

**Announcement of Funding Opportunity**  
**2025 – 2030**  
**State Adult Literacy Education (ALE)**  
**Procurement Number GC25-007**

<b>Legislative Authority</b>	Public Law 113-128; Education Law §207 & Chapter 53 of the Laws of 2002
<b>Purpose of Grant</b>	Adult Literacy Education (ALE) provides funding to support adult literacy education programs including Adult Basic Education (ABE), English for Speakers of Other Languages (ESOL), and Adult Secondary Education (ASE) programs. At least 50 percent of the participants receiving services must be at the lowest beginning New York Reporting System (NYRS) of Adult Basic Education and/or English for Speakers of Other Languages that is NYRS Levels 1 and 2. Up to 50% can be for participants at the highest two levels of Adult Secondary Education that is NRS Levels 5 and 6. These students must be preparing to take the NYS HSE exam leading to an HSE diploma.
<b>Project Period</b>	Successful applicants will be funded for July 1, 2025, through June 30, 2030.
<b>Eligible Applicants</b>	Public and private not-for-profit agencies, including 2- and 4-year colleges, community-based organizations, libraries, volunteer literacy organizations, other not-for-profit organizations and consortia of the above organizations.
<b>Amount of Funding</b>	<p>\$10,093,000 per year ALE funding</p> <p><b>Component A</b> (Direct Student Services) - Funding (\$9,193,000)</p> <p><b>Component B</b> (One-on-one Support and Technical Assistance Centers for Adult Education Programs) - Funding (\$900,000)</p> <p><i>Continuous funding beyond Year One will be contingent upon the State Legislature appropriating funds.</i></p>
<b>Application Due Date and Submission Instructions</b>	Applicants are requested to submit their application electronically through HighQ. The required documents, as listed in the Application Checklist section of this RFP, must be received via <a href="#">online form</a> no later than <b>May 14, 2025</b> .
<b>Questions and Answers</b>	Questions regarding the request must be submitted via <a href="#">online form</a> no later than the close of business April 17, 2025. A Questions and Answers Summary will be posted to <a href="#">NYSED's Procurement Opportunities website</a> no later than April 28, 2025.
<b>Pre-qualification Requirement</b>	Proposals received from nonprofit applicants that are not Prequalified in the Statewide Financial System (SFS) by 5:00 PM on the proposal due date of <b>May 14, 2025</b> cannot be evaluated. Such proposals will be disqualified from further consideration. Please see the "Prequalification Requirement" section for additional information.
<b>Non-Mandatory</b>	The Notice of Intent (NOI) is not a requirement for submitting a complete application by the application date; however, NYSED strongly encourages

<b>Notice of Intent</b>	all prospective applicants to submit an NOI to ensure a timely and thorough review and rating process. A non-profit applicant's NOI will also help to facilitate timely review of their prequalification materials. The notice of intent is a simple email notice stating your organization's (use the legal name) intent to submit an application for this grant. Please also include your organization's NYS Vendor ID. The due date is April 21, 2025. Please send the NOI via this <a href="#">online form</a> .
<b>NYSED Designated Contacts</b>	Program: <b>Miranda Prime</b> Fiscal: <b>Tara Wildove</b> M/WBE: <b>Tara Wildove</b> Contact: <a href="mailto:cauhighqsupport@nysed.gov">cauhighqsupport@nysed.gov</a>

The State Education Department does not discriminate on the basis of race, creed, color, national origin, religion, age, sex, military, marital status, familial status, domestic violence victim status, carrier status, disability, genetic predisposition, sexual orientation and criminal record in its recruitment, educational programs, services, and activities. NYSED has adopted a web accessibility policy, and publications designed for distribution can be made available in an accessible format upon request. Inquiries regarding this policy of nondiscrimination should be directed to the Office of Human Resources Management, Room 528 EB, Education Building, Albany, New York 12234.

**2025 – 2030 State Adult Literacy Education (ALE)  
Procurement Number GC25-007**

**Program Summary**

The Adult Literacy Education (ALE) grant provides funding to support adult literacy education programs including Adult Basic Education (ABE), English for Speakers of Other Languages (ESOL), and Adult Secondary Education (ASE) programs. The ALE grant seeks grantees that will help increase the literacy levels of participants at the lowest Functioning Levels as represented by the New York Reporting System (NYRS) Educational Functioning Levels of Adult Basic Education and/or English for Speakers of Other Languages (ESOL). At least 50 percent of the participants receiving services must be at the lowest Functioning Literacy Levels (NYRS Levels (1 through 2.5) and up to 50 percent can be allocated for participants at the highest two levels of Adult Secondary Education (ASE) that is NRS Levels 5 and 6. Students in Adult Basic Education, must be assisted in preparing for the NYS High School Equivalency (HSE) exam, leading to an HSE diploma.

The anticipated contract start date is July 1, 2025, with an end date of June 30, 2030.

**Funding Amounts**

The total funding anticipated for this grant program is \$10,093,000 per year.

\$10,093,000 is available in State funds per year for direct adult education programming Component A and technical assistance Component B, subject to the appropriation and availability of funds, for the five-year period of July 1, 2025, to June 30, 2030. Bidders are required to comply with NYSED's Minority and Women-Owned Business Enterprises (M/WBE) participation goals for this RFP through one of three methods. Compliance methods are discussed in detail in the Minority/Women-Owned Business Enterprise (M/WBE) Participation Goals section below.

Under this RFP, AEPP seeks to fund two components: **Component A** \$9,193,000 for Direct Student Services and **Component B** \$900,000 for One-on-one Support and Technical Assistance Centers for Adult Education Programs for a total award amount of \$10,093,000 per year. Applicants may submit an application for either Component A or Component B, but not both. Under Component A an applicant may submit only one application within each RAEN region.

**Eligible Applicants**

The following organizations are eligible to apply for Component A or Component B:

1. Community-based organizations with demonstrated effectiveness;
2. Volunteer literacy organizations with demonstrated effectiveness;
3. Public and private not-for-profit agencies, including 2 and 4-year colleges with demonstrated effectiveness;
4. Libraries with demonstrated effectiveness;
5. Non-profit organizations with demonstrated effectiveness
6. Consortia of the above organizations with demonstrated effectiveness

7. For-profit organizations are NOT eligible to apply

### **NYSED Consortium Policy for State and Federal Discretionary Grant Programs**

Participants can form a consortium to apply for the grant. In order to do so, the consortium must meet the following requirements:

1. The consortium must designate one of the members to serve as the applicant and fiscal agent for the grant. The applicant agency must be an eligible grant recipient. All other consortium members must be eligible grant participants, as defined by the program statute or regulation.
2. In the event a grant is awarded to a consortium, the grant or grant contract will be prepared in the name of the applicant agency/fiscal agent, not the consortium, since the group is not a legal entity.
3. The applicant agency/fiscal agent must meet the following requirements:
  - a. Must be an eligible grant recipient as defined by statute;
  - b. Must receive and administer the grant funds and submit the required reports to account for the use of grant funds;
  - c. Must require consortium partners to sign an agreement with the fiscal agent that specifically outlines all services each partner agrees to provide.
  - d. Must be an active member of the partnership/consortium.
  - e. Cannot act as a flow-through for grant funds to pass to other recipients. NYSED has established a minimum level of direct service of 20% to be provided by the fiscal agent.
  - f. Is PROHIBITED from sub-granting funds to other recipients. The fiscal agent is permitted to contract for services with other consortium partners or consultants to provide services that the fiscal agent cannot provide itself.
  - g. Must be responsible for the performance of any services provided by the partners, consultants, or other organizations and must coordinate how each plan to participate.

**Description of Component A** – The anticipated total funding for direct instruction, Component A, is \$9,193,000 annually for Adult Basic Education (ABE) and English for Speakers of Other Languages (ESOL) services that have demonstrated effectiveness. These funds will be distributed to the seven Regions in New York State (NYS): Capital/North; Central/Southern Tier; Finger Lakes; Hudson Valley; Long Island; New York City; and the West.

The seven (7) Regional Adult Education Network (RAEN) Regions are:

1. **New York City Region:** Bronx, Kings, Manhattan, Queens and Richmond;

2. **Long Island Region:** Nassau, Suffolk counties;
3. **Hudson Valley Region:** Dutchess, Orange, Putnam, Rockland, Sullivan, Ulster and Westchester counties;
4. **Capital/North Region:** Albany, Clinton, Columbia, Essex, Franklin, Fulton, Greene, Hamilton, Jefferson, Lewis, Montgomery, Rensselaer, Saratoga, Schenectady, Schoharie, St. Lawrence, Warren, and Washington counties;
5. **Central/Southern Tier Region:** Broome, Cayuga, Chemung, Chenango, Cortland, Delaware, Herkimer, Madison, Oneida, Onondaga, Oswego, Otsego, Schuyler, Steuben, Tioga and Tompkins counties;
6. **Finger Lakes Region:** Genesee, Livingston, Monroe, Ontario, Orleans, Seneca, Wayne, Wyoming and Yates counties; and
7. **West Region:** Allegany, Cattaraugus, Chautauqua, Erie and Niagara counties.

Chart 1	Direct Instruction Funding Component A	
Region	Funding Available	Maximum Award
New York City	\$ 5,240,010	\$300,000
Long Island	\$ 1,011,230	\$270,000
Hudson Valley	\$ 919,300	\$270,000
Capital District/North	\$ 551,580	\$200,000
Central/Southern Tier	\$ 551,580	\$250,000
Finger Lakes	\$ 459,650	\$200,000
West	\$ 459,650	\$200,000
Total	\$ 9,193,000	

**Description of Component B** – funds two (2) Support and Technical Assistance Centers (STAC) for a grant award of \$450,000 for each grantee, with a total of \$900,000 per year. The technical assistance services provided by STAC's with demonstrated effectiveness is geared towards helping adult education programs meet their NYRS benchmarks by conducting in person site monitoring and remote monitoring to all ALE programs annually within their respective region:

- (1) for programs in New York City (NYC) (\$450,000) Region and;  
 (1) for programs in Rest of State (ROS) (\$450,000) Regions

Chart 2	Technical Assistance (STAC) Funding Component B Component B	
Region	Funding Available	Maximum Award
Component B NYC STAC	\$ 450,000	\$450,000
Component B ROS STAC	\$ 450,000	\$450,000
Total	\$ 900,000	

## **Funding Requirements**

- a. Subcontracting will be limited to thirty percent (30%) of the total contract budget. Subcontracting is defined as non-employee direct personal services and related incidental expenses, including travel.
- b. Funds provided through this RFP shall in no way duplicate reimbursement or other funding provided by NYSED, or any other federal, state or local government entity. Funds cannot be used to supplant other federal, state or locally funded programs. Fiscal guidance can be found at NYSED Grants Finance website for assigning proposed costs to appropriate categories.
- c. Grant funds are intended for direct services to individuals in Component A and Technical Assistance for adult education programs in Component B. The reasonable costs of appropriate support services, such as educational counseling and case management, to support the participants instructional program are allowable in Component A.

## **Administrative Costs**

Administrative costs are not to exceed 5% of the grant but may be negotiated higher than 5% with NYSED/AEPP if the 5% is too restrictive. In order to request and negotiate an increase above 5% for administrative costs, submit a one-page justification and attestation for the necessity of the increase, signed and dated by the overseer of the contract (Superintendent or Executive Leadership) with the fiscal renewal documentation.

## **Indirect Costs**

Not-for-Profit Community-Based Organizations may use 2.6%; however, agencies may apply for a higher rate, up to 8%, by completing the FS-87-R forms which are available by contacting Grants Finance directly. The completed FS-87-R must be submitted to Grants Finance no later than January 30th for review and approval. The rate for higher education institutions is 8%. The calculated rates are the maximum indirect cost rates for these agencies.

## **Allowable and Non-Allowable Expenditures**

Funds provided through this RFP shall in no way duplicate reimbursement or other funding provided by NYSED, or any other federal, state or local government entity. Funds cannot be used to supplant other federal, state or locally funded programs. Fiscal guidance can be found at NYSED [Grants Finance website](#) for assigning proposed costs to appropriate categories.

Grant funds are intended for direct services to individuals in Component A and Technical Assistance for adult education programs in Component B. The reasonable costs of appropriate support services, such as educational counseling and case management, to support the participants instructional program are allowable in Component A.

***The following are allowable expenditures and are considered as instructional activities under this RFP:***

1. Instruction
2. Assessment, tracking and documenting participant outcomes
3. Regional networking with others in the Local Workforce Development area
4. Curriculum development incorporating NYSED College and Career Readiness standards
5. Coordination and planning for integrated family literacy components
6. Case management and intake activities
7. Instructional technology
8. Computers, laptops, software, Internet access
9. Materials and supplies, and
10. Administration and supervision of instruction
11. Advertisement to increase the awareness of adult education services (posters and other marketing tools as approved by AEPP)
12. Student Transportation, Childcare, and Dependent Care
13. Adult Education Teacher Certification expenses for AEPP funded teachers

#### **Examples of Non-Allowable Expenditures**

1. Advertising for purposes other than the recruitment of participants into the program or public relations for other than reporting progress
2. Promotional items and memorabilia, except as identified above as allowable advertising
3. Meetings relating to fund-raising
4. Expenditures on general purpose equipment, e.g., office furnishings, air conditioning, reproduction and printing equipment
5. Capital improvements which add permanent value
6. Food and beverages
7. Audits or accounting expenses

#### **Budget (FS-10)**

1. Applicants must submit an FS-10 budget for **each year** of the project. Applicants should complete and submit five separate FS-10 budgets, or one for each year of the program. The budget will be reviewed and scored.
2. Budgeted costs must be in compliance with applicable State and federal laws and regulations and the Department's Fiscal Guidelines. These guidelines, as well as the FS-10 form, are available online at the Grants Finance website. The FS-10s must bear the original signature of the Chief School/Administrative Officer.

3. Information about the categories of expenditures and general information on allowable costs, applicable cost principles and administrative regulations is available in the Fiscal Guidelines for Federal and State Aided Grants.
4. The budgets should be reasonable and appropriate to cover program expenses. For more information, visit the Grants Finance website.
5. The FS-10 Budget Form and Budget Narrative describe how the expenditures and activities are supplemental to and do not supplant or duplicate services currently provided.

### **Entities' Responsibility**

Projects must operate under the jurisdiction of the local board of education, or other appropriate governing body, and are subject to at least the same degree of accountability as all other expenditures of the local agency. The local board of education, or other appropriate governing body, is responsible for the proper disbursement of, and accounting for, project funds. Written agency policy concerning wages, mileage and travel allowances, overtime compensation, or fringe benefits, as well as State rules pertaining to competitive bidding, safety regulations and inventory control must be followed. Supporting or source documents are required for all grant-related transactions entered into the local agency's recordkeeping systems. Source documents that authorize the disbursement of grant funds consist of purchase orders, contracts, time and effort records, delivery receipts, vendor invoices, travel documentation and payment documents. Programs may not create policies and represent them as NYSED issued policies. For all AEPP issued policies and guidance, please visit the [AEPP website](#).

Supporting documentation for grants and grant contracts must be kept for at least six years after the last payment was made unless otherwise specified by program requirements. Additionally, audit or litigation will "freeze the clock" for records retention purposes until the issue is resolved. All records and documentation must be available for inspection by State Education Department officials or their representatives.

For additional information about grants, please refer to the [Fiscal Guidelines for Federal and State Aided Grants](#).

### **Payment Schedule**

Payments will be made to the contractor as follows or as noted on the Grant Award Notice (GAN): Not for profit institutions receive 25% for the first payment, up-to 90% payout based on FS-25 and cash need, and the remaining 10% if applicable, paid at the completion of the services.

As noted on the [Fiscal Guidelines for Federal and State Funded Grants](#):

Following program office review and approval of the budgets/FS-10s, it is sent to Grants Finance for processing. For grants, a copy of the approved budgets/FS-10s, accompanied by a grant



status report, is mailed to the local agency by Grants Finance. For grant-contracts, the approved budgets/FS-10s are sent to the local agency as part of the contract which must be reviewed and agreed to (signed) by the local agency, then returned to NYSED for final state approval.

### **Budget Process**

1. The local agency notes any changes to the Budget (Form FS-10) and establishes project accounting records.
2. At the same time, but under separate cover, a formal Grant Award Notice (GAN) is sent to the local agency by Grants Finance. For grant contracts, the Grant Award Notice is included in the contract.
3. Depending upon the program, an automatic first payment may be made. The availability and amount of first payments vary due to statutory, regulatory or policy requirements; refer to the Grant Award Notice for each grant regarding the availability and amount of the first payment. For grant contracts, refer to the contract for the Grant Award Notice and a payment schedule.
4. The NYSED program office may notify local agencies of any special conditions of the grant or any requirements to provide additional information, such as performance reports.
5. Subsequent budgetary changes requiring prior NYSED approval are requested by the local agency through Proposed Amendment for a Federal or State Project (Form FS-10-A). Submit FS-10-As to the NYSED program office responsible for managing the program.
6. To request funds for a particular grant program, local agencies must submit Request for Funds (Form FS-25) for a Federal or State Project. The amount of funds requested at any one time may only include actual expenditures to date plus, in some cases, anticipated expenditures for the next month. Submit Requests for Funds (Form FS-25s) only when reimbursement for expenditures is required or, if permitted, expenditure of the funds will occur within the next month. There is no requirement to submit the form once a month or to submit a form requesting a zero payment. However, supporting documentation (such as copies of invoices, payroll information, etc.) may be requested.
7. Once project activities are completed and all expenditures have been made (all bills paid), the local agency submits an original and one copy of the Final Expenditure Report (FS10-F) for a Federal or State Project to Grants Finance unless other/special routing instructions have been provided by the program office. Grants Finance reviews the final expenditure report, determines the final approved total of project expenditures, and reimburses any funds owed to the local agency. At this point, the grant is closed.

***NYSED reserves the right to require the timely submission of a complete FS-10-F and any supporting or source documentation for monitoring or auditing purposes.***

## **Description of Services to be Performed**

### **Eligible Program Participants - Component A**

Eligible program participants for direct instructional programs include adults and out of school youth that are at least 16 years of age and are not enrolled or not required to be enrolled in secondary school under New York State law, and who present with at least one of the following:

1. Lack sufficient mastery of basic educational skills to enable them to function effectively in society, including those who lack sufficient mastery of digital literacy skills;
2. Do not have a High School Diploma or its recognized equivalent, and have not achieved an equivalent level of education;
3. Are unable to speak, read, or write the English language fluently;
4. At least 50% of the projected participants served under this funding source **must** be at the lowest New York Reporting System's (NYRS) Educational Functioning Levels (EFL) of Adult Basic Education (NYRS Levels 1 – 2.5) and/or English for Speakers of Other Languages (NYRS Levels 1 – 2.5); See Appendix 2 - New York Reporting System (NYRS) For Adult Literacy Education (ALE)
5. Up to a maximum of 50% of the projected participants served under this funding source may be at the highest Adult Secondary Education New York Reporting System's (NYRS) Educational Functioning Levels NYRS 5 and 6.

### **Direct Instruction Requirements - Component A**

Direct instructional or AEPP approved remote/hybrid instructional programs shall operate in accordance with the following guidelines developed by the New York State Education Department (NYSED/AEPP) for adult education programs.

Programs of Instruction must include Adult Basic Education (ABE) this includes reading and mathematics, English for Speakers of Other Languages (ESOL) and Adult Secondary Education (ASE) and high school equivalency test preparation with a minimum of 6 hours of instruction designed to:

1. Assist adults to become literate and obtain the knowledge and skills necessary for employment and self-sufficiency, including those who lack sufficient mastery of digital literacy skills;
2. While remote/hybrid instruction is permissible, there should be a focus on providing fully in-person educational services to lower-level learners under NRS/NYRS Level 2. Lower-level students benefit the most from in-person instruction therefore, AEPP should be consulted and must provide approval prior to providing remote/hybrid instruction to lower-level learners under NYS/NYRS Level 2. Whenever remote/hybrid instruction is provided, learners must receive high quality and the same educational opportunities as in person students;
3. Assist remote/hybrid learners to meet gains towards their goals and improve literacy levels;

4. Continuous poor performance that does not demonstrate student gain and progress with in person or remote/hybrid instruction, may lead a program to Corrective Action, which may result in the termination of the program services or funding;
5. Assist adults who are parents to obtain the educational skills necessary to become full partners in the educational development of their children;
6. Assist adults in the attainment of High School Equivalency (HSE).

### Assessment Requirements

Student assessment and post-testing should be accomplished with NYSED/AEPP approved standard assessment instruments. The BEST Plus 3.0 and the BEST Literacy 2.0 tests are acceptable to measure English language acquisition and TABE CLAS-E.

Chart 3	Assessment Configuration
Intensity of Program	Post-Test Schedule
Six (6) to Nine (9) hours per week led by *AEPP Teachers <i>*AEPP teachers that provide direct instruction and have met RAEN sponsored 14 hours of professional development</i>	Post-test at 40 contact hours *Until MSG has been met
Volunteer Tutors <i>*Volunteers providing one-to-one instruction and small groups</i>	Post-test at 30 contact hours *Until MSG has been met

### ALE Performance Targets

Chart 4		New York State's Performance Targets Adult Basic Education, Adult Secondary Education, and English for Speakers of Other Languages
Measure		2025-2030 Target
Adult Basic Education - Level 1		52%
Adult Basic Education – Level 2		59%
Adult Basic Education – Level 3		55%
Adult Basic Education – Level 4		49%
Adult Basic Education – Level 5		54%
Adult Secondary Education – Level 6		51%
ESL – Level 1		50%
ESL –Level 2		51%
ESL – Level 3		54%
ESL – Level 4		56%
ESL – Level 5		54%

ESL – Level 6	53%
Employment (second quarter after exit)	35.50%
NY High School Equivalency Diploma	49%

### AEPP Performance Benchmarks

ALE programs have the flexible option of obtaining Measurable Skill Gain (MSG) through middle range gain counted towards MSG for students in Levels 1 through 4. Gain may also be obtained through either Math or Reading for ABE students. Median Income Reported and Employment 4th Quarter after Exit is not required for ALE reporting, all other benchmarks are applicable. See New York State – Adult Education Benchmarks and Chart 5 below.

*\* Performance Benchmarks are subject to annual changes*

Chart 5		New York State – Adult Education Benchmarks	
Education Functioning Levels		Measurable Skill Gain	
ABE Level 1:	52%	MSG:	53%
ABE Level 2:	59%		
ABE Level 3:	55%	Post-Test Rate	
ABE Level 4:	49%	Overall:	70%
ABE Level 5:	54%	Students Eligible for a Post Test:	90%
ABE Level 6:	51%		
		Follow-up Outcomes	
ESL Level 1:	50%	Employment Quarter 2:	35.50%
ESL Level 2:	51%	Employment Quarter 4:	31%
ESL Level 3:	54%	Manual Survey Response Rate:	90%
ESL Level 4:	56%		
ESL Level 5:	54%	Median Earnings (Second Quarter After Exit)	
ESL Level 6:	53%	Median Earnings:	\$5,960
Credential Rate			
Credential Rate:			49%

In addition to the core outcome measures, NYSED/AEPP requires all programs funded under this RFP to adhere to the NYRS established secondary outcome measures as listed on Chart 6.

### Secondary Outcome Measures

Chart 6	Required Secondary Outcome Measures
NYRS Outcome Measure	Description

Referred for supported resources as needed	Co-Enrolled into other services provided by WIOA partners, by means of referrals. WIOA partners such as: Temporary Assistance for Needy Families (TANF), DOL Virtual Career Center, Vocational Rehabilitation, Wagner-Peyser Act etc.
Achieved Citizenship Skills	Participant attained the skills needed to pass the United States citizenship exam.
Voting Behavior	Participant registered to vote or voted for the first time.
General Involvement in Community Activities	Participant increased involvement in any of the following: <ul style="list-style-type: none"> <li>• Attending or organizing meetings of neighborhood, community or political organizations;</li> <li>• Volunteering to work for such organizations;</li> <li>• Contributing to the support of such organizations; and</li> <li>• Volunteering to work on community improvement activities.</li> </ul>

The following table identifies the additional NYRS outcome measures required for **Family Literacy programs**. Several examples of related behavioral outcomes are also included.

### Outcome Measures for Family Literacy Programs

Chart 7	Required Outcome Measures for Family Literacy Programs	
NYRS Outcome Measure	Description	Examples of Behavioral Outcomes
Maintaining or increased understanding of their children's school system	<ul style="list-style-type: none"> <li>• Maintaining or increasing assistance with their children's schoolwork.</li> <li>• Maintaining or increasing contact with their children's teachers to discuss children's progress.</li> <li>• Maintaining or increasing involvement in their children's school, such as attending school activities and parent meetings and volunteering to work on school projects.</li> </ul>	Increased understanding of what his or her child is learning and an ongoing exchange of information between the parent and child's teacher.
Maintaining or increasing involvement in children's literacy-related activities	<ul style="list-style-type: none"> <li>• Maintaining or increasing reading to children.</li> <li>• Maintaining or increasing visits to a library.</li> <li>• Maintaining or purchasing books or magazines for children.</li> </ul>	Maintaining or increasing parents' involvement with selecting books based on the child's interests and skill level and connecting stories to the child's experiences. The parent finds ways to extend the child's learning beyond what is required in the educational setting.

