Alabama Community College System

2017-2018 Adult Education Procedure Manual

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INTRODUCTION

This reference manual is designed to provide relevant information regarding the policies and procedures that govern the delivery of adult education programs through Alabama Adult Education (AAE), a unit of Alabama Community College System (ACCS).

The Alabama Adult Education, Alabama Community College System is held accountable by the state of Alabama and the U.S. Department of Education's Office of Career, Technical, and Adult Education (OCTAE) to improve the educational status of adult Alabamians. AAE serves eligible Alabamians who do not have a high school diploma, who function at low levels of literacy, or who want to learn the English language. This is accomplished through the provision of basic skill instruction aligned to academic standards leading to high school equivalency preparation, postsecondary success, and/or gainful employment.

The federal Adult Education and Family Literacy Act, Title II of the Workforce Innovation and Opportunity Act (WIOA), mandates our state 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 in—
    a. Improving their—
        i. Reading, writing, speaking, and comprehension skills in English and
        ii. Mathematics skills; and
    b. Acquiring an understanding of the American system of government, individual freedom, and the responsibilities of citizenship.

The purpose of the Act is to help adults increase literacy and numeracy activities necessary to complete a high school education or its equivalency; transition to postsecondary education or skills training; and obtain employment.

For more information on the Adult Education and Family Literacy Act, Title II, of the Workforce Innovation and Opportunity Act (WIOA), click here.

ADULT EDUCATION SERVICES

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Adult education programs shall offer adult literacy, adult basic education, adult secondary education, and high school equivalency test preparation that increase a student's ability to attain a **high school diploma or equivalent**; **transition to postsecondary education or skills training**; and **obtain employment**.

Programs may also offer services in English Language Acquisition, Family Literacy, Integrated English Literacy and Civics Education; workforce preparation, and integrated education and training, including career pathways. Services may include preparation for the 21st century economy which entails problem solving and critical thinking skills that are foundational for college and career readiness; as well as corrections education for those that reside in state institutions, local correctional facilities, or transitional housing for incarcerated or probationary individuals.

In adherence to the Workforce Innovation and Opportunity Act (WIOA) 2014, adult education programs shall focus on providing services that measure:

- Demonstrated improvements in literacy skill levels in reading, writing, and speaking the English language, numeracy, problem solving, English language acquisition, and other literacy skills such as digital literacy, financial literacy, and health literacy.
- Placement in, retention in, or completion of postsecondary education, training, unsubsidized employment or career advancement.
- Receipt of a secondary school diploma or its recognized equivalent.

Core services are defined as adult literacy services, adult basic education, adult secondary education/high school equivalency preparation, English language acquisition, integrated English literacy/civics education (IELCE), family literacy, corrections education and workforce education. Instruction in life skills, employability skills and computer literacy are to be integrated into academic instruction but are not provided as independent instruction.

Adult education programs shall:

- Use contextualized curriculum that supports high school equivalency and college and career readiness standards
- Provide integrated education and training opportunities leading to career pathways in alignment with local needs and labor market information
- Provide bridge programs to ensure students are successful in postsecondary education and training
- Provide stackable credentials to enhance students ability to achieve gainful employment

- Integrate essential 21st century skills, such as, but not limited to, critical thinking, problem solving, technology usage, team concept, attendance, financial literacy, resume and job application requirements

Adult education providers shall not charge students or employers for instructional or other services covered by state and federal adult education funds.

Programs are required to fully implement standards-based instruction using the Office of Career, Technical, and Adult Education (OCTAE) College and Career Readiness Standards for Adult Education.

Adult Education Program Design

Adult Education programs will:

- Provide free and direct instructional services to eligible adult students on a 12-month basis.
- Operate multiple sites in the service area based on student demand.
- Execute in the most efficient manner for maximizing resources, while demonstrating effectiveness.
- Administer services to the entire service area stipulated in the contract.

ACCS/AE funded programs are expected to provide structured, scheduled, instructor-led learning opportunities resulting in successful student and program outcomes. All local programs are required to incorporate the following elements into their service delivery models:

- Orientation
- Assessments
- Flexible schedules and alternative instructional options based on students demand and need

Orientation

Orientation is an intake process which collects pertinent information related to determining a student's eligibility based on age requirements and academic functioning level; as well as goal-setting and other relevant activities which promote and enhance student persistence and retention in the Adult Education program.

Programs have the flexibility to design their orientation in a manner that best meets the needs of their populations. This may include centralized and/or individualized orientations scheduled on a daily or weekly basis.

Ensuring that students have a positive beginning by providing a welcoming, thoughtful, and thorough intake process increases the chance that learners will continue attending classes. It is very important to use [best practices](#) as they relate to persistence and retention.

Research indicates that the first three weeks of a student's participation in adult education are critical to the student's continued motivation and persistence. A scheduled orientation allows adult educators to provide the level of attention this process requires. It also allows students to begin developing learning communities, which are important to their persistence and success.

While there is flexibility for each local program to design its own orientation, the following are required elements:

1. Intake (to include the collection of necessary forms and documents)
2. Determination of each student's eligibility based on age requirements and academic functioning level
3. Goal-setting to formulate the student's path
4. Any additional activities designed to enhance and promote student persistence and retention, including both a learning styles inventory and a career exploration assessment

Intake is the student's introductory process to the Adult Education program. During intake, all required forms are completed, and necessary documents are collected and reviewed to ensure the student meets eligibility requirements.

A student's eligibility is determined at the time of orientation for both age requirements and educational functioning levels (EFLs). Individuals between the ages of 16-18 who request to enroll into an adult education program must provide official documentation of withdrawal from school (see [Memorandum Explaining Guidelines for Students 16 and 17 Year Olds](#)). A student's educational functioning level is determined through the TABE Locator Assessment administered during orientation. A student with a high school diploma must score 12.9 or below on the Tests for Adult Basic Education (TABE) to be eligible for services. For more detailed information, see the *Adult Education Student Eligibility* section.

Programs shall have a goal-setting process whereby students meet with teachers or an intake counselor to help identify and set goals for instruction. This often takes place during orientation. The best time for this process to occur is when the student first enters the program. The goal-setting process should help students set both a realistic timeline for attaining each goal and a means for determining whether the goal is achieved. Since students often change their goals after they begin instruction, it is often recommended to review goal setting the first few weeks of class.

All programs will administer a learning styles inventory for each learner who enrolls in an adult education program. Teaching styles and techniques will accommodate a variety of learning styles.

Scheduled Classes

ACCS/AE requires all programs to establish scheduled classes based on student demand, determined through methods such as analyzing student attendance patterns and surveying current students, to ensure that classes are being offered at times when students are most likely to attend. It is expected that all students in each adult education program will be enrolled in classes. The classes will meet the following requirements:

- Must be taught by a qualified instructor and should use lesson plans aligned with College and Career Readiness Standards
- Must provide at least six hours of instructional time per week
- Should employ differentiated instruction as necessary to meet the needs of students at various levels.
- Should incorporate technology in the classroom and utilize technology as distance learning opportunities and/or hybrid offerings.
- Include various instructional styles, strategies, adaptations and resources to meet the needs of all students, including those with learning challenges.
- Integrate employability and digital literacy skills into academic subjects.
- Must maintain a sign-in sheet with signature or electronic attendance tracking system with unique identifier that accounts for time in class.

Programs shall set local guidelines regarding:
- Class attendance.
- Class size and teacher-student ratio.
- Student commitment.
- Student conduct.

Structured Educational Alternatives

ACCS/AE recognizes that classroom attendance may not be possible for some students, especially those who are employed. Also, students may need an education alternative:

- While they are waiting for a new class to start.
- Before they are academically prepared to join a class.
- As supplemental instruction while enrolled in a class.

In acknowledgment of adult students' potential barriers, ACCS/AE requires that, in addition to scheduled classes, programs may offer structured education alternatives to meet student needs. It is expected that a minority of students in each program will receive their primary instruction in education alternatives.

Structured options may include, but are not limited to, the following:

- "Retention" classes – Some programs have established "retention" classes for students who want to enroll while classes are already underway. Some "retention" classes allow students to work on reading and study skills based on social studies and science in an instructor-led class. When a class opens in the student's needed academic area, the student is enrolled in the class.

- Scheduled labs – A structured lab can be designed for students who miss the start of a new class, do not want to participate in a classroom setting or need additional assistance. Instructor-led labs allow students unable to attend scheduled classes to have an alternative learning opportunity allowing them to accomplish their educational goals without creating another barrier to their success.

- Computer labs – Computer labs for independent study may be open and available to students any time the adult education center is open.

- Distance learning – Students may begin or supplement their studies using a distance learning product.

- Study time/study groups – Study time provides an opportunity for students to independently study and/or complete work while at the center and is especially important for students who do not have a home environment conducive to learning. Another option is providing opportunities for students to gather pre- or post-class in a facilitated or un-facilitated study group.

- Workshops – Short-term academic workshops on targeted areas allow new students, who may be waiting for a scheduled class to start, to begin their academic work in targeted areas such as multiplication tables, calculator use, graphic information or other topics.

Core Services

ACCS/AE-funded programs may provide all of the following services:

Adult Literacy

Adult literacy is a program of instruction designed for adults who have minimal or no skills in reading, writing, speaking, problem solving or computation.

Adult Basic Education

Instruction in adult basic education is designed for adults who lack competence in reading, writing, speaking, problem solving or computation at a level necessary to function in society, in the workplace or in the family.

Adult Secondary Education/GED® Test Preparation

Adult secondary education/GED® test preparation provides instruction designed for adults who have some literacy skills and can function in everyday life but who are not proficient in reading, writing, speaking, problem solving or computation or do not have a high school credential.

Students with a high school credential may be served in core services if they score 12.9 or below on the Tests for Adult Basic Education (TABE).

It is strongly recommended that the population without a high school diploma or its equivalent take precedence. In other words, serving the population with a high school diploma or its equivalent, as capacity permits, should not be in lieu of the population without a high school diploma or its equivalent.

English Language Acquisition

English Language Acquisition (formerly referred to as ESL) is instruction that assists individuals of limited English proficiency to achieve competence in the English language. Instruction is geared to adults who want to become more fluent in English, pass the U.S. citizenship test and/or GED® Test, and work on job-seeking skills.

Integrated English Language/Civics Education (IELCE)

These services are provided to English language learners who are adults, including professionals with degrees or credentials in their home countries, and enable 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 of the United States.

IELCE services **must** 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.

Follow the links below for IELCE resources:

[Unpacking the Regulations: Subpart G—Integrated English Literacy and Civics Education Program](#)

[Integrated English Literacy and Civics Education (IELCE) Program Guide](#)

Institutional / Corrections Education

Adult Education may also provide instruction to Institutionalized populations. These services may take place at a local jail, halfway house, state correctional institution or any other transitional housing. This instruction may consists of adult literacy, adult basic education, adult secondary education/GED® test credential preparation and/or English language acquisition for adult criminal offenders. Instruction in life skills, employability skills and computer literacy may be integrated into academic instruction.

Local institutionalized classes need to have the support of the warden and other administrative officers, and have the following available:

- At least six hours of classroom instruction must be made available per week, allowing for sufficient instructional time for meeting the post-assessment policy.
- During instructional time, the correctional facility must dedicate an adequate space that is conducive to learning. The space should have a low-noise level, adequate lighting, a comfortable temperature and appropriate furnishings.
- Inmates (students) should have access to instructional material for additional study outside of the classroom setting.

All corrections education programs must be funded with institutionalized funds, and the designated type program in AAESAP recorded as "Corrections".

Family Literacy

Family literacy programs are designed to break the intergenerational cycle of under-education by providing opportunities for parents and their children to learn together.

Local adult education programs have flexibility in designing and offering family literacy classes. For example, programs may choose to operate a 12-month program, a summer program, or even a series of short, but intensive, family literacy classes. In designing a family literacy program, programs should consider:

- Family literacy does not have a separate enrollment goal. Each family literacy adult student counts toward the original program's performance and outcome guidelines.
- Family literacy programs must be based on a four-component model – (1) adult education, (2) Parent and Child Together Time (PACT), (3) parenting and (4) children's education.

- Family literacy students are expected to participate in an average of four PACT hours (two facilitated and two un-facilitated) and two parenting hours per month while enrolled in family literacy.
- Eligible family literacy participants include at least one child between the ages of birth and 18 years and at least one adult who is responsible for the child's well-being and who is consistently an influence on the child's development.
- The adult student must meet the eligibility requirements for participation in adult education.
- The child education component is to be provided by other local educational agencies. ACCS/AE funds may be used to provide the other three components. Facilities, programs and services shall comply with local, state and federal regulations for serving children.

College- and Career-Readiness

College-Readiness: The level of preparation a first-time college student needs to succeed in a credit-bearing course at a postsecondary institution.

Career-Readiness: The level of preparation a high school graduate (or high school equivalency graduate) needs to proceed to the next step in a chosen career pathway, whether that is postsecondary coursework, industry certification or entry into the workforce.

College-Readiness components include:

- Providing standards-based instruction using College- and Career-Readiness standards (higher level thinking and depth of knowledge).
- Establishing and reviewing attainable goals with each student to include short-, mid-, and long-term planning.
- Referring students to appropriate support services both inside the college and with local community service providers.
- Creating useful and relevant learning experiences that encourage career exploration.
- Building community and integrating technology.
- Sorting and delivering learning into manageable pieces.
- Using students' prior knowledge during instruction.
- Providing an environment where mistakes are teachable moments.
- Celebrate milestones.

Career-readiness components:

- Soft skills (non-academic) including critical thinking, computing, reading, writing, communication, problem-solving, team-building, use of technology.
- 21st Century skills: collaboration, communication, critical thinking and creativity.

- Contextualizing – Providing standards-based instruction within the context of relevant employability skills and/or career pathway exploration.
- Instruction leading to the National Career Readiness Certificate (NCRC).
- Integrating technology skills within standards-based instruction.
- Instruction leading to GED® credential attainment.
- Providing opportunities for Career Pathways.

Integrated Education and Training (IET) – Career Pathways and Bridge Programs

These programs are those which align adult education, job training, higher education and basic support systems to create pathways to postsecondary educational credentials and employment. IET and workforce activities must also align with OCTAE's Employability Skills Framework, as well as industry standards. The programs will:

- Identify viable labor force occupational demands for family-sustaining wage jobs.
- Provide a seamless transition between adult education and career exploration and training and/or postsecondary education.
- Contextualize standards-based academic instruction.
- Issue stackable credentials; e.g., earning an NCRC, GED® credential and technical certificate.
- Avail students of intensive, wraparound support services; e.g., acquaint students with postsecondary education success coaches and/or navigators.
- Refer students to sources of financial aid for low-income adults; e.g., scholarships, foundations, etc.
- Administer ACCS/AE-approved pre- and post-assessments required to determine eligibility, inform instruction and assess progress.

