**2017-2018**
**EMPLOYMENT PREPARATION EDUCATION (EPE)**
**STATE AID PROGRAM APPLICATION**

**Submit this completed application or request an extension by May 15, 2017, to:**

**Extension requests should be sent directly to: epe@nysed.gov**

**New York State Education Department**
**Adult Education Programs and Policy Team**
**89 Washington Avenue**
**Room 460 EBA**
**Albany, NY 12234**

**Overview of the Employment Preparation Education (EPE) Program**

School districts and BOCES may operate an Employment Preparation Education (EPE) State Aid program to provide services for persons aged 21 and older who have not received a high school diploma or its equivalent (see below regarding serving individuals with a high school diploma or high school equivalency diploma).  Agencies requesting approval to operate an EPE State Aid program in 2017-18 must submit a completed application by **May 15, 2017**.  Agencies may request an extension of the filing date to **May 31, 2017** by emailing the Adult Education Programs and Policy Team at epe@nysed.gov

**Services to Individuals with a High School Diploma or High School Equivalency Diploma**

The New York State legislature has enacted legislation authorizing the Commissioner of Education to set aside up to $2.5 million to serve individuals 21 years and older who have a high school diploma or a high school equivalency diploma but "fail to demonstrate basic educational competencies." Commissioner's Regulations define failure to "demonstrate basic educational competencies" as scoring below National Reporting System (NRS) level 5 in Reading, Mathematics or English as a Second Language.  On the TABE, the score is at or below the following reference points:  a grade level score of 8.9 or below in Reading or Mathematics TABE 9 – 10 series, OR for ESL participants, a score of 484 or below on the BEST Plus 2.0 test. Students who have earned an HSE diploma within the previous fiscal year are also eligible to generate contact hours providing they meet the score criteria.

- If the EPE set aside for serving individuals 21 years and older as described above is included in the New York State budget for the program year 2017-18, an agency's allocation of State Aid available to be claimed for these students is capped at 3 percent of total EPE funds allocated to the agency. **This will not affect the total amount of EPE aid allocated to your agency.**  Contact hours must be tracked separately for those with and those without a diploma or equivalency.  This accomplished automatically through ASISTS.  Agencies choosing to serve these individuals will submit separate claims for those with and without a diploma or equivalency. These claim forms are auto-populated through ASISTS.

**Accountability and the National Reporting System (NRS) for Adult Education**

The law and regulations governing the EPE program require that the New York State Education Department (NYSED) evaluate the effectiveness of all programs receiving EPE State Aid.  Agencies failing to perform at an adequate level are required to submit corrective action plans in order to continue receiving EPE State Aid and may lose funding entirely if performance does not improve.  All agencies receiving EPE State Aid are required to record and report data using the NYSED web-based data system, Adult Student Information System and Technical Support (ASISTS).  Contact the Literacy Assistance Center (LAC) at (212) 803-3300 for information on ASISTS or at https://www.asists.com/ Login.aspx .

NYSED has negotiated core performance targets with the United States Department of Education. All EPE program participants must have the goal of advancing an educational functioning level or obtaining a high school equivalency diploma with the exception of those students entering at NRS Level 6 in both Math and Reading. Those students who achieve the NYS High School Equivalency Diploma by passing all five content areas of the TASC are no longer eligible for EPE contact hour reimbursement.

Appendix 2 contains New York State's targets for 2016-17 and 2017-18.

**Data on Distance Learning Programs**

In order to evaluate the effectiveness of distance learning programs, agencies approved by NYSED to offer these programs must identify the programs in ASISTS. Please contact your designated ASISTS support person, or call (212) 803-3357, if you need technical assistance on how to enter this information. In addition, all of the information that is reported for traditional programs, such as demographic information, enrollment information, contact hours, goals, gains and outcomes, must also be included for distance learning students.

**Data on Career and Technical Education**

Agencies offering Career and Technical Education (CTE) courses must include data to assist NYSED in evaluating the effectiveness of these programs. Scores on pre testing, which is done to determine whether the student possesses sufficient basic skills to succeed in the course, must be entered. Post testing is not mandated for students enrolled exclusively in CTE courses. Student demographics, contact hours, and job attainment must also be entered. Follow-up for employment for all CTE students must be done after the student exits the program.

**Requirement for Program Administration and Data Entry Staff**

Many difficulties with program accountability are caused by insufficient staff dedicated to administration and data entry. As a result requirements are set to ensure program accountability. The FTEs listed below are for administrators and data staff dedicated to the EPE Program.

- $100,000 or less - programs must have at least a .25 FTE administrator and .25 data staff
- $100,001 - $160,000 – programs must have at least a .3 FTE administrator and .3 data staff
- $160,001 - $220,000 – programs must have at least a .4 FTE administrator and .4 data staff
- $220,001 - $300,000 – programs must have at least a .5 FTE administrator and .5 data staff
- $300,001 – $380,000 – programs must have at least a .6 FTE administrator and .6 data staff
- $380,001 - $460,000 – programs must have at least a .7 FTE administrator and .7 data staff
- $460,001 - $540,000 – programs must have at least a .8 FTE administrator and .8 data staff
- $540,001 - $620,000 – programs must have at least a .9 FTE administrator and .9 data staff
- $620,001 and over – programs must have at least a 1 FTE administrator and 1 FTE data staff

The minimum staff that an EPE program must have is .25 FTE for administration and .25 FTE for data entry regardless of size. Agencies with an allocation of over $620,000 must have a full-time administrator dedicated exclusively to the Adult Education program as well as a full time data entry person dedicated exclusively to the EPE program. This time **must** be fully dedicated to the EPE program without other duties outside of EPE related responsibilities. Note that administrative and data entry salaries may be paid by sources other than EPE. The administrator salaries must be entered in Code 15 of the budget and the data entry salaries in Code 16.

