

**21<sup>st</sup> Century Community Learning Centers  
FY 2011 Program Updates**

## **BACKGROUND**

The 21<sup>st</sup> Century Community Learning Centers (21<sup>st</sup> CCLC) program is authorized under Title IV, Part B, of the Elementary and Secondary Education Act of 1965 (ESEA), as amended by the *No Child Left Behind Act of 2001*. The *No Child Left Behind Act* converted the 21<sup>st</sup> CCLC program from a discretionary grant program, administered directly by the U.S. Department of Education (Department or ED), to a program in which each State educational agency (SEA) receives an allotment under a formula based on its share of Title I, Part A funds. States must use their allocations to make competitive awards to eligible entities. The Secretary may reserve up to one percent of the total appropriation for the 21<sup>st</sup> CCLC program to carry out an array of national activities, including (but not limited to) national evaluations and technical assistance activities.

The primary goal of the 21<sup>st</sup> CCLC program is to enable community learning centers to plan, implement, or expand before- or after-school learning enrichment opportunities to help students meet State and local academic standards in core content areas. 21<sup>st</sup> CCLC programs must primarily serve children who attend high-poverty schools and priority must be given to serving children in low-performing schools.

The overarching goal of the 21<sup>st</sup> CCLC program is to provide funds to eligible entities to enable them to establish or expand activities in community learning centers that ô

- (1) provide opportunities for academic enrichment, including providing tutorial services to help students, particularly students who attend low-performing schools, to meet State and local student academic achievement standards in core academic subjects, such as reading and mathematics;
- (2) offer students a broad array of additional services, programs, and activities, such as youth development activities, drug and violence prevention programs, counseling programs, art, music, and recreation programs, technology education programs, and character education programs, that are designed to reinforce and complement the regular academic program of participating students; and
- (3) offer families of students served by community learning centers opportunities for literacy and related educational development.

In May 2002, the Department announced in the Federal Register final requirements for optional State consolidated applications. Submitting a consolidated application allows a State to obtain funds under certain ED programs through a single application, rather than through a separate application for each program. Under the May 2002 Federal Register notice, each consolidated State application was required to have, among other things, four principle components: (1) elements constituting the foundation for a core system of ESEA accountability, State

components and baseline data; (2) a description of key strategies States would use to implement the ESEA programs in order to accomplish program purposes; (3) key programmatic and fiscal information that the Department needs to review before it awards FY 2002 funds; and (4) assurances of the States' adherence to all requirements of the programs included in the application.

Although section 9302(a)(2) of the ESEA relieved States from having to submit to the Department a separate plan or applications for each ESEA program the State chose to include in its consolidated updates, it did not eliminate or waive statutory or regulatory requirements applicable to such programs. Therefore, States that included the 21<sup>st</sup> CCLC program in their FY 2002 consolidated State plans still must (a) comply with all requirements for designing and implementing the program; and (b) maintain documentation of their compliance with such requirements. In addition, States must comply with, and maintain records of their compliance with, the requirements for consolidated State applications announced in the May 2002 Federal Register notice. In accordance with section 9304(a)(6) of the ESEA, the Department is requesting that States update the 21<sup>st</sup> CCLC program portion of their consolidated State plans or 21<sup>st</sup> CCLC State plans and provide additional information, as necessary, to ensure that States are in compliance with the requirements of the consolidated application, the States' plan, and the 21<sup>st</sup> CCLC program.

### **Submission Requirements**

Updates can be submitted electronically or mailed to the address provided below. States should limit their submissions to no more than 100 pages. All electronic submissions should be sent to ***21stCCLC@ed.gov***. ***Please include the State's name in the subject heading.***

***Paper Submissions:*** As an alternative, an SEA may submit the original and two copies of its 21<sup>st</sup> CCLC update to the following address:

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

Due to potential delays in processing mail sent through the U.S. Postal Service, SEAs are encouraged to use alternate carriers for paper submissions. If you have any questions pertaining to the submission of the State updates, please contact Bryan Keohane, [Bryan.Keohane@ed.gov](mailto:Bryan.Keohane@ed.gov), (202) 260-9738 or Pilla Parker, [Pilla.Parker@ed.gov](mailto:Pilla.Parker@ed.gov), (202) 260-3710.

### **Deadline**

The deadline for submitting the update is **June 15, 2011**. If you plan to mail your submission, please plan to mail prior to the deadline so that it arrives to the Department by the **June 15, 2011** deadline.

### **Program Contact**

After reviewing these instructions, if you have any questions about the submission requirements or the content of the updates, please contact Bryan Keohane, [Bryan.Keohane@ed.gov](mailto:Bryan.Keohane@ed.gov), (202) 260-9738 or Pilla Parker, [Pilla.Parker@ed.gov](mailto:Pilla.Parker@ed.gov), (202) 260-3710.

**COVER SHEET**

<b>Legal Name of Applicant:</b> <b>Charlotte Hughes, Director</b> <b>Federal Programs and Support Division</b>	<b>Applicant's Mailing Address:</b> <b>6351 Mail Service Center</b> <b>Raleigh, NC 27699-6351</b>
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**State Contact (s) for 21<sup>st</sup> CCLC Programs**

**Primary Contact**

Name: Donna Brown

Position and Office: Section Chief, Federal Programs

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**Secondary Contact (s):**


**North Carolina Department of Public Instruction  
Consolidated State Application  
21<sup>st</sup> Century Community Learning Centers**

North Carolina's updated State plan with respect to the 21<sup>st</sup> CCLC program reflects current practices based on continual needs assessment of out-of-school time programs across the state.

**A. In accordance with the May 2002 Federal Register notice, please describe key procedures, selection criteria, interpretations provided for any key ESEA terms, and the priorities the State will use to award competitive sub-grants or contracts to the entities and for the activities required by the 21<sup>st</sup> CCLC program statute. States should include a description of how these selection criteria and priorities will promote improved academic achievement under the 21<sup>st</sup> CCLC program.**

High quality after-school programs for school-age children provide significant support for the goals of the North Carolina State Board of Education (SBE) to ensure that students are future-ready for the 21<sup>st</sup> century. The guiding mission of the SBE is that every public school student will graduate from high school, globally competitive for work and postsecondary education, and prepared for life in the 21st century.

