

WIOA Title II Administrator
Arizona Adult Education

Local Provider
Technical Assistance
Guide



ADE Vision: Equity for all students to achieve their full potential

Program Year 2022 - 2023

Version 2.1 - DRAFT

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Introduction

The Provider Technical Assistance Guide (TA Guide) was created to provide a resource for just-in-time information on the requirements of the Arizona Adult Education Grant (Grant) and the processes for meeting them. In order to facilitate this purpose, the following have been included:

- **Comprehensive Table of Contents**
 - While rather long, we hope the level of detail will assist users in quickly identifying topics they need information on.
 - Clickable links: all items in the table of contents are clickable and will take you to that topic.
 - **ALT** and the **back arrow** pressed simultaneously will return users to the previous location.
 - Users may also press **CTRL** and **F** keys simultaneously to bring up a search bar, then type a word or phrase into the search.
- **Embedded Links**

Users will find links throughout the document that will take them to

 - other places in the document that will provide additional information on the topic.
 - outside documents and resources relevant to the topic.

Users will note the “Year One Draft” watermark on the TA Guide. PY21-22 will be a year of building and refining the document as feedback is provided by users and additional areas of technical assistance are developed.

Version 2.1 – July 2022 DRAFT

This draft is being released in order for users to have PY2022-23 reporting schedules and performance targets. The full version will replace this document in late July, and refinements will be done throughout the program year.

User Feedback Form

- The feedback form is located [HERE](#)
- Sections include
 - Identified Errors
 - Identified Section in Need of Clarification/Further Detail
 - Suggestion for Additional Topic

Section 1: WIOA and the Arizona Adult Education System

Background of WIOA

On July 22, 2014, the Workforce Innovation & Opportunity Act of 2014 (WIOA) was signed into law to reauthorize the Workforce Investment Act of 1998 (WIA). WIOA requires the alignment of workforce, education, and economic development systems to support access to high-quality, comprehensive and accessible workforce services for all individuals, including those with significant barriers to employment. Adult Education and Literacy (Title II) is identified as one of four required core partners in WIOA. The core partners, as part of the ARIZONA@WORK system, are listed below:

WIOA Required Core Partners:

- ARIZONA@WORK Title I-B - Adult, Dislocated Worker, and Youth Programs
- **ARIZONA@WORK Title II - Adult Education and Literacy Program**
- ARIZONA@WORK Title III - Wagner-Peyser Employment Services
- ARIZONA@WORK Title IV - Vocational Rehabilitation Program

Purpose of Adult Education under WIOA

The purpose of Adult Education in Arizona under WIOA is to enable local adult education providers, as core partners of Arizona's workforce system, to develop, implement and improve adult education and literacy services throughout the state to further the vision and goals as outlined in the Arizona Unified Workforce Development Plan and WIOA, in order to:

- Assist adults to become literate and obtain the knowledge and skills needed for employment and economic self-sufficiency
- Assist adults who are parents or family members to obtain the education and skills needed to participate successfully in the educational development of their children and improve the economic opportunities of the family
- Assist adults in the attainment of a high school equivalency (HSE) diploma and in the transition to postsecondary education and training through career pathways
- Assist immigrants and other individuals who are English language learners in improving their reading, writing, speaking and comprehension skills in English; improving their math skills; and acquiring an understanding of the American system of government, individual freedom, and the responsibilities of citizenship

The Arizona Adult Education Mission

To Prepare Learners for Success in College, Career and Life. The following three Arizona Adult Education Goals provide the foundation upon which educational programs should be built in order to meet the WIOA requirements for Title II and the Arizona Workforce System:

1. **System Goal:** The Arizona Adult Education System is an integral component of Arizona's educational pipeline leading to postsecondary education and career pathways.

2. **Profession Goal:** Arizona Adult Educators empower adult learners to transition to postsecondary education and livable-wage employment.
3. **Instruction Goal:** Arizona Adult Education Instruction prepares adult learners for success in postsecondary education and the workforce.

Target Population/Eligible Individuals

Under the Grant, individuals are eligible to receive services if they meet the following criteria:

- Have attained 16 years of age
- Are not enrolled, or required to be enrolled, in secondary school as described in [A.R.S. 15-802](#)
- Are lawfully present in the United States, per [A.R.S. 15-232\(B\)](#)
- Identify as at least one of the following
 - basic skills deficient (literacy and/or numeracy)
 - lacking a secondary diploma or its recognized equivalent
 - is an English language learner

Arizona Workforce System

All four titles comprise the workforce system. In Arizona's Workforce System, Titles I, III and IV are under the administration of the Department of Economic Security (DES). Title II is administered by the Arizona Department of Education (ADE), as described in the Arizona Revised Statutes (A.R.S.) [15-232](#) and [15-234](#), to provide educational services to the Target Population (see *Figure 1*).

