensure continuity and achieve the desired academic results. **The ultimate goal must be – aligned learning opportunities for students!**

Below are suggested methodologies and practices for writing and developing effective lesson plans to ensure the success of each student and to make certain continuity exists in all aspects of the program.
Best Practices

Lay the foundation – Administration, faculty and staff must determine the overall purpose and objectives of the 21st CCLC. All of which must be included in the original grant application.

Begin with the basics – An overview of the school year (and summer months, if applicable) should be developed and divided into semesters and/or quarters – six weeks – or nine weeks goals and objectives. It is then much easier to break things down into monthly and weekly attainable targets. (Please see Appendix L-1 through L-3 for examples.)

Weekly and Daily – Organization and planning are not an option when dealing with the lives of children and their wellbeing. Extensive methodical preparation must occur on a perpetual basis. The trick is to make it seem effortless while the students are having the time of their lives. The following is a list of considerations/components for functional, effective lesson plans:

- Pre – work and Pre – Assessment
  - What are my students’ needs?
  - Where are your students going? Where do they need to be?
  - How are they going to get there?
  - How will you know when they've arrived?

- Goals and Objectives
  - Write precise and delineated goals for what the students will be able to accomplish after the lesson is completed. Be Specific. Use numbers where appropriate. (i.e. 85% success rate, etc.)

- Materials Needed
  - A complete listing of materials and supplies needed to implement the lesson correctly should be included.
  - What needs to be prepared in advance? (typical for science classes and cooking or baking activities)

- Pre-requisites and groundwork
  - What must students already be able to do before this lesson?
  - What concepts have to be mastered in advance to accomplish the lesson objectives?

- Instruction
  - What will get the students' attention and motivate them in order to hold their attention?
  - How can you tie lesson objectives with student interests and past classroom activities?
  - Instruction must be disguised in the form of activities, games and exercises.
  - How do you effectively facilitate learning and manage the various activities?

- Activities
  - Activities must not exist as busyness without purpose.
  - Watch to ensure the engagement of all students.
  - Observe group and individual dynamics.
  - Use student strengths and areas of opportunity to enhance learning dynamics.

- Independent Practice (optional, if needed and applicable)

- Closure
  - What will be used to draw the ideas together for students at the end?
  - How will feedback be provided to the students to correct their misunderstandings and reinforce their learning?

- Assessment
  - How will you evaluate the objectives that were identified?
  - Educator 101 – Behavioral Objectives are imperative

Please refer to the examples of 'Acceptable' Lesson Plans in Appendix L-1 – L-3.
Field Trips

As we know, learning “by doing” increases the educational process by innumerable dimensions. Therefore, field trips can provide essential, real life contact with instructional and experiential subjects far beyond the four walls of a classroom or school building.

The ALSDE limits field trips to one per semester and one per week during summer programming. During summer months, local field trips to the library and other community events are permissible beyond the one per week; however, they should not be on a daily basis. Students must be provided tangible educational and enrichment experiences on campus as well.

As mentioned in the Lesson Plans portion of the manual – planning, preparation, execution, evaluation and assessment must occur with field trips as well. (Please see Appendices F-1 – F-4.) Field trips must be connected to a course of study objective and lesson plans. Field trips are not allowed for entertainment, amusement or recreational purposes, and MUST be pre-approved.

It certainly doesn't have to be rocket science, but unbeknownst to the students, a lesson can be learned in any circumstance.

**Example:** Even a trip to the local water park can be a tremendous educational opportunity.

**Prep Work –**
- What are the top 20 water parks in the nation?
- Where are they located? What's indigenous to that area of the country?
- How many tons of water are typically used to run a water park?
- From where does all that water come?
- What type of filtration system is used to keep the water clean and free of bacteria?
- How much money does a water park usually generate per year? How does that help the local economy?

**Much more......**

While there – Arrange a quick “Behind the Scenes” tour. Facilitate questions and answers with staff. Then go have fun!!

Assessment and Follow-through – Quick, easy and painless...Assess what they learned. This can be accomplished various ways, either through question and answers, a brief quiz, an art project drawing what they experienced with facts learned included, etc.

**Basic Field Trip Parameters**

- Planning and preparation are essential components of field trip activities and the effective management of any potential risks to the students, teachers, support staff and other participants.

- Annually, field trips should be planned for both the school year and the summer; and a listing submitted to the ALSDE. (Please see Appendix F1- through F-4.)

