

LIBRARY

OF SUTTER COUNTY

James Ochsner
Library Director

April 23, 2012

TO: BOARD OF SUPERVISORS

FROM: JAMES OCHSNER

RE: APPROVAL TO SUBMIT RE-APPLICATION TO THE CALIFORNIA DEPARTMENT OF EDUCATION FOR PROGRAM YEAR 2013-14 WORKFORCE INVESTMENT ACT, TITLE II: ADULT EDUCATION AND FAMILY LITERACY ACT PROGRAM & AUTHORIZATION FOR THE DIRECTOR OF LIBRARY SERVICES TO SIGN RELATED CERTIFICATIONS, ASSURANCES AND GRANT AWARD NOTIFICATION

RECOMMENDATION

The Board of Supervisors:

1. Approve the submission of a re-application to the California Department of Education for the program year 2013-14 Workforce Investment Act, Title II: Adult Education and Family Literacy Act program funding; and
2. Authorize the Director of Library Services to sign the related certifications and assurances, and Grant Award Notification.

BACKGROUND & DISCUSSION

The California Department of Education has announced the FY 2013-14 Workforce Investment Act, Title II: Adult Education and Family Literacy Act re-application process. The Sutter County Library is eligible to re-apply because it is an approved literacy program currently receiving funds under Section 231 and English Literacy/ Civics Education (EL Civics), and is in good standing with the California Department of Education for the 2012-13 program year.

A copy of the invitation, *Program Reapplication Guidelines and Requirements 2013-14*, and the completed application are attached. Applications must be submitted online, and two signed hard copies must be postmarked by April 26, 2013.

The re-application is for continued supplementary funding for California Department of Education adult literacy grant programs that have been previously approved by the Board of Supervisors for a number of years, and thus no longer require committee review. The four literacy grant programs supported by this funding include *Adult Basic Education/ English as a Second Language (ABE/ESL)* and *Family Literacy* under Section 231, and *Citizenship Preparation* and *Civic Participation* under EL Civics.

There are no changes in California Department of Education policy or guidelines for the 2013-14 program year.

PRIOR BOARD ACTION

The Board of Supervisors has approved the WIA Title II Grant in previous years.

ALTERNATIVES

If the Board of Supervisors does not approve submission of the re-application, there will be no funding for Adult Basic Education/English as a Second Language, Family Literacy, Citizenship Preparation and Civic Participation. These existing programs would end. The Sutter County Library would no longer be a “continuing program” and would not be eligible for “re-application funding”. The 2 FTE positions supported by these funds would become un-funded.

OTHER DEPARTMENT AND/OR AGENCY INVOLVEMENT

No other county departments are affected by this request.

ACTION FOLLOWING APPROVAL

Following approval, the grant application will be signed and submitted to the Workforce Investment Act, Title II Program, Adult Education Office, California Department of Education.

FISCAL IMPACT

Sutter County Library Literacy Program is completely grant funded. The California Department of Education is one source of this funding which supports Adult Basic Education/English as a Second Language, Family Literacy, Citizenship Preparation and Civic Participation (programs 31, 40, 51, & 55). These funds currently support the 1.0 FTE Literacy Coordinator position and a 1.0 FTE Library Assistant II position.

STANDING COMMITTEE REVIEW

This item did not go to committee based on Sutter County Administrative Policy #305.

ATTACHMENTS

Attached is the Workforce Investment Act, Title II: Adult Education and Family Literacy Act grant application and guidelines.

Respectfully submitted,

A handwritten signature in black ink, appearing to read 'JEO', followed by a horizontal flourish.

JAMES OCHSNER
Director of Library Services

James Ochsner

From: adultedsupport@otan.us
Sent: Friday, March 29, 2013 11:43 AM
To: James Ochsner; scoelibt@yahoo.com
Subject: 2013-14 Workforce Investment Act, Title II: Adult Education and Family Literacy Act Application

TO: Sutter County Library

FROM: California Department of Education, Adult Education Office and the Outreach and Technical Assistance Network

DATE: March 29, 2013

The California Department of Education (CDE), Adult Education Office (AEO), invites you to apply for the 2013-14 Workforce Investment Act, Title II: Adult Education and Family Literacy Act program funding.

The grant application is available online at this time. You can access the application on the California Adult Education Online Application and Reporting Web site at <http://adulted.otan.us> (Outside Source). All applications must be submitted online and agencies are required to submit two hard copies (at least one copy must have an original signature) no later than 4:00 p.m. on April 26, 2013, to:

Workforce Investment Act, Title II Program Adult Education Office California Department of Education
1430 N Street, Suite 6408
Sacramento, CA 95814-5901

If you need assistance with signing in to the Web site, please contact OTAN Technical Support at 1-800-894-3113 or 916-228-2580, M-F, 8:30 a.m. - 4:30 p.m., PST.

This message was sent on behalf of the CDE AEO and is a service of the Outreach and Technical Assistance Network (OTAN), a leadership project of the California Department of Education, Adult Education Office.

Workforce Investment Act, Title II Adult Education and Family Literacy Act

Request for Applications

California Program Reapplications
Guidelines and Requirements
2013–14

Application must be submitted online, and
two originally signed hard copies must be postmarked by:

April 26, 2013

Mail to:

Adult Education Office
California Department of Education
1430 N Street, Suite 6408
Sacramento, CA 95814–5901

For further information,
call 916-322-2175
<http://www.cde.ca.gov/sp/ae/>

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Purpose

The Workforce Investment Act (WIA), Title II, Adult Education and Family Literacy Act (AEFLA) provides supplemental funding to support the adult education and literacy instruction necessary to serve California's adults. The AEFLA expands and promotes the development of integrated services that incorporate Adult Basic Education (ABE), Adult Secondary Education (ASE), English as a Second Language (ESL), and English Literacy and Civics Education (EL Civics).

