The Indiana Department of Workforce Development (DWD), Division of Adult, Career and Technical Education oversees the delivery of Adult Education for the State of Indiana. DWD has implemented a comprehensive, regional structure comprised of the following components: foundational-skills development, occupational bridge-program training, academic and career counseling, and related initiatives to assist adults and out-of-school youth.

The goals of the system are: leveraging all available resources toward increasing the capacity of Indiana's adult education system; increasing accessibility to adult education services in areas of the state most in need of these services; meeting and exceeding learner performance goals; creating a seamless transition to postsecondary education and employment; and building an educated and competitive Indiana workforce.

To support delivery of these services, DWD announces the availability of the continuation of state and federal funds to support the regional provision of the services discussed above for the period of July 1, 2014 to June 30, 2015. **Only fiscal agents that received funding for the current program year (July 1, 2013 to June 30, 2014) are eligible to apply for continuation of funds.**

Sections I and II provide guidance on eligibility, formula allocations, fiscal processes, and performance metrics. Changes to these sections are indicated in **bold, red font**. Sections III and IV provide narrative and application requirements. **Applicants should provide updates to the same narrative approved for the previous program year and highlight the updates as described.** Additional guidance is provided starting on page 7.

Applicants must address all requirements. *One hardcopy application* must be __received__ at DWD by __March 21, 2014__. In addition to a hard copy, **electronic copies of the narrative in Microsoft Word and the budget forms (Forms 2A – 2C) and program staffing table (Form 2D) in Microsoft Excel** must be submitted via email. **Additional grant continuation requirements and submission details are included in Section IV.**

SECTION I: Program and Fiscal Overview

DWD will issue grants designed to support Adult Education and WorkINdiana programs. Together these grants support DWD's vision of a holistic service delivery. The following sections describe each grant and funding. *As part of this section, each fiscal agent is required to fill out the following forms: Form 2A – Budget and Cost Analysis Form; Form 2B – Administration Cap Waiver Request, if applicable; Form 2C - Professional Development Budget; Form 2D – Program Staffing Levels.*

A. Adult Education Program

Indiana Adult Education (AE) is a federally and state-funded program that delivers foundational skill instruction in reading, writing, and/or math to adults whose skills are below the 12th grade level. Additionally, AE provides instruction in English as a Second Language (ESL) for students who cannot speak, read, and/or write the English Language.

Allocation

DWD has projected the allocation of the Workforce Investment Act (WIA) Title II and state adult education funds for these activities to each region based on a funding formula that accounts for enrollment in Adult Education, unemployment claimants, and performance. Table 1 below shows the variables, description, and formula weight. See Appendix A – Adult Education Funding Formula and Allocation for each region's estimated allocation.

Table 1: Adult Education Formula Allocation

Variable	Description	Weight
% of Statewide Enrollment	• Enrollments from PY 2012 (July 1, 2012 - June 30, 2013) from NRS Table 4 • Enrollments from PY 2013 to date (July 1, 2013 – December 31, 2013) from NRS Table 4	40%
% UI Claimants	• Calendar year 2012 UI Claimants without a credential ages 18-44 • Source: DWD Claimant Pool Analysis	10%
% Reimbursements Earned for Outcomes	• Reimbursements earned less enrollments ($60) and EL Civics according to the Adult Education Reimbursement Schedule for PY 2012 and PY 2013 to December 31, 2013.	50%

Regions may also be eligible for a performance allocation if they earn their base allocation in outcomes according to the Adult Education Performance Incentive Schedule, which is included in Appendix C – Performance Incentive Schedule. The amount of performance dollars earned will also be determined through the Performance Incentive Schedule and will be awarded for the 2014-2015 program year during the 2015-2016 program year. Guidance regarding the use and budgeting of performance dollars will be given to regions once they become eligible for such funding.