- Unless prior approval from the ALSDE is obtained, field trips should not be scheduled to leave the state. There are many wonderful places and experiences within the state of Alabama for our students to enjoy.
The following questions are intended to assist faculty and staff as they prepare for safe and enjoyable excursions:

- Is this field trip the best alternative for the students to meet the program’s educational objectives?
- Have we provided a written detailed instructional and support plan for the field trip? (Educational objectives, observations, activities, assignments as well as date, time, location, transportation, support services, emergencies, etc.)
- Have parents and students been notified in advance with a detailed description of the field trip?
- Has a permission form been developed and sent home for parental approval?
- Are students and parents aware of the permissible rules of conduct and the consequences for inappropriate behavior?
- Have we provided in writing, emergency response action plans and emergency phone numbers and contacts?
- Have we determined if there are special needs of any of the students, and how will we accommodate those needs?
- If the trip is a full day event (summer programs), have we made provision for lunch (CNP)?
- Do we have either direct or indirect knowledge of the specific destination, area, activities and resources to be able to guide, lead, direct and supervise the field trip and the student participation?
- Does anyone in leadership have current American Red Cross or equivalent CPR and First Aid certification?
- Will a first aid kit be available during the field trip? Has the kit been recently inspected and restocked as necessary?
- Are parents aware of pick-up procedures, if they differ from normal daily operations?

With all the work and preparation, have we ensured that the students will have fun and enjoy themselves – and learn while doing so?!
For the purposes of leadership and accountability, the ALSDE requires that appropriate supervisory management staff be provided at each funded program site depending on local needs (e.g., Program Director/Manager, Site Coordinator, Administrator). The project must incorporate the terms “Community Learning Center” or “Community Learning School” in the supervisory title.

Possible program management positions include:
- Program Director - Administrative Position
- Site Coordinator - Administrative Position
- EZ Reports - Administrative Position (often completed by either the Program Coordinator or Site Director)
- Bookkeeper - Administrative Position
- Teacher - Non-Administrative Position

A detailed Job Description will include educational requirements, previous work experience, required skills, and hours worked. Also, where the Director/Manager will be based must also be provided.

Please Note: No more than 20% of the total grant may be used for Administrative Costs and Indirect Costs Combined

- Applicants must provide a narrative of the program's organizational and staffing structure. The narrative should describe in detail the roles, job descriptions, responsibilities, qualifications/certifications, and proposed number of staff for the program. Possible staff positions are listed below. Please note that many times a program coordinator or site director completes several of these duties.

**Program Director - Administrative Position**
All 21st CCLC programs must identify one program director to administer the program. This individual will serve as the primary contact for ALSDE in all matters related to the 21st CCLC program. At the minimum, the program director will be responsible for managing and implementing the educational program and budget described in the approved application to ensure that the agency meets its responsibilities to the ALSDE under the grant agreement in a timely manner. This person is generally the Federal Programs Coordinator or the Central Office designee. For CBO’s/FBO’s this could be a chief executive officer or an organization director. (Administrative Position)

All 21st CCLC programs must identify one staff person for each target school site to serve as the collaboration liaison with that school (including private schools). This individual will be responsible for ensuring that active collaboration occurs in program planning and implementation. Programs may select one or more individuals to serve in this role. For most programs this could be the responsibility of the site coordinator or program director (Administrative Position)

**Site Coordinator - Administrative Position**
A center or site coordinator must be identified for each proposed center/site. This person will be responsible for the daily operation, coordination and delivery of services at their respective program centers. For one-center programs, or multiple centers, the program director and the center coordinator cannot be the same individual. (Administrative Position)

**EZ Reports - Administrative Position (often completed by either the Program Coordinator or Site Director)**
All 21st CCLC programs must identify at least one staff member as responsible for the collection and maintenance of all data including attendance and assessment data. For most programs, this
is the responsibility of the site coordinator or the program director. (Administrative Position)

**Bookkeeper / CSFO - Administrative Position**

**Lead Teacher – Non-Administrative Position**
21st CCLCs shall maintain at least one staff member on site at all times with CPR and First Aid certification that includes the face-to-face component. In order to meet this requirement, programs should ensure that at least two staff members are certified per site.

The lead teacher should provide instruction to students and only have administrative duties in the absence of the site director. (On days that a lead teacher serves in an Administrative role, salary payment for that time should be paid from Administrative Cost.)