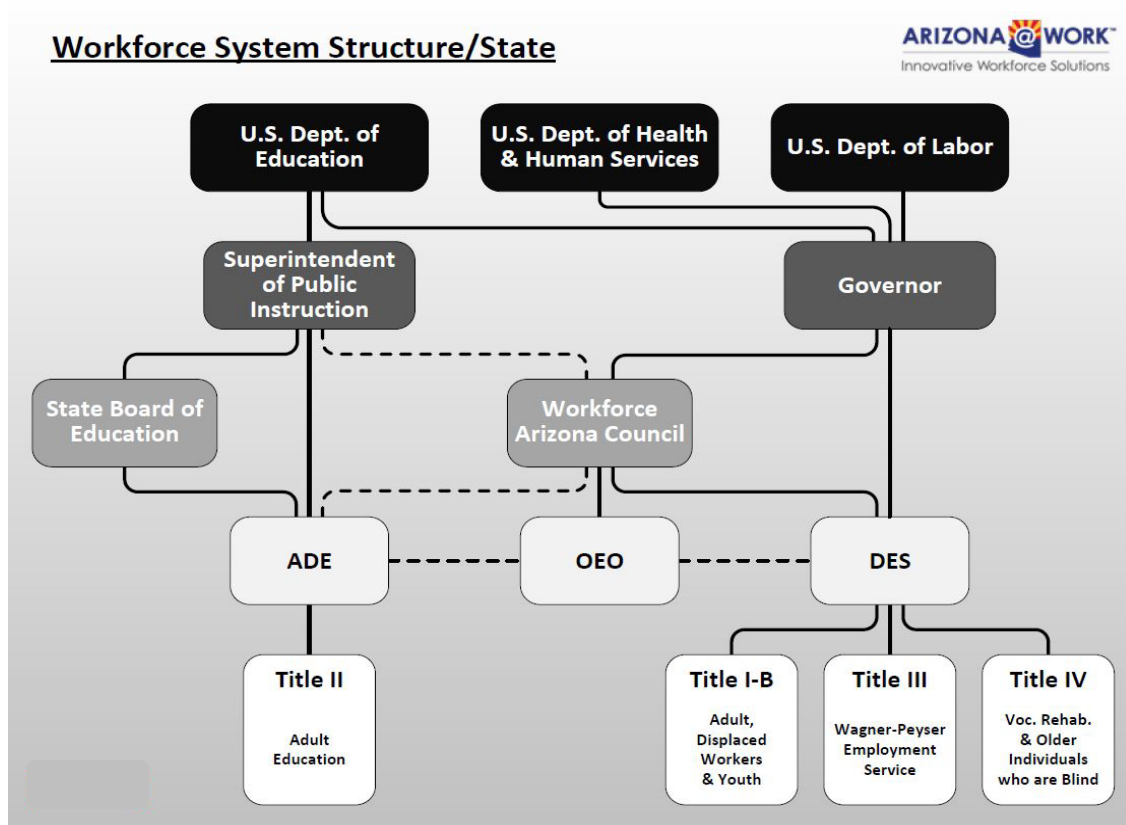
As illustrated in Figure 1 on the following page, Title I-B, III, and IV in Arizona are administered by the Department of Economic Security (DES). Services provided under each title include the following (des.az.gov):

- **Title I-B: Adult, Dislocated Worker, and Youth Employment Services**
 - **Adult** program serves individuals and helps employers meet their workforce needs. It enables workers to obtain good jobs by providing them with job search assistance and training opportunities.
 - **Dislocated Worker** is designed to help workers get back to work as quickly as possible and overcome barriers to employment. When individuals become dislocated workers as a result of job loss, mass layoffs, global trade dynamics, or transitions in economic sectors, the Dislocated Worker program provides services to assist them in re-entering the workforce. Services for dislocated workers are integrated and provided through a national network of American Job Centers (AJCs). The AJCs provide significant resources to states to implement workforce education, training, and employment programs and help displaced workers.
 - **Youth Employment Services** is primarily responsible for coordinating all youth-related workforce programs including the Workforce Innovation and Opportunity Act (WIOA) Youth Formula, YouthBuild, and Reentry Employment Opportunities. Our programs primarily serve young adults ages 16-24 that face a variety of barriers to employment. We provide leadership to the workforce system and our

grantees, policy direction and guidance, support for program administration, and technical assistance.

- **Title III: Employment Services**
 - Program focuses on providing a variety of employment-related labor exchange services including, but not limited to, job search assistance, job referral and placement assistance for jobseekers, re-employment services to Unemployment Insurance claimants, and recruitment services for employers with job openings.
- **Title IV: Vocational Rehabilitation**
 - Program provides services to individuals with disabilities, with the goal to prepare for, enter into, or retain employment. Services provided by VR may include, but are not limited to, vocational evaluation, job training, job search, job placement, transportation, job site modification, self-employment and entrepreneurial activities.

Figure 1



Since the passage and implementation of WIOA, adult education has been identified as an important element of workforce development systems nationwide. The Arizona Department of Education/Adult Education Services unit (ADE/AES) has worked collaboratively with core partners and local adult education providers to address WIOA requirements and ensure that adult education and literacy is an integral component of the Arizona Workforce System.

Arizona Unified Workforce Development Plan

WIOA requires that each state submit a State Plan to the U.S. Secretaries of Labor and of Education, outlining the state's four-year workforce development strategy as it pertains to that state's workforce development system. Each state must have an approved plan in place in order to receive federal funding for the four WIOA core partners.

The framework and content for Arizona's current plan under WIOA was developed through a collaborative process involving all core partners, local workforce development areas, and local adult education providers. Under the guidance of Arizona's State Workforce Board, the Workforce Arizona Council (WAC), this framework became the Arizona Unified Workforce Development Plan and was submitted to the U.S. Department of Labor (USDOL) and the U.S. Department of Education (USDOE). [Arizona's Unified Workforce Development Plan Program Years 2020-2024](#) can be found on the [ARIZONA@WORK](#) site. Local plans for each workforce development area must be aligned to the state plan.

Authorization and Funding

Arizona state law establishes adult education as a division within the Arizona Department of Education (ADE), and ADE serves as the administrative entity for Title II, Adult Education (A.R.S. [15-232](#), [15-234](#)) for the purpose of establishing and maintaining adult education programs to conduct adult education classes. Funding allocated to local providers for adult education must be approved by the Arizona State Board of Education (AZ SBE). Adult Education Services (AES) is the unit within ADE responsible for the administration and oversight of Arizona's statewide adult education system. All funding is pending availability of projected Federal and State funds and Arizona State Board of Education (AZ SBE) approval.

