

KENTUCKY ADULT EDUCATION



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Request for Application Guidelines

Including General Information and Grant Requirements

Multiple Fiscal Years
(July 1, 2018-June 30, 2021)

Submission Deadline:
March 2, 2018
5:30 p.m. (Eastern Time)

Kentucky Adult Education Skills U
Council on Postsecondary Education
1024 Capital Center Drive, Suite 250
Frankfort, KY 40601

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**Kentucky Adult Education Skills U
Kentucky Council on Postsecondary Education**

**General Information
Multiple Fiscal Years (July 1, 2018 – June 30, 2021)**

***This grant application initially covers the following period: Fiscal Year 2019
July 1, 2018 - June 30, 2019***

ADULT EDUCATION AND LITERACY SERVICES:

*Adult Education, Literacy, English Language Acquisition, Workforce Preparation,
Family Literacy, Integrated English Literacy and Civics Education, Integrated Education and Training, and
Workplace Adult Education and Literacy*

Request for Application (RFA): January 12, 2018

Bidder's Conference: **January 29, 2018
1:30 – 3:30 p.m., EST
Kentucky Association of Counties (KACO)
400 Englewood Drive
Frankfort, KY 40601
[Directions to KACO](#)**

The purpose of the Bidder's Conference is to answer questions to clarify the RFA requirements and provide supplemental information to assist potential eligible applicants in submitting responses to the RFA. Attendance at the conference is not mandatory; however, interested parties are strongly encouraged to attend.

Letter of Intent to Apply: Deadline is February 1, 2018 (Letter of Intent to Apply is optional, but helpful to the review process in determining the resources necessary to efficiently conduct application reviews.)

Applications Due: **March 2, 2018, 5:30 p.m. EST**

**Conditionally approved (pending Kentucky's Council on Postsecondary Education approves); grant award notifications will be made no later than
May 25, 2018.**

**Kentucky Adult Education Skills U, Kentucky Council on Postsecondary Education
1024 Capital Center Drive · Suite 250 · Frankfort, KY 40601
www.KYAE.ky.gov**

The Kentucky Adult Education Skills U, Kentucky Council on Postsecondary Education, does not discriminate on the basis of race, sex, color, national origin, religion, sexual orientation, gender identity, age, political affiliation, or against otherwise qualified persons with disabilities. The policy permits appropriate employment preferences for veterans and specifically prohibits discrimination against veterans.

**COMPETITION FOR
Title II, Adult Education and Family Literacy Act (AEFLA) Grant Funds**

Introduction:

Commonwealth of Kentucky Combined State Workforce Innovation and Opportunity Act (WIOA) Plan

“Under the Workforce Innovation and Opportunity Act (WIOA), the Governor of each State must submit a Unified or Combined State Plan to the U.S. Secretary of Labor that outlines a *multi-year* workforce development strategy for the State’s workforce development system.

The publicly funded workforce system is a national network of Federal, State, regional, and local agencies and organizations that provide a range of employment, education, training, and related services and supports to help all jobseekers secure good jobs while providing businesses with the skilled workers they need to compete in the global economy. States must have approved Unified or Combined State Plans in place to receive funding for core programs. WIOA reforms planning requirements, previously governed by the Workforce Investment Act of 1998 (WIA), to foster better alignment of Federal investments in job training, to integrate service delivery across programs and improve efficiency in service delivery, and to ensure that the workforce system is job-driven and matches employers with skilled individuals.

One of WIOA’s principal areas of reform is to require States to plan across core programs and include this planning process in the Unified or Combined State Plans. This reform promotes a shared understanding of the workforce needs within each state and fosters development of more comprehensive and integrated approaches, such as career pathways and sector strategies, for addressing the needs of businesses and workers. Successful implementation of many of these approaches called for within WIOA requires robust relationships across programs. WIOA requires states and local areas to enhance coordination and partnerships with local entities and supportive service agencies for strengthened service delivery, including through Unified or Combined State Plans.” Source: *WIOA State Plan for the Commonwealth of Kentucky*.

Workforce Innovation and Opportunity Act for the Commonwealth of Kentucky:
<https://www2.ed.gov/about/offices/list/osers/rsa/wioa/state-plans/ky.pdf>

Workforce Innovation and Opportunity Act for Title II of the Commonwealth of Kentucky State Plan: <http://www.kyae.ky.gov/educators/wioa/stateplanwmods.pdf>

**Adult Education and Family Literacy Act (AEFLA), WIOA and Kentucky Senate Bill 1, 2000
KRS 151B.055 and 164.003(2)(f)**

Grant Application:

Kentucky Adult Education (KYAE) Skills U is accepting applications from eligible applicants to develop, implement, and improve adult education and literacy activities within the state by establishing and/or operating programs to provide a comprehensive service model for adult education and literacy services, including programs that provide such activities concurrently. This funding is made available through the Workforce Innovation Opportunity Act (WIOA), Title II, Adult Education and Family Literacy Act (AEFLA). The Request for Application (RFA), instructions and general information apply to all of the following separate grant opportunities:

Allowable Use of Funds:

- Adult Education and Family Literacy Act (AEFLA), *WIOA, Section 231*
- Corrections Education and Other Institutionalized Individuals, *WIOA, Section 225*
- Integrated English Literacy and Civics Education (IELCE), *WIOA, Section 243*

Purpose of WIOA and AEFLA:

Purpose (Section 2.) of the Title I, Workforce Innovation and Opportunity Act (WIOA) includes the following:

- 1. To increase, for individuals in the United States, particularly those individuals with barriers to employment, access to and opportunities for employment, education, training, and support services they need to succeed in the labor market.*
- 2. To support the alignment of workforce investment, education, and economic development systems that are comprehensive, accessible, and ensure that workforce investment activities meet the corresponding performance accountability measures and achieve sustained fiscal integrity.*

Purpose (Section 202.) of Title II, Adult Education and Family Literacy Act (AEFLA) of WIOA:

Create a partnership among the Federal Government, States, and localities to provide, on a voluntary basis, adult education and literacy activities, in order to:

- (1) Assist adults to become literate and obtain the knowledge and skills necessary for employment and economic self-sufficiency;*
- (2) Assist adults who are parents or family members to obtain the education and skills that:*
 - A. Are necessary to becoming full partners in the educational development of their children; and*

- B. Lead to sustainable improvements in the economic opportunities for their family;*
- (3) Assist adults in attaining a secondary school diploma and in the transition to postsecondary education and training, including through career pathways; and*
- (4) Assist immigrants and other individuals who are English language learners (ELLs) in:*
 - A. Improving their*
 - (i) reading, writing, speaking, and comprehensive skills in English; and*
 - (ii) mathematics skills;*
 - B. Acquiring an understanding of the American system of Government, individual freedom, and the responsibilities of citizenship.*

Adult Education and Family Literacy Act (AEFLA), WIOA, Section 231:

Each eligible provider receiving a grant or contract must use the awarded funding to establish and/or operate programs to provide adult education and literacy activities, including programs that provide such activities concurrently. The term “adult education and literacy activities” is defined as academic standards-based programs, activities, and services outlined in WIOA Title II Section 203(2); 34 CFR 463.30:

- 1) adult education and literacy activities;*
- 2) English language acquisition (ELA) activities;*
- 3) family literacy activities;*
- 4) workforce preparation activities;*
- 5) workplace adult education and literacy activities;*
- 6) integrated English literacy and civics education (IELCE) services; or*
- 7) integrated education and training (IET).*

In Kentucky, grantees shall focus on adult education and literacy and English language acquisition education services that are workforce preparation/essential skills-contextualized, including high school equivalency (HSE) diploma preparation; integrated education and training, including Accelerated Opportunity career pathway model; and integrated English literacy and civics education services.

Correctional Adult Education and Family Literacy Act (AEFLA), WIOA, Section 225:

Each eligible provider receiving a grant must use the awarded funding to establish or operate programs to provide education programs for criminal offenders in correctional institutions and individuals in other institutionalized settings, including academic programs for:

- 1) adult education and literacy activities;*
- 2) special education, as determined by the eligible agency;*
- 3) secondary school credit (High School Equivalency preparation);*
- 4) integrated education and training;*
- 5) career pathways;*
- 6) concurrent enrollment;*
- 7) peer tutoring; and*

- 8) *transition to re-entry initiatives and other post-release services with the goal of reducing recidivism.*

In Kentucky, grantees will focus on adult education and literacy and English language acquisition education services that are workforce preparation/essential skills-contextualized, including HSE diploma preparation, and concurrent enrollment (where feasible). The term *correctional institution* is defined as any:

- 1) *prison;*
- 2) *jail;*
- 3) *reformatory;*
- 4) *work farm;*
- 5) *detention center; or*
- 6) *halfway house, community-based rehabilitation center, or any other similar institution designed for the confinement or rehabilitation of criminal offenders.*

The term “criminal offender” is defined as any individual who is charged with or convicted of any criminal offense. Services must be provided to individuals who are likely to leave the correctional institution within five (5) years of participation in the program.