To participate in the above programs:
- Students must be eligible for adult education services.
- Students must be entered in Alabama Adult Education System for Accountability and Performance (AAESAP) and in NRS educational levels.

Adult Education students may participate in credit-based or non-credit classes/programs for career pathway training. For AAESAP data entry purposes, to determine the credit equivalent for a student's completion of a non-credit pathway course/training, the local provider must provide the state AE office with the number of direct instructional hours for the course, and then the state will complete a clock-hour to credit-hour conversion so the local provider can input the completion in AAESAP.

Integrated Education and Training (IET) Checklist

PERFORMANCE AREAS / MEASURES AND OUTCOMES

ACCS/AE identifies annually expected levels of performance for 1) each of the NRS core indicators of performance. These performance levels are negotiated between the State and the Office of Career, Technical, and Adult Education (OCTAE) annually; and 2) State assigned performance goals which are communicated by the ACCS/AE Office to the local programs on an annual basis.

For NRS performance indicators, performance is measured based on the **federal program year (July 1 – June 30)**. For State assigned goals, performance is measured on the **state fiscal year (October 1 – September 30)**.

National Reporting System (NRS) guidelines require documentation on performance outcomes for each learner enrolled in adult education classes. All programs must place students into an NRS educational functioning level, and examine student learning gains.

Alabama Community College System, Adult Education Division recognizes the following as **core performance areas**:

Enrollment is defined as a student assessed and enrolled 12 hours or more in adult literacy, adult basic education, adult secondary education and English language acquisition. Instruction may take place in correctional institutions, within family literacy services and other venues funded through the core services grant.

Academic performance is defined as the percent of enrolled students eligible for *completing* an NRS educational functioning level(s) (EFL).

GED® goal attainment is based on the population 18 and older without a high school diploma (**American Community Survey 2009-2013**) and the county's percentage of the state goal established by Alabama Adult Education (AAE), Alabama Community College System (ACCS).

Achievement of NCRC (National Career Readiness Certificate) Certificates - is based on the number of students who successfully complete the ACT WorkKeys.

Gained Employment - is defined as learners who obtain a job by the end of the first quarter after their exit quarter.

Retained Employment - is defined as learners who obtain a job and remain employed in the third quarter after program exit.

Obtained GED or Secondary School Diploma - Learner who obtained a secondary school diploma, or recognized equivalent after exit.

Entered Postsecondary or Training - Learner enrolling after exit in a postsecondary educational institution or occupational skills program, building on prior services or training received.

ADULT EDUCATION STUDENT ELIGIBILITY

Pursuant to Title II of the Workforce Investment Opportunity Act, the Adult Education and Family Literacy Act, eligible students are those individuals who:
- have attained 16 years of age (see [Memorandum Explaining Guidelines for Students 16 & 17 Years of Age)](#)
- are not enrolled or required to be enrolled in secondary school under state law; and who:
    o are basic skills deficient or lack sufficient mastery of basic educational skills to enable the individual to function effectively in society;
    o do not have a secondary school diploma or its recognized equivalent, or have not achieved an equivalent level of education; or
    o are unable to speak, read, write or comprehend the English language.

Eligible students must live, work or be enrolled in postsecondary education in Alabama (an exception to this qualification would be if the student is referred by a Career Center to an Alabama AE program in a county that is bordered by another state). A student with a high school diploma must score 12.9 or below on the Tests for Adult Basic Education (TABE) to be eligible for services. An English Language Acquisition (ESL) student must be assessed on a state approved ESL assessment.

Individuals who are 16 and 17 years of age, and request to enroll into an adult education program must meet the following:

    I.   **For an Individual 16 Years of Age Who Wishes To Enroll in an AE program:**

        1. Student must present a notarized, [Certificate of Exemption](#) from the student's last school system attended, **and** a notarized [Parental Permission Form](#);
                                         OR
        If the student attended and dropped out of a private school, church school, or private tutor program, the student must present a notarized letter ([Parental Permission Form](#)) from his/her parent or legal guardian naming the school, providing the drop-out date, and stating the student has dropped out of school, and has permission to enroll in the Adult Education program

      2. Student must provide proof of Alabama residency

II.   **For an Individual 17 Years of Age Who Wishes To Enroll in an AE program:**

1. Student must have participated in an exit interview with their high school administration and provide a signed Exit Interview Form.
(Please Note: The student's refusal to participate in the scheduled Exit Interview should be documented by the school personnel on the Exit Interview Form. Local AE programs must maintain an Exit Interview Form for all 17 year old public high-school dropouts. These guidelines also apply to HSO students who are 17 years of age.)

AND

2. Student must provide a notarized and signed letter (Parental Permission form) from his/her parent or legal guardian, naming the school, providing the drop-out date, and providing parental permission for the student to enroll in the Adult Education program.

OR

If the student attended a private school, church school, or private tutoring program, the student must present a notarized and signed letter (Parental Permission Form) from his/her parent or legal guardian naming the school, providing the drop-out date, and stating the student has dropped out of school and has permission to enroll in the Adult Education program.

3. Student must provide proof of Alabama residency

Court mandated individuals, ages 16 or 17, must provide official court documentation to enroll in Adult Education & to be administered the GED® test. A signed court order does not require the student to present a Certificate of Exemption, Exit Interview Form, or Parental Permission Form to be enrolled into an Adult Education program (or to be administered the GED® Test).

Acceptable Forms of ID which can be used as proof of Alabama Residency for Adult Education purposes are as follows:

- Alabama Driver's License
- Alabama Non-Driver's ID
- Alabama Photo Voter ID Card
- Alabama Employer Issued ID Card (verification of employment from an Alabama employer, such as a paycheck stub or written verification letter, may also suffice)
- Employee Photo ID from any level of government within the state of Alabama (state, county, municipality, board, or other entity of the state)
- Student Photo ID from a public or private college, university, or high school within the state of Alabama
- Referral by a Career Center (**for our programs in border counties only**)

In accordance with [Title VI of the Civil Rights Act of 1964](), adult education providers shall not discriminate on the basis of gender, race, color, age and/or national origin in its adult education and literacy programs, activities, employment or admission policies and practices.

Individuals with an **F-1 Visa (student visa)** status are *ineligible* for services and shall "not be accorded a course of study in a publicly funded adult education program." [Source: U.S. Immigration and Nationality Act [(Sec. 1101a (15)(F)(1)]]()

ENROLLMENT

Enrollment is defined as a student assessed and enrolled 12 hours or more in [adult education services]() including literacy, adult basic education, and adult secondary education at correctional institutions and through family literacy and English language acquisition services.

Individuals shall be officially enrolled after completion of a proctored ACCS/AE-approved assessment (see "Assessment" section) and in compliance with eligibility requirements.

Distance learning students must complete an ACCS/AE-approved assessment and meet eligibility requirements prior to accessing online courses.

PROGRAM EXIT

Separation will be based on periods of participation (POPs). A period of participation begins each time an individual enters adult education and gets at least 12 hours of service, even if there are multiple entries during the same program year. A participant may have multiple periods of participation in a year and performance is measured for each period. These periods must be separated by 90 days without program attendance.

Program Exit is the last date the participant received services. Exit cannot be determined until at least 90 days have elapsed since the participant last received services.

For more information, see [Periods of Participation in AAESAP]().

FAMILY EDUCATIONAL RIGHTS AND PRIVACY

The Family Educational Rights and Privacy Act (FERPA) applies to all educational agencies and institutions (e.g., schools) that receive funding under any program administered by the U.S. Department of Education (USDOE). Once a student reaches 18 years of age or attends a postsecondary institution, he or she becomes an "eligible student," and all rights formerly given to parents under FERPA transfer to the student. The eligible student has the right to have access to his or her education records, the right to seek to have the records amended, the right to have control over the disclosure of personally identifiable information from the records (except in certain circumstances specified in the FERPA regulations), and the right to file a complaint with the USDOE. The term "education records" is defined as those records that contain information directly related to a student and which are maintained by an educational agency or institution or by a party acting for the agency or institution.

FERPA generally prohibits the improper disclosure of personally identifiable information derived from education records. Thus, information that an official obtained through personal knowledge or observation, or has heard orally from others, is not protected under FERPA. This remains applicable even if education records exist which contain that information, unless the official had an official role in making a determination that generated a protected education record.

Under FERPA, a school is not generally required to maintain particular education records or education records that contain specific information. Rather, a school is required to provide certain privacy protections for those education records that it does maintain. Also, unless there is an outstanding request by an eligible student to inspect and review education records, FERPA permits the school to destroy such records without notice to the student.

ASSESSMENT

The ACCS/AE assessment policy (2017-18 Assessment Policy for Alabama) provides guidelines pertaining to standardized assessment practices for all ACCS/AE-funded programs and meets the guidance from the U.S. Department of Education, Office of Career, Technical, and Adult Education, to describe approved assessments, initial and post-testing requirements, accommodations and training requirements. Adult education providers shall use ACCS/AE's assessment policy in conjunction with publishers' official examiner's manuals and training workshops to determine local assessment procedures. Providers shall follow all guidelines in examiner's manuals and maintain the most current version of the manual for each test used by the program.

Assessment Policy

ACCS/AE's assessment policy provides a framework to measure program effectiveness and provides important criteria for continuous improvement on several levels:

- At the student level, an individual assessment provides valid, reliable information about the student's academic status and progress and allows the student to make informed decisions about goal setting. Providers shall administer an ACCS/AE –approved assessment, such as the TABE Locator, at student orientation or within the first 12 hours of instruction. The lowest test score in a subject area or the subject area most relevant to the student's needs, shall be used to determine a student's entry level. The assessment should be in the subject area(s) in which instruction will be focused to facilitate student goal achievement.

  For more information regarding determination of a student's entering educational functioning level (EEFL) see Test Guidelines Update.

- All initial assessment results must be entered into AAESAP.

- The program will maintain enrollment forms, assessment forms and the current educational plan on file for three years

- At the program level, accurate assessment data are critical for decision making in planning, instruction, professional development and program improvement. Student assessments help instructors pinpoint student needs and choose appropriate curricula. Aggregate data inform program directors regarding needed improvements and help guide staff professional development.

- If a test has a locator or other placement instrument associated with it, that test should be administered first as a determinant of appropriate content level testing.

- All instructors must follow the test publishers' recommended timeframe for post-testing.

- Assessment instruments must be kept in a secure environment according to test publisher requirements.

- Assessment instruments shall be administered in a proctored environment and in accordance with test publisher and ACCS/AE assessment guidelines.

- At the state and federal level, incentive funding rests, in part, upon student achievement in NRS functional levels. Uniform implementation of ACCS/AE's assessment policy ensures that high-quality accurate data are collected

statewide and reported to OCTAE so programs can be compared across the state and nation.

Assessment Accommodations

Accommodations for Students with Disabilities or Other Special Needs

Students with diagnosed and documented disabilities from a licensed professional will be granted reasonable accommodations upon request, during pre- and post-testing. The publisher's manuals of the NRS approved assessment tests are consulted to determine proper accommodation procedures in administering assessments for populations requiring accommodations.

Reasonable accommodations for assessment shall be provided to students when:
  a. The student has disclosed the presence of a disability and has provided documentation by a qualified professional of eligibility for accommodations under the provisions of the Americans with Disabilities Act (ADA)/Section 504 and/or
  b. The adult education program has administered an informal assessment/pre-screening instrument and determined that accommodations are warranted.
- Accommodated assessments shall be in compliance with accommodated testing guidelines, policies and procedures established by the program's fiscal agent.
- Accommodated assessments shall be in compliance with test publisher guidelines.
- Typical assessment accommodations for students with a documented disability include large print, extended time, audio-cassette, calculator for math, private room and break time.
- The accommodation must be specific to the disability and address only the documented functional limitations.
- Adult educators should note that inappropriate accommodations may lead to inaccurate test results.

National Reporting System

The National Reporting System (NRS) is the accountability system for the federally funded adult education program, mandated by the Workforce Innovation and Opportunity Act (WIOA) 2014.

Adult education programs nationwide use NRS levels to provide information to the federal government about student progress. ACCS/AE collects student assessment, demographic and participation data on AAESAP to report to the NRS and partners.

Valid and Reliable Assessments

The following section is excerpted from the NRS Implementation Guidelines, May 2012. "Validity is concerned with the accuracy of measurement; in other words, the extent to which the instrument measures what it is intended to measure. Content validity of an assessment is the extent to which the items/tasks of the instrument cover the domain of interest. For the NRS, the domain of interest is comprised of the skills used to describe the educational functioning levels for ABE and ESL. To establish the content validity with respect to the requirements of the NRS, there must be evidence that the items/tasks of that instrument measure the skills associated with the educational functioning levels (and, by the same token, do not measure skills not associated with the levels).

"Reliability refers to the degree of consistency in performance on an assessment; that is, the extent to which an examinee would be expected to perform similarly across multiple administrations of the instrument or under different conditions. An important condition that can differ across administrations of a particular instrument to be used for the NRS is the form of the instrument administered. More specifically, because educational gain is determined as a function of the difference between an examinee's pre- and post-test performance as measured on different forms of the instrument, it is essential to review the test publisher's information regarding the expected similarity of performance across forms in the absence of instruction or other external interventions. The greater the similarity in performance across forms, the greater the alternate forms' reliability of the instrument and the stronger the inference that improvements in performance between pre- and post-testing is attributable to something other than measurement error associated with differences across forms."

Administration of Assessment Instrument

All adult education test administrators for ACCS/AE sub-recipients must be trained in proper use and procedures in the administration of the assessment instrument. A refresher course on administering assessment tests must be completed every two years. Guidelines appearing in the publisher's test administration manual must be followed, particularly those related to hours of instruction that should occur prior to post-testing. Test must be accurately timed during administration and results must be properly graded and recorded. The learner will be re-assessed using an alternate and equivalent version of the state and NRS approved standardized assessment instrument, and in accordance to the publisher's recommended timeframe.

Approved Assessments

The Alabama Community College System, Adult Education program prescribes that adult education agencies use CASAS, TABE, TABE CLAS-E, Best Literacy or BEST Plus - assessments with proven validity and reliability that correlate to the NRS.