These grants primarily focus on: (1) learners who function at or below National Adult Literacy Survey Levels one and two, or score at or below 235 on the Comprehensive Adult Student Assessment System (CASAS) reading and listening tests; (2) learners whose goal is to obtain their high school diploma or General Educational Development (GED) Test certificate; and (3) adults attempting to master the civic institutions and citizenship preparation skills necessary to become successful participants of our society.

Eligible Applicants

For the 2013–14 grant year, eligibility is limited to currently approved agencies continuing with the WIA, Title II AEFLA programs. Agencies must also be in good standing with the California Department of Education (CDE), Adult Education Office from the prior grant year. Good standing means the agency has submitted all required deliverables and owes no money to the CDE.

Criteria for Scope of Services

Programs will be monitored and reviewed according to the following criteria, as specified in the WIA, Title II AEFLA and in Section 6.5 of the California State Plan for Adult Education 1999–2014:

1. Local providers will establish observable, measurable, and meaningful goals for participants, describe how they will report progress, and provide strategies for continuous program improvement.
2. Local providers must demonstrate past effectiveness in improving the literacy skills of adults and families or in the development of instructional resources.
3. Local providers must demonstrate a commitment to serving adults considered the most in need, including students who are low income or have minimal literacy skills. The program offerings must reflect the needs of the local community in terms of literacy and basic skills needs. Demonstration of this commitment is accomplished by an analysis of community demographics compared to the types of programs offered.

4. Local providers must provide instruction that is of sufficient intensity and duration to achieve substantial learning gains.
5. Local providers must select literacy and adult education practices that are based on a solid foundation of research and effective educational practices.
6. Local providers should make effective use of technology, including computers, in the delivery of education. Applicants must describe how technology, particularly as it pertains to distance learning opportunities, will be used to enhance instructional strategies in approved programs.
7. Local providers must use real-life learning contexts to ensure that students possess the skills required to participate effectively in education, work, and civic opportunities in this country.
8. The training and experience of local providers' program instructors, counselors, and administrators must meet high standards. Applicants must demonstrate that staff possesses the necessary credentials and expertise to serve the target student populations who are the focus of the grant funding. Staff must demonstrate knowledge and cultural sensitivity appropriate to the student population.
9. Local providers must effectively coordinate community resources and establish strong linkages to elementary and secondary schools, postsecondary institutions, one-stop centers, job training programs, social service agencies, community-based organizations, and other entities, as appropriate. The applicant must describe cooperative arrangements that promote delivery of unduplicated services to adults. Applicant agencies must also demonstrate the capacity to link the target student population to community and individual asset-building opportunities.
10. Local providers should provide flexible scheduling and support services, including childcare and transportation, to enable students to attend and participate in education programs. Support services may be provided directly by the agency or through collaborations with other agencies. The CDE gives priority to eligible applicants who offer flexible schedules, childcare, transportation, and other supportive services.
11. Local providers must maintain a high-quality management information system (MIS) that has the capacity to report learner outcomes and to monitor program performance. The Tracking of Programs and Students (TOPSpro™) Enterprise data collection system, provided free of charge to grant recipients, has been developed to collect and transmit the required data in the acceptable format.
12. Local providers must demonstrate a need for literacy education in the local community or institution. The demonstrated need, as identified by local needs

assessments, demographic studies, and documented staff observations, must support the expenditure of federal funds to implement education programs and/or supplement existing programs.

Resource Codes and Program Focus Areas

Section 225 Programs: Section 225 is for correctional education and other institutionalized individuals. Institutions must give priority to individuals who are likely to leave the institution within five years of participation in the program in order for students to successfully transition back into the community and to obtain gainful employment. Section 225 is limited to Program Focus Areas ABE, ESL, ASE, GED, and Vocational ABE (VABE) and Vocational ESL (VESL), and all are under one resource code.

Section 231 Programs: Agencies are permitted to apply for either or both Resource Code categories. However, funding will be awarded only to the Resource Code(s) that generated payment points in 2011–12.

EL Civics Programs: Both Civic Participation and Citizenship Preparation are combined under the same Resource Code. Agencies approved for EL Civics may provide classes in either or both Program Focus Areas. Selecting EL Civics will automatically select ESL under the Section 231 program. ESL payment points earned will be paid at the Section 231, Resource Code 3905 rate.

Funding Source	Resource Code	PCA	Program Focus Area
Section 225	3940	13971	Adult Basic Education (ABE) English as a Second Language (ESL) Vocational ESL (VESL) Vocational ABE (VABE) Adult Secondary Education (ASE) High School Diploma General Educational Development (GED)
Section 231	3905	14508	Adult Basic Education (ABE) English as a Second Language (ESL) ESL-Citizenship Vocational ESL (VESL) Vocational ABE (VABE)
	3913	13978	Adult Secondary Education (ASE) High School Diploma General Educational Development (GED)
El Civics	3926	14109	Civic Participation Citizenship Preparation

Program Focus Areas Defined

Adult Basic Education

These are classes below the high school level where the primary objective is teaching basic literacy skills. Each course of study describes the focus population; the functioning level of the learners served; the basic literacy taught; and how these skills will be integrated into a standards-based adult education program. Adult education in elementary basic skills should focus on native English speakers whose inability to effectively use these basic skills constitutes a substantial impairment to either obtain or retain employment or to function in society.