- **Federal** - [Workforce Innovation & Opportunity Act](#), Title II, Adult Education and Literacy
- **State** - Arizona Revised Statutes, [15-232](#) and [15-234](#)

Primary Indicators of Performance

Programs funded under the Grant must meet state targets for accountability and performance measures set forth by the Office of Career, Technical, and Adult Education (OCTAE) as part of continuation of funding throughout the Grant cycle. State targets for the PY2021-2022 can be found in [Appendix D](#).

Should programs not meet the state targets for performance, they will be required to implement actions and strategies designed to improve performance. If adequate progress toward improved performance is not made, a corrective action plan may be implemented, and the program will be at risk for having funding withheld, reduced, or eliminated.

Section 2: Grant Requirements

The current grant period began on July 1, 2020, and it will terminate on June 30, 2024. Grant years are as follow:

- **Program Year* 1:** July 1, 2020 – June 30, 2021
- **Program Year* 2:** July 1, 2021 – June 30, 2022
- **Program Year* 3:** July 1, 2022 – June 30, 2023
- **Program Year* 4:** July 1, 2023 – June 30, 2024

Continuation of funding is based on successful delivery of adult education services to the target population and the achievement of annual performance targets. Grant recipients that do not meet grant requirements risk loss of funding at any point in the grant period.

Federal **Program Years begin on July 1 and end on June 30. This coincides with Arizona Fiscal Years (but not Federal Fiscal Years). Therefore, in Arizona it is common to see FY and PY used interchangeably.*

The sections below contain simplified language for each of the grant requirements, as well as additional detail and technical assistance. Full text of each requirement is linked in its heading.

Financial and Grants Management Requirements

1. [Grant Funds – Appropriate Use](#)

Any and all uses of grant funds must be aligned to State and Federal laws and the Arizona Unified Workforce Development Plan.

2. [Grant-Purchased Equipment and Supplies](#)

Equipment and supplies purchased with grant funds must be primarily used for delivery of services. See "[Administrative Regulations and Requirements](#)" for additional information.

3. [Maximum Administration Expenditure](#)

The cost of administering the program may not exceed 5% of the total grant award. This may be negotiable.

4. [Professional Learning Set-Aside](#)

Programs must budget and expend 10% of their grant award PLUS any [earned income](#) on professional learning activities.

- PL activities must align with the Professional Learning Standards as established by Learning Forward.
- **Out-of-state conferences:** programs must obtain approval from the Directors of Fiscal Services and of Professional Learning prior to registering (or otherwise encumbering funds) in order to use grant funds.
 - Requests should be submitted to the two directors by email and include sufficient information for a review to be completed.
 - Other funds may be used for attending out-of-state conferences without prior approval.

See [Teaching and Learning-Fiscal Assurance #4](#) for detailed information.

5. [Minimum Local Match](#)

Programs must provide a match to the grant award in each program year of the grant period.

- Minimum 25%
- May be in cash and/or in-kind.
 - Examples of in-kind contributions include:
 - Staff salaries or benefits
 - Paid for utilities
 - Paid for or donated supplies
 - Donated facilities/building square footage
 - The local match may **not** be:
 - Federal funds
 - Earned income
 - student fees collected
 - Full Time Student Equivalency (FTSE) dollars
- Set-aside awards that do **not** require a match
 - Workforce System
 - One-time supplemental grants
 - One-time WIOA grants

6. [Earned Income and Its Allowable Use](#)

- “Earned income” includes the following examples:
 - Fees collected from students (see **Supplemental Fees** below)
 - Revenue generated by Full Time Student Equivalency (FTSE)
- 100% of earned income must be used for adult education instructional purposes.
 - A year-end detailed accounting of all earned income and expenditures is required.

7. [Supplement Not Supplant](#)

Funding awarded under the Grant must *add to* the services the program is already providing to the target population(s); it must not *replace* existing funding/allocated revenue.

8. [Supplemental Fees](#)

If a program wishes to charge Supplemental Fees to students, the following steps should be followed.

1. Review the [Arizona Adult Education Supplemental Fee Guidelines](#) document to gain depth of understanding of Provider Responsibilities associated with charging fees.
 2. Request Supplemental Fees Application from your program liaison.
 3. Complete the application following [Financial Grant Requirement #8](#) and [Arizona Adult Education Supplemental Fee Guidelines](#).
4. Submit completed application to AdultEdServices@azed.gov.

Key points of collecting supplemental fees include:

- Under no circumstances may fees be collected without approval from ADE/AES.
- Approval expires at the end of a grant contract cycle (e.g., June 30, 2024).

- Any fees collected must **supplement** the services the program currently provides and may not take the place of, or supplant, other funding.
- The fee structure must include a sliding scale that takes into account accessibility for all students.
- Fees must be collected consistently from all students receiving services.
- For full detail, review [Arizona Adult Education Supplemental Fee Guidelines](#).

9. [Individuals in Corrections or Other Institutions \(Sect. 225\)](#)

For programs who are eligible for Section 225 funds, providing services to criminal offenders within correctional institutions, priority must be given to serving those individuals who are likely to leave the correctional institution within **five years** of participation.

10. [IELCE + T \(Sect. 243\)](#)

Integrated English Literacy and Civics Education *with* Integrated Education and Training (IET) is an activity outlined in Sect. 243 of WIOA Title II. In Arizona we refer to this as “IELCE+T.”