Local institutionalized classes must have the support of the warden/jailer and other administrative officers, and have the following available:

1. A description of correctional educational services (in both jails and/or state correctional facilities) shall be established and confirmed with a signed (by jailer/warden) agreement that is submitted with the eligible applicant’s application.
2. Provision of services at local and full-service jails that do not meet the minimum criteria (above) are made at the discretion of the local adult education provider.

Integrated English Literacy and Civics Education Program, Adult Education and Family Literacy Act (AEFLA), WIOA, Section 243:

The Integrated English Literacy and Civics Education (IELCE) program is a separate, competitive grant funding source under Title II; however, all rules and regulations apply, including the same grant announcement and application process detailed in 34 CFR 463.

The goal of Section 243 is to provide services and activities that—

- (1) *prepare adults who are English language learners (ELL) for, and place such adults in, unsubsidized employment in in-demand industries and occupations that lead to economic self-sufficiency; and*
- (2) *integrate with the local workforce development system and its functions to carry out the activities of the program.*

Funds in this category will be used to provide educational programs for adults (including professionals with degrees and credentials in their native countries) that enable such adults to achieve competency in English language and acquire the basic and more advanced skills needed to function effectively as parents, workers, and citizens in the United States.

Programs must include academic instruction that is workforce preparation/essential skills-contextualized, English language acquisition activities, integration of rights and responsibilities of citizenship and civic participation, and access to integrated education and training programming.

Integrated Education and Training (IET) Adult Education and Family Literacy Act (AEFLA), WIOA, Section 203 (12):

Integrated Education and Training is a service approach that provides academic instruction that is workforce preparation/essential skills- and occupationally- (for specific occupational sector) contextualized concurrently (dually enrolled) with workforce/occupational skills training for a specific occupation or occupational cluster for the purpose of educational and career advancement.

NOTE: It is preferred workforce/occupational skills training be secured through funds other than AEFLA, Title II, and/or through leveraging partnerships of existing workforce/occupational training agencies (e.g., KCTCS, WIOA-eligible provider).

According to Title II, Section 241(a) and KYAE Skills U, funds made available for adult education and literacy activities shall supplement and not supplant other State or local public funds expended for adult education and literacy activities. Supplement, not supplant, means the federal funds are intended to augment or increase, not replace, monies that would have been used if the federal funds had not been available.

Grant Expectations

Eligible applicants will be required to address the following based on the service delivery area for which they apply.

Performance Metrics for Funding AEFLA, Title II Programs:

Using three (3) most recent years of data to illustrate how performance measures will be met.

An eligible applicant that has been funded under Title II, AEFLA must provide performance data required under Section 116 – Performance Accountability to demonstrate past effectiveness.

a) *Section 116 Performance and Accountability System (2.(A)(i)(I – VI):*

- I. The percentage of program participants who are in unsubsidized employment during the second quarter after exit from the program;*
- II. The percentage of program participants who are in unsubsidized employment during the fourth quarter after exit from the program;*
- III. The median earnings of program participants who are in unsubsidized employment during the second quarter after exit from the program;*
- IV. The percentage of program participants who obtain a recognized postsecondary credential, OR a secondary school diploma or its recognized equivalent (subject to clause (iii)), during participation in or within one year after exit from the program; AND*
- V. The percentage of program participants who, during a program year, are in an education or training program that leads to a recognized postsecondary credential or employment and who are achieving measurable skill gains toward such a credential or employment.*

An eligible applicant that has not been previously funded under Title II, AEFLA must provide performance data to demonstrate its past effectiveness in serving basic skills deficient eligible individuals, including evidence of its success in achieving outcomes listed above.

13 Required Considerations for Funding AEFLA, Title II Programs:

- (1) The degree to which the eligible applicant would be responsive to:
 - a) regional needs as identified in the local workforce development plan; and
 - b) serving individuals in the community who were identified in need of adult education and literacy activities, including individuals who:
 - i. have low levels of literacy skills; or
 - ii. are English language learners;*
- (2) The ability of the eligible applicant to serve eligible individuals with disabilities, including eligible individuals with learning disabilities;*
- (3) The past effectiveness of the eligible applicant in improving the literacy of eligible individuals, especially those individuals who have low levels of literacy;*
- (4) The extent to which the eligible applicant demonstrates alignment between proposed activities and services and the strategy and goals of the local workforce board plan under Section 108 of the Act, as well as the activities and services of the one-stop partners;*
- (5) Whether the eligible applicant's program:
 - a) is of sufficient intensity and quality and based on the most rigorous research available so that participants achieve substantial learning gains; and
 - b) uses instructional practices that include the essential components of reading instruction;*
- (6) Whether the eligible applicant's activities, including whether reading, writing, speaking, mathematics, and English language acquisition instruction delivered by the eligible applicant are based on the best practices derived from the most rigorous research available, including scientifically valid research and effective educational practice;*
- (7) Whether the eligible applicant's activities effectively use technologies, services, and delivery systems, including distance education, in a manner sufficient to increase the amount and quality of learning and how such technologies, services, and systems lead to improved performance;*
- (8) Whether the eligible applicant's activities provide learning in context, including through integrated education and training, so that an individual acquires the skills needed to transition to and complete postsecondary education and training programs, obtain and advance in employment leading to economic self-sufficiency, and to exercise the rights and responsibilities of citizenship;*

- (9) *Whether the eligible applicant's activities are delivered by well-trained instructors, counselors, and administrators who meet any minimum qualifications established by the State where applicable, and who have access to high-quality professional development, including through electronic means;*
- (10) *Whether the eligible applicant activities coordinate with other available education, training, and social service resources in the community, such as by establishing strong links with elementary schools and secondary schools, postsecondary educational institutions, institutions of higher education, Local Workforce Development Boards (LWDB), one-stop centers (Kentucky Career Centers), job training programs, and social service agencies, business, industry, labor organizations, community-based organizations, nonprofit organizations, and intermediaries for the development of career pathways;*
- (11) *Whether the eligible applicant's activities offer flexible schedules and coordination with Federal, State, and local support services (such as child care, transportation, mental health services, and career planning) that are necessary to enable individuals, including individuals with disabilities or other special needs, to attend and complete programs;*
- (12) *Whether the eligible applicant maintains a high-quality information management system that has the capacity to report measurable participant outcomes (Section 116) and to monitor program performance; and*
- (13) *Whether the local areas in which the eligible applicant is located have a demonstrated need for additional English language acquisition programs and civics education programs.*

Additional Grant Requirements for Funding AEFLA, Title II Programs:

- Service Area Selection
- Demonstrated Effectiveness
- 13 Considerations
- Services Commitments:
 - Year-Round Services
 - High-Need County Services
 - County-Level Services
 - Location/Site-Specific Services
 - Main Location(s)/Site(s) (for each county and site within the service area)
 - Age Appropriate Environment
- Program Design: Graphic and Narrative Illustration
- Integrated Education and Training Services
- Accelerating Opportunity (AOKY) and AOKY Fast Track Services
- Budget Narrative and Budget

A separate application is required for those service areas eligible to apply for Integrated English Literacy Civics Education Programs:

- Service Area Selection
- Demonstrated Effectiveness
- Program Design: Narrative Illustration
- Budget Narrative and Budget

Terms and Conditions:

- 1) The completion and submission of an application for AEFLA and KYAE Skills U state grant funds does not commit KYAE Skills U to make an award.
 - 2) KYAE Skills U may suspend and/or terminate an outstanding grant pursuant to its own grant-making rule(s) or any applicable federal or state regulation or requirement.
 - 3) KYAE Skills U reserves the right to issue addenda and/or amendments subsequent to the issuance of the grant guidelines or to rescind the grant guidelines.
 - 4) KYAE Skills U shall not be liable for any costs incurred in the preparation of applications in response to the grant guidelines. The applicant agrees that all costs incurred in developing the application are the applicant's sole responsibility.
 - 5) KYAE Skills U may enter into negotiations with an applicant and adopt a firm funding amount or request other revisions of the applicant's proposal that may result from negotiations.
 - 6) Grant awards are subject to the applicable requirements of AEFLA [codified at 29 U.S.C. § 3271 et seq. and its implementing regulations at 34 CFR Parts 462 and 463, applicable provisions of EDGAR at 34 CFR Parts 76, 77, 79, 81, 82, 86, 99, and applicable provisions at 2 CFR Parts 200, 3474, 180 and 3485] and Kentucky state laws and regulations.
 - 7) Grant awards are subject to the applicable requirements of the Commonwealth of Kentucky State Plan.
 - 8) If there are any conflicts between the terms and conditions of the grant guidelines and any applicable federal or local law or regulation, or any ambiguity related thereto, then the provisions of the applicable law or regulation shall control and it shall be the responsibility of the applicant to ensure compliance.
 - 9) All funding is available as a cost reimbursable grant.
 - 10) The submission of an application is 1) an acknowledgement of the financial administrative and programmatic capabilities to meet the terms and conditions of the grant; and 2) a willingness to comply with the contractual obligations of the grant, including the implementation guidelines.
 - 11) KYAE Skills U will evaluate application based on the scoring rubric. Each eligible applicant is responsible for submitting all relevant, factual, and correct information with their application to enable the evaluative reviewer to afford each eligible applicant the maximum score based on available data/information submitted by the eligible applicant. Past eligible applicant performance may be considered in the award of this contract. Eligible applicants with a record of poor performance in the last twelve (12) months may be found non-responsible and ineligible for award.
-

GRANT REQUIREMENTS

Note: Law requires that Federal language, both law and regulations, be delineated from other language. It is italicized throughout these documents.