**Attendance Policy**

EPE State Aid reimburses the school or BOCES for contact hours of service provided, so it is imperative that agencies document student attendance accurately. Attendance must be documented so that every hour of attendance claimed for every student can be verified. Attendance rosters must be certified by the classroom teachers. Documentation must be kept on file for audit purposes.

**Standardized Half-Hour Rounding Policy**

All programs must follow NYSED rounding protocol. All rounding for EPE contact hours must be done on a half-hour schedule. This rounding can be up or down depending upon whether the student arrives late or leaves early or both.

The following chart demonstrates examples of the opportunity to round up or down as contact hours are entered into attendance documents and then entered into ASISTS. Beginning July 1, 2016, all programs must round their student contact hours based on NYSED's policy and enter the hours manually in ASISTS.

In addition, programs are required to maintain documentation of this rounding. The following chart is a sample of how the half hour rounding should be maintained:

| Time Class Scheduled | Time Student Arrives to Class | Round Up or Down | # of contact hours to record for attendance roster providing the student remains in class until 12:00 pm |
|---|---|---|---|
| 9:00 am – 12:00 pm | 9:01 am – 9:14 am | 9:00 am | 3 hours |
| | 9:15 am – 9:30 am | 9:30 am | 2.5 hours |
| | 9:31 am – 9:44 am | 9:30 am | 2.5 hours |
| | 9:45 am – 10:00 am | 10:00 am | 2 hours |
| Time Class Scheduled | Time Student Leaves Class | Round Up or Down | # of contact hours to record for attendance roster providing the student entered the class on time at 9:00 am |
| 9:00 am – 12:00 pm | 11:00 am 11:14 am | 11:00 am | 2 hours |
| | 11:15 am – 11:30 am | 11:30 am | 2.5 hours |
| | 11:31 am – 11:44 am | 11:30 am | 2.5 hours |
| | 11:45 am – 12:00 pm | 12:00 pm | 3 hours |

Policies must also be in place regarding enrollment and absenteeism. Describe your agency's attendance policy and method for keeping records on page 9 of the application.

**Electronic Weekly Attendance**

Programs have the option of recording weekly attendance data electronically in ASISTS. In addition, should the program wish to record and maintain student attendance records electronically, the following protocol must be followed:

- Program provides an Excel electronic attendance spreadsheet to each teacher per class.
- Teacher records daily attendance on the Excel spreadsheet.
- On a weekly basis, the spreadsheet is submitted by the teacher to the data team for entry into ASISTS.
- Teacher certifies the spreadsheet at the conclusion of each week with their electronic signature.
- When data has been verified by the program administrator and entered into ASISTS, the electronic Excel spreadsheet is locked with password protection and stored on a server maintained by the Adult Education program.

- Electronic spreadsheets must be saved for a minimum of seven (7) years.

**Contact Hour/Attendance Data in ASISTS**

Contact hours must be entered into ASISTS by the end of the following month. Example: September contact hours must be entered no later than October 31$^{st}$.

**Geographic Range of EPE Programs**

For information regarding geographic range please go to the EPE Manual, section 416, Programs Operated in Other School Districts. Starting with program year 2017-2018, the policy was modified to include a Memorandum of Undertaning (MOU) requirement. The signed MOU must accompany the program's EPE application. The MOU can be found in Appendix 5 of this application. Any prior arrangements made for geographic arrangements are null and void.

- **BOCES** – On page 10 of the application, enter the names of all school districts in which the BOCES operates programs, or for distance learning programs, districts in which the students reside. If a BOCES operates in another BOCES supervisory district, indicate in which BOCES district and in which school districts within that BOCES area traditional programs are operated. For distance learning programs, indicate in which BOCES district and in which school district the student resides.
- **School Districts** - On page 10 of the application, enter the names of all school districts in which your district operates traditional programs, or in the case of distance learning programs, the districts in which students reside.

**Non-Credit Full Time Equivalency (FTE) Arrangements**

Several community colleges and BOCES and school districts have coordinated programs combining EPE State Aid and non-credit remedial FTE funding. It may be possible for EPE funds to be generated if the teacher is employed by the school district and the arrangement has been approved by NYSED. These arrangements are reviewed and approved on a case by case basis by NYSED management.

Combining funding sources to cover the actual expenses of operating a program is acceptable. It is acceptable to charge tuition to generate additional revenue. However, if the combined total of the tuition plus the EPE aid plus all other sources of revenue for the program exceeds the actual cost for the year, then the excess EPE must be returned to SED. Funds received by the school district or BOCES on a contractual or fee-for-service basis in this arrangement must be considered a part of the total revenues for that school year.

**EPE Manual**

The EPE Manual is available online at http://www.adult-education-accountability.org/ EPE programs are governed in accordance with the EPE Manual. All agency program coordinators should download this document and provide copies to appropriate staff.

**Program Information Form**

All funded agencies will be required to submit a Program Information Form (PIF) prior to September 30th every fiscal year. This form reports information regarding class location, teacher's name, course title, number of students, as well as days, dates and times the class is offered. The PIF is generated directly from ASISTS under the Data Management menu. The PIF must be updated if there are any changes in class offerings or locations.

