



Commonwealth of Kentucky

PURCHASE ORDER

IMPORTANT

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Administered By: Terry Pruitt

Cited Authority: KRS164.020-22

Telephone: 502-573-1555

Issued By: Terry Pruitt

B I L L T O
 419862
 COUNCIL ON POSTSECONDARY ED - KY ADULT ED
 1024 CAPITAL CTR DR
 KY ADULT EDUCATION SUITE 320
 FRANKFORT KY 40601

S H I P T O

Effective From: 2012-07-01

Effective To: 2013-06-30

Line	CL Description	Due Date	Quantity	Unit Issue	Unit Price	Contract Amt	Total Price
1	Core Services		0.00		0.00000	1,000,000.00	1,000,000.00

Extended Description

Provide adult education and literacy services in order to: (a) assist adults to become literate and obtain the knowledge and skills necessary for employment and self-sufficiency; (b) assist adults who are parents to obtain the educational skills necessary to become full partners in the educational development of their children; (c) assist adults in the completion of a secondary school education; and (d) provide services that are of sufficient duration and intensity of hours to assist families, defined as at least one child between the ages of birth and eighteen and at least one adult who is primarily responsible for the child's well being and who is consistently an influence on the child's development, to make sustainable increases in their literacy level and to become self-sufficient.

Budgeted source of funds: 59% state, 41% federal (CFDA 84.002 A, Adult Education State Administered Grant)

Method of payment: cost-reimbursement upon receipt and approval of monthly KYAE Expenditure Report submitted online.
 All costs must be reasonable, allowable and actual.

Total Order Amount: 1,000,000.00

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This agreement is made and entered into by and between the **First Party, Kentucky Adult Education, Council on Postsecondary Education**, referred to as “KYAE”, and the Contractor, hereinafter referred to as the **Second Party**.

I. The Second Party agrees to perform the following services:

- A. **Operate a program in compliance with the Scope(s) of Work, Performance Measures and Budget(s).** Individuals employed by the Second Party are considered employees of the provider, not KYAE; therefore the **Second Party is responsible for any benefits accrued prior to the current grant year and pursuant to 42 USC SEC. 418, all social security contributions;**
- B. **Operate a program in compliance with the provisions of the Kentucky Adult Education Policy and Procedure Manual as** amended from time to time, located on-line at <http://www.kyae.ky.gov> and hereby incorporated by reference; and
- C. **Operate a program in compliance with the approved proposal, which is hereby incorporated by reference.**

II. The Second Party agrees to the following:

A. CONFIDENTIALITY

1. Assure the confidentiality of all information, whether written, verbal or electronic, provided by or about any client seeking or receiving services under this contract, except as approved and authorized in writing by the client, or as otherwise by law in accordance with the provisions of 5 U. S. C. § 552a which governs the release of public information.
2. (a) Use or permit access to the Kentucky Adult Education Reporting Information Network (hereafter referred to as “AERIN”), an information system that allows for the transfer of data to accommodate the assessment of potential services and program eligibility, only for purposes specifically authorized;
- (b) Provide to the First Party the completed Request for the AERIN Access form for any employee to be considered for access to the AERIN;
- (c) Require all employees who have been trained and granted access by the First Party to the AERIN to read and sign a copy of the Employee Security Contract which is available at <http://www.kyae.ky.gov/educators/forms.htm> and is hereby incorporated by reference;
- (d) Maintain a copy of signed security agreements in the personnel files of the respective employees and make copies available to KYAE upon request;
- (e) Ensure that only authorized employees are given access to the AERIN; and
- (f) Instruct all employees with access to the AERIN regarding the confidential nature of the information, including the relevant statutes and regulations.

B. INDEMNITY

The Second Party shall indemnify KYAE from any and all loss, claims, expenses, actions, causes of action, costs, damages, and obligations, arising from any and all acts of the Second Party, its agents, employees, licensees, or invitees that result in injury to persons, corporations, partnerships, or any other entity. Also, it shall indemnify KYAE from any and all liability, loss, or damage that KYAE may suffer resulting therefrom. Provided, however, in the event the Second Party is a state agency or subcontracts for services with a state agency subject to the jurisdiction of the Board of Claims pursuant to KRS 44.070 through KRS 44.160, the state agency's tort liability may be limited to an award from the Board of Claims up to the jurisdictional amount. In the event the Second Party is legally prohibited from entering into an indemnity contract, the Second Party shall hold KYAE harmless from any and all

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loss, claims, expenses, actions, causes of action, costs, damages, and obligations, arising from any and all acts of the Second Party, its agents, employees, licensees, invitees, or participants that result in injury to persons, damage to property or loss arising from performance of this contract, as those injuries, damages or losses related to any persons, corporations, partnerships, or any other entity, from any and all liability, loss, or damage.