English as a Second Language

This program of instruction is designed to help individuals of limited English proficiency achieve competence in the English language. The inability to understand, speak, read, or write the English language may constitute a substantial impairment to obtain or retain employment commensurate with their abilities, and interfere with functioning successfully in society.

Vocational English as a Second Language or Vocational Adult Basic Education

These programs are designed to increase the productivity of the workforce through improved workplace English literacy skills. The curriculum focuses on pre-employment and workplace competencies, as well as general English language and communication skills. The curriculum should provide students with the necessary basic skills, cognitive skills, personal and interpersonal qualities important to obtain and retain employment.

Adult Secondary Education or General Educational Development

Adult secondary subjects consist of courses in mathematics, English language arts, history, science, government, and other courses leading to a high school diploma. The GED exam is a high school equivalency test developed by the GED Testing Service of the American Council of Education and approved by the CDE.

English Literacy and Civics Education—Citizenship Preparation Education

This program supports the development of literacy skills. It uses ESL methodologies and citizenship preparation material to prepare learners to take and pass the U.S. Citizenship and Immigration Services tests. The program also includes outreach

services, skills assessment, curriculum development and instruction, naturalization preparation and assistance.

Note: Applicants may choose to provide Section 231 ESL Citizenship or EL Civics Citizenship Preparation Education; however, they must attend CASAS training to administer the Citizenship Interview test.

English Literacy and Civics Education—Civic Participation

This program supports the design, creation, implementation, and delivery of instructional activities that either integrate civics education content with existing ESL programs or are stand-alone civic participation programs. The Civic Education is an educational program that emphasizes contextualized instruction on the rights and responsibilities of citizenship, naturalization procedures, civic participation, and U.S. government and history to help learners acquire the skills and knowledge to become active, informed parents, workers, and community members.

Reapplication Components

1. Superintendent or Chief Executive Officer Certification

These Assurances and Certifications include general and specific legal requirements. A hard copy of these documents must be included with the completed application and mailed to the CDE by the application deadline. These documents must have an original signature of the School Superintendent or agency Chief Executive Officer.

2. Program Administration

Provide the name and contact information of the person most responsible for directing the agency's WIA, Title II AEFLA Program. This could be a person from the site where the program is implemented or an administrator from the main office.

3. Applicant Agency Federal Table 4*

Each year, the CDE is required to negotiate with the U.S. Department of Education (ED) statewide performance goals for the 11 educational functioning levels of the National Reporting System (NRS). This comparison chart provides information about how well the agency performed during the previous year against the statewide performance and the negotiated performance goals. This will assist agency staff in targeting areas of program improvement and increase learner performance.

4. Applicant Agency Federal Table 5

The NRS also reviews California's Core Performance Outcomes on Table 5. This comparison chart shows the agency's Core Performance Outcomes achieved and the totals for each outcome achieved statewide. The performance outcomes reported each year include:

- High School Diploma/GED completion
- Entered postsecondary training
- Entered employment
- Retained employment

*Federal Tables are located in the application.

Grant Accountability Requirements and Deliverables

All grant awards are subject to availability of funds from the federal government. This is a pay-for-performance grant. Funding depends on the successful implementation of the following grant and performance requirements:

Data Collection and Reporting

Funded agencies must collect and report quarterly to the CDE, through CASAS, the following information:

- TOPSpro™ Enterprise Entry and Update Records for all students
- Appropriate CASAS pre- and post-test data for all students
- Additional assessment outcome data for students enrolled in EL Civics-Civic Participation
- Core Performance Student Follow Up Survey

1. Additional Deliverables for EL Civics-Civic Participation

The CDE provides funded agencies with guidelines, criteria, and technical assistance to support the accomplishment of additional program deliverables required for the Civic Participation Program. All agencies must complete and receive approval from the CDE for these program deliverables.

A. Language and Literacy Objectives

Agencies must select approved civics education language and literacy objectives from the CASAS Web site at <http://www.casas.org> and submit their selection or propose additional objectives for approval. Approval must be completed before instruction for a particular objective begins.

B. Additional Assessments

Agencies will choose an additional assessment plan for each CDE-approved Civics Education objective. Examples of additional assessment instruments include: Observation of a task as it is performed (performance-based assessment), simulation or role play (process assessments), projects, journals, portfolios, written descriptions, reflections, analyses or evaluations (product assessments). Additional assessments that funded agencies select or develop must be replicable in other similar learning situations. Multiple choice, true-false, matching test, or primary language assessments are not considered appropriate.

For each assessment, agencies will also identify or develop for approval, scoring guidelines, including an appropriate rubric or rating scale.

C. Technology Plan

Agencies must develop and implement a plan describing how technology will be used to strengthen and allow for continuous improvement in instruction, management, assessment, and communication. The technology plan must identify what is in place, what is being proposed, and the benefit to the EL Civics Program.

Continuing agencies must annually update their technology plan to include updated implementation plans, timelines, and budgets.