Key components of IELCE+T and Sect. 243 include the following:

- Funding is separate from the primary funding stream (Sect. 231).
- Funding specifically for this activity was applied for during the Request for Grant Application in Spring 2020 and was awarded as a separate Federal allocation amount, as identified in the Award Letter as IELCE + Training*.
- Services are delivered to adults who are English language learners (ELLs)
 - ELLs can be identified by having selected a language other than English as their first language on the registration form.
 - ELLs are *not* required to be in ELAA classes.
 - They may be fully proficient in English and participating in ABE/ASE classes.
- Services must include
 - English Literacy and Civics Education **with**
 - Integrated Education and Training (IET)

While Section 243 (IELCE + Training) funding **MUST be used to provide the required key components as described above, Section 231 (ABE/ASE, IELCE or IET) funding **MAY** be used to provide and/or expand these (or similar) activities, such as access to IET programs, for English language learners.*

Administrative Regulations and Requirements

11. [Federal Rules on Property and Property Records](#)

The Federal Uniform Guidance, Code of Federal Regulations (CFR200) and Education Department General Administrative Regulations (EDGAR) provide rules on property and property records. Key points are as follow:

- **Property Records** must be kept for any equipment whose fair market value is \$5,000 per unit or greater.
 - Records must include
 - description(s) of the property(ies)
 - serial number(s) or other identification number(s)

- the source of funding for the property
 - the physical locations of the property
 - information about final disposition, including date(s) of disposal and sale price(s) if applicable.
- A physical inventory of the property must be taken **at least once every two years**.
- Property must be kept secure in order to prevent loss, damage, or theft.
 - Should loss, damage, or theft occur, it must be investigated, and findings must be kept as part of the property record.
- **Inventory records** for supplies (computing devices and equipment *less than* \$5,000 per unit) must be maintained and include information listed above for property records.
- **Financial records** must be maintained for a period of **three years** from the date of submission of the Final Expenditure Report. Financial records include
 - income records
 - supporting documents
 - statistical records
 - all other non-Federal entity records pertinent to a Federal award
- **ADE/AES Oversight and Monitoring**
 - must be allowed for confirmation of compliance with Federal requirements and performance expectations. This includes
 - reviewing required financial and performance reports
 - ensuring that timely and appropriate action is taken on deficiencies identified during oversight and monitoring.

Risk Assessment: ADE/AES Evaluation of Noncompliance Risks

ADE/AES is required to conduct an assessment of programs that may have risk of being out of compliance with grant requirements. The assessment is also a major factor in determining the level of monitoring that will take place in the current/same program year.

Risk factors that are taken into consideration include

- Dollar amount of grant award
- Length of time in position of program director
- History of corrective action items
- History of findings during audits, including Single Audits
- Length of time since last comprehensive monitoring

Compliance with General Provisions

Determining allowable and unallowable costs, according to the General Provisions in the Code of Federal Regulations ([CFR200](#)), is critical. Should an item not be listed in CFR200, it does not imply being either allowable or unallowable. If a program is unable to make this determination, they should contact Fiscal Services for assistance.

Memorandum(a) of Understanding with Local Workforce Board(s)

12. ADE requires each funded Title II provider to:

- **MOU:** Enter into a Memorandum of Understanding (MOU) relating to the operation of the one-stop system in the area with the board of each local workforce area that the program is funded to provide services in.
 - MOUs may include:
 - A comprehensive referral system
 - Shared customer-base
 - Shared system costs and co-location when appropriate
 - Other shared services
 - Sample MOUs may be found [HERE](#) .
- **IFA:** Contribute to the Infrastructure Agreement (IFA) from the federal funds reserved for local administration
 - See award letter for set-aside amount
 - Contribution must not exceed 5% of grant award
 - Contribution must be proportionate to the relative benefit to students
- The agreements must ensure that access to information and services is available to all participants, thus improving the opportunity for positive employment outcomes. More specifically, the partnership has the potential to assist students by:
 - Reducing barriers to employment
 - Providing access to high-quality services in their communities to find jobs
 - Building basic educational or occupational skills
 - Earning postsecondary certificates/degrees or obtaining guidance on how to make career choices

General Provisions and Programmatic Requirements

Program Administration and Operations Requirements

1. Website

The local provider must establish and maintain a website with current information on adult education services. Details should include the following:

- Address for each learning center/site
- Contact information
- Programming options, such as
 - English Language Acquisition
 - Adult Education instruction in Reading, Mathematics, and Civics
 - Workforce Preparation
 - Integrated Education and Training (consider listing IET courses offered)
- Instruction options (e.g., face-to-face, virtual)
- Schedule options
- [Pathways to the High School Equivalency Diploma](#)

2. Director Availability

The program director must be available throughout the program year (July 1 – June 30) to oversee program operations. In the event that the director is unavailable, a designee with similar authority must be named and this information communicated (e.g., out-of-office email message with contact information for acting director).

3. Change in Program Leadership

Notification of leadership change must be provided to ADE/AES within **two** business days of the change. An email may be sent to the program liaison or to AES-POC@azed.gov.

4. Year-Round Services

Educational services must be offered during all 12 months of the program year (July 1 – June 30).

- Educational services include
 - Instruction, either synchronous or asynchronous, that includes communication with an instructor
 - Continued supports for students
- Breaks (more than two weeks)
 - Program must make arrangements with another ADE/AES-approved program to provide instructional services.
 - Program liaison must be kept apprised of the arrangement and its details.
- Enrollment and Registration
 - Must be ongoing
 - When late in program year, asynchronous instruction may be sole source of instruction
 - Other supportive activities must accompany asynchronous instruction
 - Meeting with success coaches, career navigators, etc.

