



KANSAS BOARD OF REGENTS

April 22, 2014

The Honorable Sam Brownback
Governor, State of Kansas
2nd Floor, Statehouse
Topeka, Kansas 66612

Dear Governor Brownback:

Because the Workforce Investment Act, Title II, Adult Education and Family Literacy Act (AEFLA) has not been reauthorized by Congress, states are required to submit extensions of their plans with annual performance targets in order to receive allocations under AEFLA. The extension contains only information that has changed since the previous year's State Plan Extension.

In the AEFLA State Plan Extension for Fiscal Year 2015, which we sent to you on March 10, we did not provide notice that Kansas Adult Education intends to issue an RFP in the spring of 2015 for funding of programs in Fiscal Year 2016. OCTAE has requested that we insert such notice in this FY15 Plan Extension because the process leading to issuance of the RFP will begin in FY15. We are therefore adding the following italicized language to the AEFLA State Plan Extension for Fiscal Year 2015:

6.1 APPLICATIONS

Section 224(b)(7) of the Act indicates that the Plan should include a "description of how the eligible agency will fund local activities in accordance with the considerations described in 231(e)."

The Kansas Board of Regents will extend the current grants for Fiscal Year 2015 contingent on program performance and continuation funding applications. In the spring of 2015, Kansas Board of Regents Adult Education will hold a competitive application and review process to determine recipients for FY 2016 Adult Education and Family Literacy funding.

Please let us know if you have any questions or concerns.

Sincerely,


Andy Tompkins
President and CEO

★ LEADING HIGHER EDUCATION ★

**ADULT EDUCATION AND
FAMILY LITERACY ACT
STATE PLAN EXTENSION**

**FISCAL YEAR 2015
JULY 1, 2014 – JUNE 30, 2015**

KANSAS BOARD OF REGENTS
1000 SW Jackson Street, Suite 520
Topeka, Kansas
66612-1368

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The Kansas Board of Regents believes and supports the view that every individual has the right to expect that all decisions with reference to employment, i.e. selection, discipline, promotion or termination, and all decisions with reference to student status, i.e. admission, academic achievements and discipline, be made without regard to age, race, color, religion, sex, marital status, national origin, physical handicap or disability, status as a Vietnam Era Veteran, or other factors which cannot be lawfully considered, to the extent specified by applicable federal and state laws.

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PREFACE

The passage of the Workforce Investment Act of 1998 (WIA) [Public Law 105-220] by the 105th Congress has ushered in a new era of collaboration, coordination, cooperation and accountability. The overall goal of the Act is “to increase the employment, retention, and earnings of participants, and increase occupational skill attainment by participants, and, as a result improve the quality of the workforce, reduce welfare dependency, and enhance the productivity and competitiveness of the Nation.” The key principles inculcated in the Act are as follows:

- streamlining services;
- empowering individuals;
- universal access;
- increased accountability;
- new roles for local boards;
- state and local flexibility;
- and improved youth programs.

The purpose of Title II, The Adult Education and Family Literacy Act (AEFLA) of the Workforce Investment Act of 1998, is to create a partnership among the federal government, states, and localities to provide, on a voluntary basis, adult education and literacy services in order to:

- assist adults to become literate and obtain the knowledge and skills necessary for employment and self-sufficiency;
- assist adults who are parents obtain the educational skills necessary to become full partners in the educational development of their children;
- and assist adults in the completion of a secondary school education.

The major purposes of *Kansas’ Adult Education and Family Literacy Program State Plan Extension for Fiscal Year 2015* are to accomplish the following:

- Provide a comprehensive blue print for implementation of Title II of the Act;
- Serve as a basis for both immediate and long-range planning and continuous, systematic evaluation of program effectiveness; and
- Provide a basis for common understanding among Kansas Board of Regents Adult Education, Kansas adult education and family literacy programs, adult education stakeholders, other interested entities and the U.S. Department of Education.

The plan extension is designed to update the *Kansas Four-Year State Plan: Adult Education and Family Literacy* submitted in April 2000. The revisions are in line with the guidelines provided by the United States Department of Education (USDOE), Division of Adult Education and Literacy (DAEL).

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1.0 CERTIFICATIONS, ASSURANCES AND LOBBY DISCLOSURE

UNITED STATES DEPARTMENT OF EDUCATION Office of Vocational and Adult Education

The Adult Education and Family Literacy Act Enacted August 7, 1998 as Title II of the Workforce Investment Act of 1998 (Public Law 105-220)

The Kansas Board of Regents (State Agency) of the State of Kansas hereby submits its revised State plan extension to be effective until June 30, 2015. The eligible agency also assures that this plan, which serves as an agreement between State and Federal Governments under the Adult Education and Family Literacy Act, will be administered in accordance with applicable Federal laws and regulations, including the following certifications and assurances.

CERTIFICATIONS

EDUCATION DEPARTMENT GENERAL ADMINISTRATIVE REGULATIONS (34 CFR Part 76.104)

- (1) The plan is submitted by the State agency that is eligible to submit the plan.
- (2) The State agency has authority under State law to perform the functions of the State under the program.
- (3) The State legally may carry out each provision of the plan.
- (4) All provisions of the plan are consistent with State law.
- (5) A State officer, specified by title in the certification, has authority under State law to receive, hold, and disburse Federal funds made available under the plan.
- (6) The State officer who submits the plan, specified by the title in the certification, has authority to submit the plan.
- (7) The agency that submits the plan, specified by the title in the certification, has authority to submit the plan.
- (8) The plan is the basis for State operation and administration of the program.

ASSURANCES

WORKFORCE INVESTMENT ACT OF 1998 (Public Law 105-220)

Section 224 (b) (5), (6), and (8)

1. The eligible agency will award not less than one grant to an eligible provider who offers flexible schedules and necessary support services (such as child care and transportation) to enable individuals, including individuals with disabilities, or individuals with other special needs, to participate in adult education and literacy activities, which eligible provider shall attempt to coordinate with support services that are not provided under this subtitle prior to using funds for adult education and literacy activities provided under this subtitle for support services.
2. Funds received under this subtitle will not be expended for any purpose other than for activities under this subtitle.
3. The eligible agency will expend the funds under this subtitle in a manner consistent with fiscal requirements in Section 241.