**Teacher - Non-Administrative Position**
Assistant Teacher - Non-Administrative Position
Student Assistant - Non-Administrative Position - High School and College Students
Volunteer – A volunteer is defined as any person who provides a service for the 21st CCLC program and is not compensated for that service. A volunteer may provide services such as tutoring, art, dance, life skills, etc. To work with students independently, volunteers must be 21 years of age or older.

*Note: Staff qualifications and salary ranges should be determined according to the standard within the local LEA. Salary ranges should be proportional to the surrounding community.*

- For the purpose of the effective administration of the 21st CCLC program, it is highly recommended that a pupil-teacher ratio of 1 teacher/teacher aide to 15 students be maintained. Ideally, programs should be designed for small-group implementation. Additionally, individual learning and study time are encouraged.
- Once awarded 21st CCLC funding, grantees must maintain detailed and accurate Time Sheets and/or Personnel Activity Reports throughout the life of the grant award period for the purposes of detailed budgetary accountability. *(Training and policies and procedures regarding these expectations will be provided.)*
- Program management and administration requirements are addressed in that component of the RFA. Additionally, staffing and administration budgetary allocations are addressed in the Budget component of the RFA.
- **No more than a 20% administrative allocation is permissible.**

**General Employment Policies**

An attempt to address the laws pertaining to general employment standards, the Fair Labor Standards Act, Alabama Educational Tenure regulations, and so on could fill several manuals. The desire is not to weigh down the grantee with cumbersome laws, legislation, and verbiage; but rather provide the basics of employment guidance.

*For comprehensive wisdom and insight, LEA's / CBO / FBO's should seek counsel and direction provided by the HR professionals affiliated with their applicable governing board. Employment law is constantly changing and evolving due to precedents set in the court systems. Therefore, requesting guidance is always advisable.*

**The Basics ~**
The State of Alabama is an *Employment-at-Will State*. The employer can hire anybody he wants and fire anybody he wants as long as he does not discriminate against the employee.

Discrimination is based on the age, sex, race, religion, national origin, color or disability of the individual.
However, we live in a society that is prone to superfluous publicity and litigation. Failure to follow procedures of Due Process can expose the grantee to unwanted complications, and can act as a tremendous deterrent to helping the very children and families we seek to serve.

To avoid such scenarios – as has already been recommended – seek counsel. Additionally, have well documented policies and procedures that are in compliance with Alabama State law and in accordance with board stipulations. A grantee should develop an employee handbook or manual that defines some of the following of the program's standards:

**Introduction**
- Table of Contents
- Program Mission, Goals and Objectives
- Employee Sign-off signifying receipt of the handbook, the at-will statement, and employee acknowledgement that he/she understands and will abide by the contents

**General Employment Information**
- Equal Employment Opportunity Policy
- Accommodation for People With Disabilities
- Code of Conduct and Ethics
- Employee and Employer Confidentiality
- Personnel File Policy
- Access to Personnel Records
- Harassment and Discrimination
- Dress Code

**Attendance at Work**
- Attendance Expectations and Policy
- Working Hours and Overtime
- Time Sheets/Recording hours worked
- Compensation (Paycheck) Schedule
- Break and Lunch Periods
- Severe Weather and Emergency Closings

**Benefits and Time Off**
- Insurance (Health, Dental, Vision, etc.)
- Paid Holidays
- Paid Time Off (PTO)
- Vacation
- Sick Leave
- Family and Medical Leave (FMLA)
- Bereavement Leave
- Jury Duty
- Military Leave (USERRA)

**Program Operational Procedures**
- Student Supervision
- Educational Objectives
- Lesson Plans and Activities
- Etc.

**Performance Expectations and Evaluation**
- Employee Conduct and Performance
- Performance Development Planning and Feedback Process
• Conflict Resolution
• Complaint Procedure
• Corrective Action and Due Process

The above listing is in no way intended to be comprehensive; but merely serves as a guideline that the grantee may find helpful in the process of developing a useful tool for employees.

**Employee (Exempt) and Contractual (Non-exempt)**

**Interviewing and Hiring ~**

The single most important decision a Program Director/Site Coordinator can make is who he/she hires. The staffing of a program can make or break the ultimate success of the program's goals and objectives. Although degrees and credentials are important, they cannot replace the passion for the specific mission and purposes of the overall project.