C. SUBCONTRACTING

The Second Party agrees not to subcontract services under this contract. All services identified within this contract are to be directly provided by the Second Party unless specifically identified in the agreement or in the case wherein salary is being facilitated by the provider to the employing educational entity.

D. CONFLICT OF INTEREST

The Second Party certifies that it is legally entitled to enter into the subject contract and certifies that no employee or representative of the Second Party with procurement authority shall participate, either directly or indirectly, in any activities that are in conflict with the provisions stated in KRS 45A.340 , KRS 45A.455 and KRS Chapter 11A, Executive Branch Code of Ethics.

E. **AUDIT**

The Second Party shall procure, as to the completed contract, a single agency-wide audit, in accordance with and as required by, appropriate state and federal laws, regulations, and OMB Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations (revised 6/26/2007) or OMB Circular A-122, Cost Principles for Non-Profit Organizations (revised 5/10/2004), as applicable for your agency. The audit threshold is **\$500,000** or more in annual aggregate federal financial assistance for **all** programs administered by the Second Party. Federal financial assistance includes federal dollars received either directly from a federal agency or indirectly through a state or other agency. **In the event that aggregate federal funding equals or surpasses the threshold, a single audit shall be required and the Second Party shall submit a copy of the audit report to KYAE no later than March 31, 2013.** **In the event that aggregate federal funding is less than \$500,000, written notification that an audit report is not required must be sent to KYAE no later than March 31, 2014.**

Failure to comply with this section may result in payments being delayed or withheld.

In addition, KYAE may arrange for a comprehensive program and financial audit and/or follow-up audits of the Second Party.

F. METHOD OF PAYMENT

The Method of Payment will be in accordance with guidelines implementing the federal Cash Management Improvement Act, Pub. L. 101-453, 104 Stat. 1058. **This is a direct program cost reimbursement contract.** Payment will be made based on reasonable, allowable, and actual costs incurred. **KYAE does not permit the Second Party to charge indirect costs, or “overhead” charges, against this grant.**

The Second Party **understands that funds awarded under this contract cannot be used to provide services that would be otherwise available from another funding source or be available on a non-reimbursable basis.** If travel is included, it shall be paid in accordance with local policy or, in the absence of such policy, in accordance with 200 KAR 2:006. Payment by KYAE to the Second Party, as well as the Second Party's continued performance, shall be subject to the availability of state or federal funds necessary to finance the provision of the services described in this contract.

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The Second Party agrees to:

1. Submit complete and timely expenditure reports to KYAE detailing expenditures of actual costs incurred using the on-line Expenditure Report form and including detailed personnel expenditure on the Time Sheet Summary form. Timely reporting is defined as KYAE's receipt of monthly reports by the 10th of each month following the month of services. For programs administering more than one county, a report shall be submitted for each county individually.
2. Submit the final year-end on-line invoice detailing actual cost incurred no later than July 19, 2013 unless notified otherwise in writing by KYAE. Invoices received after July 19, 2013 will not be reimbursed.
3. Report only expenditures that are for goods received or services provided or received during the contract term and are determined allowable in compliance with the cost principles set forth in OMB A-122, OMB A-21 and OMB A-87, as applicable. Encumbered but unexpended funds are not eligible for reimbursement unless the goods/services have been received by close of business June 30, 2013.
4. Expenditures that exceed the approved budget line are not eligible for reimbursement.
5. A maximum of 15 % of the core services grant funding may be used for administrative purposes. Any administrative functions provided at the local level shall be budgeted at the local level.
6. Reimburse KYAE within 60 days of notification for any unresolved costs and/or payments that are disallowed as of a result of KYAE policy, federal/state guidelines, and/or audit findings.
7. Payments shall not be authorized for services rendered after Government Contract Review Committee disapproval, unless the decision of the committee is overridden by the Secretary of the Finance and Administration Cabinet or agency head, if the agency has been granted delegation authority by the secretary.
8. Failure by the Second Party to adhere to KYAE reporting requirements may result in:
 - ☞ Reimbursements being delayed or withheld; or
 - ☞ The 30-day contract termination clause being invoked by KYAE.