BEST Literacy and BEST Plus Assessment Training

The state provides opportunities throughout the year for instructors to become certified in the administration of the BEST Plus assessment. A state BEST Plus trainer, certified by the Center for Applied Linguistics, will conduct the training for the test administration and the refresher course. The training sessions are scheduled annually, and on an as needed basis for new personnel. Records of trained personnel are maintained by the state trainer and by the Center for Applied Linguistics.

TABE Locator

If TABE is the appropriate assessment, the Locator should be used, along with other information, to determine the appropriate level of the TABE test to administer. While the Locator is an important tool, information from a Locator should be viewed as only a rough estimate of the student's functional level, not as an absolute prediction. Students should participate in an intake/orientation process to discuss academic and career goals and job experience. Information from orientation and Locator results should be used with professional judgment to determine the appropriate TABE level. The Locator is used as follows.

For TABE 9 and 10

Locator Test Cut Scores Evaluation Chart

	Reading	Math (total of the two math tests)	Language	TABE Complete Battery Level to administer
Number Correct	6 and below	4-6	6 and below	E
	7-8	7-8	7-8	M
	9-10	9-11	9-10	D
	11-12	12-16	11-12	A

Post-Assessments

TABE Post-Assessment Timeframes

In compliance with recommendations provided by OCTAE, TABE post-testing shall be administered as follows. (See OCTAE's State Assessment Policy Guidance, pp. 7-11)

- **For students in NRS Levels 1- 4:** After 50-60 hours of instruction, **with a minimum of 40 hours**, test with an alternate form (for example, TABE 9 Level M to TABE 10 Level M).
- **For students in NRS Level 5**: 30-59 hours of instruction is recommended when testing with an alternate form (for example, TABE 9 Level D to TABE 10 Level D).
- If pre- and post-tests are with the same level and use the same form – (for example, TABE 9 Level M to TABE 9 Level M) – 120 hours of instruction is recommended.
- A higher level form (for example, TABE 9 Level D to TABE 10 Level A) can be used on the progress assessment if the instructor determines that the student has mastered the information assessed on the enrollment assessment level.

Other Post-Assessments Timeframes

All other ACCS/AE-approved assessments shall be administered according to the test publishers' recommended timeframes for post-testing as provided by OCTAE. For timeframes, see OCTAE's State Assessment Policy Guidance, pp. 7-11.

General Post-Assessment Requirements

- Providers shall use a different form of the same test for the follow-up assessment. For example, a TABE 9 pre-test should be followed with a post-test using TABE 10.
- All post-test results must be entered into the Alabama Adult Education System Accountability Program (AAESAP). If more than one assessment is given, the progress assessment determines educational functioning level completion or advancement.
- If no follow-up assessment of the student is made during the program year, the student must be counted as remaining in the same educational level as upon entry and cannot be reported as advancing to a higher functioning level.
- An "advancement" or "completion" is recorded if a subsequent assessment score is higher level than the level initially used for placement.
- AAESAP is programmed so that assessment scores automatically populate the NRS functional level and determine if an educational advancement has been made.

NRS Levels

To comply with NRS, providers must use the following entry and progression levels (also known as Educational Functioning Levels or EFLs):

Educational Functioning Levels

ABE/ASE

TABE Scale Scores Version 9 & 10		TABE Scale Scores Version 11 & 12		Initial EFL (NRS Educational Functioning Level)
Reading	0-367	Reading	300-441	Beginning ABE Literacy 0-1.9
Math	0-313	Math	300-448	
Language	0-389	Language	300-457	
Reading	368-460	Reading	442-500	Beginning Basic Education 2-3.9
Math	314-441	Math	449-495	
Language	390-490	Language	458-510	
Reading	461-517	Reading	501-535	Low Intermediate 4-5.9
Math	442-505	Math	496-536	
Language	491-523	Language	511-546	
Reading	518-566	Reading	536-575	High Intermediate 6-8.9
Math	506-565	Math	537-595	
Language	524-559	Language	547-583	
Reading	567-595	Reading	576-616	Low Adult Secondary 9-10.9
Math	566-594	Math	596-656	
Language	560-585	Language	584-630	
Reading	=>596	Reading	617-800	High Adult Secondary 11-12.9
Math	=>595	Math	657-800	
Language	=>586	Language	631-800	

English Language Acquisition (ESL)

BEST Plus 2.0 Scale Scores	BEST Literacy Scale Scores	Initial EFL (NRS Educational Functioning Level)	TABE CLAS-E Scale Scores	CASAS Scale Scores
88-361	0-20	Beginning ESL Literacy 0-1	Reading & Writing 225-394 Listening & Speaking 230-407	Reading 0-180 Listening 0-180
362-427	21-52	Low Beginning ESL 2	Reading & Writing 395-441 Listening & Speaking 408-449	Reading 181-190 Listening 181-190

				Writing 136-145
428-452	53-63	High Beginning ESL 3	Reading & Writing 442-482 Listening & Speaking 450-485	Reading 191-200 Listening 191-200 Writing 146-200
453-484	64-67	Low Intermediate ESL 4	Reading & Writing 483-514 Listening & Speaking 486-525	Reading 201-210 Listening 201-210 Writing 201-225
485-524	68-75	High Intermediate ESL 5	Reading & Writing 515-556 Listening & Speaking 526-558	Reading 211-220 Listening 211-220 Writing 226-242
525-564	76-78	Advanced ESL 6	Reading & Writing 557-600 Listening & Speaking 559-600	Reading 221-235 Listening 221-235 Writing 243-260
=>565	=>79	ESL 7+ If pre-test score, re-test in ABE/ASE If post-test score, exit criteria (level completion) for ESL 6		Reading =>236 Listening =>236 Writing => 261

NOTE: Students must score below the exit criteria to be eligible for ESL services.
- CASAS Reading, Test Benchmark: 221-235
  Exit Criteria: 236 and above
- BEST PLUS, Test Benchmark: 507-540
  Exit Criteria: 541 and above
- TABE CLAS-E, Test Benchmark Total Reading and Writing: 557-600 *
  Exit Criteria: 600 or above
- TABE CLAS-E, Test Benchmark Total Listening and Speaking: 559-600 *
  Exit Criteria: 600 or above

NOTE: BEST Literacy should not be used for enrollment in ESL High Intermediate or ESL Low Advanced due to the lack of exit criteria.

*   **Refer to the TABE CLAS-E Technical Manual for score ranges for individual reading, writing, listening and speaking tests. Only total scores are shown above.**

WorkKeys and other Informal Assessment Instruments

Providers may offer the WorkKeys assessment when an individual's adult education eligibility has been established in accordance with assessment and enrollment policy. WorkKeys may be used when the student's goals are to get a job, a better job or improve workforce skills, and earn a National Career Readiness Certificate (NCRC).

In addition to the required standardized pre- and post-assessment instruments, programs should continue to use a variety of informal instruments and procedures to collect valid on-going information regarding student instructional needs and progress. Some examples include:
- Computerized assessments.
- End of unit tests from textbooks.
- Checklists.
- Individual projects or products.
- Small group projects.
- Educator-made assessments.
- Project/products with clearly defined criteria or performance standards.
- Dated anecdotal records of teaching observations.
- Performance samples, including writing samples, journals, audiotapes of student readings or interviews, worksheets.
- Role playing.
- Student interviews and self-evaluations.

Professional Development for Assessment

ACCS/AE provides professional development to all staff who either administer or score each of the ACCS/AE-approved assessments. Within the first 18 months of employment, new ACCS/AE-funded staff must complete the following courses:
- Orientation to Adult Education, which includes information on NRS, accountability policies, data collection process, definition of performance measures and administering assessments.
- Introduction to the Online Tests of Adult Basic Education (TABE) Administration.
- For ESL instructors: TABE Class E, BEST Plus, or CASAS Implementation Training.

Previously trained staff must attend prescribed refresher courses on administering assessment tests every two years (with the exception of GED Ready™ test or when essential information is updated).

CONTACT AND ATTENDANCE HOURS

NRS defines contact and attendance hours as "hours of instruction or instructional activity the learner receives from the program. Instructional activity includes any program-sponsored activity designed to promote student learning in the program curriculum, such as classroom instruction, assessment, tutoring or participation in a learning lab. (Note: Time spent on assessment can be counted only if the assessment is designed to inform placement decisions, assess progress or inform instruction. Time used to take the GED® test, for example, **cannot be counted** as instructional activity.)" The hours spent in orientation, classroom, distance learning, and assessment shall count toward the student's total attendance hours.

See also NRS Distance Education Contact Hours guidelines.

DATA COLLECTION AND REPORTING

Providers are required to submit data electronically using AAESAP. All data must be entered by the 15th of the month following the month reported. Final program year data shall be entered into AAESAP by July 31st.

ACCS/AE regularly updates the AAESAP Users' Manual and the ACCS/AE Policy and Procedure Manual to incorporate NRS changes. Updates on system changes and revisions to the Users' Manual are announced and posted on AAESAP Login Page under "Release Notes" and through e-mail.

Log-in for AAESAP requires the full email address for the User Name, plus a password that is initially sent to the user via their email account.

RECORDS RETENTION

The federal retention period is three 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. To help clarify which programmatic information must be retained, the following guideline is provided:

- Programs **must** retain documents such as, but not limited to:
  - AL Enrollment Form
  - Signed non-disclosure statement
  - Plan of Instruction (POI)
  - Diagnostic results, i.e. (TABE, Best Literacy, Best Plus…etc.)
  - Attendance records
  - Non-Traditional High School Diploma Option Student Records
  - Verification of DHR student eligibility (EPS and SNAP)
  - All documentation for 16 and 17 year old eligible students
  - Sign-in sheets

DISTANCE EDUCATION

Distance Education-Specific Assessment Policy

Alabama Community College System is authorized to provide distance education as a formal option for delivering adult basic and literacy education services. By incorporating technology, students who were not able to attend traditional adult education classes now have another avenue to improve their skill levels. Students enrolled in distance education have the same opportunity as traditional students to receive quality instruction taught in the classroom.

Distant Learners in Alabama Adult Education Programs are students who are separated from the instructor by *geography, time, or both* for the majority of the instructional period. Distance learning materials are delivered through a variety of media including, but not limited to, print, audio/video recording, broadcasts, computer software, web-based programs, and other online technology. Teachers support distance learners through communication via mail, telephone, email, or online technologies and software.

Adult education programs are required to enter all student attendance hours. In AAESAP, distance learning/proxy hours and classroom center attendance hours are recorded separately. Attendance hours for students using approved online curricula in the classroom will be reported as classroom hours. All student work completed outside of the adult education classroom will be counted as distance learning/proxy hours and must follow the distance learning policy for determining contact and proxy hours. (See below for more information on proxy hours.)

During a program year, if a student is enrolled both in a traditional classroom and in distance education at the same time, the student will be counted only once for program reporting for NRS. A person that is assigned to a traditional class in addition to distance learning is counted as a traditional student. Online education serves as supplemental learning. Distance learners are defined as students receiving more of their instruction from a distance and not in the local adult education center. Local center hours and distance learning hours will be recorded in AAESAP separately. At separation or the end of the fiscal year, the student's status as an adult education center student or distance learner will be determined. Student hours from both online instruction and in the adult education center will be reported according to the NRS Guidelines for Distance Education Learners.

Distance Learning Curricula

ACCS/AE local programs use a variety of distance learning curricula, such as Keytrain, Contemporary's Instruction Targeted for TABE Success (ITTS), KET's Fast Forward, Edmentum, Oddyseyware, Aztec, PLATO, Rosetta Stone, KUDER, and Essential Education's GED Academy. Additional adult education curricula that have a mechanism for tracking student engagement time may be used.

Identifying and Reporting Contact Hours

Distance education instructors will follow the guidelines stated in this document when determining instructional time mandated prior to administering a post-test. A Clock Time Model is used for determining instructional contact hours.

According to NRS, "students in distance education must have at least 12 hours of contact with the program before they can be counted for federal reporting purposes. Direct **contact hours** for distance learners can be a combination of actual contact and contact through telephone, video, teleconference or online communication, where student and program staff can interact and through which learner identity is verifiable."

In addition to direct contact hours, proxy contact hours for distance learners will also be collected**. Proxy Contact Hours** may be counted using either the Clock Time Model, Teacher Verification Model, or Learner Mastery Model.

- **Clock Time Model,** which assigns contact hours based on the elapsed time that a learner is connected to, or engaged in an online or standalone software program that tracks time-on-task
- **Teacher Verification Model**, which assigns a fixed number of hours of credit for each assignment based on teacher determination of the extent to which a learner engaged in, or completed, the assignment.
- **Learner Mastery Model**, which assigns a fixed number of hours of credit based on the learner passing a test on the content of each lesson. Learners work with

the curriculum and materials and when they feel they have mastered the material, take a test. A high percentage of correct answers (typically 70%-80%) earns the credit hours attached to the material.

Assessing Distance Learners

Distance learners must be assessed under the same guidelines as all adult students in Alabama using approved standardized assessment tools. All standardized assessment must occur in a proctored adult education class site, where the student's identity is verifiable. Alabama uses only NRS approved assessment instruments. Tests must be accurately timed during administration and results must be properly graded and recorded. Appropriate records documenting assessment results, assignments, and progress shall be maintained for each learner.

Training Requirements

All adult educators offering distance education must adhere to vendor guidelines and instructions. Distance educators are encouraged to enhance their knowledge through ongoing communication, workshops and/or webinars.

GED® SERVICES

The Alabama State GED Testing Program of the Alabama Community College System coordinates the administration of the GED® test at the Official GED Test Centers throughout the state. The GED® test is delivered on computer (not online) and is administered only at official GED Test Centers.

Requesting an Official Transcript, Diploma, or Verification

Effective March 1, 2016, Alabama transitioned its GED® credentialing process from the issuance of paper transcripts and GED® diplomas to a paperless, electronic transcript system through GED Credentialing™. **GED Credentialing™** is a full-service program which Alabama now uses to outsource all fulfillment requests for transcripts and diplomas. The service includes fulfillment for new graduates and historical requests dating back to 1947. Students request transcripts at www.gedtestingservice.com.

What does GED Credentialing™ mean for my program?

GED Credentialing™ is an end-to-end service for Alabama's GED® programs that eliminates the administrative burden of fulfilling requests for secure duplicate transcripts and diplomas. GED Credentialing™ is provided at no additional cost. Alabama's contract with GED Credentialing™ will provide service for both first-time and historical transcript requests. GED Credentialing™ uses the services of Parchment, a secure, electronic transcript fulfillment for high schools nationwide.

What does GED Credentialing™ cost students?