Every individual – whether salaried (exempt), contractual (non-exempt), or volunteer – should be thoroughly interviewed by leadership of the program to ensure the appropriate fit. To avoid having corrective action and dismissal issues down the road, interviewing and selecting the correct candidates at the beginning will save the grantee much heartache.

Things to consider in the process prior to the interview –
- Position to be filled and Criterion (Be specific.)
- Employment Application (Develop one, if necessary.)
- Selection Process (Initial screening – Who does it? How is it conducted?)
- Interview Process (Order of progression, individual or panel interview, etc.)

Things to consider in the interview –

*Plan the appropriate environment*
- Limit distractions and interruptions. Avoid busy periods.

*Ensure Privacy*
- Unplug the phone and leave the cell phone elsewhere. Do not take phone calls while in the interview.
- Consider yourself “unavailable” and communicate this accordingly.
Make the applicant comfortable
- Offer the applicant a choice of seats.
- Offer water, coffee or tea, if possible.
- Avoid sitting behind a desk. This can be a barrier.
- Decide whether applicant prefers face-to-face or side-by-side.
- Make sure the applicant is aware (prior to the interview), there may be multiple interviewers.
- Remember, the goal is to ensure their comfort, so as to get a true glimpse of their character.

Take Notes
- Inform the applicant that you will be taking notes during the interview. The application should be thoroughly reviewed prior to the interview.
- Good interviewers have a set of written questions ready developed from the application and previous conversations with the applicant.
- Do not write on application or resume!
- Allow applicant plenty of time to answer questions.
- Avoid evaluating during the interview.
- Take good notes as studies show we only remember 25% of what we hear.
- Jot down words or brief phrases the applicant says.

Departure
- Escort the applicant from the interview. This is not the time to do a tour. That will come later.
- Inform applicant of the next step or time frame for a follow-up phone call etc. Be direct and honest.

Type of interview
No one can dictate which interview methodology must be conducted; especially since none are foolproof for every situation or every individual. However, studies show the most effective are both the Behavioral-based and Panel interview...usually a combination of the two.

The following are examples of questions that are typically asked in an interview. The first is an example of the question asked in an inappropriate, unacceptable manner (illegal). The second is how it can effectively and legally be addressed.

- **Do not ask:** Are you a U.S. citizen? or Where were your parents born?
  **Ask:** Are you legally authorized to work in the United States?
  Questions about national origin or ancestry are prohibited as they have no relevance to the job at hand or work status.
  (Thus, the need for Employee Eligibility Verification that must everyone complete when seeking employment - [http://immigration.alabama.gov/eVerify.aspx](http://immigration.alabama.gov/eVerify.aspx).)

- **Do not ask:** How long have you lived here?
  **Ask:** What is your current address and phone number? or Do you have any alternative locations where you can be reached?

Like the question above, this one alludes to a candidate’s citizenship. Stay away.

- **Do not ask:** Do you have any disabilities? or Have you had any recent or past illnesses and operations?
  **Ask:** Are you able to perform the specific duties of this position?

You may want to know about a candidate’s ability to handle certain responsibilities or perform certain jobs, but asking about disabilities or illnesses of any sort is not the way find out (legally, at least).
Do not ask: Have you ever been arrested?
Ask: Have you ever been convicted of “x” [something that is substantially related to the job]? Questions about arrests or pending charges for jobs that are NOT substantially related to the particular job are off-limits.

Do not ask: How much longer do you plan to work before you retire?
Ask: What are your long-term career goals?
While you may not want to hire an older worker, who will retire in a few years, you can’t dismiss an applicant for this reason.

Do not ask: Do you have children? or Can you get a babysitter on short notice for overtime or travel?
Ask: Are you available to work overtime on occasion? Can you travel?
You might be concerned that family obligations will get in the way of work, but you can’t ask or make assumptions about family situations. Cut to the chase by asking directly about the candidate’s availability.

Do not ask: What religion do you practice? or What religious holidays do you observe?
Ask: Are you available to work within our required schedule?
Again, you might simply be trying to discern a candidate’s availability, but leave religion out of it.

Do not ask: How old are you? or When did you graduate from college?
Ask: Are you over the age of 18?
If you know a candidate’s age, you could find yourself facing discrimination charges at some point. Your only concern should be as to whether the candidate is legally old enough to work for your organization.