### Instruction in Other Languages

Education in a language other than English will not be supported as a stand-alone service. Basic education in another language can only be supported if integrated into English Language literacy classes to achieve English language educational gains.

### **Key Principles of Adult Educators and Administrators**

Each member of the AEPP Adult Education Community is expected to conduct services in a professional, courteous, respectful, and exemplary manner. Treating all members of our communities with respect is a basic principle. Comporting oneself with integrity and demonstrating competency as an educator or administrator is a requirement. Participating in professional development activities and contributing to the advancement of adult education students and participants is essential.

### **Necessary Roles for Adult Education Programs – Component A**

1. Program Manager
2. Adult Education Teacher
3. Adult Education Volunteer
4. Case Manager
5. Intake Coordinator
6. Data Manager

### **Program Manager**

The Program Manager is a dedicated staff person who is responsible for the day-to-day operation of the Adult Education Programs funded by AEPP. Program managers hire staff, supervise, train, conduct annual evaluations, meet regularly with staff to share program data and improvement strategies in an effort to reach contractual benchmarks. Programs managers participate in all AEPP mandated program manager meetings and trainings, and RAEN trainings for the required (14 hours of PD) and must assure that all AEPP funded staff have met the required 14 hours of PD. Program managers also consult with AEPP on all adult education program matters. A program manager must be available while the adult education program is in operation. Adult Education programs may not operate without a competent program manager. In the event the program manager is not available while the program is in operation, a suitable staff member must be designated to support students, participants, and the public; any temporary change in management and instruction must be communicated to AEPP. Patterns of violations of the duties and responsibilities relating to the administration of the AEPP funded adult education program, may result in the discontinuing of services and program funds until a suitable program manager has been hired.

A program manager shall have access to all student and participant records which shall be carefully maintained and secured in a locked location, and accessible upon request or without advance notice. Program managers shall establish and maintain complete and accurate budget records, documents, accounts, and other evidence directly pertinent to performance under their contract/s. Records provided to AEPP or authorized administrators are deemed to be truthful and have undergone the adult education program's quality control procedures before physical submission or it is entered into the AEPP's Management Information System (MIS), ASISTS. The Records must be kept for the balance of the calendar year in which they were made and for six (6) additional years thereafter. The State Comptroller, the Attorney General and any other person or entity authorized to conduct an examination, as well as the agency or agencies involved in this contract, shall have access to the Records during normal business hours at the

adult education program. Patterns of record violations and evidence of fraud may result in the discontinuing of services and program funds.

Program managers must assure that all classes are led by qualified adult education teachers. Should a teacher become unavailable on any given day, the program manager must have a clear plan for assigning a substitute to attend to the class learning plans and students' needs. Program managers are also responsible for monitoring that the contracted student enrollment has been met and not exceeded. In cases where programs exceed student enrollment the program must make sure that additional resources beyond AEPP funding have been secured to meet the student needs.

Every program must assemble a Program Improvement Team (PIT) that will meet regularly to assess and review program data and recommend changes. It is the responsibility of program managers to schedule regular meetings with staff to share data and strategize next steps. Program managers should also meet with staff to provide feedback on job performance and relay information on changes to state and federal requirements.

Program managers must also designate one or more individuals to serve as points of contact for workforce development referrals to Career Centers and workforce partners in their Local Workforce Development areas. A list of resources must be maintained and updated annually.

### **Adult Education Teacher**

Adult Education Teachers play an integral role in programming. Teachers must help students improve their literacy skills or obtain a high school equivalency diploma. Teachers have an opportunity to create pathways for students to achieve more than they believed they could accomplish. Teachers motivate students to pursue their career aspirations or transition into employment or higher education.

Teachers and Program Managers must agree to attendance protocol such that a class is never without a designated teacher. Should the assigned teacher be absent, the program manager will identify a suitable temporary replacement for each occurrence. Attendance must be taken daily on rosters generated directly from ASISTS and signed by the teacher. Attendance must be rounded to half hour increments. The following link demonstrates examples of how to round up or down as contact hours are entered into attendance documents and then entered into ASISTS. All programs must round their student contact hours based on this policy and enter the hours manually in ASISTS. In addition, programs are required to maintain documentation of this rounding. Every fiscal year, each program must provide each student with a minimum of 150 hours of instruction. Please see the linked instructions regarding the [Attendance Chart](#).

Teachers should use the resources and materials provided by NYSED/AEPP, including instructional modules that can be found at [CollectEdNY](#). Additional training opportunities through the RAEN centers, will be provided to teachers for professional development (PD), which will contribute to their required 14 hours of professional development. Teachers are encouraged to participate in additional professional development training beyond the required hours. A teacher or staff engaged in required ALE activities, is required to meet 14 hours of PD, even if they are

funded through other means. AEPP-funded teachers provide a minimum of 6 hours of classroom instruction and no more than 20 hours per week for each class. Teachers also post-test their students after 40 hours of instruction. Additionally, both part-time teachers and full-time teachers must complete the 14 hours of PD. Program Managers must assure that release time is provided to all teachers to accommodate the 14 required PD RAEN hours.

Adult Education Teachers must achieve minimum credentials of at least a high school diploma or its equivalent and possess sufficient experience teaching in Adult Education as a requirement under AEPP. If a teacher is not K-12 Certified to teach any content area, the teacher may decide to apply for and achieve Adult Education Certification through NYSED. The cost of the Adult Education Certification can be an AEPP budgeted expenditure. The following link provides additional information on the [adult education certification process](#).

Providing students with an explanation of how the student's adult education program is funded is appropriate. Empowering students to understand that although adult education services are provided at no cost to the students, federal and state resources fund the cost of services. Teachers must provide students an opportunity to learn about civics, state/federal government, and its role within society. Teachers should explain to participants how obtaining a High School Equivalency (HSE) diploma is both possible and realistic for the student to achieve, what benefits an HSE diploma provides to the student that they do not already have and how commonly are HSE diplomas issued nationwide, statewide, and at your organization. Teachers must provide statistics that the student can use for context and decision making.

Every program must assemble a Program Improvement Team (PIT) that will meet regularly to assess and review program data and recommend changes. Teachers play an integral role in the PIT team, which should be comprised of the program director/manager, teachers, case managers, and data staff.

### **Adult Education Volunteers**

Volunteers are an integral component of adult education services under AEPP. Volunteers often work with Adult Education Teachers and donate their time and serve as mentors. Volunteers that conduct assessments for students must attend assessment certification training through the AEPP funded RAEN. Volunteers also help program participants with work or school projects, help improve student literacy skills, and tutor participants for the attainment of an HSE or to improve literacy levels. Volunteers help supplement instruction and conduct tutoring services with individual students or small groups. A small group led by a volunteer or tutor meets to work on similar goals in a small group setting to learn math, reading, and civics. Small groups are also used to develop conversation groups to improve language in ESOL programs. The small group size must be indicated in the Program Component Worksheet (PCW). If data indicates that students are not progressing with the current group size, NYSED/AEPP reserves the right to have the program decrease the number of students within a group.

Volunteers do not replace an AEPP funded teacher but rather support the instruction of students. It is important to mention that there are significant differences between a volunteer and a teacher such as: Volunteers are not held to the same standards as it relates to the AEPP required



Professional Development (PD) hours; Volunteers are not required to attend AEPP meetings; Volunteers are not funded under AEPP and Volunteers are not bound by employment.

### **Case Manager**

All AEPP funded programs are required to have a case manager. **Programs must fund case management with a minimum Full Time Equivalent (FTE) of one (1) full time Case Manager for every two hundred (200) participants served.** Essential duties include meeting with students to assure their persistence in instructional classes by identifying Barriers to Education and Employment and providing ample community resources to address those identified barriers. Community resources may include referrals to employment, training, apprenticeship programming, social service benefits, legal services, mental and physical health services, financial services and housing. Case managers may also provide intake services which include administering the required assessments. Case managers do not need to be clinicians, social workers, or speak a second language, however, they must have a High School Diploma or a High School Equivalency. Case Managers will provide participants with resources and support them with accessing benefits and transition to postsecondary study or training. All case managers must attend required NYSED training provided through the RAEN annually. The Case Management training will contribute towards the required 14 hours of RAEN professional development.

Case managers must track student attendance and attendance data must be entered into ASISTS, at a minimum, on a monthly basis. AEPP will provide case managers with training on requirements related to reporting in ASISTS. Each Monthly Attendance Document must be generated for every funded class, completed, and have original wet signature from the teacher assigned to the class as published on the Program Information Form (PIF). Any amount of time spent with students in the delivery of case management services, should be entered into the AEPP's MIS system, ASISTS, as a case management class. Note that as little as five minutes of face-to-face case management counts as a half hour.

For those participants seeking a NYS High School Equivalency diploma, case managers will help participants understand the multiple pathways to the NYS High School Equivalency diploma and access additional services, instruction, training, and apprenticeship programming. Case managers also help students complete the Individual Student Record Form (ISRF), register each student on Virtual Career Center, register students planning to take the GED in the GED Management System and engage students in other appropriate services geared towards reducing barriers to employment and education and assist students in achieving their adult literacy goals.

Case managers will also help participants access activities and services provided throughout the local workforce development system, including programs and services that are provided through Career Centers and New York State Department of Labor (NYSDOL), Adult Career and Continuing Education Services – Vocational Rehabilitation (ACCES-VR), the NYS Commission for the Blind, and Temporary Assistance for Needy Families (TANF) funded through the NYS Office of Temporary and Disability Assistance. Outlining resources available through case management, such as community referrals is an essential responsibility. One or more individuals

must be identified to serve as points of contact for workforce development referrals to Career Centers and workforce partners in their Local Workforce Development areas. Case Managers must develop and continuously update a list of local and community resources, partners, and contacts that their students/participants can refer to as a part of case management. These lists must be shared with each project's respective RAEN and STAC director every December.

Every program must assemble a Program Improvement Team (PIT) that will meet regularly to assess and review program data and recommend change. Case Managers play an integral role with the PIT team, which should be comprised of the program director/manager, teachers, case managers, and data staff.

Patterns of violations of the duties and responsibilities relating to case management or the absence of a case manager for AEPP funded adult education program, may result in the discontinuing of services and program funds until a suitable case manager has been hired.

### **Intake Coordinator**

An intake coordinator welcomes participants to the adult education program services. The Intake coordinator identifies participants that have received services after satisfying all applicable programmatic requirements for the provision of services, such as eligibility determination. To be considered a participant, the student must be pre-tested. The tools used for this purpose and approved by NYSED are full battery TABE Math and Reading Forms 13 & 14 series for ABE and ASE programming and the BEST Plus 3.0, or BEST Literacy 1.0 for ESL programming (assessments may be updated as needed). NYSED/AEPP reserves the right to update assessment type if the need arises. The second requirement for a participant is the completion of a minimum of twelve (12) contact hours in order for participants count toward federal and state accountability measures. Case Managers may be included in the intake process with caution that enough time is allocated for case managers to provide individual time with students as needed.

Intake coordinators must identify participants that demonstrate an intent to use program services and who meet the specific eligibility criteria of the program. The program must have recorded seven important demographic data elements as follows: Name, Gender, Date of Birth, Ethnicity, Barriers to Employment, Co-Enrollment, Address and Employment Status. In addition, a reportable individual is one who has completed less than twelve (12) contact hours or has not been pre-tested. While these individuals do not count toward the accountability measures, they are counted and reported. Program staff should make every effort possible to reconnect with these individuals to assist them in returning to programming to complete their goals. A list of program activities to impact student persistence, can be located on the [AEPP website](#).

Intake coordinators provide participants with the American Disabilities Act disclosure and secure acknowledgement from the student, as well as inform the student of your organization's policies and supportive services for students with learning disabilities. They also develop an Employment and Education Plan (EEP) tailored to the student's needs and goals as a required element for every student folder maintained by the program.

Intake coordinators also explain GED opportunities offered by your organization and share state data that shows how adults need support to pass the four GED subtests. Intake coordinators should also explain New York's current four pathways to High School Equivalency (HSE) and any other pathways that may be available in the future:

- a. Passing the 4 subtests of the GED
- b. Using the Attachment R to obtain credit from Regents tests passed by the student
- c. Participating in the National External Diploma Program (NEDP)
- d. Obtaining twenty-four (24) college credits from a college located within the US

Intake coordinators provide a Student Contract and Attendance Agreement and secure acknowledgement/signatures from the student. They provide a schedule or "menu" of available classes to the student, as well as an outline of programming offered by your organization that differs from traditional classroom instruction (such as vocational training). They also explain distance education and hybrid education options and expectations, if offered by your organization.

Intake coordinators provide the student with a "Meet the Staff" document that includes pictures and short bios of each staff member, including teachers and case managers. They Outline resources available through case management, such as community referrals. They recruit ambassadors from your existing student population to greet and guide the new student, especially if your organization serves a population that speaks a language other than English.

Intake coordinators develop plans for following up after the student exits the program, such as how the student can be contacted and how the student can update your organization on their post-exit progress. Intake coordinators explain why follow-up is important and an essential obligation for your organization.

Intake coordinators manage the maximum number of contact hours permitted for the comprehensive intake process as twelve (12). Programs must maintain and update detailed records of how the intake time is spent. Any amount of time spent with students in the delivery of intake services, should be entered into the AEPP's MIS system, ASISTS, as an intake class.

While every ALE program may not have exclusively dedicated Intake Coordinators, they are required to have staff that provide the various intake activities listed in this section.

Every program must assemble a Program Improvement Team (PIT) that will meet regularly to assess and review program data and recommend changes. Intake coordinators (or staff engaged in such activities) play an integral role with the PIT team, which should be comprised of the program director/manager, teachers, case managers, and data staff. The Intake agenda should be reviewed annually, and updates recommended by the PIT.

### **Data Manager**

Data Managers must have access to all student and participant records which must be carefully maintained and secured in a locked location, and accessible upon request or without advance

notice. Data managers must establish and maintain complete and accurate records, documents, and other evidence directly pertinent to performance under their contract/s. Records provided to AEPP or authorized administrators are deemed to be truthful and have undergone the adult education program's quality control procedures before physical submission or entered into AEPP's Management Information System (MIS), ASISTS. The Records must be kept for the balance of the calendar year in which they were made and for six (6) additional years thereafter. The State Comptroller, the Attorney General and any other person or entity authorized to conduct an examination, as well as the agency or agencies involved in this contract, shall have access to the Records during normal business hours at the adult education program.

Data managers identify participants that have received services after satisfying all applicable programmatic requirements for the provision of services, such as eligibility determination. To be considered a participant, the student must be pre-tested. The second requirement for a participant is the completion of a minimum of twelve (12) contact hours in order for participants to count toward federal and state accountability measures; data managers must assure that all pertinent data relating to student services is accurately and timely reported.

Data managers must identify reportable individuals that demonstrate an intent to use program services and who meet the specific eligibility criteria of the program. The data manager must have recorded seven important demographic data elements as follows: Name, Gender, Date of Birth, Ethnicity, Barriers to Employment, Co-Enrollment, Address and Employment Status. In addition, a reportable individual is one that has completed less than twelve (12) contact hours or has not been pre-tested. While these individuals do not count toward the accountability measures, they are counted and reported.

Every program must assemble a Program Improvement Team (PIT) that will meet regularly to assess and review program data and recommend changes. Data managers play an integral role with the PIT team, which should be comprised of the program director/manager, teachers, case managers, and data staff. The Data Manager should prepare the agenda for all PIT meetings.

Data managers are responsible for generating, reviewing, and correcting all data checking reports available in the ASISTS management information system. These data managers must also attend training supported by ASISTS and offered through each RAEN center and NRS/NYRS Training provided by the Accountability Office. Time spent in these trainings contributes to the 14 required hours of RAEN PD. Data managers must possess at minimum a High School Diploma or HSE.

Patterns of violations of the duties and responsibilities relating the data management of the AEPP funded adult education program and the absence of a competent data manager, may result in the discontinuing of services and program funds until a suitable data manager has been hired.

### **Professional Development Requirement**

1. All paid staff members (full and part-time) must attend a minimum of fourteen (14) hours of professional development per year related to their program area, including professional development requirements for foundational digital literacy skills that may be implemented by NYSED during the grant period. This professional development must be provided through the program's respective Regional Adult Education Network (RAEN); no other training outside of the RAEN will be accepted, unless AEPP approved. This requirement includes administrative, clerical, instructional, case management, and data management staff;
2. **All staff providing instruction to ALE students** must attend professional development training hosted through the RAEN or by the NYSED/AEPP Identified Master Teachers;
3. **Any volunteer who will assesses ALE students** must attend assessment certification training through the RAEN. Volunteers are excluded from the 14-hour Professional Development requirement, unless they are assessing students; and,
4. As a supplement to RAEN services, additional one-on-one support and technical assistance will be provided through the organization funded in Component B (STAC) to further deepen understanding of the College and Career Readiness skills embedded in the NYSED CareerKits, learning disabilities, as well as program performance and accountability.

### **Requirements for Component B - Support and Technical Assistance Centers (STAC) NYC and ROS**

The eligible bidders must agree to the following requirements found below. Any of the items not addressed below will require corrections prior to the execution of grant contract.

Each STAC contractor must, at a minimum, employ one full-time (minimum 37.5 hours per week, 12 months per year) Director and a full-time STAC Coordinator (minimum 37.5 hours per week, 12 months per year) that would support the STAC, including when they are not available. The director and coordinator must be dedicated exclusively (100%) to STAC activities and no other projects. The STAC Contract holder/originator is required to provide oversight to the STAC contract administrator. This includes providing supervision and monitoring, as well as participation in AEPP/NYRS Accountability Meetings and oversight of the STAC contractual obligations. STACs meet with the NYSED/AEPP monthly for status updates.

The full-time STAC director must be based at an office that is located within the geographic region the vendor proposes to serve. The hiring of STAC staff will be the responsibility of the agency that is the contract recipient. STAC staff must have the knowledge, skills, and experience to carry out the work of the STAC and to meet the requirements of funding.

1. At the beginning of every year of the contract, the management of the contracting

organization will provide NYSED/AEPP with the approved vacation schedule for each staff member of the STAC. Each STAC director must communicate with the appropriate NYSED/AEPP regional team at least once per month. STAC staff may not attend conferences that are not identified in this RFP unless specifically requested and approved by NYSED. STACs may not provide external trainings to other organizations during the normal working hours of the STAC.

2. The STAC will be expected to respond to all telephone and email inquiries regarding technical assistance for all ALE funded adult education programs within one business day. The hours of operation for the STAC will be Monday through Friday between the hours of 9:00 AM and 5:00 PM, excluding federal and State holidays. For remote/telecommuting work, the STAC must provide NYSED with their remote/telecommuting schedule and the STAC contract holder must annually provide a copy of their remote/telecommuting to NYSED.
3. STACs and their staff are prohibited from engaging in conflicts of interest including, serving on the governing board of statewide or local organizations or associations related to adult continuing and community education. STACs and their staff should not be employed by or receive compensation from AEPP funded Adult Education programs. STACs and their staff's use of adult education data or information for purposes beyond this contract is prohibited.
4. Both STACs will be required to submit a quarterly report through the online SED Monitoring tool housed on NYSED's Business Portal. The SED Monitoring System captures the status and performance objectives of the awarded contract. Each performance report must demonstrate that substantial progress has been made toward meeting the project goals, measurable outcomes and deliverables, as indicated in the work plan and/or timeline. The performance report should provide an overview of what was proposed for the year and what actually happened, including the lessons learned during the process.
5. STACs may not use its role to solicit or benefit in any way from the Adult Education Programs they are contracted to support. Improper use of information or resources will result in the discontinuation of funds. These funds cannot be used to supplant other federal, state or local funds, funds must be used for adult education and family literacy programs and services. There will be an annual review of Component B spending. Any unspent funds will be reallocated to Component A.

### **General Program Requirements Component B**

The organization funded will create a Support and Technical Assistance Center (STAC) for agencies funded through Component A to promote a consistent literacy strategy across its region and will assist agencies to achieve the requirements described in this RFP. These Component A agencies will be referred to as the "Program Cohort" for the remainder of this RFP. The Program Cohort for the NYC-STAC will be comprised of the agencies funded within Component A for the New York City RAEN region. The Program Cohort for the ROS-STAC will

be comprised of the agencies funded within Component A for the six (6) RAEN regions located outside of the New York City RAEN region. In the ROS-STAC, the vast majority of the programs supported are expected to be organizations that are small in staff size with limited resources within the service delivery model. The STAC is expected to provide support, data entry and technical assistance to local program staff of the program cohort, their respective board members, and their volunteers and/or prospective volunteers as required. STAC support and technical assistance must be closely coordinated with the appropriate RAENs in their respective service areas to supplement and support NYSED/AEPP priorities and RAEN activities, including professional development. The STAC will work as a team with the NYSED/AEPP regional staff and program staff, the RAEN directors and other entities funded and designated by AEPP to engage in NYRS accountability activities.

STAC support and technical assistance will focus on the lowest literacy levels of instruction as well as the two highest levels of Adult Secondary Education. The STAC is meant to enrich and supplement deliverables provided through the RAEN. The STAC, in coordination with NYSED/AEPP regional staff, the accountability specialist, and the RAENs, must provide programming and monitoring of ALE funded programs through the following activities:

1. Submit an annual workplan to AEPP for approval detailing all STAC activities.
2. Provide strategies for integrating phonemic awareness, systematic phonics, fluency and reading comprehension into the NYSED/CUNY College and Career Readiness curricula or other designated curricula.
3. Provide community-based organizations the skills and support to use and/or expand the use of volunteers within the program.
4. Assist small community-based organizations with limited staff to share resources particularly for technology and data in order to meet the NYRS performance and reporting demands. This may include entering data into the ASISTS reporting system for organizations that experience gaps in staffing required for data reporting compliance. The funded program must incorporate data management into their staffing regardless of whether the STAC enters data on their behalf.
5. Provide support and technical assistance to all ALE funded programs that subscribe to NEDP or options for HSE preparation.
6. Provide hands-on support and technical assistance, to programs to effectively utilize technology professional development tools as they are added to ASISTS and introduced to the field.
7. Provide technical assistance to the local boards that oversee the community-based organizations on NYRS accountability and on the agency's NYS report card performance.

8. Provide specific support and technical assistance, in cooperation with the AEPP regional associate, RAEN and AEPP's NYRS accountability designee, to the program cohort placed in Corrective Action by NYSED that will enable the program to effectively address the performance needs that led to Corrective Action. (The vendor should anticipate there will be between one to three programs in the cohort for each RAEN region needing Corrective Action plans. See Corrective Action section under Component A).
9. Participate annually with the AEPP regional associate and RAEN in conducting in-person monitoring visits to every program in the cohort annually, primarily, those placed in Corrective Action as well as the quarterly webinars conducted by AEPP's NYRS accountability designee. All programs must be visited and provided technical assistance annually. Ongoing technical assistance can be conducted remotely.
10. Participate in monthly visits and follow up calls, in coordination with the AEPP regional Liaison, AEPP's NYRS accountability designee and the RAEN, to all of the Corrective Action (CA) programs to verify that the CA programs are implementing the specific actions identified in the CA plan and post these reports in the Accountability website: [www.adult-education-accountability.org](http://www.adult-education-accountability.org).
11. Expand awareness in learning disabilities and screening to all staff members and volunteers of the community-based organization.
12. Provide a joint RAEN/STAC plan approved by AEPP that explicitly shows coordination with the RAEN(s) and ensures that the STAC supplements and supports AEPP priorities and RAEN activities.
13. Each of the seven RAENS in collaboration with NYSED, will work with programs to make sure that they are registered with GED Manager and have a GED code. STAC's will become familiar with GED Manager and its process to help programs in need. All programs offering GED preparation must contact and select each student indicated as interested and enroll them in GED Manager to receive credit when the student passes the GED exam. Programs may not enroll students after the student has passed the exam.
14. Each RAEN will also annually convene approved Apprenticeship program coordinators, appropriate NYSDOL apprenticeship and NYSED/AEPP staff, and program managers from NYSED/AEPP funded programs to develop pipeline and programmatic connections, to form a regional apprenticeship network. Both STACs are expected to participate in these meetings. More information on apprenticeship opportunities can be found at the [NYSDOL website](#).
15. Meetings/phone conferences/webinars between the STACs and ACCESS-AEPP funded Adult Ed program managers should be held with the knowledge of the NYSED/AEPP regional. NYSED/AEPP must be notified in advance of these activities.
16. STAC communication with funded programs should be respectful and supportive of NYSED/AEPP policy and staff. Disagreements will be handled internally by



NYSED/AEPP.