5. Providing HSE Pathway Information

The local provider will have a process in place for assisting students in determining the best pathway to earning the Arizona High School Equivalency (HSE) diploma.

- [Three pathways](#)
 - GED® testing
 - HSE PLUS Career Readiness
 - College Credit
- Requires written process explaining how/when the options will be discussed with students.

6. Class Site/Location Change

Should the local provider wish to make a change in site or location where classes will be held, including closures or openings, a [Location Change Request](#) form must be requested from the program liaison and submitted to AES-POC@azed.gov. The approval process includes the following:

- Review by program liaison
- Review by Director of Program Operations & Compliance
 - If there would be no impact on funding, director approves or denies.
 - If there is a potential for impact on funding, director forwards to Director of Fiscal Services for review.
- Program is notified of approval or denial.

7. Documents to Be Kept on File at All Times

The following documents must be kept on file (hard copy or digital) and provided to ADE/AES staff to review upon request:

- Teaching certificates for relevant staff
- Current organizational chart
- Roles and job descriptions indicating personnel carrying out key functions and responsibilities
 - See [Minimum Staffing Guidelines by Key Function](#)

8. Document Retention

Records noted below must be accessible to ADE/AES for purposes of auditing. The time period for each category begins from the date of submission of the **final expenditure report**.

- **3 Years:** All Financial records as well as any supporting documents related to those records. Examples include but are not limited to:
 - General ledgers
 - Bank statements
 - Credit card statements
 - Independent Single Audit reports
 - Local board agenda and minutes (if applicable)
 - Written communication about finance (e.g., emails, letters)
- **3 Years:** Records for real property and equipment acquired with Federal funds must be retained for three years after final disposition. Examples include but are not limited to:
 - real property
- **5 Years:** Documents, both hard copy and digital, that must be kept by the local provider for five years* and be available for examination at the request of ADE/AES include:
 - Student Registration forms
 - Self-declaration of lawful presence statements
 - Class sign-in sheets
 - Fiscal records.
 - Fiscal records are created and developed each fiscal year which are summarized in financial records. Both financial records and fiscal records should document the use of grant funds each fiscal year even if the grant contract is multi-year. Examples include and are not limited to the following:
 - Budgets
 - Payroll records
 - Time and effort records
 - Procurement records
 - Accounts payable records
 - Accounts receivable records

**Due to Tyding's Amendment, auditable records must be kept and available for audit for a minimum of five years.*

Teaching and Learning Requirements

9. Teacher Standards

The Arizona Adult Education Teacher Standards should drive all instructional practices. These sets of standards can be found at the links below:

- [Arizona Adult Education ABE Teacher Standards for English Language Arts](#)
- [Arizona Adult Education ABE Teacher Standards for Mathematics](#)
- [Arizona Adult Education ABE Teacher Standards for English Language Learning](#)

10. Compensation for Required PL Activities

Instructional staff must be compensated for engaging in all required Professional Learning (PL) activities. PL refers to those activities that focus on improving teacher effectiveness.

11. Required Training and Events

ADE/AES requires full participation by those personnel performing key functions for certain events. Typically, those functions include:

- Program Director
- Program Administrator(s)
- Instructional Staff
- Assessment and Data Coordinators
- PL, Curriculum, and IET Coordinators
- College and Career Navigators

ADE/AES provides notice of required attendance, including on Page 2 of the Grant Award Letter sent out each spring.

Compensation and Fees: All staff participating in required events must be compensated, and any fees assessed for registration must be paid by the program on half of participants.

12. Standards for Professional Learning

The [Standards for Professional Learning](#), developed by Learning Forward, must be aligned to when **planning, implementing, and evaluating** professional learning using ADE/AES grant funds. These processes are facilitated by completion of the following documents:

- Planning for Implementation of Professional Learning
- Professional Learning Plan
 - Submitted by September 30th of each program year
 - More information can be found at the [Planning for PL Resources](#) site
- Professional Learning Report
 - Submitted by July 31st following each program year
 - Based on two documents listed above

13. Aligning Curriculum to Content Standards

All print and digital curricular resources must be aligned with the Arizona Adult Education Content Standards, linked below.

- [Arizona Adult Education Standards for English Language Arts](#)
- [Arizona Adult Education Standards for Mathematics](#)
- [Arizona Adult Education Standards for English Language Acquisition](#)

14. Paid Planning Time

The local provider will provide sufficient paid time for adult education instructors to plan and prepare for instruction aligned to the Arizona Adult Education Content Standards.

15. Teacher Proficiency Assessment(s)

Providers must utilize passage of one or more of the Arizona Adult Education Teacher Proficiency Assessment(s) to make informed decisions in hiring and providing compensation for instructional staff. Information can be found at AEPA.nesinc.com.

Assessments available for Arizona adult educators are linked below:

- [Professional Knowledge – Adult Education](#)
- [Adult Education: English Language Arts](#)
- [Adult Education: Mathematics](#)
- [Adult Education: English Language Acquisition](#)

Data Quality Specifications

ADE/AES endeavors to meet the Exemplary level of data quality as defined by the National Reporting System (NRS). In order to meet the criteria for the Exemplary level, local providers must adhere to the eight data quality specifications outlined below.