2. Recordkeeping

All agencies must complete and maintain the following items for each student:

- TOPSpro™ Enterprise student entry form
- TOPSpro™ Enterprise student update form
- CASAS pre-test
- CASAS post-test
- EL Civics-Civic Participation: Representative samples of additional assessments and portfolios

3. Payment Points

Funding is based upon generated payment points under a pay-for-performance system. Each local agency's grant amount depends upon generated payment points from two years previous. For example, the payment points generated in 2011–12 will be used in the calculation for the agency's grant award in 2013–14.

A student must receive a minimum of 12 hours of instruction to be eligible for one or more payment points. Assessment payment points are generated through the use of CASAS reading, math, and listening tests, including: Employability Competency System (ECS); Life and Work; Workforce Learning Systems; Providing Options for the Workplace; Education and Rehabilitation (POWER); U.S. History and Government; and Oral Citizenship Interview.

4. Number of Achievable Payment Points

Payment points to be accumulated in the 2013–14 Program Year include

students who have successfully completed:

ABE and ESL

- Completed a NRA Educational Functioning Level (Federal Table 4, Column D)
- Advanced one or more levels after completing a level (Federal Table 4 Column E)

ASE

- Completed a NRA Educational Functioning Level (Federal Table 4, Column D)
- Advanced one or more levels after completing a level (Federal Table 4 Column E)
- Attained a high school diploma or a GED
- California High School Exit Exams (Math and/or English)

English Literacy and Civics

- Passed up to two EL Civics, Civic Participation Additional Assessments
- Passed the U.S. History and Government test
- Passed the EL Civics Oral Citizenship Interview test

Transition – Core Follow-up Outcome Measures

- Entered employment (Federal Table 5)
- Retained employment (Federal Table 5)
- Entered postsecondary education or training (Federal Table 5)

NOTE: Transition Core Follow-up Outcome Measures reported in years 2013-14, under the new National Reporting System (NRS), will translate into payment points earned. These payment points will be added to the academic payment points in calculating the grant awards for 2015-16.

When using CASAS assessments, payment points are based on the first accurate pre-test and the highest post-test that produces a scaled score. The CASAS appraisals are not considered valid pre- or post-test, but are recommended for proper student placement. The highest test may or may not be the last test.

5. Grant Budget Guidelines

After receiving the notification of the grant award, funded agencies must prepare and submit a full program budget for CDE approval. Agencies must comply with the following budget guidelines:

Not less than 95 percent of the grant award shall be expended for carrying out adult education and literacy activities. The remaining amount, not to exceed 5 percent, shall be used for planning, administration, personnel development, and interagency coordination. In cases where the cost limits described above are too restrictive to allow for adequate planning, administration, personnel development, and interagency coordination, the CDE will negotiate with the agency in order to determine an adequate level of funds to be used for non-instructional purposes.

All budget items must fall in the 1000 through 5000 categories, according to the California School Accounting Manual (see the CDE Definitions, Instructions & Procedures Web page at <http://www.cde.ca.gov/fg/ac/sa>). Indirect costs and items in categories 6000 and above are not allowed under federal funding.

After the initial budget has been approved by the CDE, any line item change of 10 percent or more requires a revised budget from the agency and subsequent approval by the CDE. The following provides additional information about instructional and direct support costs:

1. Instructional costs may include, but are not necessarily limited to:
 - Salaries and benefits for teachers and instructional assistants directly involved in instructional delivery of education activities
 - Textbooks
 - Instructional supplies (food is not an allowable expense)
 - Appropriate conference and other travel expenses for staff directly involved in instructional delivery of education activities
 - Repair, maintenance, replacement, and acquisition of instructional supplies used in the program
2. Direct Support costs may include, but are not necessarily limited to:
 - Maintenance and operational expenses for classroom facilities
 - Rents or leases of non-agency owned classroom facilities
 - Childcare for participants
 - Transportation for education participants

6. Funding Procedures

All grant awards are subject to availability of funds from the federal government. Delays in the receipt of California's allocation may change the date of availability of these funds and delay the approval of an agency's grant and the disbursement of funds. Each agency's grant award is based on the number of payment points earned and the amount of federal funds available in each program funding source. For example, if 30,000 payment points were earned statewide in a Resource Code and there was \$5 million available for funding that code, the value of each payment point would be \$166.67 (\$5,000,000/30,000).

Successful continuing applicants that generated payment points in approved Resource Code categories are eligible to receive at least minimum funding as follows:

Section 225	Section 231	EL Civics
\$10,000	\$10,000	\$10,000

Grant reimbursements by the CDE are contingent upon satisfactory submittal and review of all program deliverables. Agencies are required to submit budgets, expenditure reports, quarterly data, and other deliverables as outlined in the Grant Accountability Requirements and Deliverables section. Grant payments to agencies that do not submit their deliverables by the due dates will be delayed until the agency has submitted the delinquent deliverable(s). If deliverables remain delinquent, the agency will not receive a grant the following year. All assessments and expenditures must be fully documented and available for review by the CDE.

Agencies may submit claims for reimbursement up to four times per year for actual expenses incurred. Only a final Expenditure Claim Report (ECR) is mandatory and it may be submitted during any ECR filing period during the program year, but must be submitted on or before **August 15, 2014**.

Note: Federal law Title 34 *Code of Federal Regulations* 80.21(i) requires that any interest in excess of \$100 earned by grantees on federal dollars be returned to the ED. Grantees shall promptly, but at least quarterly, remit to the CDE all interest earned in excess of \$100 for return to the ED.