17. The NYSED/AEPP regional should be copied (or blind copied) on all emails or other communication to NYSED/AEPP funded adult education program managers and staff.
18. NYSED/AEPP regional associate or other AEPP designee should be notified of planned vacation time one month in advance of the requested time. The STAC director should make every effort to give both the Accountability Office and NYSED/AEPP as much advanced notice as possible to enable ample coverage.
19. Each STAC will provide telecommuting work plans and policies if STAC duties are being conducted remotely. STACs will also be responsible for notifying NYSED/AEPP of any changes to the telecommuting schedule and submit an updated telecommuting policy annually for each fiscal year. Each STAC will submit a monthly report that details all STAC activities completed.
20. Each STAC will establish a uniformly branded website address aligned with the regional assignment. Example: [www.STACregion.org](http://www.STACregion.org).
21. Each STAC will provide the physical address of the STAC office, as well as the office telephone number. Each STAC will conduct regular in-person site-monitoring visits to AEPP-funded programs to perform observations and provide technical assistance.
22. Attendance at conferences, whether local or requiring travel, must have written pre-approval by the Accountability Office. All presentation materials must be submitted 30 days in advance for approval. The conference request and the submission of materials for review, must be submitted for approval before the STAC registers for the conference and/or volunteers to provide presentations.
23. All Professional Development provided by the STACs must receive approval from NYSED/AEPP.

### STAC Deliverables and Activity Chart

The chart below indicates the deliverables for STAC Component B. The chart also identifies the quarter in which the activities are expected to occur.

Chart 8		STAC Deliverables & Activity Chart	
Quarter I – July/August/September			
Priorities	Activity	Action Steps	
Program Information Forms (PIF)	<ul style="list-style-type: none"><li>• Early September Program Information Form (PIF) review<ul style="list-style-type: none"><li>○ Document all recommended</li></ul></li></ul>		

	<p>changes on accountability site</p> <ul style="list-style-type: none"> <li>• Due date September 30<sup>th</sup></li> <li>• Confirm changes made when submitted</li> <li>• All communication must be posted to the program's individual account on the accountability website</li> </ul>	<ul style="list-style-type: none"> <li>• STACs will follow up with programs that have not complied with requested changes</li> </ul>
<p><b>Funding, Sites, Classes, set up in ASISTS no later than September 30<sup>th</sup></b></p>	<p>Program Information Form must be checked for:</p> <ul style="list-style-type: none"> <li>• Start and end times for classes are accurate</li> <li>• Case management is evident in class coding</li> <li>• Intake classes are evident in class coding</li> <li>• No overlap in scheduling of personnel</li> <li>• Accurate funding source</li> <li>• Confirm all Hybrid classes are appropriately connected to In-person classes</li> <li>• If program is unable to complete the work, STAC will assist to meet the September 30<sup>th</sup> deadline</li> </ul>	<p>Run Program Information Form (PIF)</p> <ul style="list-style-type: none"> <li>• Identify any missing/incorrect information</li> <li>• Reach out to program for completion/correction</li> <li>• Copy both the regional and accountability director</li> <li>• Document all communication on Accountability Site</li> </ul>
<p><b>Case Management</b></p>	<ul style="list-style-type: none"> <li>• STAC will monitor each ALE funded program to ascertain the required number of case managers are on staff</li> <li>• Case Managers must all attend the AEPP Case Manager</li> </ul>	<ul style="list-style-type: none"> <li>• Program Information Form must list Case Management Instructional Offerings</li> <li>• All Case Management must be provided in person, no services can be remote</li> </ul>

	training annually through the RAEN	
<b>Program Contact Information Form</b>	Updated Monthly Any new administrative personnel are documented on the Contact Information Form	<ul style="list-style-type: none"> <li>Ensure program contact(s) are updated and communicated to RAEN and Regionals</li> </ul>
<b>Identification of any Programs with New Staff</b>	Identify Professional Development (PD) Needs <ul style="list-style-type: none"> <li>Communicate new additions to respective RAEN office</li> </ul>	<ul style="list-style-type: none"> <li>Work with RAEN to ensure proper PD and TA is being provided to new Programs/ Staff</li> </ul>
<b>Work collaboratively and meet monthly with each Regional/RAEN within assigned regions:</b> <b><u>NYC STAC</u></b> – New York City RAEN <b><u>ROS STAC</u></b> – West, Finger Lakes, Central Southern Tier, Capital North Country, Hudson Valley, Long Island	Arrange joint regional meetings in each RAEN Region <ul style="list-style-type: none"> <li>Contact RAEN Directors and select a mutually agreed upon date and location</li> </ul>	<ul style="list-style-type: none"> <li>Work collaboratively to support each ALE funded program</li> </ul>
<b>Intake</b>	<ul style="list-style-type: none"> <li>STAC works with each ALE funded program to develop a list of Intake activities aligned with AEPP priorities</li> </ul>	<ul style="list-style-type: none"> <li>STAC will assist programs with developing a comprehensive intake process</li> <li>Intake Instructional Activities must be coded in ASISTS</li> <li>Plans for intake with volunteers must also be planned and executed</li> <li>Intake list of activities must be posted to accountability Site no later than September 30<sup>th</sup></li> </ul>
<b>Pre-Testing</b>	<ul style="list-style-type: none"> <li>STAC will monitor Data Check Reports in ASISTS and recommend needed support</li> </ul>	<ul style="list-style-type: none"> <li>STAC must monitor Pre- Testing Data Check Reports to ascertain if all students are pre tested within the first 12 hours of contact</li> <li><u>Programs MUST report all activity conducted with any student regardless whether the student persists beyond the initial 12 hours of contact</u></li> <li>STAC will visit intake sessions during monitoring visits</li> </ul>

<b>Hybrid Instruction</b>	<ul style="list-style-type: none"> <li>• Contact each ALE program identified as providing Hybrid Instruction</li> <li>• Excel list of remote links to instruction must be completed and submitted to RAEN and AEPP by the 20<sup>th</sup> of each month beginning with July</li> </ul>	<ul style="list-style-type: none"> <li>• STAC must monitor remote hybrid classes on a weekly basis</li> <li>• Document all observations and provide support where needed</li> <li>• Report all anomalies to the schedule on the accountability website</li> <li>• Changes in dates and times must be reported immediately to RAEN and AEPP</li> </ul>
<b>In-Person Instruction</b>	<ul style="list-style-type: none"> <li>• Use Program Information Form to track In-Person instruction</li> <li>• Plan on site visits to each ALE funded program at a minimum of once per quarter</li> <li>• Visits may not be announced in advance. STAC will rely on accuracy of PIF for day, time, and location</li> </ul>	<ul style="list-style-type: none"> <li>• STAC must monitor in-person classes on a quarterly basis for each ALE funded program</li> <li>• Rotate visits among all funded ALE programs</li> <li>• Document all observations and provide support where needed</li> <li>• Report any discrepancies in schedule on the accountability site</li> </ul>
<b>Monitoring ALE Programs</b>	<ul style="list-style-type: none"> <li>• STAC will monitor ALE Funded programs beginning in July and proceeding through June of the fiscal year</li> <li>• STAC will plan monitoring visits with both AEPP Regional and the Accountability Director</li> <li>• STAC will not monitor any program without both the AEPP and Accountability Office input and guidance</li> </ul>	<p>Monitoring visit must include:</p> <ul style="list-style-type: none"> <li>• AEPP will lead the monitoring visit either in person or remotely</li> <li>• Data review and data summary issued by the Accountability Office</li> <li>• Fiscal Review and Contractual Deliverable Review by the AEPP Office</li> <li>• Student File Review (list will be issued by the Accountability Office)</li> <li>• Attendance Documents (list will be issued by the Accountability Office)</li> <li>• Classes to be observed will be identified by AEPP</li> <li>• Date and Time of monitoring visit must be approved by AEPP</li> <li>• Identify Best Practices that may be replicated in other programs</li> <li>• STAC is responsible for a <u>written</u> monitoring visit report within 30 days of the visit</li> </ul>

<b>Monthly STAC Report to AEPP</b>	<ul style="list-style-type: none"> <li>• STAC must report on a monthly basis</li> <li>• STAC monitoring visits</li> <li>• STAC support emails posted to the accountability site</li> <li>• STAC follow up support based on monitoring results</li> </ul>	STAC will submit a monthly report to AEPP indicating all services and support provided to local ALE programs
<b>Quarterly NYSED Business Portal</b>	<ul style="list-style-type: none"> <li>• STAC must complete on a quarterly basis the NYSED Business Portal</li> </ul>	Questions or concerns should be directed to Robert Renda, Accountability Lead at AEPP
<b>Quarter II – October/November/December</b>		
<b>STAC Deliverables &amp; STAC Activity Chart</b>		
<b>Priorities</b>	<b>Activity</b>	<b>Action Steps</b>
<b>Adult Literacy Compliance Self-Review/ Monitoring Form</b>	<ul style="list-style-type: none"> <li>• Guide all ALE programs on response to Self-Review</li> <li>• If programs have additional AEPP funding, a separate form must be submitted for each funded project</li> </ul>	<ul style="list-style-type: none"> <li>• Due November 15<sup>th</sup></li> <li>• Ensure ALE funded projects are in receipt of updated forms by mid-October</li> <li>• Form must be used fillable forms and linked to Excel document</li> <li>• Identify projects that have not submitted, Regionals will contact the program</li> </ul>
<b>Program Enrollment</b>	Program Evaluation Report for ALE funding only using New York's Reporting System report in ASISTS	<ul style="list-style-type: none"> <li>• Anytime from November 1<sup>st</sup> forward: <ul style="list-style-type: none"> <li>○ Run Program Evaluation Report and disaggregate by Funding Source</li> </ul> </li> <li>• Compare enrollment to the contracted target enrollment for ALE projects</li> <li>• If current enrollment is less than 30% of target reach out to the program and request status on plan for recruitment and enrollment</li> <li>• If plan is not suitable, schedule monitoring visit (remote or in-person)</li> <li>• Communication must be posted to the accountability site</li> </ul>
<b>Program Information Forms</b>	Program Information Forms <ul style="list-style-type: none"> <li>• Focus review only on ALE Funded classes</li> <li>• Ascertain classes are populated for Intake and Case Management</li> </ul>	<ul style="list-style-type: none"> <li>• Regionals will check in with STACs in mid-October regarding accuracy of Program Information Form <ul style="list-style-type: none"> <li>○ Identify any gaps in information missing/incorrect</li> <li>○ Reach out to program for completion/ correction and</li> </ul> </li> </ul>

	<ul style="list-style-type: none"> <li>Double back to fiscal responsibilities associated with each Instructional Activity that lists ALE as funding source</li> </ul>	<p>document all communication on Accountability Site</p> <ul style="list-style-type: none"> <li>FY23 verify Hybrid Instruction model usage</li> <li>Check if all classes coded correctly and paired with in-person instruction</li> </ul>
<b>ALE Fast Track</b>	<p>Check which ALE programs have the possibility of Fast Track Funding</p> <ul style="list-style-type: none"> <li>Must be included in their ALE-AEPP contract</li> <li>May include NEDP</li> </ul>	<ul style="list-style-type: none"> <li>STAC must confirm all Fast Track Instructional Activities are coded correctly on the program's PIF</li> <li>NEDP Instructional Offerings must adhere to specific NEDP/ASISTS criteria</li> <li>Both STAC and ALE provider must attend the Accountability/ASISTS/NEDP remote training schedule by Accountability Office in October annually</li> </ul>
<b>Program Component Worksheet</b>	<p>Program Component Worksheets will be posted to the Accountability Site annually by the AEPP Office</p>	<p>STAC must track expectations on the Program Component Worksheet on a quarterly basis beginning in Quarter II</p>
<b>Fiscal Management</b> <ul style="list-style-type: none"> <li><b>Budgets &amp; Budget Amendments</b></li> </ul>	<p>Fiscal Monitoring of ALE Amendments</p>	<ul style="list-style-type: none"> <li>Assist programs with monitoring their MWBE usage and AEPP program approved budgets</li> <li>Communication is directly with the ALE funded program, not with AEPP</li> <li>If consultation with program provokes follow up questions, the program must communicate directly with their AEPP Regional Associate</li> </ul>
<b>STAC may need to provide direct data assistance to individual programs</b>	<p>STAC will enter and manage data for any program that is unable to secure a data manager to input data into ASISTS</p>	<p>STAC will communicate with RAEN to arrange for ASISTS training for new personnel</p>
<b>Hybrid Instruction</b>	<ul style="list-style-type: none"> <li>Contact each ALE program identified as providing Hybrid Instruction</li> <li>Excel list of remote links to instruction must be completed and submitted to RAEN and AEPP by the 20<sup>th</sup> of each month beginning with July</li> </ul>	<ul style="list-style-type: none"> <li>STAC must monitor remote hybrid classes on a weekly basis</li> <li>Document all observations and provide support where needed</li> <li>Report all anomalies to the schedule on the accountability website</li> <li>Changes in dates and times must be reported immediately to RAEN and AEPP</li> </ul>

<b>In-Person Instruction</b>	<ul style="list-style-type: none"> <li>• Use Program Information Form to track In-Person instruction</li> <li>• Plan on site visits to each ALE funded program at a minimum of once per quarter</li> <li>• Visits may not be announced in advance. STAC will rely on accuracy of PIF for day, time, and location</li> </ul>	<ul style="list-style-type: none"> <li>• STAC must monitor in-person classes on a quarterly basis for each ALE funded program</li> <li>• Rotate visits among all funded ALE programs</li> <li>• Document all observations and provide support where needed</li> <li>• Report any discrepancies in schedule on the accountability site</li> </ul>
<b>Local ALE Program Board Support &amp; Information</b>	<ul style="list-style-type: none"> <li>• STAC will meet with Advisory or Governing Boards of ALE funded programs to explain AEPP Performance Measures</li> </ul>	<ul style="list-style-type: none"> <li>• STAC will share the NYRS Report Cards with the Boards and explain positive attributes and identify areas in need of improvement</li> </ul>
<b>Monitoring ALE Programs</b>	<ul style="list-style-type: none"> <li>• STAC will monitor ALE Funded programs beginning in July and proceeding through June of the fiscal year</li> <li>• STAC will plan monitoring visits with both AEPP Regional and the Accountability Director</li> <li>• STAC will not monitor any program without both the AEPP and Accountability Office input and guidance</li> </ul>	<p>Monitoring visit must include:</p> <ul style="list-style-type: none"> <li>• AEPP will lead the monitoring visit either in person or remotely</li> <li>• Data review and data summary issued by the Accountability Office</li> <li>• Fiscal Review and Contractual Deliverable Review by the AEPP Office</li> <li>• Student File Review (list will be issued by the Accountability Office)</li> <li>• Attendance Documents (list will be issued by the Accountability Office)</li> <li>• Classes to be observed will be identified by AEPP</li> <li>• Date and Time of monitoring visit must be approved by AEPP</li> <li>• STAC is responsible for a <u>written</u> monitoring visit report within 30 days of the visit to be posted to the ALE program's account on the Accountability Site</li> </ul>
<b>Monthly STAC Report to AEPP</b>	<ul style="list-style-type: none"> <li>• STAC must report on a monthly basis</li> <li>• STAC monitoring visits</li> </ul>	STAC will submit a monthly report to AEPP indicating all services and support provided to local ALE programs

	<ul style="list-style-type: none"> <li>STAC support emails posted to the accountability site</li> <li>STAC follow up support based on monitoring results</li> </ul>	
<b>Quarterly NYSED Business Portal</b>	<ul style="list-style-type: none"> <li>STAC must complete on a quarterly basis the NYSED Business Portal</li> </ul>	Questions or concerns should be directed to Robert Renda, Accountability Lead at AEPP
<b>Work collaboratively and meet monthly with each Regional/RAEN within assigned regions:</b> <b><u>NYC STAC</u> – New York City RAEN</b> <b><u>ROS STAC</u> – West, Finger Lakes, Central Southern Tier, Capital North Country, Hudson Valley, Long Island</b>	Arrange joint regional meetings in each RAEN Region <ul style="list-style-type: none"> <li>Contact RAEN Directors and select a mutually agreed upon date and location</li> </ul>	Work collaboratively to support each ALE funded program
<b>Quarter III – January/February/March</b>		
<b>STAC Deliverables &amp; STAC Activity Chart</b>		
<b>Priorities</b>	<b>Activity</b>	<b>Action Steps</b>
<b>Program Enrollment</b>	Program Evaluation Reports by Funding Source	<ul style="list-style-type: none"> <li>STAC review the NYRS Program Evaluation Reports generated from ASISTS</li> <li>Compare enrollment to contracted target enrollment</li> <li>If enrollment is less than 60% of target at the end of February reach out to the program and request status on plan for recruitment and enrollment               <ul style="list-style-type: none"> <li>Schedule monitoring web meeting with Accountability office where needed</li> </ul> </li> </ul>
<b>Program Component Worksheet</b>	Program Component Worksheets will be posted to the Accountability Site annually by the AEPP Office	STAC must track expectations on the Program Component Worksheet on a quarterly basis beginning in Quarter II
<b>ALE Review of Program Component Worksheet</b>	On a case-by-case basis	<ul style="list-style-type: none"> <li>STAC may suggest reconfiguration of the Program Component Worksheet without any change to total contractual enrollment</li> </ul>



		<ul style="list-style-type: none"> <li>• Program must contact AEPP Regional directly to make such request</li> <li>• Changes to Educational Functioning Levels are permitted, total cannot be changed without formal amendment</li> <li>• Posted to Accountability site</li> </ul>
<b>Hybrid Instruction</b>	<ul style="list-style-type: none"> <li>• Contact each ALE program identified as providing Hybrid Instruction</li> <li>• Excel list of remote links to instruction must be completed and submitted to RAEN and AEPP by the 20<sup>th</sup> of each month beginning with July</li> </ul>	<ul style="list-style-type: none"> <li>• STAC must monitor remote hybrid classes on a weekly basis</li> <li>• Document all observations and provide support where needed</li> <li>• Report all anomalies to the schedule on the accountability website</li> <li>• Changes in dates and times must be reported immediately to RAEN and AEPP</li> </ul>
<b>In-Person Instruction</b>	<ul style="list-style-type: none"> <li>• Use Program Information Form to track In-Person instruction</li> <li>• Plan on site visits to each ALE funded program at a minimum of once per quarter</li> <li>• Visits may not be announced in advance. STAC will rely on accuracy of PIF for day, time, and location</li> </ul>	<ul style="list-style-type: none"> <li>• STAC must monitor in-person classes on a quarterly basis for each ALE funded program</li> <li>• Rotate visits among all funded ALE programs</li> <li>• Document all observations and provide support where needed</li> <li>• Report any discrepancies in schedule on the accountability site</li> </ul>
<b>Fiscal Management</b> <ul style="list-style-type: none"> <li>• <b>Budgets &amp; Budget Amendments</b></li> </ul>	Fiscal Monitoring of ALE Amendments	<ul style="list-style-type: none"> <li>• Assist programs with monitoring their MWBE usage and AEPP program approved budgets</li> <li>• Communication is directly with the ALE funded program, not with AEPP</li> <li>• If consultation with program provokes follow up questions, the program must communicate directly with their AEPP Regional Associate</li> </ul>
<b>Performance Measures</b>	NYRS Program Evaluation Report <ul style="list-style-type: none"> <li>• Disaggregated by ALE Funding</li> <li>• Disaggregate by Teacher/Tutor</li> </ul>	<ul style="list-style-type: none"> <li>• STAC will review the Program Evaluation Report and disaggregate by ALE funding source</li> <li>• Evaluate all performance targets:             <ul style="list-style-type: none"> <li>○ Measurable Skill Gain</li> <li>○ Post Test Rate</li> </ul> </li> </ul>

	<ul style="list-style-type: none"> <li>Disaggregated by Class</li> </ul>	<ul style="list-style-type: none"> <li>○ Follow Up Outcomes</li> <li>If less than the target, reach out to the program and document communication</li> <li>Run report by teacher to identify possible gaps in post testing and MSG</li> <li>STAC will participate in program accountability calls scheduled by the Accountability office with the local ALE funded program</li> <li>All communication posted to the individual ALE program account on Accountability website</li> </ul>
<b>Monitoring ALE Programs</b>	<ul style="list-style-type: none"> <li>STAC will monitor ALE Funded programs beginning in July and proceeding through June of the fiscal year</li> <li>STAC will plan monitoring visits with both AEPP Regional and the Accountability Director</li> <li>STAC will not monitor any program without both the AEPP and Accountability Office input and guidance</li> </ul>	<p>Monitoring visit must include:</p> <ul style="list-style-type: none"> <li>AEPP will lead the monitoring visit either in person or remotely</li> <li>Data review and data summary issued by the Accountability Office</li> <li>Fiscal Review and Contractual Deliverable Review by the AEPP Office</li> <li>Student File Review (list will be issued by the Accountability Office)</li> <li>Attendance Documents (list will be issued by the Accountability Office)</li> <li>Classes to be observed will be identified by AEPP</li> <li>Date and Time of monitoring visit must be approved by AEPP</li> <li>STAC is responsible for a <u>written</u> monitoring visit report within 30 days of the visit</li> </ul>
<b>Monthly STAC Report to AEPP</b>	<ul style="list-style-type: none"> <li>STAC must report on a monthly basis</li> <li>STAC monitoring visits</li> <li>STAC support emails posted to the accountability site</li> <li>STAC follow up support based on monitoring results</li> </ul>	<p>STAC will submit a monthly report to AEPP indicating all services and support provided to local ALE programs</p>
<b>Quarterly NYSED Business Portal</b>	<ul style="list-style-type: none"> <li>STAC must complete on a quarterly basis the NYSED Business Portal</li> </ul>	<p>Questions or concerns should be directed to Robert Renda, Accountability Lead at AEPP</p>

<p><b>Work collaboratively and meet monthly with each Regional/RAEN within assigned regions:</b>  <b><u>NYC STAC</u></b> – New York City RAEN  <b><u>ROS STAC</u></b> – West, Finger Lakes, Central Southern Tier, Capital North Country, Hudson Valley, Long Island</p>	<p>Arrange joint regional meetings in each RAEN Region</p> <ul style="list-style-type: none"> <li>• Contact RAEN Directors and select a mutually agreed upon date and location</li> </ul>	<p>Work collaboratively to support each ALE funded program</p>
<b>Quarter IV – April/May/June</b>		
<b>STAC Deliverables &amp; STAC Activity Chart</b>		
<b>Priorities</b>	<b>Activity</b>	<b>Action Steps</b>
<b>Hybrid Instruction</b>	<ul style="list-style-type: none"> <li>• Contact each ALE program identified as providing Hybrid Instruction</li> <li>• Excel list of remote links to instruction must be completed and submitted to RAEN and AEPP by the 20<sup>th</sup> of each month beginning with July</li> </ul>	<ul style="list-style-type: none"> <li>• STAC must monitor remote hybrid classes on a weekly basis</li> <li>• Document all observations and provide support where needed</li> <li>• Report all anomalies to the schedule on the accountability website</li> <li>• Changes in dates and times must be reported immediately to RAEN and AEPP</li> </ul>
<b>In-Person Instruction</b>	<ul style="list-style-type: none"> <li>• Use Program Information Form to track In-Person instruction</li> <li>• Plan on site visits to each ALE funded program at a minimum of once per quarter</li> <li>• Visits may not be announced in advance. STAC will rely on accuracy of PIF for day, time, and location</li> </ul>	<ul style="list-style-type: none"> <li>• STAC must monitor in-person classes on a quarterly basis for each ALE funded program</li> <li>• Rotate visits among all funded ALE programs</li> <li>• Document all observations and provide support where needed</li> <li>• Report any discrepancies in schedule on the accountability site</li> </ul>
<b>Performance Measures</b>	<p>NYRS Program Evaluation Report</p> <ul style="list-style-type: none"> <li>• Disaggregated by ALE Funding</li> </ul>	<ul style="list-style-type: none"> <li>• STAC will review the Program Evaluation Report and disaggregate by ALE funding source</li> <li>• Evaluate all performance targets:</li> </ul>

	<ul style="list-style-type: none"> <li>• Disaggregate by Teacher/Tutor</li> <li>• Disaggregated by Class</li> </ul>	<ul style="list-style-type: none"> <li>○ Measurable Skill Gain</li> <li>○ Post Test Rate</li> <li>○ Follow Up Outcomes</li> <li>• If less than the target, reach out to the program and document communication</li> <li>• Run report by teacher to identify possible gaps in post testing and MSG</li> <li>• STAC will participate in program accountability calls scheduled by the Accountability office with the local ALE funded program</li> <li>• All communication posted to the individual ALE program account on Accountability website</li> </ul>
<b>Monitoring ALE Programs</b>	<ul style="list-style-type: none"> <li>• STAC will monitor ALE Funded programs beginning in July and proceeding through June of the fiscal year</li> <li>• STAC will plan monitoring visits with both AEPP Regional and the Accountability Director</li> </ul> <p>STAC will not monitor any program without both the AEPP and Accountability Office input and guidance</p>	<p>Monitoring visit must include:</p> <ul style="list-style-type: none"> <li>• AEPP will lead the monitoring visit either in person or remotely</li> <li>• Data review and data summary issued by the Accountability Office</li> <li>• Fiscal Review and Contractual Deliverable Review by the AEPP Office</li> <li>• Student File Review (list will be issued by the Accountability Office)</li> <li>• Attendance Documents (list will be issued by the Accountability Office)</li> <li>• Classes to be observed will be identified by AEPP</li> <li>• Date and Time of monitoring visit must be approved by AEPP</li> <li>• STAC is responsible for a <u>written</u> monitoring visit report within 30 days of the visit</li> </ul>
<b>Monthly STAC Report to AEPP</b>	<ul style="list-style-type: none"> <li>• STAC must report on a monthly basis</li> <li>• STAC monitoring visits</li> <li>• STAC support emails posted to the accountability site</li> <li>• STAC follow up support based on monitoring results</li> </ul>	<p>STAC will submit a monthly report to AEPP indicating all services and support provided to local ALE programs</p>
<b>Quarterly NYSED Business Portal</b>	<ul style="list-style-type: none"> <li>• STAC must complete on a quarterly basis the NYSED Business Portal</li> </ul>	<p>Questions or concerns should be directed to Robert Renda, Accountability Lead at AEPP</p>

<b>AEPP Due Date Chart</b>	Prepare Updated AEPP Due Date Chart for Upcoming FY Specifically for ALE Funded Programs	<ul style="list-style-type: none"> <li>• Work as a team (NYC and ROS) to update the AEPP due date chart to focus entirely on ALE funded programs</li> <li>• Make updates to AEPP processes/ documents based on proposed due dates</li> <li>• Share important dates with AEPP office</li> </ul>
<b>Work collaboratively and meet monthly with each Regional/RAEN within assigned regions: <u>NYC STAC</u> – New York City RAEN <u>ROS STAC</u> – West, Finger Lakes, Central Southern Tier, Capital North Country, Hudson Valley, Long Island</b>	Arrange joint regional meetings in each RAEN Region <ul style="list-style-type: none"> <li>• Contact RAEN Directors and select a mutually agreed upon date and location</li> </ul>	Work collaboratively to support each ALE funded program

## Reporting and Monitoring

### Adult Education Programs Annual Performance Reporting - Component A

Grantees must submit an annual performance data at the end of each grant period but no later than August 15th of every fiscal year. The performance report should demonstrate that substantial progress has been made toward meeting the project goals, benchmarks, and the program performance indicators. Additional information about the annual performance report will be made available to grantees by NYSED annually. AEPP will provide annual performance reports cards with the following report cards status: Highly Proficient, Proficient, Needs Improvement and Unacceptable. For the purpose of performance monitoring, Highly Proficient and Proficient are considered demonstrated effectiveness. Grantees that continuously fail to demonstrate effectiveness by falling into the categories of Needs Improvement and Unacceptable, may be terminated and no longer funded.

