California Department of Education

Expanded Learning Division

After School Education and Safety Program (ASES) FAQs

September 2016

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> **California *Education Code* for ASES can be found at**
> **http://leginfo.ca.gov/cgi-bin/displaycode?section=edc&group=08001-09000&file=8482-8484.65**.

After School Education and Safety
FAQs

I. Legislative Authorization for the After School Education and Safety Program

A. Proposition 49

1. Q—What legislation mandates the establishment of the After School Education and Safety (ASES) Program?

A—The ASES Program is the result of the 2002 voter-approved initiative, Proposition 49. The ASES Program funds the establishment of local after school education and enrichment programs. These programs are created through partnerships between schools and communities to provide literacy support, academic enrichment, and safe, constructive alternatives for students in kindergarten through grade nine (K–9) (California *Education Code* [*EC*] Section 8482).

The *EC* requires that priority for program funding be given to schools where a minimum of 50 percent of the pupils in elementary schools and 50 percent of the pupils in middle and junior high schools are eligible for free or reduced cost meals through the school lunch program of the United States Department of Agriculture (*EC* Section 8482.5[a]).

B. After School Education and Safety Universal Grant

2. Q—What is the ASES Universal Grant?

A—The ASES Universal Grant was created to provide opportunities for local educational agencies (LEAs) that are not currently funded or that want to increase their funding levels to the legislative cap to provide programs that are based on local needs. The programs are created through partnerships between schools and local community resources, and must meet program requirements (*EC* sections 8482-8482.55[d]).

3. Q—When can an ASES Universal Grant application be submitted, and when will these applications be funded?

A—The ASES Universal Grant funding is open to LEAs, with or without non-profit or government agency partners, on an annual basis.

To obtain information about the ASES Universal Grant Request for Application (RFA) requirements and process, go to the California Department of Education (CDE) Funding and Fiscal Management Web page at http://www.cde.ca.gov/ls/ba/as/fiscal.asp.

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The ASES Universal RFA is generally posted during the late summer or early fall season for funding starting the following July 1.

4. **Q—How much can I receive in ASES funding per year?**

   A—The *EC* sets the maximum total after school grant amount at $112,500 per year for elementary schools; and $150,000 per year for middle and junior high schools (*EC* Section 8482.55[c]). Ninth grade can only be funded if it is part of a middle/ junior high school.

5. **Q—Is there a minimum grant amount for after school programs?**

   A—Yes. The minimum grant amount for the base after school grant is $27,000 per site per school year (*EC* 8483[(4]).

C. Renewals

6. **Q—What is the process to renew an ASES grant?**

   A—The *EC* requires ASES grantees to renew their current ASES grant every three years. A request for applications is posted on the CDE Funding and Fiscal Management Web page at http://www.cde.ca.gov/ls/ba/as/fiscal.asp for each renewal cycle, under the appropriate fiscal year, and includes application instructions and timeline for submission (*EC* Section 8483.7[a][1][A]).

II. Grant Administration and Accountability

A. Award Notification and Funding Period

7. **Q—How will ASES grantees receive notification of funding?**

   A—After final approval by the CDE, a list of funded grantees is posted on the CDE Funding and Fiscal Management Web page at http://www.cde.ca.gov/ls/ba/as/fiscal.asp. The grantees will receive a Grant Award Notification (AO-400), which is the formal notification of the award indicating the amount of funds allocated annually.

   The *EC* requires that the AO-400 be signed by the Authorized signatory and returned to the CDE before receiving the first 65 percent installment of the grant award (*EC* section 8483.7[d]).

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8. **Q—What is the duration of the ASES grant funding?**

    A—The *EC* establishes a three-year renewable grant subject to reporting requirements (*EC* Section 8482.4). Funding for grants is allocated annually for a period of no more than three years, contingent upon the availability of funds (*EC* Section 8483.5).

B. Reporting Requirements and Due Dates

9. **Q—Where can grantees obtain information about reporting deadlines?**

    A—All mandated attendance, fiscal, and evaluation report submission deadlines are posted on the CDE Reporting Due Dates Web page at http://www.cde.ca.gov/ls/ba/as/duedates.asp.

10. **Q—What types of reports are grantees required to submit to the CDE?**

    A—The *EC* requires that all grantees must submit to the CDE an annual budget *(EC* Section 8484.8[b][3]), two semi-annual attendance reports (*EC* Section 8483.7[a][1][A]), four quarterly expenditure reports (*EC* Section 8484.8[b][4]) and the Annual Outcome-based Data for Evaluation *(EC* Section 8484[a]).

C. Late-Arrival Policy and Early-Release Policy

11. **Q—Are before school programs required to have a Late-Arrival Policy?**

    A—Yes. The *EC* states that every before school program must operate for 1½ hours each regular school day and establish a policy for reasonable late daily arrival of students to the program. This policy should address issues similar to those discussed in the Early-Release Policy section below (*EC* Section 8483.1[a][1]).

12. **Q—Are after school programs required to have an Early-Release Policy?**

    A—Yes. The *EC* requires every after school program to establish a policy regarding reasonable early release of students from the program (*EC* Section 8483[a][1]).

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Promising Practices—The Early Release Policy addresses the reasons for the early release of pupils from the after school program. The Early Release Policy documents the reason for early release to allow programs to count student attendance for the day. However, the use of the Early Release Policy should be the exception and not the rule. It should be applicable on a case-by-case basis.

It is recommended that the Late Arrival and Early Release Policies be implemented by establishing codes for the various reasons of early release. Below are sample codes that have been used in the field:

1. Off-site enrichment programs
2. Family emergency
3. Medical appointment
4. Transportation
5. Child accident/injury
6. Safety issues (darkness, weather)
7. Participation in school athletic programs and team sports
8. Other conditions (state reasons)

Additional information is available on the CDE Late Arrival and Early Release Guidance Web site at:
http://www.cde.ca.gov/ls/ba/cp/earlyreleaseguide.asp.