Eligible Applicants (Title II, AEFLA of WIOA Section 203(5); CFR 463.23):

Direct and Equitable:

All applicants will receive direct and equitable access required by WIOA Section 231 (C). The competitive grant process ensures that—

- 1) All eligible providers will have direct and equitable access to apply and compete for grants.*
- 2) The same grant announcement and application processes are used for all eligible applicants in the State.*
- 3) In awarding grants under this section, all applicants must consider the 13 considerations identified in WIOA Title II, Sec. 231(e).*

Financial Management

Not less than **80%** of funding shall be expended for carrying out adult education and literacy activities. The remaining amount, not to exceed **20%**, may be used for administrative costs. Administrative costs are those non-instructional costs that are considered *reasonable, necessary, and allowable costs* associated with overall project management. Of the 20%, operating costs **shall not exceed 5%**. Examples of operating costs are utilities, equipment lease, etc. KYAE Skills U reserves the right to review and limit operational charges to KYAE Skills U grants. All operations' budgets are subject to KYAE Skills U approval. KYAE Skills U will critically review any budgeted operations charges for necessity, reasonableness, and whether they are allocable to the grant. Indirect costs, e.g., attorney fees, accounting services, etc. may not be charged to this grant.

In cases where the cost limits described are too restrictive to allow for adequate planning, administration, and interagency coordination, the eligible applicant shall negotiate with KYAE Skills U in order to determine an adequate level of funds to be used for non-instructional purposes. (Workforce Innovation and Opportunity Act [WIOA] Title II Section 233, 241(b); 34 CFR 463.25-.26). Any misappropriation or misuse of funds may be cause for canceling the contract.

Local Administrative Costs (34 CFR, 463.26):

An eligible provider receiving a grant or contract under this part may consider costs incurred in connection with the following activities to be administrative costs:

- (a) Planning;*
- (b) Administration, including carrying out performance accountability requirements;*
- (c) Professional development;*
- (d) Providing adult education and literacy services in alignment with local workforce plans, including promoting co-enrollment in programs and activities under title I, as appropriate; and*
- (e) Carrying out the one-stop partner responsibilities described in § 678.420, including contributing to the infrastructure costs of the one-stop delivery system.*

All awarded funds will be allocated on a cost reimbursement basis. All grantees will be reimbursed for expenditures, as approved, by requesting reimbursement through the KYAE Skills U web-based, financial budgeting system. Requests for reimbursement should be submitted monthly and all documentation must be available upon request.

All charges must be reported for the current period. Grant reimbursements are contingent upon satisfactory completion and submittal of all program deliverables.

Grantees shall ensure auditable and adequate records are maintained which support the expenditure of all funds received through a contract with KYAE Skills U. Programs will submit to periodic fiscal audits, adhere to assurances, and submit to periodic program review, monitoring, and/or technical assistance on-site visits.

Equipment (Purchase, Inventory, and Disposal):

Approved applicants will have written policies and procedures for purchasing and expenditures to support allowable activities. All equipment purchases must be consistent with the requests in the approved budget. No single-use purchases over \$5,000 will be allowed. Inventory is subject to periodic program review and monitoring. Programs will respond in a timely manner to any request for information from the KYAE Skills U.

All equipment purchased with KYAE Skills U funding remains the property of KYAE Skills U and is subject to the rules and regulations of KYAE Skills U, through the life and disposition of said property. If equipment purchased with federal funds becomes unusable or no longer needed, the local entity must notify the KYAE Skills U office. If the equipment becomes unusable, the equipment may be disposed in accord with local policies/procedures. If the equipment is usable but no longer needed, the KYAE Skills U office will assign the equipment to another KYAE Skills U provider. It will be the responsibility of the two local providers to complete the transfer.

An inventory list of all equipment purchased with KYAE Skills U funds must be maintained and equipment records must include certain items.

Record Retention:

The federal retention period is three (3) years for all financial and programmatic records. The starting date of retention begins on the first day of the next fiscal year. The retention period for equipment records starts on the date of disposition or replacement or transfer.

Examples of documents programs **must** retain (not an exhaustive list) are:

- Local application forms;
- Signed statements for data matching and other data sharing agreements;
- Diagnostic results, e.g., TABE, CASAS, Wonderlic, etc.;
- Attendance records; and
- Fiscal documentation.

Application Review Process

Eligibility Determination:

All applications received will be screened to ensure they have met the minimum eligibility requirements. Proposals that meet the following minimum technical requirements will be considered eligible for further evaluation:

- 1) The application was submitted by an eligible organization.
- 2) The application was received by the submission deadline.
- 3) The application was submitted in the required format with all required information.
- 4) The application included original signatures.
- 5) The application included required documentation of Past Demonstrated Effectiveness.

Local Workforce Board Review:

Upon eligible application submission to KYAE Skills U on March 2, 2018, KYAE Skills U will send the appropriate eligible applications to the appropriate Local Workforce Board with specific instructions pertaining to the review and its expectations. Eligible applicants are NOT required to have LWBs review applications prior to their submission.

Local board review of Title II applications is to ensure that applications for providing adult education and literacy activities are consistent with local workforce board plans (WIOA, 107(d)(11)(B)(i)(I)). While states have flexibility under this regulation to design processes for local board review of local AEFLA applications, those processes must reflect the following key AEFLA requirements:

- *All eligible applicants must have direct and equitable access to apply and compete for grants or contracts (section 231(c)(1) of WIOA and 34 CFR § 463.20(c)(1)).*
- *The same application process must be used for all eligible applicants in the state or outlying area (section 231(c)(2) of WIOA and 34 CFR § 463.20(c)(2)).*
- *The Local Board must review applications submitted to the eligible agency by eligible applicants to determine whether they are consistent with the approved local plan (section 107(d)(11)(B)(i)(I) of WIOA and 34 CFR § 463.21(b)(1)).*
 - *If a local workforce board determines that an application is not consistent with the local workforce plan, the Local Board must make recommendations to the eligible agency (KYAE Skills U) to promote alignment with the approved local plan (section 107(d)(11)(B)(i)(II) of WIOA and 34 CFR § 463.21(b)(2); and*

- *The eligible agency must consider the results of the review by the local board in determining the extent to which the application addresses the required considerations in 34 CFR § 463.20 (34 CFR § 463.21(c)).*
 - *Local workforce boards are not responsible for approving or denying applications submitted under Title II of WIOA. They are, however, expected to evaluate the extent to which an application submitted under Title II addresses the requirements of the local plan developed in accordance with WIOA (WIOA, 108(b) (13)).*

Local Boards must review all applications submitted by eligible applicants within its local workforce development area. Title II of WIOA identifies three competitive grant programs for providing adult education and literacy services:

- *Adult Education & Literacy Activities (Sec. 231 (b)),*
- *Corrections Education and Other Institutionalized Individuals (Sec. 225), and*
- *Integrated English Literacy and Civics Education (Sec. 243).*

In accordance with section 231(e) (1) (A), KYAE Skills U must consider the results of the local workforce board review of each application in awarding grants or contracts under Title II. For this reason, local workforce boards shall evaluate applications for funding according to criteria approved by the KYAE Skills U. This evaluation will be one component in the overall review of Title II applications.

KYAE Skills U is responsible for developing the criteria used by local workforce boards in their review of adult education and literacy applications. The following criteria are proposed for consideration by KYAE Skills U.

In their review, local boards should consider the extent to which the eligible applicant:

- *Aligns adult education and literacy activities with the education and training objectives and activities of the local workforce plan and the One-Stop Delivery System (Comprehensive Job Centers), including concurrent enrollment in Title I and Title II programs under WIOA, as appropriate;*
- *Describes a plan for fulfilling education, training, and administrative responsibilities as a one-stop partner and for participating on the local workforce investment board;*
- *Demonstrates a plan and strategies for effectively working with workforce partners identified by the local plan to share resources; contributes to regional education and training efforts, including career pathways program.*

*Applicants are prohibited from communicating with the local board regarding an application submission between the dates of **March 2-23, 2017**. If an applicant's intended service delivery area includes more than one local workforce investment area, the board from each area must review the application for the counties in that local area.*

Review Team:

Teams comprised of KYAE Skills U staff, Adult Basic Education content experts, and agency partners from across the state will read and score each application.

Each section of the application will be evaluated and scored on the basis of completeness, clarity, and merit, evidenced by thoroughness of plan, previous program effectiveness, and sound, research-based practice and evaluation. Although the applicant may have provided the same or similar information in a previous section, the information should be included in each section where applicable to fully explain, answer or clarify. Additionally, feedback from local workforce boards on alignment will be considered for each plan.