### New York Reporting System (NYRS)

The New York Reporting System (NYRS) is the accountability system for all funded providers under this RFP and it addresses the accountability requirements set by New York State. Programs applying to the RFP must commit to following NYRS policy and procedures. ASISTS is the mandatory reporting tool that all programs must use as a condition of funding. Should one agency apply as the lead with a consortium of other members, only one ASISTS account will be created to support the lead consortium agency. All other consortium members must use the same lead account to record data. ASISTS captures the status and performance objectives of the awarded

contract. Each performance report must demonstrate that substantial progress has been made towards meeting the project goals, measurable outcomes, and deliverables, as indicated in the work plan and/or timeline. The ASISTS performance reports should provide an overview of what was proposed for the year and what happened, including the lessons learned during the process. If a consortium indicates poor performance on annual reports cards, AEPP may issue individual report cards to determine, which consortium member requires technical assistance, and the consortium may be placed in Corrective Action (CA). Continuous poor performance and inability to demonstrate effectiveness will impact future funding.

In addition to providing the email address of the program contact on the application cover page, all programs applying to the RFP must include in their proposal narrative a second email address, the adult education email address, created and managed by the applicant's organization, that serves as a secondary point of contact for adult education correspondence with NYSED, the program's respective RAEN, and the program's STAC. If an adult education email address does not currently exist within the organization, one must be created and made fully operational before applying to the RFP. The program must also provide the contact information of the person responsible for overseeing the contract. Adult Education Executive Leadership and District Superintendents will be invited to the remote annual Adult Education Leadership Meeting to learn about new initiatives, program components, expectations, and the goals for that respective year.

The adult education email address must remain a consistent point of contact for the program, regardless of organizational staffing changes. The adult education email address must be separate from any individual user's email account within the organization. Access to the email address must be managed and regulated by the organization with appropriate privacy and confidentiality controls. The email address must be publicly displayed on the organization's website as a means for the public to communicate with the program about adult education matters. When possible, the email address must be hosted on the same domain as all other email accounts created and managed by the organization; hosted by domains such as Google Mail or Yahoo Mail are only acceptable if the organization's proprietary information technology systems do not allow for a dedicated, non-user-specific email address.

### **Monitoring and Reporting (STACs) - Component B**

Awardees will be required to submit a quarterly report through the online SED Monitoring tool housed on NYSED's Business Portal. The SED Monitoring System captures the status and performance objectives of the awarded contract. Each performance report must demonstrate that substantial progress has been made toward meeting the project goals, measurable outcomes, and deliverables, as indicated in the work plan and/or timeline. The performance report should provide an overview of what was proposed for the year and what happened, including the lessons learned during the process.

### **Program Accountability for Component B**

Each STAC will be accountable for aiding each program within their Program Cohort to meet reporting requirements, achieve performance Educational and/or improvement milestones outlined in this section. Each STAC will provide monthly reports to NYSED/AEPP documenting the various methods of technical support provided to their Program Cohort in order to meet local program reporting requirements and/or evaluation milestones as described below. STAC's must conduct an

in-person site monitoring visit at each program every fiscal year and indicate observations, best practices, and areas of need within their monthly reporting and in meetings to AEPP and its vendors.

STAC's are also instrumental in assuring that program data is entered into ASISTS and conduct data entry for programs that may be short-staffed. Participant information, attendance, assessments, and follow up data must be entered by the last day of the month following the month in which the activity occurred. Program participant data is entered into ASISTS as listed on the Student and Participant Data Reporting (Chart 9).

### **Student and Participant Data Reporting- Component A and Component B**

Program participant and attendance data is required to be entered monthly into ASISTS. All data must be entered by the end of the month following the month in which attendance occurred per Chart 9 below.

**Student and Participant Data Reporting**

<b>Chart 9</b>	<b>Student and Participant Data Reporting</b>
<b>Participant and Attendance Data From</b>	<b>Must Be Entered Into ASISTS No Later Than</b>
July	August 31 <sup>st</sup>
August	September 30 <sup>th</sup>
September	October 31 <sup>st</sup>
October	November 30 <sup>th</sup>
November	December 31 <sup>st</sup>
December	January 31 <sup>st</sup>
January	February 28 <sup>th</sup>
February	March 31 <sup>st</sup>
March	April 30 <sup>th</sup>
April	May 31 <sup>st</sup>
May	June 30 <sup>th</sup>
June	July 31 <sup>st</sup>

All participants, regardless of employment status, must be tracked for employment performance indicators. This includes those participants who are employed at entry, unemployed at entry, those not in the labor force, and those seeking employment. New York participates in NYSDOL's Unemployment Insurance (UI) data matching process. This process requires the participant's Social Security Number, refugee number, or work visa number. Participants without any one of these numbers must be tracked manually with documentation log of date, time, and response from contact, see Appendix 3. Tracking will occur in the second quarter after the exit date at which time data will be recorded regarding participants who are in unsubsidized employment.

Clearly describe the process the program will use to collect and report Social Security Numbers and to keep them secure. All participants without a SSN, refugee number, or legal visa will be

counted in the performance denominator for the program and will need to be manually tracked to count as a positive outcome for NYRS employment measures.

Measurable Skill Gain (MSG) will be counted when participants demonstrate the advancement of at least one Educational Functioning Level (EFL) of a participant who is receiving instruction; EFL levels can be found in Appendix 2 - New York Reporting System (NYRS) For Adult Literacy Education (ALE).

### **Measurable Skill Gain (MSG) Requirement Component A and Component B**

1. Comparing the participant's initial lowest Educational Functioning Level, as measured by an NYSED approved pre-test, with the participant's educational functioning level, as measured by an NYSED approved post-test in the lowest score area.
2. An MSG is also reported for participants who achieve a NYS General Education Diploma (GED).
3. MSG will be counted for the passing of GED subtests.
4. Additional opportunities for the obtaining of MSG will be communicated to programs when it becomes available.

### **High-Quality Data Management Requirement**

1. Programs will accurately record individual student data within ASISTS and must comply with the New York Reporting System (NYRS) requirements for adult education programs. (See Program Accountability)
2. Programs will use a standard participant intake form, Individual Student Record Form (ISRF) ([Individual Student Record Form](#)) \*ISRF is updated annually
3. Programs will follow the NYS Assessment Policy for providing participant assessment and post-testing procedures. ([AEPP Assessment Policy](#) and [ASISTS resource bank](#)) \*Assessment Policy is updated annually as needed
4. Programs will use the standard survey instrument in conducting participant follow-up surveys, and screening tools for remote/hybrid instruction. ([Follow-up survey outcome](#))

### **Corrective Action**

#### **Adult Education Program Corrective Action Plan (CAP) – Component A**

All programs must help participants advance an educational literacy functioning level or obtain a high school diploma or its equivalent. In addition to the above, the individual participant can identify other goals as appropriate and the program contracted under NYSED must assist with providing participants with the necessary referral or resources to meet their goals. Agencies funded under this RFP are, at a minimum, expected to achieve the targets related to their



instructional program. Should the 2025-2030 performance targets be updated, NYSED will issue new guidance.

NYSED issues a Program Evaluation Report for each funded program and a comprehensive Report Card for each fiscal year. The annual Program Evaluation Report and Report Card will identify whether the agency has met the New York State Annual Benchmarks for NYRS outcome measures (see Chart 5). Programs that do not meet the New York State annual benchmarks will be required to undertake a formal Corrective Action Planning process (CAP). The Corrective Action taken by NYSED will include a documented letter addressed to the program's manager and their leadership with a description of the areas of concern and lack of compliance identified within the fiscal year. It shall detail how the program failed to demonstrate effectiveness, and the required action steps.

Once the Corrective Action Plan process is initiated, NYSED staff will continue to conduct virtual calls/webinars and in person site visits to provide extensive technical assistance. AEPP will require that key staff be present at monitoring meetings and identified by the adult education director. AEPP's NYRS accountability designee and the program's STAC director will monitor and track progress toward meeting the New York State annual benchmarks. The program under corrective action will be required to supply AEPP with a Corrective Action Plan (CAP) within 30 business days of receiving the CA letter, indicating the measures that will be implemented to reach contractual benchmarks. The CAP will remain in effect until AEPP deems that the issues listed on the CA have been addressed. Once the issues have been addressed, the program will be removed off CA. Should the program not make sufficient progress, AEPP has the authority of terminating the grant at the end of the program year.

#### **Adult Education Program Continuous Evaluation Process (CEP)**

As part of the comprehensive Corrective Action Plan (CAP), AEPP will engage in a Continuous Evaluation Process (CEP) under which programs and NYSED must identify quarterly progress milestones on key indicators such as Measurable Skill Gain that leads to meeting the New York State annual benchmarks. NYSED staff, the STAC director, and AEPP's NYRS accountability designee will conduct a quarterly review to determine whether approved quarterly milestones have been met for each agency in Corrective Action. Failure to continuously demonstrate effectiveness and student gain with little progress or effort, will be evaluated and measured against other programs in NYS in consideration for future funding.

Both the CAP process and CEP will be reported and tracked through the [accountability website](#) for each program funded through this RFP.

#### **STAC Corrective Action Plan (CAP) – Component B**

STACs will be evaluated based on their attainment of their roles and responsibilities as indicated on the STAC Deliverables and Activity Chart (Chart 8). STACs must provide one-on-one technical support to all of their respective ALE programs within their region, including providing data entry assistance when a program is understaffed. STACs must document their activities within the accountability website and conduct in person site visits to all their programs annually. STACs also monitor remote/hybrid instruction and convey the outcome of observations to the Regional Associates. Failure to support programs and conduct the activities described in this

RFP, will place the STAC under Corrective Action. A STAC under corrective action will be required to supply AEPP with a Corrective Action Plan (CAP) within 30 business-days of receiving the CA letter, indicating the measures that will be implemented to reach contractual obligations. The CAP will remain in effect until AEPP deems that the issues listed on the CA have been addressed. Once the issues have been addressed, the STAC shall be removed off CA. Should the program not make sufficient progress, AEPP has the authority of terminating the STAC contract and discontinuing funds.

### **STAC Continuous Evaluation Process (CEP)**

As part of the comprehensive Corrective Action Plan (CAP), AEPP will engage in a Continuous Evaluation Process (CEP) under which the STAC and NYSED must identify quarterly progress milestones on meeting contractual obligations. NYSED staff, the STAC director, and AEPP's NYRS accountability designee will conduct a quarterly review to determine whether approved quarterly milestones have been met. Failure to continuously demonstrate effectiveness, progress or, will be evaluated in consideration for ongoing funding.

Both the CAP process and CEP will be reported and tracked through the [accountability website](#) for each program funded through this RFP.

### **Demonstrated Effectiveness**

An eligible provider applying for Component A or Component B must demonstrate effectiveness by providing performance data on its record of improving the skills of eligible participants, particularly eligible participants who have low levels of literacy, in the content domains of reading, writing, mathematics, English Language Acquisition, and other subject areas relevant to the services contained in NYSED's application for funds. An eligible provider must also provide information regarding its outcomes for participants related to employment, attainment of secondary school diploma or its recognized equivalent, and transition to postsecondary education, and training.

There are ways in which an eligible provider may meet this requirement:

1. Submission of the NYSED NYRS Report Card data for the period FY2022/2023 (with a Proficient or Highly Proficient Report Card Status)
2. Submission of a completed Demonstrated Effectiveness Conversion Chart (Appendix 1a or Appendix 1b). NYSED reserves the right to review an applicant's calculations.

### **Requirements for Funding**

**Payee Information Form/NYSED Substitute W-9** – The [Payee Information Form](#) is a packet containing the Payee Information Form itself and an accompanying NYSED Substitute W-9. The NYSED Substitute W-9 may or may not be needed from your agency. Please follow the specific instructions provided with the form. The Payee Information Form is used to establish the identity of the applicant organization and enables it to receive federal (and/or State) funds through NYSED.

### **Prequalification Requirement**

Pursuant to the New York State Division of the Budget bulletin H-1032 (revised January 9, 2024), nonprofit organizations must Prequalify to do business with New York State agencies before they can compete for State grants. The process allows nonprofits to address questions and concerns prior to entering a competitive bid process. Nonprofits are strongly encouraged to begin the Prequalification process as soon as possible.

To become prequalified, a nonprofit must first register with Statewide Financial System (SFS). Once registered, nonprofits complete an online Prequalification application. This includes completing a series of forms by answering basic questions regarding the organization and uploading key organizational documents.

Detailed information on how to [register](#) with SFS and [become prequalified](#) is available on the [Grants Management](#) website (<https://grantsmanagement.ny.gov/>).

**Disclaimer:** *New York State reserves 5-10 business days from the receipt of complete Prequalification applications to conduct its review. If supplementary information or updates are required, review times will be longer. Due to the length of time this process could take to complete, it is advised that nonprofits Prequalify as soon as possible. Failure to successfully complete the Prequalification process early enough may result in a grant application being disqualified.*

**Nonprofits must receive approved prequalification status prior to grant application and execution of contracts. Grant proposals received from nonprofits that are not Prequalified in SFS by 5:00 PM on the application due date of May 14, 2025 will not be evaluated. Such proposals will be disqualified from further consideration.**

### **Accessibility of Web-Based Information and Applications**

Any documents, web-based information and applications, or programming delivered pursuant to this contract or procurement, will comply with New York State Education Department Web Accessibility Policy, [NYSED-WEBACC-001](#), as such policy may be amended, modified or superseded. The policy requires that state agency web-based information, including documents and applications, are accessible to persons with disabilities. Documents, web-based information, and applications must conform to [NYSED-WEBACC-001](#) as determined by quality assurance testing. Such quality assurance testing will be conducted by a NYSED employee or contractor, and the results of such testing must be satisfactory to NYSED before web-based information and applications will be considered an acceptable deliverable under the contract or procurement.

### **Requirements of Education Law Section 2-d**

The Contractor agrees to comply with FERPA and New York State Education Law § 2-d. The NYS Education Department (NYSED) is required to ensure that all contracts with a third-party contractor that has access to or receives information include a Data Privacy and Security Plan, pursuant to Education Law § 2-d and § 121.6 of the Regulations of the Commissioner of Education.

NYSED's Data Privacy Appendix (Attachment R), annexed to this RFP, shall also be part of the Contract.

### **Contract Terms and Conditions**

Grant awards to non-profit and for-profit organizations will require that the awardee enter into a grant contract, the form of which is contained in an attachment to this RFP. In addition to being signed by the awardee and NYSED Counsel, the contract will need to be submitted for review and approval by the NYS Attorney General and the Office of the State Comptroller. All provisions of this RFP are subordinate to the terms and conditions of the grant contract. The contents of this RFP, any subsequent correspondence related to final contract negotiations, and such other stipulations as agreed upon may be made a part of the final contract developed by NYSED.

### **Minority and Women-Owned Business Enterprise (M/WBE) Participation Goals Pursuant to Article 15-A of the New York State Executive Law**

***The following M/WBE requirements apply when an applicant submits an application for grant funding that exceeds \$25,000 for the full grant period.***

***All forms referenced here can be found in the M/WBE Documents section at the end of this RFP.***

All applicants are required to comply with NYSED's Minority and Women-Owned Business Enterprises (M/WBE) policy. Compliance can be achieved by one of the three methods described below. Full participation by meeting or exceeding the M/WBE participation goal for this grant is the preferred method.

M/WBE participation includes services, materials, or supplies purchased from minority- and women-owned firms certified with the NYS Division of Minority and Women Business Development. Not-for-profit agencies are not eligible for this certification. For additional information and a listing of currently certified M/WBEs, see the [NYS MWBE Directory](#).

The M/WBE participation goal for this grant is 30% of each applicant's total discretionary non-personal service budget for the grant. Discretionary non-personal service budget is defined as total budget, excluding the sum of funds budgeted for:

1. direct personal services (i.e., professional and support staff salaries) and fringe benefits
2. rent, lease, utilities and indirect costs, if these items are allowable expenditures

The M/WBE Goal Calculation Worksheet is provided for use in calculating the dollar amount of the M/WBE goal for this grant application.

All requested information and documentation should be provided at the time of submission. If this cannot be done, the applicant will have to submit the necessary documents and respond satisfactorily to any follow-up questions from the Department. Failure to do so may result in loss of funding.

### **Methods to Comply**

An applicant can comply with NYSED's M/WBE policy by one of three methods:

**1. Full Participation** - This is the preferred method of compliance. Full participation is achieved when an applicant meets or exceeds the participation goals for this grant.

**COMPLETE FORMS:**

- M/WBE Goal Calculation Worksheet
- M/WBE Cover Letter
- M/WBE 100 Utilization Plan
- M/WBE 102 Notice of Intent to Participate
- EEO 100 Staffing Plan

**2. Partial Participation, Request for Partial Waiver** - This is acceptable only if good faith efforts to achieve full participation are made and documented, but full participation is not possible.

**COMPLETE FORMS:**

- M/WBE Goal Calculation Worksheet
- M/WBE Cover Letter
- M/WBE 100 Utilization Plan
- M/WBE 101 Request for Waiver
- M/WBE 102 Notice of Intent to Participate
- M/WBE 105 Contractor's Good Faith Efforts
- M/WBE 105A Contractor Unavailable Certification
- EEO 100 Staffing Plan

**3. No Participation, Request for Complete Waiver** - This is acceptable only if good faith efforts to achieve full or partial participation are made and documented, but do not result in any participation by M/WBE firm(s).

**COMPLETE FORMS:**

- M/WBE Goal Calculation Worksheet
- M/WBE Cover Letter
- M/WBE 101 Request for Waiver
- M/WBE 105 Contractor's Good Faith Efforts
- M/WBE 105A Contractor Unavailable Certification
- EEO 100 Staffing Plan

## **Good Faith Efforts**

Applicants must make a good faith effort to solicit NYS certified M/WBE firms as subcontractors and/or suppliers to achieve the goals for this grant. Solicitations may include, but are not limited to: advertisements in minority and women-centered publications; solicitation of vendors found in the [NYS Directory of Certified Minority and](#)

[Women-Owned Business Enterprises](#); and the solicitation of minority and women-oriented trade and labor organizations.

Good faith efforts include actions such as setting up meetings or announcements to make M/WBEs aware of supplier and subcontracting opportunities, identifying logical areas of the grant project that could be subcontracted to M/WBE firms, and utilizing all current lists of M/WBEs who are available for and may be interested in subcontracting or supplying goods for the project.

Applicants should document their efforts to comply with the stated M/WBE goals and submit this with their applications as evidence. Examples of acceptable documentation can be found in form M/WBE 105, Contractor's Good Faith Efforts. NYSED reserves the right to reject any application for failure to document "good faith efforts."

### **Request for Waiver**

When full participation cannot be achieved, applicants must submit a Request for Waiver (M/WBE 101). Requests for Waivers must be accompanied by documentation explaining the good faith efforts made and reasons they were unsuccessful in obtaining M/WBE participation.

NYSED reserves the right to approve the addition or deletion of subcontractors or suppliers to enable applicants to comply with the M/WBE goals, provided such addition or deletion does not impact the technical proposal and/or increase the total budget.

All payments to Minority and Women-Owned Business Enterprise subcontractor(s) should be reported to the NYSED M/WBE Program Unit using the M/WBE 104G Quarterly M/WBE Compliance Report. This report should be submitted on a quarterly basis and can be requested at [MWBEGrants@nysed.gov](mailto:MWBEGrants@nysed.gov).

NYSED's M/WBE Coordinator is available to assist applicants in meeting the M/WBE goals. The Coordinator can be reached at [MWBEGrants@nysed.gov](mailto:MWBEGrants@nysed.gov).

### **Equal Employment Opportunity Reporting (EEO) Pursuant to Article 15-A of the New York State Executive Law**

Applicants must complete and submit form EEO 100: Staffing Plan.

### **NYSED's Reservation of Rights**

NYSED reserves the right to: (1) reject any or all proposals received in response to the RFP; (2) withdraw the RFP at any time, at the agency's sole discretion; (3) make an award under the RFP in whole or in part; (4) disqualify any bidder whose conduct and/or proposal fails to conform to the requirements of the RFP; (5) seek clarifications of proposals; (6) use proposal information obtained through site visits, management interviews and the state's investigation of a bidder's qualifications, experience, ability or financial standing, and any material or information submitted



by the bidder in response to the agency's request for clarifying information in the course of evaluation and/or selection under the RFP; (7) prior to the bid opening, amend the RFP specifications to correct errors or oversights, or to supply additional information, as it becomes available; (8) prior to the bid opening, direct bidders to submit proposal modifications addressing subsequent RFP amendments; (9) change any of the scheduled dates; (10) waive any requirements that are not material; (11) negotiate with the successful bidder within the scope of the RFP in the best interests of the state; (12) conduct contract negotiations with the next responsible bidder, should the agency be unsuccessful in negotiating with the selected bidder; (13) utilize any and all ideas submitted in the proposals received; (14) unless otherwise specified in the solicitation, every offer is firm and not revocable for a period of 90 days from the bid opening; (15) require clarification at any time during the procurement process and/or require correction of arithmetic or other apparent errors for the purpose of assuring a full and complete understanding of an offerer's proposal and/or to determine an offerer's compliance with the requirements of the solicitation; (16) request best and final offers.

### **Debriefing Procedures**

All unsuccessful applicants may request a debriefing within fifteen (15) calendar days of receiving notice from NYSED. Applicants may submit a request for a debriefing letter through the [online form](#).