D. Sign-in/Sign-out Procedures

13. Q—Are sign-in and sign-out procedures required in ASES after school programs?

A—Yes. For monitoring purposes, all grantees should develop an attendance accounting system to track compliance with early release and ensure the safety of students. Sign-in and Sign-out Procedures ensure adequate safeguards and a level of integrity acceptable to an auditor or during a Federal Program Monitoring (FPM) visit. The grantee must also include the early-release and late-arrival procedures at each ASES program site to reflect accurate program attendance. Sign-in and sign-out sheets are auditable records for attendance compliance.

Promising Practices—Findings from program audits suggest formatting sign-in sheets with numbered lines for each student to write on to avoid having more than one name on the same line, a column for sign-out time and also a column to enter the reason for early-release from the

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program. Concern for student safety suggests that columns for the time the student left the program and with who is picking the student up should be part of the procedure, and entered on the sign-out sheets.

14. **Q—Can we adopt electronic sign-in and sign-out for students attending our afterschool program?**

   A—Electronic sign-in and sign-out systems are not prohibited. Each student attending an afterschool program must be closely monitored for safety, compliance, and accountability reasons. Whether using a manual (i.e., paper copies) or an electronic system, the accountability of students attending the after school programs require a precise and rigorous method that ensures the safety of the students and accurate attendance reporting to the CDE.

   Promising Practices—According to promising practices, sign-in and sign-out systems should do the following:

   - Require that only authorized persons sign out a student from the program

   - Record and track all sign in/out entries by student name, unique identifier, date, and time

   - Identify, record, and track all entries or alterations made by the program staff

   - Generate reports that identify input errors or inconsistencies

   - Identify and record absences

   - Require the reasons for late arrival or early release from the program

   - Back up information on a daily basis and maintain the data for at least five years

   - Prevent alterations of historical data

   To ensure the reliability of the system, the use of parallel systems (manual and electronic) during the first year of implementation is recommended. Checking one system against the other would ensure

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that the electronic system is operating as intended. In addition, control features should exist to prevent the system from being turned off.

If grant funds are to be used for the purchase of such a system, the purchase will have to be approved in advance by the CDE.

E. Programs Conducted Off-Site

15. **Q—Can a grantee operate a program in a location other than the school site?**

    A—Yes. The *EC* allows for an ASES program to operate on the grounds of a community park, recreational facility, or other site as approved by the CDE. Off-site programs must align the educational and literacy components of the program with the participating students' regular school program. No program located off school grounds will be approved unless safe transportation is provided for the students enrolled in the program (*EC* Section 8484.6[a]).

F. Summer Programs

16. **Q—What are summer (formerly known as supplemental) after school programs?**

    A—The *EC* defines summer programs, formerly known as supplemental programs, as programs operating in excess of the 180 regular school days or during any combination of summer, intersession, or vacation periods for the regular school year (*EC* sections 8483[b] and 8483.1[b]). Therefore, summer programs, as defined in the *EC*, may operate on any day that the regular school is not in session.

17. **Q—Is it necessary for grantees to track attendance for summer programs?**

    A—Yes. The *EC* requires that funded summer programs operating on non-regular school days track and report attendance separate from programs that operate on regular school days *(EC* Section 8483.76[f][2]).

18. **Q—What are the hour requirements for operating a summer program?**

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A—Summer grant recipients may operate the after school summer grant program as either a three-hour program at $7.50 per student per day, or a six-hour program at $15 per student per day.

If a grant recipient wishes to take advantage of the six-hour program option, they should contact their Regional Consultant at the CDE's Expanded Learning Division (EXLD) for prior approval.

Note: Additional funding is not available if a grant recipient chooses to implement a six-hour program. The option to double program length does not apply to Before School Summer grant programs.

19. **Q—Is there any additional flexibility for enrollment in operating a summer program?**

    A—Yes, summer after school grant recipients may enroll any student in the district, so long as priority enrollment is given to students from the funded school site.

20. **Q—Can a grantee combine a 1 ½-hour before school summer program with a 6-hour after school summer program to run a 7.5-hour program?**

    A—Yes. A grantee may combine a 1 ½-hour before school summer program with a 6-hour after school summer program to run a 7.5-hour program.

21. **Q—Can ASES summer funds be used on weekends?**

    A—Yes. The *EC* allows the use of summer funds to be used to operate the before and after school summer program in excess of 180 regular school days or during any combination of vacations, weekends, intersessions, and/or summer *(EC Section 8483.76[a])*.

22. **Q—Can ASES after school program funds be used on weekends?**

    A—No. ASES after school program funding cannot be used for student activities on the weekend. Funds can only be used for operating an expanded learning program on a regular school day. However, these funds can be used for professional development for staff on the weekend *(EC Section 8483.[a][1])*.

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G. Before School Program Attendance

23.   **Q—Is there a daily minimum period of time a student must be in attendance in a before school program in order for a program to count a student's attendance for the day?**

A—The *EC* states that a student who attends less than one-half of the daily before school program hours shall not be counted for the purposes of attendance (*EC* Section 8483.1[a][2][B]).

24. **Is there a minimum amount of time programs have to operate during summer, intersession or vacation?**

A—Yes. Programs electing to operate a before and after school component for the same pupils during summer, intersession or vacation must operate a minimum of four and one-half hours per day (*EC* Section 8483.2)*.*

H. Attendance Requirements

25. **Q—How do I submit an Attendance Report in the After School Support and Information System (ASSIST) to CDE?**

A—The grantee submits two semi-annual Attendance Reports to CDE through the ASSIST database. To view your grant's required Attendance Report(s), log onto ASSIST; click the appropriate grant ID link. All required reports will be displayed under the Reports Due tab. All reports listed under Reports Due must be completed and submitted to ensure good standing and timely release of payments from the CDE. Once the attendance report is submitted to the CDE, past reports are displayed under the Report History tab for your historical reference. Attendance is calculated by adding the number of students in attendance every day of programming for the outlined reporting period. For more information about the ASSIST, please refer to Reporting Accountability under Fiscal Requirements.