Security of Information

1. Privacy - Family Educational Rights and Privacy Act (FERPA)

- FERPA training must be provided to any staff or volunteers who have access to student information.
 - Examples of student information include
 - Personal identifying information (such as name, date of birth, address)
 - Performance data
 - Background/history
 - Training must be
 - provided annually.
 - part of onboarding for new staff/volunteers.
 - tracked for ADE/AES monitoring purposes.
 - Record must
 - match Table 7 in AAEDMS, showing who requires FERPA training.
 - indicate the date and source of the training
 - Training source may be through the parent organization, U.S. Dept. of Education, or another vetted source.
- Removing access to student information/data systems
 - Within 24 hours of staff or volunteers leaving a program, all access must be removed, including from

- AAEDMS
- Insight
- Online curricula

Program Administration of Data-Related Requirements

2. Process

Programs must have a written monthly process surrounding data.

- Process must account for data
 - collection
 - entry
 - review and approval
 - submission to ADE/AES
 - analysis intended for program improvement

3. Data Collection – Registration Forms and Attendance Records

Registration Forms

- The current program year's student registration form, distributed by ADE/AES, must be used for all new registrations, including for returning students entering new periods of participation.
- All fields marked as required on the registration forms must be complete and all appropriate signatures in place.

Attendance Records

- **Synchronous Instruction:** Programs must maintain digital or hard copy auditable records of attendance for synchronous instruction, whether provided face-to-face or virtually.
 - There must be a unique record for each class showing
 - Individual student time in
 - Individual student time out
 - Class Date
 - Class Name
 - Teacher
- **Asynchronous (proxy) Instruction:** Depending on the type of asynchronous instruction, evidence of student engagement may take one of the following forms.
 - **Learner Mastery Model:** Reports generated from online curriculum
 - **Clock Time Model:** Reports generated from online curriculum
 - **Teacher Verification Model (TVM):** Teacher records
 - For more information on asynchronous instruction and record-keeping, refer to the [Blended and Virtual/Distance Learning Policy](#)

4. Data Entry

All data entry staff must be trained on

- Arizona Adult Education Data Management System (AAEDMS)
- Data collection
 - Knowing how accurate registration and attendance records are gathered will allow data entry staff to identify errors and have them corrected.

5. Data Coordination

An individual responsible for data coordination must

- **analyze** and **approve** data that has been entered into AAEDMS.
- confirm with ADE/AES by the **15th of each month*** that this has been completed.
 - Confirmation is done by submitting the [Data Confirmation Form](#).
- confirmation of June data, due July 15th, will also serve as confirmation for the entire program year.

**Should the due date fall on a weekend or holiday, reporting is due on the next business day.*

6. Data Review – Internal Audits

Following Data Quality Specification #2 above, programs must conduct internal audits of their data process, including student intake files, at least twice per year.

- Dates of internal audits should be noted as monitoring evidence of meeting this requirement.
- Data review should be used to identify strengths in the program's data process, as well as to identify areas of improvement.

Assessment Administration and Data Requirements:

7. Assessment Policy

Programs must follow all components of the [Arizona Adult Education Assessment Policy](#).

WIOA Indicators of Performance Data Collection and Requirements

8. Exit Outcomes

Exit outcomes are those performance indicators that are measured after a student has exited the program. They include the following [Primary Indicators of Performance](#):

- Employment in the 2nd quarter after exit
- Employment in the 4th quarter after exit
- Median Income
- Credential Attainment

This data is collected in the following ways:

- By ADE/AES through data matching with
 - AZ Dept. of Economic Security (DES) through Unemployment Insurance Wage information (UI Wage)
 - State Wage Interchange System (SWIS)
 - National Student Clearinghouse
- By programs through follow-up surveys
 - **Whom to Call:** The **Outcome Call List** should be utilized in AAEDMS in order to determine which former students must be contacted.
 - located in the Student Management menu
 - **What to Ask:** Survey questions are generated in AAEDMS once the Outcome Call List has been run and a student has been selected. The questions are located in Appendix

- **When to Ask:** Programs should follow the schedule found in [Appendix E](#) for making contact with students who have exited.
 - **Note:** All students who exit will be contacted at least twice for each period of participation; once to obtain 2nd quarter information, and again for 4th quarter information.

Section 3: Primary Indicators of Performance

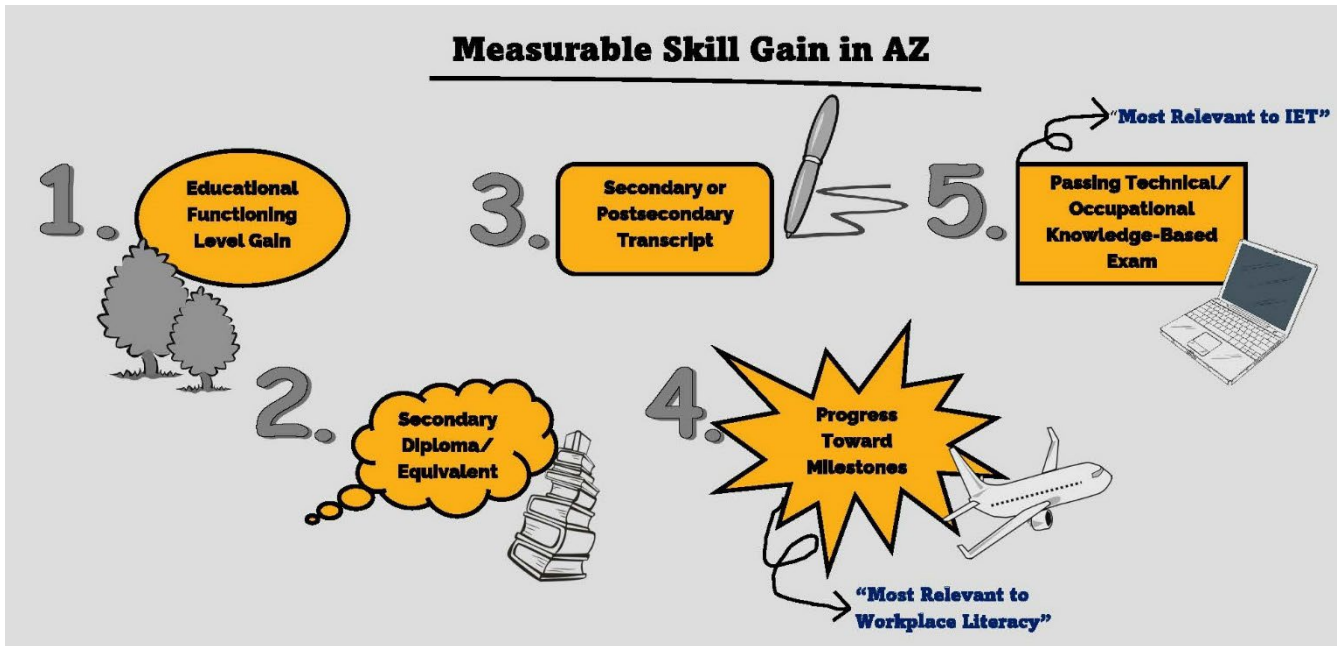
The Primary Indicators of Performance are required under WIOA Section 116(b)(2)(A). For Title II, they consist of