The Fiscal Contact person will arrange with program staff to provide a written summary of the proposal's strengths and weaknesses, as well as recommendations for improvement. Within ten (10) business days, the program staff will issue a written debriefing letter to the bidder.

### **Contract Award Protest Procedures**

Applicants who receive a notice of non-award or disqualification may protest the NYSED award decision subject to the following:

1. The protest must be in writing and must contain specific factual and/or legal allegations setting forth the basis on which the protesting party challenges the contract award by NYSED.
2. The protest must be filed within ten (10) business days of receipt of a debriefing or disqualification letter. The protest letter must be filed via [online form](#).
3. The NYSED Contract Administration Unit (CAU) will convene a review team that will include at least one staff member from each of NYSED's Office of Counsel, CAU, and the Program Office. The review team will review and consider the merits of the protest and will decide whether the protest is approved or denied. Counsel's Office will provide the bidder with written notification of the review team's decision within ten (10) business days of the receipt of the protest. The original protest and decision will be filed with OSC when the contract procurement record is submitted for approval and CAU will advise OSC that a protest was filed.
4. The NYSED Contract Administration Unit (CAU) may summarily deny a protest that fails to contain specific factual or legal allegations, or where the protest only raises issues of law that have already been decided by the courts.

## **Vendor Responsibility**

State law requires that the award of state contracts be made to responsible vendors. Before an award is made to a not-for-profit entity, a for-profit entity, a private college or university or a public entity not exempted by the Office of the State Comptroller, NYSED must make an affirmative responsibility determination. The factors to be considered include legal authority to do business in New York State; integrity; capacity - both organizational and financial; and previous performance. Before an award of \$100,000 or greater can be made to a covered entity, the entity will be required to complete and submit a Vendor Responsibility Questionnaire. School districts, Charter Schools, BOCES, public colleges and universities, public libraries, and the Research Foundation for SUNY and CUNY are some of the exempt entities. For a complete list, see [OSC's website](#).

NYSED recommends that vendors file the required Vendor Responsibility Questionnaire online via the New York State VendRep System. To enroll in and use the New York State VendRep System, see the [VendRep System Instructions](#) or go directly to the [VendRep System online](#).

Vendors must provide their New York State Vendor Identification Number when enrolling. To request assignment of a Vendor ID or for VendRep System assistance, contact the [Office of the State Comptroller's Help Desk](#) at 866-370-4672 or 518-408-4672 or by email at [ITServiceDesk@osc.ny.gov](mailto:ITServiceDesk@osc.ny.gov).

Vendors opting to complete and submit a paper questionnaire can obtain the appropriate questionnaire from the [VendRep website](#) or may contact NYSED or the Office of the State Comptroller's Help Desk for a copy of the paper form.

## **Subcontractors:**

For vendors using subcontractors, a Vendor Responsibility Questionnaire and a NYSED vendor responsibility review are required for a subcontractor when:

- the subcontractor is known at the time of the contract award;
- the subcontractor is not an entity that is exempt from reporting by OSC; and
- the subcontract will equal or exceed \$100,000 over the life of the contract

## **Workers' Compensation Coverage**

New York State Workers' Compensation Law (WCL) has specific coverage requirements for businesses contracting with New York State.

## **PROOF OF COVERAGE REQUIREMENTS**

Please note – an ACORD form is not acceptable proof of New York State workers' compensation or disability benefits insurance coverage.

## **Proof of Workers' Compensation Coverage**



NYSED must ensure all awardees/contractors who are required to carry workers' compensation insurance have an active policy. NYSED must obtain **one** of the following forms before a contract can be approved:

- **Form C-105.2** – Certificate of Workers' Compensation Insurance issued by private insurance carriers, or **Form U-26.3** issued by the State Insurance Fund; or
- **Form SI-12** – Certificate of Workers' Compensation Self-Insurance; or **Form GSI-105.2** Certificate of Participation in Workers' Compensation Group Self-Insurance; or
- **CE-200** – Certificate of Attestation of Exemption from NYS Workers' Compensation and/or Disability Benefits Coverage.

### **Proof of Disability and Paid Family Leave Benefits Coverage**

NYSED must ensure all awardees/contractors who are required to carry Disability and Paid Family Leave benefits insurance have an active policy. NYSED must obtain **one** of the following forms before a contract can be approved:

- **Form DB-120.1** – Certificate of Disability Benefits Insurance; or
- **Form DB-155** – Certificate of Disability Benefits Self-Insurance; or
- **CE-200** – Certificate of Attestation of Exemption from New York State Workers' Compensation and/or Disability Benefits Coverage.

For additional information regarding workers' compensation and disability benefits requirements, please refer to the [New York State Workers' Compensation Board website](#).

Please note that although these forms are not required as part of the bid submissions, NYSED encourages bidders to include them in their bid submission to expedite contract execution if the bidder is awarded the contract. Note also that only the forms listed above are acceptable.

## Submission Instructions and Method of Award

### Application Checklist Component A and Component B

Listed below are the required documents for a complete application package. Use this checklist to ensure that your application submission is complete and in compliance with application instructions.

**Please check one for the Component being applied for:**

- ☐ Component A - Direct Instructional Programs  
What is the RAEN Region? \_\_\_\_\_
- ☐ Component B - Support and Technical Assistance Centers (STAC)  
What Region (NYC or ROS)? \_\_\_\_\_

Required Documents (check as applicable)		Applicant <input checked="" type="checkbox"/>	NYSED <input checked="" type="checkbox"/>
1	Application Checklist	<input type="checkbox"/>	<input type="checkbox"/>
2	Application Cover Page with Original Signature of Chief Administrative Officer	<input type="checkbox"/>	<input type="checkbox"/>
3	<a href="#">Payee Information Form</a> (if applicable)	<input type="checkbox"/>	<input type="checkbox"/>
4	Proposal Narrative	<input type="checkbox"/>	<input type="checkbox"/>
5	Grant Workplan (template posted with RFP)	<input type="checkbox"/>	<input type="checkbox"/>
6	Program Component Worksheet (PCW) (Component A)	<input type="checkbox"/>	<input type="checkbox"/>
7	Program Component Information Sheet Form (PIF) (Component A)	<input type="checkbox"/>	<input type="checkbox"/>
8	Demonstrated Effectiveness Chart (Appendix 1a or Appendix 1b) or (2022-2023) ALE NYRS Report Card	<input type="checkbox"/>	<input type="checkbox"/>
9	Five <a href="#">FS-10 Budgets</a> (signature required) (one for each year of the program) and Five Budget Narratives on the <a href="#">Template</a> (one for each year of the program).	<input type="checkbox"/>	<input type="checkbox"/>
10	<a href="#">Full Time Equivalency (FTE) Worksheet</a> for year one	<input type="checkbox"/>	<input type="checkbox"/>
11	Worker's Compensation Documentation (encouraged)	<input type="checkbox"/>	<input type="checkbox"/>
12	Disability Benefits Documentation (encouraged)	<input type="checkbox"/>	<input type="checkbox"/>
13	Is the applicant prequalified, if required? (While no documentation is required with the application, the applicant may be required to prequalify in order to be eligible for this grant opportunity)	<input type="checkbox"/>	<input type="checkbox"/>

#### M/WBE Documents Package (original signatures required)

☐ Full Participation ☐ Request Partial Waiver ☐ Request Total Waiver

Type of Form	Forms Required		
	Full Participation	Request Partial Waiver	Request Total Waiver
Calculation of M/WBE Goal Amount	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
M/WBE Cover Letter	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>M/WBE 100</b> Utilization Plan	<input type="checkbox"/>	<input type="checkbox"/>	N/A
<b>M/WBE 102</b> Notice of Intent to Participate	<input type="checkbox"/>	<input type="checkbox"/>	N/A
<b>M/WBE 105</b> Contractor's Good Faith Efforts	N/A	<input type="checkbox"/>	<input type="checkbox"/>
<b>M/WBE 105A</b> Contractor Unavailable Certification	N/A	<input type="checkbox"/>	<input type="checkbox"/>
<b>M/WBE 101</b> Request for Waiver Form and Instructions	N/A	<input type="checkbox"/>	<input type="checkbox"/>
<b>EEO 100</b> Staffing Plan and Instructions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**SED Comments:**

Has the applicant complied with the application instructions? ☐ Yes ☐ No

SED Reviewer: \_\_\_\_\_ Date: \_\_\_\_\_

**2025 – 2030 State Adult Literacy Education (ALE)**

**Application Cover Page  
Component A and Component B**

**Agency Code**

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Name Applicant agency:	Name and Title of Contact Person:
Address:  City:                      ZIP Code:  County:  RAEN Region:	Telephone:
	Fax:
	E-Mail:
<p>I hereby certify that I am the applicant's chief school/administrative officer and that the information contained in this application is, to the best of my knowledge, complete and accurate. I further certify, to the best of my knowledge, that any ensuing program and activity will be conducted in accordance with all applicable Federal and State laws and regulations, application guidelines and instructions, Assurances, Certifications, the terms and conditions of the State of New York Contract for Grants, and that the requested budget amounts are necessary for the implementation of this project. It is understood by the applicant that this application constitutes an offer and, if accepted by the NYS Education Department or renegotiated to acceptance, will form a binding agreement. It is also understood by the applicant that immediate written notice will be provided to the grant program office if at any time the applicant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.</p>	
Original Signature of Chief Administrative Officer:	Typed Name of Chief Administrative Officer:
Date:	

### **Page Limits and Formatting Specifications**

The Proposal Narrative and Budget Narrative are to be submitted on single-spaced 8.5" x 11" pages with one-inch margins. Charts/tables are not required to adhere to this standard. Use a Times Roman or Arial font in a 12-point size. If the Proposal Narrative and Budget Narratives exceed the page limit, the excess pages will not be read by the reviewers. Do not include any attachments or addenda.

Proposal Narrative – no more than 10 pages

Budget Narrative -- no more than 3 pages per year

### **Evaluation Categories for Component A and Component B**

#### **Evaluation Component A**

1) Abstract	(00 points)
2) Work Plan (Year 1 - Year 5) - (7/1/25 – 6/30/30)	(20 points)
3) Proposal Narrative	(10 points)
4) Project Description	(10 points)
5) Regional Networking and Interagency Coordination	(10 points)
6) Proposed Outcomes and Accountability	(20 points)
7) Staff Development	(10 points)
8) FS-10 Budgets and Narrative	(20 points)
<b>TOTAL</b>	<b>(100 points)</b>

#### **Evaluation Component B**

1) Abstract	(00 points)
2) Work Plan (Year 1 - Year 5) - (7/1/25 – 6/30/30)	(20 points)
3) Proposal Narrative	(10 points)
4) Project Description	(10 points)
5) Regional Networking and Interagency Coordination	(10 points)
6) Proposed Outcomes and Accountability	(20 points)
7) Staff Development	(10 points)
8) FS-10 Budgets and Narrative	(20 points)
<b>TOTAL</b>	<b>(100 points)</b>

### **Evaluation Summary Component A**

#### **1. Abstract: (00 points)**

Provide an overview of the organization and how the bidder intends to successfully execute the contract. Highlight how the bidder's experience and expertise would support quality adult education efforts in New York State.

## **2. Work Plan (Year 1 - Year 5) - (7/1/25 – 6/30/30): (20 points)**

### **Please complete the Work Plan for Component A posted separately with the RFP.**

The work plan should describe how the program intends to meet their deliverables for the duration of the contract. Each section of the work plan should be completed in its entirety with a detailed description of the methods, strategies and tools used to reach goals. Each of the five years should be completed in the work plan.

## **3. Proposal Narrative: (10 points)**

Provide an outline of how the bidder intends to meet all deliverables specific to Component A, including methods, areas of instruction, direct instruction, meet 14 hours of professional development for all staff and description of the location for instruction and the modalities used for all relevant activities for each year of the grant.

Indicate proposed timelines that are reasonable and that ensure completion of the RFP deliverables. Bidders should describe and/or demonstrate how all adult education and will provide direct services to students that do not meet the NRS/state performance benchmarks, as applicable. Provide an outline of the plan for continuation of program performance.

## **4. Project Description: (10 points)**

Describe the proposed adult basic education and literacy services program including the program's foundation of research and effective educational practices particularly those addressing the lowest NYRS levels. Summarize how the bidder would employ technology as teaching aids including the use of computers so that students acquire the necessary skills to be successful within remote instruction, computer-based testing, and technology usage in the workforce. Describe how the bidder provides learning in real-life contexts to ensure that students have skills for competing in the workplace and practicing citizenship. Additionally, describes what supplemental supportive services (such as assessment, counseling, and referral for childcare and transportation) are provided and how they are delivered.

## **5. Regional Networking and Interagency Coordination: (10 points)**

Provide a description of how the bidder will network and coordinate with regional partners. Indicate the effort that will be made to network and coordinate services with other providers and describe the efforts that will be made to network, coordinate with local employers, with the American Job Center and refer students to other as needed supportive services.

## **6. Proposed Outcomes and Accountability: (20 points)**

Describe the effectiveness of adult education instruction as demonstrated through the 2022/2023 NYRS Report Card or complete the Appendix 1a – Component A -

Demonstrated Effectiveness Conversion Chart. The Performance Target Worksheet included within the application must clearly indicate that program targets are consistent with NYS 2020-2025 targets and those targets are identified for each program type offered by the applicant: ABE, ASE, and ESOL.

## **7. Staff Development: (10 points)**

Provide a clear description of the necessary key roles and how the staff will help to execute the deliverables of the contract. FTE's are clearly defined, articulated and reflect all necessary information Required trainings includes administrative, clerical, instructional, case management, and data management staff. Describe how the AEPP funded staff and those providing direct instruction will receive 14 hours of professional development. The PD must be provided through the program's respective Regional Adult Education Network (RAEN) annually. Describe how all staff members providing instruction (full and part-time) will attend professional development provided through the RAEN that reflects the work done with Master Teachers supported by NYSED/AEPP. Any volunteer staff who will be providing assessments to students must also attend assessment certification training through the RAEN and each new instructional staff member will attend appropriate training on working with students with learning disabilities.

## **8. FS-10 Budgets and Narrative: (20 points)**

Using the Form FS-10 Budget Form, provide an itemized budget and brief narrative of how the requested funds will be used for the project. Applicants should complete and submit five separate FS-10 budgets, or one for each year of the program. Budgeted items must be reasonable in cost and necessary for the project in order to receive the maximum points. SED staff will eliminate any unallowable or unreasonable items in the budget. Grantees will not be allowed to substitute new items for those that have been eliminated. The FS-10 Budget Form and Budget Narrative describe how the expenditures and activities are supplemental to and do not supplant or duplicate services currently provided.

Budgeted costs must comply with applicable State and federal laws and regulations and the Department's Fiscal Guidelines. These guidelines, as well as the FS-10 form, are available online on the [Grants Finance website](#). The FS-10 must bear the original signature of the Chief School/Administrative Officer.

Information about the categories of expenditures and general information on allowable costs, applicable cost principles and administrative regulations are available in the [Fiscal Guidelines for Federal and State Aided Grants](#).

The budget will be reviewed for accuracy and completeness. The budget and its narrative will be reviewed to determine that the proposed use of the funds is for the direct support of the program, and that the anticipated expenditures are allowable, appropriate, and reasonable. Each category of expense within each period has its own narrative, which will also be reviewed to determine the extent to which it specifically explains and relates

proposed expenditures to specific activities to meet project goals. A narrative should be provided with each category of expense for which costs are listed.

## **Evaluation Summary Component B**

### **1. Abstract: (00 points)**

Provide an overview of the organization and how the bidder intends to successfully execute the contract. Highlight how the bidder's experience and expertise would support quality adult education efforts in New York State.

### **2. Work Plan (Year 1 - Year 5) - (7/1/25 – 6/30/30): (20 points)**

#### **Please complete the Work Plan for Component B posted separately with the RFP.**

Provide a work plan for the 5 years of STAC technical assistance services. The work plan should describe how the program intends to meet the deliverables for the duration of the contract. Each section of the work plan should be completed in its entirety with a detailed description of the methods, strategies and tools used to reach goals.

### **3. Proposal Narrative: (10 points)**

Provide an outline of how the bidder intends to meet all deliverables specific to the Component B, including methods, areas of support, in person site visits, data entry for programs low in staff, one-on-one technical assistance, and the modalities used for all relevant activities for each year of the grant.

Indicate proposed timelines that are reasonable and that ensure completion of the RFP deliverables. Bidders should describe and/or demonstrate how all STAC activities will provide programs that do not meet the NYRS/state performance benchmarks, including the Big 5 urban districts (New York City, Buffalo, Yonkers, Rochester, Syracuse), as applicable. Provide an outline of the plan for supporting the improvement of program performance and the strategies used to improve NYRS performance benchmarks.

### **4. Project Description: (10 points)**

Describe the proposed adult basic education and literacy services program including the programs foundation of research and effective educational practices particularly those addressing the lowest NYRS levels. Summarize how the bidder would employ technology as teaching aids including the use of computers so that students acquire the necessary skills to be successful in online, computer-based testing and usage in the workforce. Described how the bidder provides learning in real-life contexts to ensure that students have skills for competing in the workplace and practicing citizenship. Additionally, described what supplemental supportive services (such as assessment, counseling, and referral for childcare and transportation) are provided and how they are delivered.



## **5. Regional Networking and Interagency Coordination: (10 points)**

Provide a description of how the bidder will network and coordinate with regional partners. Indicate the effort that will be made to network and coordinate services with other providers and describe the efforts that will be made to network, coordinate with local employers, with the American Job Center, Local Workforce Development Boards (LWDB) and maintain a list of supportive services to share with programs.

## **6. Proposed Outcomes and Accountability: (20 points)**

Identify for each program type supported ABE, ASE, and ESOL what technical assistance services were provided and what impact did it make. Describe the effectiveness of adult education technical assistance provided in previous contracts as demonstrated through the 2022/2023 NYRS Report Card or complete the Appendix 1b – Component B - Demonstrated Effectiveness Conversion Chart.

## **7. Staff Development: (10 points)**

The STAC must describe how it will maintain staff records of the 14 hours required professional development (PD) provided through the program's respective Regional Adult Education Network (RAEN). Required trainings includes administrative, clerical, instructional, case management, and data management. All staff members providing instruction (full and part-time) must attend professional development provided through the RAEN that reflects the work done with Master Teachers supported by NYSED/AEPP. Any volunteer staff who will be providing assessments to students must also attend assessment certification training through the RAEN and each new instructional staff member will attend appropriate training on working with students with learning disabilities. STACs must advise programs of their PD status and make training recommendations.

## **8. FS-10 Budgets and Narrative: (20 points)**

Using the Form FS-10 Budget Form, provide an itemized budget and brief narrative of how the requested funds will be used for the project. Applicants should complete and submit five separate FS-10 budgets, or one for each year of the program. Budgeted items must be reasonable in cost and necessary for the project in order to receive the maximum points. SED staff will eliminate any unallowable or unreasonable items in the budget. Grantees will not be allowed to substitute new items for those that have been eliminated. The FS-10 Budget Form and Budget Narrative describe how the expenditures and activities are supplemental to and do not supplant or duplicate services currently provided.

Budgeted costs must comply with applicable State and federal laws and regulations and the Department's Fiscal Guidelines. These guidelines, as well as the FS-10 form,

are available online on the [Grants Finance website](#). The FS-10 must bear the original signature of the Chief School/Administrative Officer.

Information about the categories of expenditures and general information on allowable costs, applicable cost principles and administrative regulations are available in the [Fiscal Guidelines for Federal and State Aided Grants](#).

The budget will be reviewed for accuracy and completeness. The budget and narrative will be reviewed to determine that the proposed use of the funds is for the direct support of the program, and that the anticipated expenditures are allowable, appropriate, and reasonable. Each category of expense within each period has its own narrative, which will also be reviewed to determine the extent to which it specifically explains and relates proposed expenditures to specific activities to meet project goals. A narrative should be provided with each category of expense for which costs are listed.

### **Method of Award**

All applications submitted within the same RAEN region will be scored and ranked, e.g., all applications submitted for the New York City RAEN region will be scored and rank ordered with other applications from New York City. Applications will be reviewed and independently rated by two or more reviewers. In order for an application to be considered for funding, proposals must receive a minimum average score of sixty (60) points. Scores of under 60 points may not be considered.

In the case where there is a difference of more than 15 points between the two reviewers' scores, the proposal will be scored by an additional reviewer. In cases where an additional review is necessary, the two closest scores in numeric value will be added and averaged to obtain the final average score. If the additional reviewer's score is equal to the average of the two original scores, the additional reviewer's score will become the final score. Applications will be ranked in order of final average score within each RAEN region. In the event of a tie score, the applicant with the highest score on the Project Description section will be ranked higher. Proposed budgets will be reviewed, and items deemed inappropriate, unallowable, or inconsistent with project or program activities will be eliminated.

Within each RAEN region, grant contracts in the amount of the budget, as adjusted, will be awarded to the highest-ranked proposals until the funds are insufficient to fund the next ranked proposal in full for that RAEN region. The next ranked applicant will be given the opportunity to receive partial funding to operate an abbreviated program.

After the process described in the foregoing paragraph is conducted, if funds remain in any RAEN region outside of NYC RAEN, these funds will be combined into one Rest of State pool of money. Applicants from the six (6) Rest of State RAEN Regions who either received a partial award or received a passing score but were not offered an award will be rank ordered into one list based upon their final average score. Grant contracts in the amount of the budget, as adjusted, will be awarded to the highest-ranked proposals until

the funds are insufficient to fund the next ranked proposal in full. The next ranked applicant will be given the opportunity to receive partial funding to operate an abbreviated program.

Two (2) lists for applicants not funded will be maintained for the duration of the 5 -year period for the RFP.

1. The first list will be for applications within NYC RAEN region. The NYC list will start with the partially funded application and continue down the rank ordered list of passing but not funded applications in the NYC RAEN region.
2. The second list will start with the partially funded applications and continue down the rank ordered list of passing but not funded applications from the Rest of State RAEN regions. These applications will be combined into one ranked order list.

Both NYC and Rest of State lists will be used in case additional funds are appropriated. The additional funds will be divided between New York City and ROS in the proportion used in the original allocation. Additional allocation of funds will prioritize direct instruction programming Component A. Partially funded applications will be fully funded first, and then awards will be made continuing down the list until the funding ends. If all applications are fully funded for either ROS or NYC before the funding ends, that funding will transfer to the other region.

The New York State Education Department (NYSED) reserves the right to reject all applications received or cancel this grant if it is in the best interest of the Department.

### **Criteria for Evaluating Bids**

All eligible proposals received by the deadline will be reviewed using the following criteria and ratings. Applicants must ensure that all components of this application request have been addressed, all forms and assurances have been completed, and the original signatures are included as required.

An evaluation committee will complete a review of all proposals submitted. The committee will review each proposal based upon the submitted proposal and the requirements of the RFP only. Bidders should not assume that committee review members will be familiar with the current program or have any previous experience with the bidder. Appropriate description should be included to inform review committee members about the bidder's qualifications and capacity to perform all required deliverables.

The committee will review each proposal to determine compliance with the requirements described in the RFP. NYSED retains the right to determine whether any deviation from the requirements of this RFP is substantial in nature and may reject in whole or in part any and all proposals, waive minor irregularities and conduct discussions with all responsible bidders.

### **Methodology of Award**

Funding amounts per Regional Adult Education Network (RAEN) region is based upon the U.S. Census American Community Survey 2023 county figures that report the number of persons 18 years of age and older without a high school diploma. In addition, each region's maximum annual award amount was increased by \$50,000 to factor in the rising costs associated with salaries, rents, utilities, fringe benefits, supplies and materials, etc.