26. **Q—I made a mistake on my attendance report. How can I fix it?**

A—Once a report is submitted electronically to the CDE, it can only be edited by EXLD staff. To request an edit to an ASSIST report, please contact your assigned Regional Analyst. A list of the EXLD Analysts and Consultants can be found on the CDE Regional Technical

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Assistance (TA) Contacts Web page at
http://www.education.ca.gov/ls/ba/cp/regntwrkcontacts.asp.

I. Operational Requirements

27. **Q—Are there operational requirements for the ASES Program?**

A—Yes. The legislation governing the ASES Program requires that programs provide students with a safe environment, academic support, and educational enrichment. Every student attending a school operating a program is eligible to participate in the program, subject to program capacity (*EC* Section 8482.6). All ASES programs **must**:

- Begin immediately upon the conclusion of the regular school day (*EC* Section 8483[a][1])

- Operate at least until 6:00 p.m. (*EC* Section 8483[a][1])

- Operate a minimum of 15 hours per week (*EC* Section 8483[a][1])

- Operate every regular school day during the regular school year (*EC* Section 8483[a][1])

- Maintain a student-to-staff member ratio of no more than 20:1 (*EC* Section 8483.4)

- Offer a daily nutritious snack and/or meal (*EC* Section 8483.3[c][8]) that conforms to both state and federal standards

- Provide opportunities for physical activity (*EC* Section 8483.3[c][7])

- Provide all notices, reports, statements, and records to parents or guardians in English and the student's primary language when 15 percent or more of the students enrolled at the school site speak a primary language other than English. This is determined annually based on the language census data submitted to the CDE for the preceding year (*EC* Section 48985)

28. **Q—Are ASES programs permitted to close at any time during the school year?**

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A—Yes. The *EC* allows the option for after school programs to close for up to three days per year for the purpose of providing professional development to program staff using funds from the total local grant award (*EC* Section 8483.7(a)[1][C]).

Promising Practices—It is Promising practice to notify parents and families of the planned professional development days in advance to allow ample time for them to make alternative arrangements for their child/children for the after school hours on these designated days. All professional development training must be included in the program plan and listed on an annual calendar.

There is no accommodation made for the professional development days and subsequent lost attendance. Programs not meeting attendance requirements should consider this as it will affect grant reductions.

29. **Q—Can we get credit for attendance when we have to close our program due to a natural disaster, civil unrest, or imminent danger to pupils or staff?**

    A—The *EC* allows programs to temporarily close due to a natural disaster, civil unrest, or imminent danger to pupils or staff. In order to get attendance credit for closure due to these circumstances, grantees are required to submit an Attendance Relief Request Form to the EXLD with evidence that justifies the closure of the program. Upon acceptance of that evidence, and approval by the State Board of Education, the EXLD will apply the program's annual average daily attendance to the days the program was closed due to the natural disaster, civil unrest, or imminent danger to students (*EC* Section 8482.8[d]).

    As noted above, to get attendance credit, programs must complete and submit EXLD's Attendance Relief Request Form and provide one or more of the following as evidence:

    • Request for Allowance of Attendance (form J-13A)
    • School or district Web site announcement
    • Copy of board minutes, citing the closure
    • Newspaper articles mentioning the natural disaster and its effect on the community

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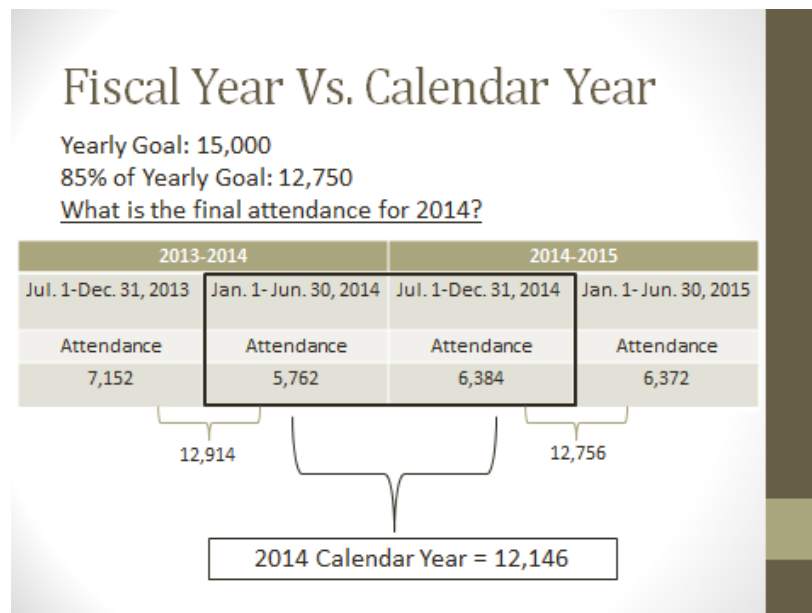This version of the ASES FAQs supersedes all previous versions.

- Letter to parents or letter certifying closure signed by the superintendent or principal

Programs that fail to submit the required documentation by January 31 for closures during the previous calendar year, will not be given attendance credit.

30. **Q—Does the ASES Program require a minimum level of program attendance?**

A—Yes. The *EC* requires that an ASES program must meet a minimum of 75 percent of their attendance goal every year; and must reach at least 85 percent of their attendance goal in the past two consecutive calendar years (*EC* Section 8483.7[a][1]).

It is important to note that attendance is calculated by calendar year (January–December), not fiscal year (July–June). As illustrated in the graphic below, program sites will take the attendance from the second half of one school year and combine that with the attendance from the first half of the next school year to get the total number of students served in one calendar year.

Fiscal Year Vs. Calendar Year

Yearly Goal: 15,000
85% of Yearly Goal: 12,750
What is the final attendance for 2014?

2013-2014		2014-2015	
Jul. 1-Dec. 31, 2013	Jan. 1-Jun. 30, 2014	Jul. 1-Dec. 31, 2014	Jan. 1-Jun. 30, 2015
Attendance	Attendance	Attendance	Attendance
7,152	5,762	6,384	6,372

12,914   12,756

2014 Calendar Year = 12,146

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31. **Q—How do I calculate my annual attendance target?**

    A—To calculate the annual attendance target, simply divide the annual award amount by $5 for before school programs; or $7.50 for after school programs.