Maintenance of Effort

For the State to achieve and maintain the necessary non-federal expenditure on an equitable basis, DWD requires each region to contribute local maintenance of effort against federal funds. This level is included in Appendix A under the heading "FY15" under the column labeled "MOE." Maintenance of effort can include the following types of resources:

- Any non-federal or non-state funds that are used to provide adult education services. This does not include costs related to high school equivalency testing services.
- In-kind contributions to adult education services such as facility/office space costs, utilities, custodial services, copying and printing costs, and phones and other technology costs.
- Cost of staff time spent in service to the adult education program paid from other non-federal or non-AE state funds. These costs may be pro-rated by percentage of time used to provide adult education program related services.

The expenditures must be documented and that documentation must be kept with the fiscal records of the program for the purposes of an audit.

Budget & Cost Analysis

Each regional fiscal agent must submit a budget and cost analysis for state and federal funds. **State and federal funds can be used in the same manner. State funds should be used for line items that will be expended first.** Form 2A - Budget and Cost Analysis has detailed budget categories and subcategories for both program and administrative costs. Fiscal agents must categorize costs on this form into program (instructional), administrative (non-instructional), **institutional (jail) program** or maintenance of effort.

Program (instructional) costs have a direct and immediate benefit to the participant and are incurred in direct instruction. Examples include instructional staff salaries, instructional materials and supplies, instructional software, classroom fixtures/space, and data collection and processing relative to individual students.

Administrative (non-instructional) costs are for planning, administration, personnel development and interagency coordination per Section 233(a)(2) of the Workforce Investment Act (WIA). These costs may not exceed 5% in state and federal funds unless a waiver is submitted with appropriate justification (See Form 2B—Administration Cap Waiver Request), in which case costs may go up to 15% of state and federal funds. Costs that fall under this category relate to the following activities: administration, program management, fiscal, clerical, advertising, and professional development.

Funds spent on classes in an institutional (jail) program must be tracked separately in Form 2A. State funds must be used for these programs.

Professional Development

Each region may apply for Federal Leadership funds for the purpose of professional development up to the amount indicated in Appendix B – Adult Education Professional Development Funding Formula and Allocation. Table 2 shows the variables, description, and weights.

Table 2: Professional Development Formula Allocation

Variable	Description	Weight
% of Statewide staff	• Number of staff listed according to NRS Table 7	40%
% Performance, by lowest performance.	• The amount of the allocations *not earned* for PY 2012 and PY 2013 to December 31, 2013.	10%
% of mileage to Indianapolis	• Average distance to Indianapolis from programs in the region	50%

The allocated professional development funds must be budgeted separately on Form 2C – Professional Development Budget. DWD encourages providers budget additional funds for professional development from the Adult Education allocation.

Allocation professional development funds should be used primarily to attend DWD sponsored events or other conferences of state or national significance such as the IAACE conference and the COABE conference. Funds also may be used for regional professional development initiatives. All professional development must align with the DWD Adult Education Professional Development policy, which will be issued by July 1, 2014. All staff who teach a minimum of nine (9) hours per week must attend a minimum of one (1) DWD sponsored initiative.

Procurement and Reimbursement Processes
All procurement must follow DWD procurement guidance issued in the Adult Education Funding policy on the DWD website: http://www.in.gov/dwd/files/DWD_Policy_2013-05.pdf. Any equipment or software purchase in excess of $500 requires a state tag according to DWD Policy 2013-01 found here: http://www.in.gov/dwd/files/DWD_Policy_2013-01.pdf.

Beginning July 1, 2014, fiscal agents may submit reimbursements against the budget form for actual expenditures once a month. **Fiscal agents must submit a request for reimbursement every quarter at a minimum.** DWD will post a revised reimbursement form on the Adult Education Program Management website.

Audit Responsibilities
Fiscal agents that receive $500,000 or more in federal funds are required to have an outside entity conduct an A-133 audit on an annual basis. Fiscal agents must submit the most recent A-133 audit with the grant continuation documents.