Section 241 Administrative Provisions

- (a) Supplement Not Supplant.—Funds made available for adult education and literacy activities under this subtitle shall supplement and not supplant other State or local public funds expended for adult education and literacy activities.
- (b) Maintenance of Effort.—
 - (1) In General.—
 - (A) Determination.—An eligible agency may receive funds under this subtitle for any fiscal year if the Secretary finds that the fiscal effort per student or the aggregate expenditures of such eligible agency for adult education and literacy activities, in the second preceding fiscal year, was not less than 90 percent of the fiscal effort per student or the aggregate expenditures of such eligible agency for adult education and literacy activities, in the third preceding fiscal year.
 - (B) Proportionate reduction.—Subject to paragraphs (2), (3), and (4), for any fiscal year with respect to which the Secretary determines under subparagraph (A) that the fiscal effort or the aggregate expenditures of an eligible agency for the preceding program year were less than such effort or expenditures for the second preceding program year, the Secretary—
 - (i) shall determine the percentage decreases in such effort or in such expenditures; and
 - (ii) shall decrease the payment made under this subtitle for such program year to the agency for adult education and literacy activities by the lesser of such percentages.

CERTIFICATION REGARDING LOBBYING

Certification for Contracts, Grants, Loans, and Cooperative Agreements

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.


(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that:

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

* APPLICANT'S ORGANIZATION			
KANSAS BOARD OF REGENTS			
* PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE			
Prefix:	Dr.	* First Name:	Andy
		Middle Name:	
* Last Name:	Tompkins		Suffix:
* Title:	President and CEO		
* SIGNATURE:			* DATE:
			3-13-14

ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503

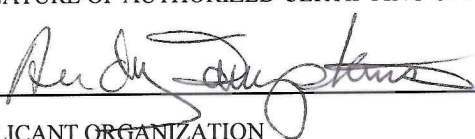
PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

Note: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management, and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§ 290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874) and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327-333), regarding labor standards for federally assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §1721 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, AAudits of States, Local Governments, and Non-Profit Organizations.≡
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL 	TITLE <div style="border: 1px solid black; padding: 2px; text-align: center;">President and CEO</div>
APPLICANT ORGANIZATION Kansas Board of Regents	DATE SUBMITTED

Application for Federal Assistance SF-424

*1. Type of Submission:

- ☐ Preapplication
☒ Application
☐ Changed/Corrected Application

*2. Type of Application:

- ☐ New
☒ Continuation
☐ Revision

* If Revision, select appropriate letter(s):

*Other (Specify):

* 3. Date Received:

Completed by Grants.gov upon submission

4. Applicant Identifier:

5a. Federal Entity Identifier:

48-1124839

*5b. Federal Award Identifier:

V002A130016

State Use Only:

6. Date Received by State:

7. State Application Identifier:

8. APPLICANT INFORMATION:

*a. Legal Name: Kansas Board of Regents

*b. Employer/Taxpayer Identification Number (EIN/TIN):

*c. Organizational DUNS:

787047919

d. Address:

*Street 1:

1000 SW Jackson St

Street 2:

Suite 520

*City:

Topeka

County/Parish:

Shawnee

*State:

Kansas

Province:

*Country:

USA

*Zip / Postal Code:

66612-1368

e. Organizational Unit:

Department Name:

Division Name:

f. Name and contact information of person to be contacted on matters involving this application:

Prefix:

*First Name:

Susan

Middle Name:

*Last Name:

Fish

Suffix:

PHD

Title: Director, Adult Education

Organizational Affiliation:

Kansas Board of Regents

*Telephone Number:

785-296-7159

Fax Number: (785) 296-0983

*Email:

sfish@ksbor.org

Application for Federal Assistance SF-424

9. Type of Applicant 1: Select Applicant Type:

State Government

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

*Other (Specify)

***10 Name of Federal Agency:**

U.S. Department of Education, Office of Vocational and Adult Education

11. Catalog of Federal Domestic Assistance Number:

84.002

CFDA Title:

Adult Education - Basic Grants to States

***12 Funding Opportunity Number:**

Not Applicable

*Title:

Not Applicable

13. Competition Identification Number:

Title:

Director, Adult Education

14. Areas Affected by Project (Cities, Counties, States, etc.):

***15. Descriptive Title of Applicant's Project:**

Attach supporting documents as specified in agency instructions.

Application for Federal Assistance SF-424**16. Congressional Districts Of:**

*a. Applicant: All

*b. Program/Project: All

Attach an additional list of Program/Project Congressional Districts if needed.

17. Proposed Project:

*a. Start Date: July 1, 2014

*b. End Date: September 30, 2015

18. Estimated Funding (\$):

*a. Federal	\$ 3,605,348.00
*b. Applicant	
*c. State	\$ 1,446,877.00
*d. Local	
*e. Other	
*f. Program Income	\$ 273,836.91
*g. TOTAL	\$ 5,326,061.91

19. Is Application Subject to Review By State Under Executive Order 12372 Process?**☐ a. This application was made available to the State under the Executive Order 12372 Process for review on _____☐ b. Program is subject to E.O. 12372 but has not been selected by the State for review.☒ c. Program is not covered by E.O. 12372.20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes," provide explanation in attachment.)**☐ Yes ☒ No

If "Yes", provide explanation and attach.

21. *By signing this application, I certify (1) to the statements contained in the list of certifications and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U. S. Code, Title 218, Section 1001)**

☒ ** I AGREE

** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

Authorized Representative:

Prefix: Dr.

*First Name: Andy

Middle Name:

*Last Name: Tompkins

Suffix:

*Title: President and CEO

*Telephone Number: (785) 296-1267

Fax Number: (785) 296-0983

* Email: atompkins@ksbor.org

*Signature of Authorized Representative: Completed by Grants.gov upon submission

*Date Signed: Completed by Grants.gov upon submission

- (2) Computation. — In computing the fiscal effort and aggregate expenditures under paragraph (1), the Secretary shall exclude capital expenditures and special one-time project costs.
- (3) Decrease in federal support. — If the amount made available for adult education and literacy activities under this subtitle for a fiscal year is less than the amount made available for adult education and literacy activities under this subtitle for the preceding fiscal year, then the fiscal effort per student and the aggregate expenditures of an eligible agency required in order to avoid a reduction under paragraph (1)(B) shall be decreased by the same percentage as the percentage decrease in the amount so made available.
- (4) Waiver. — The Secretary may waive the requirements of this subsection for 1 fiscal year only, if the Secretary determines that a waiver would be equitable due to exceptional or uncontrollable circumstances, such as a natural disaster or an unforeseen and precipitous decline in the financial resources of the State or outlying area of the eligible agency. If the Secretary grants a waiver under the preceding sentence for a fiscal year, the level of effort required under paragraph (1) shall not be reduced in the subsequent fiscal year because of the waiver.