    Example 1: if an After School Base program is funded at $112,500, then the annual attendance goal will be 15,000 students ($112,500 / 7.5 = 15,000).

    Example 2: if a Before School Supplemental/Summer grant program is funded $33,750, then the annual attendance goal will be 6,750 students ($33,750 / $5 = 6,750). (*EC* Section 8483.7).

    The consequences of not meeting the annual attendance requirement are discussed in Involuntary Grant Reductions below.

32. **Q—Why is attendance so important for before and after school programs?**

    A—The purpose of before and after school programs are to support student success in school by providing academic support and enrichment opportunities. The legislature determined that regular attendance in the afterschool program would serve as the measure for demonstrating program success (*EC* Section 8483.7[a][1][A]).

33. **Q—What are the attendance requirements for elementary students participating in an ASES program?**

    A—The *EC* states that it is the intent of the Legislature that elementary school students participate in the full day of the program every day in which students participate (*EC* Section 8483[a][2]).

34. **Q—What are the attendance requirements for middle/junior high school students participating in an ASES program?**

    A—The *EC* states that it is the intent of the Legislature that middle school /junior high school students attend the program for a minimum of nine hours a week and three days a week to accomplish program goals (*EC* Section 8483[a][2]).

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To provide the opportunity to develop an age-appropriate after school program for students in middle/junior high school, programs may implement a flexible attendance schedule. However, *EC* requires that priority is given to middle/junior high school students who attend daily (*EC* Section 8483[a][3]).

35. **Q—If there is a regular school minimum day schedule, what time should the after school program start on that day?**

    A—Every school operating an after school program must begin each day of the after school program immediately upon the conclusion of the regular school day, which is any day in which instruction occurs, regardless of the length of the instructional period. ASES programs must operate a minimum of 15 hours per week and remain open at least until 6:00 p.m. on every regular school day (*EC* Section 8483[a][1]).

J. Good Standing

36. **Q—What is required for a program to be in good standing?**

    A—Good Standing Status is defined as:

    - All attendance reports for grantees have been submitted prior to the reporting deadline and have been found by the EXLD to be complete

    - All expenditure reports for grantees have been submitted prior to the reporting deadline and have been found by the EXLD to be complete

    - All annual outcome-based data for grantees has been submitted prior to the reporting deadline and have been found by the EXLD to be complete

    - Evidence of a Continuous Quality Improvement (CQI) Process has been submitted as part of the CQI process and has been found by the EXLD to be complete

III. Grant Modifications

   A. Grant Reductions

   37. **Q—If a grantee has failed to meet its annual attendance target, will the CDE reduce funding?**

   A—Yes. While ASES program sites should strive to meet 100 percent of its attendance target, programs are reduced under the following conditions:

   1. An ASES program fails to achieve 75 percent of their annual attendance target in any given calendar year after the first year of receiving the grant.

   2. An ASES program fails to achieve 85 percent of their annual attendance target in the past two consecutive calendar years, after the first year of receiving the grant.

   38. **Q—When will reductions to ASES grant awards become effective?**

   A—Reductions to grant awards are identified by May and become effective in the next fiscal grant year (July 1). The AO-400s will reflect the reduced award amount.

   39. **Q—If a grantee has a school site that is not meeting its annual attendance target, can a grantee voluntarily reduce the funding to the level of students being served at the site?**

   A—Yes. The *EC* allows a grantee to voluntarily lower its annual grant amount if one or more sites are unable to meet the proposed pupil attendance levels for the previous calendar year(s). The CDE allows for an extra 5 percent grant cushion as an incentive to sites that voluntarily reduce their grant award. While involuntary grant reductions are given a 10 percent cushion above their actual attendance, a voluntary grant reduction is given a 15 percent cushion above actual attendance. The voluntary reduction form is due to the EXLD at the beginning of each calendar year.

   40. **Q—What method does the CDE use to determine an involuntary grant reduction?**

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A—For new program sites, the first year of attendance is not evaluated. Otherwise, attendance is analyzed by calendar year on an annual basis. The two most recent full calendar years will be measured for the following: the most recent calendar year data must meet a minimum of 75 percent of its attendance target; and the most recent two calendar years must meet a minimum of 85 percent. If the percentage falls below 75 percent in the most recent fiscal year, the CDE will adjust the grant to meet the actual attendance level plus a 10 percent cushion. If the percentage falls below 85 percent for two consecutive years, the CDE will use the best of the two year's actual attendance plus a 10 percent cushion.

Sample calculation using 11,250 students served as the best year's attendance for an After School Base program: 11,250 x $7.5 x 1.10 = $92,812.50 (new After School Base award amount).

B. Transferring Funds Between Sites

41. Q—Can a grantee share grant funds with other school sites in its grant?

A—Yes. A grantee may allocate, with CDE approval, up to 125 percent of the maximum total grant amount for an individual school, as long as the maximum total grant amount for all school programs administered by the program grantee is not exceeded. The school receiving the additional funds must have an established waiting list for enrollment, and the funds can only be transferred from a school that has met a minimum of 70 percent of its attendance target (*EC* Section 8483.7[a][8][A] and [B]). This transfer is only valid for one fiscal year.

IV. Fiscal Requirements

A. Reporting Accountability

42. Q—What is the After School Support and Information System (ASSIST)?

A—The **ASSIST** is an automated, online reporting system used to track information for the After School Education and Safety and 21st CCLC Programs. The system allows interested applicants to obtain funding information and forms, and allows authorized grantees to log

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into the system and maintain grant contact information, revise grant budgets, submit quarterly expenditures and semi-annual attendance reports, check payment status, history and run informational reports.

43. **Q—How is ASSIST used?**

    A—The ASSIST is used to apply for before and after school funds administered by the CDE. Upon funding, each authorized agent is granted secure access with the ability to create additional accounts for after school staff. Registered users can maintain grant contact information, revise grant budgets, submit quarterly expenditures and semi-annual attendance reports, as well as check payment status and history. Additional information about ASSIST is posted on the CDE ASSIST Web page at http://www.cde.ca.gov/ls/ba/at/.