**Goal: NC public schools will produce globally competitive students.**

- Every student excels in rigorous and relevant core curriculum that reflects what students need to know and demonstrate in a global 21st Century environment, including a mastery of languages, an appreciation of the arts, and competencies in the use of technology.
- Every student's achievement is measured with an assessment system that informs instruction and evaluates knowledge, skills, performance, and dispositions needed in the 21st Century.
- Every student will be enrolled in a course of study designed to prepare them to stay ahead of international competition.
- Every student uses technology to access and demonstrate new knowledge and skills that will be needed as a life-long learner to be competitive in a constantly changing international environment.
- Every student has the opportunity to graduate from high school with an Associates Degree or college transfer credit.

**Goal: NC public schools will be led by 21st Century professionals.**

- Every teacher will have the skills to deliver 21st Century content in a 21st Century context with 21st Century tools and technology that guarantees student learning.
- Every teacher and administrator will use a 21st Century assessment system to inform instruction and measure 21st Century knowledge, skills, performance, and dispositions.
- Every education professional will receive preparation in the interconnectedness of the world with knowledge and skills, including language study. Every education professional will have 21st Century preparation and access to ongoing high quality professional development aligned with State Board of Education priorities.

- Every educational professional uses data to inform decisions.

**Goal: NC public school students will be healthy and responsible.**

- Every learning environment will be inviting, respectful, supportive, inclusive, and flexible for student success.
- Every school provides an environment in which each child has positive, nurturing relationships with caring adults.
- Every school promotes a healthy, active lifestyle where students are encouraged to make responsible choices.
- Every school focuses on developing strong student character, personal responsibility, and community/world involvement.
- Every school reflects a culture of learning that empowers and prepares students to be life-long learners.

**Goal: Leadership will guide innovation in NC public schools.**

- School professionals will collaborate with national and international partners to discover innovative transformational strategies that will facilitate change, remove barriers for 21st Century learning, and understand global connections.
- School leaders will create a culture that embraces change and promotes dynamic continuous improvement.
- Educational professionals will make decisions in collaboration with parents, students, businesses, education institutions, and faith-based and other community and civic organizations to impact student success.
- The public school professionals will collaborate with community colleges and public and private universities and colleges to provide enhanced educational opportunities for students.

**Goal: NC public schools will be governed and supported by 21st Century systems.**

- Processes are in place for financial planning and budgeting that focus on resource attainment and alignment with priorities to maximize student achievement.
- Twenty-first century technology and learning tools are available and are supported by school facilities that have the capacity for 21st Century learning.
- Information and fiscal accountability systems are capable of collecting relevant data and reporting strategic and operational results.
- Procedures are in place to support and sanction schools that are not meeting state standards for student achievement.

The North Carolina Department of Public Instruction (NCDPI) offers competitive priority to applications that both propose to serve students who attend schools identified for improvement (pursuant to Section 1116 of Title I) and that are submitted jointly between at least one LEA receiving funds under Title I, Part A and at least one public or private community organization. Although the statute provides an exception to this requirement for LEAs that do not have qualified community organizations within reasonable geographic proximity, such LEAs would

still have to propose to serve students attending schools identified for improvement to qualify for the priority.

Based on current research-based best practice, the State may give priority to proposals submitted by novice applicants, proposals that are designed to implement programs focusing on Science Technology, Engineering, and Mathematics (STEM) initiatives, and/or proposals designed to serve underserved geographical regions of the state.

### **Award Amounts**

Contingent upon the annual availability of funds, grantees may request funds ranging from \$50,000, but cannot exceed \$400,000 per year based on need. Beginning with the 2011-12 school year, new proposals must utilize the Wallace Foundation Out-of-School-Time Cost Calculator. The website offers multiple resources to support program planning and implementation including this online calculator to assist with determining the costs of high-quality out-of-school time (OST) programs.

### **Award Period of Availability**

21<sup>st</sup> CCLC grant funds will be awarded for four years with a gradual reduction in each of the last two years of the grant period, beginning with 20% in the third year and 40% in the fourth year. This reduction is to encourage programs to become sustainable when the grant period expires. Funding for each of the four years will be subject to the availability of funds and will be based on evidence of compliance with the Request for Proposal (RFP), state and federal guidance, and program progress and performance.

Although a formal sustainability plan is a requirement of the grant application, matching funds are not required to apply for a 21<sup>st</sup> CCLC grant. NCDPI does not discriminate among applicants based on the extent to which they are able to match their Federal funds.

Effective partnerships within the community allow for more efficient use of local resources. Potential partners may include financial institutions and large retail chains. Afterschool program officials may also seek support from various regional and national foundations such as the National 4-H Council, Boys & Girls Clubs of America, United Way of America, and the YMCA. Collaboration among diverse partners strengthens the variety of services the community can offer. For example, a community learning center that partners with a hospital, the local church, and a local printing company in the community may more readily offer services. For example, these partners may offer health care information, provide church volunteers for serving snacks, and promote the program with free copying services.

In support of the sustainability plan, programs are encouraged to maintain accurate records and track data to demonstrate success. Data that substantiates children's academic and personal growth resulting from the 21<sup>st</sup> CCLC funded program can illustrate to community members, parents/guardians, and potential funders the importance of continuing the work beyond the 21<sup>st</sup> CCLC funding cycles.

### **Use of Funds**

Grant funds must be used in a manner consistent with all requirements of the statute and must be used only to supplement, **not supplant**, any federal, state or local dollars available to support



activities allowable under the 21<sup>st</sup> CCLC program. Funds may be used to expand or enhance, but not replace, current activities. Sub-grantees are strongly encouraged to attend all training provided to assist non-LEAs and LEAs on budget and operational requirements, as related to the Educational Department General Administrative Regulations (EDGAR).