Kansas Board of Regents

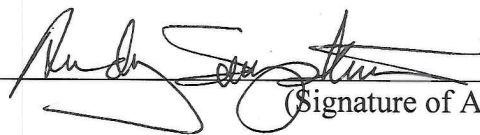
(State Agency)

1000 SW Jackson, Suite 520

Topeka, Kansas 66612

(Address)

By:



(Signature of Agency Head)

President and CEO

(Title)

March 11, 2014

(Date)

CERTIFICATIONS REGARDING LOBBYING; DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS; AND DRUG-FREE WORKPLACE REQUIREMENTS

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 34 CFR Part 82, "New Restrictions on Lobbying," and 34 CFR Part 85, "Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Education determines to award the covered transaction, grant, or cooperative agreement.

1. LOBBYING

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 34 CFR Part 82, for persons entering into a grant or cooperative agreement over \$100,000, as defined at 34 CFR Part 82, Sections 82.105 and 82.110, the applicant certifies that:

(a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;

(b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions;

(c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts) and that all subrecipients shall certify and disclose accordingly.

2. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS

As required by Executive Order 12549, Debarment and Suspension, and implemented at 34 CFR Part 85, for prospective participants in primary covered transactions, as defined at 34 CFR Part 85, Sections 85.105 and 85.110--

A. The applicant certifies that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(b) Have not within a three-year period preceding this application been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (2)(b) of this certification; and

(d) Have not within a three-year period preceding this application had one or more public transaction (Federal, State, or local) terminated for cause or default; and

B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

3. DRUG-FREE WORKPLACE (GRANTEES OTHER THAN INDIVIDUALS)

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610 -

A. The applicant certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for

violation of such prohibition;

(b) Establishing an on-going drug-free awareness program to inform employees about:

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will:

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency, in writing, within 10 calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: Director, Grants Policy and Oversight Staff, U.S. Department of Education, 400 Maryland Avenue, S.W. (Room 3652, GSA Regional Office Building No. 3), Washington, DC 20202-4248. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted:

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate

satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs

(a), (b), (c), (d), (e), and (f).

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

1000 SW Jackson Street

Topeka Shawnee County Kansas 66612

Check ☐ if there are workplaces on file that are not identified here.

DRUG-FREE WORKPLACE (GRANTEES WHO ARE INDIVIDUALS)

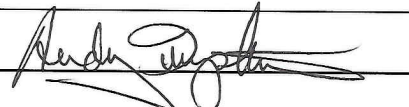
As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610-

A. As a condition of the grant, I certify that I will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant; and

B. If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, I will report the conviction, in writing, within 10 calendar days of the conviction, to: Director, Grants Policy and Oversight Staff, Department of Education, 400 Maryland Avenue, S.W. (Room 3652, GSA Regional Office Building No. 3), Washington, DC 20202-4248. Notice shall include the identification number(s) of each affected grant.

Disclosure of Lobbying Activities

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352
(See reverse for public burden disclosure)

Type of Federal Action: a. contract _____ b. grant c. cooperative agreement d. loan e. loan guarantee f. loan insurance	Status of Federal Action: a. bid/offer/application _____ b. initial award c. post-award	Report Type: a. initial filing _____ b. material change For material change only: Year _____ quarter _____ Date of last report _____
Name and Address of Reporting Entity: _____ Prime _____ Subawardee Tier _____, if Known: NO LOBBYING ACTIVITIES Congressional District, if known:		If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime: Congressional District, if known:
Federal Department/Agency:		Federal Program Name/Description: CFDA Number, if applicable: _____
Federal Action Number, if known:		Award Amount, if known: \$
Name and Address of Lobbying Registrant <i>(if individual, last name, first name, MI):</i> NO LOBBYING ACTIVITIES		b. Individuals Performing Services <i>(including address if different from No. 10a)</i> <i>(last name, first name, MI):</i>
<p>11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.</p>		Signature:  Print Name: <u>Andy Tompkins</u> Title: <u>President and CEO</u> Telephone No.: <u>785-296-1237</u> Date: <u>3/11/14</u>
Federal Use Only		Authorized for Local Reproduction Standard Form - LLL (Rev. 7-97)

NEEDS ASSESSMENT

The purpose of this section is to update the literacy needs of Kansas' eligible target populations as required in Section 224(b)(1) of the Act which states that “an objective assessment of the needs of the individuals in the State or outlying area for adult education and literacy services (shall be conducted), including individuals most in need and hardest to serve.”

2.1 INDIVIDUALS MOST IN NEED

The *U.S. Census Bureau, American Community Survey 2008-2012* was used to provide the data in the following tables (<http://factfinder2.census.gov>):

Table 1
Kansas Population 18 Years and Over
Educational Level Attainment*

Number of Residents 18 Year Old and Over	2,129,429
Number Without a High School Diploma or Equivalent	230,226
Percentage Without a High School Diploma or Equivalent	11%

Table 2
Kansas Population (18 – 64 years),
Who Speak a Language Other Than English at Home, and Number/Percent
Who Report Speaking English “Less Than Very Well”*

Language Spoken at Home	Total	Number “Less Than Very Well”	Percent “Less Than Very Well”
Spanish or Spanish Creole	130,418	70,282	53.9%
Asian and Pacific Island	34,808	18,972	54.5%
Other Indo-European	26,992	5,414	20.1%
Other	10,323	3,049	29.5%
TOTALS	202,541	97,717	

*U.S. Census Bureau, 2008-2012 American Community Survey

The data indicate that conservatively 327,000 Kansans age 18 and older lack a high school diploma or its equivalency and/or lack English-language proficiency. The *2010 U.S. Census* also identified 119,431 persons living in Kansas who were not U.S. citizens. All of these populations are served in Kansas Adult Education and Family Literacy programs.

3.0 DESCRIPTION OF ADULT EDUCATION AND LITERACY ACTIVITIES

3.1.1 Description of Services

The scope of services offered by eligible providers is both varied and extensive. It includes learners at the pre-literacy levels who are both native English speakers and limited English proficient. It extends to the level of English proficiency for those who are limited English proficient and to the secondary education completion level for all students. It includes four levels of Adult Basic Education, two levels of Adult Secondary Education, and six levels of English as a Second Language (ESL) as identified in the National Reporting System. Within these levels, a variety of learning activities are offered.