G. FINANCIAL MANAGEMENT SYSTEM

The Second Party shall establish and/or maintain a financial system that shall provide for:

1. Accurate, current, and complete disclosure of the financial results of the functions/services performed under this contract in accordance with reporting requirements set forth in OMB Circular A-133 (revised 6-26-2007), as applicable;
2. Records that identify the source and application of funds for activities/functions/services performed under this contract. These records shall contain information pertaining to federal and/or state funds received, obligations, unobligated balances (if applicable), assets, liabilities, expenditures, and income;
3. Effective control over and accountability for all funds, property, and other assets. The Second Party shall safeguard all such assets and shall assure that they are used solely for authorized purposes in the provision of functions/services under this contract;
4. Submit a cumulative inventory report form on-line in the Finance Module on or before August 31, 2013 for all non-consumable property with a life expectancy of one year or more and acquired with KYAE funds. Cumulative inventory is defined as any inventory purchase made with KYAE funds under this agreement or any previous agreement with KYAE (previously known as DAEL). All property purchased with Adult Education funds will revert to KYAE in the event this contract is not executed or is terminated; Note: Federal regulations restrict purchase of any item valued at \$5,000 or greater without prior written approval.

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5. When computer equipment has reached the end of its useful life, it may be disposed of following the Commonwealth Office of Technology (COT) guidelines for safeguarding personal and student information. It is the responsibility of the 2nd party to properly dispose of equipment in accordance with COT policy available on the KYAE web site.
6. Accounting records that are supported by original source documentation;
7. Assurance that no other funds or assets of the Second Party shall be co-mingled with the funds provided for these programs to be administered under this contract to any other program account, and that these funds shall not be utilized for any purposes except those specifically identified herein; and
8. Responsibility for monitoring, fiscal and/or program exceptions established by evaluation, monitoring and/or audit of this contract, and for promptly settling any monitoring, fiscal and program audit exceptions by making direct payment, or reduction of future reimbursement, or by other methods approved by KYAE.

H. ACCESS TO AND MAINTENANCE OF RECORDS

1. The state agency certifies that it is in compliance with the provisions of KRS 45A.695. "Access to contractor's books, documents, papers, records, or other evidence directly pertinent to the contract." The contractor, as defined in KRS 45A.030(9) agrees that the contracting agency, the Finance and Administration Cabinet, the Auditor of Public Accounts, and the Legislative Research Commission, or their duly authorized representatives, shall have access to any books, documents, papers, records, or other evidence, which are directly pertinent to this contract for the purpose of financial audit or program review. Records and other prequalification information confidentially disclosed as part of the bid process shall not be deemed as directly pertinent to the contract and shall be exempt from disclosure as provided in KRS 61.878(1)(c). The contractor also recognizes that any books, documents, papers, records, or other evidence, received during a financial audit or program review shall be subject to the Kentucky Open Records Act, KRS 61.870 to 61.884
2. The Second Party agrees to maintain all records pertaining to this agreement for a period of not less than three (3) years after the contract closing date and that all matters pertaining to this contract (i.e., audit, settlement of audit exceptions, disputes) are resolved in accordance with applicable federal and/or state laws, regulations, and policies (except as may otherwise be specified in this contract). This includes files of all personnel, financial records, statistics, property, participants, and supporting documentation or other written materials that relate to the delivery of service.
3. The Second Party agrees to permit staff of KYAE, or persons acting for KYAE, and/or staff designated by appropriate federal agencies, to monitor and evaluate services being performed. The Second Party also agrees to submit all records and documentation of service provisions in regard to contracted services when requested for monitoring purposes.
4. The Second Party agrees to maintain records that are sufficient to identify the results of the service provided to each individual and for use in evaluating the effectiveness of the total program. These records will be made available to KYAE staff upon request.

I. MEDIA RELEASES

Assure that all printed or electronic materials or presentations used for the promotion of programs paid wholly or in part with state or federal adult education funds identify that the program is a federal and state program administered by KYAE.

J. COPYRIGHTING

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KYAE has a royalty free, non-exclusive and irrevocable right to reproduce, publish or otherwise use, or permit others to use, any copyrighted material developed in the course of or under this contract.

K. EXTENSION/AMENDMENTS

1. The terms and conditions of this contract may be extended or amended by mutual consent of the parties in writing.
2. The Second Party may reallocate funds up to but not exceeding 10% of the original line item budget. No money may be moved between sub-grants. The total amount of the grant is not subject to alteration by the Second Party. Written notification of reallocation shall be made in the KYAE Finance Module prior to invoicing with the reallocated budget. Notification of reallocation must be received by KYAE no later than April 30, 2013.
3. In exceptional circumstances and for good cause shown, the Second Party may request to amend the contract budget beyond 10% of any original line item. A request for such amendment shall be received by KYAE in the KYAE Finance Module no later than April 30, 2013, and will be considered on a case-by-case basis. Approval from KYAE must be secured prior to expending funds based upon any reallocation in excess of 10% of the original line item.

L. TERMINATION

KYAE may cancel the contract at any time for cause, or on 30 day written notice without cause.