<b>NUMBER OF STUDENTS BY 7 REGIONS</b>			
New York City Region:	Bronx <b>253,536</b> Kings <b>315,929</b> Manhattan <b>144,436</b> Queens <b>311,381</b> Richmond <b>43,686</b>	Total 1,068,968	(57% of total students)
Long Island Region:	Nassau <b>84,569</b> Suffolk <b>113,476</b>	Total 198,045	(11% of total students)
Hudson Valley Region:	Dutchess, <b>20,151</b> Orange, <b>31,720</b> Putnam <b>5,812</b> Rockland <b>29,289</b> Sullivan <b>7,640</b> Ulster <b>12,316</b> Westchester <b>82,834</b>	Total 189,762	(10% of total students)
Capital/North Region:	Albany <b>17,637</b> Clinton <b>7,203</b> Columbia <b>4,536</b> Essex <b>2,818</b> Franklin <b>4,950</b> Fulton <b>5,088</b> Greene <b>4,637</b> Hamilton <b>460</b> Jefferson <b>7,538</b> Lewis <b>1,940</b> Montgomery <b>4,446</b> Rensselaer <b>9,868</b> Saratoga <b>11,921</b> Schenectady <b>10,652</b> Schoharie <b>1,982</b> St. Lawrence <b>9,143</b> Warren <b>4,645</b> Washington <b>5,231</b>	Total 114,695	(6% of total students)
Central/Southern Tier Region:	Broome <b>13,241</b> Cayuga <b>7,174</b> Chemung <b>6,423</b> Chenango <b>4,394</b> Cortland <b>3,044</b> Delaware <b>3,489</b> Herkimer <b>4,213</b> Madison <b>3,532</b> Oneida <b>19,904</b> Onondaga <b>29,941</b>	Total 122,748	(6% of total students)

	Oswego <b>9,046</b> Otsego <b>4,277</b> Schuyler <b>1,363</b> Steuben <b>6,411</b> Tioga <b>3,277</b> Tompkins <b>3,019</b>		
Finger Lakes Region:	Genesee <b>3,367</b> Livingston <b>3,536</b> Monroe <b>49,282</b> Ontario <b>6,253</b> Orleans <b>4,384</b> Seneca <b>4,403</b> Wayne <b>7,011</b> Wyoming <b>4,243</b> Yates <b>3,165</b>	Total 85,644	(5% of total students)
West Region:	Allegany <b>2,837</b> Cattaraugus <b>6,578</b> Chautauqua <b>10,247</b> Erie <b>57,180</b> Niagara <b>13,383</b>	Total 90,225	(5% of total students)
Total student: 1,870,087			

Methodology of Award			
Region	Funding Available	Census Data Percentage	Maximum Award
New York City	\$ 5,240,010	57%	\$300,000
Long Island	\$ 1,011,230	11%	\$270,000
Hudson Valley	\$ 919,300	10%	\$270,000
Capital District/North	\$ 551,580	6%	\$200,000
Central/Southern Tier	\$ 551,580	6%	\$250,000
Finger Lakes	\$ 459,650	5%	\$200,000
West	\$ 459,650	5%	\$200,000
Total	\$ 9,193,000		

**Proposal Evaluation Rubric**  
Component A – Direct Adult Education Services

Applicant:		
Reviewer:	Date Reviewed:	Score:

**All applicants must receive a minimum score of 60 points (not including Bonus Points) to be considered for funding. Any awarded bonus points will be added to the final score for purposes of ranking proposals.**

Rating Guidelines:

- Very Good - Specific and comprehensive. Complete, detailed, and clearly articulated information as to how the criteria are met. Well-conceived and thoroughly developed ideas.
- Good - General but sufficient detail. Adequate information as to how the criteria are met, but some areas are not fully explained and/or questions remain. Some minor inconsistencies and weaknesses.
- Fair - Unclear and non-specific. Limited information is provided about approach and strategies. Lacks focus and detail.
- Poor - Does not meet the criteria, fails to provide information, provides inaccurate information, or provides information that requires substantial clarification as to how the criteria are met.
- Not Found - Does not address the criteria or simply re-states the criteria.

1. Abstract (00 Points)	Included	Not Included

2. Work Plan (20 Points)	Very Good	Good	Fair	Poor	NF
a. Improvement and Performance are described. Includes steps to maintain satisfactory performance and steps for improvement as needed. The applicant describes how each of these roles will provide support: Program improvement team tasks, data manager, program manager, instructors.	4	3	2	1	0

b. The applicant describes the quality of direct program instruction, student persistence, and meeting the 12 hours of Intake. Fifty (50) percent of the population must be in the lowest beginning levels of adult basic education and/or ESOL should be included in the description.	4	3	2	1	0
c. Professional Development. The applicant Describes the level of communication and cooperation with RAEN regarding scheduling and prioritizing PD.	4	3	2	1	0
d. The applicant describes how the program will meet benchmarks in enrollment, MSG, posttest rate, employment second quarter, and credential rate to improve Literacy Levels. They included the use of College and Career Readiness Standards, NYSED CareerKits, and educational programming.	4	3	2	1	0
e. Evaluating Program Services. Describes methods of instruction. (Volunteers, locations, modalities). Includes methods the applicant will use to demonstrate how students, teachers, and leadership will be included in evaluating and improving program services.	4	3	2	1	0
Total (out of 20)					
Comments:					

3. Proposal Narrative (10 Points)	Very Good	Good	Fair	Poor	NF
a. The applicant describes methods of instruction. (Volunteers, modalities, and locations). Methods and evidence of program success are provided.	5	4	3	2	0

b. Timeline is included to demonstrate and ensure completion of RFP deliverables. Demonstrates how adult education programs will work with ALE students to meet or exceed benchmarks.	5	4	3	2	0
Total (out of 10)					
Comments:					

4. Project Description (10 Points)	Very Good	Good	Fair	Poor	NF
a. There is a clear description of the program's foundation of research and effective educational practices particularly those addressing the lowest NYRS levels. Describes how real-life contexts are used to ensure students can compete in the workplace and practice citizenship.	5	4	3	2	0
b. It is clearly described how the program employs technology as teaching aids, including the use of computers so that students acquire the necessary skills to be successful in online, computer-based testing and usage in the workforce.	5	4	3	2	0
Total (out of 10)					
Comments:					

5. Regional Networking and Interagency Coordination (10 Points)	Very Good	Good	Fair	Poor	NF
a. There is a clear description of the effort that will be made to network and coordinate services with local employers.	5	4	3	2	0



b. There is a clear description of the efforts that will be made to network and coordinate services with the American Job Center placement and support services to students.	5	4	3	2	0
Total (out of 10)					
Comments:					

6. Proposed Outcomes and Accountability (20 Points)	Very Good	Good	Fair	Poor	NF
a. The Performance Targets included in the application clearly indicates that program targets are consistent with NYS 2025-2030 targets and those targets are identified for each program type offered by the applicant: ABE, ASE, and ESOL. Strategies discussed to meet NYS Benchmarks.	10	9	8	7	0
b. The continuous improvement strategy is based on achieving and increasing performance targets. The description articulates how ASISTS is used in the process and “next steps” where targets have not been achieved. The FY23 Report Card and/or Demonstrated Effectiveness Conversion Chart is included.	10	9	8	7	0
Total (out of 20)					
Comments:					

7. Staff Development (10 Points)	Very Good	Good	Fair	Poor	NF
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a. There is a clear description of the necessary key roles and how the staff would help to execute the deliverables of the contract. FTE's are clearly defined, articulated and reflect all necessary information.	5	4	3	2	0
b. Staff are experienced and have the qualifications to provide quality adult education in New York State. Staff development is reflected for 14 hours of PD.	5	4	3	2	0
Total (out of 10)					
Comments:					

8. FS-10 Budget and Narrative (20 Points)	Very Good	Good	Fair	Poor	NF
a. The FS-10 Budget, Budget Category and Narrative are based on allowable expenditures, which are identified, justified and reasonable. The FS-10 Budget Form and Budget Narrative describe how the expenditures and activities are supplemental to and do not supplant or duplicate services currently provided.	5	4	3	2	5
b. Administrative and Indirect cost provision are abided by and reasonable.	5	4	3	2	0
c. The program funds case management according to the following minimum FTE calculation: 1 full time Case Manager for every 200 participants served.	5	4	3	2	0
d. Case management is articulated to provide referrals to address participants' specific needs including, but not limited to, employment, training, access to benefits, and housing.	5	4	3	2	0

Total (out of 20)					
Comments:					

**Proposal Evaluation Rubric**  
Component B – Adult Education Technical Assistance

Applicant:		
Reviewer:	Date Reviewed:	Score:

**All applicants must receive a minimum score of 60 points to be considered for funding. Any awarded bonus points will be added to the final score for purposes of ranking proposals.**

Rating Guidelines:

- Very Good - Specific and comprehensive. Complete, detailed, and clearly articulated information as to how the criteria are met. Well-conceived and thoroughly developed ideas.
- Good - General but sufficient detail. Adequate information as to how the criteria are met, but some areas are not fully explained and/or questions remain. Some minor inconsistencies and weaknesses.
- Fair - Unclear and non-specific. Limited information is provided about approach and strategies. Lacks focus and detail.
- Poor - Does not meet the criteria, fails to provide information, provides inaccurate information, or provides information that requires substantial clarification as to how the criteria are met.
- Not Found - Does not address the criteria or simply re-states the criteria.

1. Abstract (00 Points)	Included	Not Included

2. Work Plan (20 Points)	Very Good	Good	Fair	Poor	NF
a. The applicant describes how the STAC will provide technical assistance in the areas of literacy instruction focused upon adults performing at the lowest levels of the New York Reporting System (NYRS). This should include, program improvement, educational gains, ITAP, CAP.	4	3	2	1	0

b. The applicant describes how the STACs support programs to achieve or exceed NYRS/state accountability benchmarks.	4	3	2	1	0
c. The applicant describes how the STAC collaborates with NYSED/AEPP and RAEN directors. They described what type of capacity does the STAC have to support the training and technical assistance needs of ALE programs.	4	3	2	1	0
d. The applicant describes the data entry support and Professional Development that supports instruction through training and workshops (Include paid instructors and volunteers). How will College and Career Readiness Standards, NYSED CareerKits, ABE, ESL, and HSE prep be included?	4	3	2	1	0
e. The applicant describes how STAC will conduct participant and regional evaluations on training. This includes RAEN sponsored workshops and training opportunities.	4	3	2	1	0
Total (out of 20)					
Comments:					

3. Proposal Narrative (10 Points)	Very Good	Good	Fair	Poor	NF
a. Describe methods of instruction. (Volunteers, modalities, and locations). Methods and evidence of program success are provided. STAC demonstrates proof of the support delivered to programs to meet RFP deliverables that demonstrate evidence of successful support Describe how STAC will provide support to volunteers and program staff.	5	4	3	2	0

b. Timeline for the Activity Chart is included to demonstrate and ensure completion of RFP deliverables. Demonstrates how adult education programs and STAC will demonstrate how services are provided to programs that fail to meet benchmarks. STAC will demonstrate how they will work with programs to meet or exceed benchmarks and deliverables.	5	4	3	2	0
Total (out of 10)					
Comments:					

4. Project Description (10 Points)	Very Good	Good	Fair	Poor	NF
a. There is a clear description of the STACs foundation of research and effective educational and technical assistance practices particularly those addressing programs that serve students with lowest NYRS levels.	5	4	3	2	0
b. It is clearly described how the STAC employs technology as teaching aids, including the use of computers so that programs acquire the necessary skills to be successful in the usage of technology in their instruction.	5	4	3	2	0
Total (out of 10)					
Comments:					

5. Regional Networking and Interagency Coordination (10 Points)	Very Good	Good	Fair	Poor	NF
a. There is a clear description of the effort that will be made to support programs in networking and coordinating services with local employers.	5	4	3	2	0
b. There is a clear description of the efforts that will be made to support programs in networking and coordinating services with the American Job Center placement and support services to students in coordination with adult education programs.	5	4	3	2	0
Total (out of 10)					
Comments:					

6. Proposed Outcomes and Accountability (20 Points)	Very Good	Good	Fair	Poor	NF
a. The effectiveness of technical assistance and data entry support is demonstrated through the performance of the adult education programs served.	5	4	3	2	0
b. Articulated strategies and best practices to support adult education programs that provide ABE, ASE, and ESOL.	5	4	3	2	0
c. The STAC has described how they will support programs to meet NYRS Benchmarks individually.	5	4	3	2	0
d. The STAC has demonstrated a continuous improvement strategy to support programs and increase performance targets. The description articulates how ASISTS is used in the process and “next steps” when programs have not met benchmarks.	5	4	3	2	0

Total (out of 20)					
Comments:					

7. Staff Development (10 Points)	Very Good	Good	Fair	Poor	NF
a. Managing and keeping record that all staff members providing ALE students instruction (full and part-time/funded through NYSED/AEPP or not) attend 14 hours of PD provided through the RAEN. Each new instructional staff member will attend appropriate training on working with students with learning disabilities that reflects the work done with Master Teachers supported by NYSED/AEPP.	5	4	3	2	0
c. Managing and keeping record of all volunteers or staff who provide assessments and instruction. Maintaining a list of the staff and volunteers that need required trainings through the RAEN. Following up with programs to make sure that staff attend required trainings such as working with students with learning disabilities.	5	4	3	2	0
Total (out of 10)					
Comments:					

8. Budget Narrative (20 Points)	Very Good	Good	Fair	Poor	NF
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a. The FS-10 Form and Narrative are based on allowable expenditures, which are identified, justified and reasonable. The FS-10 Budget Form and Budget Narrative describe how the expenditures and activities are supplemental to and do not supplant or duplicate services currently provided.	5	4	3	2	0
b. Administrative and Indirect cost provisions are abided by and reasonable.	5	4	3	2	0
c. Articulation on how the funds will only be used to support ALE funded adult educations programs in New York State.	5	4	3	2	0
d. Description on the use of funds to hire a STAC Director and STAC Coordinator with a minimum 1 Full-Time FTE each. Indication that each will dedicate 100% in each role.	5	4	3	2	0
Total (out of 20)					
Comments:					

## Scoring Summary

*A minimum of 60 points required for funding*

Scoring Summary		
Scoring by Section	Reviewer's Score	Possible Points
Work Plan		20
Proposal Narrative		10
Project Description		10
Regional Networking and Interagency Coordination		10
Proposed Outcomes and Accountability		20
Staff Development		10
FS-10 Budget and Narrative		20
<b><u>MAXIMUM SCORE</u></b>		<b><u>100</u></b>
<b>TOTAL SCORE</b>		
Name of Reviewer Printed:		
Signature of Reviewer:		
Date:		

## Adult Education Documents and Forms

### Appendix 1a – Component A Demonstrated Effectiveness Conversion Chart

Programs must provide data as evidence of effectiveness in serving low levels of literacy adults.  
Data shared in the chart must pertain to participants served in the 12-month period between  
**July 1, 2023, through June 30, 2024.**

Educational Functioning Level National Reporting System (NYRS) Level	# Participants	Age Range of Participants	# Participants with 12 Contact Hours or more	# Participants Pre-Tested	# Participants Post-Tested	# Participants moving from one EFL to the next	Percent of Participants moving from one EFL to the next
<b>ABE/ASE Programming</b>							
NYRS Level 1 - Beginning ABE Literacy							
NYRS Level 2 - Beginning Basic Education							
NYRS Level 3 - Low Intermediate Basic Education							
NYRS Level 4 - High Intermediate Basic Education							
NYRS Level 5 - Low Adult Secondary Education							
NYRS Level 6 - High Adult Secondary Education							
<b>ESOL Programming</b>							
NYRS Level 1 Beginning ESL Literacy 88 - 361							
NYRS Level 2							

<b>Low Beginning ESL 362 - 427</b>							
<b>NYRS Level 3 High Beginning ESL 428 - 452</b>							
<b>NYRS Level 4 Low Intermediate ESL 453 - 484</b>							
<b>NYRS Level 5 High Intermediate ESL 485 - 524</b>							
<b>NYRS Level 6 Advanced ESL 525 - 564</b>							

Please refer to Educational Functioning Level Descriptors. Applicants should use the EFL Descriptors to align the assessment used in their current programming to the EFL Levels.

Assessment used for Adult Basic Education (NYRS Levels 1 – 4), Adult Secondary Education (NYRS Levels 5 – 6), and ESL (NYRS Levels 1 – 6) In this section, please indicate the assessment used, publisher, and last edition used:

	<b>Assessment Used</b>	<b>Publisher</b>	<b>Last Edition Used</b>
<b>Adult Basic Education NYRS Levels 1 - 4</b>			
<b>Adult Secondary Education NYRS Levels 5 - 6</b>			
<b>English for Speakers of Other Languages NYRS Levels 1 - 6</b>			
<b>English for Speakers of Other Languages NYRS Levels 1 - 6</b>			

In addition to Measurable Gain, all applicants must demonstrate their previous effectiveness in the following areas:

- Transition to postsecondary education
- Referral to skills training or apprenticeship programs
- Transition to employment

All applicants must complete the following chart. Data shared in the chart must pertain to participants served in the 12-month period between **July 1, 2023, through June 30, 2024**:

<b>Transition to Postsecondary Education</b>	<b>Top 3 Postsecondary Institutions</b>	<b># Participants Referred</b>	<b>Outcomes/Results</b>
<b>Skills Training or Apprenticeship</b>	<b>Top 3 Training/Apprenticeship Programs</b>	<b># Participants Referred</b>	<b>Outcomes/Results</b>
<b>Employment</b>	<b>Top 3 Employers</b>	<b># Participants Referred</b>	<b>Outcomes/Results</b>

**Appendix 1b – Component B**  
**Demonstrated Effectiveness Conversion Chart**

Applicants for STAC must demonstrate data as evidence of effectiveness in providing technical assistance to adult education programs serving low levels of literacy adults. Data shared in the chart must pertain to participants served in the 12-month period between **July 1, 2023, through June 30, 2024.**

<b>Educational Functioning Level National Reporting System (NYRS) Level</b>	<b># Programs Serving Students at NYRS levels</b>	<b>Age Range of Participa nts</b>	<b># Participa nts with 12 Contact Hours or more</b>	<b># Participa nts Pre- Tested</b>	<b>#Particip ants Post- Tested</b>	<b># Participa nts moving from one EFL to the next</b>	<b>Percent of Participants moving from one EFL to the next</b>
<b>ABE/ASE Programming</b>							
<b>NYRS Level 1- Beginning ABE Literacy</b>							
<b>NYRS Level 2 - Beginning Basic Education</b>							
<b>NYRS Level 3 - Low Intermediate Basic Education</b>							
<b>NYRS Level 4 - High Intermediate Basic Education</b>							
<b>NYRS Level 5 - Low Adult Secondary Education</b>							
<b>NYRS Level 6 - High Adult Secondary Education</b>							
<b>ESOL Programming</b>							
<b>NYRS Level 1 Beginning ESL Literacy 88 - 361</b>							
<b>NYRS Level 2</b>							

<b>Low Beginning ESL 362 - 427</b>							
<b>NYRS Level 3 High Beginning ESL 428 - 452</b>							
<b>NYRS Level 4 Low Intermediate ESL 453 - 484</b>							
<b>NYRS Level 5 High Intermediate ESL 485 - 524</b>							
<b>NYRS Level 6 Advanced ESL 525 - 564</b>							

Please refer to Educational Functioning Level Descriptors. Applicants should use the EFL Descriptors to align the assessment used in the current adult education programming to the EFL Levels.

Assessment used for Adult Basic Education (NYRS Levels 1 – 4), Adult Secondary Education (NYRS Levels 5 – 6), and ESL (NYRS Levels 1 – 6) In this section, please indicate the assessment used, publisher, and last edition used:

<b>National Reporting System (NYRS) Level</b>	<b>Assessment Used</b>	<b>Publisher</b>	<b>Last Edition Used</b>
<b>Adult Basic Education NYRS Levels 1 - 4</b>			
<b>Adult Secondary Education NYRS Levels 5 - 6</b>			
<b>English for Speakers of Other Languages NYRS Levels 1 - 6</b>			

<b>English for Speakers of Other Languages NYRS Levels 1 - 6</b>			
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In addition to Measurable Gain, all applicants must demonstrate previous effectiveness on how the programs they served progressed in the following areas:

- Transition to postsecondary education
- Referral to skills training or apprenticeship programs
- Transition to employment

All applicants must complete the following chart. Data shared in the chart must pertain to participants served in the 12-month period between **July 1, 2023, through June 30, 2024:**

<b>Transition to Postsecondary Education</b>	<b>Top 3 Postsecondary Institutions</b>	<b># Participants Referred</b>	<b>Outcomes/Results</b>
<b>Skills Training or Apprenticeship</b>	<b>Top 3 Training/Apprenticeship Programs</b>	<b># Participants Referred</b>	<b>Outcomes/Results</b>
<b>Employment</b>	<b>Top 3 Employers</b>	<b># Participants Referred</b>	<b>Outcomes/Results</b>

## Appendix 2

### New York Reporting System (NYRS) For Adult Literacy Education (ALE)

<b>Performance Measure</b>	<b>NYRS</b>
<b>Measurable Skill Gain</b>	<ul style="list-style-type: none"> <li>• Intermittent Educational Gain per). Educational Functioning Levels Assessment Chart Table 1 below</li> <li>• Included in Measurable Skill Gain is HSE attainment (NYRS Level 1 through 6)</li> <li>• Gain reported on both reading and math content levels</li> </ul>



<b>Periods of Participation (POP)</b>	No multiple testing for POP, but students are automatically exited. Pre-tests are carried over to additional POPs
<b>Credential Attainment</b>	HSE attainment is captured in Measurable Skill Gain
<b>Employment Outcomes</b>	Follow up for attainment of employment (yes or no) in the Second Quarter after the student exits the program
<b>Follow Up Outcomes</b>	<p>Additional Outcome Categories:</p> <ol style="list-style-type: none"> <li>1. Health Literacy</li> <li>2. Financial Literacy</li> <li>3. Functional Literacy</li> <li>4. Family Literacy</li> <li>5. Community Outcomes</li> <li>6. School Relations</li> <li>7. Workforce Readiness</li> <li>8. Legal Services</li> <li>9. Citizenship</li> <li>10. Social Service</li> <li>11. Career Exploration</li> <li>12. Voting</li> <li>13. Postsecondary transition</li> </ol> <p>Under each of these broad outcome categories, programs will enter into ASISTS specific outcomes associated with the populations of students they serve.</p>

**Educational Functioning Level National Reporting System (NYRS) Level**

<b>Table 1</b>
<b>ABE/ASE Programming</b>
<b>NYRS Level 1- Beginning ABE Literacy</b>
<b>NYRS Level 2 - Beginning Basic Education</b>
<b>NYRS Level 3 - Low Intermediate Basic Education</b>
<b>NYRS Level 4 - High Intermediate Basic Education</b>
<b>NYRS Level 5 - Low Adult Secondary Education</b>
<b>NYRS Level 6 - High Adult Secondary Education</b>
<b>ESOL Programming</b>
<b>NYRS Level 1 Beginning ESL Literacy 88 - 361</b>
<b>NYRS Level 2 Low Beginning ESL 362 - 427</b>

<b>NYRS Level 3 High Beginning ESL 428 - 452</b>
<b>NYRS Level 4 Low Intermediate ESL 453 - 484</b>
<b>NYRS Level 5 High Intermediate ESL 485 - 524</b>
<b>NYRS Level 6 Advanced ESL 525 - 564</b>

**NYRS Fundamentals:**

1. NYRS data is recorded and tracked in ASISTS
2. Final data is due to NYSED by August 15<sup>th</sup> of each fiscal year for the previous fiscal year; this date is subject to change
3. NYRS report cards issued annually
4. Ranking of report cards are homogeneous (e.g., only NYRS programs ranked for NYRS report card)
5. NYRS individuals served will be referred to as students or participants
6. If students are included in more than ALE funding cohorts, NYRS and NRS, then NRS performance standards prevail
7. NYSED requires programs to use TABE 13/14 implementation (Chart 6).
8. NYSED/AEPP will continue to receive field input on the implementation of NYRS and will review and revise policy as needed.

**New York's Reporting System (NYRS)  
Educational Functioning Levels Assessment Chart 6**

**TABE 13/14**

*These grade ranges will be adjusted to reflect scale scores when they are updated.*

NYRS 1: Beginning ABE Literacy	0 to .9
NYRS 1.5: Middle Beginning ABE Literacy	1.0 to 1.9
NYRS 2: Beginning ABE	2.0 to 2.9
NYRS 2.5: Middle Beginning ABE	3.0 to 3.9
NYRS 3: Low Intermediate ABE	4.0 to 4.9
NYRS 3.5: Middle Low Intermediate ABE	5.0 to 5.9
NYRS 4: High Intermediate ABE	6.0 to 7.0
NYRS 4.5: Middle High Intermediate ABE	7.1 to 8.9
NYRS 5: High Intermediate ESL	9.0 to 10.9
NYRS 6: Advanced ESL	11.0 to 12.9

**New York's Reporting System (NYRS)  
Educational Functioning Levels Assessment Chart 6**

**BEST Plus 3.0**

*These grade ranges will be adjusted to reflect scale scores when they are updated.*

NYRS 1: Beginning ESL Literacy	0 to 249
NYRS 1.5: Middle Beginning ESL Literacy	250 to 361
NYRS 2: Low Beginning ESL	362 to 394
NYRS 2.5: Middle Low Beginning ESL	395 to 427
NYRS 3: High Beginning ESL	428 to 439
NYRS 3.5: Middle High Beginning ESL	440 to 452
NYRS 4: Low Intermediate ESL	453 to 484
NYRS 5: High Intermediate ESL	485 to 524
NYRS 6: Advanced ESL	525 to 564

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**New York's Reporting System (NYRS)  
Educational Functioning Levels Assessment Chart 6**

**BEST Literacy**

These grade ranges will be adjusted to reflect scale scores when they are updated.