Students receive their initial transcript and diploma for free after completing the 2014 GED® test. For each repeat or historical request, the individual or organization that makes the request (e.g. past student, employer, school, employment verification firm) pays a $15 fee.

Can a GED® program use GED Credentialing™ for new transcripts and diplomas only and continue to fulfill historical requests themselves?

No. GED Credentialing™ is an all-inclusive service. The State of Alabama will use GED Credentialing™ for both new and historical transcripts and diplomas.

Is my program required to use the service?

Yes. Alabama has contracted with GED Testing Service to provide Alabama test-taker requests for the Alabama GED® diploma and the Smart Transcript from GED Testing Service.

Does GED Credentialing™ fulfill a national credential?

No. GED Credentialing™ fulfills requests for Alabama's GED® diplomas and the Smart Transcript from GED Testing Service. The State of Alabama remains the issuing agency, and the diplomas feature Alabama's official signatures and design.

Is GED Testing Service fulfilling the transcript and diploma requests in-house?

No. GED Testing Service is partnering with Parchment, a secure, electronic transcript (eTranscript) exchange. For more information, visit http://www.parchment.com/.

What do test takers receive from GED Credentialing™ after they pass the 2014 GED® test?

As soon as test-takers pass the GED® test, they receive a secure, electronic PDF document delivered to their email address. The document will include their Smart Transcript and an electronic copy of their Alabama GED® diploma. A 2016 tester has an option of ordering a professionally printed GED® diploma free of charge.

What is a Smart Transcript?

The Smart Transcript is an electronic transcript that not only provides an Alabama test-taker's scores, but also includes links to the GED Testing Service Website with additional information regarding what the GED® test measures, what the scores mean, and what skills the test-taker demonstrated on the test. This includes information about earning a GED® Passing Score and the GED® Passing Score with

Can students send their transcript and diploma to colleges and employers?

Yes. Students can forward the free electronic transcript they received in their email inbox directly to potential colleges and employers.

For more information about GED Credentialing™, visit www.gedtestingservice.com/credentialing, or see Alabama's GED Credentialing FAQs for Administrators.

Accommodations for the GED® Test:

The purpose of accommodations is to provide candidates with full access to the GED® test. However, accommodations are not a guarantee of improved performance or test completion. GED® Testing Service provides reasonable and appropriate accommodations to individuals with documented disabilities who demonstrate a need for accommodations. GED® test accommodations may include things such as:

- A separate testing room

- Extra testing time

- Extra breaks

Test accommodations are individualized and considered on a case-by-case basis. Consequently, no single type of accommodation (e.g. extra time) would necessarily be appropriate for all individuals with disabilities. Simply demonstrating that an individual meets diagnostic criteria for a particular disorder does not mean that the person is automatically entitled to accommodations.

GED Testing Service™ has enhanced the process for students and their advocates to request accommodations by creating access to the process via a secure online environment. Instructions regarding the application process may be viewed at

Request Accommodations for GED Test .

It can take up to 30 days for your request to be reviewed, but you can check on the status of your request by clicking on the link provided in the emails you receive from the Accommodations team. You can also check the status of your request by signing into your GED® account and clicking on the "My Accommodations" link.

If you have questions about the new system please send an email to accommodations@gedtestingservice.com

Resources:

Frequently Asked Questions about GED® Test Accommodations

How to Apply for Accommodations Guide

Scheduling of an Accommodated Exam

If you are approved for accommodations, your decision letter will include a number for scheduling your GED® accommodated exam. Accommodated exams must be scheduled by calling in to Pearson VUE Accommodations and Exceptions Scheduling. You cannot schedule a GED® accommodated exam online nor can accommodations be applied to an exam already scheduled.

Additional Resources

Frequently Asked Questions (PDF)
Personal Items and Minor Modifications (PDF)

Questions? Email accommodations@GEDtestingservice.com.

Age Alert

GED Testing Eligibility Guidelines for Students 16 and 17 Years of Age

Alabama Act 2009-564 stipulates that students between the ages of 7 and 17 are required to attend public school, private school, church school, or be taught at home by a private tutor.
Based on this law, there are specific requirements (see also the GED® Test Application for 16 and 17 Year Olds) for students, 16 and 17 years of age, who wish to take the GED® Test.

I. Student 16 Years of Age

For a sixteen year old student to take the GED® Test, state approval must be granted based on the following:

1. Student must present a notarized Certificate of Exemption from the student's last school system attended and a notarized Parental Permission Form

OR

If the student attended and dropped out of a private school, church school, or private tutor program, the student must present a notarized letter from his/her parent or legal guardian naming the school, providing the drop-out date, and stating the student has dropped out of school, and has permission to be administered the GED® Test. (Parental Permission Form)

2. Student must have TABE test scores (in all three sub-skill tests) at a minimum of ASE Low, with a grade equivalent of 9.0 or higher

OR

Student must have official GED® Ready test scores in Math and RLA of "Likely to Pass"

3. Student must provide proof of Alabama residency

II. Student 17 Years of Age

For a seventeen year old student to take the GED® Test, state approval must be granted based on the following:

Individuals attending Public School

1. Student must have participated in an exit interview with their high school administration and provide a signed Exit Interview Form

2. Student must provide a notarized and signed letter from his/her parent or legal guardian, naming the school, providing the drop-out date, and providing parental permission for the student to be administered the GED® Test. (Parental Permission Form)

3. Student must provide proof of Alabama residency

Individuals attending Private School, Church School, or Private Tutoring Program

1. Student must present a notarized letter from his/her parent or legal guardian naming the school, providing the drop-out date, and stating the student has dropped out of school, and has permission to be administered the GED® Test. (Parental Permission Form)

2. Student must provide proof of Alabama residency.

*If a 17 year-old, Option 2 HSO student chooses the GED® Test option, the above does apply.
** Court mandated individuals, ages 16 or 17, must provide official documentation to test.

PERSONNEL

PERSONNEL CHANGES

Personnel changes must be reported to ACCS/AE within 10 days of changes. To report changes:

Please notify the ACCS Adult Education Accountant assigned to your program immediately after an employee begins or leaves employment.

If filling a position for Future Employee changes the bottom line of the approved budget for salaries and benefits, a budget amendment must be submitted and approved by regular routing of signatures.

If the Future Employee information does not change the bottom line, then your accountant can approve the amendment immediately.

Hiring and Recruiting Guidelines

The following guidelines should be used to recruit and hire personnel and develop job descriptions. The minimum requirements for each title are mandatory. Local program fiscal agents must ensure that all employees meet the minimum requirements for each title.

When hiring a program director, an ACCS/AE may be a member of the hiring/interview committee.

ACCS/AE expects a staffing model in which program directors 1) work 100 percent of their time in the adult education program as either a full-time adult education director or a full-time adult education program director/instructor; 2) lead the administrative and instructional functions of the program; 3) have daily engagement with the adult education staff and program; and 4) have their offices in the same physical location as the main adult education center.

Any exception to this expectation shall be submitted in writing to the State Director of Adult Education.

Adult Education Program Director

A full-time Adult Education Director is a salaried employee performing 100% of his/her assigned duties in the adult education program for 40 hours on a 260-day contract.

CLASS TITLE: Program Director

CHARACTERISTICS

Provides program leadership and direction; plans, develops, implements and evaluates all aspects of program and personnel. Supervises instructors, academic and administrative assistants. The Program Director classification is limited to one staff member per grantee.

EXAMPLES OF DUTIES

Management
- Oversees the day-to-day operation of program.
- Initiates and facilitates change for continuous program improvement and capacity building.
- Understands, interprets and assures compliance with federal and state laws and regulations.
- Establishes procedures to meet performance areas for performance accountability.
- Initiates program planning, develops goals and plans for meeting objectives.
- Provides leadership in development of curriculum, retention activities and other student services.
- Promotes safe work environment.
- Establishes procedures for collecting, documenting and reporting data and ensures accountability.
- Communicates regularly with staff and involves them in planning through a variety of formal and informal means.
- Oversees recordkeeping.

Instruction
- Provides instruction in literacy, adult basic education, GED® preparation, English language acquisition, workplace, family literacy and/or citizenship.
- Applies research-based instructional practices that incorporate the use of computers and other technologies.

Personnel
- Assures appropriate program staffing.
- Supervises, observes and evaluates staff.
- Coordinates activities of instructional staff to ensure effective program operation.
- Assists staff in developing professional development plans.
- Promotes professional development opportunities and adheres to the professional development policy.

Fiscal
- Manages fiscal resources and reports financial information.
- Identifies additional resources and initiates plans to secure them.
- Prepares and monitors all aspects of budget.
- Monitors contract compliance and cooperative agreements.
- Monitors and approves purchasing.

Community
- Advocates and promotes adult education program within community.
- Builds partnerships to enhance the availability, quality and delivery of services.
- Participates in local organizations

Leadership
- Models professional behavior and requires other staff members to act in a professional manner.
- Promotes the philosophy, goals and objectives of adult education at local, state and national levels.
- Promotes an environment in which cultural and philosophical diversity is valued and appreciated.

- Cultivates an atmosphere of respect for all staff and students.
- Provides instructional leadership.
- Supports instructional strategies based on research in adult learning and development.
- Recruits students to meet enrollment goals.

Professional Development
- Participates in required professional development and all AE Director Meetings/Workshops
- Uses technology resources to engage in ongoing professional development and lifelong learning.
- Assesses personal strengths and weaknesses as a basis for developing a professional development plan.

MINIMUM REQUIREMENTS
- Master's Degree in administration, education, or a related field, and three years of administrative/management experience is required.
- This position requires demonstrated leadership ability and evidence of success in achieving measurable outcomes. Program directors who instruct will also meet the minimum requirements for instructors.

Adult Education Instructor

A full-time Adult Education instructor is a salaried employee performing assigned duties in the adult education program 40 hours per week on a 229-day contract. (A **part-time** Adult Education instructor is paid on an hourly basis performing assigned duties in the adult education program 29 hours or less per week. The assignment of hours for part-time instructors should be made in accordance with local program policy.)

CLASS TITLE: INSTRUCTOR

CHARACTERISTICS OF THE CLASS
Provides instruction to adult education students. Plans, implements, documents and evaluates instructional practices, procedures and materials. Provides direct, on-site daily supervision of academic assistants.

EXAMPLES OF DUTIES
Instruction
- Provides instruction in literacy, adult basic education, GED® test preparation, English language acquisition, family literacy, integrated English Literacy and civics education, integrated education and training, including career pathways, workplace education, and workforce preparation, including the National Career Readiness Certificate, and Ready To Work (RTW) skills integration.
- Applies research-based instructional practices that incorporate the use of computers and other technologies.
- Is knowledgeable of reading, writing and/or math instructional strategies.
- Uses a variety of instructional strategies and tools appropriate to the needs of the student.
- Uses lesson plans aligned with CCR Standards that integrate instruction across content areas.
- Provides continuous feedback and adjusts instruction to maximize student learning.
- Works with colleagues to develop and evaluate curriculum and materials.
- Integrates work-, family- and community-related activities into instruction.
- Administers and interprets appropriate placement and diagnostic tests.
- Applies adult education principles and methods in the workforce classroom.
- Facilitates the transfer of learned skills from the classroom to the job.
- Plans learning experiences that are interactive and relevant to the specific workplace environment.
- Customizes and develops workplace education curriculum and lesson plans that facilitate transference from the classroom to the job based on the workforce goals and expected training outcomes.
- Plans instructional support activities carried out by academic assistants.
- Evaluates the achievement of students with whom academic assistants are working.
- Additional duties may include assisting AE students with enrolling in postsecondary education institutions or training programs; helping students with job search skills in preparation for the workforce; connecting students with support services; and helping students establish career and educational goals.

Assesses and Monitors Learning
- Uses formal and informal assessment data to monitor and document student progress.
- Collects and manages accurate data for program improvement and accountability.
- Participates in the retention and follow-up of students.

Classroom Management
- Maintains knowledge of program regulations, policy and procedures.
- Maintains student records.
- Supervises and monitors academic assistants.

Community
- Makes referrals to community agencies or postsecondary institutions as appropriate.

- Advocates adult education at the local and state level and explains the impact of under-education on employment and society.
- Assesses adult education needs and promotes program in community.
- Promotes use of community resources and participates in activities of other community agencies.
- Recruits families and matches them with instructional staff.

Professional Development
- Participates in required professional development activities, receiving a minimum of 10 clock hours of PD per year, with 5 of the 10 hours being structured coursework.
- Uses technology resources to engage in ongoing professional development and lifelong learning.
- Assesses personal strengths and weaknesses as a basis for developing a professional development plan.

MINIMUM REQUIREMENTS
- All new instructors hired after October 1, 2016, shall possess a minimum of a bachelor's degree in education or a content-related field. As a best practice, it is strongly suggested that they will have earned a 12.9+ score in every content area (Language, Reading and Math) on a TABE A, or within the past 10 years, they will have earned a 21 composite score on an ACT or 990 on the SAT. A current teaching certificate in the content area of instruction is preferred.
- Program directors who supervise non-degreed instructors shall work with ACCS/AE staff to develop individualized educational plans for non-degreed instructors. The plan should reflect courses that will be taken for attainment of a 4 year degree in education or a content-related field, to be completed within a specified amount of time

Instructional Support Staff

An instructional support staff person is employed by the local adult education provider to work in the classroom setting to assist the adult education instructor.

CLASS TITLE: ACADEMIC ASSISTANT

CHARACTERISTICS OF CLASS
The Academic Assistant must work under the daily supervision of a qualified instructor. The Academic Assistant may provide one-on-one instruction at the discretion of the instructor or program director. The Academic Assistant may **not** provide classroom or group instruction.

EXAMPLES OF DUTIES
Program
- Follows the directions of the instructor or program director and works as an effective member of the instructional team to ensure the success of all students.
- Carries out the preparation of instructional materials for use by the instructor.
- Monitors and observes student behaviors and shares observations with the instructor.
- Assists instructor in providing individual support for student and in checking for understanding of instructional materials.
- Organizes, uses and maintains supplies, materials and equipment.
- Assists in providing non-instructional support for students.
- Understands community resources and discusses possible referrals with the instructor.

Recordkeeping
- Assists instructor in implementing, recording and monitoring student educational plan.
- Assists instructor in administering, scoring and evaluating diagnostic tests.
- Assists instructor in preparing student folders and maintaining records of student progress.
- Assists instructor in collecting data for reports.
- Understands and uses the AAESAP data system.

MINIMUM REQUIREMENTS
- All academic assistants shall have a high school diploma or its equivalent (e.g., GED® credential.