Program services for adults identified in the 17 programs visited include:

- English as a Second Language
- Citizenship preparation
- Adult Basic Education
- Adult Secondary / GED preparation
- Computer skills / technology
- Family Literacy

English literacy programs offer instruction in speaking and listening, reading, writing, and grammar.

Adult Basic Education (ABE) instruction uses the College and Career Readiness Standards as the basis for a curriculum. Pre- employment skills and computer literacy are two examples of life skills and workforce development skills offered in ABE instruction.

The organization of local activities can vary according to the population served and the resources available. For example, some adult education programs serve large numbers of young adults, or adults with limited English proficiency. These programs organize their activities according to specific needs of the population.

In general, however, most adult education centers adhere either partially or wholly to the organization found in the Comprehensive Adult Education Planner by Daryl Mellard, Ph.D. and David Scanlon, Ph.D. of the University of Kansas. The Proficiency Attainment Model (PAM) described in the Comprehensive Adult Education Planner was developed as a result of federally funded research, and describes seven essential components of adult education in adult education programs:

- The pre-enrollment component;
- The orientation component;
- The assessment component;
- The individual prescription component;
- The instructional and monitoring component;

The GED test-taking component;
The transition to community component

English Literacy and Civics Education services are offered to limited English proficient adults considered “most in need / hardest to serve.” Adults are offered a contextually relevant curriculum that addresses the skills necessary to function in the multiple adult roles of family member, community member, and employee. Participants in this program will gain the following skills: improved English language skills, skills necessary to pass the U.S. Citizenship examination, technology skills, and competencies in governmental, educational and workplace systems.

4.0 ANNUAL EVALUATION OF ADULT EDUCATION AND LITERACY ACTIVITIES

4.1 ANNUAL EVALUATIONS

The Kansas *Indicators of a Quality Adult Education Program* (Appendix B) are used to evaluate basic grant applications, to monitor programs, and to determine the quality component of the funding formula. The Indicators are revised periodically to ensure that the indicators, measures, and standards support continuous improvement. The attached Indicators will be used as the desk monitoring tool and the on-site monitoring instrument during FY 2014 and will also be used to determine the quality component of the FY 2015 funding formula.

5.0 PERFORMANCE MEASURES

One of the major intents of the Adult Education and Family Literacy Act (AEFLA) was to establish performance measures to demonstrate increased accountability in line with the major goals and objectives of the Workforce Investment Act of 1998. Sections 212(b)(2)(A) and 212(b)(2)(B) of AEFLA specify that each eligible agency (e.g. the Kansas Board of Regents) is subject to certain core indicators of performance and has the authority to specify additional indicators. The federally mandated core indicators are as follows:

- Demonstrated improvement in literacy skill levels in reading, writing, and speaking the English language, numeracy, problem solving, English language acquisition, and other literacy skills;
- Placement in, retention in, or completion of postsecondary education, training, unsubsidized employment or career advancement;
- Receipt of an (adult) secondary school diploma or its recognized equivalent (GED--Kansas State High School Diploma).

5.1 ELIGIBLE AGENCY PERFORMANCE MEASURES AND STATE MANDATED ADDITIONAL PERFORMANCE INDICATORS

This section outlines Kansas Adult Education and Family Literacy Program benchmark projections for Fiscal Year 2015. Table 5 displays two types of benchmark projections: (1) state benchmarks and (2) federally mandated benchmarks included in the National Reporting System (NRS) for adult education. There are five (5) state mandated benchmarks and fifteen (15) federally mandated benchmarks for a total of twenty (20) benchmarks for the Kansas Adult Education and Family Literacy Program. The state mandated benchmarks focus on: (1) the number of adult learners who achieve the skills necessary to pass the U.S. Citizenship Test; (2) the number of adult learners who increase their involvement in their school-age children's educational activities; (3) the number of adult learners who increase their involvement in their preschool-age children's literacy activities; (4) the number of adult learners who achieve a Kansas *WorkReady!* certificate; and (5) the number of adult learners who demonstrate college readiness. The federally mandated benchmarks are in compliance with the National Reporting System.

The Kansas Adult Education benchmark projections were formulated based on analysis of FY 2008, FY 2009, FY 2010, FY 2011, FY 2012, and FY 2013 core outcomes attainment levels. The federally mandated benchmarks will be reviewed and approved by the U.S. Department of Education (ED), Division of Adult Education and Literacy (DAEL) after negotiation.

**Kansas Adult Education and Family Literacy Program
Performance Projections**

STATE-IDENTIFIED OUTCOMES	FY 2008 Number Attained	FY 2009 Number Attained	FY 2010 Number Attained	FY 2011 Number Attained	FY 2012 Number Attained	FY 2013 Number Attained	FY 2015 Number Projected
Achieved Citizenship Skills	473	418	475	771	458	443	451
Increased Involvement in Children's Educational Activities	92	120	98	129	94	99	102
Increased Involvement in Children's Literacy Activities	160	193	138	185	137	131	134
Achieve Kansas WorkReady! Certificate	N/A	N/A	677	905	949	737	752
Demonstrated "College Readiness"	N/A	N/A	1242	1329	1196	1460	1489
FEDERAL OUTCOMES Educational Gains (Completion of Educational Functioning Level)	FY 2008 Percent Attained	FY 2009 Percent Attained	FY 2010 Percent Attained	FY 2011 Percent Attained	FY 2012 Percent Attained	FY 2013 Percent Attained	FY 2015 Percent Projected
ADULT BASIC EDUCATION (ABE)							
Beginning Literacy ABE	71%	66%	56%	73%	75%	64%	65%
Beginning ABE	66%	63%	60%	70%	63%	60%	61%
Low Intermediate ABE	64%	63%	58%	70%	64%	60%	61%
High Intermediate ABE	58%	60%	50%	60%	54%	46%	47%
ADULT SECONDARY EDUCATION (ASE)							
Low ASE	58%	57%	49%	56%	53%	41%	42%
ENGLISH AS A SECOND LANGUAGE (ESL)							
Beginning Literacy ESL	65%	64%	59%	66%	72%	66%	67%
Low Beginning ESL	76%	69%	67%	69%	74%	73%	75%
High Beginning ESL	72%	69%	64%	68%	71%	72%	74%
Low Intermediate ESL	69%	65%	61%	62%	67%	67%	69%
High Intermediate ESL	70%	62%	59%	63%	63%	66%	67%
Advanced ESL	56%	49%	35%	39%	44%	36%	37%
FOLLOW-UP OUTCOMES							
Entered Employment	77%	47%	45%	45%	76%	54%	55%
Retained/Improved Employment	75%	58%	79%	59%	93%	68%	70%
Earned GED or HS Completion	80%	83%	77%	85%	83%	97%	61%
Entered Postsecondary Education or Training	77%	77%	73%	90%	87%	49%	50%