M. CHOICE OF LAW AND FORUM PROVISION

The laws of the Commonwealth of Kentucky shall govern all questions concerning the execution, validity, interpretation, and performance of this contract. Furthermore, the parties hereto agree that any legal action that is brought on the basis of this Contract shall be filed in the Franklin County Circuit Court of the Commonwealth of Kentucky.

ASSURANCES AND CERTIFICATIONS

Following is a series of state and federal laws and regulations with which a recipient of federal or state funding must be in compliance in order to receive the funds. If the Second Party cannot comply with any of these laws and regulations, federal or state funds cannot be released to that applicant.

N. KRS 45A.485 CERTAIN CONTRACTS REQUIRED TO MANDATE REVEALING OF VIOLATIONS OF AND COMPLIANCE WITH SPECIFIED KRS CHAPTERS – EFFECT OF NONDISCLOSURE OR NONCOMPLIANCE.

The Second Party shall comply with KRS 45A.485 to (a) reveal to the Commonwealth, prior to the award of this contract, any final determination of a violation by the applicant within the previous five-year period of the provisions of KRS Chapters 136 – Corporation and Utility Tax, 139 – Sales and Use Tax, 141 – Income Taxes, 337 – Wage and Hours, 338 – Occupational Safety and Health of Employees, 341 – Unemployment Compensation, and 342 – Workers Compensation and (b) for the duration of the grant to be in continuous compliance with the provisions of KRS Chapters 136, 139, 141, 337, 338, 341, and 342. To comply with provisions of KRS 45A.485, the contractor shall report any such final determination(s) of violation(s) to the Commonwealth by providing the following information concerning the final determination(s): the KRS violated, the date of the final determination, and the state agency which issued the final determination. Failure to comply with the above-cited statutes for the duration of the contract shall be grounds for the Commonwealth's cancellation of the contract and the contractor's disqualification from eligibility to bid or submit proposals to the

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Commonwealth for a period of two years.

O. DISCRIMINATION PROHIBITED

1. The Second Party agrees not to discriminate on the basis of race, color, national origin, religion, sex, age, or disability in employment or service delivery and program participation in conformity with the provisions of Title VI and VII of the Civil Rights Act of 1964, as amended; Title IX of the Education Amendments of 1972, as amended; Rehabilitation Act of 1973, as amended; Age Discrimination Act of 1975, as amended; Americans with Disabilities Act of 1990; and Executive Order No. 11246 of September 24, 1965, as amended; and all other applicable laws which prohibit discrimination and implementing regulations, guidelines, and standards lawfully adopted and promulgated under the laws.
2. In compliance with KRS 344.015, Kentucky Adult Education, Council for Postsecondary Education has adopted a Title VI Plan. The Second Party shall likewise adopt the Title VI Plan or certify compliance with its own Title VI Plan. The CPE Title VI Plan is available at www.cpe.ky.gov
3. To the extent that the Second Party is a required partner in a one-stop delivery system established pursuant to Title I of the Workforce Investment Act of 1998 (29 U.S.C. § 2841), the Second Party assures that it will comply fully with the nondiscrimination and equal opportunity provisions of the following laws:
 - ✎ Section 188 of the Workforce Investment act of 1998 (WIA), which prohibits discrimination against all individuals in the United States on the basis of race, color, religion, sex, national origin, age, disability, political affiliation or belief, and against beneficiaries on the basis of either citizenship/status as a lawfully admitted immigrant authorized to work in the United States or participation in any WIA Title I-financially assisted program or activity;
 - ✎ Title VI of the Civil Rights act of 1964, as amended, which prohibits discrimination on the basis of race, color and national origin;
 - ✎ Section 504 of the Rehabilitation Act of 1973, as amended, which prohibits discrimination against qualified individuals with disabilities;
 - ✎ The Age Discrimination Act of 1975, as amended, which prohibits discrimination on the basis of age; and
 - ✎ Title IX of the Education amendments of 1972, as amended, which prohibits discrimination on the basis of sex in educational programs.

The Second Party also assures that it will comply with 29 CFR Part 37 and all other regulations implementing the laws listed above. This assurance applies to the Second Party's status, if applicable, as a required partner in a one-stop delivery system established under WIA. The Second Party understands that the United States has the right to seek judicial enforcement of this assurance.

P. CERTIFICATION OF A DRUG-FREE WORKPLACE

The Second Party shall comply with the provisions of 34 CFR Part 85, Subpart F, Drug Free Workplace Act of 1988.