- Each application will be scored using a scoring rubric. The rubric indicates the point values and items described in this application. KYAE Skills U will rank applications based on the scores, determine the level of funding, and award the final grant awards.
- KYAE Skills U will fund one (1) or more grantee(s) per workforce investment area.
- In the event that no eligible agency meets the minimum score and/or qualifications for a service delivery area or if no eligible agency applies, a new application for funding will be posted for eligible agencies to submit an application or evaluate the capacity of other approved grantees to provide services in that service area and allocate to them.
- Each application will be evaluated solely on the criteria identified in this document.
- If two or more approved applications include one or more common counties, the application with the highest score will be awarded the one or more common counties.
- In the event two or more approved applications have the same score, a Tier 2 scoring team will determine which approved applicant will be awarded the one or more counties.

After all applications have been evaluated by the review team, the results will be submitted to KYAE Skills U. Final funding decisions will be made by KYAE Skills U.

Adult Education and Family Literacy Grant Application (AEFLA) 2018-2021

Due: Friday, March 2, 2018, 5:30 p.m., EST

General Information:

“The bipartisan Workforce Innovation and Opportunity Act (Pub. L. 113-128), signed by President Obama on July 22, 2014, created a new vision for how America prepares an educated and skilled workforce that expands opportunity for workers and employers. WIOA represents the most significant reform to our public workforce development system in nearly 20 years.”

The WIOA Final Rules are designed to:

- Ensure accountability for employment results;
- Improve transparency for job seekers to help them make better choices;
- Strengthen employer engagement and service to businesses; and
- Enhance coordination and collaboration across programs.

Source: The Workforce Innovation and Opportunity Act, Final Rules, An Overview, June 2016

Kentucky submitted a WIOA Combined State Plan:

The following are the six (6) core programs of WIOA. A *combined state plan* may also include other partners, in addition to the six (6) core partners. Kentucky elected to include Unemployment Insurance Programs.

- Adult Program (Title I);
- Dislocated Worker Program (Title I);
- Youth Program (Title I);
- Adult Education and Literacy Program (Title II)
- Wagner-Peyser Act Program (Wagner-Peyser Act, as amended by Title III); and
- Vocational Rehabilitation Program (Title I of the Rehabilitation Act of 1973, as amended by Title IV).

Kentucky Adult Education Skills U, Kentucky Council on Postsecondary Education:

The Council’s *Stronger by Degrees* strategic agenda includes KYAE Skills U’s Opportunity Objective 4: Improve the education and skills levels of KYAE Skills U students to prepare them for careers and/or postsecondary education.

- 4.1. Attract, retain, and prepare highly effective educators
- 4.2. Strengthen partnerships leading to increased enrollment and engagement
- 4.3. Advance more students to postsecondary education and the workforce

Kentucky Senate Bill 1: An Act relating to adult education:

“The General Assembly recognizes that many adults need significant improvement in their knowledge and skills to be full participants in Kentucky’s workforce and society, to develop

and maintain healthy families, and to continue their education and training as necessary throughout their lifetimes.” With this Act, Kentucky’s General Assembly called for “an efficient, responsive, and coordinated system of providers that delivers educational services.”

Source: Senate Bill 1, 2000 KRS 151B.055 and 164.003(2)(f)

Application Format:

Applications shall be submitted in the format and content specified in these instructions. Application materials, budget, and resource information are available for download on the KYAE Skills U website at: www.kyae.ky.gov.

For technical assistance, please contact: Toni.Quire@ky.gov.

Documents shall:

- **Be typed with 12-point, Arial font, doubled-spaced with ½ inch margins, portrait format (except for the Graphical Description), and numbered pages;**
- **Include a narrative not more than 21 pages, double-spaced; portrait format and numbered pages;**
- **Include a signature page with original signatures of the lead organization/fiscal agent certifying to the best of their knowledge the application’s information is accurate and verifiable; and**
- **Be submitted/uploaded as directed at www.kyae.ky.gov RFA website page.**

No hand written nor hard copy applications will be accepted. **Applications that are incomplete or formatted not in compliance with the above will not be considered.**

The information provided herein is intended solely to assist the applicant in submittal preparation. Interested parties bear the sole responsibility of obtaining the necessary information to submit a qualifying proposal. Resources have been made available on the www.kyae.ky.gov website.

If you have clarifying questions concerning the content of the RFA, and cannot find the answers contained within the posted documents, contact (**email only**) Natalie Cummins at Natalie.Cummins@ky.gov. **No phone calls will be accepted.** Questions will be gathered (via email) and answered prior to and shared at the Bidder’s Conference scheduled for January 29 and posted no later than February 12. Frequently asked questions, including these questions and answers will subsequently be posted on the RFA website for all to view.

As you develop your application response, guiding resources documents/tools are available for review. **Some tools are interactive, e.g., staffing tool, providing an opportunity to examine different staffing and budget scenarios.** Should changes in the Federal Regulations become effective during Fiscal Year 2018, it may become necessary to modify these guidelines.

Grant Period:

Grants will be awarded on a three-year term [fiscal year (FY)] beginning on July 1,

2018 – June 30, 2019; July 1, 2019 – June 30, 2020; and July 1, 2020 – June 30, 2021. Renewal of grant funding in the subsequent years following June 30, 2019, are contingent upon continued appropriations and grantees meeting grant, fiscal, and reporting requirements.

Program year funds must be expended by **June 30**. Unexpended funds shall remain with KYAE Skills U (there will be no carryover of funds).

This grant may be renewed after the original award cycle or until the KYAE Skills U determines a new multi-year competition for the grant needs to occur or changes are made to the Workforce Innovation and Opportunity Act.

Service Area Selection

KYAE Skills U reserves the right to allow multiple approved applicants in a geographical local workforce investment area and distribute those funds in that service area at its discretion. KYAE Skills U also reserves the right to negotiate with eligible applicants to ensure all counties within all 10 workforce investment service areas are served.

Service Area Requirements:

Each fiscal agent must bid for a MINIMUM AMOUNT OF FUNDING, based on a group of county allocations, to sustain a full-time, adult education KYAE Skills U director, whose sole responsibility is to administratively, programmatically, and instructionally lead the adult education program.

KYAE Skills U has consistently observed that successful local provider performance is directly correlated to Skills U Director leadership. As such, **ALL** Skills U Directors shall meet the qualifications and be able to perform duties and responsibilities listed in the Personnel Minimum Requirements and Duties. Additionally, each Skills U Director shall be evaluated by KYAE Skills U on his or her performance annually.

The service area must constitute a minimum funding level of \$350,000. If the service area funding level is less than \$350,000, the eligible applicant must agree to provide an in-kind contribution for the difference. This contribution, for example, may be made in the form of the Skills U Director's salary.

In the event a fundable proposal is not awarded to all counties included in its original submission (which results in the funding level being below \$350,000), the fiscal agent shall be "held-harmless" and shall not be required to provide the in-cash contribution.

Applicants must serve the needs (e.g., ABE/ASE, ELA, etc.) of all counties within the service area for which they are applying.

The following service area minimum criterion must be met within a single local workforce board area with one exception. An eligible application may include a county in a neighboring local areas adjacent to a county in the RFA application. Also, a county or counties contiguous to the aforementioned adjacent county may be included.

In the event a fundable application is not awarded to all counties included in its original submission, all counties awarded may be retained by the applicant regardless of geography.

Consistent with the approved WIOA State Plan, KYAE Skills U, adult education and literacy [WIOA Sec. 222(a)(1)] grant awards will be calculated on a per-county basis, based on the most recent five American Community Surveys (ACS) five-year estimates* of working age adults (ages 18-64) without a high school diploma or its equivalent and subsequent approved applicant performance.

NOTE: The counties highlighted in yellow below are high-need counties.

Service Area Funding, Number of Working Adults, and Target Population Chart

Bluegrass (17 counties)	*Total Number of Working Adults (Age 18-64) without a High School or GED® Credential	Percent of Total Target Population in Local Area
Anderson	1,320	2.3%
Bourbon	1,675	2.9%
Boyle	1,971	3.5%
Clark	3,051	5.4%
Estill	1,979	3.5%
Fayette	19,159	33.7%
Franklin	3,671	6.5%
Garrard	1,760	3.1%
Harrison	1,645	2.9%
Jessamine	4,043	7.1%
Lincoln	2,535	4.5%
Madison	5,381	9.5%
Mercer	1,580	2.8%
Nicholas	655	1.2%
Powell	1,684	3.0%
Scott	3,156	5.6%
Woodford	1,581	2.8%
Total Funding Amount: \$3,091,813		

Cumberlands (13 counties)	*Total Number of Working Adults (Age 18-64) without a High School or GED® Credential	Percent of Total Target Population in Local Area
Adair	1,999	5.5%
Casey	2,036	5.6%
Clinton	1,591	4.4%
Cumberland	783	2.1%
Green	1,186	3.2%
Laurel	7,080	19.4%
McCreary	3,037	8.3%
Pulaski	5,827	15.9%
Rockcastle	1,772	4.8%
Russell	2,165	5.9%
Taylor	1,962	5.4%
Wayne	3,026	8.3%
Whitley	4,082	11.2%
Total Funding Amount: \$1,987,700		

