

New York State Education Department
Office of Adult Career & Continuing Education Services
Adult Education Programs and Policy Team
89 Washington Avenue
460 EBA
Albany, NY 12234

**EMPLOYMENT PREPARATION EDUCATION (EPE)
STATE AID PROGRAM
APPLICATION 2016-17
(Cover Sheet)**

Name of Agency _____

Agency Address _____

Program Manager _____
(please print – this should be the person to whom email announcements should be sent)

Email Address _____ Telephone No. _____

Address _____
(if different from above)

Business Office Manager _____ Telephone No. _____

Address _____
(if different from above)

Person completing this application if different from above:

Name _____ Telephone No. _____

Address _____
(if different from above)

Please submit an original and one copy of this application by May 15, 2016 to the address listed at the top of this page.

**WAIVER WORKSHEET FOR
ADULT EDUCATION CLASSES**

2016-2017

Waiver	Criteria	Request by Program
Class Size	Indicate the maximum number of students expected to be enrolled in the class. Indicate projected Average Daily Attendance (ADA). (Request for classes with registers exceeding 20 students but not larger than 35)	Max # of students per class = _____ Projected ADA per class = _____
	Explanation for need of increase in class size:	
	Type here:	
	Assurances that class quality and expected educational outcomes will not be adversely affected:	
Type here:		
Class Hours	Indicate the minimum or maximum # of hours the class will operate. (waivers will not be granted for classes meeting for more than 40 hours per week) Waivers for classes meeting less than six hours per week must be requested.	Min # of hours per class = _____ (Justification narrative entered below) Max # of hours per class = _____ (Justification narrative entered below)
	Justification Narrative for Min # of hours:	
	Type here:	
	Justification Narrative for Max # of hours:	
Type here:		
Career & Technical Classes	Indicate the CTE classes less than 100 hours	# of CTE classes with < 100 hours = _____ (Identification and narrative description entered below)
	Identification and narrative description	
	Type here:	
	Identification and narrative description	
Type here:		
TASC Testing	Waiver to generate EPE contact hours on eligible HSE preparation students referred from their own preparation program, or public testing students, or HSE preparation students referred from other preparation programs in their local proximity.	Amount of waiver request = _____ (limit for generation of EPE hours is .3 of 1.0 percent (.3 percent) of the EPE providers' prior years' EPE allocation)
	Justification for waiver request:	
	Type here:	
	Waiver to allow the EPE provider to claim EPE expenses for HSE test administration.	Amount of waiver for expense request = _____ (limit for generation of EPE hours is .3 of 1.0 percent (.3 percent) of the EPE providers' prior years' EPE allocation)
Justification for waiver request:		
Type here:		

2016-17 EPE PROGRAM COMPONENT SUMMARY SHEET

(agency name)

Program Components	Total from Program Component Worksheets	
	Projected Students	Projected Contact Hours
Traditional Adult Education Instruction	Line 1.	
Distance Learning Adult Education Instruction	Line 2.	
High School Credit Courses	Line 3.	
Career and technical education	Line 4.	
Work Experience	Line 5.	
Total	Line 6.	

Contact Hours x 2015-2016 (last year's) EPE rate = estimated EPE aid to be generated

Line 5 _____ x _____ = \$ _____

Total projected EPE expenditures for 2016-17 \$ _____ (must be greater than or equal to estimated EPE aid to be generated).

Each year, all school districts and BOCES are contacted by SED's State Aid Unit regarding expenditures made on the EPE program in the prior year. This requirement is mandated by Section 3602.24(g) of Education Law, which requires the Education Department to reduce the following year's EPE aid when the total revenues from all sources from the EPE program exceed the total expenditures for the program. Expenditure figures submitted to the State Aid Unit should be consistent with figures submitted on your annual financial report: ST3 or SA111.

**PROGRAM COMPONENT WORKSHEET
FOR
TRADITIONAL ADULT EDUCATION INSTRUCTION**

Please indicate in the following table the programs offered, the projected number of students to be served and contact hours. **Student numbers should not be entered for non-academic programs since all of these students will be included in the academic section.** Contact hours for non-academic programs should be entered since these are in addition to the academic hours.

PROGRAM TYPE	CHECK (✓) IF OFFERED 2015-16	NUMBER OF STUDENTS PROJECTED FOR 2016-17	NUMBER OF CONTACT HOURS PROJECTED FOR 2016-17
Academic Programs			
Adult Basic Education (ABE)			
Adult Secondary Education (ASE)/HSE Test Preparation			
English as a Second Language (ESL)			
Integrated English Civics Education			
Non-academic Programs			
Job Club (may include National Work Readiness Credential)			
Total			*

*Enter this total on Line #1 of the EPE Component Summary Sheet (page 3 of the application)

**PROGRAM COMPONENT WORKSHEET FOR
DISTANCE LEARNING ADULT EDUCATION INSTRUCTION**

Please indicate in the following table the program offered, the projected number of students to be served and contact hours. **Student numbers should not be entered for non-academic programs since all of these students will be included in the academic section.** Contact hours for non-academic programs should be entered since these are in addition to the academic hours.