**In-Person Tutoring for Distance Learning Students**

Students in distance learning programs, including National External Diploma Program (NEDP) students, may attend up to three hours of in-person tutoring in a week. Note that NEDP students cannot receive tutoring from an NEDP practitioner with whom they are working. If the tutoring is done by the distance learning teacher, it must be done outside of the time being claimed as instructional hours for distance learning purposes. All tutoring hours must be recorded in ASISTS as traditional hours in a traditional class code that is labeled as "tutoring".

**Use of ASISTS to Generate EPE Claims**

All agencies must use ASISTS to generate the SA160.1 and SA160.2 claim forms. An agency can claim less than indicated by the ASISTS-generated claims if, for example, there are not enough expenditures to meet the revenues generated in a given year. The State Aid office will reimburse EPE funded agencies for the amount of the allocated contact hours or the amount of expenses incurred by the agency, whichever is less. An agency which decides to submit for less hours than indicated by the ASISTS-generated claim should notify their AEPP Team regional liaison in writing. Every hour that is to be claimed for EPE must be entered into ASISTS.

**Policy on Testing and Contact Hours**

NYSED policy states that ASISTS will not allow the claiming of contact hours for students enrolled in the program for more than 35 hours who have not been pretested (pretest scores must be within valid ranges). Hours recorded beyond 35 will not be counted on the claim forms until the student is pretested. Furthermore, ASISTS does not allow the claiming of contact hours for students who are enrolled in the program for more than 300 hours after the pretest without being posttested. Postest scores must be within valid ranges. After the student is posttested, subsequent hours claimed for the student will be allowed. Please refer to NYSED assessment policy for further direction: http://www.acces.nysed.gov/aepp/assessments

**New Intake Specification**

Students generate EPE State Aid through an initial intake process when they begin with a program. Should the student be exited through ASISTS, if that same student returns for a second Period of Participation (POP) within the same fiscal year, the program must provide another intake process aimed specifically at updating the student's record. The time spent in a subsequent second or possibly third intake process must be recorded in Instructional Activities coded as *POP 2 Intake* or *POP 3 Intake.*

**Fees and tuition**

A number of agencies, primarily those with low EPE rates and high costs, have asked whether fees can be charged to the student. Usually, these fees are labeled "registration fees" or "material fees." It is permissible to charge a nominal fee to support the high cost of intake or to replenish supplies.

Agencies should be mindful that many of the eligible population are receiving public assistance, unemployed, or underemployed. The use of fees to help support the cost of programs should never prevent a potential student from receiving needed services.

Combining funding sources to cover the actual expenses of operating a program is acceptable. It is acceptable to charge tuition to generate additional revenue. However, if the combined total of the tuition plus the EPE aid plus all other sources of revenue for the program exceeds the actual cost for the year, then the excess EPE must be returned to NYSED. NYSED does not encourage charging tuition for any program supported by EPE, with the exception of CTE programs, which tend to be more expensive to operate than the amount reimbursed by EPE.

## Instructions for Completing the Application
## For Employment Preparation Education (EPE) State Aid Programs

**Agency Eligibility**

Local school districts or Boards of Cooperative Educational Services (BOCES) that have been approved previously by NYSED to operate an EPE State Aid program are eligible to apply. Local school districts and BOCES that have not been previously approved to operate an EPE State Aid program should refer to Appendix 5 for additional requirements.

**Participant Eligibility**

Participants who are 21 years or older who do not have a high school diploma or the equivalency issued by any state or territory of the United States can generate EPE aid. Participants who have a high school diploma or a high school equivalency diploma but fail to demonstrate basic educational competencies can also generate EPE aid.

**Instructions**

All agencies must complete and submit the sections of the application described below:

- **Cover Sheet:** This form must be completed.

- **Program Component Worksheet:** Complete the worksheet for each program component for which the agency is requesting approval in 2017-2018. The five component worksheets found on pages 3-7 of the application are: Traditional Adult Education Instruction, Distance Learning Adult Education Instruction, Career and Technical Education, and Work Experience.

- **EPE Program Components Summary Sheet:** On page 7 of the application, provide the total number of projected contact hours and students for each program component that the agency is requesting approval in 2017-18. This information must be taken from the individual program component worksheets.

- **Waivers:** Agencies seeking to waive requirements of the Commissioner's Regulations concerning class size and length of program must request a formal waiver annually. See Appendix I – Waiver Process page 13, page 2 of the application. Agencies must request annually a waiver pertaining to the TASC testing contact hours. (See section 415 of the EPE Manual.)

- **Attendance Policy:** Include a description of the agency's attendance policy by completing page 9 of the application. Include all of the information requested.

- **Programs Operated in Other Districts:** List all school districts in which the agency operates an EPE program by completing page 10 of the application.

- **Non-Credit FTEs:** If applicable, complete page 11 of the application. Include the name of any community college with which the agency has entered into an agreement. Include all of the information requested.

- **Budget Summary:** Complete the **non-binding budget** on pages 12-18 of the application. Include estimates of all anticipated EPE expenditures for 2017-18

  This is not a binding document (i.e., it does not prevent the agency from spending more or less in any budget category). It provides information on fiscal planning for the upcoming year. The total should equal the EPE funding requested. Include information on program administration and data entry staff.

- **Statement of General Assurances:** This form requires an original signature of the Superintendent or Chief Administrative Officer.

