Application Instructions and Forms for

Adult Education Program Grants FY 2003-2004

To Be Funded Under The

Workforce Investment Act: Title II

Adult Education and Family Literacy Act

Kansas Board of Regents
1000 SW Jackson St., Suite 520
Topeka, KS 66612-1368

Deadline:
May 17, 2002

Adult Education and Family Literacy Act

Kansas Four-Year State Plan

Executive Summary

The Adult Education and Family Literacy Act is Title II of the Workforce Investment Act of 1998. The Workforce Investment Act combines federal legislation for employment, adult education, and vocational rehabilitation programs to create an integrated, "one-stop" system of workforce development for adults and youth. Entities funded under the Adult Education and Family Literacy Act (AEFLA) are mandatory partners in this one-stop delivery system. The act replaces the Adult Education Act (AEA), the National Literacy Act of 1991, and other previous adult education and literacy legislation.

Kansas adult education is guided by a four-year state plan developed and approved by the Kansas Board of Regents and the U. S. Department of Education. The Kansas Four-Year State Plan was developed cooperatively with adult education center directors and coordinators who provide services to citizens in Kansas. Input was solicited and incorporated from other adult education partners and stakeholders. The questions and answers below provide an overview of the goals, key components, and funding as outlined in the full Kansas Four-Year State Plan.

What are the goals of the Adult Education and Family Literacy Act?

The act requires specified performance measures and levels of performance to assess the progress of the state agency in enhancing and developing more fully the literacy skills of its adult population. The state agency is required to use AEFLA grant funds to award multi-year grants to eligible providers to develop, implement, and improve adult education and literacy activities. These activities include basic skills for the workforce and family life, English as a Second Language and citizenship skills, and adult secondary education leading to an adult high school diploma.

The central focus of AEFLA is on serving those adults designated most in need, including adults with the lowest skill levels, with disabilities, or with other significant barriers to employment and self-sufficiency. Eligible providers are expected to provide intensive, quality instructional and support services to adults and to meet state levels of performance.

Who does the Adult Education and Family Literacy Act serve?

AEFLA programs in Kansas serve adults and out-of-school youth age 16 and over. Individuals qualifying for services meet one of the following conditions:

- do not have a secondary credential;
- do not have basic reading, writing, or math skills; or
- do not have proficiency in the English language necessary to function in the multiple adult roles of citizen, employee, and family member.

What are the expected outcomes of AEFLA activities?

AEFLA programs in Kansas report their levels of performance in eight measures. These eight measures demonstrate the following adult learners' accomplishments:

1. learning gains measuring completion of educational skills, workplace readiness, and/or technology competencies for each of 12 instructional levels;
2. entry of adults into employment;
3. retention or improvement of employment;
4. completion of adult high school diploma or GED;
5. placement in post-secondary education or training;

6. achievement of skills necessary to pass a U.S. citizenship examination;
7. increased involvement of parents in school-age children's education through participation in family literacy; and
8. increased involvement of parents in pre-school-age children's literacy activities through participation in family literacy.

How are programs that receive AEFLA funds held accountable for quality services?
Programs receive funding on a competitive basis through two-year subgrants on the basis of their performance on the eight outcomes and on measures of quality indicators set by the state. Programs must meet competitive grant review criteria based on nine quality indicators. These same indicators are used for state monitoring and for program self-evaluation. The following quality indicators were established in response to AEFLA requirements and consists of 20 rigorous, measurable standards:

1. Participants in the program are fully representative of the undereducated population in the service area… The program serves the "most-in-need/hardest-to-serve" members of the community.
2. The program is of sufficient intensity and duration to ensure that participants demonstrate progress toward their educational/workplace readiness/technology goals.
3. The program documents participant outcomes, and participants remain in the program a sufficient length of time to achieve outcomes.
4. The program design and implementation process for all program sites is based on research and effective educational practice. Programs offer appropriate schedules and support services.
5. Program activities effectively employ advances in technology, including the use of computers.
6. The program receives local financial support and is viewed as a valuable component of the sponsoring institution or non-profit institution.
7. The program demonstrates a commitment to quality service 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.
8. The program actively collaborates with multiple partners in the community to expand the services available to adult learners… The program actively seeks and responds to input from local stakeholders in planning for local services.
9. The program maintains a high-quality information management system to report participant outcomes and monitor program performance.

How are Adult Education and Family Literacy Act programs funded?
AEFLA specifies percentages for distribution of grant funds to eligible providers (including programs for corrections education and other institutionalized individuals), state leadership activities, and administrative expenses of the state agency. Of available federal funds, 90.5% are allocated to subgrants to local programs (flow-through). Programs meeting grant review criteria receive funding through a formula that incorporates factors of size and quality of services, as well as a base level of funding. In addition, 8% of federal funds in Kansas are designated for local professional development activities. The remaining 9.5% of federal funds include 5% for state administration and 4.5% for state leadership activities.

In addition to federal funds, states are required to provide matching funds equivalent to a minimum of 25 percent of the total amount expended for adult education in the state. In Kansas these matching funds amount to $1.1 million annually, of which 100% are allocated in the subgrants to local programs. Local programs are expected to contribute a minimum 10% local match to further leverage federal and state funds.

For more information about adult education programs or the state plan, contact Kansas Board of Regents Adult Education, Dianne Glass, at 785.296.7159 or dglass@ksbor.org, or Diane Whitley, at 785.368.7359 or dwhitley@ksbor.org.

INSTRUCTIONS FOR ADULT EDUCATION GRANT APPLICATION

Grant applications (original plus three copies) must be postmarked or hand delivered **no later than May 17, 2002**, to the following address: Kansas Board of Regents Adult Education, 1000 SW Jackson Street, Suite 520, Topeka, KS 66612-1368. Hand-delivered applications must be submitted **no later than 4:30 PM on May 17**. **Applications postmarked or hand delivered after the stated deadlines will not be reviewed or funded.** Note: applicant providers will receive grant award notification by June 3, 2002.

Applicant providers will receive points from grant reviewers based on the following scale **(110 points total)**:

- Grant application is clear and concise and responds to all elements of the application as required **(5 points)**

- Grant application includes a Program Abstract that concisely, yet effectively, provides reviewers with information on the following elements of the program:
  1) the mission of the program **(5 points)**;
  2) the strengths of the program **(5 points)**;
  3) the need for the program, including the program's history and evidence of non-duplication of services **(5 points)**.

- Grant application responds to Indicators of A Quality Adult Education Program **(80 points)**

- Program has a history of providing cost-effective services (**10 points**)

Grant reviewers will award points ranging from 0 to 110 points as indicated above. Applicant providers must score a minimum of 80 points in order to receive funding for FY 2003.
In order to receive funding for the second year of the two-year funding cycle (FY 2004), a program must demonstrate improvement in services resulting in improved learner outcomes.

Applicants not receiving funding have a right to an appeals process as outlined in Kansas 4-Year State Plan for Adult Education. A copy of this document is available from Kansas Board of Regents on request (see ***Executive Summary*** at the beginning of this application).

