

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
2010-11

Application must be submitted online, and
two signed hard copies must be postmarked by:
April 2, 2010 to:

Workforce Investment Act, Title II Program
Adult Education Office
California Department of Education
1430 N Street, Suite 4503
Sacramento, CA 95814

For further information:
Call 916-322-2175

<http://www.cde.ca.gov/sp/ae/>

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Purpose

California adult education and literacy programs serve over 1.2 million California residents. These adults include long-term citizens and recent immigrants who need English literacy and numeracy skills for gainful employment and economic self-sufficiency. In addition, to participate effectively in the education, employment, and civic opportunities in this country, adult English language learners must master English and be able to understand and navigate American institutions and systems, such as government, education, workplace, banking, and health care.

The Workforce Investment Act (WIA) Title II, Adult Education and Family Literacy Act Section 225, Section 231, and English Literacy and Civics Education (EL Civics) provide supplemental funding to support the adult education and literacy instruction necessary to serve California's adults. The Act 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 EL Civics. These grants primarily focus on learners who function at or below National Adult Literacy Survey (NALS) Levels 1 and 2, or score at or below 235 on the Comprehensive Adult Student Assessment System (CASAS) reading and listening tests. A secondary focus is on learners whose goal is to obtain their high school diploma or General Education Development (GED) certificate. An additional focus is on adults attempting to master the civic institutions and citizenship preparation skills necessary to become successful participants of our society.

Eligible Applicants

For the 2010-11 grant year, eligibility is limited to applicants currently approved and continuing with the WIA Title II Section 225, Section 231, and EL Civics programs. Agencies must be in good standing with the California Department of Education (CDE), Adult Education Office (AEO) from the prior grant year.

Criteria For Scope Of Services

Programs will be monitored and reviewed according to the following criteria, as specified in the WIA Title II Sections 225, Section 231, EL Civics, and in Section 6.1 of the California State Plan for Adult Education 1999-2011:

1. Local providers must 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™) 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

Agencies not approved in the prior program year will **not** be permitted to apply for a new program section. **Payment points may only be awarded in programs for which an agency has been approved.** Payment points generated in 2010-11 will be used **as the basis** for the funding allocation in 2012-13

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 and ESL (VABE, VESL), and all are under one resource code.

Section 231 Programs: Agencies approved in the prior program year for Section 231 funding are now permitted to apply for either or both Resource Code categories as exhibited in the table below. All eight 231 Program Focus Areas are now combined under two Resource Code categories.

Agencies may offer programs and earn payment points for any program focus area within both Section 231 Resource Codes although funding will be awarded only to the Resource Code(s) that generated payment points in 2008-09.

EL Civics Programs: Both Civic Participation and Citizenship Preparation are combined under the same resource code.

Please note: Agencies may offer Citizenship Preparation under Section 231 and/or EL Civics. However, they must attend CASAS training to administer the Citizenship Interview test.

Resource Code/PCA	Program Focus Areas
Section 225	
3940/13971	Adult Basic Education (ABE) English as a Second Language (ESL) Vocational ESL (VESL) Vocational ABE (VABE) Adult Secondary Education (ASE) General Education Development (GED)
Section 231	
3905/14508	Adult Basic Education (ABE) English as a Second Language (ESL) ESL-Citizenship Vocational ESL (VESL) Vocational ABE (VABE) Family Literacy
3913/13978	Adult Secondary Education (ASE) General Education Development (GED)
English Literacy and Civics Education	
3926/14109	Civic Participation Citizenship Preparation

Program Focus Areas Defined

Adult Basic Education (ABE)

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 and life skills taught; and how these skills will be integrated into a competency-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 (ESL)

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 Literacy (VESL or VABE)

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 also provide students with the necessary basic skills, cognitive skills, and personal and interpersonal qualities important to obtain and retain employment.

ESL-Citizenship

This literacy curriculum is designed to use ESL as a method and citizenship as the content. The program uses ESL methodologies and citizenship preparation material to prepare learners to take and pass the United States Citizenship and Immigration Services (USCIS) written and oral citizenship test. Note: **Applicants may choose to provide citizenship classes under either Section 231 ESL Citizenship or EL Civics Citizenship Preparation Education; however, they must attend CASAS training to administer the Citizenship Interview test.**

Adult Secondary Education (ASE or GED)

Adult secondary subjects consist of courses in mathematics, reading, history, science, government, language arts, and other courses leading to a high school diploma. The GED is a high school equivalency test developed by the GED Testing Service of the American Council of Education and approved by the CDE. The test is composed of five sub-tests covering the areas of writing skills, science, social studies, literature and the arts, and mathematics.

Family Literacy (ABE or ESL)

Family Literacy programs provide services of sufficient intensity and duration to promote sustainable changes in a family, and integrate all of the following activities: (1) interactive

literacy activities between parents and their children; (2) training for parents on becoming the primary teacher for their children and participating as full partners in the education of their children; (3) parent literacy training that leads to economic self-sufficiency; and (4) an age-appropriate education to prepare children for success in school and life experiences.

EL Civics - Citizenship Preparation Education

This program's focus is on literacy skills and uses ESL methodologies and citizenship preparation material to prepare learners to take and pass the USCIS 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.**

EL Civics - 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. Civic Education is an educational program that emphasizes contextualized instruction on the rights and responsibilities of citizenship, naturalization procedures, civic participation, and U.S. history and government to help learners acquire the skills and knowledge to become active and informed parents, workers, and community members.