NYRS 1: Beginning ESL Literacy	0 to 10
NYRS 1.5: Middle Beginning ESL Literacy	11 to 20
NYRS 2: Low Beginning ESL	21 to 37
NYRS 2.5: Middle Low Beginning ESL	38 to 52
NYRS 3: High Beginning ESL	53 to 58
NYRS 3.5: Middle High Beginning ESL	59 to 63
NYRS 4: Low Intermediate ESL	64 to 67
NYRS 5: High Intermediate ESL	68 to 75
NYRS 6: Advanced ESL	76 and ↑

**New York's Reporting System (NYRS)  
Educational Functioning Levels**

**TABE CLAS-E C/D READING**

TABE CLAS-E C/D READING									
	NYRS Level 1	NYRS Level 1.5	NYRS Level 2	NYRS Level 2.5	NYRS Level 3	NYRS Level 3.5	NYRS Level 4	NYRS Level 5	NYRS Level 6
CLAS-E Level 1	200-275	276-354	355-370	370-388	389-408	408-427	n/a	n/a	n/a
CLAS-E Level 2	200-354	276-354	355-370	370-388	389-408	408-427	428-448	n/a	n/a
CLAS-E Level 3	n/a	n/a	355-370	370-388	389-408	408-427	428-448	449-487	n/a
CLAS-E Level 4	n/a	n/a	n/a	n/a	n/a	n/a	428-448	449-487	488-580
TABE CLAS-E C/D LISTENING									
	NYRS Level 1	NYRS Level 1.5	NYRS Level 2	NYRS Level 2.5	NYRS Level 3	NYRS Level 3.5	NYRS Level 4	NYRS Level 5	NYRS Level 6
CLAS-E Level 1	200-274	275-348	349-369	370-389	390-409	410-427	n/a	n/a	n/a
CLAS-E Level 2	200-274	275-348	349-369	370-389	390-409	410-427	428-457	n/a	n/a
CLAS-E Level 3	n/a	n/a	349-369	370-389	390-409	410-427	428-457	458-488	n/a
CLAS-E Level 4	n/a	n/a	n/a	n/a	n/a	n/a	428-457	458-488	489-620
TABE CLAS-E C/D WRITING									
	NYRS Level 1	NYRS Level 1.5	NYRS Level 2	NYRS Level 2.5	NYRS Level 3	NYRS Level 3.5	NYRS Level 4	NYRS Level 5	NYRS Level 6
CLAS-E Level 1	210-297	298-384	385-400	401-414	415-426	427-437	n/a	n/a	n/a
CLAS-E Level 2	210-297	298-384	385-400	401-414	415-426	427-437	438-461	n/a	n/a
CLAS-E Level 3	n/a	n/a	385-400	401-414	415-426	427-437	438-461	462-500	n/a
CLAS-E Level 4	n/a	n/a	n/a	n/a	n/a	n/a	438-461	462-500	501-670
TABE CLAS-E C/D SPEAKING									
	NYRS Level 1	NYRS Level 1.5	NYRS Level 2	NYRS Level 2.5	NYRS Level 3	NYRS Level 3.5	NYRS Level 4	NYRS Level 5	NYRS Level 6
CLAS-E Level 1	170-279	280-388	339-371	372-402	403-420	421-436	n/a	n/a	n/a

CLAS-E Level 2	170-279	280-388	339-371	372-402	403-420	421-436	437-475	n/a	n/a
CLAS-E Level 3	n/a	n/a	339-371	372-402	403-420	421-436	437-475	476-542	n/a
CLAS-E Level 4	n/a	n/a	n/a	n/a	n/a	n/a	437-475	476-542	543-670

**Appendix 3**  
Component A

**ALE Follow-up Outcomes Manual Survey**

*Programs must document all manual surveys conducted. The following format must be documented for each survey and placed in the student's administrative folder.*

Student Name: \_\_\_\_\_

Date of Survey: \_\_\_\_\_

Second Quarter after the Student's Exit Quarter:

Since you left our program, did you work at a job where you were paid for the work you did?

☐ YES

☐ NO

Could not contact: \_\_\_\_\_

**Full Time Equivalency (FTE)**  
**Component A and Component B**

Include only employees of the agency and the required Adult Education [Key Roles](#). Do not include consultants or other non-employees. Do not include central administrative staff who are indirect costs, e.g., business office staff. One full-time equivalent (FTE) equals one person working an entire week for each week of the project. Indicate whether these costs are administrative or Instructional. Express partial FTEs in decimals, e.g., a teacher working one day per week equal .2 FTE.

Link to FTE Worksheet: <https://www.acces.nysed.gov/sites/acces/files/aepp/aepp-fte-worksheet-fy25.pdf>



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**Program Component Worksheet (PCW)**  
**Component A and Component B**

**Traditional Adult Education Instruction**

*Please indicate in the following table the projected number of students who will be served at the NYRS levels indicated within the program types and the related contact hours.*

Program Type	NYRS Levels	Number Of Students Projected For (7/1/25-6/30/26)	Number Of Contact Hours Projected For (7/1/25-6/30/26)
Adult Basic Education (ABE)	1-2		
	3-4		
Adult Secondary Education (ASE)	5-6		
English for Speakers of Other Languages (ESOL)	1-2		
	3-4		
	5-6		
Total (Unduplicated)			
Family Literacy: Integrated Literacy time between parent and child	ABE		
	ESOL		

**\*NYRS Criteria:** students are counted when they have accrued 12 contact hours and have a valid pre-test.

**Program Component Information Sheet Form (PIF)**  
**Component A and Component B**

**Adult Literacy Education (ALE)**

<b>Class Type and Levels (ABE/ESOL/ ASE)</b>	<b>Class</b>	<b>Location</b>	<b>Days</b>	<b>Hours start /end</b>	<b>Number of weeks per annual period</b>	<b>Average Class Size</b>
	1					
	2					
	3					
	4					
	5					
	6					
	7					
	8					
	9					

**Performance Targets**  
**Component A**

**Adult Basic Education and Literacy Services Programs**

<b>Measure</b>	<b>2025-2030 Target</b>
Adult Basic Education – Beginning Literacy	
Adult Basic Education – Beginning Basic Education	
Adult Basic Education – Intermediate Low	
Adult Basic Education – Intermediate High	
Adult Secondary Education – Low	
ESL – Beginning Literacy	
ESL – Low Beginning	
ESL – High Beginning	
ESL – Intermediate Low	
ESL – Intermediate High	
ESL – Advanced	
Employment (second quarter after exit)	
NY High School Equivalency Diploma	

Appendix R  
New York State Education Department's  
Data Privacy Appendix For Grant Contracts

ARTICLE I: DEFINITIONS

As used in this Data Privacy Appendix ("DPA"), the following terms shall have the following meanings:

1. **Access:** The ability to view or otherwise obtain, but not copy or save, data arising from the on-site use of an information system or from a personal meeting.
2. **Breach:** The unauthorized Access, acquisition, use, or Disclosure of Personal Information that is (a) accomplished in a manner not permitted by New York State and federal laws, rules, and regulations, or in a manner that compromises its security or privacy, (b) executed by or provided to a person not authorized to acquire, access, use, or receive it, or (c) a Breach of Contractor's or Subcontractor's security that leads to the accidental or unlawful destruction, loss, alteration, Access to or Disclosure of, Personal Information.
3. **Disclose or Disclosure:** The intentional or unintentional release, transfer, or communication of Personal Information by any means, including oral, written, or electronic.
4. **Personal Information:** Information concerning a natural person which, because of name, number, personal mark, or other identifier, can be used to identify such natural person.
5. **Services:** Services provided by Contractor pursuant to this Contract with the New York State Education Department ("NYSED") to which this DPA is attached and incorporated.
6. **Subcontractor:** Contractor's non-employee agents, consultants, volunteers, including student interns, who is engaged in the provision of Services pursuant to an agreement with or at the direction of the Contractor.

ARTICLE II: PRIVACY AND SECURITY OF PERSONAL INFORMATION

1. **Compliance with Law.**

When providing Services pursuant to this Contract, Contractor may receive and/or have Access to Personal Information regulated by one or more New York and/or federal laws and regulations, including, but not limited to, the Family Educational Rights and Privacy Act at 20 U.S.C. § 1232g (34 CFR Part 99); Children's Online Privacy Protection Act at 15 U.S.C. §§ 6501-6502 (16

CFR Part 312); Protection of Pupil Rights Amendment at 20 U.S.C. § 1232h (34 CFR Part 98); the Individuals with Disabilities Education Act at 20 U.S.C. § 1400 et seq. (34 CFR Part 300); the New York Education Law at § 2-d (8 NYCRR Part 121); the New York General Business Law at article 39-F; and the New York Personal Privacy Protection Law at Public Officers Law article 6-A. Contractor agrees to maintain the confidentiality and security of Personal Information in accordance with applicable New York, federal and local laws, rules and regulations.

## **2. Data Privacy and Security.**

- (a) Contractor agrees and understands that Contractor has no property, licensing, or ownership rights or claims to Personal Information Accessed by or Disclosed to Contractor for the purpose of providing Services, and Contractor shall not use Personal Information for any purpose other than to provide Services. Contractor will ensure that its Subcontractors agree and understand that neither the Subcontractor nor Contractor has any property, licensing or ownership rights or claims to Personal Information received or Accessed by or Disclosed to Subcontractor for the purpose of assisting Contractor in providing Services.
- (b) Contractor shall adopt and maintain reasonable safeguards to protect the security, confidentiality, and integrity of Personal Information in a manner that complies with General Business Law section 899-bb and other applicable New York State, federal and local laws, rules and regulations.
- (c) Upon NYSED's request, Contractor may be required to undergo an audit of its privacy and security safeguards, measures, and controls, or in lieu of performing an audit, provide NYSED with an industry standard independent audit report on Contractor's privacy and security practices that is no more than twelve months old.

## **3. Contractor's Employees and Subcontractors.**

- (a) Access to or Disclosure of Personal Information shall only be provided to Contractor's employees and Subcontractors who need to know the Personal Information to provide the Services and such Access and/or Disclosure of Personal Information shall be limited to the extent necessary to provide such Services. Contractor shall ensure that all such employees and Subcontractors comply with the terms of this DPA.
- (b) Contractor must ensure that each Subcontractor performing Services where the Subcontractor will have Access to and/or

receive Disclosed Personal Information is contractually bound by a written agreement that includes confidentiality and data security obligations equivalent to, consistent with, and no less protective than, those found in this DPA.

- (c) Contractor shall examine the data privacy and security measures of its Subcontractors. If at any point a Subcontractor fails to materially comply with the requirements of this DPA, Contractor shall (i) notify NYSED, (ii) as applicable, remove such Subcontractor's Access to Personal Information; and (iii) as applicable, retrieve all Personal Information received or stored by such Subcontractor and/or ensure that such Personal Information has been securely deleted or securely destroyed in accordance with this DPA. In the event there is an incident in which Personal Information held, possessed, or stored by the Subcontractor is compromised, unlawfully Accessed, or unlawfully Disclosed, Contractor shall follow the Data Breach reporting requirements set forth in Section 5 of this DPA.
- (d) Contractor shall take full responsibility for the acts and omissions of its employees and Subcontractors.
- (e) Other than Contractor's employees and Subcontractors who have a need to know the Personal Information, Contractor must not provide Access to or Disclose Personal Information to any other party unless such Disclosure is required by statute, court order or subpoena, and Contractor notifies NYSED of the court order or subpoena no later than the time the Personal Information is Disclosed, unless such Disclosure to NYSED is expressly prohibited by the statute, court order or subpoena. Notification shall be made in accordance with the Notice provisions of this r Contract and shall also be provided to the Office of the Chief Privacy Officer, NYS Education Department, 89 Washington Avenue, Albany, New York 12234.
- (f) Contractor shall ensure that its Subcontractors know that they cannot provide Access to or Disclose Personal Information to any other party unless such Disclosure is required by statute, court order or subpoena. If a Subcontractor is required to provide Access to or Disclose Personal Information pursuant to a court order or subpoena, the Subcontractor shall, unless prohibited by statute, court order or subpoena, notify Contractor no later than two (2) days before any Personal Information is Disclosed. Upon receipt of notice from a Subcontractor,

Contractor shall provide notice to NYSED no later than the time that the Subcontractor is scheduled to provide Access to or Disclose the Personal Information.

- (g) Contactor shall ensure that all its employees and Subcontractors who will receive Personal Information will be trained on the federal and state laws governing confidentiality of such data prior to receipt.

#### **4. Data Return and Destruction of Data.**

- (a) Contractor is prohibited from retaining Disclosed Personal Information or continuing to Access Personal Information, including any copy, summary or extract of Personal Information, on any storage medium (including, without limitation, hard copies, and storage in secure data centers and/or cloud-based facilities) beyond the term of the this Contract unless such retention is expressly authorized by the this Contract, necessary for purpose of facilitating the transfer of Personal Information to NYSED, or expressly required by law. As applicable, upon expiration or termination of this Contract, Contractor shall transfer Personal Information to NYSED in a format agreed to by the Parties.
- (b) When the purpose that necessitated Contractor's Access to and/or Disclosure of Personal Information has been completed or Contractor's authority to have Access to Personal Information and/or retain Disclosed Personal Information has expired, Contractor shall ensure that, as applicable, (1) all privileges providing Access to Personal Information are revoked, and (2) all Personal Information (including without limitation, all hard copies, archived copies, electronic versions, electronic imaging of hard copies) retained by Contractor and/or its Subcontractors, including all Personal Information maintained on behalf of Contractor or its Subcontractors in a secure data center and/or cloud-based facilities is securely deleted and/or destroyed in a manner that does not allow it to be retrieved or retrievable, read, or reconstructed. Hard copy media must be shredded or destroyed such that Personal Information cannot be read, or otherwise reconstructed, and electronic media must be securely cleared, purged, or destroyed such that the Personal Information cannot be retrieved, read, or reconstructed. When Personal Information is

held in paper form, destruction of such Personal Information, and not redaction, will satisfy the requirements for data destruction. Redaction is specifically excluded as a means of data destruction.

- (c) Upon request by NYSED, Contractor may be required to provide NYSED with a written certification of (1) revocation of Access to Personal Information granted by Contractor and/or its Subcontractors, and (2) the secure deletion and/or secure destruction of Personal Information held by the Contractor or Subcontractors, at the address for notifications set forth in this Contract.
- (d) To the extent that Contractor and/or its Subcontractors continue to be in possession of any de-identified data (i.e., data that has had all direct and indirect identifiers removed), Contractor agrees that it will not attempt to re-identify de-identified data and/or transfer de-identified data to any person or entity, except as provided in subsection (a) of this section and that it will prohibit its Subcontractors from the same.

#### **5. Breach.**

- (a) Contractor shall promptly notify NYSED of any Breach of Personal Information, regardless of whether the Contractor or a Subcontractor suffered the Breach, without delay and in the most expedient way possible, but in no circumstance later than seven (7) calendar days after discovery of the Breach. Notifications shall be made in accordance with the notice provisions of this contract and shall also be provide to the office of the Chief Privacy Officer, NYS Education Department, 89 Washington Avenue, Albany, New York 12234 and must include a description of the Breach that identifies the date of the incident, the date of discovery, the types of Personal Information affected and the number of records affected; a description of Contractor's investigation; and the name of a point of contact.
- (b) Contractor and its Subcontractors will cooperate with NYSED, and law enforcement where necessary, in any investigations into a Breach. Any costs incidental to the required cooperation or participation of the Contractor or its Subcontractors will be the sole responsibility of the Contractor if such Breach is attributable to Contractor or its Subcontractors.



- (c) Contractor shall promptly notify the affected individuals of any Breach, regardless of whether Contractor or a Subcontractor suffered the Breach. Such notice shall be made using one of the methods prescribed by § 899-aa (5) of the New York General Business Law. If Contractor requires information from NYSED to perform such notifications, Contractor shall reimburse NYSED for the cost of assembling and providing such information to Contractor.

**6. Termination.**

The confidentiality and data security obligations of Contractor under this DPA shall survive any termination of this Contract to which this DPA is attached and shall continue for as long as Contractor or its Subcontractors retain Access to Personal Information.

## Required Assurances and Certifications

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The following assurances and certifications are a component of your application. ***By signing the certification on the application cover page, you are ensuring accountability and compliance with applicable State and federal laws, regulations, and grants management requirements.***

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### Sexual Harassment Prevention Certification

By submission of this application, each applicant and each person signing on behalf of any applicant certifies, and in the case of a joint application each party thereto certifies its own organization, under penalty of perjury, that the applicant has and has implemented a written policy addressing sexual harassment prevention in the workplace and provides annual sexual harassment prevention training to all of its employees. Such policy shall, at a minimum, meet the requirements of section two hundred one-g of the labor law.

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### ASSURANCES - NON-CONSTRUCTION PROGRAMS

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

As the duly authorized representative of the applicant, and by signing the Application Cover Page, I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management, and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.

4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C §§ 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352), which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§ 290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646), which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328), which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§ 276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874) and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327-333), regarding labor standards for federally assisted construction subagreements.

10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards that may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1721 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm-blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.), which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and 2 CFR Part 200, Audits of States, Local Governments, and Non-Profit Organizations.

18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

**Standard Form 424B (Rev. 7-97), Prescribed by 2 CFR Part 200, Authorized for Local Reproduction, as amended by New York State Education Department**

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**CERTIFICATIONS REGARDING LOBBYING, DEBARMENT, SUSPENSION AND  
OTHER  
RESPONSIBILITY MATTERS**

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These 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 2 CFR Part 200, for persons entering into a grant or cooperative agreement over \$100,000, as defined at 34 CFR 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; and
- (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**

This certification is required by OMB Guidelines to Agencies on Governmentwide Debarment and Suspension (Non-procurement), 2 CFR Part 180

**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 any offenses listed in 2 CFR §180.800(a) or had a civil judgment rendered against them for one of those offenses within that time period;
- (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 listed in 2 CFR §180.800(a); 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.

**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. DEBARMENT, SUSPENSION, INELIGIBILITY AND VOLUNTARY EXCLUSION – LOWER TIERED COVERED TRANSACTIONS**

The terms “debarment,” “suspension,” “excluded,” “disqualified,” “ineligible,” “participant,” “person,” “principal,” “proposal,” and “voluntarily excluded” as used in this certification have the meanings set forth in 2 CFR Part 180, Subpart I, “Definition.” A transaction shall be considered a “covered transaction” if it meets the definition in 2 CFR Part 180 Subpart B, “What is a covered transaction?”

**A. The applicant certifies that it and its principals:**

- (a) Upon approval of their application, in accordance with 2 CFR Part 180 Subpart C, they shall not enter into any lower-tier non-procurement covered transaction with a person without verifying that the person is not excluded or disqualified unless authorized by USDOE.
- (b) Will obtain an assurance from prospective participants in all lower tier covered non-procurement transactions and in all solicitations for lower tier covered non-procurement transactions that the participants will comply with the provisions of 2 CFR Part 180 subparts A, B, C and I.
- (c) Will provide immediate written notice to the New York State Education Department if at any time the applicant and its principals learn that a certification or assurance was erroneous when submitted or has become erroneous because of changed circumstances.

**NEW YORK STATE DEPARTMENT OF EDUCATION  
ELEMENTARY AND SECONDARY EDUCATION ACT (ESEA) ASSURANCES**

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**These assurances are required for programs funded under the Elementary and Secondary Education Act as amended by the Every Student Succeeds Act of 2015.**

As the chief school officer of the applicant, by signing the Application Cover Page, I certify that:

- (1) the applicant will comply with the requirements of Education Law § 3214(3)(d) and (f) and the Gun-Free Schools Act (20 U.S.C. § 7151);
- (2) the applicant will comply with the requirements of 20 U.S.C. § 7908 on military recruiter access;
- (3) the applicant will comply with the requirements of 20 U.S.C. § 7904 on constitutionally protected prayer in public elementary and secondary schools;
- (4) the applicant will comply with the requirements of Education Law § 2802(7), and any state regulations implementing such statute and 20 U.S.C. § 7912 on unsafe school choice;
- (5) the applicant will comply with all fiscal requirements that apply to the program, including but not limited to any applicable supplement not supplant or local maintenance of effort requirements; and
- (6) the applicant understands the importance of privacy protections for students and is aware of the responsibilities of the grantee under section 20 U.S.C. 1232g (FERPA) (ESSA §854).

M/WBE Documents  
**M/WBE Goal Calculation Worksheet**

**RFP # and Title:** \_\_\_\_\_

**Applicant Name:** \_\_\_\_\_

The M/WBE participation for this grant is 30% of each applicant's total discretionary non-personal service budget. Discretionary non-personal service budget is defined as the total budget, excluding the sum of funds budgeted for direct personal services (i.e., professional and support staff salaries) and fringe benefits, as well as rent, lease, utilities, and indirect costs, if these are allowable expenditures. Please complete the following table to determine the dollar amount of the M/WBE goal for the entire length of the grant.

	<b>Budget Category</b>	<b>Amount budgeted for items excluded from M/WBE calculation</b>	<b>Total Budget</b>
<b>1.</b>	<b>Total Budget</b>		
<b>2.</b>	<b>Professional Salaries</b>		
<b>3.</b>	<b>Support Staff Salaries</b>		
<b>4.</b>	<b>Fringe Benefits</b>		
<b>5.</b>	<b>Indirect Costs</b>		
<b>6.</b>	<b>Rent/Lease/Utilities*</b>		
<b>7.</b>	<b>Sum of lines 2, 3 ,4 ,5, and 6</b>		
<b>8.</b>	<b>Line 1 minus Line 7</b>		
<b>9.</b>	<b>M/WBE Goal percentage (30%)</b>		<b>0.30</b>
<b>10.</b>	<b>Line 8 multiplied by Line 9 = MWBE goal amount</b>		

\*If not included in #5



**M/WBE COVER LETTER   Minority & Women-Owned Business Enterprise Requirements**

**NAME OF GRANT PROGRAM**\_\_\_\_\_

**NAME OF APPLICANT**\_\_\_\_\_

In accordance with the provisions of Article 15-A of the NYS Executive Law, 5 NYCRR Parts 140-145, Section 163 (6) of the NYS Finance Law and Executive Order #8 and in fulfillment of the New York State Education Department (NYSED) policies governing Equal Employment Opportunity and Minority and Women-Owned Business Enterprise (M/WBE) participation, it is the intention of the New York State Education Department to provide real and substantial opportunities for certified Minority and Women-Owned Business Enterprises on all State contracts. It is with this intention that NYSED has assigned M/WBE participation goals to this contract.

In an effort to promote and assist in the participation of certified M/WBEs as subcontractors and suppliers on this project for the provision of services and materials, the bidder is required to comply with NYSED's participation goals through one of the three methods below. Please indicate which one of the following is included with the M/WBE Documents Submission:

- ☐ Full Participation – No Request for Waiver (PREFERRED)
- ☐ Partial Participation – Partial Request for Waiver
- ☐ No Participation – Request for Complete Waiver

By my signature on this Cover Letter, I certify that I am authorized to bind the Bidder's firm contractually.
Signature/Date
Typed or Printed Name of Authorized Representative of the Firm
Typed or Printed Title/Position of Authorized Representative of the Firm

## M/WBE UTILIZATION PLAN

**INSTRUCTIONS:** All bidders/applicants submitting responses to this procurement/project must complete this M/WBE Utilization Plan unless requesting a total waiver and submit it as part of their proposal/application. The plan must contain detailed description of the services to be provided by each Minority and/or Women-Owned Business Enterprise (M/WBE) identified by the bidder/applicant.