EKCEP (23 counties)	*Total Number of Working Adults (Age 18-64) without a High School or GED® Credential	Percent of Total Target Population in Local Area
Bell	4,704	7.0%
Breathitt	2,298	3.4%
Carter	2,620	3.9%
Clay	4,377	6.5%
Elliott	1,010	1.5%
Floyd	5,098	7.6%
Harlan	4,493	6.7%
Jackson	1,864	2.8%

Johnson	2,854	4.3%
Knott	2,465	3.7%
Knox	4,974	7.4%
Lawrence	1,823	2.7%
Lee	1,180	1.8%
Leslie	2,014	3.0%
Letcher	3,093	4.6%
Magoffin	2,130	3.2%
Martin	1,965	2.9%
Menifee	897	1.3%
Morgan	2,064	3.1%
Owsley	764	1.1%
Perry	4,415	6.6%
Pike	8,886	13.2%
Wolfe	1,154	1.7%
Total Funding Amount: \$3,651,718		

Green River (7 counties)	*Total Number of Working Adults (Age 18-64) without a High School or GED® Credential	Percent of Total Target Population in Local Area
Daviess	5,754	34.3%
Hancock	482	2.9%
Henderson	3,971	23.7%
McLean	810	4.8%
Ohio	2,513	15.0%
Union	1,623	9.7%
Webster	1,610	9.6%
Total Funding Amount: \$911,727		

Kentuckiana Works--Greater Louisville (7 counties)	*Total Number of Working Adults (Age 18-64) without a High School or GED® Credential	Percent of Total Target Population in Local Area
Bullitt	5,365	8.3%
Henry	1,543	2.4%
Jefferson	48,503	75.1%
Oldham	3,155	4.9%
Shelby	4,158	6.4%
Spencer	1,097	1.7%
Trimble	754	1.2%
Total Funding Amount: \$3,512,133		

Lincoln Trail (8 counties)	*Total Number of Working Adults (Age 18-64) without a High School or GED® Credential	Percent of Total Target Population in Local Area
Breckinridge	2,093	10.6%
Grayson	3,059	15.5%
Hardin	5,745	29.1%
Larue	1,208	6.1%
Marion	1,639	8.3%
Meade	2,113	10.7%

Nelson	3,020	15.3%
Washington	856	4.3%
Total Funding Amount:		
\$1,073,275		

Northern Kentucky (8 counties)	*Total Number of Working Adults (Age 18-64) without a High School or GED® Credential	Percent of Total Target Population in Local Area
Boone	5,428	19.5%
Campbell	5,173	18.6%
Carroll	1,295	4.6%
Gallatin	1,016	3.6%
Grant	2,207	7.9%
Kenton	10,713	38.5%
Owen	845	3.0%
Pendleton	1,172	4.2%
Total Funding Amount:		
\$1,514,731		

South Central (10 counties)	*Total Number of Working Adults (Age 18-64) without a High School or GED® Credential	Percent of Total Target Population in Local Area
Allen	2,397	9.2%
Barren	3,893	14.9%
Butler	1,435	5.5%
Edmonson	1,159	4.4%
Hart	2,565	9.8%
Logan	3,005	11.5%
Metcalfe	1,180	4.5%
Monroe	1,239	4.8%
Simpson	1,388	5.3%
Warren	7,818	30.0%
Total Funding Amount:		
\$1,418,353		

TENCO (10 counties)	*Total Number of Working Adults (Age 18-64) without a High School or GED® Credential	Percent of Total Target Population in Local Area
Bath	1,405	7.8%
Boyd	3,278	18.3%
Bracken	713	4.0%
Fleming	1,575	8.8%
Greenup	2,406	13.4%
Lewis	1,735	9.7%
Mason	1,628	9.1%
Montgomery	2,854	15.9%
Robertson	266	1.5%
Rowan	2,042	11.4%
Total Funding Amount:		
\$973,677		

West Kentucky (17 counties)	*Total Number of Working Adults (Age 18-64) without a High School or GED® Credential	Percent of Total Target Population in Local Area
Ballard	594	1.8%
Caldwell	747	2.3%
Calloway	1,854	5.7%
Carlisle	402	1.2%
Christian	5,595	17.1%
Crittenden	788	2.4%
Fulton	799	2.4%
Graves	3,531	10.8%
Hickman	452	1.4%
Hopkins	3,855	11.8%
Livingston	858	2.6%
Lyon	736	2.3%
Marshall	2,268	6.9%
McCracken	4,380	13.4%
Muhlenberg	3,476	10.6%
Todd	1,169	3.6%
Trigg	1,201	3.7%
Total Funding Amount: \$1,778,877		

***ACS five year estimates are 2008-12; 2009-13; 2010-14; 2011-15; 2012-16.**

NOTE: Includes known 4.6% cut. Appropriations are subject to change.

Eligible Applicant Services Requirements

Eligible Applicants:

An organization that has “demonstrated effectiveness” in providing adult education and literacy activities on its own and/or whose partners have provided such services. These organizations may include, but are not limited to:

- *Institution of higher education;*
- *Public or private nonprofit agency;*
- *Library;*
- *Local educational agency, including educational co-ops;*
- *Community-based organization, including faith-based;*
- *Public housing authority;*
- *Voluntary literacy organization;*
- *Nonprofit institution, not described above and has the ability to provide adult education and literacy activities;*
- *Consortium or coalition of agencies described above; or*
- *Partnership between an entity described above and an employer(s).*

In Kentucky, grantees will focus on adult education and literacy and English language acquisition education services that are workforce preparation/essential skills-contextualized, including: high school equivalency (HSE) diploma preparation; integrated education and training, including Accelerated Opportunity (AOKY) and AOKY Fast Track career pathway models; and integrated English literacy and civics education services. Family literacy and workplace adult education services may also be offered.

Consortia Applicants:

Eligible applicants may apply as a consortium. The consortium application must identify one agency that will act as the lead agency for the consortium. The lead agency shall submit a single proposal on behalf of the consortium outlining a plan to provide adult education activities in selected counties of the local workforce area, explaining the roles and responsibilities of each member agency.

The lead agency serves as the applicant agency of record, the legally recognized fiscal agent for the grant project, and the single point of contact for KYAE Skills U. The lead agency is responsible for overseeing the implementation of all aspects of the grant, e.g., plan of services for every county, grant monitoring and data reporting, and fiscal management. All consortium members are subject to the terms and conditions of the grant award, federal requirements, and state policies.

Eligible Applicants and Demonstrated Effectiveness (Regulation Section, 463.24)

Risk Assessment, Part I:

A portion of demonstrated effectiveness requires eligible applicant fiscal agents/lead agencies to complete the *Risk Assessment*.

Demonstrated Past Effectiveness Performance, Part II:

Applicants must demonstrate past effectiveness by providing performance data on its record of improving the skills of eligible individuals (see below), particularly eligible individuals 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 the State's application for funds.

An eligible applicant 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.

Demonstrated effectiveness requires all eligible applicants to submit the three (3) most recent years' data illustrating success in serving a similar target population and corresponding performance outcomes. See below.

There are two ways in which an eligible applicant may meet the requirements above:

- 1) *An eligible applicant that has been funded under Title II, AEFLA must provide performance data required under Section 116 – Performance Accountability to demonstrate past effectiveness.*
 - b) *Section 116 Performance and Accountability System (2.(A)(i)(I – VI):*
 - VI. *The percentage of program participants who are in unsubsidized employment during the second quarter after exit from the program;*
 - VII. *The percentage of program participants who are in unsubsidized employment during the fourth quarter after exit from the program;*
 - VIII. *The median earnings of program participants who are in unsubsidized employment during the second quarter after exit from the program;*
 - IX. *The percentage of program participants who obtain a recognized postsecondary credential, OR a secondary school diploma or its recognized equivalent (subject to clause (iii)), during participation in or within one year after exit from the program; AND*
 - X. *The percentage of program participants who, during a program year, are in an education or training program that leads to a recognized postsecondary credential or employment and who are achieving measurable skill gains toward such a credential or employment.*
- 2) *An eligible applicant that has not been previously funded under Title II, AEFLA must provide performance data to demonstrate its past effectiveness in serving basic skills*

*deficient eligible individuals, including **evidence of its success in achieving outcomes listed above.***

The following elements shall be used by KYAE Skills U to determine demonstrated effectiveness of eligible applicants: measurable skills gains (earning High School Equivalency [HSE]; educational functioning level gain – measured by pre-posttest, program exit and entry into postsecondary education); median earnings; employment rate; credential attainment rate; and total numbers served annually.

Target Population, Part III:

A portion of demonstrated effectiveness requires completing target population reached for each county for which the applicant is applying.