1. Measurable Skill Gains
2. Employment Rate in the 2nd Quarter After Exit
3. Employment Rate in the 4th Quarter After Exit
4. Median Earnings in the 2nd Quarter After Exit
5. Credential Attainment

Every two years ADE/AES goes through a negotiation process with OCTAE to determine what the **performance targets** for the following two program years will be. These are the same targets that local programs are held accountable for in accordance with the grant. For the current program year’s targets, see [Appendix D](#).

Measurable Skill Gains (MSGs)

Measurable Skill Gains (MSGs) are performance indicators intended to show a student’s progress toward achieving employment in a livable-wage job, perhaps on a career pathway, or earning a credential, such as an HSE diploma or industry-recognized training certificate. There are five types of MSGs.



It’s important to note that a student may earn any of these MSGs, even multiple times, during a program year. However, only the most recent one earned in a program year for a Period of Participation (PoP) will be counted on [Table 4](#). Providers are encouraged to track all student progress for program analysis of strengths and areas to target for improvement.

1. Educational Functioning Level (EFL) Increase

- Accomplished through establishing an *entering* EFL and then demonstrating advancement through progress testing. For detailed information on progress testing, see [Arizona Adult Education Assessment Policy](#).
 - Evidence of the MSG will be documented in AAEDMS through automatic test imports from DRC's Insight.
- *May be accomplished by*
 - Exiting adult education program and entering postsecondary education in the same program year.
 - This is a rare occurrence of EFL MSG.
 - Evidence of the MSG will be documented in AAEDMS through data match done by ADE/AES through National Student Clearinghouse.

2. Earning a Secondary Diploma or Its Equivalent

- The High School Equivalency (HSE) diploma MSG can be earned through any of the three pathways
 - GED® Testing
 - HSE PLUS Career Readiness
 - College Credit
- See [Exhibit 1: HSE Pathways](#) for more detail.
- Evidence of the MSG is documented in AAEDMS by
 - data match with GEDTS *or*
 - program manually entering information into AAEDMS and adding notes to the user profile to support earning HSE

The next three MSG types are new in PY 2021-2022 and apply only to students enrolled in IET or [workplace literacy](#) programs.

3. Transcript or Progress Report of Secondary or Postsecondary Credits

- Applicable to students enrolled in IET programs only.
 - Typically applies to students enrolled in adult education programs that are part of a community college.
- Students take for-credit courses, such as the training component of the IET, while enrolled in the adult education program.
 - Full-time students must complete at least 12 credit hours per semester.
 - Part-time students must complete at least 12 credit hours over a twelve-month period.
 - **Note:** *The full-time and part-time requirements may not fit neatly into a student's course of study. Programs should contact ADE/AES for assistance with making determinations as needed.*
- The transcript will be uploaded to the student's AAEDMS portfolio for ADE/AES approval in order for the MSG to be earned.

4. Workplace Milestones

- Applicable to students enrolled in IET or workplace literacy *only*.
 - *Most* relevant for students in workplace literacy programs.
 - Was written for Title IB but can now be used for Title II
- Requires working with employer or training partners.

- Determine with student and employer what goals will be.
 - Examples include:
 - On-the-job training
 - Completion of 1 year of an apprenticeship program
 - Other milestones as determined by employer or training provider
 - Pay increases due to acquired skills
 - Employer/trainer provides written communication of satisfactory or better progress toward goal.
- The progress report will be uploaded to the student's AAEDMS portfolio for ADE/AES approval in order for the MSG to be earned.

5. Passing Occupational Exam *OR* Demonstrating Progress

- Applicable to students enrolled in workplace literacy or IET programs *only*.
 - Most relevant for students in IET programs.
- MSG may be earned in two different ways
 1. Passing knowledge-based exam or certification of completion
 - May be employer-required, knowledge-based, or another test required to obtain credential
 2. Demonstrating progress in gaining technical skills
 - Based on trade-related benchmarks
- Appropriate documentation will be uploaded to the student's AAEDMS portfolio for ADE/AES approval in order for the MSG to be earned.

Post-Exit Indicators – Federal Table 5

Note: Post-exit indicator data is gathered for all periods of participation (PoPs) no matter the reason for exit. There are some exclusions to participants being counted in this data. See [Exclusions from Performance Indicators](#) below.