Non-instructional Staff

A support staff person is employed to perform non-instructional support tasks in the adult education program (i.e., performing secretarial, or bookkeeping duties).

CLASS TITLE: ADMINISTRATIVE ASSISTANT

CHARACTERISTICS OF THE CLASS
Must work onsite under the direct, daily supervision of the program director or instructor. Assists in the overall functioning of the program by performing clerical and other duties as required.

EXAMPLES OF DUTIES
- Works as an effective member of the team to ensure the success of all students.
- Collates files and/or prepares documents and reports.
- Collects and enters data for reports.
- Maintains documents and reports.
- Audits reports for accuracy.
- Performs receptionist duties.
- Operates office machines such as copier, calculator, computer or audio-visual equipment.
- Opens, sorts, prepares, sends and distributes mail.
- Assists in the security and maintenance of test materials.
- Performs basic bookkeeping duties such as counting receipts, bank deposits and payment vouchers.
- Follows established methods and procedures.
- Assists in preparing student folders and maintaining records of student progress.
- Assists in proctoring and scoring diagnostic tests.
- Enters data, understands and uses the AAESAP data system.

MINIMUM REQUIREMENTS
- All administrative assistants must have a high school diploma or GED® credential.

Other Positions

For all other positions not listed above, local programs must have prior approval from ACCS/AE before hiring.

Professional Development

The purpose of Alabama's professional development (PD) is to raise the level of expertise of Alabama's adult educators through lifelong learning opportunities to equip adult students for success. Professional development initiative builds a systemic approach incorporating all aspects of adult education. Professional development will focus on the following:

- **Instructor, program director, staff standards** – define what teachers, directors, and support staff need to know and be able to do in order to provide quality programs;
- **Content standards** – define the skills and knowledge that adult learners need to know and be able to do in their roles as workers, parents, and citizens;
- **Program standards** – define the characteristics that exemplary local programs should demonstrate (Indicators of Quality Programs)
- **Professional development standards** – define the essential elements of meaningful professional growth activities;
- **Performance standards** – expectations for program outcomes (Core Indicators of Performance);
- **Data quality standards** – ensure that reliable and valid data are available to make informed decisions and guide program management (AAESAP).

Alabama's Adult Education Program has adopted *OCTAE's College and Career Readiness Standards* with the purpose of raising the level of expertise of Alabama's adult educators in order to better prepare learners for the 2014 GED® Test, postsecondary education and training programs and the workforce.
https://lincs.ed.gov/publications/pdf/CCRStandardsAdultEd.pdf

Program directors are expected to:

- Ensure all instructors have an active status in AAESAP
- Explain to instructors their PD requirements
- Keep accurate records of all PD training – local, state and national clock hours of training
- Assist all new instructors with PD training, including pre-service
- Ensure that all instructors complete annual training on the Assessment Policy and any applicable test certification or re-certification
- Lead their instructors in completing any PD opportunities

In partnership with Alabama Association for Public and Continuing Adult Education (ALAPCAE) and Alabama Directors Association, the ACCS/AE co-sponsors an annual summer conference. This conference provides 16 clock hours of PD on a variety of relevant topics for instructional and continual program improvement. The goal of all PD is to increase the knowledge base and instructional practices of all adult education instructors with the goal of providing quality instruction for all learners.

Regional training provides additional opportunities to acquire specific content knowledge, teaching and learning strategies, and current trends in the field of adult education.

> *ALL adult educators are required to accrue 10 clock hours of PD each year for continued employment*.

ACCS/AE's Expectations of Program Directors

Program directors are expected to:
- Ensure all program staff meet annual PD requirements.
- Ensure all instructors have an "active" status in AAESAP.
- Explain to instructors their PD requirements
- Ensure that every two years, all instructors complete the TABE assessment refresher course – TABE Online Refresher Course.

Program directors are expected to be instructional leaders by leading and supporting in:
- Ensuring the highest quality instruction.
- Realizing full implementation of standards-based instruction.
- Integrating instructional technology to assist in digital literacy knowledge.
- Fostering instructor effectiveness through building knowledge-base and professionalism.
- Nurturing an environment of professional growth, collaborative learning and participative decision making.
- Engaging students through instruction relevant to their life experiences and real-life application.
- Empowering students to achieve next steps.
- Analyzing data and using it to guide instructional practice.
- Providing constructive feedback and reinforcement to advance continuous improvement.

New Program Director PD Requirements

New Program Directors will attend a required New Director Orientation Program at the ACCS/AE division offices in Montgomery.

New Instructor PD Requirements

New instructors will need to complete an orientation to AE under the direction of the program director, and will need to also complete online courses at nrsweb.org.

New ESL Instructor PD Requirements

Recommendation: For new instructors who are teaching ESL, yet have no teaching background, ACCS/AE recommends they complete the following online professional growth electives in the order shown**.** The recommended coursework will take more than one program year.

- Beyond the CASAS Implementation Training (14 hours, offered throughout the year at CASAS.org).
- TABE Class-E

- LINCS: English Language Learner University

English Language Learner University (ELL-U) courses provide opportunities for teachers of adult English Language Learners to engage in learning activities that maximize student outcomes. Courses include:

- **Second Language Acquisition: Myths, Beliefs, and What the Research Shows (2 hours):** This course offers participants introductory, research-based information on second language acquisition (SLA) by exploring common myths and beliefs about how languages are taught and learned. Topics include: common myths and beliefs about SLA; knowledge about language and SLA; using student's first language strategically; and interlanguage and assessment.
- **Teaching Adult ELLs Who are Emergent Readers (2.5 hours):** This course offers introductory, research-based information about teaching adult English language learners who are just beginning to acquire print literacy largely due to lack of access to formal schooling. This course clarifies how and why this particular population is unique, offers processes for identifying emergent readers, and explores a range of teaching and assessment strategies that build initial literacy.
- **Formative Assessment to Inform Quality Adult ESL Instruction (2 hours):** Participants learn to define formative assessment and explain its integral role in systematically planning and delivering adult ESL instruction, select and design a variety of formative assessment activities that engage learners in setting their own goals and monitoring their own progress, and use appropriate oral and written feedback techniques that inform learners of their progress.
- **The Role of Culture in the Education of Adult English Language Learners (3 hours):** This course provides techniques and strategies to help educators create a culturally inclusive learning environment and facilitate cross-cultural understanding. It explores a range of topics related to the role of culture in teaching classes with adult ELLs.
- **Principles of Second Language Teaching: Planning, Implementing, and Managing Instruction (3.5 hours):** This course explores the basics of instructional planning and execution in adult ESL classrooms using the Communicative Language Teaching approach and other student-centered instructional practices. Topics include: understanding the communicative needs of your students, planning communicative language teaching lessons that integrate communication skills with life skills, work-readiness, and civics

content, and implementing student-centered instruction practices and classroom management strategies

Note: BEST Plus online trainings are not available. The Best Literacy assessment does not require training. The assessment's protocols are covered in the assessment guide. Contact the Center for Applied Linguistics (www.CAL.org) for information about these assessments.

FINANCIAL MANAGEMENT / ACCOUNTING SYSTEM

Financial Management Standards

Each sub-recipient must establish and maintain a financial management system in accordance with generally accepted accounting principles (GAAP) requirements, which will provide for adequate control of funds and other assets, ensure the accuracy of the financial data, provide for operational efficiency and for internal controls to avoid conflict of interest situations (and avoid the appearance of apparent conflicts of interest) and to prevent irregular transactions or activities. The required records and reports shall be uniform in definition, accessible to authorized Federal and State staff, and verifiable for monitoring, reporting, audit, program management, and evaluation purposes. The sub-recipient's financial management systems must meet the following standards, some of which are explained in greater detail later in this section of the manual:

Essential Financial System Requirements

Each sub-recipient must have a financial management system and procedures that are in accordance with GAAP.

- The systems shall include information pertaining to grant awards, assets, expenditures, obligations, unobligated balances and income generated through interest income from grant deposits and/or program income generated through grant training activities.
- The system shall provide effective internal controls to safeguard assets and to assure their proper use.
- The system shall utilize a comparison of actual expenditures with budgeted amounts for each contract. This will be continually updated.
- Source documentation to support accounting records must be maintained.
- Costs must be properly charged in regard to cost categories and cost allocation based upon benefits received.
- The system must be sufficient to permit preparation of required reports.
- The system must permit the tracking of funds to a level of expenditure adequate to establish that funds have not been used in violation of the applicable restrictions on the use of funds.
- The system must permit the tracking of program income, potential stand-in costs, and other funds that are allowable except for funding limitations.

Records

The sub-recipient must maintain records which identify adequately the source and application of grant funds.

Control of Assets

The sub-recipient must maintain effective control over and account for project funds, property, and other assets. Included in the "other assets" are inventories of consumable materials and supplies. The sub-recipient must safeguard these assets and ensure that they are used solely for authorized purposes.

Allowable Costs

To be allowable, the cost must be **necessary** and **reasonable** for proper and efficient administration of the grant program. The cost must not be a general expense to carry out the overall responsibilities of the sub-recipient. Only those items of expenditures or cost categories as denoted on or within the signed grant agreement or contract are allowable. Where cost allocations are necessary, such allocations should be made in accordance with the terms of the grant agreement. A sub-recipient's costs are not to be allocated based on availability of funds in the budget, but instead, must be allocated based on benefits received or effort given to the program.

Source Documentation

The sub-recipient must support accounting records with source documentation such as canceled checks, itemized invoices, paid bills, cost allocation plans, lease agreements or subcontracts. When costs are to be allocated, a worksheet must be maintained to document the proration of costs to various cost centers in accordance with the cost allocation plan and kept on file for audit purposes. Accounting records for matching funds or stand-in costs must be supported in the same manner as stated above.

Travel Regulations

All ACCS/AE reimbursements for travel will be made with the travel regulations of the State. Travel reimbursement amounts allowed by the ACCS/AE may be less than those provided by these guidelines if the sub-recipient's current established policy so states, but in no instance may they exceed the State limitations. The current State travel regulations are provided as a courtesy, but updates to the State's *Fiscal Policy and Procedures Manual* will supersede the information provided below.

In-State Travel

- For travel involving less than 6 hours, no meal allowance or per diem is allowed.
- For travel of 6 hours to 12 hours, there is an allowance of $11.25 for one meal.
- For travel requiring more than 12 hours a $30.00 allowance is allowed when the trip does not involve an overnight stay.
- Overnight per diem is set at the following rate: $75.00 per day.

If the normal rate of the sub-recipient is less than the above-stated per day rates and the grant agreement states a lesser rate, the lesser rate approved shall be used.

The term overnight, as used in Code of Alabama 1975, §36-7-20, as amended, means exactly what the word implies. The common law meaning of night usually means the period between sunset and sunrise. Another rule often applied is that night is defined as beginning thirty minutes after sunset and ending thirty minutes before sunrise. Individuals whose work hours are during the night period are in work status and are not entitled to overnight per diem. Employees within reasonable travel distance from their base are expected to return to base. Individual circumstance will determine what is reasonable but, generally, a trip of 100 miles or less one-way does not require an overnight stay. Exceptions to the policy may be approved by the department director.

- The per diem is $56.25 for each day after a person in travel status has been stationed at the same place for two consecutive months.
- The mileage rate is the most current rate established by the Internal Revenue Code for income tax deductions. If the normal rate of a contractor is less than the allowable rate and the contract states a lesser rate, the lesser approved rate shall be used.
- Claims for travel expense must be documented by reports containing the destination, date and time of departure and return, and a computation of the amount of reimbursement. The reports must be signed and dated by both the traveler and the person authorizing the travel. Copies of the travel reports must accompany the invoices under which the travel expense is claimed.

Out-of-State Travel

Out-of-state travel expense for room and meals shall be reimbursed at actual costs, when such costs reflect reasonable rates. Room accommodations should be in the employee's own name and any charges for missed reservations shall be considered a personal expense. Air travel is booked for tourist class. If first class is booked, proof of non-availability of tourist class must be provided.

Receipts are required to be submitted with travel reimbursement claims to be maintained as support documentation for the Sub-recipient's Invoice Report for all transportation, meal, and hotel/motel lodging charges. These receipts must be from the establishment/transportation company. Copies of credit charges cannot be accepted as support documentation. The amounts paid as tips for food service, the transfer of

baggage, and similar personal services shall be included as items of expense by the traveler, when the amounts of such expenditures do not exceed the customary charges for these services. The cost of tips paid for meals shall be included in the price of meals. The cost of tips paid for the transfer of baggage must be itemized as to amounts and dates paid. Receipts are required in substantiation of parking costs. For mileage, the same procedure established for in-state travel applies. It should be emphasized that no entertainment costs will be allowed in connection with out-of-state travel.

Reasonable meal costs for each day of out-of-state travel will be based on the amount of time the traveler is away from his base on each day of travel. The reasonable cost of three meals will be allowed for each day the traveler is away from the base more than eighteen hours, two meals for each day the traveler is away from their base more than twelve hours and one meal for each day the traveler is away from their base more than six hours. Please refer to the following link for the most current allowable meal rates: http://comptroller.alabama.gov/pages/MIE.aspx

Combined In-State and Out-of-State Travel

At times a traveler may go out of the state and then return and continue his trip within the state. Actual expenses are paid until return to the state when the per diem basis takes over.

Agreement Modifications

All sub-recipients will follow the process as outlined below for requesting agreement modifications:

a. The sub-recipient will submit a written request for modification prior to changing any budget line item or participant service level contained in the agreement. The written request and associated reason for the modification should accompany the modification.

b. All modifications initiated by the sub-recipient will be mutually agreed upon by the parties to the agreement.

c. The Grantor may make a unilateral modification to the agreement at any time due to changes in the law, regulations, or policy.

Reporting

Each sub-recipient receiving funds is required to report monthly, on forms provided by the Grantor, the costs incurred or expenditures made in performance of the agreement. All reports will be prepared from the official accounting records of the reporting organization. The reporting period on the first Sub-recipient's Invoice should reflect the beginning date of the agreement through the end of the particular period covered.

Monthly Sub-recipient's Invoices will be submitted no later than the 15th day of the month following the month of the reporting period.

The sub-recipient must report expenditures on an accrual basis. If the sub-recipient's records are not maintained on an accrual basis, documentation for audit purposes must be maintained to demonstrate the link between accrual reports and non-accrual accounts. This requirement does not apply to sub-recipients on the reimbursement basis. Conversion from the cash basis of accounting to an accrued expenditures basis for a reporting period may be accomplished by adding:

- Estimated salaries and related benefits from the end of the last pay period to the end of the reporting period.
- Unpaid invoices on hand for goods and services received.
- Value of goods and services received but not yet invoiced.