### **Location of Centers**

21<sup>st</sup> CCLC programs may be located in schools, community and/or faith-based facilities. If programs are operated in facilities other than a school, the facility must be at least as available and accessible to the participants as if the program were located in a school. Program officials are reminded of their obligation under Section 504 of the Rehabilitation Act to ensure that facilities for community learning center programs must be accessible to persons with disabilities. Regardless of where the program takes place, program officials must describe in their application how the transportation needs of participating students will be addressed to ensure that students travel safely to and from the community learning center and home.

### **Program Requirements**

All 21<sup>st</sup> CCLC sub-grantees must offer students extended learning opportunities during non-school hours or periods of time when school is not in session. In addition to after-school, extended learning may be offered before school, evening, weekend, holidays, summers or other school vacation periods. Each eligible organization receiving an award will use the funds to carry out a broad array of activities that advance student achievement. In order to meet the Principles of Effectiveness, activities developed for the afterschool program must:

- Be based upon an assessment of objective data regarding the need;
- Be based upon an established set of performance measures aimed at ensuring the availability of high quality academic enrichment opportunities; and
- Be based upon scientifically based research that provides evidence that the program or activity will help students meet the State and local student academic achievement standards (United States Department of Education, 2007).

Sub-grantees are required to provide activities related to math and reading. Other activities may include, but are not limited to, the following activities based on the needs of the population served:

- Mathematics and science activities;
- Arts education;
- Entrepreneurial education programs;
- Reading literacy;
- Tutoring services (including those provided by senior citizen volunteers) and mentoring programs;
- Programs that provide afterschool activities for limited English proficient students that emphasize language skills and academic achievement;
- Health enhancing recreational learning activities;
- Telecommunications and technology education programs;
- Expanded library service hours;
- Programs that promote parental involvement and family literacy;

- Programs that provide assistance to students who have been truant, suspended, or expelled;
- Health education including drug and violence prevention programs, and character education programs; and
- Counseling programs.

A wide variety of activities should be offered in the 21<sup>st</sup> CCLC program aligned to the identified needs of the community and schools served. Types of services offered by sub-grantees to participants may vary from site to site, but must include components that focus on core academic subjects in order to allow students to improve academic achievement. Activities should be engaging, age-appropriate, and based on the needs and interests of the participants. Academic activities must be aligned to the North Carolina Standard Course of Study.

Beginning with the 2012-13 school year, afterschool programs must provide academic activities aligned to the Common Core State Standards for reading/language arts and mathematics and all other academic content areas aligned to the North Carolina Essential Standards.

In the application submitted to the State Education Agency (SEA), the applicant must provide the following assurances:

- Implement a program in a safe and easily accessible facility in accordance with section 4204(b)(2)(A)(i).
- Ensure that if programs are operated in facilities other than a school, the facility is at least as available and accessible to the participants as if the program were located in a school.
- Develop and implement the proposed program in active collaboration with the schools the students attend in accordance with section 4204(b)(2)(D).
- Primarily target students who attend schools eligible for school-wide programs under section 1114 and the families of such students in accordance with section 4202(b)(2)(F).
- Use funds 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 in accordance with section 4202(b)(2)(G).
- Provide the community with 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 in accordance with section 4204(b)(2)(L).
- Submit annual evaluation data supporting successful program implementation and progress aligned with the approved proposal.
- Revise program plans if annual evaluation data does not demonstrate progress toward goals.
- Consult with private school officials during the design and development of the 21<sup>st</sup> CCLC program on issues such as how the children's needs will be identified and what services will be offered.
- Ensure that services and benefits provided to private school students must be secular, neutral, and non-ideological.
- Use funds solely for the purposes set forth in this grant program as approved in the application.

- Maintain records to ensure that the Single Audit Requirement is applicable for any non-federal entity that expends \$500,000 or more in a year in Federal awards shall have a single or program specific audit conducted for that year in accordance with the provisions of OMB Circular A-133, Subpart B and Subpart C.
- Conduct operations in compliance with Title VI of the Civil Rights Act of 1964, Section 504 of the Rehabilitation Act of 1973, the Americans with Disabilities Act of 1990, the Age Discrimination Act of 1975, and Title IX of the Education Amendments of 1972, if applicable.
- Abide by federal regulations which bar discrimination on the basis of race, color, national origin, religion, disability, age, sex and which require accessibility for persons with disabilities.

NCDPI has developed and disseminated state guidance for the effective and compliant operation of 21<sup>st</sup> CCLC programs through two key documents:

1. NCDPI 21<sup>st</sup> CCLC Fiscal Guidance
2. NCDPI 21<sup>st</sup> CCLC Standards and Procedures Handbook

*Note: The documents are currently in draft form pending SEA legal staff review.*

### **Advisory Board**

For out-of-school time program initiatives, NCDPI partners with the North Carolina Center for Afterschool Programs (NC CAP). NC CAP was created in 2003 by the Governor's Office to bring together the state's afterschool providers, community leaders, and policy makers to build a network that addresses the afterschool program issues of quality, accessibility, and sustainable funding. Along with NCDPI, NC CAP receives support from the Office of the Governor, the Charles Stewart Mott Foundation, the Z. Smith Reynolds Foundation, the NC Department of Health and Human Services, and the NC Department of Juvenile Justice.

The goal of the partnership is ensure that high-quality afterschool programs are accessible to all North Carolina children and youth and help them to succeed in and out of school. The partnership with NC CAP and NCDPI:

- Brings leaders in education, youth development, and afterschool care together to create a vision of best afterschool practices and a road map of how to implement this vision;
- Builds a network of afterschool stakeholders (state agencies, state and local policy makers, afterschool providers, the private sector) to leverage existing and cultivate new assets for afterschool programs;
- Builds the capacity of communities to create and sustain high quality afterschool programs by developing a network of support on both state and local levels; and
- Builds the capacity of afterschool providers to offer quality programs. Through website tools and conferences, NC CAP shares information on best practices being used in existing programs in and out of North Carolina.

### **Request for Proposals**

NCDPI advertises the availability of competitive opportunities in multiple ways including NCDPI web-postings, the Superintendent's Weekly Update, local education agency (LEA) and

charter school listservs, and through partnering organizations such as NC CAP. Any public or private organization is eligible to apply for a 21st CCLC grant. Agencies and organizations eligible under the 21st CCLC program include, but are not limited to LEAs, non-profit agencies, city or county government agencies, faith-based organizations, institutions of higher education, and for-profit corporations.