44. **Q—Where can grantees obtain information to learn how to use ASSIST?**

    A—The CDE has ASSIST online tutorials that provide information and technical assistance (TA) on how to use the system. This information is posted on the CDE ASSIST Web page at http://www.cde.ca.gov/ls/ba/at/.

    Note: For e-mail TA, or to request additional users contact assist@cde.ca.gov.

45. **Q—I'm new to the ASES program. How can I get an ASSIST logon?**

    A—Please contact your agency's authorized signatory (Superintendent for a school district, county office of education; board authorized agent for a direct-funded charter school; and chief executive officer of a non-profit organization or a government agency) to request a secure ASSIST logon. The CDE can only assign ASSIST access to the authorized signatory. All subsequent accounts have to be created from the grantee's SuperUser account.

46. **Q—I am an ASSIST SuperUser. How do I create an additional account for a new staff member?**

    A—Click the **User Maintenance** link at the top of the screen. From the User Maintenance screen, click the Add button to add a User. Enter a unique user name and password for your new User, along with

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pertinent contact information. You may designate the Role as User or SuperUser. SuperUsers have the ability to create logon IDs for others within the agency, as well as reset passwords for all agency account owners. Once complete, click Save.

47. **Q—Is there a limit to the number of ASSIST accounts we can have?**

    A—No. ASSIST will allow you to create as many user accounts as your agency needs.

48. **Q—Due to special circumstances, our site did not operate an after school program this year. Can we use the funds next year?**

    A—No, Carryover of funds for ASES is not allowed. A program submitting zero attendance for one full fiscal year will be billed back for that funding at the end of the year. After the first year of the grant. Reporting zero attendance may lead to a grant termination.

B. Indirect Costs

49. **Q—What are indirect costs?**

    A—Indirect costs consist of agency wide business and administrative costs such as accounting, budgeting, payroll preparation, personnel management, purchasing, and centralized data processing. The standardized method for charging indirect costs to programs is through the indirect cost rate.

    It is important that LEAs understand the difference between agency wide general administration expenditures (indirect costs) and school site or program-level expenditures (direct costs).

50. **Q—How much of the grant award amount can be expended on indirect costs?**

    A—The *EC* states that an ASES grantee may expend no more than the CDE-approved indirect cost rate, found at (http://www.cde.ca.gov/fg/ac/ic), or 5 percent, whichever is less (*EC* Section 8483.9[a]).

C. Administrative Costs

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51.   Q—What are administrative costs?

A—Costs related to administration can include both direct program charges (salary costs related to preparing program plans, developing budgets, and monitoring activities; travel costs for program activities; rental or purchase of program-specific office equipment or supplies; rental and maintenance of program office space) and indirect charges for general administration of the program (personnel, payroll, accounting, procurement, or data processing). Any cost, direct or indirect, that supports management of the program is considered administrative in nature.

52.   Q—How much of the grant award amount can be expended on administrative costs?

A—An ASES grantee may expend no more than 15 percent of the grant funding on administrative costs. Administrative costs include indirect costs as described in the above response *(EC* Section 8483.9[b]). If the grantee subcontracts out to another provider, the combined administrative and indirect cost for the grantee and the subcontractor cannot exceed 15 percent.

D. Direct Services Costs

53.   Q—What are direct service costs?

A—These are costs for staff and services that provide a measurable, direct benefit at the program site *(EC* Section 8483.9[c]). Examples of direct costs easily identified with particular programs are staff salaries, bus driver salaries, and supplies.

54.   Q—How much of the grant award amount must be expended on direct services to students?

A—The *EC* requires that an ASES grantee must spend at least 85 percent of the grant funding on direct services to students *(EC* sections 8483.9[c] and 8484.8 [e][4][B]).

55. Q—Is the cost of the Site Supervisor considered a direct service?

A—Per *EC* Section 8483.9(c), the cost of a program Site Supervisor may be included as direct service provided that at least 85 percent of the Site Supervisor's time is spent at the program site.

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FAQs

E. Dual-funded Program Site

56. Q-What is a dual-funded program site?

A—A dual-funded program site is one that receives both state ASES funding and federal 21st CCLC funding.

57. Q—How is student attendance counted at a dual-funded site?

A—This is dependent upon how the program is operated:

1. **The site is operated as two separate programs with separate staff and activities.**

   This is an instance in which two separate programs are simply located at one site without further connection. In this case, student attendance **must** be counted separately for each program and the student attendance counts are locked into only one of the programs.

2. **The site is operated as one program with shared staff and activities.**

   This is an instance in which the two programs are operated as one. In this case, the program **has the option** of counting attendance in the following way:

   a. Student attendance should first be counted towards the state funded ASES program up to 85 percent of the ASES attendance target.
   b. After 85 percent of the ASES attendance target has been met the remaining attendance may be applied towards the 21st Century Community Learning Centers (21st CCLC) Program.

      In this second scenario, sites do not have to lock a student's attendance into one specific grant for reporting attendance. Sites cannot report the same student to both grants on any given school day in the attendance report submitted to CDE. However, there may be times when a student is counted towards the ASES grant on a given school day and to the 21st CCLC grant on another given

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school day depending on the fluctuation of daily attendance.

F. Supplement vs. Supplant

58. **What are the grant requirements about supplanting?**

    A—Grant funds must supplement, not supplant, existing services. Programs are prohibited from using ASES funds to pay for existing levels of service. A grantee may not stop or reduce another after school program and supplant it with the state funded ASES or federally supported 21st CCLC Program funds (*EC* Section 8483.7[b]).

59. **Q—What is supplanting?**

    A—This term means "to take the place of." For example, if a particular activity last year was paid with general funds, the same activity this year cannot be paid for with ASES funds or it will be considered supplanting.

60. **Q—What is supplementing?**

    A—This term is defined as "to add to." For example, an agency may increase its existing state-funded student enrollment in a program by using new federal funds to increase the number of students in the program.

61. **Q—What is the difference between supplementing versus supplanting?**

    A—A grantee using ASES funds to increase the student population being served will be supplementing, such as adding a new class or a new site to accommodate additional students. However, if ASES funds were used to replace a program which was initially funded with other funds, it is considered supplanting and prohibited by law.