Q. CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY AND VOLUNTARY EXCLUSION, LOWER TIER COVERED TRANSACTIONS

1. The Second Part certifies that neither the Second Party nor its principals:
 - (a) Are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal Adult Education or agency;
 - (b) Have within a three-year period proceeding this contract been convicted of or had a civil

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- judgment rendered against them for commission of fraud or a criminal offense in connection with performing a public transaction;
- (c) Are presently indicted for or otherwise criminally or civilly charged by a governmental entity with commission of any of the offenses defined at 34 CFR Part 85;
 - (d) Have within a three-year period preceding this contract had one or more public transaction terminated for cause or default;
2. Where the Second Party is unable to certify to any of the statements in this certification, they shall submit an explanation to KYAE; and
 3. The instructions for certification, which are an integral part of this certification, have been read and agreed to by the Second Party.

R. CERTIFICATION ON LOBBYING

No federally appropriated funds have been paid or will be paid, by or on behalf of the Second Party, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member or Congress in connection with the making of any federal grant, the entering into any cooperative contract, and the extension, continuation, renewal, amendment, or modification of any federal grant or cooperative contract. If any funds, other than federal appropriated funds, have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or an employee of Congress, or an employee of a member of Congress in connection with this Federal grant or cooperative contract, the Second Party shall complete and submit standard form-LLL "Disclosure Form to Report Lobbying" in accordance with its instructions. The Second Party shall require that the language of this certification be included in the award documents for all sub-awards at all tiers (including contracts, and contracts under grants and cooperative contracts) and that all sub-recipients shall certify and disclose accordingly.

S. SAFETY

The Second Party assures that program participants shall not be required or permitted to receive KYAE funded services in buildings or surroundings which are dangerous, unsanitary, or hazardous to either the participant's or employee's health and safety.

T. REMEDIES FOR BREACH

In the event of breach of contract by the Second Party, KYAE may pursue any remedy available to it pursuant to this contract, or to the provisions of KRS Chapter 45A, or any other remedy available to it at law.

III. In relation to the contract, KYAE agrees to:

- A. Monitor and evaluate the program for compliance with the provisions of this contract;
- B. Provide information, consultation, technical assistance, and forms;
- C. Provide the Second Party access to the AERIN for the limited purpose of assessment of potential services and program eligibility; and
- D. Provide timely payments to the contractor upon receipt of approved invoices.

SCOPE OF WORK FY 2012 – 2013

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AUTHORITY

KYAE administers federal and state funds for adult education programs to provide adult education and literacy services to assist adults to become literate and obtain the knowledge and skills necessary for employment, self-sufficiency and completion of a secondary education in compliance with the Workforce Investment Act, Title II Adult Education and Literacy, 20 U. S. C. § 9201 et seq., KRS151B.410, KRS164.041, the KYAE State Plan, Policy and Procedure Manual, and implementing regulations.

Family Literacy Component (as applicable)

KYAE administers state funds for adult education programs to provide family literacy services that are of sufficient intensity in terms of hours, and of sufficient duration, to assist families to make sustainable increases in their literacy level and to become self-sufficient, pursuant to KRS 151B.410 and KRS 158.360.

A. PROGRAM DESIGN AND ACTIVITIES

The Second Party agrees to the following:

1. Provide adult education services or instruction below the postsecondary level for individuals who: have attained 16 years of age; are not enrolled or required to be enrolled in secondary school under State law; and
 - a) lack sufficient mastery of basic educational skills to enable the individuals to function effectively in society;
 - b) do not have a secondary school diploma or its recognized equivalent and have not achieved an equivalent level of education; or
 - c) are unable to speak, read, or write the English language.
2. Assess students to determine their academic level utilizing an enrollment assessment instrument recognized by KYAE. Administer standardized tests consistent with KYAE assessment policy.
3. Provide program participants with orientation and academic consultation throughout the enrollment and instructional process.
4. Provide services as outlined in the second party's approved proposal, which is hereby incorporated by reference.
5. Meet FY2012-2013 program performance measures which shall, at a minimum, equal the performance and enrollment goals as specified on the KYAE web site.
6. For entities providing KYAE services in multiple counties, evaluation of performance will be determined on an individual county basis.
7. Failure to meet performance measures in one or more counties covered under this agreement may result in action as defined by KYAE's accountability and program support model.
8. Entities receiving funding related to prior year's performance measures must expend those performance funds in accordance with KYAE fiscal policies and procedures.
9. Acceptable expenditures may include, but are not limited to, KYAE approved or sponsored training, instructional materials and equipment, advertising or facility improvements that do not include structural changes as defined in applicable federal circulars.
10. Bonuses for employees are not an allowable expense.
11. Submit any changes to the proposed delivery of services consistent with applicable statutes, regulations, and policies, including budget, scope of work, or personnel qualifications worksheets to KYAE for review and approval.
12. Adhere to all KYAE policies as outlined in the KYAE Policy and Procedure Manual.
13. Notify KYAE within ten days of changes in program services, contact names, mail or e-mail addresses or telephone/fax numbers.