6.0 PROCEDURES FOR FUNDING ELIGIBLE PROVIDERS

Section 203(5) of the Act states “the following public or private non-profit entities are eligible to apply to the eligible agency for an award: local educational agencies, community-based organizations (CBOs) of demonstrated effectiveness, volunteer literacy organizations of demonstrated effectiveness, an institution of higher education, a public or private non-profit agency, libraries, public housing authorities (PHAs), non-profit institutions, not described above, with the ability to provide literacy services to adults and families, and a consortium of the agencies, organizations, and institutions, libraries, or authorities described above.”

In the spring of 2010 a competitive grant process was conducted, and 25 entities were funded. In spring of 2011, one of the community colleges opted to join the Southeast Kansas Adult Education Consortium, reducing the number of funded entities to 24. Funding for these 24 entities will continue through June 30, 2015. In addition to the sponsoring entities, the majority of Kansas Adult Education and Family Literacy programs have numerous local partnerships and collaborations that have resulted in adult learners being served more effectively.

These 24 successful applicants have the support of the following sponsoring institutions: 18 community colleges (four community colleges and one school district form the Eastern Kansas Adult Education Consortium), two technical colleges, and eight unified school districts (two unified school districts form the Paola/Osawatomie Adult Education consortium), and two community-based organizations.

6.1 APPLICATIONS

Section 224(b)(7) of the Act indicates that the Plan should include a “description of how the eligible agency will fund local activities in accordance with the considerations described in 231(e).”

The Kansas Board of Regents will extend the current grants for Fiscal Year 2015 contingent on program performance and continuation funding applications. In the spring of 2015, Kansas Board of Regents Adult Education will hold a competitive application and review process to determine recipients for FY 2016 Adult Education and Family Literacy funding.

7.0 PUBLIC PARTICIPATION AND COMMENT

7.1 GOVERNOR’S COMMENTS

This FY 2015 extension of the Kansas Four-Year State Plan: Adult Education and Family Literacy was submitted to the Governor for review and comment to comply with the mandate in section 224(d)(1)(2) of the Act which states “the eligible agency shall submit the State plan, and any revisions to the State plan, to the Governor of the state or outlying area for review and comment and ensure that any comments by the Governor regarding the State plan, and any revisions to the State plan, are submitted to the Secretary.” (See Appendix A for President

Tompkins’s letter requesting the Governor review this document and Governor Brownback’s letter of response.)

8.0 PROGRAM STRATEGIES FOR SPECIAL POPULATIONS

8.4 INDIVIDUALS WITH MULTIPLE BARRIERS TO EDUCATIONAL ATTAINMENT, INCLUDING INDIVIDUALS WITH LIMITED ENGLISH PROFICIENCY.

Individuals with limited English proficiency (LEP) represent one of the fastest growing populations in Kansas adult education, as shown by U.S. Census and Kansas State Department of Education statistics in Section 2. English literacy (ESL) instruction is offered in 13 of our adult education programs 6 programs help learners gain U.S. citizenship skills.

English literacy instruction is offered in real-life settings connecting closely to local employers, community service agencies, health issues, and family literacy needs. Local employers, such as hospitals, manufacturers, and meat- packing plants, will fund English literacy classes for their employees in some cases, but in many cases, the employer refers the new workers to the local adult education center.

Adults with LEP will be served as programs respond to new *Indicators of A Quality Adult Education Program*. Programs receiving English Literacy and Civics Education funds will serve additional adults with LEP who are in need of skills for citizenship, use of technology, employment, and English language.

12.0 STATE LEADERSHIP ACTIVITIES

12.1 DESCRIPTION OF ACTIVITIES

Leadership activities will include statewide and regional trainings on PABLO, the statewide, web-based data collection and reporting system; STudent Achievement in Reading (STAR); Teknimedia, a web-based technology literacy curriculum; and College and Career Readiness Standards.

Training will be conducted to address changing assessments from CASAS to the Tests of Adult Basic Education (TABE) and the TABE Complete Language Assessment System-English (CLAS-E) in FY 15.

Fiscal training, focusing on compliance and related documentation, will be delivered via Webinar and face-to-face, to local program directors and their business office staff.

Kansas has adopted a professional development plan for new directors based on a “just in time” model, delivering a general orientation, when a director is hired, then specific training as reports for each quarter become due. New directors receive online and face-to-face training on the NRS

by the first quarter of their tenure. We will also provide a webinar to help new directors prepare annual grant continuation applications.

Program leader's meetings held three times each year will include training in data analysis, accountability, and assessment.

At least 5% of leadership funds will go directly to local programs for program and staff development.

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APPENDIX A

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**President Tompkin's Letter of Request and
Governor Brownback's Letter of
Review and Comments**



KANSAS BOARD OF REGENTS

March 10, 2014

The Honorable Sam Brownback
Governor, State of Kansas
2nd Floor, Statehouse
Topeka, Kansas 66612

Dear Governor Brownback:

I am providing a copy of the *Kansas Adult Education and Family Literacy State Act (AEFLA) Plan Extension: Fiscal Year 2015* for your review. Because the Workforce Investment Act, Title II, Adult and Family Literacy Act (AEFLA) has not been reauthorized, states are required to submit extensions of their plans with annual performance targets in order to receive allocations under AEFLA.

The U.S. Department of Education, Office of Career, Technical, and Adult Education (OCTAE), also requires that the state plan extension be reviewed by the Governor and any comments made by him be submitted as an addendum to the state plan. I would appreciate a letter from you that confirms you have reviewed the Kansas State Plan Extension.