Appeals Process

Applicants that receive disapproval of their application and wish to appeal that decision must do so in writing within 10 working days from the postmark date of the notification letter from the CDE. Submit appeals to:

Workforce Investment Act, Title II Program
Adult Education Office
California Department of Education
1430 N Street, Suite 6408
Sacramento, CA 95814-5901

The CDE must receive an applicant's letter of appeal, with an original signature by the agency official who signed the reapplication within 10 working days of the postmark date of the notification letter. Proof of postmark must be submitted with the appeal.

Appeals shall be limited to the grounds that the CDE failed to apply the standards for reviewing the reapplications as specified in the Request for Rapplications. Appeals must be based on either: (1) a procedural error or inconsistency; or (2) a substantive failure to accurately evaluate a reapplication based on the facts or statements. The appellant must file a full and complete written appeal, including the following items:

- Issue in dispute
- Legal authority or other basis for the appellant's position
- Remedy sought

Only those agencies that submitted reapplications may protest the provisional approval or disapproval. Incomplete or late appeals will not be considered.

All appeals will be considered based on the written record alone. Appeals must be based on evidence or information that was available at the time of the evaluation process. Errors alleged in the appeal should raise facts that are so significant as to materially affect the outcome of the tentative awards.

The CDE staff will prepare an analysis of written appeals. The Director of the Coordinated Student Support and Adult Education Division will review the appeal analysis and will make a final determination, in writing, within 15 working days from the postmarked date of the appeal. The decision of the Director will be in compliance with the WIA, Title II AEFLA and is the final administrative action afforded the appeal.

**California Department of Education
Adult Education and Family Literacy Act P. L. 105-220
Workforce Investment Act, Title II Specific Assurances**

In addition to the General Assurances of the California Department of Education (CDE) which are located on the CDE General Assurances Web page at <http://www.cde.ca.gov/fg/fo/fm/generalassur2012.asp>, the duly authorized agent of the applicant certifies that the applicant will comply with the following Workforce Investment Act, Title II specific program requirements:

1. Funds made available for adult education and literacy activities under this subtitle shall supplement and not supplant other State or local public funds expended for adult education and literacy activities. (Workforce Investment Act of 1998, Title II §241) The duly authorized agent of the applicant agrees to submit the following for approval by the CDE Adult Education Office before grant funds can be distributed:
 - a. Program Budgets by the due date specified in the Grant Award Notification. For additional information, see the Workforce Investment Act Title II, Adult Education and Family Literacy Act, section 225 and 231, and English Literacy and Civics Education, Program Reapplication Guidelines and Requirements 2011–12 (Workforce Investment Act of 1998, Title II §232)
 - b. Memorandums of Understanding for cooperative arrangements for services Education Department General Administrative Regulations §80.37(a)(1-4) (b)(1-3), and Workforce Investment Act of 1998, Title II §232).
2. The duly authorized agent of the applicant agrees to fulfill all data collection, surveys, and reporting requirements in an accurate and timely manner (Workforce Investment Act of 1998, Title II §212 and 224(b), and California State Plan, Chapter 5.)
 - a. Data Foundation and Structure: The duly authorized agent of the applicant agrees to use the state's standardized policies and procedures for intake, placement, goal setting, and follow-up surveys. The agent agrees to implement an assessment and attendance tracking system using the Comprehensive Adult Student Assessment System (CASAS) and Tracking of Programs and Students (TOPSpro™) Enterprise software for collecting student information. The duly authorized agent of the applicant agrees that students must attend a minimum of 12 hours before being considered as participating students in the National Reporting System (NRS).

Note: The CDE will provide TOPSpro™ Enterprise software, assessment materials, and staff training to all funded agencies free of charge. If your agency does not use TOPSpro™ Enterprise, your data system must be capable of producing all data

elements included in TOPSpro™ Enterprise and in the same sequence as the TOPSpro™ Enterprise reports (Workforce Investment Act of 1998, Title II sec. 212 and 224(b), and California State Plan, Chapter 5.0)

- b. Data Collection, Verification, Analysis, and Reporting: The duly authorized agent of the applicant agrees to have staff with clear responsibility for data collection, data entry, attestation, procedures for correcting errors, and resolving missing data. The duly authorized agent of the applicant agrees to use student data for program management and improvement such as evaluating learning gains, teacher performance, and meeting student needs.
3. Professional Development: The duly authorized agent of the applicant agrees to train staff that will be responsible for general NRS requirements, including assessment and follow-up policy procedures and student goal-setting. Staff must receive training on data entry, collection procedures, interpreting reports, the process and ability to conduct follow-up surveys, and data matching procedures.
4. Federal law Title 34 *Code of Federal Regulations (CFR)* 80.21(i) requires that any interest earned by grantees on federal dollars be returned to the U.S. Department of Education (ED) if the amount is in excess of \$100. Grantees shall promptly, but at least quarterly, remit interest earned on advances to the CDE for return to the ED.
5. The duly authorized agent of the applicant agrees to be bound by Federal law Title 34 *CFR* 80.25 (b), *CFR* 80.25 (g)(2), and *CFR* 76.534 that state local grantees may collect fees subject to the following conditions: Income generated by fees must be used only for allowable costs specified in the grant and the fees collected must be tracked and reported to the CDE by the grantee in grantee's final expenditure claim report. Applicant's agent also acknowledges that collected fees may not be used toward meeting the match, cost sharing, or Maintenance of Effort requirements of the grant.
6. The duly authorized agent of the applicant agrees to use not less than 95 percent of its approved funds for carrying out adult education and literacy activities. The remaining amount, not to exceed 5 percent, shall be used for planning, administration, personnel development, and interagency coordination. In cases where the cost limits are too restrictive to allow for adequate planning, administration, personnel development, and interagency coordination, the CDE will negotiate with the agency an adequate level of funds to be used for non-instructional purposes (Workforce Investment Act of 1998, Title II, Section 233).
7. The duly authorized agent of the applicant agrees to meet state imposed program participation criteria that include, but are not limited to, attendance at CDE-sponsored training related to CASAS, budget development, and program development (California State Plan 6.1.13).