B. **WorkINdiana**

The WorkINdiana training program offers eligible adult education students the opportunity to build their foundational skills, earn a High School Equivalent Diploma (HSED) or high school diploma (HSD) while also earning an industry-recognized occupational training certification concurrently or shortly after completion of their adult education program. Individuals who wish to participate in WorkINdiana must meet the following eligibility requirements:

- **Currently enrolled in a DWD WIA Title II Adult Education program or enrolled in a DWD WIA Title II Adult Education program during the previous program year and have a high school diploma or high school equivalency diploma**
- **Must have a student record in InTERS**
- **Enrolled in a DWD WIA Title I Adult, Dislocated Worker and/or Youth programs**
- **Score, at a minimum, a 4th grade level on the TABE in math and reading**
- **Successfully pass a drug screening test prior to being enrolled in training in accordance with the WIA Participant Drug Screening policy (http://www.in.gov/dwd/files/DWD_Policy_2010-22_01.pdf).**

Allocation

To support this program, DWD will allocate funds to each region using the WorkINdiana formula allocation. Table 3 below shows the variables, description, and formula weights. Each region will receive a minimum of $30,000 if the region would otherwise be allocated less by the formula. These funds will be granted to each Workforce Investment Board (WIB) by DWD effective July 1, 2014 to September 30, 2015. Up to 10% may be used for administration; the WIB may use a portion of the 10% to supplement regular WIA Title I funds to ensure that participants using WorkINdiana funds receive case management and academic and career counseling as appropriate. The remaining 90% of grant funds must be dedicated to WorkINdiana vouchers following the grant statement of work (SOW) and any program guidelines and policies.

Table 3: WorkINdiana Formula Allocation

Variable	Description	Weight
% WorkINdiana Enrollment	The number of students enrolled in WorkINdiana per the monthly report for the following timeframes: • PY2012 (July 1, 2012 – June 30, 2013) • PY2013 (July 1, 2013 – December 31, 2013)	40%
% Adult Education Enrollments	The number of students enrolled in Adult Education from NRS table 4 for the same timeframes.	10%
% Completion	• Of those enrolled in WorkINdiana per the monthly report for the same time frames, the number who completed the program	15%
% Certification	• Of those who completed WorkINdiana per the monthly report for the same time frames, the number who earned a certification	15%
% Placement	• Of those who completed WorkINdiana per the monthly report for the same time frames, the number who were employed	20%

WorkINdiana Vouchers

WorkINdiana vouchers are established to cover tuition costs at approved WorkINdiana programs on behalf of qualified WorkINdiana participants. WorkINdiana programs and tuition costs must be approved by DWD and listed on INTraining. Grantees must submit monthly fiscal reports to DWD and enrollment reports at the request of DWD and as specified in the SOW.

Performance

DWD will continue to monitor WorkINdiana enrollment and performance and may choose to reallocate funds mid-year if performance in a region is not acceptable. In subsequent program years, regional WorkINdiana program enrollment and performance will continue to be a factor in allocating WorkINdiana funds.

Section II. Performance Metrics

At the federal level, the National Reporting System (NRS) has defined measures of student outcomes that include literacy gains, improved English proficiency, and attainment of postsecondary credential and student advancement to further education. The Office of Vocational and Adult Education (OVAE) requires DWD to set Indiana targets for these measures and report performance on them annually. To ensure Indiana meets its OVAE targets, **DWD is requiring each consortium to establish regional targets for the NRS measures are these summarized in Form 3-Consortium Performance Measures Worksheet.** DWD may negotiate different targets with each region than those proposed.

In addition to the NRS measures, DWD has established eight measures for each consortium listed in Table 4 below. The first two measures of employment have commonalities between WIA Title I & II, and the first four measures coincide with OVAE NRS measurements. Regions must set consortium metric targets for the 2014-15 program year that are above levels met in previous years. DWD will track the data in InTERS and will use the target measures as part of the risk analysis conducted to determine the need for future monitoring.