I am proud to submit this plan for your review and comment because it supports one of the strongest adult basic education programs in the United States. In FY 2013, Kansas ranked in the top ten in three indicators used by the Department of Education to measure program effectiveness: educational gain, attainment of a GED, and entering postsecondary education. Moreover, Kansas Adult Education programs advance the goals of the *Road Map for Kansas* by:

- Helping adults without high school credentials transition to and succeed in post secondary education, thus contributing to gains in net personal income. Based on U.S. Census estimates, on average, an individual with a high school diploma can expect to earn about \$10,386 more than a non-graduate.
- Improving the reading proficiency of adult learners who are parents, thus increasing the percentage of 4th graders reading at grade level and of high school graduates who are college ready. A mother's reading skill is the greatest determinant of her children's success in school, outweighing other factors, like neighborhood and family income.
- Preparing adults to earn GED® credentials and Kansas High School diplomas, thus building skills for college and the workplace. The Kansas Board of Regents has named increasing postsecondary educational achievement as one of its strategic goals for 2020.

Once you have reviewed this document and provided your response, we will submit it to OCTAE at the U.S. Department of Education as required. A fact sheet that provides a brief overview of the adult learners served and the impact of adult education in Kansas during FY 2013 is also enclosed.

Thank you for your support.

Sincerely,


Andy Tompkins
President and CEO
Enclosure

★ LEADING HIGHER EDUCATION ★

Kansas Board of Regents Adult Education

FY 2013 Annual Report on Programs Funded under the Workforce Investment Act of 1998, Title II, Adult Education and Family Literacy Act

Adult Learner Enrollment

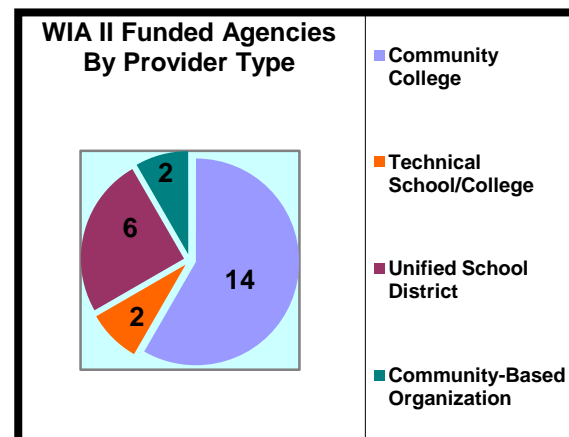
English as a Second Language	3,210
Adult Basic Education	5,113
Adult Secondary Education	1,237
Total in Program (Participants with 12 or more hours)	9,560

Learner Characteristics

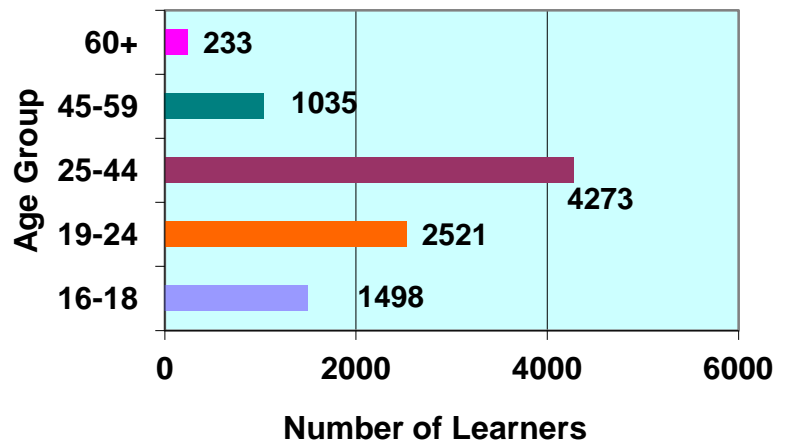
American Indian or Alaskan Native	137
Asian	874
Black or African American	1,107
Hispanic or Latino	3,470
Native Hawaiian or Pacific Islander	18
White	3,597
Two or More Races	357

Gender

Female	5,319
Male	4,241



Age of Learners



Learner Status at Enrollment

Employed	4,435
Unemployed	2,648
Not in the Labor Force	2,477
Adults in Correctional System (Community corrections, county jails, and other correctional facilities)	409
On Public Assistance	1,643
Adults with Disabilities	545

Cost Per Participant

Federal and State Funding	\$ 464.30
State Funding Only	\$ 152.41

Cost Per Learner Outcome

Federal and State Funding	\$ 269.00
State Funding Only	\$ 88.30

Kansas Adult Education Performance Results FY 2013

The following data shows the percentage of adults enrolled at each educational functioning level (equivalent to approximately two grade levels) who acquired the basic skills needed to complete that level:

Adult Basic Education Beginning Literacy	64%
Adult Basic Education Beginning Basic	60%
Adult Basic Education Intermediate Low	60%
Adult Basic Education Intermediate High	46%
Adult Secondary Education Low	41%
Adult Secondary Education High	90%
English as a Second Language Beginning Literacy	66%
English as a Second Language Low Beginning	73%
English as a Second Language High Beginning	72%
English as a Second Language Low Intermediate	67%
English as a Second Language High Intermediate	66%
English as a Second Language Low Advanced	36%

*Measured by nationally standardized assessment

Learner Outcome Attainment

The per cent of adult education participants who took the GED® test and passed the GED® test and obtained a Kansas State High School Diploma:

Obtained GED®/Kansas State High School Diploma	97%
---	------------

The per cent of adult education participants, available for work or employed on entry, who achieved an outcome of entering employment and/or retaining/improving employment as verified by data matching with the Kansas Department of Labor:

Entered Employment	54%
Retained/Improved Employment	68%

The per cent of adult education participants, entering with or earning a secondary credential, or enrolled in a transition course, who entered postsecondary education or training as verified by data matching with postsecondary institutions and follow-up surveys:

Entered Postsecondary Education or Training	49%
--	------------

The number of adult education participants who achieved their goal of gaining the skills and knowledge necessary for passing the U. S. Citizenship Examination as measured by a standardized citizenship assessment or by actual achievement of U. S. citizenship:

Gained U. S. Citizenship Skills	439
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March 24, 2014

Dr. Andy Tompkins
President and CEO
Kansas Board of Regents
1000 SW Jackson, Suite 520
Topeka, KS 66612-1368

Dear President Tompkins:

I have reviewed the Kansas Adult Education and Family Literacy State Plan Extension. Thank you for the opportunity to examine the Kansas Board of Regents' plan for serving undereducated adult learners in Fiscal Year 2015.