Administrative Costs

Section 233 of the Adult Education and Family Literacy Act mandates that not more than 5% shall be used for planning, administration, personnel development, and interagency coordination. ACCS/AE is permitted to negotiate an amount greater than 5% if the local provider submits adequate justification.

Administrative Costs – Non-instructional

- Positions that does not directly serve students (accountants, etc.)
- Travel, equipment, and supplies for administrators that is NOT related to instruction.
- Maintaining budgets/RFP/reimbursement reports, timesheets, etc.
- Maintaining records and reports that are not student related
- Developing local policies

- Participating in national/state adult education programs(in-service activities, PD)
- Professional development of instructional staff and administrators

Non-Administrative Costs – Instructional

- Travel, equipment and supplies for administrators that are related to instruction
- Analysis of accountability system and quarterly report data
- Maintaining records and reports that pertain to student placement and performance
- Annually assessing the literacy needs of adults
- Evaluating plant facilities regarding placement of classes
- Collecting/analyzing learner retention data on a quarterly basis
- Assessing/evaluating adult learner' satisfaction with the program
- Developing/executing an intake/orientation process

- Counseling adult students
- Fostering local community's support for the program
- Monitoring/evaluating classes
- Developing/implementing curriculum

Expenditure Documentation

In submitting the monthly Sub-recipient's Invoice, the sub-recipient is required to also submit physical documentation of expenditures in the form of copies of time and attendance reports, itemized vendor invoices, statements covering contractual services, lease agreements, sub-recipient's travel policy, records in support of travel expense claimed, logs or other certification of long distance telephone calls, and postage, etc. The failure to submit proper support documentation with the Sub-recipient's Invoice will result in the delay of reimbursement to the sub-recipient. Cost items common to all of the cost categories under the grant are salaries and fringe benefits. Following are procedures required to ensure that these costs are properly documented:

- Time and Attendance Records. These records must be maintained for each payroll period for each individual. These, or equivalent records, must support the total compensation paid, and in the event the individual contributes time to a project other than the grant program, accurate time distribution records must designate the actual time contributed to the grant program. For example, if such an individual performs forty hours of service within a week, of which thirty-one hours are not related to any program and the remaining nine hours apply to three different programs being administered by the contractor, including its grant project, it is required that proper time and attendance records be maintained in support of the total 40 hours, and that time distribution records clearly verify the number of hours contributed to the grant program. All time and attendance records must be certified by the signature of a person in a supervisory capacity after the employee has signed the form. Employee earning records must be maintained for each individual and contain cumulative amounts by a pay period for the gross salary, payroll deductions and net pay. Payroll tax reports must also support the amounts shown on the payroll records.

- Fringe Benefits. Allowable fringe benefit costs include, but are not limited to, the following: that portion of the individual's FICA taxes paid by the employer, medical insurance coverage, unemployment insurance and worker's compensation. Costs claimed for fringe benefits must be supported by such cost documentation as payroll records, payroll tax reports, insurance policies and payment schedules, vendor's invoices, etc.

Property Classifications

- It is non-expendable; that is, if damaged or some of its parts are lost or worn out,
- it is more feasible to repair the item than to replace it with an entirely new unit

Equipment/Furniture/Technology

Related items are defined as any instrument, machine, apparatus, or set of articles which:
- Retains its original shape and appearance with use, and;
- Under normal conditions is expected to serve its intended purpose for longer than one year, and;
- Is non-expendable; that is, if the item is damaged or some of its parts worn out, it is more feasible to repair the item than to replace it with a new unit.

Any item with a unit cost of $4,999.99 or less is non-capitalized equipment or if it's a technology related cost regardless of the amount.

Any item with a unit cost of $5,000 or more is capitalized equipment.

Non-capitalized items are desktop computers, laptops, notebooks, printers, fax, copiers, file cabinets, desks, chairs, digital camera, projectors, whiteboards, workstations, and any technology related items such as expandable drives, headsets, microphones and telephones.

Inventory

Federal grantees are to use their own procurement procedures which reflect applicable State and local laws and regulations provided that the procurements conform to applicable Federal law. All grantees must follow **current policies**. All capitalized and non-capitalized equipment purchased with ACCS/AE funds must be inventoried and visibly tagged before being placed into service. Property records must include a description of the property, a serial number or other identification number, the source of property, who holds title, the acquisition date, and cost of the property, percentage of federal participation in the cost of the property, the location, use and condition of the property and any ultimate disposition data including the date of disposal and sale price of the property.

A program that is no longer funded by the state agency or chooses not to continue as a provider for adult education services will return all the equipment, furniture, and non-consumable materials back to the state office. Disbursement will be made to another eligible provider already funded by the adult education state agency.

Lost, Damaged, or Stolen Items

Colleges must take reasonable precautions to ensure that items purchased with ACCS/AE funding is properly maintained, accounted for, and protected from damage, loss, unreasonable deterioration and theft. Colleges are advised to implement the following controls, and any additional controls felt to be necessary to safeguard the property:

- Maintain adequate and current property records that allow the items to be located, and maintain records of the person or persons who have property in their possession, or are responsible for their security during non-duty hours. Accountability and responsibility must be maintained at all times, whether the property is located on-site or off-site;
- Provide a secure building and coordinate between the security function and the Property Control Officer, especially regarding security violations or changes affecting official property; and
- Have a written policy and always follow it when checking out property that requires employees to sign for property in their possession.

When property acquired with adult education funds is lost, damaged or stolen the college must conduct and fully document an investigation. When appropriate, law enforcement authorities should be notified, a police report should be filed and maintained for records, and if the item meets the state's capitalization threshold, insurance provider should be notified.

Disposal Procedures

If the institution no longer needs or intends to use the equipment for the original purpose prior to the end of the life cycle, the institution must use the equipment to support other AEFLA eligible programs or other federally funded programs.

BUDGETS

Once an allocation has been awarded to the sub-recipient, the budget forms process must be completed through AAESAP, and signatures of the Chief Financial Officer, the Chief Executive Officer and the Adult Education Director of the local program must be secured.

Budgets have been set-up to coincide with the monthly expenditure reports. Sub-grantees will be awarded a Federal allocation amount and a State allocation amount. Local providers are warned to pay close attention to the issue of supplanting.

Budget Instructions

IMPORTANT NEW INFORMATION FOR FISCAL YEAR 2018
- FY 2018 Adult Education allocations consist of **nine months** (October 1, 2017 – June 30, 2018) instead of twelve months.
- Allocation letters will be uploaded and sent via Alabama Adult Education System for Accountability and Performance (AAESAP) to each sub-grantee's president/ chief executive officer, the president's administrative assistant and the Adult Education director.

- Form 1, Version 2B pages 1 and 2 have been revised to include the line item, **Career Training Certifications** in order to continue career pathways through the Regular Federal and Regular State budgets. (See details on page 3.)

The following completed forms must be submitted in order for the Alabama Community College System Adult Education Department to review and approve the FY 2018 budget applications:
- Form 1, Version 2, page 1, Budget Signature page
- Form 1 Version 2B, page 1, Budget Line item page
- Form 1A and Form 2A- (if applicable), Salaries & Benefits
- Form 1A1 - (if applicable), Professional Development Salaries & Benefits
- Form 1B- Projected Non Capitalized & Capitalized Equipment Budget/Budget Amendment
- Form 1B1-Projected Supplies/Computing Devices
- Form 1C - Non-Direct Instructional Cost (Administrative) for Regular Federal and State Budgets
- Fund Use Assurance
- Certification regarding Lobbying, Debarment, Suspension, etc.
- Drug-Free Workplace Certification

The following procedures will be explained in these instructions.

1. Creating a budget
2. Submitting a budget

- All designated personnel will log into the Alabama Adult Education System for Accountability and Performance (AAESAP).
- For security reasons, there are designated roles and permissions for personnel in order to create, edit, approve, and submit the Adult Education budgets. Make sure all AE personnel have the correct designated roles and permissions
- The User page for each employee should contain the same information as the Form 1A. Each employee's pay rate, benefits, funding source, etc. on the User page should be reflective of the current fiscal year. Once the User page is updated, each employee can be imported into the budget. On the employment tab, enter the appropriate percentage of each employee's time dedicated to administrative tasks number in Admin (located on bottom right) for all applicable employees (% sign is not required).
- Enter each employee's work schedule on the Employment tab under User Information.

CREATING A BUDGET
1. After you log into AAESAP, select Fiscal Year October 2017-June 2018 from View Program page.

2. Select Create Budget and a box will appear beside the word Reason. Enter Original Budget in the reason box. Enter the preparer's name by selecting from the drop down box. Click Save.

3. Return to View Program page and select Create Budget. The budget line item grid will appear.

4. Select Salaries, then Import Employees and the employee information will be imported from the User Page.

5. All other budget line items will have a description line, as well as a place to enter the amount.
    a. The description line will maintain a history, so provide explanation/description as needed.
    b. Enter Professional Development salaries and benefits for part-time employees including part-time future employees.

6. After entering your budget figures, return to the View Program page. Select the other applicable budgets and follow steps 1-5.

7. Once you have entered the amounts for all budgets, on the View Program Page, click on the plus sign beside Edit/Award. Scroll down and click Submit.

8. All applicable initial budgets must be submitted in AAESAP before Form 1 can be printed correctly.

9. After completing your data entry for all budgets, and clicking submit, go to Reports and select Form 1, Version 2. Select Program and Fiscal Year. Print Form 1, Version 2.
    a. Form 1 Version 2, first page – is a Signature Page that lists all applicable original budget amounts, director's name, phone number, email address and signature lines.
    b. Form 1 Version 2, second page contains information including reason, funding source, date submitted, phone number and email address of the budget preparer.

10. Return to Reports. Select Form 1, Version 2B. Select Funding Source and current Fiscal Year. Form 1, Version 2B is the budget line item page. Print this page for each funding source and place behind Form 1, Version 2.

11. Print all applicable forms for each budget (Form 1A, Form 1B, etc.).

12. Print Form 1C only for Regular Federal and State budgets.

13. Print and sign one set of certifications and the fund use agreement.

SUBMITTING A BUDGET
1. Assemble printed budget forms according to each funding source
    a. Form 1, Version 2 should be the 1st page
    b. Budget Line Item Page, see Number 11 above per funding source
    c. All applicable budget forms per funding source
    d. Certifications and Fund Use Agreement
    e. Repeat a-c for all applicable funding sources

2. Route for your system's approvals.

3. Scan and email the signed Form 1, Version 2 and all pages of Form 1 and all budget forms per funding source to your assigned accountant.

4. Scan and email any applicable agreements, MOAs, MOUs, etc. separately from the budget for the Legal Department's review and the Chancellor's approval.

5. Budget documents are not required to be mailed in hardcopy format.

6. After ACCS has received and approved the budget, you will receive an email verification from AAESAP and a scanned copy of your signed Form 1, Version 2.

CAREER TRAINING CERTIFICATION –NEW LINE ITEM

In order to continue to be in compliance with Title II of WIOA, which includes integrated education and training (commonly known as Career Pathways), a new line item has been created.

- $4,000 of additional funds has been added to your Regular Federal and Regular State budgets to be used to pay for certifications.
- Workkeys is no longer a separate budget and should be budgeted within the Career Training Certifications line item.
- WorkKeys can be paid from federal or state funds.
- Certifications may only be paid with state funds; please budget accordingly.
- Examples of certifications:
    1. CNA-Certified Nursing Assistant
    2. CDL-Commercial Driving License
    3. MSSC-Manufacturing Skills Standards Certifications
    4. CCMA- Clinical Medical Assistant
- Costs directly related to obtaining certifications may also be budgeted within this line item. Examples of related costs:
    1. Background checks
    2. MVR- Motor Vehicle Report for a CDL
    3. Eye exam for CDL
    4. Association memberships required for sponsoring the actual test for various certifications

GENERAL INFORMATION

- In order to be in compliance with Title II, section 241(a) Supplement Not Supplant, sub-grantees will be awarded a FEDERAL grant allocation amount and a STATE allocation amount.
- Employees paid from state funds must be paid from state funds for the entire FY 2018, and any related expenses for that employee (e.g., Travel and Professional Development) should be budgeted using the same funding source. The same applies with the use of federal funds.
- Director's association dues can only be paid using state funds; please budget accordingly.
- Scan and email all FY 2018 agreements including agreements for rental of nonpublic facilities (MOU or MOA) and outreach agreements to your AE accountant.
- Refer to Board Policy 506.01: Leasing of land or Facilities from Others which states, "Any lease of land or facilities owned by others for the use of the department or institution must be approved by the Chancellor.

- All items purchased for instructional purposes, **must** remain within the classroom/on campus. Adult Education funds **cannot** be used to purchase items (ex: uniforms, tools, etc.) for students to remove from the classroom/campus or use for their job.

GENERAL INFORMATION REGARDING SALARY AND BENEFITS

1. Non- ACCS programs receiving Adult Education funds from ACCS are not required to use the Board of Trustees approved ACCS salary schedules to determine their employees' compensation. Such institutions shall submit their governing board approved compensation/benefit leave policies to the ACCS for review and determination.

2. The program Adult Education director is the only AE employee who should be reimbursed from the C3 salary schedule. The maximum salary reimbursement shall not exceed $83,890 (C3 Salary Schedule) for any Adult Education employee.

3. Each full time teacher employed by the agency/institution receiving Adult Education funds will be paid from the D3 Salary Schedule as a full-time 229 day contract employee based on 40 hours per week. Pay for teachers working less than a 229 contract will be prorated.

4. Part-time teachers working 19 hours or less will be paid from the agency/institution's (local) L Salary Schedule.

5. Initial placement on all salary schedules shall give all community, technical college and Adult Education employees' full credit for prior work experience in the public schools, colleges, and adult education programs in Alabama.

6. Adult Education teachers are entitled to 5 personal days per year and 1 day of sick leave per month for a maximum of 12 days per year. Any unused balance of sick leave accumulated at the end of the year will be carried forward to the next succeeding year.

7. Instructional support staff is an individual employed by the agency/institution receiving Adult Education funds to assist teachers in a classroom setting. Full-time 40 hour per week instructional support staff will be paid from Schedule E. Part-time instructional support staff will be paid from the appropriate Schedule H, based on the number of hours worked per week.