PROGRAM TYPE	CHECK (✓) IF OFFERED IN 2015-16	NUMBER OF STUDENTS PROJECTED FOR 2016-17	NUMBER OF CONTACT HOURS PROJECTED FOR 2016-17
Adult Basic Education (ABE)			
Skills to Make Adults Ready to Succeed (SMART) Academic component only.			
Adult Secondary Education (ASE)			
NEDP			
GRASP			
Online GRASP			
English as a Second Language (ESL)			
Crossroads Café			
Non-academic Programs			
Lifelines		NA	
Madison Heights		NA	
On Common Ground		NA	
SMART (non-academic component)		NA	
TV411		NA	
Workplace Essential Skills		NA	
Total			*

*Enter this total on Line #2 of the EPE Program Component Summary Sheet (page 3 of the application)

**PROGRAM COMPONENT
WORKSHEET FOR
HIGH SCHOOL CREDIT COURSES AND ADULT OCCUPATIONAL
PROGRAMS**

High school credit courses are credit-bearing courses in which adults can participate in pursuit of a high school diploma. A certified teacher in a classroom setting provides this instruction.

It is the responsibility of each school district or BOCES to comply with Commissioner’s Regulations and SED policy for awarding high school credit. For further information, please contact the New York State Education Department’s Office of Curriculum and Instruction (518) 474-5922, or your representative from the Adult Education and Programs and Policy Team (see Appendix 3 – page 15 of the Overview and Instructions) .

2015-16 Projections for High School Credit Courses

Please indicate in the following table the projected number of students to be served and contact hours.

2015-16 PROJECTED STUDENTS ENROLLED IN HIGH SCHOOL CREDIT COURSES	2015-16 TOTAL PROJECTED CONTACT HOURS
	*

*Enter the total on line #3 of the EPE Program Component Summary Sheet (page 3 of the application)

Career and Technical Education Courses that are Eligible for High School Credit

As with all high school credit courses, curricula for occupational programs that comply with the Commissioner's Regulations regarding the awarding of academic credit need not be submitted for approval. Contact hours to be generated by, and students projected for credit-eligible occupational courses, should be included on the above table rather than the Program Component Worksheet for Adult Occupational Education Courses on the following page.

**PROGRAM COMPONENT WORKSHEET FOR
2016-17 WORK EXPERIENCE PROGRAM**

Check if Approved in 2015-16	Projected Students	Projected Contact Hours 1/2 x total work experience hours (work experience component only)	Actual and Projected Job Attainment	
			2015- 2016 (Actual)	2016- 2017 (Projected)
		*		

*Contact hours entered in this column should be **after** the rate calculation, e.g., if 2000 hours of work experience is offered, 1000 hours should be entered (2000 X 50%). **Note: The contact hours entered on the table above should include only contact hours generated by the work experience component. Contact hours generated by the classroom component should be entered on the table entitled “Program Component Worksheet for Traditional Adult Education Instruction” on page 4 of the application.** The number of EPE contact hours that will be claimed for the work experience component should be entered on Line #5 of the EPE Program Component Summary Sheet (page 3 of the application).

Attendance Policy

Provide a description of how attendance is documented below. Specifically describe:

- the agency's attendance policy;
- the format in which attendance is maintained (e.g. physical registers, electronic records);
- adherence to NYSED's half-hour rounding policy
- verification procedures; and,
- other policies on enrollment and absenteeism

Programs Operated in Other School Districts

BOCES –List below all school districts in which traditional EPE programs are located. If a BOCES operates programs located in another BOCES district, list the programs and the school districts in that BOCES area in which programs are located. For distance learning programs, list all BOCES and school districts in which students reside.

Public schools - List below all districts in which traditional programs are located. For distance learning programs, list all school districts in which students reside.

FTE Arrangements with Community Colleges

Non-Credit Full Time Equivalency (FTE) Arrangements in ASISTS - All classes and students funded with FTE arrangements must be coded as such in ASISTS. Both classes and students must have the FTE funding code attached to each file.

List below any community colleges with which the applicant has made arrangements to jointly operate a program using a combination of EPE aid and Non-Credit FTEs. Describe the type of program, the roles and responsibilities of the two agencies, the students being served and generating FTEs and EPE aid, the revenues expected to be generated by the respective funding sources, the expected expenditures from each source, administrative costs and any other details of the contractual arrangement. To generate EPE aid, the instructor must be employed by the school district or BOCES.