13 Required Considerations for Funding AEFLA, Title II Programs:

In awarding grants to eligible applicants, KYAE Skills U must consider the following thirteen (13) criteria while scoring applications:

1. The degree to which the eligible applicant would be responsive to:
 - i. regional needs as identified in the local workforce development plan; and
 - ii. serving individuals in the community who were identified in need of adult education and literacy activities, including individuals who:
 1. have low levels of literacy skills; or
 2. are English language learners;
2. The ability of the eligible applicant to serve eligible individuals with disabilities, including eligible individuals with learning disabilities;
3. The past effectiveness of the eligible applicant in improving the literacy of eligible individuals, especially those individuals who have low levels of literacy;
4. The extent to which the eligible applicant demonstrates alignment between proposed activities and services and the strategy and goals of the local workforce board plan under Section 108 of the Act, as well as the activities and services of the one-stop partners;
5. Whether the eligible applicant's program:
 - i. is of sufficient intensity and quality and based on the most rigorous research available so that participants achieve substantial learning gains; and
 - ii. uses instructional practices that include the essential components of reading instruction [refer to Section 1208 of the Elementary and Secondary Education Act of 1965 (20 U.S.C. 6368)].
6. Whether the eligible applicant's activities, including whether reading, writing, speaking, mathematics, and English language acquisition instruction delivered by the eligible applicant are based on the best practices derived from the most rigorous research available, including scientifically valid research and effective educational practice;
7. Whether the eligible applicant's activities effectively use technologies, services, and delivery systems, including distance education, in a manner sufficient to increase the amount and quality of learning and how such technologies, services, and systems lead to improved performance;
8. Whether the eligible applicant's activities provide learning in context, including through integrated education and training, so that an individual acquires the skills needed to transition to and complete postsecondary education and training programs, obtain and

advance in employment leading to economic self-sufficiency, and to exercise the rights and responsibilities of citizenship;

9. Whether the eligible applicant's activities are delivered by instructors, counselors, and administrators who meet any minimum qualifications established by the State where applicable, and who have access to high-quality professional development, including through electronic means;
10. Whether the eligible applicant activities coordinate with other available education, training, and social service resources in the community, such as by establishing strong links with elementary schools and secondary schools, postsecondary educational institutions, institutions of higher education, Local Workforce Development Boards (LWDB), one-stop centers (Kentucky Career Centers), job training programs, and social service agencies, business, industry, labor organizations, community-based organizations, nonprofit organizations, and intermediaries for the development of career pathways;
11. Whether the eligible applicant's activities offer flexible schedules and coordination with Federal, State, and local support services (such as child care, transportation, mental health services, and career planning) that are necessary to enable individuals, including individuals with disabilities or other special needs, to attend and complete programs;
12. Whether the eligible applicant maintains a high-quality information management system that has the capacity to report measurable participant outcomes (Section 116) and to monitor program performance; and
13. Whether the local areas in which the eligible applicant is located have a demonstrated need for additional English language acquisition programs and civics education programs.

Services Commitments

Year-Round Services Commitment:

Eligible applicants will commit to providing adult education services year-round. This means approved applicants may NOT exceed program closure for more than 16 consecutive calendar days more than once per calendar year. Also, approved applicants may not exceed additional program closure for more than nine (9) consecutive calendar days more than twice per calendar year. For the remaining 48 weeks, normal and routine levels of service are expected, with the understanding that federal holidays and inclement weather closings may occur.

High-Need County Services Commitment:

More than 50% of the population without a high school diploma in Kentucky resides in 25 counties. Normal and routine levels of services, for approved applicants in these counties, shall be delivered on Monday through Friday for no fewer than 35 hours per week and at other times based on student demand.

County-Level Services Commitment:

Approved applicants shall have one publicly accessible main location in each service area county to deliver services. At a minimum, services shall be delivered two days per week which includes no fewer than six hours of face-to-face service delivery. In addition to the main location, approved applicants may have sites at which services are delivered.

All location and site hours of operation shall be based on student demand, services may be delivered any day of the week and during morning, afternoon, and evening hours. This commitment includes ensuring existing and potential students can access information that informs them of opening and closure time periods and that students will be provided with appropriate referrals to staff who may assist them in the interim.

Location/Site-Specific Services Commitment:

Approved applicants shall deliver services at: 1) local libraries participating in the LEAF initiative, 2) local facilities (e.g., county jails, detention centers, etc.) in partnership with the local jailer, and 3) campus of a postsecondary institution that is responsible for providing services in that county; if the facility meets the minimum expectations listed below:

- Accessible to adult education services at a minimum of **10** contact hours per week (e.g., six face-to-face instructional hours and four distance learning hours) which allows for sufficient time for meeting the assessment guidelines.
- Adequate instructional and assessment space that is conducive to learning. The space should have a low noise level, adequate lighting, a comfortable temperature, and appropriate furnishings.
- At no cost.

To maximize the amount of funds available for direct instructional services, KYAE Skills U expects adult education providers to create partnerships that result in no cost for space, particularly for providers located in publicly-owned buildings. Approved grantees are expected

to seek donated or in-kind space in order to avail the maximum level of resources to student instruction. In rare and extenuating circumstances, exceptions may be considered once submitted in writing to the Administration and Accountability unit.

KYAE Skills U has established partnerships statewide that may provide free or low-cost, age-appropriate venues/space for adult education instruction. These include, but are not limited to: libraries and local government and Department for Community-Based Services offices. Other local partners may include area technology centers during day or evening hours, community action agencies, faith-based organizations, etc.

Plan of Service (POS):

Main Location and Sites:

Eligible applicants must complete a Plan of Service for each county in the service area for which the eligible applicant is applying, including:

Rationale for each county's location/sites(s):

- Name of location/site
- Address
- Site type
- Number of enrollments (projected number based on historic demand)
- Minimum enrollments per class and justification
- Hours per week (specific days and time; duration, e.g., 4 weeks, 6 weeks)
- Internet access

Age Appropriate Environment:

Students must be offered an environment that is conducive to adult learning. Both the physical location and the manner in which services are conducted shall be amenable to adults. Adults are seeking services at a facility, classroom, location, etc., that exhibit the respect and acknowledgement of their adult status and life experiences. As such, amenities such as furniture, technology, resources, ancillary facilities (e.g., restroom) must be appropriate for an adult learning setting.

Children (Pre-K through compulsory age) should not be on campus while adult education services are in session. Any deviation/exception shall be submitted in writing as a request to provide an exception/waiver to KYAE Skills U for consideration. The request for exception shall be accompanied by a clear justification/clarification of how adult students will remain separate from children.

This applies to all with the exception of family literacy programming.

Fiscal agents shall ensure that:

- All instructional facilities and services are in compliance with the Americans with Disabilities Act of 1990, as amended.
- Facilities have appropriate exterior and interior signage clearly identifying the adult education providers as a Skills U center and "A Proud Partner of the American Job Center Network" in unity with WIOA partners.

- The learning environment is in good condition and properly maintained with adequate space and equipment.
- There is a separate room available for student assessment and counseling purposes.
- The building and surroundings are safe and sanitary.
- The location is easily accessible with adequate parking.
- The facility has an environment conducive to student engagement and participation.
- Adult education centers are located in age-appropriate settings conducive to adult learning and adhere to local policies and procedures regarding adults present on local school campuses.

State and federal funds are to be used for program services. If lease expenditures are necessary, they shall meet the definition of “reasonable” as defined in federal circulars (A-87, A-122 and others) as applicable.

If it is determined that the facility does not meet all requirements, the grantee may be asked to relocate the center to a more appropriate location or correct deficiencies.

Program Design

Eligible Applicants' Eligible Students:

An eligible student is defined as an individual who:

- *Who has attained 16 years of age;*
- *Who is **not enrolled or required to be enrolled in secondary school under State law** (Kentucky State law's compulsory age is 18 years of age); and*
- *Who –*
 - *Is basic skills deficient*
 - *Does not have a secondary school diploma or its recognized equivalent, and has not achieved an equivalent level of education; or*
 - *Is an English language learner*

Provide a Program Design, including graphical description [limited to one (1) page] (e.g., flowchart) illustrating the student experience from intake through the program(s) to Employment/Postsecondary Education and Training. Additionally provide a cohesive narrative on overall program design.

Narrative Essential Elements:

1. Marketing, Outreach, and Recruitment Strategies
2. Intake and Orientation:
 - a. Assessment with Learning Plan
 - b. Career Exploration with Pathway Plan
 - i. Short- and Long-term Goal Setting
3. Programs:
 - a. English Language Acquisition (ELA)
 - i. From ELA to ABE or Integrated English Language and Civics Education (IELCE) services (If applicable)
 - b. IELCE services (If applicable)
 - c. Adult Basic Education (ABE)
 - i. From ABE to ASE, including concurrent enrollment with AOKY and/or IET
 - d. Adult Secondary Education (ASE)
 - i. From ASE to Postsecondary Education and Training
 - e. Integrated Education and Training (IET)
 - i. From IET to Employment
 - f. Accelerating Opportunity Kentucky (AOKY)
 - i. From AOKY to Postsecondary Education and/or Employment
4. Classes:
 - a. Contextualized instruction
 - b. Distance Learning
 - i. Web-based

- ii. Burlington English
 - iii. Fast Forward
 - iv. WIN
- c. Technology
- d. Assessment
 - i. Test of Adult Basic Education (TABE) 9/10 and 11/12
 - ii. Comprehensive Adult Student Assessment Systems (CASAS) Life and Work Series, Reading and Listening
- e. Credentials
 - i. GED® Diploma
 - ii. Kentucky Career Readiness Certificate (KCRC)
 - iii. Kentucky Essential Skills Certificate (KESC)
 - iv. National Career Readiness Certificate (NCRC)

5. Staff:

1. Skills U Director (1)
2. Skills U Assistant Director (as justified)
3. Career Navigator
4. Instructors
5. Data and Assessment Specialist
6. Skills U Assistant (as justified)

6. Partner Service Providers per Service Area:

1. At least one postsecondary education institution,
2. At least one Kentucky Career Center, and
3. At least two community-based organizations for support services.