8. A support staff is an individual employed by the agency/institution receiving Adult Education funds to perform non-instructional support tasks in the adult education program. Examples include secretarial or data support persons. Forty hour per week support staff will be paid from Schedule E. Support staff working less than 40 hours per week will be paid from the appropriate Schedule H, based on the number of hours worked per week. Support staff working less than 20 hours per week will be paid from the Agency/Institution's (local) L Salary Schedule.

9. Instructional support staff or support staff working less than 40 hours per week will be reimbursed from the appropriate "H" schedule below:

   a. Schedule H20 = 20-24 Hrs. per week
   b. Schedule H25 = 25-29 Hrs. per week

  c. Schedule H30 = 30-34 Hrs. per week
  d. Schedule H35 = 35-39 Hrs. per week

10. If you choose to pay your Adult Education employees amounts greater than those allowed in the respective salary schedules referenced above, the difference must be paid from a funding source other than Adult Education.

The following represents the codes for the Salary Schedules and Positions on Form 1A.

<u>Salary Schedule</u>
C3- Salary Schedule for Director
GD3- Grandfathered D3
D3- 2017-2018 Salary Schedule D3
H- Part-Time Instructional Support or Support Salary Schedule
E- Full-Time Instructional Support or Support Salary Schedule
L- Local Salary Schedule
<u>Position</u>
D - Director
SC - Site Coordinator
T-FT - Teacher Full Time
T-PT - Teacher Part Time
IS-FT -Instructional Support Full Time
IS-PT -Instructional Support Part Time
S-FT - Support Full Time
S-PT - Support Part Time

The benefit rates listed below are for 9 months:
a. FICA – 7.65%
b. RETIREMENT RATE – 10/1/2017 - 6/30/2018
c. Tier I - 12.24% is the rate for employees whose date of employment is prior to January 1, 2013
d. Tier II – 11.01% is the rate for employees whose date of employment is after January 1, 2013
e. HEALTH INSURANCE RATE – 10/1/2017- 6/30/2018 is $800 per month
f. UNEMPLOYMENT COMPENSATION – Rate as approved by the State Department of Labor

FORM 1B - NON-CAPITALIZED AND CAPITALIZED EQUIPMENT/ ITEMS

Equipment/Furniture/Technology Related Items is defined as any instrument; machine, apparatus, or set of articles which retains its original shape and appearance with use, and; under normal conditions is expected to serve its intended purpose for longer than one year, and; is non-expendable; that is, if the item is damaged or some of its parts worn out, it is more feasible to repair the item than to replace it with a new unit.
- Any item with a unit cost of <u>$4,999.99 or less</u> is non-capitalized equipment or if it's a technology related costs regardless of the amount.

- Any item with a unit cost of <u>$5,000.00 or more</u> is capitalized equipment.

SUPPLIES- COMPUTING DEVICES

1. Computers are now known as Computing devices 200.20 - Uniform Grants Guidance (UGG) 2 C.F.R. Part 200
2. Computing devices are now classified as Supplies - UGG 200.94 and will be treated as Non-Capitalized Equipment for Inventory

Computing devices means machines used to acquire, store, analyze, process, and publish data and other information electronically, including accessories (or "peripherals") for printing, transmitting and receiving, or storing electronic information. UGG 200.20   Examples: desktop, laptops, notebooks, tablets, hardware including keyboards, mouse, monitors, printers, fax machines, and routers. Flash drives and power strips are considered regular materials and supplies.

Enter the necessary information for Non-capitalized/capitalized equipment/items and Supplies-Computing Devices in AAESAP to indicate Quantity, Description, Unit Cost, Total Cost and Location.

FORM 1C – NON-INSTRUCTIONAL COSTS (Administrative)

Section 233 of the Adult Education and Family Literacy Act mandates that (a) In General-Subject to subsection (b), of the amount that is made available under this subtitle to an eligible provider-   (1)   not less than 95 percent shall be expended for carrying out adult education and literacy activities; and

(2)   the remaining amount, not to exceed 5 percent, shall be used for planning, administration (including carrying out the requirements of section 116), professional development, and the activities described in paragraphs (3) and (5) of section 232.

Special Rule- In cases where the cost limits described in subsection (a) are too restrictive to allow for the activities described in subsection (a)(2), the eligible provider shall negotiate with the eligible agency in order to determine an adequate level of funds to be used for non-instructional purposes.

Form 1C calculates the entered Administrative Costs by a formula to determine the percentage of the allocation amount that is considered

Administrative Costs. If the percentage is over 5%, print Form 1C and justify the overage in the space provided and send with the budget.

NON-INSTRUCTIONAL COSTS (Administrative)

- Cost for positions that does not directly serve students (accountants, etc.)
- Cost for travel, equipment, and supplies for administrators that is not related to instruction
- Cost for maintaining budgets/RFP/reimbursement reports, MSFs, timesheets, etc.
- Cost for maintaining records and reports that are not student related
- Cost for developing local policies
- Cost for participating in national/state adult education programs (in-service activities) - Professional Development

- Cost for professional development of instructional staff and administrators -Professional Development

INSTRUCTIONAL COSTS (Non-Administrative)
- Cost for travel, equipment, and supplies for administrators that is related to instruction
- Cost for development of quarterly reports
- Cost for analysis of accountability system and quarterly report data
- Cost for maintaining records and reports that pertain to student placement and performance
- Cost for annually assessing the literacy needs of adults
- Cost for evaluating plant facilities regarding placement of classes
- Cost for collecting/analyzing learner retention data on a quarterly basis
- Cost for assessing/evaluating adult learner's satisfaction with the program
- Cost for developing/executing an intake/orientation process
- Cost for counseling adult students
- Cost for fostering local community's support for the program
- Cost for monitoring/evaluating classes
- Cost for developing/implementing curriculum

CERTIFICATIONS
- CERTIFICATION REGARDING FUND USE - BUDGETS AND AMENDMENTS
  - This certification is required to acknowledge use of funds and applicable amendments.
- CERTIFICATION REGARDING LOBBYING, DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS
  - This certification is required by the regulations implementing 34 CFR, Part 82, Debarment and Suspension, 2 CFR Part 180, Section 85.510, Participants' Responsibilities.
  - Must have original signature of Chief Executive Officer
- DRUG-FREE WORKPLACE CERTIFICATION
  - Must have original signature of President or Chief Executive Officer.

BUDGET AMENDMENTS
- Due to accountability, the following State Policy will apply:
- Expenditures exceeding 20% of an approved budget line item and not the total allocation amount will not be allowable, therefore, a budget amendment to increase the line item and decrease another line item will be necessary before a purchase is to be made.
- The EFFECTIVE DATE will be the date the budget amendment is approved by ACCS.
- A budget amendment submitted after the fact will not be approved, and the unbudgeted item will not be an allowable expenditure.

Budget amendments are required when:

1. An additional State or Federal allocation is received (regardless of amount).

2. Any changes are made to the scope or objectives of the program, regardless of whether there is an associated budget revision requiring prior approval.

3. Initial or additional capital outlay items are needed. If additional capital outlay items are needed, but the amount of funds involved does not warrant a budget revision, a letter outlining what is needed may be submitted over the Authorized Official's signature.

4. Changes in staff positions (replacing a staff position already approved, not applicable) may require a revision to the staff summary page of the applicable program application.

5. Contracting out or otherwise obtaining the services of a third party to perform activities, which are central to the purpose of the program.

6. Allocation increases/decreases will always require a budget amendment regardless of the deadlines in place.

Fiscal Year 2018 Deadlines (Amendments and Purchasing)

- Budget amendments must be submitted no later than **April 30, 2018**.
- Invoices for Non-Capitalized/Capitalized Equipment, Supplies – Computing Devices, Materials and Supplies must have an invoice date no later than **May 15, 2018**.
- Final expenditure reports must be received by the state office no later than **July 16, 2018**.
- Signed Form 3A –Non-Capitalized/Capitalized Items, and Supplies – Computing Devices Inventory (if applicable) must be received by the state office no later than **July 16, 2018** (should be submitted along with the June expenditure report.
- Form 3B –Non Grant Expenditures must be received by the state office no later than **July 16, 2018** (should be submitted along with the June expenditure report).
  - Enter the amounts of any non-grant funds that were expended or utilized (such as: in-kind or donated services, State or Local Funds, etc.) for Adult Education.

Travel vs. Professional Development
If the activity coincides with a workshop, training, conference or in-service (meeting for professional growth and enhancement), we consider it to be Professional Development, and any expenses generated as a result would also be Professional Development. All other travel that falls outside this definition is considered Travel.

Change in Personnel-Revised
Please notify your assigned ACCS adult education accountant immediately after an employee begins or leaves employment. If filling a position for Future Employee changes the bottom line of the approved budget for salaries and benefits, a budget amendment must be submitted and approved by regular routing of signatures. If the Future Employee information does not change the bottom line, then your accountant can approve the amendment immediately.

Non-Capitalized Items vs. Supplies
An item exceeding $200.00 is considered a non-capitalized item and must be budgeted and approved in advance as a non-capitalized item in order to be reimbursed for the expense. This

excludes computing devices. Items below 200.00 are considered supplies such as shredders and electric staplers.

All allocation amounts must end in zero. No cents!!!!

Address for Adult Education Program
Alabama Community College System
Post Office Box 302130
Montgomery, Alabama 36130-2130

For questions, please contact:

Kimberly Atkins   Marilyn Johnson
(334) 293-4624   (334) 293-4625
kimberly.atkins@accs.edu   marilyn.johnson@accs.edu

*For a copy of the **2018 AE Time and Effort Form** – follow the link below:

FY 2018 Time and Effort Form

FY 2018 Expenditure Report Instructions
Adult Education and Family Literacy Act (AEFLA) Title II, P. L. 113-128, CFDA 84.002

IMPORTANT INFORMATION FOR FISCAL YEAR 2018
- Monthly Summary of Funds Version 2 now allows the full activity code (ACCS use only) to be shown and only lists contact information for the preparer of the MSF once.
- **Career Training Certifications** is a new line item on the Year to Date Budget & Expenditures Tracking Sheet Version 2 Form. WorkKeys and other allowable certifications will be included in this line item (see the budget instructions for more details).

The following procedures will be explained in this document.
1. Creating an Expenditure Report
2. Submitting an Expenditure Report

The following completed forms will be necessary in order for the Alabama Community College System Adult Education Department to review and approve adult education expenditure reports for payment:
- Monthly Summary of Funds (MSF)
- Year to Date Budget and Expenditure Tracking Sheet
- Cover sheet for each approved budgeted line item that lists expenditures for the month being reported (ex. Salaries & Benefits, Instructional Materials & Supplies, etc.)
- Documentation is required for all expenditures listed on each cover sheet (ex: payroll, travel claims, invoices, checks or other proof of payment). Backup documentation for expenditures should be filed

behind each cover sheet

Creating an Expenditure Report in AAESAP

1. On the View Program Information page beside Page, click Budget from the drop down menu and select the current fiscal year (October 2017 – June 2018) from the drop down menu and click Submit.

2. Click Expense for the appropriate budget, click Add Expense Package, select the appropriate month and click Create.
    a. Expenditure reports must be done in order. For example, the first report you will have for fiscal year 2018 is October, then November. You will not be able to skip months. For months that do not have expenditures, a report must be created to reflect zero monthly expenditures.

3. Select the appropriate month and the tracking sheet will appear with the approved budget figures, amount expended year to date and balance.

4. Select the applicable blue line items and enter the expenditure information. Once expenditure information has been entered for each line item, click the red back button once to return to the expense package page.

5. To complete the Monthly Summary of Funds (Version 2) page, go to the Expense page, select View from the Summary column for the month you are preparing. Click Edit. Select the Apply Default button if the total allocation requested YTD is correct. If the amount is not correct, enter the correct amount in the Total Allocation Requested YTD box and enter an explanation in the comments box. Enter the Estimated Cash Needs for Following Month (only if applicable). Select the preparer from the Prepared by drop down box. Click Save to update the information.

6. Click Return to Expense Packages and Click Submit.

7. To print the reports, select Reports from the menu and select the report you would like to generate. Select the correct Fiscal Year, Funding Source, and Expense Package (month).
    a. The signed Monthly Summary of Funds Version 2 should be the 1st page, followed by the Year to Date Tracking sheet (Version 2) and backup for each funding source (MSF then Regular Federal YTD followed by Federal backup; Regular State YTD followed by State backup and so on).

8. Print the reports and route for your system's approval. Send original, signed hard copy along with the required backup to your accountant at the ACCS office.

9. Once the expenditure reports are approved for payment by ACCS staff, an email with approval notification will be sent through AAESAP to the system director and the preparer of the report.

10. Expenditures exceeding 20% of an approved line item amount are **NOT** allowable. AAESAP will prevent submitting the report if this occurs.

Creating Inventory for Form 3A

1. To add inventory in AAESAP, select Create Inventory.

2. Enter ALL necessary inventory information (description, item number, model number, serial number, acquisition date, site campus, site room, etc.).

3. Associate the inventory with the applicable expense.

Copy and Edit Inventory Buttons
- Clicking Edit on an inventory item will take the user to the Edit Inventory page so they can make changes to existing inventory items.
- If all the items for the expense haven't been inventoried yet, the Copy command is shown. When it is clicked, the Create Inventory page is displayed with all the fields the same values as the inventory item where you clicked Copy.

FISCAL YEAR 2018 Deadlines (Amendments and Purchasing)

- Budget Amendments must be submitted no later than **April 30, 2018**.
- Invoices for Non-Capitalized/Capitalized Equipment, Supplies – Computing Devices, Materials and Supplies must have an invoice date no later than **May 15, 2018**.
- Final expenditure reports must be received by the state office no later than **July 16, 2018**.
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- Form 3B –Non Grant Expenditures must be received by the state office no later than **July 16, 2018** (should be submitted along with the June expenditure report).
    - Enter the amounts of any non-grant funds that were expended or utilized (such as: in-kind or donated services, State or Local Funds, etc.).

Submit one signed original to:
Alabama Community College System
Fiscal Services Division
(**ATTENTION** your assigned Adult Education Accountant)
P. O. Box 302130
Montgomery, Alabama 36130-2130

For questions, contact your assigned Adult Education accountant.

PROGRAM EVALUATION & MONITORING

The Alabama Community College will evaluate and monitor the effectiveness of the adult education and literacy activities, adult educations programs, and other services, at minimum, on an annual basis. The evaluation and monitoring of the services and activities under the AEFLA Act will be completed based upon data analysis and site visits conducted at the State's discretion.

Evaluation is the analysis of the effectiveness of an activity that prompts a judgment regarding the estimated value of the program being evaluated. It involves the process of finding the facts and is conducted during the first quarter following the end of the fiscal year.