## Financial Process

Agencies will submit an EPE Interim Report and Claim Form and a Final Claim Form using the forms generated from the ASISTS database.

- **EPE Claim Form SA 160.1 and Interim Report.** This form must be submitted (emailed or faxed) to the AEPP Team on **February 3, 2018**. An original signature copy is due 10 business days **(February 20, 2018)** after the electronic submission. The form determines the EPE hours through December 31, 2017 that will be claimed for EPE aid **and projects total (FULL YEAR) EPE hours through June 30, 2018**. This form is only available through the ASISTS database. As of February 3, 2018, this form will be frozen in the ASISTS database, such that any amendments to the period from July 1, 2017 to December 31, 2017 must be documented in the EPE amendment log also found in ASISTS. Programs should include **FULL YEAR PROJECTIONS** in their submitted SA 160.1.
- **EPE Claim Form SA 160.2.** This form must be submitted (emailed or faxed) to the AEPP Team on **September 8, 2018**, to claim EPE hours through June 30, 2018. This form is only available through the ASISTS database. An original signature copy is due 10 business days (**September 23, 2018**) after the electronic submission.

## Description of Program Components

With the exception of some approved CTE programs, students must be co-enrolled in an academic literacy program designed to result in educational gain or a diploma for at least 50 percent of the time. This means that no student should be enrolled in a stand-alone non-academic program such as Workplace Essential Skills, Madison Heights, TV411, LifeLines, and On Common Ground without also being enrolled in an academic literacy program.

**Assessment Requirement** – The regulations require that all students enrolled in EPE programs be assessed. Students enrolled in traditional and distance learning programs must be pretested and

posttested. All testing must be provided in person by NYSED adult education certified teachers or K-12 certified teachers. Assessments cannot be mailed to students. Test administrators must be trained and certified through NYSED's RAEN network to administer each of the required assessments: TABE, BEST Plus 2.0, and BEST Literacy.

All instruction in EPE classes must be done by a certified teacher employed by the school district or BOCES.

For the 2017-18 school year, the five EPE program components are:

1. **Traditional Adult Education Instruction** includes the following programs**:**

   Academic programs

   - Adult Basic Education (ABE)
   - High School Equivalency (HSE) preparation
   - English as a Second Language (ESL)

   Non-Academic programs

   - Job Club/National Work Readiness Credential(NWRC)


2. **Distance Learning Adult Education Instruction:** Programs approved by NYSED in which students are not present in a classroom but where instruction is supervised by a teacher. All distance learning programs must conform to the two-week packet model whether a program is comprised of physical packets or delivered electronically.

   Academic programs:
   - National External Diploma Program (NEDP)
   - Giving Ready Adults a Study Program (GRASP)
   - Crossroads Café
   - Skills to Make Adults Ready to Succeed (SMART) (Math and Writing only)

Agencies offering distance learning programs must meet or exceed the same educational gain and New York State high school equivalency test pass rates as traditional classroom programs.

All distance learning classes must be coded appropriately in ASISTS. Each Instructional Offering must have the name of the approved distance learning program in the name of the class.

Agencies requesting approval for any distance learning programs for which they were not approved in the 2016-17 school year must provide the following information:

   ➢ Justification of the need for the program in the geographic area served by the school district;
   ➢ A detailed plan of operation for the program during the 2017-18 school year; and
   ➢ Assurance that teachers for such program areas will have completed NYSED certification training before operating the program. Agencies must contact their RAEN director for information on the appropriate training.

Agencies seeking approval for distance learning programs that were previously approved must meet the guidelines for operating the program as stated in the Statement of General Assurances. The AEPP Team must approve any changes in hours of service or program design. The formula for claiming contact hours for distance learning adult education programs can be found in section 303 of the EPE Manual.

Up to three hours a week of in-person tutoring can be provided in addition to the distance learning packets. A separate traditional class must be established for each tutoring class. These Instructional Offerings must also have the name of the distance learning program plus the word "tutoring."

**NEDP Increase in Generation of EPE Contact Hours:**

**Claiming EPE contact hours for NEDP:**
- Hours are claimed for a one-time only intake assessment (TABE and CASAS) to determine student readiness for NEDP. Reimbursement uses the traditional EPE formula and should be recorded in a traditionally coded class named as "Intake".
- Hours are claimed for the NEDP orientation. Enter a 1 (one) for attendance in the week when the orientation occurs; the 1 (one) will automatically reflect 6 contact hours in ASISTS.
- Hours may be claimed for weekly Face-to-Face Generalized Assessment sessions. Enter a 1 (one) for attendance in the week when the meeting occurs; the 1 (one) will automatically reflect 6 contact hours in ASISTS. This should happen only once.
- When the NEDP program staff have completed a review of a student's work in each of eight competency categories and it is determined that the student has successfully mastered the competencies associated with each category, the program will claim ten (10) contact hours for that completed category. These ten hours will be recorded in a traditionally coded class in ASISTS. When a student has mastered the competencies associated with all eight (8) categories, the program will have earned a total of eighty (80) contact hours.

Eight Competency Categories
   1. Cultural Literacy
   2. Health Literacy
   3. Civic Literacy and Community Participation
   4. Geography and History
   5. Consumer Awareness
   6. Financial Literacy
   7. Science
   8. 21st Century Workplace

- 6 (six) hours per week are claimed for continued Face-to-Face Assessment if the Portfolio Reviewer has determined that all competencies are not demonstrated at 100 percent mastery. Enter a 1 (one) in ASISTS. Process continues until the second and Final Portfolio Review is conducted.