Reapplication Components

1. Superintendent or Chief Executive Officer (CEO) 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 CEO.
2. Program Administration
Provide the name and contact information of the person most responsible for directing the agency's WIA Title II federal grant and each program. This could be a person from the site where the program is implemented and 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 statewide performance goals for the eleven educational functioning levels included in the National Reporting System (NRS). This comparison chart will provide information about how well the agency performed during the previous year against the statewide performance and the negotiated performance goals. This will also assist agency staff in targeting areas of program improvement that can result in increased learner performance.
4. Applicant Agency Federal Table 5
The NRS also reviews California's Core Performance Outcomes on Table 5. This comparison chart will show the agency's Core Performance Outcomes achieved and the totals for each outcome achieved statewide. The performance outcomes that are reported each year include:
 - High School diploma/GED completion
 - Entered postsecondary training
 - Entered employment
 - Retained employment

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:

1. Data Collection and Reporting

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

- TOPSpro™ 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

2. 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

EL Civics program providers throughout the state have created and developed a list of the approved Civics Education language and literacy objectives. The selection has been expanded with many more agency-created objectives and additional assessment plans. Agencies will be asked to select three to six objectives from this list that will form the basis of their instructional program. Agencies must use the online system 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 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.

3. Record Keeping

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

- TOPS student entry form
- TOPS student update form
- CASAS pretest
- CASAS post-test
- EL Civics Civic Participation: Representative samples of additional assessments and portfolios

4. Payment Points

Funding is based on generated payment points, which include learning gains from Sections 225 and 231 programs, and Student Outcome Data Sets (SODS) from EL Civics programs, earned in the 2008-09 grant year. Completed SODS must include an entry and update record, a pre- and post-test, and passing an additional assessment test.

A student must receive a minimum of 12 hours of instruction to be eligible for one or more payment points. 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. Government and History; or Oral Citizenship Interview.

When using CASAS tests such as ECS, Life and Work, Workforce Learning Systems, and POWER, payment points are based on the first accurate pre-test and the highest post-test that produces a scaled score. CASAS appraisals are not considered valid pre- or post-tests but are recommended for proper student placement. The highest test may or may not be the last test. Payment points from pretests and post-tests are achieved when students earn a significant learning gain or complete two levels, as follows:

Significant Learning Gain:

- Pretest score 210 or below—five point gain or greater on CASAS post-test
- Pretest score 211 or higher—three point gain or greater on CASAS post-test
- Learners with developmental disabilities: POWER assessment—need three points or greater scaled score gain

Completing Two Levels:

- Post-test score indicates student completed two levels as defined in the chart entitled “California Benchmark Levels.” Refer to this chart in the CASAS Administration Manual for the CASAS scaled score ranges associated with each level.

5. Number of Achievable Payment Points

Enrolled students are able to achieve up to two or five payment points depending upon the program focus area.

ABE and ESL: (Including Family and Vocational Literacy and ESL-Citizenship)

Each student may achieve up to two payment points as follows:

1. Significant learning gain
2. Completing two levels

ASE or GED:

A Gain of two payment points from pretests and post-tests is possible if a student functions at a pretest score at or below 235 and a post-test score at 246 or above. An agency may receive up to three payment points per student within the program year as follows:

1. Significant learning gain
2. Completing two levels
3. Attaining a high school diploma or a GED certificate

EL Civics - Citizenship Preparation

Each student may achieve up to four payment points as follows:

1. Significant learning gain
2. Completing two levels
3. CASAS U.S. Government and History test
4. Oral Citizenship Interview test

EL Civics - Civic Participation

Each student may gain up to five payment points as follows:

1. Significant learning gain
2. Completing two levels
3. Completing and passing up to three CDE-approved additional assessments. (Additional assessments must be preceded by a minimum of 30 hours of scheduled instruction.)

6. 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 five percent, shall be used for planning, administration, personnel development, and interagency coordination. In cases where the costs 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 Web site at <http://www.cde.ca.gov/fg/ac/sa>). Indirect costs and items in categories 6000 and above are not allowed under federal funding. (*Workforce Investment Act of 1998, Title II, Section 233; Code of Federal Regulations, Title 34, Part 461, Section 461.40*)

After the initial budget has been approved by the CDE, any line item changes 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

7. 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).

Grant reimbursements by the CDE are contingent upon satisfactory submittal and review of all program deliverables. Agencies are required to submit budgets and expenditure reports, and quarterly data 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). Also, all assessments and expenditures must be fully documented and available for review by the CDE.

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

Please 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 United States Department of Education. Grantees shall promptly, but at least quarterly, remit to the CDE all interest earned in excess of \$100 for return to the United States Department of Education.

Appeals Process

Applicants that receive disapproval of their application and wish to appeal that decision must do so in writing within ten 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 4503
Sacramento, CA 95814

The CDE must receive an applicant's letter of appeal, with an original signature by the agency official who signed the reapplication within ten 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 Reapplication. 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 Assistant Superintendent of the Secondary, Career, and Adult Learning 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 Assistant Superintendent will be in compliance with the WIA Title II, Adult Education Family Literacy Act and is the final administrative action afforded the appeal.