NCDPI provides technical assistance to potential applicant organizations prior to each new competition through a state-wide meeting. Applicants are provided with the necessary information to submit quality proposals aligned to the State's goals and objectives and to ensure an understanding of all federal and state compliance requirements.

The review team is comprised of experienced grant readers from various professions. Prior to the review process, training sessions are provided for reviewers to ensure the fidelity of the process. Applications are reviewed and rated based on the quality of the proposal, the proposed activities, and the capability of the applicant to implement the proposed program. Applicants must provide all required assurances and certifications. Applications are scored based on a rubric outlining the following key components aligned to the Principles of Effectiveness:

- A description of program goals and objectives aligned to the identified needs of the school and community;
- Evidence that the proposed programming will improve academic performance and parent involvement or prevent or reduce drug use, violence, or disruptive behavior among youth;
- Evidence that the proposed program is research-based;
- Evidence that demonstrates the collaborative efforts between partnering entities;
- A description of the program evaluation and how results will be used to improve the program;
- A description of how parents and families will receive services and be involved in the learning of their children;
- Evidence that programming and operations will be of sufficient scope, duration, and frequency to support student needs;
- A budget that clearly describes resources and personnel needed to implement the program; and
- Evidence of a sustainability plan for the program. (No matching funds; to include state, federal or private funding; nor any evidence of such alternative funding will be required to apply for a 21<sup>st</sup> CCLC grant).

Grant awards are submitted to the SBE for approval with supporting materials and documentation included. Applicants are notified in writing as to the results of the review. Proposals are available to the public if requested.

**B. Appendix B of the May 2002 notice states as follows: “States will conduct a number of activities to ensure effective implementation of the ESEA programs included in their consolidated applications. Many of the activities may serve multiple programs. For example, a State may develop a comprehensive approach to monitoring and technical assistance that will be used for several (or all) programs.” Please update your State’s responses to the items below as they relate to the 21<sup>st</sup> CCLC program and describe how**

**your State's 21<sup>st</sup> CCLC program benefits from the activities, as described in your State's consolidated application and as updated below.**

**1. Describe how the State will monitor and provide professional development and technical assistance to LEAs, schools, and other sub-grantees to help these entities implement their programs and meet the State's (and those entities' own) performance goals and objectives.**

The SEA is required to monitor the quality and effectiveness of the programs operating with funds provided through 21<sup>st</sup> CCLC grants. [EDGAR 80.40] Monitoring serves to verify compliance with items included within the application narratives, assurances, and budgets. Monitoring not only serves to ensure compliance, but also provides a means to identify areas that require additional support and technical assistance. The goal of NCDPI technical assistance and training is to build local capacity for implementing high-quality out-of-school time programs.

21<sup>st</sup> CCLC programs are selected on an annual basis for On-site Monitoring or Program Quality Reviews. Both On-site Monitoring and Program Quality Reviews are conducted at the center location where programs are provided for students. On-site reviews are conducted as announced and unannounced visits.

Desk reviews are conducted throughout the period of the grant. Desk reviews include ongoing review of programmatic and budget amendments aligned to the sub-grantees approved project proposal, periodic review of profile data, and review of other data collection and reporting. 21<sup>st</sup> CCLC consultants are assigned to specific programs across the state to provide phone and email support as requested.

All new sub-grantees receive an On-site Monitoring review within the first quarter of the first year of implementation. In subsequent years, programs are monitored based on a risk assessment. In consideration of previous monitoring reports, the risk assessment will include factors such as attendance reporting, fiscal accountability, staffing, and program management. Sub-grantee program officials must maintain appropriate documentation on-site at each center.

NCDPI staff will conduct the monitoring visits utilizing a monitoring instrument. Monitoring will consist of documentation reviews, on-site observations of services with students, and interviews with staff, parents/guardians, and community partners as available. The monitoring reviews focus on the following indicators:

- Program Management
- Program Implementation
- Family Involvement
- Federal, State, and Local Health, Safety and Civil Rights Laws
- Fiscal Management

For any indicator findings, sub-grantees must submit a plan to the SEA within ten (10) business days of the receipt of the report describing how the compliance requirements will be met. 21<sup>st</sup> CCLC

program consultants offer individual support for addressing areas of non-compliance as well as general program quality improvements.

Example documents that demonstrate program compliance and quality can include:

#### Program Management

- Attendance records
- Organizational chart
- Criminal background checks
- Program schedules
- Evidence of communication with schools
- Training manuals
- Recruitment/hiring policies/procedures compared to personnel records

#### Program Implementation

- Student assessment instruments/procedures
- Written student feedback
- Activity plans and materials
- Evidence of opportunities to engage in peer mentoring, service activities, community based projects or internships (for older participants)
- Evidence of activities for student to learn in different environments and under different activity structures.

#### Family Involvement

- Parent/family involvement plan
- Communication plans
- Communication logs and instruments
- Agendas, sign-in sheets, training materials
- Advertisements/public notices

#### Federal, State, and Local Health, Safety and Civil Rights Laws

- Written policies/procedures
- Student records
- Emergency plans/procedures
- Agendas, sign-in sheets, and materials for training
- Logs of student drop-off and or pick-up authorization
- Fire inspection reports (if program is operated at non-public school site)

#### Fiscal Management

- Time and effort records
- Invoices for purchases
- Contracts
- Equipment inventory
- Payroll and accounting records
- Rental/lease agreements (if applicable)
- Records for matching, in-kind contributions (if applicable)

### **Sub-grantee Evaluation**

The key purposes of data collection are: (1) to complete federal reporting requirements, (2) to demonstrate that substantial progress has been made towards meeting the objectives of the program as outlined in the grant application, and (3) to provide information used to complete local, state, and federal program evaluations.