Name of Community College: _____

	EPE	Non-Credit FTE
No. of Students Served		
Revenues		
Expenses (including administrative costs)		
Administrative Costs		

BUDGET

Program Administration and Data Entry

Projected EPE aid (from page 3 of the application)_____

Code 15- FTEs for program administration (a full-time program director equals 1.0 FTE)_____. This should be reflected in code 15.***

Code 16 - FTEs for data management/ data entry staff (a full-time data staff person equals 1.0 FTE)_____. This should be reflected in code 16.***

See guidelines for program administration and data entry staff on page 3 of the Overview and Instructions. The application will not be approved unless the minimum administrative staffing requirement is met. Funds to support program administration can be from sources other than EPE aid.

*** If staff person is not fully funded by EPE indicate the other funding source/s here:

\$_____ Name of source: _____

This budget is consistent with the FS10 budget used for categorical grants. While an FS10 is not required for State aid programs, SED is requiring this information to enable staff to review the appropriateness of expenditures. This is a non-binding budget, i.e., funds that are allocated to one cost category can be moved to other categories and the total amount allocated may be greater or less due to a lower allocation than requested, a reallocation, or higher or lower EPE generation than anticipated. Administrative salaries listed in code 15 and data entry salaries listed in code 16 must conform to the requirements on page 3 of the Overview and Instructions.

SALARIES FOR PROFESSIONAL STAFF: Code 15

Include only staff members that are employees of the agency. Do not include consultants or per diem staff. Do not include central administrative staff members that are considered to be indirect costs, e.g., business office staff. One full-time equivalent (FTE) equals one person working an entire week each week of the project. Express partial FTE's in decimals, e.g., a teacher working one day per week equals .2 FTE. It is necessary to include the FTE in order for staff to determine that minimum requirements for program administration and data staff have been met. **Hourly staff may be listed using hourly calculations as long as there is evidence in the previous section entitled Program Administration and Data Entry that confirms that the minimum requirements for staffing are being met.**

Specific Position Title	Full-Time Equivalent	Annualized Rate of Pay	Project Salary
Subtotal - Code 15			

SALARIES FOR SUPPORT STAFF: Code 16

Include salaries for teacher aides, secretarial and clerical assistance, and for personnel in pupil transportation and building operation and maintenance. Do not include central administrative staff members that are considered to be indirect costs, e.g., account clerks.

Specific Position Title	Full-Time Equivalent	Annualized Rate of Pay	Project Salary
Subtotal - Code 16			

PURCHASED SERVICES: Code 40

Include consultants (indicate per diem rate), rentals, tuition, and other contractual services. Copies of contracts may be requested by the State Education Department. Purchased Services from a BOCES, if other than applicant agency, should be budgeted under Purchased Services with BOCES, Code 49.

Description of Item	Provider of Services	Calculation of Cost	Proposed Expenditure
Subtotal - Code 40			

SUPPLIES AND MATERIALS: Code 45

Include computer software, library books and equipment items under \$5,000 per unit.

Description of Item	Quantity	Unit Cost	Proposed Expenditure
Subtotal - Code 45			

INDIRECT COST: Code 90

- A. Modified Direct Cost Base – Sum of all preceding subtotals (codes 15, 16, 40, 45, 46, and 80 and excludes the portion of each subcontract exceeding \$25,000 and any flow through funds)
- B. Approved Restricted Indirect Cost Rate
- C. (A) x (B) = Total Indirect Cost

\$		(A)
	%	(B)
\$		(C)

Subtotal – Code 90

PURCHASED SERVICES WITH BOCES: Code 49

Description of Services	Name of BOCES	Calculation of Cost	Proposed Expenditure
Subtotal – Code 49			

MINOR REMODELING: Code 30

Allowable costs include salaries, associated employee benefits, purchased services, and supplies and materials related to alterations to existing sites.

Description of Work To be Performed	Calculation of Cost	Proposed Expenditure
Subtotal – Code 30		

EQUIPMENT: Code 20

All equipment to be purchased in support of this project with a unit cost of \$5,000 or more should be itemized in this category. Equipment items under \$5,000 should be budgeted under Supplies and Materials, Code 45. Repairs of equipment should be budgeted under Purchased Services, Code 40.