Lack of English language proficiency and inadequate reading and math skills continue to be major barriers to family-supporting employment for many Kansans. Limited basic skills also negatively affect parents' engagement in the literacy and educational activities of their children. This plan outlines how Kansas adult education programs will continue to provide high quality services that help adult learners improve their basic skills and obtain and retain employment.

I am pleased to support adult education programming and the Kansas Adult Education and Family Literacy Program State Plan Extension. Please extend my thanks to adult education professionals at both the state and local levels. On behalf of all Kansans, I applaud them for their efforts.

Sincerely,



Sam Brownback
Governor

APPENDIX B

Kansas Indicators of a Quality Adult Education Program Including Standards and Measures

FY 2014 Indicators of a Quality Adult Education Program Including Standards and Measures

Effective July 1, 2013
(140 total points possible)

Note: Section references in [] refer to relevant sections of the Adult Education and Family Literacy Act (AEFLA), Title II of the Workforce Investment Act. Indicators with a ** are state-imposed requirements.

1. Participants in the program are fully representative of the undereducated population in the service area, including limited English proficient adults [AEFLA, Section 231 (e) (12)]. The program serves the “most-in-need/hardest-to-serve” members of the community [AEFLA, Section 231 (e) (2) and (e) (3)].
 - 1.1. The program serves participants at the lowest levels of educational attainment.
 - 1.2. The program demonstrates a commitment to serve a larger percentage of undereducated adults in the community.
2. The program is of sufficient intensity and duration so that participants *demonstrate progress* toward their educational, employment, and postsecondary education and training goals [AEFLA, Section 231, (e) (4) (A) and (e) (7)].
 - 2.1. Participants make significant educational gains.
 - 2.2. The program provides workplace readiness instruction as confirmed through the standardized WorkKeys assessments that leads to a Kansas WorkReady! Certificate. Certificates are reported in PABLO.
 - 2.3. The program provides instruction, confirmed through standardized assessments, that prepares participants to enter postsecondary education or training.
3. The program identifies yearly performance goals and documents participant outcomes, and participants remain in the program a *sufficient length of time* to achieve significant outcomes [AEFLA, Section 231(e) (1), (e) (4) (A), and (e) (7)].
 - 3.1. Participants spend a significant amount of time in instructional activities.
 - 3.2. Prior to each fiscal year, the program negotiates with KBOR and establishes the percentages of *core* outcomes that participants will achieve.
4. The program design and implementation process for all program sites is based on research and effective educational practice [AEFLA, Section 231 (e) (4) (B) and (e) (5)]. Programs offer flexible, yet intensive, schedules and appropriate support services [AEFLA, Section 231 (e) (10)].

- 4.1. The program design and implementation process at the program's main site and all outreach sites incorporates the components of the Comprehensive Adult Education Planner.
 - 4.2. Program design, including scheduling, instructional activities and support services, contributes to learners' persistence in the program.
5. Program activities effectively employ advances in technology, including the use of computers [AEFLA, Section 231, (e) (6)].
 - 5.1. The program has a technology plan and incorporates use of current technology into participant instruction.
 - 5.2. The program provides technology-specific instruction which results in participants earning a Computer Basics 1 and/or Computer Basics 2 certificate.
6. The program demonstrates a commitment to quality services to adult learners and to the professionalism of the field of adult education by having paid staff with appropriate educational backgrounds, with credentials in adult education, and with adequate training [AEFLA, Section 231, (e)(8)].
 - 6.1. Paid instructional and administrative leadership staff members have appropriate educational backgrounds.
 - 6.2. The program meets its program improvement plan objective(s).
7. The program maintains a high-quality information management system to monitor learner, classroom, and program performance, to evaluate program effectiveness, and to report participant outcomes. The program uses quality data as a key component in the decision-making process. [AEFLA, Section 231 (e) (11)].
 - 7.1. The program enters data regularly and in a timely manner, and monitors data for accuracy. The program monitors progress toward its program improvement objective(s) and negotiated outcomes by having accurate and up-to-date information on participants' demographics, assessments, goals, outcomes, and hours of participation, including appropriate surveying of exited learners with the PSE goal.
 - 7.2. The program demonstrates administrative capability by submitting accurate and timely budgets, quarterly budget reports, and additional required quarterly and end-of-year reports.
8. The program provides quality and cost-effective adult education services**.

- 8.1. The program provides quality adult education services at a cost per core outcome that is aligned with the state median cost per outcome.
- 8.2. The percentage of the state's total core outcomes achieved by the individual local program participants is equal to or exceeds the percentage of the total state and federal funds received by the local program.

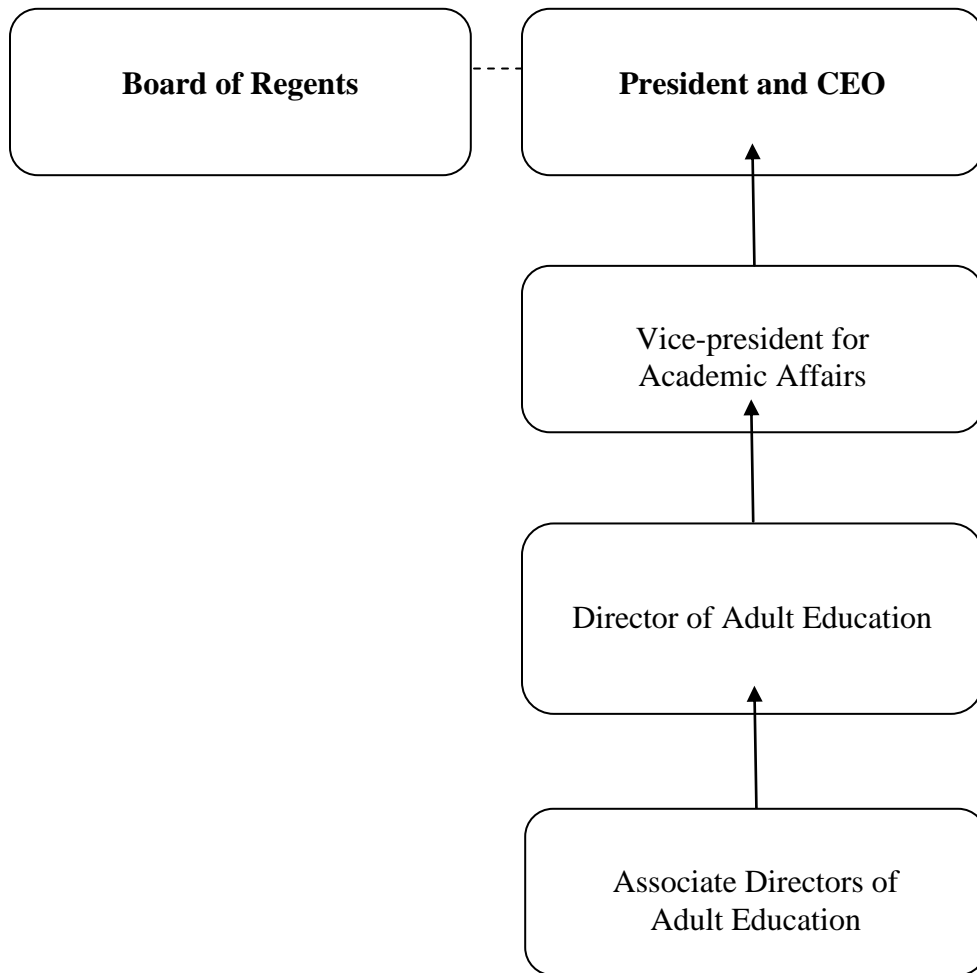
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APPENDIX C