    Any item, including equipment purchased with ASES or 21st CCLC funds may only be used for before and after school program. Use of this equipment for the regular day school would be considered supplanting. Any services purchased with ASES or 21st CCLC funds may only be used for before and after school programs to avoid supplanting.

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Promising Practice: If an item is purchased with the intent to be used by the after school program and the instructional day, the program can create a cost-share agreement where both parties are able to utilize the item and are held fiscally responsible. For example, the instructional day would pay for two-thirds of the item because they are using an average of six hours per day, and the after school program would pay for one-third of the item because they are using it three hours per day.

G. Fiscal Agent

62. Q—What is a fiscal agent?

A—A fiscal agent is the fiscally responsible partner in a co-application that receives the funding. An LEA or a public agency may act as a fiscal agent in a co-application. A "public agency" is a county board of supervisors or, if the city is incorporated or has a charter, a city council. For additional information, access the most recent ASES RFA on the CDE Fiscal and Funding Management Web page at http://www.cde.ca.gov/ls/ba/as/fiscal.asp.

H. Expenditure Reports

63. Q—How do I submit a grant expenditure report?

A—After a budget is submitted into ASSIST and approved by CDE, grant expenditures are reported in ASSIST. Once the grantee has submitted the quarterly expenditures, all required expenditure reports are automatically generated in ASSIST one day after the end of the quarterly reporting period. To view your grant's required expenditure report(s), log onto ASSIST; click the appropriate grant ID link. All required reports will be displayed under the Reports Due tab. All reports listed under Reports Due must be submitted to ensure good standing and timely payments. Once a report is submitted to the CDE, they will be displayed under the Report History tab for your historical reference. For further assistance, you may like to call your regional fiscal analyst. The list of the CDE Fiscal Analysts and the region(s) to which they are assigned is posted on the CDE Regional Technical Assistance Contacts Web page at http://www.cde.ca.gov/ls/ba/cp/regntwrkcontacts.asp.

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64. Q—When are expenditure reports due?

A—Expenditure reports are required every October, January, April, and July. For more details, please see the CDE Reporting Due Dates Web page at http://www.cde.ca.gov/ls/ba/as/duedates.asp.

65. Q—Do I have to submit an expenditure report for matching funds?

A—No. While the *EC* requires an auditable one-third match of in-kind or local funds, the CDE does not require a report be submitted on a quarterly expenditure report. The required in-kind contribution is reviewed as a part of the independent audit or the state compliance reviews (*EC* sections 8483.7[a][5] and 8483.75[a][4]).

66. Q—What happens if a grantee does not expend all grant funds, or expends less than actually disbursed?

A—The CDE requires that a grantee return all unexpended funds. Grant payments will be made up to the lesser of the grant award or the expenditures to date. No carryover of ASES funds is allowed. During the year-end closeout process, the EXLD will determine if an overpayment has been made and invoice the grantee accordingly (*EC* Section 8483.7[a][1][A]).

67. Q—What if changes need to be made after submitting an expenditure report?

A—Grantees should contact their assigned regional analyst for all ASSIST revisions. For help locating your assigned CDE staff, see the CDE Regional Technical Assistance Contacts Web page at http://www.cde.ca.gov/ls/ba/cp/regntwrkcontacts.asp.

68. Q—Where can grantees obtain additional information about expenditure reports?

A—Detailed instructions for submitting expenditure reports are provided in the ASSIST tutorials posted on the CDE ASSIST Web page at http://www.cde.ca.gov/ls/ba/at/.

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I. Match Requirement

69. Q—Does ASES have a match requirement?
A—Yes. The *EC* requires that each ASES program provide cash or in-kind local funds totaling no less than one-third of the grant amount. Facilities or space usage may fulfill no more than 25 percent of the required local contribution (*EC* sections 8483.7[a][5] and 8483.75[a][4]).

For example:

	Match Requirement (1/3 of the grant amount)	Facilities/ Space (25% of the 33.33%)	Other (75% of the 33.33%)
Grant Amount	**33.33%**	**25%**	**75%**
$112,500	$37,496.25	$9,374.06	$28,122.19
$150,000	$49,995.00	$12,498.75	$37,496.25

Promising Practices: Include costs of services provided by the LEAs, program staff and/or sub-contractors not paid by ASES funds. Proper documentation should be kept when a program has volunteers or other staff time contributed towards in-kind. Some examples of in-kind services are:

- Volunteers

    o Need to be captured in a spreadsheet, documenting the cost of the service that was offered with a description of how the amount was derived (e.g., x % of the volunteers time).

- Principal's time

    o Need to include a description of the contribution, amount of the contribution, and how the amount was derived.

- Local Control Accountability Plan (LCAP) and Local Control Funding Formula (LCFF)

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- Space (cannot fulfill more than 25 percent of the required one third match)

    - Need to include a copy of the district's facilities use policy and associated costs to document match contributions.

- Low-cost or free meeting space

- Teacher's time and expertise

- Materials donated

    - A spreadsheet documenting the materials donated, a description of the materials and the approximate price of the materials.

V. Program Requirements

A. Staff Qualifications

70. Q—What are the qualifications for after school staff who directly supervise students?

A—The *EC* requires that staff members who directly supervise students meet the district's qualifications for an instructional aide. Documentation that demonstrates this requirement should be maintained for audit and state compliance review purposes (*EC* Section 8483.4, *EC* sections 45330, and EC sections 45340-45349).

B. Staff-to-Pupil Ratio

71. Q—What staff-to-pupil ratio is required?

A—The *EC* requires the administrator to ensure that the program maintains a staff-to-pupil ratio of at least one staff to twenty students (1:20) (*EC* Section 8483.4).

C. Licensing Requirements

72. Do before and after school programs have to be licensed?

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A—No. State and federally funded before and after school programs are exempt from licensing requirements (EC 8484.3 [a]).

D. Health Screening and Fingerprint Clearance

73. **Q—What are the requirements regarding health screening and fingerprint clearance?**

    A—All program staff and volunteers are subject to the health screening and fingerprint clearance requirements in current law and district policy for school personnel and volunteers in the school district (*EC* Section 8483.4).