8. The duly authorized agent of the applicant agrees to document procedures and guidelines pertaining to their standardized assessment practices. Adult literacy **providers** may use the *Workforce Investment Act, Title II Adult Education and Family Literacy Act Assessment Policy Guidelines* as the policy foundation, in conjunction with Test Administration Manuals, *CASAS Administration Manual for California*, and regional training workshops to provide a basis for development of local procedures, guidelines, and implementation practices.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the CDE General Assurances and the above specific assurances and requirements. It is also understood that failure to comply will result in withholding or forfeiture of Workforce Investment Act, Title II funding.

Name of Applicant: _____

Name of Program: _____

Printed Name and Title of Authorized Representative:

Signature: _____ Date: _____

THIS PAGE FOR CDE USE ONLY

Name	Sutter County Library
CDS/Vendor Code	Sutter-2011

Date Received

Funding Source	Resource Code	PCA	Program Focus Area Check the box to apply	2012-13 Funding Status	2011-12 Payment Points
Section 225	3940	13971	<input type="checkbox"/> Adult Basic Education (ABE, Vocational ABE) Adult Secondary Education (ASE) High School Diploma General Education Development (GED) Test English as a Second Language (ESL, Vocational ESL)	Not funded	0
Section 231	3913	13978	<input type="checkbox"/> Adult Secondary Education (ASE) High School Diploma General Education Development (GED) Test	Not funded	0
	3905	14508	<input checked="" type="checkbox"/> Adult Basic Education (ABE, Vocational ABE) English as a Second Language (ESL, Vocational ESL)	Funded	753
EL Civics	3926	14109	English Literacy and Civics Education (EL Civics) <input checked="" type="checkbox"/> Citizenship Preparation <input checked="" type="checkbox"/> Civic Participation	Funded	622

* Selecting EL Civics programs automatically selects ESL, and learning gains from Comprehensive Adult Student Assessment Systems (CASAS) ESL pre- and post- tests will count toward Resource Code 3905 performance payment points in future years.

Certification	Initials	Date
Specific Assurances		
Superintendent/CEO		
Entered Date Received in CDE Data Access Page		
Reviewed by David Stang, Regional Consultant		
Notes		

I. Grants, Signatures, and Contacts

A. Superintendent/CEO Certification

CERTIFICATION: I hereby agree to comply with all applicable state and federal rules and regulations, and program guidelines and requirements. I certify that to the best of my knowledge, the information contained in this application is correct and complete, and that the attached assurances are accepted as the basic conditions in the operations of this project/program for local participation and assistance.

Superintendent/CEO:	James Ochsner <i>Signature:</i>
Title:	Director of Library Services
Telephone:	530 822-7140
Mailing Address:	750 Forbes Avenue Yuba City, CA 95991
Email:	jochsner@co.sutter.ca.us

County	District/Vendor Code	Charitable Trust No. (for CBOs only)
Sutter	2011	

*The correct Charitable Trust number and District/Vendor code must be provided for the application to be accepted. If necessary, call the Office of the Attorney General at (916) 445-2021 or 445-2022 for verification.

My agency is a(n):	Library
Indicate your governance method:	Other
If you chose "Other" as your governance method above, please specify:	Sutter County Board Of Supervisors

I. Grants, Signatures, and Contacts

B. Program Administration

Main School/Site:	Sutter County Library	
Principal/Director:	Name:	James Ochsner
	Title:	Director of Library Services
	Telephone:	530 822-7140
	Email:	jochsner@co.sutter.ca.us
Vice/Assistant Principal:	Name:	Mary Alice Shumate
	Title:	Literacy Coordinator
	Telephone:	530 822-7272
	Email:	scoelib@ yahoo.com
Mailing Address:	750 Forbes Avenue Yuba City, CA 95991	

I. Grants, Signatures, and Contacts

C.Program Area Contacts

Title	First name	Last name	Email	Phone
Administrators				
Authorized Agent	Mary Alice	Shumate	scoelibt@gmail.com	(530) 822-7272 x 7273
Additional Administrative Personnel				
Adult Education Director	Mary Alice	Shumate	scoelibt@gmail.com	(530) 822-7272 x 7273
Administrative Assistant	Tejinder	Kaur	tkaur71@yahoo.com	(530) 822-7272 x 7273
Fiscal/Budget Administrator	James	Ochsner	jochsner@co.sutter.ca.us	(530) 822-7140
Categorical Program Monitor				
Data Accountability Coordinators				
Enrollment / Attendance	Mary Alice	Shumate	scoelibt@gmail.com	(530) 822-7272 x 7273
J18/19-A Coordinator				
A22 Course Approval Coordinator				
TOPSpro™ Coordinator	Rosalyn	Shumate	scoelibt@gmail.com	(530) 822-7272 x 7273
CASAS Coordinator	Mary Alice	Shumate	scoelibt@gmail.com	(530) 822-7272
Curriculum Coordinators				
ABE Coordinator	Mary Alice	Shumate	scoelibt@gmail.com	(530) 822-7272
ASE Coordinator				
ESL Coordinator	Mary Alice	Shumate	scoelibt@gmail.com	(530) 822-7272
CTE Coordinator				
Additional Program Coordinators				
WIA, Title II - 231 Coordinator	Mary Alice	Shumate	scoelibt@gmail.com	(530) 822-7272
WIA, Title II - 225 Coordinator				
WIA, Title II - EL Civics Coordinator	Mary Alice	Shumate	scoelibt@gmail.com	(530) 822-7272 x 7273
WIA Title I Coordinator				
CALWorks				
Innovation Program Coordinator				
Carl Perkins Coordinator				
CBET Coordinator				
Even Start Coordinator				