Do not ask: Is this your maiden name? or Do you prefer to be called “Ms.” “Miss,” or “Mrs.?”
Ask: Is additional information, such as a different name or nickname necessary in order to check job references?
Be sure to avoid any question that alludes to a woman’s marital status – as well as anything that could be construed as a question referring to national origin or ancestry (e.g. “Your name is interesting. What nationality is it?”).

Do not ask: How will you get to work? Do you have a car?
Ask: Do you have reliable transportation to get to and from work?
Of course, we cannot ask...Are you married? Do you have children? Oh that’s an interesting name; what nationality is that?, etc.

The Behavioral Interview

The premise behind behavioral interviewing is that the most accurate predictor of future performance is past performance in similar situations. Behavioral-based interviewing provides a more objective set of facts to make employment decisions better than most other interviewing methods.

In a traditional job interview, the candidate can usually get away with telling the interviewer what he or she wants to hear, even if they are fudging a bit on the truth. If asked situational questions that start out – “How would you handle ______ situation?” the candidate has minimal accountability. How does the interviewer know, after all, if the candidate would really react in a
given situation the way they say they would? In a behavioral interview; however, it's much more
difficult to give responses that are untrue to their character.

The interviewer can then probe further for more depth or detail such as "What were you thinking at
that point?" or "Tell me more about your meeting with that person," or "Lead me through your
decision process."

The interviewer can use the behavioral interview technique to evaluate a candidate's experiences
and behaviors so they can determine the applicant's potential for success. The interviewer can
identify job-related experiences, behaviors, knowledge, skills and abilities that the program needs
for a particular position.

Examples of Behavioral-based questions –

• Describe a situation in which you were able to use persuasion to successfully convince
someone to see things your way.
• Describe a time when you were faced with a stressful situation that demonstrated
your coping skills.
• Give me a specific example of a time when you used good judgment and logic in solving
a problem.
• Give me an example of a time when you set a goal and were able to meet or achieve it.
• Tell me about a time when you had to use your presentation skills to influence someone's
opinion.
• Give me a specific example of a time when you had to conform to a policy with which you did not
agree.
• Please discuss an important written document you were required to complete.
• Tell me about a time when you had to go above and beyond the call of duty in order to get a job
done.
• Tell me about a time when you had too many things to do and you were required to prioritize your
tasks.
• Give me an example of a time when you had to make a split-second decision.
• What is your typical way of dealing with conflict? Give me an example.
• Tell me about a time you were able to successfully deal with another person even when
that individual may not have personally liked you (or vice versa).
• Tell me about a difficult decision you've made in the last year.
• Give me an example of a time when something you tried to accomplish and failed.
• Give me an example of when you showed initiative and took the lead.
• Tell me about a recent situation in which you had to deal with a very upset customer or co-
worker.
• Give me an example of a time when you motivated others.
• Tell me about a time when you delegated a project effectively.
• Give me an example of a time when you used your fact-finding skills to solve a problem.
• Tell me about a time when you missed an obvious solution to a problem.
• Describe a time when you anticipated potential problems and developed preventive measures.
• Tell me about a time when you were forced to make an unpopular decision.
• Please tell me about a time you had to fire a friend.
Panel Interviews

Panel interviews involve more than one interviewer. The number can vary from 2 to 5 or 6. However, candidates should not feel a gang is barraging them. The objective is to solicit multiple differing views of those involved with the program.

Typically, in a before/after school program, the program coordinator, a principal, teacher, faculty/staff member, etc. can be involved. Such an interview will solicit different perspectives and will allow others to be involved in the process.

Background Checks ~

It is a requirement of Alabama State law that all individuals who serve and work with students and have unsupervised access to them in an educational setting pass a criminal background check prior to employment and/or volunteering. The specifications regarding this can be found at the following website:

https://www.cogentid.com/al/AL_Documents/AL_FAQs.htm

The grantee should obtain written consent from the perspective candidate during the interview process to perform this background check. This can be accomplished by clearly stating on the application that any prospective applicant will be required to pass a criminal background check prior to employment. The candidate's signature on the application serves as his/her acknowledgment and grants permission for it to be performed.

Fingerprinting ~

Additionally, all individuals who serve and work with students and have unsupervised access to them in an educational setting, must have their fingerprints imprinted, checked by authorities, and the results will be placed on file while employed with the program.