Description of Item	Quantity	Unit Cost	Proposed Expenditure
		Subtotal – Code 20	

BUDGET SUMMARY

SUBTOTAL	CODE	PROJECT COSTS
Professional Salaries	15	
Support Staff Salaries	16	
Purchased Services	40	
Supplies and Materials	45	
Travel Expenses	46	
Employee Benefits	80	
Indirect Cost	90	
BOCES Services	49	
Minor Remodeling	30	
Equipment	20	
Grand Total		

STATEMENT OF GENERAL ASSURANCES
Employment Preparation Education Program

The Superintendent or Chief Administrative Officer of the applying agency certifies that:

- The officer signing the application is officially empowered to act on behalf of the agency.

For the Employment Preparation Education (EPE) programs, other than credit-bearing high school courses, the following program approval requirements will be met:

- A curriculum developed or approved by the State Education Department will be used.
- Instruction will be individually prescribed and paced in each class.
- Individual student folders will be easily accessible to students and teachers, and will include information concerning attendance, testing and program needs as required for the Individual Student Record Form. Copies of original score sheets for pre and post testing will be in every student's folder.
- Class registers may not exceed 20 students unless a written waiver is received.
- Classes will operate at least 6 and not more than 20 hours per week, unless otherwise approved by the Commissioner of Education. Written waivers will not be granted for more than 40 hours per week.
- A total of at least 150 hours of instruction will be made available to individual students.
- Education and employment preparation plans will be developed for individual adult students.
- Each professional staff member serving in the Employment Preparation Education programs will take a minimum of twelve hours of staff development annually related to the development and organization of such programs for adults provided through the NYSED RAEN Centers.
- English-speaking students will be given tests in reading and mathematics to determine their approximate skill level.
- English-speaking students in need of basic skills will be provided instruction in reading, mathematics, oral and written communication and life skills.
- English-speaking students will be given standardized achievement tests which report scores in grade equivalents and which have forms for retesting at required intervals, or will be given other such instruments approved by the Commissioner of Education.

- Students with limited English proficiency will be given placement tests before being placed in appropriate level instructional programs.
- Students with limited English proficiency will be provided instruction in listening, reading, oral and written communication, and life skills.
- Students with limited English proficiency will be given achievement tests specifically designed for such students, or will be given other such instruments approved by the Commissioner of Education.
- Students will not begin instruction specifically designed to prepare them for the High School Equivalency Test unless they read at a 9.0 grade level as measured by a TABE test.
- Students enrolled in approved Distance Learning programs must pre-test equal to or greater than NRS Level 3 or higher based on entrance criteria listed in the Distance Learning Manual.
- Each ABE and ASE student must be pre and post tested in person on the TABE series 9-10 in both Math and Reading.
- Students preparing for the High School Equivalency Test will be given diagnostic tests to determine the specific instruction needed to attain the minimum score to qualify for a New York State High School Equivalency Diploma, and will be provided such instruction.
- Students preparing for the High School Equivalency test will be referred to the test when they demonstrate readiness, as indicated by the TASC Readiness Test or other State Education Department approved instrument. Beginning FY 2016-17, the results reported on the TASC™ Readiness assessment must be recorded in ASISTS and on the T-TAF when referring students to the High School Equivalency test.
- All students will be tested at intervals necessary to determine status and progress.
- Programs will submit required data to the State Education Department via the electronic data system ASISTS.

Agencies will apply minimum requirements for program administration and data staff per the requirements below:

- \$100,000 or less - programs must have at least a .25 FTE administrator and data staff
- \$100,001 - \$160,000 – programs must have at least a .3 FTE administrator and data staff
- \$160,001 - \$220,000 – programs must have at least a .4 FTE administrator and data staff
- \$220,000 - \$300,000 – programs must have at least a .5 FTE administrator and data staff
- \$300,001 – \$380,000 – programs must have at least a .6 FTE administrator and data staff
- \$380,001 - \$460,000 – programs must have at least a .7 FTE administrator and data staff
- \$460,001 - \$540,000 – programs must have at least a .8 FTE administrator and data staff

- \$540,001 - \$620,000 – programs must have at least a .9 FTE administrator and data staff
- \$620,001 and over – programs must have at least a 1.0 FTE administrator and data staff

Administrator and teacher qualifications will be governed by Part 157.1 of the Regulations of the Commissioner of Education.

The facilities used to provide instruction for EPE programs are covered by fire and liability insurance and meet all applicable State or local fire and safety standards.

The heating, lighting and ventilation of instructional facilities are conducive to learning.

The agency will comply with Title IX, Education Amendments of 1972; Title VI of the Civil Rights Act of 1964; the Rehabilitation Act of 1973, and the Americans with Disabilities Act of 1991.

I have completed this application accurately to the best of my knowledge and have read and understood the entire Statement of General Assurances. I understand that Employment Preparation Education aid generated by these programs must be expended only on EPE programs.	
Signature of Superintendent or Chief Administrative Officer (original)	Date
Print or type name	
Agency Address	
Telephone No.	