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B. REPORTING

The Second Party agrees to:

1. Report accurate, up-to-date student/program data via the on-line system by the 10th of each month for the previous month;
2. Submit the KYAE Expenditure Report monthly in compliance with the Method of Payment as outlined in this contract, II. F. 1-9;
3. Submit to KYAE by August 31, 2013, and a cumulative Inventory Report on-line for all non-consumable items purchased with KYAE funds (II. G. 4);
4. Submit a copy of the single audit as per section E of this document by March 31, 2013; and that
5. Failure by the Second Party to adhere to KYAE reporting requirements may result in:
 - § Reimbursements being delayed, reduced or withheld; or
 - § KYAE invoking the 30-day contract termination clause.

C. PROFESSIONAL DEVELOPMENT

The Second Party agrees to:

1. Adhere to KYAE Professional Development and Training Policy as detailed in the KYAE Policy and Procedure manual, which may be amended from time to time and is available on the KYAE website; and
2. Ensure that expenditure for professional development activities follows the Fiscal Guidelines for Professional Development in accordance with KYAE Policy and Procedure manual for KYAE approved professional activities.

D. CORRECTIONS

The Second Party agrees to provide, where applicable, adult education and literacy services to eligible incarcerated participants on a cost reimbursable basis, and in compliance with KYAE policies and contract payment and reporting requirements as specified in this document. In the event the Second Party elects not to offer services in a correctional facility, KYAE reserves the right to secure services from another entity.

E. WORKFORCE EDUCATION

The Second Party agrees to provide, where requested and within staff limitations, usual and customary adult education services on a cost reimbursable basis and in compliance with KYAE policies, including reporting requirements and contract payment as specified within this document.

- ☞ All students must be eligible to receive adult education services.
- ☞ National Reporting System/KYAE- approved pre- and post-assessments are required to determine eligibility, inform instruction and assess progress.
- ☞ All students must be entered into AERIN and will be in NRS educational levels.
- ☞ All services shall include at least one of the following required components:
 - § Academic instruction (reading, writing, mathematics or English as a second language)
 - § Instruction leading to GED attainment
 - § Instruction leading to the Kentucky Employability Certificate or equivalent
 - § Instruction leading to the Kentucky Manufacturing Skills Standards certificate (academic components only).
- ☞ Services must include **at least** 12 hours of instruction.

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CORE INDICATOR #1: Demonstrated improvements in literacy skill levels in reading, writing and speaking the English language, numeracy, problem-solving, English language acquisition, and other literacy skills.

Beginning Literacy/ABE

- 00% of beginning literacy (grade equivalent 0-1.9) enrollees will acquire the level of basic skills needed to complete the educational functioning level (as validated by formal assessment).
- 00% of beginning ABE (grade equivalent 2.0-3.9) enrollees will acquire the level of basic skills needed to complete the educational functioning level (as validated by formal assessment).
- 00% of low intermediate ABE (grade equivalent 4.0-5.9) enrollees will acquire the level of basic skills needed to complete the educational functioning level (as validated by formal assessment).
- 00% of high intermediate ABE (grade equivalent 6.0-8.9) enrollees will acquire the level of basic skills needed to complete the educational functioning level (as validated by formal assessment).
- 00% of low adult secondary ABE (grade equivalent 9.0-10.9) enrollees will acquire the level of basic skills needed to complete the educational functioning level (as validated by formal assessment).

Beginning Literacy/ESL

- 00% of beginning literacy ESL enrollees will acquire the level of English Language skills needed to complete the educational functioning level (as validated by formal assessment).
- 00% of low beginning ESL enrollees will acquire the level of English Language skills needed to complete the educational functioning level (as validated by formal assessment).
- 00% of high beginning ESL enrollees will acquire the level of English Language skills needed to complete the educational functioning level (as validated by formal assessment).
- 00% of low intermediate ESL enrollees will acquire the level of English Language skills needed to complete the educational functioning level (as validated by formal assessment).
- 00% of high intermediate ESL enrollees will acquire the level of English Language skills needed to complete the educational functioning level (as validated by formal assessment).
- 00% of low advanced ESL enrollees will acquire the level of English Language skills needed to complete the educational functioning level (as validated by formal assessment).

CORE INDICATOR #2: Placement in, retention in, or completion of postsecondary education, training, unsubsidized employment, or career advancement.