Successful applications will receive funding based on a funding formula as specified in Kansas 4-Year State Plan for Adult Education, Appendix D (Revised). For reference, the funding formula is included in the appendix of this document. Funding amounts are determined by a combination of program quality and learner outcomes factors. Awards are expected to range from approximately $25,000 to $300,000, with an average award amount of $70,000. Award information is provided to potential applicant providers for assistance in determining proposed budgets; however, Kansas Board of Regents Adult Education is not bound by estimates of funding.

Applications must include complete responses to the 15 sections below in the order presented. Responses should be written with sufficient detail to allow reviewers to fully understand the scope of proposed activities, yet be succinct and brief. Except for pre-formatted KBOR forms, all page-length maximums include single-sided pages with at least 12-point fonts, no less than 1-inch margins on all sides, and single spacing. Applicants should send **an original copy plus three photocopies** of the complete application by the stated deadline. Application copies should be bound by a single staple or clip, with no covers or binders. Do **not** include supplemental materials unless specifically requested in the instructions.

Sections:

1. Adult Education Grant Application Assurances Forms
2. Funds Requested and Required Match Form
3. Adult Education Budget Form for FY 2003
4. Program Abstract (no more than 2 pages)
    - Includes a mission statement for the program
    - Summarizes the strengths of the program
    - Describes the need for the program and the applicant's history of addressing this need
5. Responses to ***Indicators of A Quality Adult Education Program***, including the following forms:
    Form 1: Demographic Profile Form
    Form 2: Program Locations, Schedules, and Services Information
    Form 3: Adult Education Technology Plan
    Form 4: Program Personnel Positions
    Form 5: Staff Summary
    Form 6: Adult Education Program Improvement Plan, Part I
    Form 7: Adult Education Program Improvement Plan, Part II
    Form 8: Individual Professional Development Plan, Part A
    Form 9: Individual Professional Development Plan, Part B
    Form 10: Coordination Information
    Form 11: Adult Education Advisory Committee
6. Demonstration of Cost-Effectiveness
7. Appendix: Funding Formula

1. United States Department of Education and Kansas Board of Regents
Adult Education Grant Application Assurances
FY 2003 and FY 2004

_______________________________________, an eligible applicant provider that can demonstrate the capability to develop, implement, and improve adult education and literacy activities within Kansas, does hereby make application for funding.

The approval of any program shall be determined based upon the applicant's demonstration of the program's capacity to provide quality adult education services resulting in learner outcomes. The applicant must also demonstrate a need for continued or expanded adult education services. Funding of approved applicants is dependent on the availability of federal and/or state funds. We understand and agree to the following federal and state requirements for receipt of adult education funding:

1. Funds received under this subtitle will not be expended for any purposes other than for activities under this subtitle.
2. 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.
3. Each applicant provider receiving a grant under this subtitle for a fiscal year shall use not more than 8% of federal funds to carry out section 225 (institutions).
4. Each applicant provider receiving a grant under this subtitle for a fiscal year shall use 8% of federal funds for professional development for staff members; programs may choose to allocate additional state funds for professional development.
5. A minimum of a 10% local match to federal funds is required, including a minimum of 5% as a cash match. Funded programs must maintain a level of local support that, at a minimum, is equivalent to the local support (cash and in kind) provided in the previous fiscal year.
6. Not more than 5% of federal funds can be used for administrative purposes.
7. All funds must be spent within the fiscal year for which they are approved. Carryover is not allowed from one fiscal year to the next.
8. A funding formula based on quality and learner outcomes factors, as detailed in the Kansas 4-Year State Plan for Adult Education, will be applied to determine the amount of all awards.
9. Budget records must be submitted semiannually in the manner set by Kansas Board of Regents Adult Education.
10. The program shall support the performance goals of the state, and valid, accurate data from learner records must be submitted quarterly in the manner prescribed by Kansas Board of Regents Adult Education.
11. Local program records must be retained for five years.
12. Statistical reports and self-evaluation of ***Indicators of A Quality Adult Education Program*** must be submitted annually and will be used as a basis for monitoring.
13. A report on the Program Improvement Plan, including progress on the plan's objectives and impact of professional development activities, must be submitted annually and will be reviewed in the monitoring process.
14. State and local agreements must be on file.
15. Applications must be postmarked or hand delivered by the stated deadline, or they will not be reviewed nor funded.

16. Applications must present responses to all elements as required in instructions, or applicant providers will forfeit up to five (5) points on the application and may forfeit additional points relative to the ***Program Abstract***, ***Indicators of A Quality Adult Education Program,*** and ***Determination of Program's Cost Effectiveness***. Kansas Board of Regents staff may require corrections or additional information after the application is submitted and before review by the grant review committee.
17. The award of funds shall be made directly to the eligible provider that submits the basic grant application.
18. The program director and/or his/her representative must participate in three statewide annual meetings to receive updates on program requirements for adult education.
19. This grant application covers FY 2003 and FY 2004. An applicant must meet minimum application and quality standards in order to receive funding for the initial year of the application. In addition, each funded applicant must demonstrate improvements in services that result in improvements in learner outcomes in order to receive funding for the second yea of the application.

Signature of Program Director

Signature of Eligible Provider Head

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 judgement 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)

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.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

NAME OF APPLICANT	PR/AWARD NUMBER AND / OR PROJECT NAME
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
SIGNATURE	DATE

ED 80-0013 12/98

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion -- Lower Tier Covered Transactions

This certification is required by the Department of Education regulations implementing Executive Order 12549, Debarment and Suspension, 34 CFR Part 85, for all lower tier transactions meeting the threshold and tier requirements stated at Section 85.110.

Instructions for Certification

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.

2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," " person," "primary covered transaction," " principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.

5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

6. The prospective lower tier participant further agrees by submitting this proposal that it will include the clause titled ACertification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion-Lower Tier Covered Transactions, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may but is not required to, check the Nonprocurement List.

8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

Certification

(1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

(2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall atta an explanation to this proposal.

NAME OF APPLICANT	PR/AWARD NUMBER AND/OR PROJECT NAME
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
SIGNATURE	DATE

ED 80-0014, 9/90 (Replaces GCS-009 (REV.12/88), which is obsolete)

Approved by OMB
0348-0046

Disclosure of Lobbying Activities

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

1. Type of Federal Action: ____ a. contract b. grant c. cooperative agreement d. loan e. loan guarantee f. loan insurance	**2. Status of Federal Action:** _____ a. bid/offer/application b. initial award c. post-award	**3. Report Type:** _____ a. initial filing b. material change **For material change only:** Year _______ quarter _______ Date of last report___________

4. Name and Address of Reporting Entity: ____ Prime _____ Subawardee Tier______, if Known: **Congressional District, if known:**	**5. If Reporting Entity in No. 4 is Subawardee,** Enter Name and Address of Prime: **Congressional District, if known:**
6. Federal Department/Agency:	**7. Federal Program Name/Description:** CFDA Number, ***if applicable***: __________________
8. Federal Action Number, *if known:*	**9. Award Amount**, ***if known:*** **$**
10. a. Name and Address of Lobbying Registrant *(if individual, last name, first name, MI):*	**b. Individuals Performing Services *(including address if different from No. 10a) (last name, first name, MI):***
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.	**Signature:** ____________________________________ **Print Name:**_________________________________ **Title:**_____________________________________ **Telephone No.:** _________________ **Date:** _______
Federal Use Only	**Authorized for Local Reproduction** **Standard Form - LLL (Rev. 7-97)**

INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity 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 a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.