E. Site Supervisors

74. **Q—Do school site Principals approve the selection of Site Supervisors?**

    A—Yes. The *EC* requires that the selection of program site supervisors be subject to the approval of the school site Principal (*EC* Section 8483.4).

F. Records Retention

75. **Q—How long does an ASES program have to keep its records?**

    A—The *EC* requires grantees to maintain documentation (electronic or hard copy) of the after school program plan for a minimum of five years. The CDE shall review the program plan and historical documentation during site visits (*EC* sections 8482.3[g][1][F] and [2]). Grantees are also responsible for maintaining records for all of their subcontracted providers.

    Promising Practices: ASES Program grantees are recommended to maintain attendance, expenditure, and evaluation reports, along with supporting documentation, for a minimum of five years.

G. Program Plan

76. **Q—What are the requirements for grantees to have a program plan?**

A—The *EC* requires that grantees review their after school program plans every three years including, but not limited to, the program goals, program content and outcome measures.

Guidelines for creating a program plan can be found on the CDE Program Plan Guide for Grantees Word document at http://www.cde.ca.gov/ls/ba/as/documents/programplanguide.doc. If the program goals or outcome measures change, the grantee must notify the CDE *(EC* Section 8482.3 [g][1]).

H. Annual Outcome-Based Data for Evaluation

77. **Q—Is the Annual Outcome-Based Data for Evaluation the same data report that is submitted in ASSIST?**

    A—No, these are not the same data reports. ASSIST data has school-level attendance data collected semi-annually. The Annual Outcome-Based Data for Evaluation has student-level attendance data provided annually. Failure to submit either of these data reports may result in grant termination (*EC* Section 8483.7[a][1][A][vi]). More information can found at http://www.cde.ca.gov/ls/ba/as/.

I. Circumstances for Payment Withhold or Grant Termination

78. **Q—What are the circumstances that would cause the CDE to withhold grant payments or terminate a grant for non-compliance?**

    A—The CDE will withhold the grant payment for a grant if the fiscal or attendance reporting remains outstanding; payment will be withheld until the reports have been filed with the CDE (*EC* Section 8483.7[a][1][A][vi]).

    The CDE may terminate the grant of any site that does not comply with the fiscal/expenditures reporting, attendance reporting, or annual outcome-based data for evaluations reporting (*EC* Section 8483.7[a][1][A][vi]).

J. Eligibility Requirements for Students

79. **Q—Who may participate in an ASES program?**

A—ASES programs may serve students in grades K–9, inclusive, that attend participating public elementary, middle, junior high, and charter schools (*EC* Section 8482.3[a]). Every student attending the school operating a program is eligible to participate in the program, subject to program capacity (*EC* Section 8482.6).

Promising Practices: The priority, if any, for student program participation based on academic needs should be detailed in the program plan under **Program Goals and Requirements** in the instructions for creating a program plan which can be found in the CDE Program Plan Guide for Grantees Word document at http://www.cde.ca.gov/ls/ba/as/documents/programplanguide.doc.

80. **Q—Can Transitional Kindergarten (TK) students be served in an ASES program?**

   A—Yes, the CDE considers TK students to be a subset of kindergarten, and may be served in an ASES program (*EC* Section 8482.3 [a]).

81. **Q—Are ASES programs required to provide services to students with special needs?**

   A—Yes. State and federal law requires that students with disabilities cannot be denied access to federally funded programs. However LEAs should consult with their legal departments on the interpretation of state and federal law and the requirements for accommodation at the district and site level (Americans with Disabilities Act and Section 504, *EC* sections 200, 220, 8482.6, and 11135[a]).

   Promising Practices—The CDE suggests the following components to create a robust program to provide for students with special needs:

   - Dedicated administrator to manage the program

   - No automatic enrollment—all students have a waiting period to identify what the child's needs are and to plan support

   - Indicate on the application that the student needs extra support

   - Identify accommodations to determine if a program has to delay enrollment to train staff, make modifications, or work with parents to get regional assistance

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- If an LEA subcontracts the administration of the after school program, the Memorandum of Understandings (MOUs) or subcontract agreement should include language that requires that students with disabilities should be provided access to the program and cannot be discriminated against on the basis of their disability

K. Transportation

82. Q—Can ASES funding be used to pay for busing students?

A—Yes. The *EC* considers transportation an allowable expenditure (*EC* Section 8484.6[a]).

L. Nutrition Issues

83. Q—Are grantees required to provide breakfast for students in the before school program?

A—Yes. The *EC* requires that every before school program provide a breakfast meal to all program participants (*EC* Section 8483.1[a][3][c]).

84. Q— Are grantees required to provide snacks for students in the after school program?

A—Yes. The *EC* requires that every after school program provide a daily nutritious snack or a supper to all program participants. The snack, if served, must conform to the nutrition standards defined in *EC* sections 49430–49432. The supper, if served, must conform to the nutrition standards of the United States Department of Agriculture's at-risk after school meal component of the Child and Adult Care Food Program (*EC* Section 8482.3[d][1] and [2]).

85. Q—Are there resources to help after school programs provide healthy snacks?

A—Yes. A variety of resources are listed on the CDE After School Web page at http://www.cde.ca.gov/ls/nu/as/. These resources include information on federal reimbursable snack programs and a calculator to determine if the individual snacks provided meet the nutritional requirements.

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86. **Q—Can an after school program administer medication to students?**

A—The EXLD does not have a standard for administering medication in after school programs. Such practices are a local decision.

VI. Federal Program Monitoring and Audit

A. Federal Program Monitoring

87. **Q—What is Federal Program Monitoring?**

A—State and federal laws require the CDE to monitor the implementation of programs. The FPM Program is one of the processes the CDE uses to ensure that grantees are fulfilling their responsibility for operating programs that meet statutory requirements. Detailed information about the FPM process is posted on the CDE FPM Web page at http://www.cde.ca.gov/ta/cr/.