I. Grants, Signatures, and Contacts

D. Funding Requested

Please select the Program Area(s) your agency will address with this grant. Agencies are allowed to add new program areas for 2013–14. The newly added program areas will be eligible for performance payment points in future years provided agencies are in good standing. The addition of a program area will not add to or increase the funding of the Workforce Investment Act (WIA) Title II grant award for 2013–14.

Funding Source	Resource Code	PCA	Program Focus Area Check the box to apply	2012–13 Funding Status	2011–12 Payment Points
Section 225	3940	13971	<input type="checkbox"/> Adult Basic Education (ABE, Vocational ABE) Adult Secondary Education (ASE) High School Diploma General Education Development (GED) Test English as a Second Language (ESL, Vocational ESL)	Not funded	0
Section 231	3913	13978	<input type="checkbox"/> Adult Secondary Education (ASE) High School Diploma General Education Development (GED) Test	Not funded	0
	3905	14508	<input checked="" type="checkbox"/> Adult Basic Education (ABE, Vocational ABE) English as a Second Language (ESL, Vocational ESL)	Funded	753
EL Civics	3926	14109	English Literacy and Civics Education (EL Civics)* <input checked="" type="checkbox"/> Citizenship Preparation <input checked="" type="checkbox"/> Civic Participation	Funded	622

* Selecting EL Civics programs automatically selects ESL, and learning gains from Comprehensive Adult Student Assessment Systems (CASAS) ESL pre- and post- tests will count toward Resource Code 3905 performance payment points in future years.

II. Additional Program Information

A. Statewide and Local Program Level Completion

The California Department of Education (CDE) is required to annually negotiate with the U. S. Department of Education (ED) statewide performance goals for each of the educational functioning levels included in the National Reporting System (NRS) for Adult Education. The performance goals project what percentage of all learners, who meet the NRS reporting requirements, will make an educational gain equal to completing a program level during the year. Completion of a level is determined by the learner's completed Tracking of Programs and Students (TOPSpro™) Entry record, Update record, CASAS pretest score, and CASAS post-test score.

At the end of each program year, the state's performance is reported (in Federal Table 4) to the ED. The ED compares California's performance to the previously negotiated goals and to the performance of other states.

To negotiate the performance goals of California funded agencies, the CDE uses the latest available aggregated performance data of all NRS eligible learners within each of the educational functioning levels. For example, in February 2011, the CDE used the performance of all NRS eligible learners for the 2010–11 program year to negotiate the performance goals for 2011–12.

Since the CDE uses aggregated eligible adult learner data from all WIA Title II funded local agencies to set the annual performance goals, it is important for all funded local agencies to review their own agency's performance and compare it to the statewide performance. This comparison will provide information about how well the agency is performing against the statewide average and assist CDE Consultants and agency staff in targeting areas of program improvement that can result in increased learner performance.

Educational Functioning Level	California Federal Table 4 Program Year 2011–12		Applicant Agency Federal Table 4 Program Year 2011–12	
	Performance Goal	Percentage Completing Level	Section 231 and EL Civics	
			Percentage Completing Level	Comparison to State Goal
ABE Beginning Literacy	33.00 %	47.50 %	64.00 %	+31.00
ABE Beginning Basic Education	48.00 %	56.10 %	50.00 %	+ 2.00
ABE Intermediate Low	47.00 %	50.70 %	83.00 %	+36.00
ABE Intermediate High	32.00 %	33.40 %	56.00 %	+24.00
ASE Low	33.00 %	34.90 %	0.00 %	-33.00
ASE High	---	28.30 %	0.00 %	---
ESL Beginning Literacy	63.00 %	63.80 %	83.00 %	+20.00
ESL Beginning Low	63.00 %	65.10 %	93.00 %	+30.00
ESL Beginning High	59.00 %	61.40 %	82.00 %	+23.00
ESL Intermediate Low	53.00 %	53.70 %	70.00 %	+17.00
ESL Intermediate High	48.00 %	49.50 %	62.00 %	+14.00
ESL Advanced	23.00 %	23.10 %	27.00 %	+ 4.00

II. Additional Program Information

B. Core Performance Outcome

The NRS also reviews California's Core Performance Outcomes on Table 5. The performance outcomes that are reported each year include:

- High School (HS) diploma/GED
- Entered postsecondary training
- Entered employment
- Retained employment

The chart below shows the number of core performance outcomes that were reported for the 2011-12 year.