Table 4: DWD Consortium Metrics

Measure	Description (NRS definitions should be considered official where applicable)	Where It Is Tracked
Entered Employment*	Percentage of students who gain employment during or just after exiting Adult Education.	NRS Table 5 measurement
Employment Retention*	Percentage of students who had or gain employment and retain it.	NRS Table 5 measurement
Entered postsecondary education/training*	Percentage of students who enter postsecondary education or training, including WorkINdiana	NRS Table 5 measurement
Obtained High School Diploma or Equivalent*	Percentage of students who obtain high school equivalency	NRS Table 5 measurement
Adult Education Enrollment	Number of students who enroll in adult education	Total Enrollment from NRS Table 4
Enrolled and Completing a Level	Percentage of adult education students who complete a level	Column H from NRS Table 4
Pre- and Post-tested Completing a Level	Percentage of adult education students who are pre and post tested and complete a level	Column H from NRS Table 4B
WorkINdiana Enrollment	Number of students who enroll in WorkINdiana	WorkINdiana monthly report

* These measures are based on the NRS cohort definitions, which can be found at:
http://www.nrsweb.org/docs/ImplementationGuidelines.pdf.

SECTION III: Narrative Requirements

DWD has identified four program areas for applicants to address in the narrative portion of the application: Consortium Management, WorkINdiana, Adult Education Learner Engagement, and College and Career Readiness. In addition, DWD has added Professional Development as a program area of focus.

There are three sections in the narrative that each consortium must submit that are described in more detail below: 1) a reflective analysis of progress made on PY13-14 plans; 2) new or updated answers to specific questions from each program area; 3) plans for professional development.

1. Reflective Analysis (2 pages per program area)

For each program area, consortia must provide a reflective analysis on the PY 13-14 proposal accepted by DWD. The analysis should be no longer than two (2) pages for each program area. The analysis should provide answers to the following questions:

- Strengths: What parts of the implementation of the plan has gone well? What has succeeded?
- Weaknesses: What parts of the implementation have not gone as planned and why? What challenges have slowed or halted implementation?
- Opportunities: What adjustments or new plans will the consortium make for PY 14? What are the expected outcomes of these plans?
- Threats: What challenge might be encountered in implementing plans for PY 14? What steps will be taken to minimize and mitigate them?

2. Answers to Specific Questions (2 pages per program max)

Reflecting on the results of the SWOT analysis, consortium and AE providers as appropriate must update or provide new responses for the following specific questions for each program area. Responses should be made in the same approved narrative from PY13-14 and highlighted or otherwise clearly noted. Consortium may choose to update responses to any other questions in addition to those required.

Program Area	Required Response Questions (includes original sub questions)
Consortium Management	A3) How will the consortium work to increase enrollments? A6) How does the consortium evaluate regional and program performance? What specific qualitative data is considered?
WorkINdiana	**Note: An updated Form 5 is not required.** **New:** How will the consortium increase WorkINdiana enrollments of students who are still attending their adult education program?
Adult Education Program Learner Engagement and Completion *Answers should be provided for each provider in the consortium*	C2) Explain the enrollment process for each program and what parts of managed enrollment are required. **New: C10)** What steps will program take to adopt and implement the Adult Education College and Career Readiness Standards? http://lincs.ed.gov/publications/pdf/CCRStandardsAdultEd.pdf **New: C11)** Do programs ever turn students away due to capacity? Do programs have waitlists? **New: C12)** Do programs collect income or fees for any purpose? If so,

	for what? Programs must provide the fee schedule if applicable, and follow DWD policy 2013-05. (http://www.in.gov/dwd/files/DWD_Policy_2013-05.pdf)
College and Career Readiness *Answers should be provided for each provider in the consortium*	D1) What specific instructional or support strategies do programs use to prepare students for postsecondary education/training? How will programs incorporate more strategies this year?

3. Professional Development (1 page per program max)

Professional development (PD) is critical to ensuring teacher, administrator, and program effectiveness. It is also of particular importance as Indiana's Adult Education system continues to implement the College and Career Readiness standards for Adult Education and as we continue to move towards a holistic standards based system. A calendar of professional development offered through DWD is in Appendix D – DWD Professional Development Calendar.