Integrated Education and Training (IET)

Each service area must provide adult education services for at least one IET in addition to a co-enrollment career pathways model (AOKY and/or AOKY Fast Track). AOKY is a required component for all providers.

All providers must offer an IET that is not AOKY (and/or AOKY Fast Track) and that offers education and training services as identified by the local workforce area. More information for Kentucky state-identified in-demand sectors are listed below.

State-Identified In-Demand Sectors:

- Advanced Manufacturing
- Healthcare
- IT and Business
- Transportation, Distribution, and Logistics
- Trades, e.g., Construction

Each service area must assign at least one instructor who is responsible for IET coordination and instruction.

Each service area must describe sources for curricula units used to contextualize both workforce preparation and occupational skills.

§ 463.35 IET Definition

The term “integrated education and training” refers to a service approach that provides adult education and literacy activities concurrently and contextually with workforce preparation activities and workforce training for a specific occupation or occupational cluster for the purpose of educational and career advancement.

§ 463.36 Required Components of an IET Program Funded under Title II

An integrated education and training program shall include three components:

- Adult education and literacy activities as described in § 463.30.**
- Workforce preparation activities as described in § 463.34***
- Workforce training for a specific occupation or occupational cluster which can be any one of the training services defined in section 134(c)(3)(D) of the Act.*****

***§ 463.30 Adult Education and Literacy Programs, Activities, and Services**

The term “adult education and literacy activities” means programs, activities, and services that shall include:

- Adult education,*
- Literacy,*
- Workplace adult education and literacy activities,*
- Family literacy activities,*
- English language acquisition activities,*
- Integrated English literacy and civics education,*

- (g) *Workforce preparation activities, or*
- (h) *Integrated education and training.*

*****§ 463.34 Workforce Preparation Activities**

Workforce preparation activities shall include activities, programs, or services designed to help an individual acquire a combination of basic academic skills, critical thinking skills, digital literacy skills, and self-management skills, including competencies in:

- (a) *Utilizing resources;*
- (b) *Using information;*
- (c) *Working with others;*
- (d) *Understanding systems;*
- (e) *Acquiring skills necessary for successful transition into and completion of postsecondary education or training, or employment; and*
- (f) *Exploring other employability skills that increase an individual's preparation for the workforce.*

***Workforce Training Examples, WIOA Sec. 134 (d)(4)**

- I. *Occupational Skills Training-including nontraditional employment by gender (e.g., nursing, welding, etc.)*
- II. *On-the-Job Training (OJT) – Apprenticeships*
- III. *Incumbent Worker Training*
- IV. *Combined Workforce Training/Related Instruction-including cooperative education programs*
- V. *Private Sector Training Programs*
- VI. *Skills Upgrading and Retraining*
- VII. *Entrepreneurial Training*
- VIII. *Transitional Jobs*
- IX. *Customized Training-commitment from employer or group or employers to employ an individual upon completion of training.*

NOTE: It is preferred that workforce/occupational skills training be secured through funds other than AEFLA, Title II and/or through leveraging partnerships of existing workforce/occupational training agencies (e.g., KCTCS).

§ 463.37 IET under Title II meet the requirement that the three required components be integrated by:

- (1) *Adult education and literacy activities,*
- (2) *Workforce preparation activities, and*
- (3) *Workforce/occupational training. Services shall be provided concurrently and contextually such that—*

Within the overall scope of a particular integrated education and training program, the adult education and literacy activities, workforce preparation activities, and workforce training shall meet the following criteria:

- *Are each of sufficient intensity and quality, and based on the most rigorous research available, particularly with respect to improving reading, writing, mathematics, and English proficiency of eligible individuals;*

- *Occur simultaneously; and*
- *Use occupationally relevant instructional materials.*
 - *The integrated education and training program has a single set of learning objectives that identifies specific adult education content, workforce preparation activities, and workforce training competencies, and the program activities are organized to function cooperatively. (§463.37)*

An approved applicant shall meet the requirement that the integrated education and training program provided is for the purpose of educational and career advancement by:

- *The adult education component of the program being aligned with the State's content standards for adult education as described in the State's Unified or Combined State Plan; and*
- *The integrated education and training program is part of a career pathway. (§463.38).*

Accelerating Opportunity Kentucky and Accelerating Opportunity Kentucky Fast Track

Accelerating Opportunity Kentucky (AOKY) is a statewide career pathway model that:

- *aligns with the skill needs of industries in the economy of the State or regional economy involved;*
- *prepares an individual to be successful in any of a full range of secondary or postsecondary education options, including apprenticeships;*
- *includes counseling to support an individual in achieving the individual's education and career goals;*
- *includes, as appropriate, education offered concurrently with and in the same context as workforce preparation (contextualizing with essential skills) activities and training for a specific occupation or occupational cluster (occupationally contextualized instruction);*
- *organizes education, training, and other services to meet the particular needs of, and accelerates the educational and career advancement of the each individual;*
- *enables an individual to attain a secondary school diploma or its recognized equivalent (HSE) and at least one recognized postsecondary credential; and*
- *helps an individual enter or advance within a specific occupation or occupational cluster.*

All service areas shall have students participating in AOKY or AOKY Fast Track (aligned to the needs identified and requested by a specific employer) that include two components (adult education and workforce preparation, including the acquisition of the KESC). Academic instruction is contextualized by the integration of the KYAE Skills U Employability Standards, and the concurrent workforce training provided by KCTCS. To support student success in workforce training, adult education also provides instruction contextualized to the in-demand career sectors included in the selected career pathway(s).

Kentucky Essential Skills Certificate (KESC):

A KESC is earned by the successful completion of all four Worldwide Interactive Network (WIN) soft skills modules: Conveying Professionalism; Communicating Effectively; Promoting Teamwork and Collaboration; and Thinking Critically and Solving Problems, and passing the research-based, proctored summative assessment. These modules are not designed to stand alone, and all instruction shall be integrated into a blended learning experience that reinforces academic instruction contextualized with workforce preparation skills (KYAE Skills U Employability Standards).

Students participating in an IET and/or AOKY or AOKY Fast Track, shall receive instruction that is contextualized to a specific career cluster based on the in-demand sector chosen for the pathway.

The WIN courseware is available, via a joint purchase by KYAE Skills U and the Department of Workforce Investment, to all state agencies with the exception of Kentucky Department of Education (many school districts already have contracted for this service). Therefore, eligible applicants must describe their plans for awarding KESCs.

Integrated English Literacy Civics Education Program (IELCE)

Integrated English Literacy Civics Education (IELCE) services may be provided through Section 231 WIOA funding – as an integrated educational service for English Language Learners (ELL).

Eligible applicants with an adequate target population of ELLs may also choose to provide an IELCE program using 243 Section WIOA funding.

Both educational services integrate (1) literacy and English Language Proficiency Standards-based English Language Acquisition instruction, (2) that is contextualized using KYAE Skills U's Employability Standards or workforce preparation (concurrent with academic instruction), and (3) integrated with the rights and responsibilities of citizenship and civic participation.

English Language Proficiency Standards, <https://lincs.ed.gov/publications/pdf/elp-standards-adult-ed.pdf>

IELCE services are differentiated from a program. A program MUST justify an adequate target population of need and demand to ensure efficient use of resources, and an IELCE program MUST include access to an IET including a student goal of attaining unsubsidized employment.

Services, on the other hand, MAY include workforce training (access to an IET) that includes a student goal of attaining unsubsidized employment.

English Language Acquisition (ELA) activities:

Are designed to help eligible individuals who are English language learners (ELL) achieve competence in reading, writing, speaking, and comprehension of the English language, and that leads to attainment of a HSE and transition to postsecondary education and training or employment.

Literacy and civics' activities:

Are designed to help eligible individuals who are ELLs learn rights and responsibilities of citizenship and civic participation.

For applicants to be eligible to apply for IELCE program funds (Section 243 funds), the service area for which they are applying for core services funds (Section 231 funds) must have a minimum of 2,000 English language learners. All ELL is defined as an individual between the ages of 18-64 who speaks little to no English at home. The target population is defined by the 2012-2016 American Community Survey (ACS) as not speaking English well or not speaking English at all.