- Students enrolled in the NEDP can receive a maximum of 6 (six) hours per week for tutoring. These hours are recorded in ASISTS and coded as a

traditional class. Tutoring instruction cannot be provided by NEDP staff who serve as the assessor/advisor to the student.

3.  **High School Credit Courses:** Credit bearing courses in which adults (21 years of age or over) can participate to pursue coursework to qualify for training in certain Career and Technical Education programs, e.g. LPN or electrician or in support of other literacy goals. A certified teacher in a classroom setting provides this instruction.

4.  **Career and Technical Education Courses:** Secondary level occupational education courses for adults of at least 100 hours in length. Districts and BOCES must identify programs by Classification of Instructional Program (CIP) code (Appendix 4 - page 17) and submit curricula for SED approval only for programs that have not been approved previously. The applicant agency annually must request a waiver for ALL occupational courses of less than 100 hours including name and hours in program. Students enrolled in CTE may be dual enrolled in literacy classes to generate EPE.

5.  **Work Experience Programs:** Unpaid, structured and supervised appropriate work activities/tasks for a specified period of time in a public or private, profit or not-for-profit setting that enhance and support a written educational and employment plan for the adult student. Agencies wishing to offer a work experience program for the first time in 2017-18 must submit a detailed program description and curriculum. **Agencies that have previously submitted approved curricula for the work experience program do not need to resubmit these curricula but should identify the programs**. The guidelines for work experience programs are described below.

    **Basic Requirements for an EPE funded Work Experience Program**

    - **There is a lifetime limit of 50 weeks of EPE-funded Work Experience per student.** Regardless whether students are in attendance, if they are scheduled for Work Experience, the scheduled time will be measured against the 50 week lifetime maximum.

    - **Total program hours** are defined as the total hours of classroom instruction, plus the total hours of work for each individual in this component. Programs offering between 20-40 hours of classroom instruction per week, plus work, must request written permission from the AEPP Team. Total program hours may not exceed 40 hours per week.

    - **Supervision:** All Work Experience components must be coordinated, supervised, or directed by an individual who meets the following qualifications and who is employed by the local school district or BOCES claiming the EPE State Aid:

      1.  For public school programs other than in New York City and Buffalo, the individual must have a valid New York State teaching certificate (Initial or Professional) <u>or</u> a New York State adult education teaching certificate.

      **OR**

      2.  For programs operating within New York City or Buffalo, the individual must have a New York City or Buffalo teacher's license.

- **Work Site Visitation:** Each student must be visited by a Work Experience coordinator, supervisor or director on a regular basis throughout the entire Work Experience component. These visits should be documented in the student folder. Each student should be visited at least once a week at the work site. In addition, each student must be supervised on the job by an appropriate individual (employee, supervisor, manager, owner, etc.) at the work site who will monitor the student's progress towards specific skills and goals, and will be responsible for recording the student's daily attendance.

  In addition to the above criteria, agencies must ensure that:

  - ➢ All participants fall under the guidelines for generating EPE;
  - ➢ Individual student folders are kept documenting Work Experience, attendance and related information such as work site visits and student progress;
  - ➢ The agency has a system in place to track job placements or other outcomes that may result from Work Experience;
  - ➢ All contact hours are documented.

- **Generation of EPE Aid for Work Experience Programs:** Instructional hours and Work Experience hours completed in Work Experience components that are offered as a part of Traditional Adult Education programs may generate EPE State Aid as follows:

  Classroom instruction must be provided comprising at least 30 percent of total program hours (total program hours are defined as the total number of Work Experience hours, plus hours of classroom instruction per week). Classroom instruction may be any traditional (AEPP approved) academic program. The exception is that up to 50 percent of classroom instruction can be Job Club. Classroom instruction generates EPE at the full contact hour rate. Work Experience generates EPE at a 50 percent contact hour rate (i.e., for every hour of Work Experience, one-half contact hour of EPE aid is generated). Previously approved programs using this model do not have to resubmit curricula or a program design unless there are changes proposed for 2017-18.

  > Note: The contact hours entered on the "Program Component Worksheet for the 2017-18 Work Experience Program" table on page 8 of the application 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.

# Appendix 1

## 2017-18 Annual Waiver Process for Employment
## Preparation Education (EPE) State Aid

The instructions in this appendix must be followed if your agency wishes to modify the limits set in Commissioner's Regulations. **The Waiver Worksheet on page 2 must be completed annually and submitted for approval with your EPE application.**

Class Size

- For changes to the class size, indicate the **maximum** number of students who will be enrolled in the class and the anticipated Average Daily Attendance (ADA). Written waivers must be requested annualy for classes with registers exceeding 20 students but not larger than 35. The waiver will only be granted if the projected ADA does not exceed 25 students.

- On the Waiver Worksheet, describe how instructional quality will be maintained in light of the increased number of students

Class Hours

- For changes to the number of hours the class will operate each week, indicate the minimum or maximum number 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.
- Career and Technical Education Classes - Approval to provide Career and Technical Education programs of less than 100 hours will be granted only in those instances where the agency can provide written documentation that the program will lead to acceptable employment outcomes, or as part of a sequence that leads to employment, licensure, or certification. Programs should **annually** indicate which Career and Technical rograms under 100 hours that they plan to continue offering that have been previously approved.