88. **Q— In case of an audit or FPM, what documentation is the grantee required to present?**

A—The *EC* requires grantees to follow all fiscal reporting and auditing standards established by the department (*EC* Section 8482.3[f][5]).

Promising Practice: Have the following documents ready and made available to the auditor and/or the reviewer during an audit or FPM, including, but not limited to:

- Program Plan
- Late Arrival and Early Release Policy
- Students' Sign in/Sign-out records
- Staff personnel records
- Inventory of purchased individual items that cost over $500
- Expenditure Reports
- MOUs with subcontractors and program sites

Refer to the Before and After School FPM Instrument located on the CDE Compliance Monitoring Web page at http://www.cde.ca.gov/ta/cr/ for more information.

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B. Audit

89. Q—What are the audit requirements for ASES programs?

A—The *EC* requires that all agencies receiving ASES funds undergo an annual financial and compliance audit, and abide by generally accepted accounting principles and recordkeeping requirements. The grantee is required to maintain auditable records, which must be made available, upon request, to representatives of the CDE, other governmental agencies and auditors for monitoring, reviews, and audits. Documentation such as the Program Plan shall be kept for a minimum of five years. In cases where audit findings by a state agency remain unresolved, all records must be maintained until the audit is resolved (*EC* sections: 8482.3[f][5], 41020[b][4], and 8482.3[g][1][F]).

90. Q—What happens if there are audit findings?

A—The grantee has the opportunity to address each finding and recommendation made by the auditor. If the grantee is in agreement with the finding, the response normally identifies what corrective action will be taken to ensure the conditions of the finding are not continued in the future.

The grantee's independent auditor will submit the audit report to the CDE. The CDE's Regional Consultant will provide TA to the grantee and obtain additional documents to verify that corrective action has been implemented. This information will be utilized to resolve the audit finding.

Note: A reduction in attendance due to an audit finding may result in a grant reduction.

VII. Technical Assistance

A. System of Support for Expanded Learning (SSEL) Leads

91. Q—What type of TA is provided by the SSEL Leads?

A—The SSEL Leads provide field-based TA and support in each of the 11 service regions of the California County Superintendents' Educational Services Association. Each region has at least one SSEL

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Lead and may have more than one county providing TA. This includes training and support related to accessing local, regional, and statewide resources, as well as directly supporting grantees at the site level and through regional events. The two main areas of focus of the SSEL Leads are (1) to provide TA to all grantees and sites to support implementation of programs that fully address all ASES and 21st CCLC requirements and (2) to build capacity throughout the region they serve by developing, implementing, and sustaining support for effective before and after school programs. The SSEL Leads respond to questions that are related to program operational procedures and legal requirements, attendance, resources for programs, as well as professional development needs. A list of the SSEL Lead contacts is posted on the CDE Regional Technical Assistance Contacts Web page at http://www.cde.ca.gov/ls/ba/cp/regntwrkcontacts.asp.

B. California Department of Education Consultants and Fiscal Analysts

92. **Q—What type of questions should grantees ask the Regional Consultants working in the EXLD?**

    A—Regional Consultants in the CDE's EXLD provide program, administrative, and fiscal policy support to expanded learning program grantees; guidance to grantees and LEAs on the interpretation and administration of the legal requirements and guidelines of grants; and support in understanding applicable law, policy, infrastructure, state standards, and assessment and accountability systems. The list of the CDE Regional Consultants is posted on the CDE Regional Technical Assistance Contacts Web page at http://www.cde.ca.gov/ls/ba/cp/regntwrkcontacts.asp.

93. **Q—What types of questions should grantees ask the fiscal analysts working in the EXLD at the CDE?**

    A—Fiscal analysts in the CDE's EXLD provide support to grantees with budget transfers, expenditure reports, AO-400 grant awards, attendance reports, grant reductions, and ASSIST use and corrections. The list of the CDE Fiscal Analysts and the region(s) to which they are assigned is posted on the CDE Regional Technical Assistance Contacts Web page at http://www.cde.ca.gov/ls/ba/cp/regntwrkcontacts.asp.

C. Other Technical Assistance

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94. **Q—Are there other TA resources available?**
    A—Yes. The CDE funds a variety of efforts to address specific after school needs. These include:

    The **California After School Resource Center** (CASRC) assesses and provides access to a comprehensive set of reviewed materials, resources, trainings, tools, and supportive services for after school programs. Browse through the resources and register online to borrow free material from the library, with free delivery in California. Additional information and resources are posted on the CASRC's Web site at http://www.californiaafterschool.org.

    The **California After School Network** (CAN) is funded by the CDE and helps after school program providers increase the knowledge, capacity and competency of after school programs; it also assists in the development of tools and resources to support high quality after school programs. Additionally, the CAN provides leadership and links to state policy makers, offering a collective voice to support policies, research, public awareness campaigns, and innovative strategies. Additional information and resources are posted on the CAN's Web site at http://www.afterschoolnetwork.org/.

    The **After School Assistance Providers Connect** (ASAPconnect) links out-of-school-time programs and assistance providers so you can partner more effectively, expand capabilities and improve program quality. After school program staff can use our ASAP Connect Directory to find relevant, up-to-date information about effective training, mentoring, coaching and consulting. Searches can be custom-tailored to your specific program improvement needs. Additional information and resources are posted on the ASAPconnect's Web site at: http://asapconnect.org/.

95. **Q—Is there a resource that can assist us in determining what kind of TA our program might need?**

    A—Yes. *A Crosswalk Between The Quality Standards for Expanded Learning and Program Quality Assessment Tools, found at* http://www.afterschoolnetwork.org/sites/main/files/file-attachments/_crosswalk_0.pdf, (1.50 MB) (*Crosswalk*), is a report that includes a review of seven tools that assess program quality in the field at both the point-of-service level and the programmatic management level. This report centers around a matric indicating the degree to which each tool supports assessment of the Quality Standards. This

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guide illuminates the overlap between currently available assessment tools and the twelve Quality Standards, as well as identified gaps in alignment. It concludes with a list of helpful resources that provide additional information on expanded learning program quality. The SSEL Leads may have other resources and tools available to help the programs in their local communities.

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