English Language Learners Target Population Chart

County	Total Number of ELL Adults (18-64) that speak little to no English at home	Percentage of ELL Target Population	County	Total Number of ELL Adults (18-64) that speak little to no English at home	Percentage of ELL Target Population	County	Total Number of ELL Adults (18-64) that speak little to no English at home	Percentage of ELL Target Population
Ballard	0	0%	Floyd	20	0%	Mason	78	0%
Caldwell	0	0%	Morgan	20	0%	Gallatin	88	0%
Clinton	0	0%	Trimble	20	0%	Marion	88	0%
Estill	0	0%	Adair	21	0%	Laurel	93	0%
Hickman	0	0%	Muhlenberg	21	0%	Hopkins	103	0%
Jackson	0	0%	Edmonson	22	0%	Allen	107	0%
Lee	0	0%	Greenup	23	0%	Mercer	120	0%
Leslie	0	0%	Lyon	24	0%	Butler	129	0%
Lewis	0	0%	Garrard	28	0%	Grant	133	0%
McLean	0	0%	Taylor	29	0%	Barren	138	0%
Magoffin	0	0%	Knox	31	0%	Bullitt	140	0%
Menifee	0	0%	Boyd	32	0%	Montgomery	146	0%
Metcalfe	0	0%	Meade	32	0%	Henderson	147	0%
Owen	0	0%	Bell	33	0%	Boyle	148	0%
Owsley	0	0%	Union	33	0%	Oldham	152	0%
Robertson	0	0%	Henry	36	0%	Nelson	167	0%
Spencer	0	0%	Martin	36	0%	Wayne	175	1%
Trigg	0	0%	Whitley	39	0%	Ohio	180	1%
Wolfe	0	0%	Green	45	0%	Pulaski	195	1%
Rockcastle	1	0%	Grayson	46	0%	Russell	198	1%
Harlan	2	0%	Hancock	46	0%	Clark	207	1%
Livingston	2	0%	Fleming	48	0%	Calloway	243	1%
Lincoln	3	0%	Lawrence	48	0%	Campbell	253	1%
Crittenden	4	0%	Logan	50	0%	Madison	276	1%
Knott	5	0%	Clay	51	0%	Christian	279	1%
Anderson	6	0%	Monroe	53	0%	Franklin	342	1%
Fulton	6	0%	Casey	59	0%	Rowan	365	1%
Elliott	7	0%	Washington	60	0%	Scott	390	1%
Cumberland	8	0%	Carter	61	0%	Bourbon	450	1%
Nicholas	8	0%	Larue	61	0%	Hardin	483	1%
Carlisle	9	0%	Webster	61	0%	Woodford	505	1%
Pendleton	9	0%	Harrison	63	0%	Graves	605	2%
Bracken	10	0%	Hart	67	0%	Jessamine	629	2%
Marshall	11	0%	McCreary	67	0%	Daviess	869	3%
Johnson	12	0%	Pike	67	0%	Kenton	1076	3%
Perry	13	0%	McCracken	69	0%	Shelby	1,137	3%
Powell	16	0%	Simpson	69	0%	Boone	1,244	4%
Letcher	17	0%	Breckinridge	72	0%	Warren	2,720	8%
Bath	18	0%	Todd	72	0%	Fayette	6,458	19%
Breathitt	18	0%	Carroll	75	0%	Jefferson	10,911	32%
Total IELCE Funding Available: \$335,657						TOTAL	34,162	100%

Source: 2012-2016 American Community Survey, 5 year estimate

Please be aware that eligible applicants applying for Section 243 IELCE program funding must complete separate form(s) describing the program's plan of service and indicate how resources will be allocated in the budget and budget narrative. The eligible applicant must provide the three (3) most recent fiscal years' data indicating the ELL total population; number of ELLs enrolled the previous three (3) years; and projected number of ELL enrollments.

§ 203.12 Integrated English Literacy and Civics Education (IELCE)

The term "Integrated English literacy and civics education" means education services provided to English language learners who are adults, including professionals with degrees and credentials in their native countries, that enables such adults to achieve competency in the English language and acquire the basic and more advanced skills needed to function effectively as parents, workers, and citizens in the United States. Such services shall include instruction in literacy and English language acquisition and instruction on the rights and responsibilities of citizenship and civic participation, and may include workforce training.

§463.33 English Language Acquisition and Civics

- *An English language acquisition program is a program of instruction designed to help eligible English language learners achieve competence in reading, writing, speaking, and comprehension of the English language that leads to attainment of a high school diploma or its equivalent and to the transition to postsecondary education and training or employment (§203.6).*
- *The IELCE program must include instruction in literacy and English language acquisition (§463.33).*
- *The IELCE program must include instruction on the rights and responsibilities of citizenship and civic participation.*

§243 Requirements for Providing IELCE through Section 243 Funding

Services provided through Section 243 must:

- *Include education services that enable adult English language learners to achieve competency in the English language and acquire the basic and more advanced skills needed to function effectively as parents, workers, and citizens in the United States (§243(a))*
- *Include instruction in literacy and English language acquisition and instruction on the rights and responsibilities of citizenship and civic participation, and may include Workforce training (§243.a)*
- *Must be provided in combination with IET (§243(a))*
- *Must be designed to "(1) prepare adults who are English language learners for, and place such adults in, unsubsidized employment in in-demand industries and occupations that lead to economic self-sufficiency; and (2) integrate with the local workforce development system and its functions to carry out the activities of the program." (§243.c)*

§463.74 IELCE in Combination with IET

An eligible provider that receives funds through the IELCE program (Section 243) may meet the requirement to use funds for IELCE in combination with Integrated Education and Training activities by:

- *Co-enrolling participants in integrated education and training that is provided within the local or regional workforce development area from sources other than Section*

243, or by

- *Using funds provided under Section 243 to support IET activities as cited in Subpart D.*

An eligible provider that provides IELCE as a local activity under Section 231(b) is not required to provide the services in combination with IET. IELCE is a local activity under Section 231(b) must meet the definition provided in Section 203(12).

Program Monitoring Overview

Federal Uniform Guidance [2 CFR 200.331] mandates that KYAE Skills U Unit conduct program monitoring of grantees. The purpose of monitoring is to ensure that grantees are using federal funding for authorized purposes in compliance with the law, regulations, and terms of the grant agreement and that those performance goals are achieved. Local programs are expected to be responsive to the KYAE Skills U's technical assistance efforts, which may include local and regional meetings, workshops, and trainings. To ensure continuous improvement, monitoring activities shall include at a minimum:

- **Dashboard Reporting:** A dashboard is used to monitor key performance indicators statewide. This dashboard provides a visual of real-time data to help monitor and analyze progress of meeting state goals.
- **Quarterly Desk Audits:** KYAE Skills U performs quarterly desk audits and mid-year reviews to address both participants and program achievement related to common WIOA performance measures and KYAE Skills U performance funding measures. The selection of the quality elements in the desk review was based on a comprehensive review of KAERS data to determine indicators that (1) reflected meaningful and measureable achievement, (2) were aligned with state and/or federal goals, and (3) were obtainable through the state's current data system. In addition to the selected elements, KYAE Skills U conducts a secondary data analysis to further examine characteristics of program performance.
- **Mid-Year Review Letter:** A mid-year review letter is sent to the fiscal agent grantee and the local KYAE Skills U Director. The purpose of this letter is to inform grantees of their progress toward performance goals. This formal mid-year evaluation provides grantees with the opportunity to address substantive issues (if any) in a timely manner.
- **Year-End Review Letter:** A year-end review letter is sent to the fiscal agent grantee and the KYAE Skills U Director. The purpose of this letter is to inform grantees of their progress toward performance goals. This formal year-end evaluation provides grantees with final performance outcome and goal achievements.
- **Annual On-Site Visits:** Annual on-site visits are conducted by the Auditor of Public Accounts (APA) to further monitor program compliance. Programs that are found to be out of compliance will receive an on-site visit from the KYAE Skills U audit team. The APA monitors approximately one-fourth of all providers each year.

Reservation of Rights

KYAE Skills U reserves the right to reject any or all applications for failure to submit the requirements listed in the application instructions. Receipt of applications by KYAE Skills U confers no rights upon the applicant nor obligates KYAE Skills U in any manner. KYAE Skills U also reserves the right to:

- Reject any and all applications;
- Negotiate portions of an application; and
- Negotiate a grant award based upon proposed student contact hours, and level completions, projected outcomes, and overall application responses.

KYAE Skills U reserves the right to contact applicants for clarification of proposals and will make awards to responsible applicants who demonstrate the ability to perform successfully under the terms and conditions of this application for funding. Consideration will be given to such matters as applicant integrity, compliance with public policy, record of past performance, and financial and technical resources.

The recommended applicant will be presented to KYAE Skills U's Vice President or designee who either:

- Approves the application;
- Disapproves the application; or
- Defers action on the application for such reasons as a requirement for further evaluation.

All awards are subject to availability of funds from the federal and state government. A delay in the receipt of federal and/or state allocations may delay the issuance of a contract. A grantee may not begin to obligate expected grant funds until authorized by KYAE Skills U.

If approved as a grantee, the grantee shall ensure adherence to KYAE Skills U *Implementation Guidelines*, which shall be incorporated by reference into all provider contracts.