TASC Testing Waiver

- If NYSED determines that there is a severe shortage of public HSE testing in a region of the state, then NYSED may grant a waiver to an EPE provider who is both a) a public testing center, and b) operates an adult HSE preparation program. Such waiver will allow the EPE provider to generate EPE 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. **The limit for generation of EPE hours is .3 of 1.0 percent (.3 percent) of the EPE providers' prior years' EPE allocation. Such waiver will also allow the EPE provider to claim EPE expenses for HSE test administration. Both this policy and any approved waivers will be reviewed by NYSED annually.**

**All written waivers must be renewed annually. Written waiver requests must be included in the Waiver Worksheet included in this application.**

**New York State's Performance Targets**
**Adult Basic Education and Literacy Services**

| Educational Functioning Level | 2016-2017 | 2017-2018 |
|---|---|---|
| Beginning Literacy ABE | 68% | 68% |
| Beginning ABE | 65% | 65% |
| Low Intermediate ABE | 58% | 59% |
| High Intermediate ABE | 50% | 52% |
| Low ASE | 59% | 60% |
| Beginning Literacy ESL | 61% | 62% |
| Low Beginning ESL | 76% | 76% |
| High Beginning ESL | 74% | 74% |
| Low Intermediate ESL | 69% | 69% |
| High Intermediate ESL | 63% | 63% |
| Advanced ESL | 59% | 60% |

# Appendix 3

## Adult Education Programs and Policy Team
## Regional Assignments

| County | Regional Staff |
|---|---|
| Albany | Constance Carroll |
| Allegany | Kathy Sheehy |
| Broome | Claudia Dean |
| Cattaraugus | Kathy Sheehy |
| Cayuga | Claudia Dean |
| Chautauqua | Kathy Sheehy |
| Chemung | Claudia Dean |
| Chenango | Claudia Dean |
| Clinton | Constance Carroll |
| Columbia | Constance Carroll |
| Cortland | Claudia Dean |
| Delaware | Claudia Dean |
| Dutchess | Anne Frank |
| Erie | Kathy Sheehy |
| Essex | Constance Carroll |
| Franklin | Constance Carroll |
| Fulton | Constance Carroll |
| Genesee | Kathy Sheehy |
| Greene | Constance Carroll |
| Hamilton | Constance Carroll |
| Herkimer | Claudia Dean |
| Jefferson | Constance Carroll |
| Lewis | Constance Carroll |
| Livingston | Kathy Sheehy |
| Madison | Claudia Dean |
| Monroe | Kathy Sheehy |
| Montgomery | Constance Carroll |
| Nassau | Kimberly Malcolm |
| New York City | Patricia Mooney |
| Niagara | Kathy Sheehy |
| Oneida | Claudia Dean |
| Onondaga | Claudia Dean |
| Ontario | Kathy Sheehy |
| Orange | Anne Frank |
| Orleans | Kathy Sheehy |
| Oswego | Claudia Dean |
| Otsego | Claudia Dean |
| Putnam | Anne Frank |
| Rensselaer | Constance Carroll |
| Rockland | Anne Frank |
| Saratoga | Constance Carroll |
| St. Lawrence | Constance Carroll |

| County | Regional Staff |
|---|---|
| Schenectady | Constance Carroll |
| Schoharie | Constance Carroll |
| Schuyler | Claudia Dean |
| Seneca | Kathy Sheehy |
| Steuben | Claudia Dean |
| Suffolk | Kimberly Malcolm |
| Sullivan | Anne Frank |
| Tioga | Claudia Dean |
| Tompkins | Claudia Dean |
| Ulster | Anne Frank |
| Warren | Constance Carroll |
| Washington | Constance Carroll |
| Wayne | Kathy Sheehy |
| Westchester | Anne Frank |
| Wyoming | Kathy Sheehy |
| Yates | Kathy Sheehy |

**Regional staff can be reached at (518) 474-8940**
**Assignments are subject to change.**

**Appendix 4**
**Classification of Instructional Program (CIP) Code and**
**Occupational Area**

01.     Agriculture and Business Production

02.     Agricultural Sciences

03.     Conservation and Renewable Natural Resources

08.     Marketing Operations/Distribution

09.     Communications

10.     Communications Technologies

11.     Computer and Information Sciences

12.     Personal and Miscellaneous Services

13.     Education

15.     Engineering-Related Technologies

20.     Vocational Home Economics

43.     Protective Services

46.     Construction Trades

47.     Mechanics and Repairers

48.     Precision  Production Trades

49.     Transportation and Materials Moving Workers

50.     Visual and Performing Arts

51.     Health Professions and Related Sciences

52.     Business Management/Administrative Services

# Appendix 5

## Geographic Range
## Memorandum of Understanding

*This MOU must be completed when a BOCES is proposing to operate a traditional adult literacy program in a neighboring BOCES or in a school district outside their component school districts. NYSED must approve the MOU before any services are provided.*

**Date of Request: ___/___/____**

**Program Year: _____**

**Name of BOCES proposing to operate the program : _____**

      **Name of Adult Education Manager/Coordinator:**
      **Phone:**
      **Email:**
      **Component School Districts served:_____**