2. Identify the status of the covered Federal action.

3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.

4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.

5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.

6. Enter the name of the federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.

7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.

8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitations for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Included prefixes, e.g., "RFP-DE-90-001."

9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.

10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.

    (b) Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).

11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB control Number. The valid OMB control number for this information collection is OMB No. 0348-0046. Public reporting burden for this collection of information is estimated to average 10 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 (0348-0046), Washington, DC 20503

2. Funds Requested and Required Match

Eligible Provider: ______________________________

Contact Person: ______________________________

Address: ______________________________

____

____

Telephone: ______________________________

Fax: ______________________________

E-mail Address: ______________________________

Funds Requested and Required Match (FY 2003 Only)

	Proposed Amount	Amount Allowed by KBOR
1. Federal Funds ……………………………………………	____________	____________
2. State Funds ………………………………………………	____________	____________
3. Total Funds	____________	____________
4. Local Match of 10 Percent of Federal Funds	____________	____________
4.A. Amount in Cash (for IQAEP Measure 6.1)	____________	____________
4.B. Amount in Non-federal In-kind (4 minus 4.A.)	____________	____________

Note: Local match may not include other federal funds nor funds generated using federal dollars. Non-federal in-kind match must be allocated solely to WIA, Title II, and not used as an in-kind match to levy other federal and/or non-federal funding.

……………..………………………………KBOR USE ONLY…………………….……………..………

This program is: ________ approved for funding in the amount of _$____________________________.

________ not approved for funding.

____

Date KBOR Director of Adult Education

3. Adult Education Budget for FY 2003

Program Name____

	Federal Funds	State Funds	Local Funds	Total
100 Administration (maximum 5% of federal funds)				
Administrator Salary				$ -
Support Staff Salary/Wages				$ -
Other Administrative Costs				$ -
SUBTOTAL 100 ADMINISTRATION				$ -
200 Instruction				
Instructional Salaries				$ -
Instructional Supplies				$ -
Other Instructional Costs				$ -
SUBTOTAL 200 INSTRUCTION				$ -
Amount of SUBTOTAL 200 proposed for correctional or other residential institutions (maximum 8% of federal funds)				$-
300 Benefits				
Withholding and Required Benefits				$ -
Fringe Benefits				$ -
SUBTOTAL 300 BENEFITS				$ -
400 Professional Development **(min/max 8% of federal funds)**				
Personnel				$ -
Substitute Costs				$ -
College Tuition Reimbursement				$ -
Inservice Costs				$ -
Professional Development Supplies				$ -
Staff Travel				$ -
Consultant Travel				$ -
Other Professional Development Costs				$ -
SUBTOTAL 400 PROFESSIONAL DEVELOPMENT				$ -
SUBTOTAL 500 TRANSPORTATION/CHILDCARE				$ -
600 Capital Outlay				
Instructional Equipment (each item $500 or over)				$ -
Furniture (each item $500 or over)				$ -
Other Capital Outlay (each item $500 or over)				$ -
SUBTOTAL 600 CAPITAL OUTLAY				$ -
SUBTOTAL 700 BUILDING AND MAINTENANCE				$ -
GRAND TOTAL 100 THROUGH 700	$ -	$ -	$	$ -
Signatures of Approval:				

Prepared by ____

Program Director____

State Director____

3. Adult Education Budget for FY 2003 Instructions

(This form may also be used for Budget Modifications or Revisions)

Before beginning, please note the following requirements:

- ❑ **A maximum of 5% of federal funds may be spent in section 100 (administrative) –** programs may use available state funds for section 100 as needed.
- ❑ **A maximum of 8% of federal funds may be spent for institutions** (includes activities in residential correctional, medical, mental, youth, or special institutions).
- ❑ **8% of federal funds (maximum and minimum) must be spent in section 400 (professional development)** - programs may use available state funds for section 400 as needed**.**
- ❑ **Round all amounts to whole dollars using conventional rounding (e.g., $.00 to $.49 = $0 and $.50 to $.99 = $1).**

Type the name of your adult education program next to "Program Name."

Indicate in the columns the adult education funds for the current year, including federal funds, state funds, local funds, and total funds (i.e., federal funds plus state funds plus local funds). Use amounts for federal and state funds that have been allocated to your program from the funding formula. Local funds are defined as any cash-matching funds from non-federal, non-state sources, such as a private grant or ABE mill levy. All mill levy funds designated by law for adult education must be used exclusively for adult education services, however, all mill levy funds do not have to be included in the budget in the year collected. Programs must consider maintenance of effort requirements when budgeting local funds.

In sections 100 through 700, report actual funds allowed for the year. Any amounts not spent or encumbered by June 30, 2003, or encumbered amounts not spent by September 30, 2003, must be returned to Kansas Board of Regents.

In section 100, indicate federal, state, local, and total funds for administrator salaries (including director and/or coordinator as applicable) and for any support staff during the period of the budget. Also indicate any other administrative funds, such as consultant services, office supplies, postage, telephone, printing, and other items individually priced under $500. "Administrative" costs are non-instructional costs of administering the adult education program. Do NOT include any benefits here.

In section 200, indicate federal, state, local, and total funds for instructional salaries (any paid teaching staff, whether in an institution or a non-institutional setting, or other instructional staff, such as a counselor), instructional supplies (supplies used to provide instruction to adult education learners), and any other instructional items individually priced under $500. Do NOT include any benefits here. **Also provide the amount of the section 200 subtotal that was proposed for institutional costs (salaries, supplies, and/or other) as defined above. Since the institutional expenditures are part of the subtotal, do NOT add the amount into the grand total for federal expenditures a second time.**

In section 300, indicate withholding and other required benefits, as well as fringe benefits, for any of the amounts in sections 100 or 200.

In section 400, indicate amounts for any line items for professional development. Registration amounts should go under "other professional development costs."

In section 500, indicate any amounts for providing learners with transportation or childcare.

In section 600, indicate any amounts for capital outlay. All items of instructional equipment (such as VCR or computer), furniture (such as a classroom table), or other capital outlay must be individually priced at $500 or over. If the individual cost per item is $499 or less, the amount should be indicated in section 100 or 200 instead.

In section 700, indicate any amounts proposed for building rent, building maintenance, and other costs of keeping up an adult education facility.

Check that all 7 SUBTOTAL amounts are filled out for each section, in federal, state, local, and total columns.

Add up the 7 SUBTOTAL amounts and indicate them in the "GRAND TOTAL" columns. **Double check your calculations and cross check rows and columns horizontally and vertically.**

Sign your name at "prepared by" and have the adult education program director sign under your signature. If you are the director, sign **only** on the "program director" line. **Budgets and budget modifications** (or revisions) **need original signatures; only semi-annual budget reports** may be faxed or e-mailed with typed names.