All 21<sup>st</sup> CCLC sub-grantees must use the 21<sup>st</sup> CCLC Profile and Performance Information and Collection System (PPICS) to report (1) increases in percentages of students regularly participating in the program who meet or exceed state and local academic achievement standards in reading and mathematics and, (2) the percentage of students who show improvement in behavior measures such as school attendance, classroom performance, and decreased disciplinary actions or other adverse behaviors. There are four data entry modules that make up the Profile and Performance Information Collection System: (1) Competition Overview, (2) Grantee Profile, (3) Annual Performance Report (APR), and (4) State Activities. Sub-grantees must submit the outcomes for each program year. Learning Point Associates compares this information with data submitted in the grantee profile and the proposal to evaluate and assess progress from year to year.

Each 21<sup>st</sup> CCLC sub-grantee must undergo a periodic local evaluation to assess the progress toward achieving its goal of providing high-quality opportunities for academic enrichment. The results of program evaluations must be: (1) used to refine, improve, and strengthen the program and to refine the performance measures; and (2) made available to the public upon request. Local sub-grantees, working with their State Education Agencies (SEAs), must also evaluate the academic progress of children participating in the 21<sup>st</sup> CCLC program.

The local program evaluation must be based on the factors included in the Principles of Effectiveness. According to statute, programs or activities must be based on:

- An assessment of objective data regarding the need for before- and after-school programs (including summer school programs) and activities in schools and communities;
- An established set of performance measures aimed at ensuring high-quality academic enrichment opportunities; and if appropriate, scientifically based research that provides evidence that the program or activity will help students meet the State and local academic achievement standards.

Sub-grantees may use an external evaluator, but is not required to do so. If an external evaluator serves as the evaluator for the program, the evaluation plan should identify that individual and/or organization, and a description of the qualifications and responsibilities of the evaluator. The cost of the external evaluation must not exceed an amount equal to 3% of the total grant award.

In addition to meeting federal evaluation requirements, sub-grantees must annually complete a self-evaluation of the local program utilizing the *NC CAP Established Standards of Excellence Self-Assessment Tool: K-12*. Understanding that improving quality is an on-going process that includes careful self-assessment, North Carolina has adopted the Standards of Excellence as a framework for effective out-of-school time programming. The tool serves as a guide for taking a snapshot view of a program's quality within nine quality indicators:

- Safe, Healthy, and Orderly Environment
- Qualified and Diverse Staff
- Opportunities to Learn in Diverse Environments
- Positive Participant and Staff Interactions
- Active Family and Community Partnerships
- Consistent Participant Attendance
- Greater Personal Responsibility
- Improved Academics Achievement
- Greater Creativity and Well-Being

By periodically reviewing the program's policies, procedures, and goals, directors and staff can see where the 21<sup>st</sup> CCLC program fits along a continuum of helping children learn and grow.

### **State Evaluation**

Through on-going review of available data, monitoring reports, and sub-grantee evaluations, NCDPI will determine needs and identify resources to support local programs. A periodic state-wide evaluation will be conducted through an external evaluator from the state's university system. The results of the external evaluation will be provided to sub-grantees and made available to the public on the state's website. Evaluation results will be utilized to develop technical assistance plans for current sub-grantees as well as priorities for subsequent sub-grant competitions.

Whenever possible, these state-level studies will draw upon the resources of local evaluations to avoid duplication and to maximize data utility. All state-level studies will also be tied to the goals of the programs and to the adopted Elementary and Secondary Education Act (ESEA) performance indicators. Evaluation studies will be both formative and summative in nature, and will involve both analyses of extant data as well as original data collection when needed.

Currently, data is collected from sub-grantees in hard copy reports on a quarterly and annual basis. Beginning in 2011-12, efforts will focus on data entry into the Consolidated Federal Data Collection (CFDC) system. Data collected in the CFDC utilizes data collected across the state from specifically identified authoritative sources to ensure data quality and validity. Connecting data systems within the agency will allow for comprehensive evaluation of the impact of student participation in the 21<sup>st</sup> CCLC program on student academic achievement.

The State requirements for data collection in the 21<sup>st</sup> CCLC program are aligned with the national requirements. For each reporting period, sub-grantees must provide the following information for each 21<sup>st</sup> CCLC center that it operates:

- Hours of operation per day;
- Number of hours in a typical week during the school year;
- Total number of weeks the center was open during the school year and summer (if applicable);
- Total number of paid and unpaid staff;
- Number of regular staff;



- Types of staff including center administrators, school-day teachers, college students, high school students, and parents;
- Schools served;
- Number of student attending from each feeder school;
- Activities/services funded by the 21<sup>st</sup> CCLC grant including those for families;
- Percentage of participants for each activity in a typical week at the center;
- Number of pre K-12 students who attend the program;
- Number of adult family members age 19 and older who attend the program;
- Total number of regular attendees, or students who attend the program 30 days or more;
- Number of students classified by gender, ethnicity, Special Education, Limited English Proficiency, and Free/Reduced Price Lunch eligibility;
- Number of Regular Attendees whose grades have remained the same, improved by half a grade, or dropped by half a grade or more in math, reading/English, and science;
- Math and Reading/Language Arts score levels on the state proficiency test (End of Grade or End of Course); and
- Number of regular attendees who either increased or decreased the performance level on their proficiency tests.

### **Technical Assistance/Professional Development**

NCDPI consistently communicates that a well-trained staff is critical to the success of a 21<sup>st</sup> CCLC program. Initial and ongoing staff training increases the likelihood that all program goals will be met. All staff and volunteers should be appropriately trained on policies and procedures related to expectations for staff, student engagement, and student health, safety and well-being. Needs are often identified as a result of monitoring and individual program support is provided as needed by one of four regionally assigned 21<sup>st</sup> CCLC program consultants.

Prior to implementing approved programs, sub-grantees are provided with an orientation workshop to provide information on data collection and reporting, program evaluations, cash management procedures, and expectations for staffing. Throughout the year, professional development and technical assistance sessions are routinely offered by the State to include regional meetings, webinars, as well as an annual conference, the SYNERGY Forum. Sub-grantees are strongly encouraged to attend all State-sponsored events.

NCDPI serves on the Executive Planning Committee for the annual SYNERGY Forum identifying keynote speakers and session presenters that best meet the needs of 21<sup>st</sup> CCLC programs across the state. Best practice topics include sustainability efforts, program evaluations, professional standards, and community involvement. Participants have the opportunity to learn about successful programs and potential funders across the state.