Bidder/Applicant's Name \_\_\_\_\_

Telephone/Email: \_\_\_\_\_/\_\_\_\_\_

Address \_\_\_\_\_

Federal ID No.: \_\_\_\_\_

City, State, ZIP \_\_\_\_\_

RFP No.: \_\_\_\_\_

Certified M/WBE	Classification (check all applicable)	Description of Work (Subcontracts/Supplies/Services)	Dollar Value of Subcontracts/Supplies/Services
NAME  ADDRESS  CITY, ST, ZIP  PHONE/E-MAIL  FEDERAL ID No.	NYS ESD Certified  MBE _____  WBE _____		\$ _____
NAME  ADDRESS  CITY, ST, ZIP  PHONE/E-MAIL  FEDERAL ID No.	NYS ESD Certified  MBE _____  WBE _____		\$ _____

PREPARED BY (Signature) \_\_\_\_\_

DATE \_\_\_\_\_

**SUBMISSION OF THIS FORM CONSTITUTES THE BIDDER/APPLICANT'S ACKNOWLEDGEMENT AND AGREEMENT TO COMPLY WITH THE M/WBE REQUIREMENTS SET FORTH UNDER NYS EXECUTIVE LAW, ARTICLE 15-1, 5 NYCRR PART 143 AND THE ABOVE REFERENCE SOLICITATION. FAILURE TO SUBMIT COMPLETE AND ACCURATE INFORMATION MAY RESULT IN A FINDING OF NONCOMPLIANCE AND/OR PROPOSAL/APPLICATION DISQUALIFICATION.**

NAME AND TITLE OF PREPARER: \_\_\_\_\_  
(print or type)

TELEPHONE/E-MAIL \_\_\_\_\_

DATE \_\_\_\_\_

REVIEWED BY \_\_\_\_\_ DATE \_\_\_\_\_

UTILIZATION PLAN APPROVED YES/NO DATE \_\_\_\_\_

NOTICE OF DEFICIENCY ISSUED YES/NO DATE \_\_\_\_\_

NOTICE OF ACCEPTANCE ISSUED YES/NO DATE \_\_\_\_\_

**M/WBE 100**

**M/WBE SUBCONTRACTORS AND SUPPLIERS**  
**NOTICE OF INTENT TO PARTICIPATE (M/WBE 102)**

INSTRUCTIONS: Part A of this form must be completed and signed by the Bidder/Applicant unless requesting a total waiver. Parts B & C of this form must be completed by MBE and/or WBE subcontractors/suppliers. The Bidder/Applicant must submit a separate M/WBE Notice of Intent to Participate form for each MBE or WBE as part of the proposal/application.

Bidder/Applicant Name: \_\_\_\_\_ Federal ID No.: \_\_\_\_\_

Address: \_\_\_\_\_ Phone No.: \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ ZIP Code \_\_\_\_\_ E-mail: \_\_\_\_\_

\_\_\_\_\_  
Signature of Authorized Representative of Bidder/Applicant's Firm

\_\_\_\_\_  
Print or Type Name and Title of Authorized Representative of Bidder/Applicant's Firm

Date: \_\_\_\_\_

**PART B - THE UNDERSIGNED INTENDS TO PROVIDE SERVICES OR SUPPLIES IN CONNECTION WITH THE ABOVE PROCUREMENT/APPLICATION:**

Name of M/WBE: \_\_\_\_\_ Federal ID No.: \_\_\_\_\_

Address: \_\_\_\_\_ Phone No.: \_\_\_\_\_

City, State, ZIP Code \_\_\_\_\_ E-mail: \_\_\_\_\_

**BRIEF DESCRIPTION OF SERVICES OR SUPPLIES TO BE PERFORMED BY MBE OR WBE:**

--

**DESIGNATION:** \_\_\_\_ MBE Subcontractor \_\_\_\_ WBE Subcontractor \_\_\_\_ MBE Supplier \_\_\_\_ WBE Supplier

**PART C - CERTIFICATION STATUS (CHECK ONE):**

\_\_\_\_\_ The undersigned is a certified M/WBE by the New York State Division of Minority and Women-Owned Business Development (MWBD).

**THE UNDERSIGNED IS PREPARED TO PROVIDE SERVICES OR SUPPLIES AS DESCRIBED ABOVE AND WILL ENTER INTO A FORMAL AGREEMENT WITH THE BIDDER/APPLICANT CONDITIONED UPON THE BIDDER/APPLICANT'S EXECUTION OF A CONTRACT WITH THE NYS EDUCATION DEPARTMENT.**

The estimated dollar amount of the agreement \$ \_\_\_\_\_

\_\_\_\_\_  
Signature of Authorized Representative of M/WBE Firm

\_\_\_\_\_  
Printed or Typed Name and Title of Authorized Representative

\_\_\_\_\_  
Date

## M/WBE CONTRACTOR GOOD FAITH EFFORTS CERTIFICATION (FORM 105)

PROJECT/CONTRACT # \_\_\_\_\_

I, \_\_\_\_\_  
(Bidder/Applicant)

\_\_\_\_\_ of \_\_\_\_\_  
(Title) (Company)

\_\_\_\_\_ (\_\_\_\_\_) \_\_\_\_\_  
(Address) (Telephone Number)

do hereby submit the following as evidence of our good faith efforts to retain certified minority- and women-owned business enterprises:

(1) Copies of its solicitations of certified minority- and women-owned business enterprises and any responses thereto;

(2) If responses to the contractor's solicitations were received, but a certified minority- or woman-owned business enterprise was not selected, the specific reasons that such enterprise was not selected;

(3) Copies of any advertisements for participation by certified minority- and women-owned business enterprises timely published in appropriate general circulation, trade and minority- or women-oriented publications, together with the listing(s) and date(s) of the publication of such advertisements;

(4) Copies of any solicitations of certified minority- and/or women-owned business enterprises listed in the directory of certified businesses;

(5) The dates of attendance at any pre-bid, pre-award, or other meetings, if any, scheduled by the State agency awarding the State contract, with certified minority- and women-owned business enterprises which the State agency determined were capable of performing the State contract scope of work for the purpose of fulfilling the contract participation goals;

(6) Information describing the specific steps undertaken to reasonably structure the contract scope of work for the purpose of subcontracting with, or obtaining supplies from, certified minority- and women-owned business enterprises.

(7) Describe any other action undertaken by the bidder to document its good faith efforts to retain certified minority - and women-owned business enterprises for this procurement

Submit additional pages as needed.

\_\_\_\_\_  
Authorized Representative Signature

\_\_\_\_\_  
Date

## M/WBE CONTRACTOR UNAVAILABLE CERTIFICATION

**RFP#/PROJECT NAME** \_\_\_\_\_

I, \_\_\_\_\_  
(Authorized Representative) (Title) (Bidder/Applicant's Company)

\_\_\_\_\_  
(Address) (\_\_\_\_\_) (Phone)

certify that the following New York State Certified Minority/Women Business Enterprises were contacted to obtain a quote for work to be performed on the abovementioned project/contract.

List of date, name of M/WBE firm, telephone/e-mail address of M/WBEs contacted, type of work requested, estimated budgeted amount for each quote requested.

<u>DATE</u>	<u>M/WBE NAME</u>	<u>PHONE/EMAIL</u>	<u>TYPE OF WORK</u>	<u>ESTIMATED BUDGET</u>	<u>REASON</u>
1.					
2.					
3.					
4.					
5.					

To the best of my knowledge and belief, said New York State Certified Minority/Women Business Enterprise contractor(s) was/were not selected, unavailable for work on this project, or unable to provide a quote for the following reasons: Please check appropriate reasons given by each MBE/WBE firm contacted above.

- \_\_\_\_\_ **A.** Did not have the capability to perform the work
- \_\_\_\_\_ **B.** Contract too small
- \_\_\_\_\_ **C.** Remote location
- \_\_\_\_\_ **D.** Received solicitation notices too late
- \_\_\_\_\_ **E.** Did not want to work with this contractor
- \_\_\_\_\_ **F.** Other (give reason) \_\_\_\_\_

\_\_\_\_\_  
**Authorized Representative Signature** **Date** **Print Name**

**M/WBE 105A**

## REQUEST FOR WAIVER FORM

**BIDDER/APPLICANT NAME:**

**TELEPHONE:**

**ADDRESS:**

**EMAIL:**

**FEDERAL ID NO.:**

**CITY, STATE, ZIP CODE:**

**RFP#/PROJECT NO.:**

**INSTRUCTIONS:** By submitting this form and the required information, the bidder/applicant certifies that Good Faith Efforts have been taken to promote M/WBE participation pursuant to the M/WBE goals set forth under this RFP/Contract. Please see Page 2 for additional requirements and document submission instructions.

<b>BIDDER/APPLICANT IS REQUESTING (check all that apply):</b>			
<input type="checkbox"/> <b>MBE Waiver</b> - A waiver of the MBE goal for this procurement is requested.	<input type="checkbox"/> <b>WBE Waiver</b> - A waiver of the WBE goal for this procurement is requested.		
<input type="checkbox"/> <b>Total</b>	<input type="checkbox"/> <b>Partial</b> _____ %	<input type="checkbox"/> <b>Total</b>	<input type="checkbox"/> <b>Partial</b> _____ %

PREPARED BY (Signature): \_\_\_\_\_

DATE: \_\_\_\_\_

**SUBMISSION OF THIS FORM CONSTITUTES THE BIDDER/APPLICANT'S ACKNOWLEDGEMENT AND AGREEMENT TO COMPLY WITH THE M/WBE REQUIREMENTS SET FORTH UNDER NYS EXECUTIVE LAW, ARTICLE 15-A, 5 NYCRR PART 143, AND THE ABOVE REFERENCED SOLICITATION. FAILURE TO SUBMIT COMPLETE AND ACCURATE INFORMATION MAY RESULT IN A FINDING OF NONCOMPLIANCE AND/OR PROPOSAL DISQUALIFICATION.**

<b>NAME OF PREPARER:</b>	<b>FOR AUTHORIZED USE ONLY</b>
<b>TITLE OF PREPARER:</b>	<b>REVIEWED BY:</b> _____
<b>TELEPHONE:</b>	<b>DATE:</b> _____
<b>EMAIL:</b>	<b>WAIVER GRANTED</b> <input type="checkbox"/> <b>YES</b> <input type="checkbox"/> <b>NO</b> <input type="checkbox"/> <b>TOTAL WAIVER</b> <input type="checkbox"/> <b>PARTIAL WAIVER</b> <input type="checkbox"/> <b>NOTICE OF DEFICIENCY</b> <input type="checkbox"/> <b>CONDITIONAL WAIVER</b> <b>COMMENTS:</b>

**M/WBE 101**

## **REQUIREMENTS AND DOCUMENT SUBMISSION INSTRUCTIONS**

**When completing the Request for Waiver Form, please check all boxes that apply. To be considered, the Request for Waiver Form must be accompanied by documentation for items 1-10, as listed below. Copies of the following information and all relevant supporting documentation must be submitted along with the request.**

1. A statement setting forth your basis for requesting a partial or total waiver.
2. The names of general circulation, trade association, and M/WBE-oriented publications in which you solicited certified M/WBEs for the purposes of complying with your participation goals.
3. A list identifying the date(s) that all solicitations for certified M/WBE participation were published in any of the above publications.
4. A list of all certified M/WBEs appearing in the NYS Directory of Certified Firms that were solicited for purposes of complying with your certified M/WBE participation levels.
5. Copies of notices, dates of contact, letters, and other correspondence as proof that solicitations were made in writing and copies of such solicitations, or a sample copy of the solicitation if an identical solicitation was made to all certified M/WBEs.
6. Provide copies of responses made by certified M/WBEs to your solicitations.
7. Provide a description of any contract documents, plans, or specifications made available to certified M/WBEs for purposes of soliciting their bids and the date and manner in which these documents were made available.
8. Provide documentation of any negotiations between you, the Bidder/Applicant and the M/WBEs undertaken for purposes of complying with the certified M/WBE participations goals.
9. Provide any other information you deem relevant that may help us in evaluating your request for a waiver.
10. Provide the name, title, address, telephone number and email address of the Bidder/Applicant's representative authorized to discuss and negotiate this waiver request.

**NOTE: Unless a Total Waiver has been granted, Bidder/Applicant will be required to submit all reports and documents pursuant to the provisions set forth in the procurement and/or contract, as deemed appropriate by NYSED, to determine M/WBE compliance.**

## EQUAL EMPLOYMENT OPPORTUNITY - STAFFING PLAN (Instructions on Page 2)

Applicant Name: \_\_\_\_\_

Telephone: \_\_\_\_\_

Address: \_\_\_\_\_

Federal ID No.: \_\_\_\_\_

City, State, ZIP: \_\_\_\_\_

Project No: \_\_\_\_\_

Report includes:

☐ Work force to be utilized on this contract OR

☐

☐ Applicant's total work force

☐

**Enter the total number of employees in each classification in each of the EEO-Job Categories identified.**

EEO - Job Categories	Total Work Force	Race/Ethnicity - report employees in only one category																	
		Hispanic or Latino		Not-Hispanic or Latino															
				Male										Female					
		Male	Female	White	African-American or Black	Native Hawaiian or Other Pacific Islander	Asian	American Indian or Alaska Native	Two or More Races	Disabled	Veteran	White	African-American	Native Hawaiian or Other Pacific Islander	Asian	American Indian or Alaska Native	Two or More Races	Disabled	Veteran
Executive/Senior Level Officials and Managers																			
First/Mid-Level Officials and Managers																			
Professionals																			
Technicians																			
Sales Workers																			
Administrative Support Workers																			
Craft Workers																			
Operatives																			
Laborers and Helpers																			
Service Workers																			
TOTAL																			

PREPARED BY (Signature): \_\_\_\_\_

DATE: \_\_\_\_\_

NAME AND TITLE OF PREPARER: \_\_\_\_\_

TELEPHONE/EMAIL: \_\_\_\_\_



## STAFFING PLAN INSTRUCTIONS

General Instructions: All Bidders/Applicants in the proposal/application must complete an EEO Staffing Plan (EEO 100) and submit it as part of the package. Where the work force to be utilized in the performance of the State contract/project can be separated out, the Bidder/Applicant shall complete this form only for the anticipated work force to be utilized on the State contract/project. Where the work force to be utilized in the performance of the State contract/project cannot be separated out, the Bidder/Applicant shall complete this form for Bidder/Applicant's total work force.

### Instructions for Completing:

1. Enter the Project number that this report applies to, along with the name, address, and federal ID number of the Bidder.
2. Check the appropriate box to indicate if the work force being reported is just for the contract/project or the Bidder/Applicant's total work force.
3. Check off the appropriate box to indicate if the Bidder completing the report is the contractor or subcontractor.
4. Enter the total work force by EEO job category.
5. Break down the total work force by gender and race/ethnic background and enter under the heading Race/Ethnicity. Contact the M/WBE Coordinator, [mwbegrants@nysed.gov](mailto:mwbegrants@nysed.gov), if you have any questions.
6. Enter the name, title, phone number and email address for the person completing the form. Sign and date the form in designated areas.

### RACE/ETHNIC IDENTIFICATION

For purposes of this form NYSED will accept the definitions of race/ethnic designations used by the federal Equal Employment Opportunity Commission (EEOC), as those definitions are described below or amended hereafter. (Be advised these terms may be defined differently for other purposes under NYS statutory, regulatory, or case law). Race/ethnic designations as used by the EEOC do not denote scientific definitions of anthropological origins. For the purposes of this report, an employee may be included in the group to which he or she appears to belong, identifies with, or is regarded in the community as belonging. The race/ethnic categories for this survey are:

- **Hispanic or Latino** - A person of Cuban, Mexican, Puerto Rican, South or Central American, or other Spanish culture or origin regardless of race.
- **White (Not Hispanic or Latino)** - A person having origins in any of the original peoples of Europe, the Middle East, or North Africa.
- **Black or African American (Not Hispanic or Latino)** - A person having origins in any of the black racial groups of Africa.
- **Native Hawaiian or Other Pacific Islander (Not Hispanic or Latino)** - A person having origins in any of the peoples of Hawaii, Guam, Samoa, or other Pacific Islands.
- **Asian (Not Hispanic or Latino)** - A person having origins in any of the original peoples of the Far East, Southeast Asia, or the Indian Subcontinent, including, for example, Cambodia, China, India, Japan, Korea, Malaysia, Pakistan, the Philippine Islands, Thailand, and Vietnam.
- **American Indian or Alaska Native (Not Hispanic or Latino)** - A person having origins in any of the original peoples of North and South America (including Central America), and who maintain tribal affiliation or community attachment.
- **Two or More Races (Not Hispanic or Latino)** - All persons who identify with more than one of the above five races.
- **Disabled** - Any person who has a physical or mental impairment that substantially limits one or more major life activity; has a record of such an impairment; or is regarded as having such an impairment
- **Vietnam Era Veteran** - a veteran who served at any time between and including January 1, 1963 and May 7, 1975.

## ALE GLOSSARY

1. **ABE:** Adult Basic Education (ABE) serves adults who lack competency in reading, writing, computation, and problem-solving, which interferes with their ability to gain and keep employment, enter training, and fully participate in society. These adults are typically native-born, with educational functioning levels specific to ABE literacy levels.
2. **AEPP:** The Adult Education Programs and Policy (AEPP) office within the New York State Education Department mission is to promote, develop, and support adult education programs and to provide adult students with successful pathways and transitions to post-secondary education, apprenticeship training, and the workforce.
3. **ALE:** Adult Literacy Education (ALE) provides New York State funding to support adult literacy programs, including Adult Basic Education (ABE), English for Speakers of Other Languages (ESOL), and Adult Secondary Education (ASE) programs. This funding supports a wide range of educational goals and needs of the most marginalized New Yorkers, including community and civic engagement, parenting, and participation in children's education, healthcare education, and workforce preparation. ALE funding is designed to serve adult students at the beginning levels of their educational journeys, with the provision that at least 50% of the participants receiving services must be at the lowest New York Reporting System (NYRS) levels, NYRS Levels 1 through 2.5, for ABE and ESOL. Eligible applicants include public and private not-for-profit agencies, including 2- and 4-year colleges; community-based organizations; libraries; volunteer literacy organizations; other not-for-profit organizations; and consortia of the above organizations.
4. **ASE:** Adult Secondary Education (ASE) programming and instruction at the 9.0 level or above in adult education. ASE services aim to enable students to earn the NYS HSE and successfully transition into and succeed in postsecondary education, training, and employment.
5. **ASISTS:** Adult Student Information System & Technical Support (ASISTS) is the NYSED/AEPP web-based data system, which is managed by Literacy Assistance Center's for the New York State adult education funded programs. It includes data management tools, user support, and training for programs to fulfill the National Reporting System (NRS) requirements.
6. **Benchmarks:** The minimum requirement set forth by New York State and the Office of Career and Technical Adult Education. NYSED/AEPP funded programs are required to meet benchmarks, which are specific, measurable standards that demonstrate student achievement. Benchmarks are used to assess the effectiveness of instruction and ensure that learners meet goals that align with broader educational and/or workforce competencies.
7. **Case Manager:** Case Managers assists with intake, identifies barriers to education and employment, and provides resources and referrals to participants. One full-time case manager for every 200 enrolled participant is required.

8. **CAP:** Corrective Action Plan (CAP) When AEPP identifies programs needing more support and technical assistance, a CAP may be implemented to meet benchmarks, follow policy, address data reporting issues, and provide technical support. The goal is program improvement and the removal of the CAP.
9. **CEP:** Continuous Evaluation Process (CEP) is a process under which programs and AEPP identify quarterly progress milestones on key indicators that lead to meeting the AEPP annual benchmarks for programs under a Corrective Action Plan. AEPP staff, the RAEN, and the STAC, led by the NRS/NYRS accountability specialist, will conduct a quarterly review to determine whether approved quarterly milestones have been met for each agency on corrective action.
10. **Credential:** A recognized postsecondary credential is a credential consisting of an industry-recognized certificate or certification, a certificate of completion of an apprenticeship, a license recognized by the State involved or Federal Government, or an associate or baccalaureate degree.
11. **Data Manager:** Data Managers are responsible for generating, reviewing, analyzing performance, informing program manager on data trends, and correcting all data in the ASISTS Management System.
12. **Demonstrated Effectiveness:** Demonstrate effectiveness is shown by providing performance data indicating how measurable outcomes and benchmarks were previously met.
13. **ESOL:** English for Speakers of Other Languages (ESOL) instruction serves individuals who have limited ability in reading, writing, speaking, or comprehending the English language and whose native language is a language other than English. ESOL students have educational functioning levels specific to ESL literacy levels.
14. **FTE:** Full-time Equivalent (FTE) is used to demonstrate staffing needs, and the hourly or annual attendance necessary to run successful adult education programs and projects.
15. **High School Equivalency (HSE):** New York State offers four pathways for a student to achieve a High School Equivalency diploma. (1) HSE exam (GED), (2) 24 college credits, (3) National External Diploma Program (NEDP), and the (4) passing of Regents exams.
16. **Intake Coordinator:** Intake Coordinators welcomes participants and gathers information and coordinates student assessments. Additionally, they identify student needs and placing students in their desired and appropriate educational programs is an essential component of the intake coordination role.

17. **Intake to Outcomes (I2O):** I2O is Literacy New York's online training platform and includes volunteer and staff training created specifically for literacy and adult education programs. It is evidence-based, facilitated, online training for volunteer tutors and staff at ALE-funded agencies. Modules include training and curriculum in teaching Reading, English Language, Math, Writing, Citizenship requirements, and Employability Skills across multiple levels. The I2O platform also provides literacy program staff and non-profit board members training.
18. **ITAP:** The Individual Technical Assistance Program (ITAP) is the process for identifying programs in need of extensive technical assistance, including, [BIG5](#) School Districts, programs that have experienced a change in leadership or significant staff turnover, programs exhibiting marginal data collection processes, or deficient performance outcomes.
19. **Middle Range Gain:** Middle range gain may count towards MSG for Levels 1 through 4 students. Gains may also be obtained through either Math or Reading for ABE students.
20. **MSG:** Measurable Skill Gain (MSG) is a performance indicator that measures participants' progress in education or training programs. Under NYRS Guidelines, ALE-funded ABE/ASE students achieve MSG when post-tested in either Reading or Math, and their score indicates that they have moved from one NYRS Educational Functioning Level to the next or higher. For ESOL students, MSG is achieved when they move from one EFL to the next or higher. Under NYRS guidelines, students can also achieve MSG when they obtain their NYS HSE. For additional guidance, see [NYRS Guideline](#).
21. **NYRS:** New York's Reporting System (NYRS) is the method of accountability that governs collecting, recording, and reporting data for all ALE-funded programs.
22. **Participant:** Individuals served through a participating program under AEPP funding.
23. **PIT:** Program Improvement Team (PIT) meet regularly, assess program data, and recommend necessary change. Every program must assemble a PIT team to help support or improve programs outcomes.
24. **Professional Development:** All paid staff members (full and part-time) must attend a minimum of fourteen (14) hours of professional development per year related to their program area, including professional development requirements for foundational digital literacy skills that may be implemented by NYSED during the grant period. A teacher/staff serving under the capacity of an ALE instructor, is required to meet 14 hours of PD, even if they are funded through other means. This professional development must be provided through the program's respective Regional Adult Education Network (RAEN); no other training outside of the RAEN will be accepted, unless AEPP approved.
1. Professional Development is required for: administrative, clerical, instructional, case management, and data management staff;

2. All staff members paid or not paid providing instruction to ALE students (full and part-time) must attend professional development provided through the RAEN or by the NYSED/AEPP Identified Master Teachers;
  3. Any volunteer staff who will be providing AEPP approved assessments to students must attend assessment certification training through the RAEN. Volunteers are excluded from the 14-hour Professional Development requirement, unless they are assessing students; and,
  4. As a supplement to RAEN services, additional one-on-one support and technical assistance will be provided through the organization funded in Component B (STAC) to further deepen understanding of the College and Career Readiness skills embedded in the NYSED CareerKits, learning disabilities, as well as program performance and accountability.
25. **Program Coordinator:** Program Coordinator supervises, and supports volunteers with training and curriculum, provides intake to students, administers NYS-approved assessments (trained by RAEN), may enter program data, monitors data, and assists in the day-to-day operation of the program.
26. **Program Manager:** Program Managers hire staff, supervise, train, conduct annual evaluations, meet regularly with staff to share program data and improvement strategies to reach contractual benchmarks, participate in all AEPP mandated meetings and trainings, and consult with AEPP and all program matters. Program Managers must be available while the adult education program is in operation.
27. **RAEN:** The Regional Adult Education Network (RAEN) is a system of professional development for educators that provide technical assistance to adult education programs to meet NRS and NYRS performance benchmarks and conduct pertinent professional development to program staff to promote competencies and skills in literacy education.
28. **STAC:** The Support and Technical Assistance Centers (STAC) are funded to provide technical assistance to programs funded with ALE funding. There are two STAC regions: the Rest of State and New York City. STACs work with the RAEN system, AEPP, and the Office of Accountability.
29. **Small Group:** A small group meets to work on similar goals in a small group setting to learn math, reading, and civics. Small groups are also used to develop conversation groups to improve language in ESOL programs. Volunteer or tutors may run small groups. The small group size must be indicated in the Program Component Worksheet (PCW). If data indicates that students are not progressing with the current group size, NYSED/AEPP reserves the right to have the program decrease the number of students within a group.
30. **Teacher:** A professional staff member instructs students and manages a classroom in various subjects, including Math, English, and Civics. Teachers are educators who facilitates adult learning, focusing on subjects such as literacy, math, digital skills, HSE/GED preparation, and career readiness classes.

31. **Tutor:** A person who gives individual (one-on-one) or, in some cases, small group instruction. Tutors can be paid or volunteer their time.
32. **Volunteer:** Someone who commits to serve at an educational entity without compensation. Volunteers can provide one-to-one and small group support, assist in classrooms, serve in administrative capacities, and assist with fundraisers to support programs. Board members at non-profit ALE-funded agencies are also considered volunteers.