Kansas Board of Regents Table of Organization

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Kansas Board of Regents Table of Organization



This chart is designed to reflect the line of authority from the authorized State official signing the State Plan Extension to the State Director of Adult Education. The line of authority goes from the State Director of Adult Education to the Vice-president of Academic Affairs, to the President and Chief Executive Officer of the Kansas Board of Regents. The President and CEO is the authorized State official who has the authority to sign the Kansas Adult Education and Family Literacy State Plan Extension.

CERTIFICATION REGARDING LOBBYING

Certification for Contracts, Grants, Loans, and Cooperative Agreements

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.


(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that:

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

* APPLICANT'S ORGANIZATION			
KANSAS BOARD OF REGENTS			
* PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE			
Prefix:	Dr.	* First Name:	Andy
		Middle Name:	
* Last Name:	Tompkins		Suffix:
* Title:	President and CEO		
* SIGNATURE:			* DATE:
			3-13-14

ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503

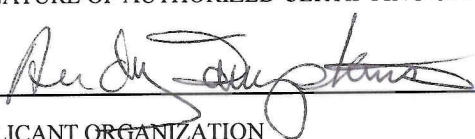
PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

Note: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management, and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§ 290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874) and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327-333), regarding labor standards for federally assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §1721 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, AAudits of States, Local Governments, and Non-Profit Organizations.≡
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL 	TITLE <div style="border: 1px solid black; padding: 2px; text-align: center;">President and CEO</div>
APPLICANT ORGANIZATION Kansas Board of Regents	DATE SUBMITTED

Application for Federal Assistance SF-424

***1. Type of Submission:**

- ☐ Preapplication
☒ Application
☐ Changed/Corrected Application

***2. Type of Application:**

- ☐ New
☒ Continuation
☐ Revision

* If Revision, select appropriate letter(s):

*Other (Specify):

*** 3. Date Received:**

Completed by Grants.gov upon submission

4. Applicant Identifier:

5a. Federal Entity Identifier:

48-1124839

*5b. Federal Award Identifier:

V002A130016

State Use Only:

6. Date Received by State:

7. State Application Identifier:

8. APPLICANT INFORMATION:

*a. Legal Name: Kansas Board of Regents

*b. Employer/Taxpayer Identification Number (EIN/TIN):

*c. Organizational DUNS:

787047919

d. Address:

*Street 1:

1000 SW Jackson St

Street 2:

Suite 520

*City:

Topeka

County/Parish:

Shawnee

*State:

Kansas

Province:

*Country:

USA

*Zip / Postal Code:

66612-1368

e. Organizational Unit:

Department Name:

Division Name:

f. Name and contact information of person to be contacted on matters involving this application:

Prefix:

*First Name:

Susan

Middle Name:

*Last Name:

Fish

Suffix:

PHD

Title: Director, Adult Education

Organizational Affiliation:

Kansas Board of Regents

*Telephone Number:

785-296-7159

Fax Number: (785) 296-0983

*Email:

sfish@ksbor.org

Application for Federal Assistance SF-424

9. Type of Applicant 1: Select Applicant Type:

State Government

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

*Other (Specify)

***10 Name of Federal Agency:**

U.S. Department of Education, Office of Vocational and Adult Education

11. Catalog of Federal Domestic Assistance Number:

84.002

CFDA Title:

Adult Education - Basic Grants to States

***12 Funding Opportunity Number:**

Not Applicable

*Title:

Not Applicable

13. Competition Identification Number:

Title:

Director, Adult Education

14. Areas Affected by Project (Cities, Counties, States, etc.):

***15. Descriptive Title of Applicant's Project:**

Attach supporting documents as specified in agency instructions.

Application for Federal Assistance SF-424**16. Congressional Districts Of:**

*a. Applicant: All

*b. Program/Project: All

Attach an additional list of Program/Project Congressional Districts if needed.

17. Proposed Project:

*a. Start Date: July 1, 2014

*b. End Date: September 30, 2015

18. Estimated Funding (\$):

*a. Federal	\$ 3,605,348.00
*b. Applicant	
*c. State	\$ 1,446,877.00
*d. Local	
*e. Other	
*f. Program Income	\$ 273,836.91
*g. TOTAL	\$ 5,326,061.91

19. Is Application Subject to Review By State Under Executive Order 12372 Process?**☐ a. This application was made available to the State under the Executive Order 12372 Process for review on _____☐ b. Program is subject to E.O. 12372 but has not been selected by the State for review.☒ c. Program is not covered by E.O. 12372.20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes," provide explanation in attachment.)**☐ Yes ☒ No

If "Yes", provide explanation and attach.

21. *By signing this application, I certify (1) to the statements contained in the list of certifications and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U. S. Code, Title 218, Section 1001)**

☒ ** I AGREE

** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

Authorized Representative:

Prefix: Dr.

*First Name: Andy

Middle Name:

*Last Name: Tompkins

Suffix:

*Title: President and CEO

*Telephone Number: (785) 296-1267

Fax Number: (785) 296-0983

* Email: atompkins@ksbor.org

*Signature of Authorized Representative: Completed by Grants.gov upon submission

*Date Signed: Completed by Grants.gov upon submission