Many local 21<sup>st</sup> CCLC program staff members are able to participate in professional development offered by the local school district. In addition to state and local professional development opportunities, program directors may periodically attend national conferences that focus specifically on 21<sup>st</sup> CCLC programs. In order to maximize benefit, the director must develop and implement a system for disseminating the information learned from the conference to the staff.

In addition to using the *North Carolina Afterschool Professional Core Competencies* as a guide for selecting staff, this valuable resource should also be used when making local decisions about professional development for staff working in the 21<sup>st</sup> CCLC program. Identifying existing skills and knowledge of each staff member serves as a way to individually support professional growth with skills and abilities necessary to work with school-age children and youth in out-of-school time programs. Written professional development plans should include both activities for all staff as well as activities to address individual staff needs.

The competencies also serve as the foundation for the North Carolina Afterschool Professional Development System. Developed through collaborative partners with NC CAP, the system provides an online centralized database of afterschool training opportunities across the state. The database is searchable by filters (county, staff level, content area, etc). To search for available professional development offerings, go to <http://nccap.net/about/useful.cfm>.

Information related to professional development and technical assistance opportunities is communicated through a continuously updated listserv of all 21<sup>st</sup> CCLC program directors.

**2. Describe the Statewide system of support under section 1117 [of the ESEA] for ensuring that all schools meet the State’s academic content and student achievement standards, including how the State will provide assistance to low-performing schools.**

In North Carolina, the School-Based Management and Accountability Act of 1995 authorized the selection and training of State Assistance Team members to serve low-performing schools as designated by the State Board of Education. These teams provided the support and guidance necessary to improve student academic performance in the low-performing schools under the ABCs of Public Education. However, the reauthorization of the Elementary and Secondary Education Act (ESEA) implemented in January, 2002, created additional need for support to schools in Title I School Improvement. Section 1117(a) of the law requires each State to establish a “statewide system of intensive and sustained support and improvement” that must be centered on a network of school support teams, distinguished educators, and other technical assistance, such as assistance provided by institutions of higher education, regional comprehensive centers, or private providers of scientifically based technical assistance.

NCLB also required that districts be held accountable for making Adequate Yearly Progress (AYP), and thus there was a need to develop a District Assistance Program. The NCLB requirement that all schools and districts make AYP significantly increased the number of schools and districts requiring assistance. Because the State Education Agency (SEA) had limited resources to provide statewide assistance, the focus of the early District Assistance Program was on building capacity at the district level. The goal for these teams was to enhance and strengthen the capacity at the central office level to enable district staff to better support their own schools.

In 2005-06, another component of assistance was required in response to Judge Howard Manning’s focus on the State’s high schools where fewer than half the students achieved proficiency. The State’s Governor required that high schools that had ABCs performance composites below 70% be served with Turnaround Teams. Since that time, assistance to

turnaround schools has continued, with efforts by both the SEA and New Schools Project to assist these schools in the implementation of significant reform and design initiatives.

In the fall of 2007, the North Carolina Department of Public Instruction (NCDPI) initiated a program for Comprehensive Support for District and School Transformation, an ambitious plan to redefine and redesign the way the agency delivers assistance. The Comprehensive Support for District and School Transformation initiative has broadened into a major NCDPI focus on providing a statewide system of support for districts and schools sanctioned under NCLB, support for turnaround high schools and the middle schools that feed into them, and schools identified as low-performing under the ABCs of Public Education. To date, NCDPI has completed an organizational realignment to ensure that committed leadership and the right decision-making structures are in place for the support system to be successful. The Academic Services and Instructional Support Area provides extensive school, district, and regional support to low-performing and low-capacity districts coordinated through inter-agency roundtables as part of the redefined statewide system of support. The cadre of support staff includes Needs Assessment Reviewers, Regional Leads, District Portfolio Managers, School Transformation Coaches, and all Academic Services and Instructional Support staff to include Title I consultants. The support staff team includes distinguished teachers and principals and brokers partnerships with outside consultant groups, institutions of higher education, and regional comprehensive technical assistance centers.

### **Overview of the Statewide System of Support**

North Carolina's statewide system of support is coordinated and monitored through three interlocking roundtables. The roundtable structure includes a Strategic Roundtable, an Agency Roundtable, and eight Regional Roundtables.

The Strategic Roundtable is comprised of NCDPI senior leadership and meets quarterly to manage the selection of transformation districts and schools as well as monitoring progress toward the priority objectives.

Measurable goals and objectives for schools/districts receiving assistance:

- An increase in the percentage of NCLB targets met
- Progress in making growth
- An increase in the percentage of students scoring at achievement Levels III and IV (proficiency)

Other support objectives:

- Assisting the school in making data-driven decisions to improve student achievement
- Increasing the school's capacity to achieve student academic growth over time for all student subgroups
- Enhancing the staff's knowledge and delivery of best practices
- Building the skills of teachers and administrators

The Agency Roundtable is comprised of all NCDPI division directors and meets monthly to facilitate ongoing initiatives within the statewide system of support. The Title I Director serves on this roundtable. The Roundtable identifies current initiatives being provided to the region by

the agency; reviews comprehensive needs assessment outcomes; identifies gaps and redundancies; targets available resources to identified needs; and routes continued services through NCDPI staff assigned to regions, districts, and schools.

The eight Regional Roundtables are comprised of regional NCDPI staff and representatives of the Regional Education Services Areas (RESAs) and the Office of School Readiness. The Roundtables meet monthly to identify current initiatives underway in each district in the region, to identify common needs across each region, and to coordinate technical assistance provided for the districts and schools identified as having the greatest need for support. Roundtables are facilitated by NCDPI Regional Leads, one assigned to each of the eight regions across North Carolina. A Title I consultant serves on each Regional Roundtable in order to ensure that statutory requirements are understood by all parties and appropriate services and support are brokered for Title I schools.

Ultimately, the statewide system of support provides customized technical assistance designed to build the capacity of LEA and school staff to improve schools and sustain improvement efforts. The roundtables provide a forum for continuous communication and collaboration within the agency in order to most effectively customize the support.