4. Program Abstract

Write a program abstract in this section. The program abstract may be **no longer than 2 pages total**. Reviewers will not be required to read any more than 2 pages of a program abstract. The program abstract must include:

- A **mission statement** for the adult education program – what is the purpose of the adult education program and whom does it serve? You may also include a vision statement for your program if available.

- A **summary of the strengths** of the adult education program – what are the strengths of your program, especially those strengths that are unique to your program? Write the summary as if you were addressing an individual who was knowledgeable about adult education but is unfamiliar with your program.

- A **description of the need** for your adult education program, and the program's history for addressing the identified need. You should also provide evidence that funding of your program would not dilute the limited Adult Education funding by unnecessarily duplicating services in a given geographical location.

5. Responses to Indicators of A Quality Adult Education Program

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

Instructions: submit the following pages. Put a check (**X**) in the box to the left of the level at which the applicant program will be functioning at the beginning of and throughout the duration of FY 2003. Determination of the appropriate level should be based on "hard" evidence, such as student data collected via a computerized data collection system and independent program monitoring reports.

Narrative responses are not required and should only be included when there is insufficient data to support a level chosen**. Narrative responses are limited to a maximum of one single-spaced typed page per measure.**

There are also forms and tables that are designed to graphically demonstrate the applicant program's performance in several areas. Complete all forms and tables using verifiable data. Give the source of the information provided to determine the chosen level and to complete the forms and tables.

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)].**

Measure 1.1

The program serves participants who are representative of the ethnic diversity of the under-educated population in the program's service area, including limited English proficient adults. (2 points)		
	High (2 pts.)	**The *percentage* of each ethnic group served by the program adequately reflects those identified as qualifying for services according to the most current U. S. Census and Kansas data.**
	Medium (1 pts.)	**The *percentage* of each ethnic group served by the program somewhat reflects those identified as qualifying for services according to the most current U. S. Census and Kansas data.**
	Low (0 pts.)	**The *percentage* of each ethnic group served by the program does not reflect those identified as qualifying for services according to the most current U. S. Census and Kansas data.**

Note: all programs will access common U.S. Census and Kansas data sources for standardized determination of ethnic diversity by county.

Definitions:

Participant – adult learner who participates in instructional activities in an adult education program for 12 or more hours.

Undereducated population – adults 16 and over without a high school diploma or GED, or those with a high school diploma or higher level of education that have identified low skill levels or low levels of English proficiency.

Service area – the county or counties the adult education program serves.

Each ethnic group – the number of participants in each of the ethnic groups as determined by U.S. Department of Education definitions.

Previous Monitoring Scores:

FY 2001	FY 2002	FY 2003 (projected)

Ethnicity of Adult Education Participants								
	FY 2000		FY 2001		FY 2002		FY 2003 (projected)	
Ethnic Origin	# Served	% Served	# Served	% Served	# Served	% Served	# Served	% Served
1. American Indian or Native Alaskan								
2. Asian								
3. Native Hawaiian or Other Pacific Islander								
4. Black or African American								
5. Hispanic								
6. White								
7. Multi-Ethnicity								
TOTAL								

Information Source:

Demographic Information

Statistics to complete the form on the next page are available on the web sites provided below. Fill out **one form for each county in the area(s) your program serves**. Make additional copies of the form as needed.

For section 1, go to: http://quickfacts.census.gov/qfd/states/20000.html, and choose the county(ies) your program serves. Copy down the **number and percents** from the following columns:

Population, 2000
Population - percent change, 1990 to 2000
White persons, percent, 2000 (a)
Black or African American persons, percent, 2000 (a)
American Indian and Alaska Native persons, percent, 2000 (a)
Asian persons, percent, 2000 (a)
Native Hawaiian and Other Pacific Islander, percent, 2000 (a)
Persons reporting some other race, percent 2000 (a)
Persons reporting two or more races, percent, 2000
Persons of Hispanic or Latino origin, percent, 2000 (b)
White persons, not of Hispanic/Latino origin, percent

Do **not** copy any other numbers or percents from that web site onto the form on the next page.

For section 2, go to: http://laborstats.hr.state.ks.us/aa/aa.htm and arrow down to the list of counties. Select the county(ies) your program serves, then click on "Labor Force Estimates by Sex and Minority Status" for each county. Arrow down to the report called "Labor Force Estimates by Sex and Minority Status…2000: Civilian Labor Force" and look in the "Both Sexes… Number… Per Cent" columns. Copy the **Numbers and Per Cents** for White; Black; American Indian, Eskimo, or Aleut; Asian or Pacific Islander; Other Race; and Hispanic.

Do **not** copy any other numbers or percents from that web site onto the form on the next page.

FORM 1. Demographic Profile	
Name of County	
1. U.S. Census Data	
Population, 2000	
Population - percent change, 1990 to 2000	
White persons, percent, 2000 (a)	
Black or African American persons, percent, 2000 (a)	
American Indian and Alaska Native persons, percent, 2000 (a)	
Asian persons, percent, 2000 (a)	
Native Hawaiian and Other Pacific Islander, percent, 2000 (a)	
Persons reporting some other race, percent, 2000 (a)	
Persons reporting two or more races, percent, 2000	
Persons of Hispanic or Latino origin, percent, 2000 (b)	
White persons, not of Hispanic/Latino origin, percent	
2. Kansas Labor Market Information	
White – Number	
White – Per Cent	
Black – Number	
Black – Per Cent	
American Indian, Eskimo, or Aleut – Number	
American Indian, Eskimo, or Aleut – Per Cent	
Asian or Pacific Islander – Number	
Asian or Pacific Islander – Per Cent	
Other Race – Number	
Other Race – Per Cent	
Hispanic – Number	
Hispanic – Per Cent	
All Minorities – Number	
All Minorities – Per Cent	

Measure 1.2

The program serves participants at the lowest levels of educational attainment. (8 points)		
	High (8 pts.)	**25% or more of participants enter at one of the five "Beginning Levels" (Levels 1, 2, 7, 8, or 9 in Outcomes Measures Definitions).**
	Medium (4 pts.)	**15% to 24% of participants enter at one of the five "Beginning Levels" (Levels 1, 2, 7, 8, or 9 in Outcomes Measures Definitions).**
	Low (0 pts.)	**Less than 15% of participants enter at one of the five "Beginning Levels" (Levels 1, 2, 7, 8, or 9 in Outcomes Measures Definitions).**

Definitions:
Beginning levels – includes Beginning Literacy ABE, Beginning ABE, Beginning ESL Literacy, Beginning ESL, and Low Intermediate ESL (at or below CASAS score of 210) as defined in Outcome Measures Definitions.
Enter – the classification of a participant's level is determined when the participant begins or returns to the adult education program for the first time within the current year.