Core Performance Outcome Measures	California Core Performance Outcomes Achieved	Applicant Agency Core Performance Outcomes Achieved
High School (HS) diploma/GED	9,008	0
Entered postsecondary training	758	1
Entered employment	1,407	98
Retained employment	1,305	29

**California Department of Education
Adult Education and Family Literacy Act P. L. 105-220
Workforce Investment Act, Title II Specific Assurances**

In addition to the General Assurances of the California Department of Education (CDE), which are located at (<http://www.cde.ca.gov/fq/fo/fm/generalassur2012.asp>), the duly authorized agent of the applicant certifies that the applicant will comply with the following Workforce Investment Act (WIA) Title II specific program requirements:

1. Funds made available for adult education and literacy activities under this subtitle shall supplement and not supplant other State or local public funds expended for adult education and literacy activities. (Workforce Investment Act of 1998, Title II §241) The duly authorized agent of the applicant agrees to submit the following for approval by the CDE Adult Education Office before grant funds can be distributed:
 - a. Program Budgets by the due date specified in the Grant Award notification. For additional information, see the *Workforce Investment Act Title II, Adult Education and Family Literacy Act, Section 225, Section 231, and English Literacy and Civics Education, Program Reapplication Guidelines and Requirements 2011-12 (Workforce Investment Act of 1998, Title II §232)*
 - b. Memorandums of Understanding for cooperative arrangements for services (*EDGAR §80.37(a)(1-4)(b)(1-3), and Workforce Investment Act of 1998, Title II §232*).
 2. The duly authorized agent of the applicant agrees to fulfill all data collection, surveys, and reporting requirements in an accurate and timely manner (*Workforce Investment Act of 1998, Title II §212 and 224(b), and California State Plan, Chapter 5.*)
 - a. Data Foundation and Structure: The duly authorized agent of the applicant agrees to use the state's standardized policies and procedures for intake, placement, goal setting, and follow-up surveys. The agent agrees to implement an assessment and attendance tracking system using the Comprehensive Adult Student Assessment System (CASAS) and TOPSpro™ Enterprise software for collecting student information. The duly authorized agent of the applicant agrees that students must attend a minimum of 12 hours before being considered as participating students (*National Reporting System (NRS) Implementation Guidelines, Chapter 1. NRS Measures*)
- Note: The CDE will provide TOPSpro™ Enterprise software, assessment materials, and staff training to all funded agencies free of charge. If your agency does not use TOPSpro™ Enterprise, your data system must be capable of producing all data elements included in TOPSpro™ Enterprise and in the same sequence as the TOPSpro™ Enterprise reports (Workforce Investment Act of 1998, Title II Sec. 212 and 224(b), and California State Plan, Chapter 5.0).**
- b. Data Collection, Verification, Analysis, and Reporting: The duly authorized agent of the applicant agrees to have staff with clear responsibility for data collection, data entry, attestation, and procedures for correcting errors and resolving missing data. The duly authorized agent of the applicant agrees to use student data for program management and improvement such as evaluating learning gains, teacher performance, and meeting student needs.
 3. Professional Development: The duly authorized agent of the applicant agrees to train staff that will be responsible for general NRS requirements including assessment and follow-up policy procedures, and student goal-setting. Staff must receive training on data entry and collection procedures, interpreting reports, the process and ability to conduct follow-up surveys, and data matching procedures.
 4. Federal law Title 34 *Code of Federal Regulations* 80.21 (i) requires that any interest earned by grantees on federal dollars be returned to the U.S. Department of Education (ED) if the amount is in excess of \$100. Grantees shall promptly, but at least quarterly, remit interest earned on advances to the California Department of Education for return to the ED.

5. The duly authorized agent of the applicant agrees to be bound by *Federal law Title 34 Code of Federal*

Regulations 80.25 (b), Title 34 Code of Federal Regulations 80.25 (g)(2), and Title 34 Code of Federal Regulations 76.534 that state local grantees may collect fees subject to the following conditions: income generated by fees must be used only for allowable costs specified in the grant and the fees collected must be tracked and reported to the CDE by the grantee in grantee's final expenditure claim report. Applicant's agent also acknowledges that collected fees may not be used toward meeting the match, cost sharing, or Maintenance of Effort requirements of the grant.

6. The duly authorized agent of the applicant agrees to use not less than 95 percent of its approved funds for carrying out adult education and literacy activities. The remaining amount, not to exceed 5 percent, shall be used for planning, administration, personnel development, and interagency coordination. In cases where the cost limits are too restrictive to allow for adequate planning, administration, personnel development, and interagency coordination, the CDE will negotiate with the agency an adequate level of funds to be used for non-instructional purposes (*Workforce Investment Act of 1998, Title II, Section 233*).

7. The duly authorized agent of the applicant agrees to meet state imposed program participation criteria that include, but are not limited to, attendance at CDE-sponsored training related to CASAS, budget development, and program development (*California State Plan 6.1.13*).

8. The duly authorized agent of the applicant agrees to document procedures and guidelines pertaining to their standardized assessment practices. Adult literacy providers may use the *Workforce Investment Act, Title II Adult Education and Family Literacy Act Assessment Policy Guidelines* as the policy foundation, in conjunction with Test Administration Manuals, *CASAS Administration Manual for California*, and regional training workshops to provide a basis for development of local procedures, guidelines, and implementation practices.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the CDE General Assurances and the above specific assurances and requirements. It is also understood that failure to comply will result in withholding or forfeiture of Workforce Investment Act Title II funding.

Name of Applicant: _____

Name of Program: _____

Printed Name and Title of Authorized Representative: _____

Signature: _____ Date: _____