** Both of the above measures are utilized to ensure the safety and security of the children entrusted to the care of the 21st CCLC program. **

Confidentiality ~

Working within an educational setting allows faculty, teachers and staff members to have access to very sensitive student and family information. Therefore, it is imperative that all information, beginning with the interview process, be held as personal and confidential.

A statement regarding the gravity of confidentiality within the program should be included on the application, within the employee manual, and the parent/student handbook.

The Family Educational Rights and Privacy Act of 1974 (Buckley Amendment) is a federal law that limits the amount of information that can be released about students and their families without their specific written permission.

The Privacy Act of 2002, the HIPPA Act of 2003, among others, regulate the confidentiality standards pertaining to employees and their personal information.

An example of a Privacy Statement for an employee manual –

21st CCLC has strict confidentiality regulations that are consistent with the federal Family Educational Rights and Privacy Act of 1974 to protect each employee and student’s privacy. Employment at 21st CCLC requires, as a term of employment, compliance with the policies, rules, regulations, and procedures of the ALSDE; and all other local, state, and federal laws.
Employees involved in the interviewing process of potential candidates should be advised of the necessity for strict adherence to confidentiality of information gained in the interview process.

**Orientation ~**

Although a nice element and essential to extending a feeling of *welcome*, an effective orientation accomplishes far more. A successful orientation training can achieve some of the following:

- **Reduction of anxiety** – anyone will be nervous when beginning a new job; clear direction can alleviate feelings of fear and apprehension
- **Reduction of expenses** – assists the employee to get "up and running" quickly and reduces initial costs to the program
- **Reduction of turnover** – those who feel important and valued have a much greater sense of involvement and ownership; thus reducing the expense of hiring and training replacements due to attrition
- **Reduction of wasted supervisory time** – the better the orientation, the less likely a supervisor or co-worker will have to re-train
- **Increase of realistic expectations, positive attitudes, job satisfaction, and retention**

Each orientation agenda should have two main components –

**A broad overview**
- Program Goals and Mission
- Employment Policies, Compensation and Benefits
- General Policies and Procedures (non-job specific)
- Program Operational Guidelines
- Employee Manual
- Student Supervision and Care
- Etc.

**Job Specific**
- Position within the overall scope
- Job responsibilities, expectations, and duties
- Student interaction – lesson plans and activities
- Tour of workspace and facilities
- Introduction to co-workers and staff

**Code of Ethics ~**

"The primary goal of every educator in the state of Alabama must, at all times, be to provide an environment in which all students can learn. In order to accomplish that goal, educators must value the worth and dignity of every person, must have a devotion to excellence in all matters, must actively support the pursuit of knowledge, and must fully participate in the nurturance of a democratic citizenry. To do so requires an adherence to a high ethical standard.

The Alabama Educator Code of Ethics defines the professional behavior of educators in Alabama and serves as a guide to ethical conduct. The code protects the health, safety and general welfare of students and educators; outlines objective standards of conduct for professional educators; and clearly defines actions of an unethical nature for which disciplinary sanctions are justified."

– Alabama Educator Code of Ethics
The Code of Ethics is included in this particular portion of the operational manual to serve as a reminder – it is the type of individual that embodies these principles we seek to employ. It is imperative to seek out those who exhibit the attributes of good character, integrity, honesty, and those who can be trusted with all aspects of the program and the lives of children and their families.

With adults many things can be trained and developed. However, one cannot be taught to be truthful and honest. As educators, we realize those opportunities must not be missed during a child's formative years.

Please refer to the *Alabama Educator Code of Ethics*. (Appendix J)

**Recording Hours and Time Sheets ~**

No matter the roll of the individual – Program Director, Site Coordinator, Teacher/Faculty, Staff, Bookkeeper, Administrative Assistant, et al – all hours charged to the 21st CCLC grant must be documented and recorded. Recordkeeping must be accurate and concise and must reflect actual hours worked.

The Fair Labor Standards Act stipulates that whether done so with a time clock, timesheet, spreadsheet, etc. all hours recorded must be actual and factual; and may not be changed or manipulated without the expressed permission of the individual. Once notated the record becomes a legal, binding document.

*Falsification of actual hours worked is illegal and considered unethical.*

A few pointers –

- Staffing needs and hours worked should be directly proportional to the number of students being served.
- *Planning times* should be proportional to the necessities of the administration of the program.
- A Personnel Activity Report (PAR) for each employee should be maintained as either part of the timesheet or as a separate document. There should be a demonstration by the grantee showing supervisory awareness of employees fulfilling their roles and responsibilities.
- LEA's – If faculty/staff members who are employed during the regular school day also work during the Before/After School program, their salaries must be split between the two separate accounts. This should be well documented and receive prior board approval.
- Principals/Administrators and Central Office staff cannot receive their regular base salary, a stipend for working with the program, and additional compensation from the 21st CCLC grant.