Monitoring is the annual, systematic tracking of adult education program implementation. It consists of examining the progress made in the project against the agreed upon goals set forth in the application for funds. The purpose of monitoring also provides the opportunity to make constructive suggestions or recommendations. It employs systematic collection of data and on-site observations by providing stakeholders the extent of progress and achievement of objectives, proper and lawful use of funds, and compliance with policies, guidelines, Adult Education and Family Literacy Act (P.L. 105-220), Alabama's Adult Education and Family Literacy Plan, and the federal Uniform Grant Guidance document. The ACCS is responsible for developing monitoring instruments. A copy of the evaluation instrument will be provided to local programs annually, and prior to a monitoring visit, so programs can complete self-evaluations.

The various methods of evaluation and monitoring can be performed independently and/or a combination thereof, to include:

- **Desk-top Monitoring:** Through continuous, routine data collection and reports including the mid- and end-of-year reports from providers, desk-top monitoring informs management how the grantee is performing against expected results. The two primary methods of conducting desk-top monitoring are the Mid-year and End-of-Year Reports.

- **On-Site Monitoring**: Program Management; Recruitment, Orientation and Intake; Retention, Assessment, Curriculum and Instruction; Transition and Support Services; Professional Development; and Program Performance shall be assessed using an ACCS-approved monitoring instrument.

The scope and depth of the evaluation and monitoring visit will be decided and be implemented in a way that allows ACCS/AE to determine the provider's ability and willingness to meet the intents and purposes of the *Adult Education and Family Literacy Act*, the requirements of the *National Reporting System for Adult Education* (NRS), and this plan. On-site program monitoring will be conducted by ACCS officials who may be accompanied by a local provider.

Technical Assistance: A relationship between the ACCS/AE, contracted expert, or a local adult education director/teacher possessing specific technical/content knowledge and who provides information to address an identified need of a local adult education provider. Technical Assistance goals are designed to utilize recognized 'best practices" by adult education programs or individuals seeking answers to specific questions or problems identified during monitoring or evaluation visits. Technical Assistance relationships are program-focused, and may use an interactive, on-site/hands-on

approach as well as telephone or email assistance. Technical Assistance delivery is generally short in duration and usually takes place as result of findings during monitoring or evaluation, or a request from a local provider, or as a result of policy changes.

Each area will be rated using the following scale:

> **5 Exemplary:** Consistently present and could be shared as a model.
> **4 Accomplished**: Present the majority of the time and of generally high quality.
> **3 Needs Improvement**: Present to some degree, but lacks quality and consistency.
> **2 Not Evident:** Unable to identify evidence of compliance.
> **1 Not Applicable:** The question does not apply.

The ACCS shall provide a copy of the documented monitoring report within fourteen (14) business days following the conclusion of the visit. The local provider shall respond within fourteen (14) business days of receiving ACCS's written report. The written evaluation and monitoring report will address specific findings and observations.

● **Findings:** Discoveries that are deviations from, or non-accomplishment of, those details or stipulations that impair the accomplishment of the intent and purposes of the Adult Education and Family Literacy Act, this plan, or initiatives directed by the Chancellor. Findings are appropriate for Compliance "C" questions and require a response and a remedy.

● **Observations**: Discoveries that may help improve those details or stipulations that may help achieve the intent and purposes of the Adult Education and Family Literacy Act and this plan, thus enhancing continual program improvement.

In some cases, agencies/organizations/institutions may be required to submit a program improvement plan or require additional monitoring such as:

● **Targeted Monitoring:** Targeted monitoring is performed to follow-up and verifies the satisfactory completion of findings identified during the performance of on-site monitoring. ACCS officials shall conduct a targeted monitoring visit after receipt of the provider's response addressing findings. The targeted visit shall be at a time when the provider has had time to implement and evaluate the remedy. Described measures, such as indicators of program quality, ensure that program services and activities take into account the findings of program reviews and evaluations.

Technical Assistance: A relationship between the ACCS/AE, contracted expert, or a local adult education director/teacher possessing specific technical/content knowledge and who provides information to address an identified need of a local adult education provider.

- Technical Assistance goals are designed to utilize recognized 'best practices" by adult education programs or individuals seeking answers to specific questions or problems identified during monitoring or evaluation visits.

- Technical Assistance relationships are program-focused, and may use an interactive, on-site/hands-on approach as well as telephone or email assistance.

- Technical Assistance delivery is generally short in duration and usually takes place as result of findings during monitoring or evaluation, or a request from a local provider, or as a result of policy changes.

PROGRAM REPORTS

Mid-year Report: A written report from the local provider addressing the problems, or potential problems, identified as well as a plan of corrective action. Local programs may request staff assistance in this report. ACCS/AE state staff review and reply to these reports within fourteen (14) days and may also use the report as another means to identify staff assistance needs.

Year-end Report: A written report from the local provider addressing the problems, or potential problems, identified as well as a plan of corrective action. Local programs may request staff assistance in this report. State staff review and reply to these reports within fourteen (14) days and may also use the report as another means to identify staff assistance needs.

OTHER AE PROGRAMS AND INITIATIVES

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Non-Traditional High School Diploma Option Program (HSO or HSDO)

The HSO Program is a partnership between ACCS/Adult Education and the Alabama State Department of Education (ALSDE), which is an alternative to the GED high school equivalency, and is designed for students who have completed all of the required credits for graduation but failed the Alabama High School Graduation Exam (AHSGE), or students who have dropped out of the traditional high school setting having earned at least 10 credits.

The HSO Program provides two options:

Option1 – For an adult who last attended an Alabama public high school and earned the required credits to graduate, but did not pass the high school graduation exam.

Option 2 – For an adult who earned 10 or more credits from an Alabama public high school and requires additional credits for high school completion.

Students must meet eligibility criteria for both options.

For Option 1: Participant must have all 24 credits required to graduate from a traditional high school, or the number of credits established by the local school system that the participant last attended; participant must be at least 17 years of age; participant did not pass the AHSGE.

For Option 2: Participant must have at least 10 credits required to graduate from a traditional high school in Alabama; participant must be at least 17 years of age; participant must assess on the TABE (Test for Adult Basic Education); TABE score must be in the high intermediate level (grade equivalency of 6.0 or higher) in all three sub-skill tests for student to participate in HSDO (pre-test), and ASE Low or ASE High (grade equivalency of 9.0 or higher) in all three sub-skill tests before completing HSDO (post-test).

The following is a list of forms associated with HSO. The forms are housed in AAESAP under the "Help" link, and may be downloaded as needed: 1) Step-by-Step Guidance, 2) Eligibility Determination Form, 3) Transcript Request Form, 4) High School Transcript Audit Form, 5) Plan of Instruction (POI) for Option 1, 6) Plan of Instruction (POI) for Option 2, and 7) Non-Traditional High School Options Transcript.

*The [FAQs for HSDO](#) are considered to be the policy for the HSDO program.

GLOSSARY

Alabama Adult Education System for Accountability and Performance (AAESAP): Alabama Adult Education's electronic system for data collection and reporting.

Achievement of NCRC (National Career Readiness Certificate): is based on the number of students who successfully complete the ACT WorkKeys.

Adult Basic Education: Instruction in adult basic education is designed for adults who lack competence in reading, writing, speaking, problem solving or computation at a level necessary to function in society, in the workplace, or in the family.

Adult Education (defined according to WIOA): Academic instruction and education services below the postsecondary level that increase an individual's ability to: (A) read, write, and speak in English and perform mathematics or other activities necessary for

the attainment of a secondary school diploma or its recognized equivalent; (B) transition to postsecondary education and training; and (C) obtain employment.

Adult Education and Literacy Activities (defined according to WIOA): Programs, activities, and services that include adult literacy and education, English language acquisition, family literacy, integrated (full implementation of "integrated" is expected in fiscal year 2016-17) English literacy and civics education, workforce preparation, integrated education and training, and workplace education. (Workforce preparation and integrated education, including career pathways, will be a *requirement* of WIOA implementation.)

Annual Funding Allocations (and associated goals): These are based on a county's population without a high school credential, ages 18 and over, according to the U.S. Census Bureau's 2010 - 2014 American Community Survey (ACS).

Adult Literacy: Adult literacy is a program of instruction designed for adults who have minimal or no skills in reading, writing, speaking, problem solving, or computation.

Basic Skills Deficient: means, with respect to an individual, a) who is a youth, that the individual has English, reading, writing, or computing skills at or below the 8th grade level on a generally accepted standardized test; or b) who is a youth or adult, that the individual is unable to compute or solve problems, or read, write, or speak English, at a level necessary to function on the job, in the individual's family, or in society.

Career Pathway: the term means a combination of rigorous and high-quality education, training, and other services that – a) aligns with the skill needs of industries in the economy of the state or regional economy involved; b) prepare an individual to be successful in any of a full-range of secondary or postsecondary options, including apprenticeships; c) include counseling to support an individual in achieving the individual's education and career goals; d) includes as appropriate, education offered concurrently with and in the same context as workforce preparation activities and training for a specific occupational cluster; e) organizes education, training, and other services to meet the particular needs of an individual in a manner that accelerates the educational and career advancement of the individual to the extent practicable; f) enables an individual to attain a secondary diploma or its recognized equivalent, and at least one recognized postsecondary credential; and g) helps an individual enter or advance within a specific occupation or occupational cluster.

Concurrent Enrollment: Enrollment in adult education and credit-bearing academic postsecondary education.

Correctional Institution: Prison, jail, reformatory, work farm, detention center, halfway house/community-based rehabilitative center, or other similar institution for the confinement or rehabilitation of criminal offenders.

Criminal offender: Individual who is charged with or convicted of any criminal offense.

Digital Literacy: the skills associated with using technology to enable users to find, evaluate, organize, create, and communicate information.

English Language Acquisition (formerly ESL - *defined according to WIOA*)**:** Program of instruction (A) designed to help eligible students who are English language learners achieve competence in reading, writing, speaking, and comprehension of the English language; and (B) that leads to attainment of a high school diploma or its equivalent, transition to postsecondary education, or employment.

English Language Learner (*defined according to WIOA*): An eligible student who has limited ability in reading, writing, speaking, or comprehending the English language, and whose native language is a language other than English or who lives in a family or community environment where a language other than English is the dominant language.

Entered Postsecondary or Training: Learner enrolling after exit in a postsecondary educational institution or occupational skills program, building on prior services or training received.

Essential Components of Reading Instruction: Section 1208 of the Elementary and Secondary Education Act of 1965 [As Amended Through P.L. 115-64, Enacted September 29, 2017], and also Pub. L. 113-128, July 2014, Title II, Sec. 203(8).

Family Literacy: Activities that are of sufficient intensity and quality to make sustainable improvements in the economic prospects for a family and that better enable parents or family members to support their children's learning needs, and that integrate all of the following activities:
(A) Parent or family adult education and literacy activities that lead to readiness for postsecondary education or training, career advancement, and economic self-sufficiency;
(B) Interactive literacy activities between parents or family members and their children;
(C) Training for parents or family members regarding how to be the primary teacher for their children and full partners in the education of their children; and
(D) An age-appropriate education to prepare children for success in school and life experiences.

Gained Employment: is defined as learners who obtain a job by the second and/or fourth quarter after exit.

Home Schools: Nothing in Title II of the WIOA, AEFLA, shall be construed to affect home schools, whether a home school is treated as a home school or a private school under state law, or to compel a parent or family member engaged in home schooling to participate in adult education and literacy activities.

Integrated Education and Training: Service approach that provides adult education and literacy activities concurrently and contextually with workforce preparation (see "Workforce Preparation" below) and workforce training for a specific occupation or occupational cluster for the purposes of educational and career advancement. IET must include three components: a) adult education and literacy activities; b) workforce preparation activities; and c) workforce training for a specific occupation or occupational cluster.

Integrated English Literacy and Civics Education (IELCE): Education services provided to English language learners (see "English Language Learners" above) who are adults, including professionals with degrees and credentials in their native countries, that enable them 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 U.S. Such services shall include instruction in literacy and English language acquisition (formerly English as a second language) and the rights and responsibilities of citizenship and civic participation, and may include workforce training.

Literacy: A student's ability to read, write, and speak in English, compute, and solve problems at levels of proficiency necessary to function on the job, in a family, and in society.

Non-Traditional High School Diploma Option Program (HSO or HSDO): a partnership between ACCS/AAE and ALSDE (K-12) to provide opportunities for adults who last attended and Alabama public high school, and who completed enough graduation credits to graduate but did not pass all portions of the Alabama High School Graduation Exam (AHSGE); or for an adult who last attended an Alabama High School before dropping out and earned at least 10 graduation credits to earn an Alabama High School Diploma.

Obtained HSE (High School Equivalency) or Secondary School Diploma: Learner who obtained a recognized high school equivalency or a secondary school diploma after exit.

Office of Career, Technical, and Adult Education's National Reporting System (NRS) Performance Targets: Alabama Adult Education negotiates performance targets annually. Local programs are accountable for meeting these goals through the National Reporting System (NRS).

Other Institutionalized Individuals: those individuals not in corrections, but institutionalized in a residential, overnight facility.

Participant (as defined by WIOA): an individual participating in an Adult Education program who has achieved 12 contact hours after program entry, is reported on NRS and Statewide Performance Report tables, and is counted toward performance measures.

Period of Participation - A period of participation begins each time an individual enters adult education and gets at least 12 hours of service, even if there are multiple entries during the same program year. A participant may have multiple periods of participation in a year and performance is measured for each period. These periods must be separated by 90 days without program attendance.

Postsecondary Educational Institution (defined according to WIOA): An institution of higher education that provides not less than a two-year program of instruction that is acceptable for credit toward a bachelor's degree, a tribally-controlled college or university, or a nonprofit educational institution offering certificate or apprenticeship programs at the postsecondary education level.

Reportable Individual (as defined by WIOA): an individual who registers with an Adult Education Program or provides identifying information, takes action that demonstrates an intent to use program services, but has less than 12 contact hours.

Retained Employment: is defined as learners who obtain a job and remain employed in the second and/or fourth quarter after program exit.

Workforce Preparation: Activities, programs, or services designed to help an individual acquire a combination of academic, critical thinking, digital literacy, and self-management skills, including competencies in utilizing resources and information, working with others, understanding systems, and obtaining skills necessary for successful transition into (and completion of) postsecondary education and training, or employment.

Workplace Education: Adult education and literacy activities offered by an eligible provider in collaboration with an employer or employee organization at a workplace or an off-site location that is designed to improve the productivity of the workforce.