**BOCES District Superintendent: _____**

      **Name:**
      **Address:**
      **Phone**
      **Email:**

| In the spaces below, list the neighboring BOCES or school district where services are proposed (exact address). Please note the intended BOCES or school district must be adjacent to the host school or BOCES boundaries. | |
|---|---|
| | **Does this school district provide any adult education literacy services?**<br>□ Yes    □ No |
| | **Does this school district provide any adult education literacy services?**<br>□ Yes    □ No |
| **In the space below, list the location of the proposed BOCES facility (exact address)** | |
| | |
| **Services the BOCES is proposing to provide:** | □ ABE<br>□ ASE<br>□ ESL |
| **Number of classes to be provided at the proposed site** | ____ ABE<br>____ ASE<br>____ ESL |

**School District Superintendent contact information:**

**Name:**
**Address:**
**Phone:**
**Email:**

| Please list below the time range for each class and total number of potential contact hours planned | | | |
| --- | --- | --- | --- |
| **Proposed Class Type** | **Start and End Time** | **Potential contact hour accrual per semester/year** | **Anticipated # of students** |
| □ ABE<br>□ ASE<br>□ ESL | | | |
| □ ABE<br>□ ASE<br>□ ESL | | | |
| □ ABE<br>□ ASE<br>□ ESL | | | |
| □ ABE<br>□ ASE<br>□ ESL | | | |

_____**BOCES agrees to provide adult literacy services within the school**

**district** _____ **from July 1, _____ through June 30, _____ (NYSED will approve**

**up to a three year time frame).**

_____
**Signature BOCES District Superintendent**                              **Date**

_____ **School District Superintendent agrees to have the**

_____**BOCES provide adult literacy services as prescribed above.**

_____
**Signature School District Superintendent**              **Date**

Note: Any prior arrangements made for geographic arrangements are null and void.

THIS SECTION RESERVED FOR NYSED:

Approved:

# Appendix 6

**School Districts or BOCES applying for Employment Preparation Education (EPE)
Aid for the first time**

In addition to the current year application component information, please submit the following:

**Comprehensive Plan of Service (narrative form), which must include the following:**

- summary of your agency's overall adult education EPE program within your district (not community education);
- an evaluation plan for determining the effectiveness of all program components;
- staff development plans including coordination with the Regional Adult Education Network (RAEN);
- agreement to use the ASISTS system for recording student contact hours, student progress, and student outcomes;
- a description of student intake, assessment and evaluation procedures;
- a description of the plan to coordinate programming regionally to assure maximum effectiveness and avoid duplication of services;
- support for initiatives identified annually by AEPP (see current application); and,
- signed Statement of General Assurances demonstrating compliance with required program and fiscal reporting.

**Submit as Appropriate**

- copies of locally developed curriculum for career and technical education courses;
- list of teachers' names and dates training took place for distance learning component models;
- list of names and dates ASISTS training took place; and,
- narrative description of your work experience component program that includes assessment, case management, attendance procedures, and post-case management (job retention) activities.

If you have questions on any of the above, please contact your Adult Education Programs and Policy Team technical assistance representative (see Appendix 3 – page 15 of the Overview and Instructions).

# EMPLOYMENT PREPARATION EDUCATION (EPE)
# STATE AID PROGRAM
# APPLICATION 2017-18
# (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)

Email Address _____
(if different from above)

## WAIVER WORKSHEET FOR
## ADULT EDUCATION CLASSES for FY2017-2018

| 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: | |
| | Assurances that class quality and expected educational outcomes will not be adversely affected: | |
| | | |
| 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: | |
| | Justification Narrative for Max # of hours: | |
| | | |
| Career & Technical Education 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 | |
| | Identification and narrative description | |
| | | |
| 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: | |
| | 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: | |
| | | |

## 2017-18 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 2016-2017 (last year's) EPE rate = estimated EPE aid to be generated

Line 5 _____ x _____ = $_____

Total projected EPE expenditures for 2017-18 $_____ (**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 2016-17 | NUMBER OF STUDENTS PROJECTED FOR 2017-18 | NUMBER OF CONTACT HOURS PROJECTED FOR 2017-18 |
|---|---|---|---|
| **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) | | | |
| Workplace Essential Skills | | | |
| | | | * |
| 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 2016-17 | NUMBER OF STUDENTS PROJECTED FOR 2017-18 | NUMBER OF CONTACT HOURS PROJECTED FOR 2017-18 |
|---|---|---|---|
| **Adult Basic Education (ABE)** | | | |
| Skills to Make Adults Ready to Succeed (SMART) Academic component only. | | | |
| **Adult Secondary Education (ASE)** | | | |
| NEDP | | | |
| GRASP | | | |
| **English as a Second Language (ESL)** | | | |
| Crossroads Café | | | |
| **Non-academic Programs**\*\* | | | |
| Job Club (may include National Work Readiness Credential) | | | |
| Workplace Essential Skills | | | |
| Madison Heights | | | |
| TV411 | | | |
| On Common Ground | | | |
| LifeLines | | | |
| Total | | | * |

*Enter this total on Line #2 of the EPE Program Component Summary Sheet (page 3 of the application)
**Specific curriculum must meet with NYSED approval

6

# *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 of the Overview and Instructions) .

## *2017-18 Projections for High School Credit Courses*

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

| 2017-18 PROJECTED STUDENTS ENROLLED IN HIGH SCHOOL CREDIT COURSES | 2017-18 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 CAREER AND TECHNICAL EDUCATION COURSES