- Placement in postsecondary education/training
00% of adult learners with a goal of advanced education or training will enroll in postsecondary education or training.
- Placement in unsubsidized employment
00% of adult learners not employed at enrollment (and in the workforce), with an employment goal, will obtain unsubsidized employment by the end of the first quarter after the program exit.
- Retention in unsubsidized employment
00% of the relevant adult learners will retain unsubsidized employment in the third quarter after the program exit quarter. Relevant adult learners are defined as those adults:
 - (1) employed at program entry with a job retention goal; and
 - (2) enrolled, but not employed at program entry with an employment goal, who obtained employment by the end of the first quarter after the exit quarter.

CORE INDICATOR #3: Receipt of secondary school diploma or its recognized equivalent.

- 00% of adults with a high school completion goal will earn a high school diploma or

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recognized equivalent.

PROGRAM ASSURANCES FY 2012-2013

Assurances to Kentucky Adult Education, Council on Postsecondary Education (KYAE), under authority of Title II of the *Workforce Investment Act of 1998*, P.L. 105-220, KRS 151B.410, KRS 158.360 and KRS 164.020-23. The Second Party assures Kentucky Adult Education, Council on Postsecondary Education that:

1. The information contained in the application/proposal is correct and accurate to the best knowledge of the second party.
2. The second party will comply with all provisions of the KYAE Policy and Procedure Manual. (This is a State Requirement. The Federal Workforce Investment Act, Adult Education and Family Literacy Act, Title II, requires that RFPs identify state requirements.)
3. The second party will meet enrollment, academic performance, GED and transition goals. (This is a State Requirement.)
4. The second party will provide direct services to eligible adults and will not subcontract service provision. (This is a State Requirement.)
5. The second party will provide structured, scheduled, instructor-led learning opportunities resulting in successful student and program outcomes as well as effectiveness and efficiency. The second party will incorporate KYAE's managed program design parameters. (This is a State Requirement.)
6. The second party will incorporate KYAE Common Core Standards into classroom use. (This is a State Requirement.)
7. A major indicator of program success is a high-quality instructional staff and instructional leadership. The second party assures that all staff will meet KYAE minimum personnel requirements as specified in the KYAE Policy and Procedure Manual and that new staff will be hired through a structured, rigorous recruitment and selection process. (This is a State Requirement.)
8. Grantees located in counties with full-service jails will work in cooperation with the local jailer to offer adult education services in correctional settings. (This is a State Requirement.)
9. The second party will adhere to all KYAE data collection and reporting requirements. (This is a State Requirement.)
10. The second party is responsible for providing technical support to the adult education program as needed to ensure security of information, computer access for staff and students, and proper functionality of hardware and software. (This is a State Requirement.)
11. Funds received under this grant will be used to supplement and not supplant funds already available to the applicant from other sources for purposes authorized by the Adult Education and Family Literacy grant program.
12. KYAE funds will not be expended for any purposes other than the direct provision of the adult education program.
13. The second party will have sufficient working capital to sustain program services until the first invoice is paid according to the Commonwealth of Kentucky's contracting and invoicing process. In accordance with the Federal Cash Management Improvement Act, eligible providers that lack sufficient working capital may submit a written request for a working capital advance.
14. The second party will repay any funds that have been finally determined through federal or state audit resolution processes to have been questioned or disallowed costs or otherwise not properly accounted for, and further agrees to pay any collection fees that may subsequently be imposed by the federal and/or state

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government. (This is a State Requirement.)

15. A maximum of 15 percent (5 percent federal, 10 percent state) of the core services grant funding may be used for administrative purposes. Fiscal agents serving multiple counties should be aware that (These are State Requirements.):
 - ✎ Administrative funds can be pooled from multiple counties to support a full-time adult education director.
 - ✎ Administrative funds from multiple counties must be used proportionately throughout the contracted counties.
 - ✎ Any administrative functions performed at the county level must be budgeted at the county level.
 - ✎ Instructional funds may not be used to cover administrative costs at the county level.
16. To maximize the amount of funds available for direct instructional services, KYAE favors adult education programs to pay minimal or no rent for space, especially those located in publically owned buildings. If total operational costs exceed 5 percent of the county's total core services allocation, the applicant must provide a strong justification for the cost in the budget narrative. If operational costs exceed 5 percent, the budget will be negotiated with the applicant prior to final approval of the proposal. (This is a State Requirement.) Fiscal agents shall ensure that (These are State Requirements.):
 - ✎ All instructional facilities and services are in compliance with the Americans with Disabilities Act of 1990.
 - ✎ Facilities have appropriate exterior and interior signage clearly identifying the adult education programs.
 - ✎ 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, sanitary and non-hazardous.
 - ✎ The location is easily accessible with adequate parking.
 - ✎ The facility has an environment conducive to adult learning.
17. If it is determined through a KYAE site visit that the facility does not meet requirements, the second party may be asked to relocate the center to a more appropriate location or correct deficiencies. (This is a State Requirement.)
18. Newly selected grantees will work with KYAE regional associates to identify appropriate adult education center locations. Grantees must also work with the KYAE regional associates when moving the location of an adult education center. (This is a State Requirement.)