Each program must respond to the questions below when outlining its professional development activities for the year. The professional development budget (Form 2C) should reflect all of the activities planned for the year. Programs and staff that are identified as lower performing are required to have a PD plan in place, which should include a partnership/mentorship component.

> E1: What are the greatest PD needs of staff? What data is used to help determine this? How will providers work to meet these needs during the 2014-15 program year?
> E2: How will providers use professional development opportunities to begin to implement the CCR standards?
> E3: How will providers determine which staff have the opportunity to attend DWD statewide professional development? What data is used to help determine or support these decisions?
> E4: Do providers plan to provide any regional PD? Please describe. How will the PD provided on a regional basis align to and support the values of DWD and its PD activities?
> E5: Have any programs been found to be low performing by the consortium definitions? If so, a specific professional development plan to support and improve the performance of this program must be outlined. The plan should include a mentoring or partnership component with a higher performing program.

SECTION IV: Grant Submission Guidelines

A. Application Format

Applications must be typed, single spaced in size 12 font on 8 ½" by 11" paper with all pages sequentially numbered and the Consortium Region number at the top of every page. **The narrative must conform to page-length requirements noted for each part of the narrative. Each part of the narrative should keep the page limit indicated. The analysis should be clearly indicated for each program area (Consortium Management; WorkINdiana; Learner Engagement and Completion; College and Career Readiness). Applicants must respond to each required question in order and in the format required. Each response should be numbered to reflect the section, question, and sub-question it answers.**

Required forms do not count against the page limitation and are not required to have page numbers. The first page must be Form 1 – Grant Continuation Cover Sheet. **A Grant Continuation Checklist is provided and should be the second page of the grant package.** Please submit all documents in the order listed on the Grant Continuation Checklist.

B. Submission Requirements

Applicants must address all requirements and *one hardcopy application* must be **received** at the Indiana Department of Workforce Development by **March 21, 2014**. Please note that DWD must receive applications by this deadline, i.e. this is not the postmark date. DWD will not accept faxed copies. Applications should be sent to:

Attn: Donna Lovelady
Indiana Department of Workforce Development
Adult Education
10 N. Senate Ave., SE 203
Indianapolis, IN 46204

In addition to a hard copy, *electronic copies* of the narrative (in Word format) and the budget forms (in Excel format) must be submitted via email to Donna Lovelady at dlovelady@dwd.in.gov with the subject "Region #: Grant Continuation Application.

A confirmation email will be sent when *both* the electronic and hardcopy versions of the application are received. Use the Grant Continuation Checklist to check that all components have been submitted.

C. Technical Assistance

Questions about this grant opportunity may be addressed to the Regional Adult Education Coordinator or John Rutledge at JRutledge@dwd.in.gov .

A webinar to discuss the grant continuation requirements is scheduled for Wednesday, February 12th from 2:00 pm – 3:00 pm EST. Interested participants should register to attend the webinar at: https://www.surveymonkey.com/s/2014_Grant_Continuation. Individuals will receive the webinar information upon registration. A recording of the webinar will be made available afterwards at: http://www.in.gov/dwd/adultedadmin/grants.htm.

SECTION V: Forms and Appendices

A. Forms

2014 Grant Continuation Checklist (one per grant continuation proposal)
Form 1 – Grant Continuation Cover Sheet (one per fiscal agent)
Form 2A – Budget and Cost Analysis (one per fiscal agent)
Form 2B – Administration Cap Waiver Request (as needed, by fiscal agent)
Form 2C – Professional Development Budget (one per fiscal agent)
Form 2D – Program Staffing Table (one per Adult Education program)
Form 3 – Consortium Performance Measures Worksheet
Form 4 – Assurances (one per fiscal agent)

B. Appendices

Appendix A – Adult Education Formula and Allocation
Appendix B – Professional Development Formula and Allocation
Appendix C – Performance Incentive Schedule
Appendix D – DWD Professional Development Calendar
Appendix E – WorkINdiana Certification Framework