### **The Identification Process**

Districts and schools are screened annually through a multi-step process to determine the local education agencies (LEAs) that have the greatest need and least capacity for supporting schools. Criteria include factors such as the LEA improvement status of the district, the number and percentage of schools in need of improvement and the resources available in the district. Once districts are identified, the State then maps the LEAs and schools according to the eight regional divisions across the state. This information is critical to the ongoing coordination of support within the various divisions in the agency and is communicated to all staff within NCDPI through the three inter-agency roundtables.

### **Comprehensive Needs Assessment for Schools and Districts**

Comprehensive Support for District and School Transformation begins as a partnership between LEAs and NCDPI. The LEAs identified as needing the most intensive level of support are contacted through the local Superintendent and School Board to discuss a potential partnership. District leadership commits to a 3-year partnership by signing a formal agreement. NCDPI provides a District Transformation Coach to begin the Comprehensive Needs Assessment (CNA) process. The purpose of the CNA is to establish a clear vision of the strengths, areas for development, challenges and successes both for individual schools and the district as a whole.

Cambridge Education (CE) was selected by NCDPI to support the implementation of the CNA process. CE provides mentorship, guidance and support to NCDPI reviewers during the assessment process to ensure the consistent use and application of assessment principles, including providing feedback, recording evidence, and writing CNA reports. CE also provides quality assurance at all levels of the project. Quality implementation of the CNA is vital since this rigorous process combines third party school evaluation with professional development to strengthen the capacity within districts and schools. Research supports that school districts that undergo a careful analysis of data and information, make better decisions about what to change

and how to institutionalize systemic change. The framework of the CNA is designed to provide a model which enables local staff to conduct CNAs on their own.

The CNA begins with the district and its schools voluntarily completing a Self-Evaluation prior to the on-site review. The Self-Evaluation tool scaffolds the needs assessment focusing on outcomes in terms of school improvement and student achievement. NCDPI reviewers utilize completed Self-Evaluations along with other data available within the SEA to prepare for the on-site review. This instrument along with School and District Rubrics are used to facilitate a bottom to top approach in determining the priority of need for improvement.

During the on-site review, NCDPI staff uses a School and District Rubric to examine needs based on five overarching dimensions which include fourteen sub-dimensions that define quality education. Ratings are determined for each sub-dimension as Leading, Developing, Emerging, or Lacking. A Lead Reviewer facilitates a schedule for consistent feedback to be provided for local leadership at various points during the review. Upon completion of the CNA, a summary of the review is shared orally with a formal written report provided within 20-working days after the site visit. Reports are shared and discussed at the Agency Roundtables and Regional Roundtables to provide ongoing communication regarding district and school needs. The rigorous assessment process results in identified needs addressed by customized assistance.

Included in the CNA is a review of school and district efforts to consistently engage in strategies, policies, and procedures for partnering with local businesses, community organizations, and other agencies to meet the needs of the schools. Partnerships to establish supplemental programming, such as 21<sup>st</sup> CCLC programs, are a critical element of effective community involvement contributing to the academic success of students.

To date, NCDPI has trained over 80 staff members representing all divisions within the Academic Services and Instructional Support area to conduct the CNAs. This cadre of reviewers includes the ten consultants that serve Title I schools across the state. It is important that the terminology used is clearly articulated and understood by those providing support for districts and schools. The use of the CNA instrument coupled with the CNA cross-division training is yet another example of how NCDPI utilizes existing resources within the agency to provide a coordinated, collaborative state-wide system of support.

### **Service Delivery**

LEAs and schools with the greatest need will be identified for direct support through the District and School Transformation (DST) division. LEAs identified for DST undergo a supported CNA process and then collaboratively develop a Service Plan. The plan will clearly reflect strengths and areas for improvement identified in the needs assessment, as well as identifying transforming initiatives for district and individual schools. Service Plans will provide a rationale for choices and a clear implementation map.

DST is designed to provide on-site support, guidance and services to districts for a three-year commitment. The level and nature of services are determined by district performance and capacity, including results of test data as reported in the ABCs of Public Education and No Child Left behind (NCLB). The primary aims are to improve student academic performance and to build internal capacity in the central office and school's leadership for positive change and

continuous growth. Services and assistance provided to districts by NCDPI will be extended and reinforced by (a) utilizing school, district, and regional coaches to develop school and district leadership by sharing best practices and providing knowledge of exemplary programs and strategies; and (b) brokering NCDPI staff and external partners as needed to provide professional development and technical assistance. The number of districts served and the extent of services depend on the availability of resources and will be provided to districts with the lowest performance and least capacity. These districts will be approved and designated by the State Board of Education.

Technical assistance for all LEAs and charter schools is coordinated through the roundtables. Service delivery is provided internally through NCDPI agency and regional staff to include initiatives such as Response to Intervention (RTI) training by NCDPI Exceptional Children staff. Services are also brokered with various partnerships for support to include, NC RESAs, the New Schools Project, The Collaborative Project, the UNC Center for School Leadership and Development, and the Appalachian Regional Comprehensive Center (ARCC).

For example, NCDPI and ARCC have developed a management plan addressing key agency initiatives with the primary overarching objective being to extend and enhance the comprehensive support plan to address NCLB goals and strengthen the statewide system of support for districts and schools. Another example is demonstrated in the work of The Collaborative Project, funded by the North Carolina General Assembly. The project focuses on five public school systems that serve low-income students in rural areas and provided support for out-of-school time programming. The objective of this work is to show measurable student growth and create a positive learning and teaching environment for young people and educators.

Measurable goals and objectives of service delivery:

- An increase in the percentage of AYP targets met
- An improvement in the performance of each subgroup aggregated at the district level
- An increase in the number of students scoring at achievement Levels III and IV in the district's schools
- An increase in the number of students successfully graduating from high school

Other objectives include:

- Assisting the central office to support schools more effectively, efficiently, and equitably so that all schools are on track to meet state and federal accountability goals;
- Assisting districts and schools in making data-driven decisions to improve student achievement; and
- Conducting a needs assessment and providing the support and guidance through regional roundtables assisting districts and schools in developing:
  1. Greater understanding of the significance of planning;
  2. Greater knowledge of leadership and the roles of central office staff and school leaders;
  3. Greater knowledge of the tools/processes used in monitoring instruction and

increased ability to effectively monitor instruction;

4. Increased ability to use data strategically to establish district instructional priorities; and
5. Increased ability to align resources and activities to support priorities.