Actual Data:

Services to Low Level Learners							
FY00		FY01		FY02		FY03 (projected)	
Number	Percent	Number	Percent	Number	Percent	Number	Percent

Information Source:

Measure 1.3

The program serves participants with documented disabilities. (2 points)		
	High (2 pts.)	**10% or more of participants have documented disabilities and the program provides appropriate services and/or accommodations.**
	Medium (1 pts.)	**5% to 9% of participants have documented disabilities and the program provides appropriate services and/or accommodations.**
	Low (0 pts.)	**Less than 5% of participants have documented disabilities and the program provides appropriate services and/or accommodations.**

Definitions:
Documented disabilities – in the case of a physical disability, documentation consists of notations in the participant folder of the nature of the disability and how it was accommodated (for example, "the learner entered in a wheelchair, was informed of accessible facilities within the center, and requested and was offered a table or computer terminal at an accessible height").

In the case of **learning or other "invisible" disability**, documentation follows ADA recommendations and consists of school records (such as IEP or evidence of special education services) or the written diagnosis of a qualified psychologist or medical doctor within the last 10 years (if this documentation is not available, note the participant's disability and corresponding accommodations in the folder). Results from screening instruments or learning style surveys do not constitute documentation of a learning disability.

Actual Data:

Percentage of Participants with Documented Disabilities		
FY 2001	FY 2002	FY 2003 (projected)

Information Source:

2. **The program is of sufficient intensity and duration so that participants *demonstrate progress* toward their educational/workplace readiness/technology goals [AEFLA, Section 231, (e)(4)(A) and (e)(7)].**

Measure 2.1

Participants make significant educational/workplace readiness/technology gains. (10 points)		
	High (10 pts.)	**50% or more of all participants complete a level within a program year.**
	Medium (5 pts.)	**30% to 49% of all participants complete a level within a program year.**
	Low (0 pts.)	**Less than 30% of all participants complete a level within a program year.**

Definitions:

Complete a level – as defined in Outcome Measures Definitions and on ABE2000 software.

Actual Data:

Number and Percentage of Participants Completing an Educational Level									
	FY01			**FY02**			**FY03 (projected)**		
Educational Level	**# Part.**	**# Comp.**	**% Comp.**	**# Part.**	**# Comp.**	**% Comp.**	**# Part.**	**# Comp.**	**% Comp.**
Beginning Literacy									
Beg. Basic Ed.									
Low Intermediate									
High Intermediate									
Low Adult Sec.									
High Adult Sec.									
Beg. Literacy ESL									
ESL - Beginning									
ESL - Low Interm.									
ESL - High Interm.									
ESL - Low Advan.									
ESL - High Advan.									
TOTALS									

Information Source:

Measure 2.2

Participants not making significant educational/workplace readiness/technology gains do demonstrate progress. (4 points)		
	High (4 pts.)	**50% or more of all participants who do not complete a level, progress within a level during a program year.**
	Medium (2 pts.)	**30% to 49% of all participants who do not complete a level, progress within a level during a program year.**
	Low (0 pts.)	**Less than 30% of all participants who do not complete a level, progress within a level during a program year.**

Definitions:
Progress within a level – as defined in Outcome Measures Definitions and on ABE2000 software.

Actual Data:

Percent of Participants Demonstrating Progess		
FY 2001	FY 2002	FY 2003 (projected)

Information Source:

3. **The program documents participant outcomes, and participants remain in the program a *sufficient length of time* so that they are able to achieve outcomes [AEFLA, Section 231(e)(1), (e)(4)(A), and (e)(7)].**

Measure 3.1

Participants spend a significant amount of time in instructional activities. (4 points)		
	High (4 pts.)	**The *average* (mean) number of participant hours for *all* program participants is 40 or more hours.**
	Medium (2 pts.)	**The *average* (mean) number of participant hours for *all* program participants is 30 to 39 hours.**
	Low (0 pts.)	**The *average* (mean) number of participant hours for *all* program participants is less than 30 hours.**

Definitions:
Average number of participant hours – the total number of hours for participants at all levels (regardless of goal/outcome completion) in a fiscal year divided by the total number of participants at all levels in a fiscal year.
Example: 4000 hours / 100 participants = 40 hours (average number of participant hours).
If division results in a decimal that is .500 or greater, the number may be rounded to the next highest whole hour (e.g., 37.552 hours could be rounded to 38 hours, but 37.499 hours would be 37 hours).

Actual Data:

Average Number of Participant Hours		
FY 2001	**FY 2002**	**FY 2003 (projected)**

Information Source:

Measure 3.2

The number of participants with up to 2 program goals is directly proportionate to the number of participant outcomes (i.e., achieved program goals). (8 points)		
	High (8 pts.)	**The total number of intended outcomes is equal to or greater than the total number of participants, as measured in ABE2000 software.**
	Medium (4 pts.)	**The total number of intended outcomes is 75% to 99% of the total number of participants, as measured in ABE2000 software.**
	Low (0 pts.)	**The total number of intended outcomes is below 75% of the total number of participants, as measured in ABE2000 software.**

Examples:
<u>Example 1</u> – 100 participants have 175 goals (not all of them chose 2 goals). 75 participants achieved 150 outcomes. Total number of outcomes (150) divided by total number of participants (100) equals 1.5, or 150%.
<u>Example 2</u> – 200 participants have 400 goals. 180 participants achieved 175 outcomes. Total number of outcomes (175) divided by total number of participants (200) equals .87, or 87%.
Note: Outcomes are defined in the ABE2000 software manual, Appendix 1. Learners have the option to choose one goal or two goals.

Actual Data:

Number and Percentage of Participants Achieving Outcomes			
	FY01	**FY02**	**FY03 Projected**
Outcomes	**# of Intended Outcomes Achieved**	**# of Intended Outcomes Achieved**	**# of Intended Outcomes Achieved**
Completed Educational Level			
Entered Employment			
Retained or Improved Employment			
Received GED			
Entered Post-Secondary or Other Training			
Achieved U.S. Citizenship Skills			
Increased Involvement in Children's Education			
Increased Involvement in Children's Literacy			
Total Intended Outcomes			
Total # of Participants			
% Achieving Intended Outcomes			

Information Source:

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 schedules and support services [AEFLA, Section 231 (e)(10)].

Measure 4.1

The program design and implementation process for all program sites fully incorporates the components of the Comprehensive Adult Education Planner (PAM – Mellard and Scanlon, University of Kansas). (2 points)		
	High (2 pts.)	**Program design and implementation fully incorporates all seven components of PAM at all program sites.**
	Medium (1 pts.)	**Program design and implementation fully incorporates all seven components of PAM at 75% to 99% of program sites.**
	Low (0 pts.)	**Program design and implementation incorporates fewer than seven components of PAM at all program sites or fully incorporates all seven components at 1% to 74% of program sites .**

Definition:
Program site – a site offering adult education program services (includes main center of the program or any outreach sites, if applicable).