Sample appropriate and inappropriate Timesheets are included in *Appendix K* and *Appendix L*.

**Professional Development ~**

- A requisite of the 21st CCLC Grant stipulates that each staff member receive at least 10 hours of *Professional Development* per year.
- Typically, teachers love to learn. It is essential to keep each individual involved with the program motivated and challenged, ever increasing their base of knowledge.
- Educators cannot continually give of themselves without being replenished, encouraged, and built-up. Often the duties of an educator can seem to be thankless with delayed gratification and reward.
- Budgetary challenges can be a deterrent OR an avenue for ingenuity and creativity!
Each year the ALSDE provides several opportunities for growth and development. Please speak with assigned the Technical Advisor or 21st CCLC State Program Coordinator regarding the latest information.

Additionally, the grantee may obtain information at some of the following:

http://www.ed.gov/teachers/dev/contedu/edpicks.jhtml

CPR Training ~

Although the 21st CCLC Grant does specify nor mandate that all staff members be CPR and First Aid trained, it is highly advisable for the grantee to ensure as many individuals be prepared as possible.

Cost effective alternatives to traditional CPR certification may include training by personnel at the local Fire Department, Police Department or American Red Cross. Not only will these address budgetary concerns, but also can assist with building community partners!!

Volunteers

To – Increase program visibility
   Reduce expenses
   Expose students to a broad array of knowledge
   Involve the community with the program's ongoing efforts
   Increase the program's capacity in helping students/families
   Visibly demonstrate the importance of giving to others

➢ It is highly recommended for the grantee to involve the endless resource of volunteers at their disposal. So many individuals long to be a part of something rewarding, and only need to be asked.

➢ Doing so provides the grantee the opportunity to engage parents, families, community members, professionals, and more in the wonderful happenings of the program.

➢ The same screening and interviewing processes applicable to staff should apply. Although an application and resume may not be necessary, reference checks, criminal background checks, and fingerprinting (all of which require written consent) must be completed, if the volunteer will have unsupervised access to students. All volunteers must be 21 years of age to supervise students alone.

Volunteer Orientation ~

Though not as in-depth, an Orientation agenda similar to that which faculty and staff receive
should be given to those who choose to volunteer. (Please refer to page 67.) This agenda/checklist should be signed and placed in the volunteer's HR folder. Expectations and familiarity always lead to success and longevity.

Remember, volunteers may not be trained professionals. Whether they are or not, volunteers are not to be left alone with students unsupervised. They are not the final authority – the faculty member is.

**Placement and Training ~**

Please attempt to place volunteers in the arena with which they are most comfortable. You would not want to place a retired English professor as a Math tutor.

Ensure volunteers are paired with a suitable partner to walk them through the training process. Supervisory instruction is essential, but a companion will give them a sense of security and comfort. Don't take for granted what comes easy for an educator will necessarily be so for someone who has never been intimidated by a group of wide-eyed, eager to learn, eager to test the limits group of kids!

**Responsibility and Recognition ~**

Allow the volunteer to take on as much responsibility as he/she is willing to shoulder. However, remember this is a volunteer position. Do not abuse the individual with responsibilities that are well beyond his/her capabilities or his/her desire to be of service.

The public praise and “thank you’s” should be plentiful. Gratitude should never be in short abundance. Recognition and acknowledgement should always be a component of Parent/Family gatherings!

**High School and College Students ~**

It is not required for high school or college students to be involved with the efforts of the program...BUT what an opportunity! The same principles of screening, interviewing and selecting are applicable. The ALSDE mandates that all volunteers must be 21 years of age or older in order to be left alone with children in a supervisory role.

High School Students can learn firsthand the basic fundamental principles of Service Learning, bring youthful exuberance and excitement, and receive as much as they give. High school students may never be left alone in a supervisory role.

College Students, especially those in their junior and senior years of an educational degree who need to complete student teaching credit hours and volunteer requirements for graduation can serve as an endless resource to the program.

**Make sure expectations and standards are clearly addressed during the orientation and training process for both. **