Funding Out Provision:

The state agency may terminate this contract if funds are not appropriated to the contracting agency or are not otherwise available for the purpose of making payments without incurring any obligation for payment after the date of termination, regardless of the terms of the contract. The state agency shall provide the contractor thirty (30) calendar days written notice of termination of the contract.

Authorized to do Business in Kentucky:

The contractor affirms that it is properly authorized under the laws of the Commonwealth of Kentucky to conduct business in this state and will remain in good standing to do business in the Commonwealth of Kentucky for the duration of any contract awarded.

The Contractor shall maintain certification of authority to conduct business in the Commonwealth of Kentucky

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during the term of this Contract. Such registration is obtained from the Secretary of State, who will also provide the certification thereof.

Reduction in Contract Worker Hours

The Kentucky General Assembly may allow for a reduction in contract worker hours in conjunction with a budget balancing measure for some professional and non-professional service contracts. If under such authority the agency is required by Executive Order or otherwise to reduce contract hours, the contract will be reduced by the amount specified in that document.

Effective Date: July 1, 2012 - Expiration Date: June 30, 2013

Authorizing Signatures

We, the undersigned, hereby acknowledge our agreement to the terms and conditions contained in this document and that we are authorized to obligate our respective organizations accordingly.

1st Party: _____ Date _____
Reecie Stagnolia, Vice President, KYAE

Approved as to form and legality: _____
General Counsel CPE

2nd Party: Signature _____ **Date** _____

Printed Name _____ Title _____

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Signatures

We, the undersigned, hereby acknowledge our agreement to the terms and conditions contained in this document and that we are authorized to obligate our respective organizations accordingly.

Council on Postsecondary Education (1st party)

Reecie Stagnolia, Vice President KYAE Date

Approved as to form and legality

Travis Powell, General Counsel

National Center for Family Literacy (2nd party)

Signature Date

Printed Name: _____

Title: _____

Approved as to form and legality (optional)

Legal or General Counsel

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Council on Postsecondary Education

Title VI of the Federal Civil Rights Act

Sub recipient Acknowledgement Form

July 2012

Accompanying this acknowledgment form is the Council's current Title VI plan, which is applicable to the following federal programs administered by the Council: Improving Educator Quality, Adult Education, and GEAR-UP Kentucky. We appreciate your cooperation completing and returning this form timely in order for the Council to continue to assure we are meeting our Title VI responsibilities.

Title VI of the Civil Rights act of 1964 (42 U.S.C. 2000d) provides:

No person in the United States shall, on the grounds of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving federal financial assistance.

In addition Executive Order 13166, August 11, 2000 requires that programs and services be made available to individual participants with Limited English Proficiency (LEP).

Federal Program Name: _____

Program Director Name and Title: _____

Return the completed form within 30 days to the CPE grant contact identified below:

(scanned attachments and faxes are acceptable)

1. _____ is a sub recipient and/or contractor of the federal program listed above and has received a copy of the Council's current Annual Title VI Implementation Plan and is in compliance with the policies stated therein. A copy of the current plan can be always be obtained at <http://cpe.ky.gov/about/titlevi.htm>

2. As a requirement of the Title VI plan, the sub recipient/contractor will follow the Council's Title VI plan or the sub recipient / contractor's Title VI plan. Please check which plan will be followed:

___ Council on Postsecondary Education Title VI Plan

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____ Sub recipient / Contractor Title VI plan

Please provide the name and contact information of the sub recipient's/ contractor's responsible Title VI reporting official:

3. As a sub recipient/contractor, _____
 _____ agrees to the following:

- a. Maintain adequate records on beneficiaries' participation to ensure the federal program is open to all individuals regardless of race, color, or national origin and submit compliance reports if required by Department of Education. Upon request, this information shall be provided to the Council on Postsecondary Education.
- b. Promote public outreach by ensuring Title VI posters are posted prominently in the beneficiary's views.
- c. Ensure that all employees involved in the federal program are notified of the Title VI responsibilities and complaints procedures.
- d. Implement procedures to assist beneficiaries with limited English proficiency (LEP).
- e. Forward all complaints and their resolutions, if applicable, to the Council on Postsecondary Education's Title VI Coordinator, Rebecca Bowman, 1024 Capital Center Drive, Frankfort, KY 40601.

 (Signature and Date)

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(Printed Name and Title)