In support of local school and district improvement efforts, NCDPI annually allocates 1003(a) funds to LEAs to provide additional resources for schools, which have been identified for School Improvement, Corrective Action, and Restructuring. Funds will be allotted based on approval of an application for School Improvement (PRC105) funds submitted by the LEA or charter school on behalf of schools participating in Title I School Improvement. The application process includes a review of school level needs, the revision of school improvement plans aligned to requirements in Section 1116(b)(3), and requirements for parent notifications.

Title I staff approves the 1003(a) applications for funding and monitors the use of funds on an annual basis. Efforts to support specific schools are coordinated through the Regional Roundtables and target areas including budgeting and resource allocation aligned to specific identified needs.

School Improvement Grants (SIGs) authorized under section 1003(g) of Title I of the ESEA direct SIG funds in significant amounts to the State's persistently lowest-achieving schools in order to turn around those schools. Schools eligible for funding are selected by the SEA based on the district's ability to demonstrate capacity and commitment to implement one of four rigorous intervention models: turnaround, restart, closure, or transformation. SIG schools are monitored on a quarterly basis throughout the three-year period of implementation. Schools annually report of measurable goals and objectives as well as federally required indicators. Schools are provided with customized support to ensure the selected model is implemented with fidelity.

State administrative funds provided with 1003(a) and 1003(g) are utilized for leveraging the statewide system of support. Examples of initiatives supported with these funds include:

- Balanced Leadership training - Mid-Continent Research Education Laboratory (McREL)
- Developing a Framework for Action - University of North Carolina at Chapel Hill Center for School Leadership
- Common Core State Standards/Essential Standards - NCDPI staff
- Teacher Leadership initiative - Cambridge Education

### **Continuous Coordination, Communication, and Collaboration**

In the development of the current framework for support, the NCDPI contracted with the Boston Consulting Group to establish priorities and coordinate the development of the Comprehensive Support for District and School Transformation. As part of this initiative, the group conducted multiple interviews and focus groups with both SEA and LEA staff to determine perceptions and needs on the state system of support. The early phases of the project also included a needs assessment of the agency's technical assistance programs and their effectiveness in the field. As plans were developed to implement a new model and reorganize the agency to support the model, various stakeholder groups were provided with information regarding the reorganization and the statewide system of support as it was piloted in 2007-2008.

To date, the DST Division provided the coordination of more than 200 professional development sessions across the state. Leveraged efforts of the Regional Roundtables will continue to coordinate other agency initiatives to include some level of support for all eight regions and 115 LEAs served in the state.

To date, NCDPI has provided an overview of the new support system in various venues to include multiple stakeholders across the state. The agency continues to disseminate resources to ensure that all LEAs and schools will know about, and have access to, the system of support as well as understanding the services that are offered. As the structure is refined internally and approved by the State Board of Education, information will be consistently communicated to all LEAs and schools.

### **3. Describe the key activities and initiatives the SEA will carry out with administrative funds reserved for administration and State-level activities.**

The North Carolina Department of Public Instruction consolidates administrative funds. Refer to excel spreadsheet for details showing that federal funds constitute less than 50% of the funds used to support the North Carolina Department of Public Instruction.

In 1996, the Department of Public Instruction worked closely with the U.S. Department of Education's Office of the Chief Financial Officer to implement a substitute system of time distribution, consistent with OMB A-87 requirements. Employees paid with federal funds are required to maintain appropriate time distribution records that reflect the time spent on various federal program cost objectives. Consolidating the Administrative funds permits State Education Agency employees to streamline efforts, avoid duplication and eliminate the need to separately track administrative costs to particular programs. The time attributable to Consolidated Administration is paid from the administrative funds of any of the consolidated programs.

At this time, the state does not plan to transfer non-administrative state-level ESEA funds under the provisions of the State and Local Transferability Act (sections 6121 to 6123 of the ESEA).

21<sup>st</sup> CCLC administrative funds are used to support requirements of conducting competitive processes, program monitoring, program evaluation, and sub-grantee technical assistance. Priority is given for personnel sufficient to support local programs. Priority initiatives supported with administrative funds are as follows:

- Enhancement of SEA data collection systems;
- Enhancement of web-based grants management system for 21<sup>st</sup> CCLC;
- Contract for state evaluation;
- Training for local evaluations;
- Expert training sessions (e.g., PPICS webinars);
- Common Core State Standards training;
- Professional Core Competency training; and
- SYNERGY Conference.



**Analysis of Budget and Expenditures by Source as of 4/30/2011**

<b>Summary</b>	<b>Budget</b>		<b>Expenditures</b>	
State & Receipt Funding Source	\$ 120,553,918	58%	\$ 56,886,550	63%
Federal Grant Funding Source	86,704,283	42%	33,794,114	37%
Total	<u>\$ 207,258,201</u>	<u>100%</u>	<u>\$ 90,680,664</u>	<u>100%</u>

<b>Detail by Organizational Area</b>	<b>State &amp; Receipts</b>		<b>Federal</b>	
	<b>Budget</b>	<b>Expenditures</b>	<b>Budget</b>	<b>Expenditures</b>
Education Management	\$ 53,217,117	\$ 12,762,635	\$ 551,927	\$ 206,278
Academic Services and Instructional Support (including NCCAT)	39,001,982	25,003,025	77,731,248	28,867,828
Financial/Business Services	13,680,956	9,278,997	6,772,457	3,532,276
Technology Services	14,653,863	9,841,893	1,648,651	1,187,732
	<u>\$ 120,553,918</u>	<u>\$ 56,886,550</u>	<u>\$ 86,704,283</u>	<u>\$ 33,794,114</u>
% of Total State + Receipts + Federal	58%	63%	42%	37%