Previous Monitoring Scores:

FY 2001	FY 2002	FY 2003 (projected)

Information Source:

Measure 4.2

Program services, including instructional activities and support services, and scheduling reflect the identified needs of the community. (8 points)		
	High (8 pts.)	**Program services, including instructional activities and support services, are offered to participants at all program sites, including any outreach sites, 8 or more hours per week.**
	Medium (4 pts.)	**Program services, including instructional activities and support services, are offered to participants at all program sites, including any outreach sites, 6 to 7 hours per week.**
	Low (0 pts.)	**Program services, including instructional activities and support services, are offered to participants at all program sites, including any outreach sites, fewer than 6 hours per week.**

Definitions:
Outreach site – a program site offering adult education program services away from the main center of the program.

Support services – services available during regularly scheduled hours to participants that support retention and learner outcomes, such as counseling, childcare, transportation and computer lab access.

Previous Monitoring Scores:

FY 2001	FY 2002	FY 2003 (projected)

Information Source:

FORM 2. Program Locations, Schedules, and Services Information

List all program sites (including outreach sites) to be served with this grant. Complete the remainder of the chart with all information requested. Make additional copies of the form as needed. NOTE: If a site is new beginning in FY 2003, place an X in the second column.

CITY/SITE	**X** IF NEW IN FY 2003	TIME	HOURS PER WEEK**	WEEKS PER YEAR	METHOD	PROGRAM	FACILITY

TIME

1. Day
2. Evening

METHOD

3. Tutoring One-on-One
4. Small Group Instruction
5. Large Group Instruction
6. Computer-Aided Study
7. Self-Directed Study

PROGRAM

8. Adult Basic Skills
9. Adult Secondary/GED
10. ESL
11. New Reader
12. Workplace Skills
13. Family Literacy
14. Computer Skills

FACILITY

15. Class Room
16. Open Center
17. Computer Lab
18. Other (Specify)

5. Program activities effectively employ advances in technology, including the use of computers [AEFLA, Section 231, (e)(6)].

Measure 5.1

The program has a technology plan and incorporates use of current technology into participant instruction. (2 points)		
	High (2 pts.)	**All program sites incorporate using a computer and other multi-media into instructional activities.**
	Medium (1 pts.)	**75% to 99% of program sites incorporate using a computer and other multi-media into instructional activities.**
	Low (0 pts.)	**1% to 74% of program sites incorporate using a computer and other multi-media into instructional activities.**

Definition:
Multi-media – including the use of several media, e.g. videotapes, television, audiotapes, internet, digital cameras

Previous Monitoring Scores:

FY 2001	FY 2002	FY 2003 (projected)

Information Source:

FORM 3. Adult Education TECHNOLOGY Plan
FY 2003

A. Vision:
(What do you want learners and staff to be able to do?)

B. Strategy for Integrating & Applying Technology:
(How will you integrate, or further integrate, technology into the curriculum?)

C. Method for Maintaining the Technology:
(Who is responsible for tech support?)

D. Professional Development Needs:
(What is the current level of knowledge/skills? Tied to individual professional development plans?)

E. Evaluation Strategies:
(How will you determine if technology use is effective?)

F. Process for Continuous Improvement

Measure 5.2

The program provides technology-specific instruction, including current computer applications and use of internet, to participants. (2 points)		
	High (2 pts.)	**The program provides technology-specific instruction, including computers and use of internet, to 75% to 100% of its participants.**
	Medium (1 pts.)	**The program provides technology-specific instruction, including computers and use of internet, to 25% to 74% of its participants.**
	Low (0 pts.)	**The program provides technology-specific instruction, including computers and use of internet, to 0% to 24% of its participants.**

Definition:
Technology-specific instruction – instruction to participants in the use of facsimile machines, photocopiers, telephone systems, computers and computer applications in current common use (i.e., Windows 95 or greater or MacIntosh equivalent) and internet access (the computers must be capable of internet access).

Actual Data:

# of Participant Completing One or More Technology Levels		
FY 2001	FY 2002	FY 2003 (projected)

Information Source:

6. The program receives local financial support and is viewed as a valuable component of the sponsoring institution or non-profit agency.**

Measure 6.1

The program receives local financial support in addition to the minimum required amounts to provide services. (8 points)		
	High (8 pts.)	**Host institution or non-profit agency provides 10% or greater match (in cash) to federal funds.**
	Medium (4 pts.)	**Host institution or non-profit agency provides greater than 5% but less than 10% match (in cash) to federal funds.**
	Low (0 pts.)	**Host institution or non-profit agency provides no more than 5% match (in cash) to federal funds.**

Definitions:
<u>Cash match</u> – cash used to match federal funds must be local agency funds. The source of cash must be non-educational federal funds, and funds must not be generated from contracted basic skills services. The source of cash may be state general funds, local ABE mill levy, local donations, or other (non-federal) grants. The cash match will be measured from the approved fiscal year budget.

Actual Data:

Institutional Support History								
FY01			**FY02**			**FY03 (projected)**		
Federal Grant	**Local Cash Match**	**%**	**Federal Grant**	**Local Cash Match**	**%**	**Federal Grant**	**Local Cash Match**	**%**

Information Source:

Measure 6.2

Paid instructional and administrative staff receives compensation comparable to equivalent staff in other programs in the same agency. (2 points)		
	High (2 pts.)	**Host institution or non-profit agency pays program staff a salary that is equal to or better than staff counterparts.**
	Medium (1 pts.)	**Host institution or non-profit agency pays program staff a salary that is 1% to 5% less than staff counterparts.**
	Low (0 pts.)	**Host institution or non-profit agency pays program staff a salary that is 6% to 100% less than staff counterparts.**

Definitions:

Paid instructional and administrative staff – paid staff involved in instructional activities, including instructors, teachers, tutors, paraprofessional classroom aides, counselors, and assessment staff, or in administrative duties, including directors and coordinators. This definition does not include secretarial or support staff not involved in instruction or assessment. It does not include unpaid volunteers.

Previous Monitoring Scores:

FY 2001	FY 2002	FY 2003 (projected)

Information Source:

FORM 4. Program Personnel Positions

List all **paid** (not volunteer) staff positions involved in implementation of adult education services (paid with AEFLA funds and paid from other sources). Complete the remainder of the chart with all information requested. Make additional copies of the form as needed.

POSITION ASSIGNMENT	HOURLY WAGE	# OF HR/WK	# OF WEEKS	AMOUNT FROM GRANT	% FROM GRANT	AMOUNT FROM OTHER SOURCES	% FROM OTHER SOURCES (list sources)
TOTAL							

7. The program demonstrates a commitment to quality service 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)].

Measure 7.1

Paid instructional and administrative staff has appropriate educational backgrounds. (4 points)		
	High (4 pts.)	**90% to 100% of paid instructional and administrative staff has a bachelor's or graduate degree.**
	Medium (2 pts.)	**75% to 89% of paid instructional and administrative staff has a bachelor's or graduate degree.**
	Low (0 pts.)	**Less than 75% of paid instructional and administrative staff has a bachelor's or graduate degree.**

Definitions:

Paid instructional and administrative staff – paid staff involved in instructional activities, including instructors, teachers, tutors, paraprofessional classroom aides, counselors, and assessment staff, or in administrative duties, including directors and coordinators. This definition does not include secretarial or support staff not involved in instruction or assessment. It does not include unpaid volunteers.