Eligible courses for adult occupational programs must be at least 100 hours in length, with approved secondary curricula that prepares adults for employment or skills enhancement in specific occupational areas, and taught by teachers meeting New York State Education Department certification requirements for the courses.  Please indicate in the upper section of the following table any **new** adult occupational courses to be offered, the projected number of students to be served and contact hours.  To approve new adult occupational courses, curriculum must be submitted with this application, for each course.   In the lower section enter the total number of occupational courses approved in previous comprehensive plans and, on the same line, the projected number of students to be served and contact hours to be generated by these courses.  On the bottom line enter the total projected number of students to be served and contact hours to be generated by both new and previously approved courses.  For CIP code and occupational area, see Appendix 4.  See Appendix 1 for approval of occupational programs of less than 100 hours.

| NEW COURSES FOR 2017-18 Course Title | CIP Code | Career and technical education Area by CIP Code | Course Hours | Projected Students | Projected Contact Hours |
|---|---|---|---|---|---|
| | | | | | |
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| TOTAL – NEW | | | | | |
| **PREVIOUSLY APPROVED COURSES** | | **TOTAL -Previously Approved Courses** | | | |
| TOTAL – NEW + PREVIOUSLY APPROVED | | | | * | * |

*Enter the totals on line #4 of the EPE Program Component Summary Sheet on page 3 of the application

**PROGRAM COMPONENT WORKSHEET FOR**
**2017-18 WORK EXPERIENCE PROGRAM**

| Check if Approved in 2016-17 | Projected Students | Projected Contact Hours 1/2 x total work experience hours (work experience component only) | Actual and Projected Job Attainment | |
|---|---|---|---|---|
| | | | 2017-2018 (Actual) | 2017-2018 (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 <u>only</u> 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 <u>claimed</u> 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.

**School Districts** - Enter the names of all school districts in which your district operates traditional programs, or, in the case of distance learning programs, the districts in which students reside.

**Complete Appendix 5  and include your signed MOU for any Geographic Arrangements.**

# 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.

Several community colleges and BOCES and school districts have coordinated programs combining EPE State Aid and Non-credit Remedial FTE funding. It may be possible for EPE funds to be generated if the teacher is employed by the school district and the arrangement has been approved by NYSED. These arrangements are reviewed and approved on a case by case basis by NYSED management. Please refer back to section 420 of the EPE Manual.

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: _____

$_____          Name of source: _____

$_____          Name of source: _____

$_____          Name of source: _____

$_____          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 |  |

14

## TRAVEL EXPENSES:  Code 46

Include pupil transportation, conference costs and travel of staff between instructional sites. Specify agency approved mileage rate for travel by personal car or school-owned vehicle.

| Position of Traveler | Destination and Purpose | Calculation of Cost | Proposed Expenditures |
|---|---|---|---|
|  |  |  |  |
|  |  | Subtotal - Code 46 |  |

## EMPLOYEE BENEFITS:  Code 80

Rates used for project personnel must be the same as those used for other agency personnel.

| Benefit | | Proposed Expenditure |
|---|---|---|
| Social Security | | |
| Retirement | New York State Teachers | |
| | New York State Employees | |
| | Other | |
| Health Insurance | | |
| Worker's Compensation | | |
| Unemployment Insurance | | |
| Other (Identify) | | |
| | | |
| | | |
| | | |
| Subtotal – Code 80 | | |

15

**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)

| | |
|---|---|
| $ | (A) |
| % | (B) |

B.  Approved Restricted Indirect Cost Rate

C.  (A)  x  (B) = Total Indirect Cost          Subtotal – Code 90

| | |
|---|---|
| $ | (C) |

## 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 approved by NYSED will be used.

- Instruction will be individually prescribed and paced in each class.

- Education and Employment Preparation plans will be developed for individual adult students.

- Individual student folders will be in a central location such that students and teachers can access them. The folders must include information concerning:
    - Attendance
    - Individual Student Record Form (ISRF) issued annually by NYSED
    - Assessment score sheets (for all pre and post-tests)
        - BEST 2.0 score sheet or electronic report (individual by student)
        - BEST Literacy scoring booklet
        - TABE test score sheet
        - TASC Readiness Assessment score sheet (if applicable)
    - Americans with Disabilities Act declaration
        - Original signature from student
    - Education and Employment Plan (EEP)
        - Customized to student's entry literacy levels and goal selection
        - Updated at least quarterly
- Class registers may not exceed 20 students unless a written waiver is granted by NYSED.

- Classes will operate at least six and not more than 20 hours per week, unless a written waiver is granted by NYSED. 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.

- Each professional staff member serving in the Employment Preparation Education programs will attend a minimum of twelve hours of professional development annually offered by the Regional Adult Education Network.

- English-speaking students will be given NYSED assessments 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, verbal and written communication.

- English-speaking students will be given NYSED approved assessments which do have forms for post-testing as per NYSED assessment policy.

- Students with limited English proficiency will be given NYSED approved assessment before being placed in appropriate level instructional programs.

- Students with limited English proficiency will be provided instruction in listening, reading, verbal and written communication.

- Students with limited English profieciency will be given NYSED approved assessments for post-testing as per NYSED assessment policy.

- Each ABE and ASE student must be pre and post tested in person on the NYSED approved assessment in both Math and Reading.

- Students preparing for the High School Equivalency test will be referred to the test when they demonstrate readiness, as indicated by the readiness assessment or other NYSED approved instrument.

- Programs will submit required data to NYSED via the electronic data system ASISTS on a quarterly basis.

- Scores from the readiness assessment must be recorded in ASISTS and on the T-TAF when referring students to the High School Equivalency test.

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
- $220,001 - $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 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                              SAMPLE | |
| Telephone No. | |