Previous Monitoring Scores:

FY 2001	**FY 2002**	**FY 2003 (projected)**

Information Source:

FORM 5. Staff Summary

List all staff, paid and volunteer, involved in the implementation of this grant. Complete the remainder requested. Make additional copies of the form as needed. NOTE: Contact information for staff should would prefer to be contacted (whether at main program site address, outreach site address, or home a

STAFF NAME	MAILING ADDRESS	TELEPHONE	E-MAIL	POSI-TION	

Position Code

1. Administrator – full-time
2. Administrator – part-time
3. Instructor - full-time
4. Instructor - part-time
5. Tutor or Paraprofessional – full-time
6. Tutor or Paraprofessional – part-time
7. Clerical/Data - full-time
8, Clerical/Data - part-time
9, Counselor - full-time
10. Counselor - part-time

Education Code

12, Bachelor's
13. Bachelor's plus Certification

14. Master's
15. Master's plus Certification

16. Doctorate
17. Associate or less

KAEA Code

18. Credentialed
19. Not Credentialed

11. Volunteer - full-time or part-time

Measure 7.2

Paid instructional and administrative staff is currently KAEA credentialed. (2 points)		
	High (2 pts.)	**100% of paid instructional and administrative staff has a current KAEA credential.**
	Medium (1 pts.)	**90% to 99% of paid instructional and administrative staff has a current KAEA credential.**
	Low (0 pts.)	**Less than 90% of paid instructional and administrative staff has a current KAEA credential.**

Note: New staff has 6 weeks following the date of hire to secure the initial KAEA credential. KAEA credentialing must be kept current. The standard for KAEA credentialing of staff does not imply that programs must pay for costs of credentialing. Although programs have the option to use local funds if they choose, federal and state funds may not be used for costs of credentialing.

Previous Monitoring Scores:

FY 2001	FY 2002	FY 2003 (projected)

Information Source:

Measure 7.3

Paid instructional and administrative staff participates in professional development relevant to program improvement. (4 points)		
	High (4 pts.)	**100% of paid instructional and administrative staff have yearly revised professional development plans that are aligned with Program Improvement Plans and *implemented*.**
	Medium (2 pts.)	**90% to 99% of paid instructional and administrative staff have yearly revised professional development plans that are aligned with Program Improvement Plans and *implemented*.**
	Low (0 pts.)	**Less than 90% of paid instructional and administrative staff have yearly revised professional development plans that are aligned with Program Improvement Plans and *implemented*.**

Definitions:
Paid instructional and administrative staff – paid staff involved in instructional activities, including instructors, teachers, tutors, paraprofessional classroom aides, counselors, and assessment staff, or in administrative duties, including directors and coordinators. This definition does not include secretarial or support staff not involved in instruction or assessment. It does not include unpaid volunteers.

Previous Monitoring Scores:

FY 2001	**FY 2002**	**FY 2003 (projected)**

Information Source:

FORM 6. Adult Education PROGRAM Improvement Plan
FY 2003
Part I
(Make additional copies of this form as needed.)

Objective #____:

Rationale for This Objective:

Major Components of Objective #____:

A.

B.

C.

D.

E.

F.

G.

FORM 7. Adult Education PROGRAM Improvement P
FY 2003
Part II

Program Improvement Objective #_____
Component ______
(Make additional copies of this form as needed.)

Steps to Achieve Component ____	Person(s) Responsible	Starting Date	Necessary Tools, Equipment, Personnel, Funds, Etc.	Skil Pers
1.				
2.				
3.				
4.				
5.				
6.				
7.				
8.				
9.				

FORM 8. INDIVIDUAL Professional Development Plan
FY 2003
Part A

Individual: ____
(Make additional copies of this form as needed.)

Identified Essential Skills and Knowledge to Make Significant Contribution to FY 2003 Program Improvement Plan:

Current Level of Knowledge/Skill			Essential Skill/Knowledge Identified
High	Med	Low	
			1.
			2.
			3.
			4.
			5.
			6.
			7.
			8.

(Do not return with application. Maintain completed forms in staff members' Individual Professional Development files.)

FORM 9. INDIVIDUAL Professional Development Plan
FY 2003
Part B

Individual: ____

(Make additional copies of the form as needed.)

Desired Outcome	Start Date	Proposed Activity	End Date	Achieved Outcome/Contribution to Program Improvement Plan
1.				
2.				
3.				
4.				
5.				
6.				
7.				
8.				

(Do not return with application. Maintain completed forms in staff members' Individual Professional Development files.)

8. The program actively collaborates with multiple partners in the community to expand the services available to adult learners and to prevent duplication of services [AEFLA, Section 231, (e)(9)]. The program actively seeks and responds to input from local stakeholders in planning for local services.**

Measure 8.1

The program collaborates with multiple partners to provide quality services to adult learners. (2 points)		
	High (2 pts.)	**Program demonstrates collaboration with 8 or more partners who provide a minimum of two types of services other than referrals.**
	Medium (1 pts.)	**Program demonstrates collaboration with 4 to 7 partners who provide a minimum of two types of services other than referrals.**
	Low (0 pts.)	**Program demonstrates collaboration with fewer than 4 partners who provide a minimum of two types of services other than referrals.**

Definitions:
Minimum of two types of services other than referrals – those services provided by collaborative partners as identified and signed on a partner agreement form in the grant application. Partners providing fewer than two types of services are not considered as collaborative partners, and "makes referrals" does not count as one of the two types of services.

Example 1: Program A collaborates with Agency B. Agency B refers its clients to Program A, and in addition to referrals, it provides a classroom onsite (at no charge to Program A), includes information in B's newsletter about A's classes and schedules, and donates $100 toward Program A's annual GED graduation.

Example 2: Program C collaborates with the Local County Extension Office. The County Extension Office includes C's brochures on their brochure rack, sends extension agents to make presentations to adult learners, and provides C with information packets that are relevant to topics that C's instructors are currently teaching.

Previous Monitoring Scores:

FY 2001	FY 2002	FY 2003 (projected)

Information Source:

FORM 10. Coordination Information

(Make additional copies of the form as needed.)

Name of Organization: ____

Type/s of Organization:

( ) Business	**( )** Labor Union	**( )** Public Health Agency
( ) Library	**( )** Antipoverty Program	**( )** Community Organization
( ) Church	**( )** Volunteer Literacy Organization	**( )** One Stop Center or Local Workforce Investment Board
( ) Regional SRS Office	**( )** Immigrant or Refugee Organization	**( )** Organization Serving Rural Adults
( ) Institutionalized Adults	**( )** Elementary School	**( )** Intermediate or Middle School
( ) High School	**( )** Postsecondary Institution	**( )** Organization Serving Adults from Urban Areas with High Unemployment

( ) Other (please specify) ______________________________

We will provide the following services to the adult education (other than referrals):

( ) Funding	**( )** Public Relations	**( )** Facilities
( ) Speakers/Seminars	**( )** Tutors	**( )** Material
( ) On-the-job Training	**( )** Interviews	**( )** Equipment
( ) Scholarships	**( )** Other (please specify) ______________________________	

Signature of Organization/Agency Head ____

Title ______________________________ **Date** ____________________

Address ____

____

Phone/e-mail ____

Measure 8.2

The program seeks and responds to input from local stakeholders pertaining to planning for local services. (2 points)		
	High (2 pts.)	**Program seeks input 6 or more times per year and each time documents evidence of responses to stakeholders' input.**
	Medium (1 pts.)	**Program seeks input 4 to 5 times per year and each time documents evidence of responses to stakeholders' input.**
	Low (0 pts.)	**Program seeks input fewer than 4 times per year or has limited documentation of responses to stakeholders' input.**

Definitions:
Seek input from stakeholders – examples of seeking input include advisory council planning sessions, community surveys, staff surveys, participant evaluations or questionnaires, or focus group sessions. Stakeholder input may be from one source or a variety of sources.

Document evidence of responses – examples of documenting evidence of response include formal and informal notations or reports:

1. memos or letters of response to staff or to advisory councils stating how their input was incorporated into planning;
2. advisory council minutes showing program agreement to use input in program services;
3. summary of survey results and a statement on the use of the results;
4. written evidence of policy change based on stakeholder input.

Example 1: Program A holds an advisory council meeting. During the meeting the stakeholders discuss two program needs and make suggestions to A on possible solutions. Program A's director implements two of the suggestions and documents them on her copy of the minutes from the meeting.

Example 2: Program B does a learner survey about class hours. As a result of the survey, B's director expands the evening hours from 6PM to 8PM two nights a week to 5PM to 9PM three nights a week and attaches a copy of the new class schedule to the survey summary.

Example 3: A staff committee in Program C meets and determines that certain local policies need to be changed. Based on recommendations from the staff committee, C changes three policies and acknowledges the work of the committee in the revised policy manual.

Previous Monitoring Scores:

FY 2001	FY 2002	FY 2003 (projected)

Information Source:

FORM 11. Adult Education Advisory Committee

Instructions: Please provide the names, titles, entity (agency, business, educational institution, etc.), and address of the entity represented on the Adult Education Advisory Committee. Make additional copies of the form as needed.

NAME	TITLE	ENTITY	ENTITY ADDRESS

FY02 Meeting Dates: ____

9. **The program maintains a high-quality information management system to report participant outcomes and monitor program performance [AEFLA, Section 231 (e)(11)].**

Measure 9.1

The program uses ABE2000 software to report participant demographics and outcomes and meets quarterly and annual reporting deadlines. (2 points)		
	High (2 pts.)	**Program uses ABE 2000 software and meets all quarterly and annual reporting deadlines.**
	Medium (1 pt.)	**Program uses ABE 2000 software and meets 80 to 99% of quarterly and annual reporting deadlines.**
	Low (0 pts.)	**Program uses ABE 2000 software and meets 0 to 79% of quarterly and annual reporting deadlines.**

Previous Monitoring Scores:

FY 2001	FY 2002	FY 2003 (projected)

Information Source:

Measure 9.2

The program uses ABE2000 software to report participant demographics and outcomes and uses reported data for program improvement. (2 points)		
	High (2 pts.)	Program uses ABE 2000 software and documents evidence of use of data in 3 or more program improvement activities per year.
	Medium (1 pt.)	Program uses ABE 2000 software and documents evidence of use of data in 1 or 2 program improvement activities per year.
	Low (0 pts.)	Program uses ABE 2000 software and does not document evidence of use of data in program improvement activities.

Previous Monitoring Scores:

FY 2001	FY 2002	FY 2003 (projected)

Information Source:

6. Determination of Program's Cost Effectiveness

RATIONALE

Because the funding formula is heavily weighted in favor of program quality, there is a need to monitor program cost-effectiveness to ensure that attention is also paid to the cost required to achieve learner outcomes. While quality programming and services deserve attention, the extremely limited dollars allocated for adult education demands that programs closely monitor the cost per learner outcome and make decisions mindful of both quality factors and cost effectiveness.

PROCESS

1. Number of confirmed learner outcomes in FY01 __________
   +
2. Number of confirmed learner outcomes in Q1-3 of FY02 __________

TOTAL __________ (A)

3. Federal AEFLA allocation for FY01 _____________
   +
4. State AEFLA allocation for FY01 _____________
   +
5. Federal AEFLA allocation for FY02 _____________
   +
6. State AEFLA allocation for FY02 _____________

TOTAL ______________ (B)

________________ ÷ _____________ = ___________________________
(B) (A) Cost per learner outcome

______10 points: Program's cost per learner outcome was at least $300.00 less than state average.

______ 8 points: Program's cost per learner outcome was $100.01-$299.99 less than state average.

______ 5 points: Program's cost per learner outcome was within $100.00 of state average.

______ 2 points: Program's cost per learner outcome was $100.01-$299.99 greater than state average.

______ 0 points: Program's cost per learner outcome was at least $300.00 greater than state average.

Appendix: FUNDING FORMULA

PURPOSE

The purpose of this formula is to equitably distribute state and federal funds available to those programs whose grant applications have been approved. It is not used to determine whose grant applications are approved, as that would interfere with the direct and equitable access that the state plan establishes and the Adult Education and Family Literacy Act requires. Components of the formula were developed with input from adult education program leadership in Kansas.

The Federal funds distributed by this formula include all Section 231 funds and 8 percent of Section 222 funds. Section 222 funds will be broken out by the funding formula and earmarked for use in professional development activities (see section 6.8).

GOALS

1. To build into funding decisions the core performance measures and ***Indicators of A Quality Adult Education Program***, including participant outcomes, sufficient intensity, instructional staff credentials, and local support.
2. To establish a minimum level of funding so that all adult education programs have an adequate base from which to maintain and enhance quality services.
3. To recognize the difference between urban and rural centers in cost per participant hour to serve those participants at the five lowest levels.

FORMULA

1. One-half of state funds is divided evenly among all funded programs as a base level of funding, PLUS
2. One-half of federal funds is distributed based on the number of all participant outcomes, with educational/workplace readiness/technology gains achieved by participants at the five lowest levels (i.e., with a CASAS score of 210 or below) multiplied by a factor of 2, PLUS
3. The remaining half of state funds and the remaining half of federal funds are distributed based on the number of points each program receives on the ***Indicators of A Quality Adult Education Program*** times a quality factor.

Example (all figures quoted are for example only)**:**
In fiscal year 2003, total federal funds are $2,906,970 and total state funds $1,100,000. Total outcomes for all participants for 33 programs are 8745 (which includes the doubling of lower level educational gains/outcomes). Average number of quality points for 33 programs is 65. Program XYZ has 131 outcomes plus 64 educational/workplace readiness/technology gains at the five lowest levels, receives 62 quality points from reviewers and calculates its funding using the formula below:

(_ state) (_ federal) (_ federal + _ state)

(550,000/33) + {[(1,453,485/ 8745) x [131 + (64x2)]} +{[(1,453,485+550,000)] / [(33)(65)] x 62} =

$16,667 + $43,048 + $57,910 = $117,625