Collecting employment and earnings data for students who have exited the program will happen in two different periods. Once will be in the second quarter following exit, and again in the fourth quarter following exit. Additionally, credential attainment data will be collected in the second quarter following exit only. Obtaining data for the post-exit indicators is done primarily through two methods:

1. **Data Match** is conducted by ADE/AES for those students who provided social security numbers and agreed to data match with partners. ADE/AES also uploads the data match files into AAEDMS. Local providers will see the results for their exited students when they run Table 5. Data match is conducted with the following partners for employment, earnings, and postsecondary education or training.
 - Department of Economic Security (DES) through Unemployment Insurance Wage information for Employment and Earnings
 - State Wage Interchange System (SWIS) for those students who may have relocated to another state
 - National Student Clearinghouse for those who entered postsecondary institutions

2. **Follow-up Survey** is conducted by local programs using the **Outcome Call List** in AAEDMS.
- Follow-up survey *must* be conducted for exited students who are not part of the data match.
 - Follow-up survey *may* be conducted for exited students who agreed to data match and provided social security numbers but who do not populate data match reports, though they may be employed.
 - Examples of this situation include self-employment, contract or gig work, and working for small business who may not participate in unemployment insurance
 - Detailed [instructions](#) for conducting Follow-up Survey are below.
 - The schedule for *when* to contact *which* groups of students, based on exit dates, is located in [Appendix E](#).

Employment Rate 2nd Quarter After Exit

Employment information will be gathered through data match or follow-up survey during the three-month period, two quarters following exit.

Example:

- Student exits in January (third quarter of program year).
- Data for this measure will be collected during the period of July through September of the same calendar year (second quarter after exit).

Employment Rate 4th Quarter After Exit

Employment information will be gathered through data match or follow-up survey during the three-month period, four quarters following exit.

Example:

- Student exits in January (third quarter of program year).
- Data for this measure will be collected during the period of January through March of the following calendar year (fourth quarter/one year after exit).

Median Earnings 2nd Quarter After Exit

Employment information will be gathered through data match or follow-up survey during the three-month period, two quarters following exit.

Note: Only wage information will be collected from exited students. *Median* income is calculated for the entire group of students/PoPs for the program year based on the individual amounts collected. This is done through AAEDMS, and the program is not responsible for completing this calculation.

Example:

- Student exits in January (third quarter of program year).
- Data for this measure will be collected during the period of July through September of the same calendar year (second quarter after exit).

Secondary Diploma

This indicator applies to those students who

- Were placed at ABE 5 or 6 upon program entry
OR
- Advanced to ABE 5 or 6 prior to exit
AND
- Exited the program prior to earning the secondary/HSE diploma
AND
- Earn the secondary diploma within one year after exit.

Postsecondary Credential

There are two types of credentials that can be measured for this indicator:

1. Earning Secondary Diploma

- Applies only to ABE students who entered the program at ABE 5 or 6
- Will be counted by AAEDMS if
 - student earns the HSE diploma while attending **or** within one year of exit
AND
 - student enters postsecondary education/training or employment within one year of exit

2. Earning Postsecondary Credential

- Applies only to students who
 - were simultaneously enrolled in adult education classes **AND** postsecondary education/training
AND
 - who exited the postsecondary education/training program within one year of exiting the adult education program.

Attained Any Credential (Unduplicated)

This indicator takes into consideration an exited student who earned either of the above credentials. If both were earned, only one is counted. This is the outcome negotiated with OCTAE and that local programs are held accountable for.

Instructions for Post-exit Outcomes Follow-up Survey

Follow-up Survey

- Is used for those students who have exited and did not agree to data match and/or did not provide social security numbers.
- Gathers information on employment, earnings, and credential attainment.
- Is represented on Table 5, along with results of data matches.
- Is conducted through AAEDMS by completing the steps below.

Directions

1. Log into AAEDMS.
2. Navigate to the **Student Management** section.

Section 3: Primary Indicators of Performance

3. Click **Outcome Call List**.
4. Use the follow-up schedule in [Appendix E](#) for the appropriate timeframes.
5. Select the appropriate criteria from each drop-down menu.
 - a. **Indicator** only needs to be selected for Employment 2nd or 4th quarter after exit; it will not be used for the other follow-up measures.
 - b. **Note:** Only one outcome (indicator) can be filtered for at a time; different lists generated will need to be for each.
6. Click **Generate**.
7. A new box will appear below, directing user to make Secondary List Option selections (see example below).

For Students Who Did Not Provide Social Security Numbers

Please Select Secondary List Options

Adult Ed Program	-- Please select Adult Ed Program --		
	- OR -		
Last Call Action	--Please select--		
Attempted to Contact Previously	<input type="radio"/> Yes <input type="radio"/> No <input checked="" type="radio"/> All		Had Outcome Information Entered Previously (includes data match and manual entry) <input checked="" type="radio"/> Yes <input type="radio"/> No
Best Time to Call	*Date MM/DD/YYYY <small>(MM/DD/YYYY)</small>	*From time 00 : 00 AM	*To time 00 : 00 AM
*Note: If call date is entered, 'From time' and 'To time' are required!			
<input checked="" type="checkbox"/> Include Only Students With No SSN		<input type="checkbox"/> Include Only Students Who DO NOT Data Match	
<input checked="" type="checkbox"/> Exclude Students With Less Than 12 Hours Of Attendance			
<input type="button" value="Generate"/>			

8. Select relevant filters (highlighted in image above).
 - a. **Attempted Contact Previously**
 - i. "All" is recommended.
 - b. **Had Outcome Information Entered Previously**
 - i. "Yes" is recommended.
9. Select **Only Students with No Social Security Numbers**.
10. **Exclude Students with Less Than 12 Hours of Attendance** should be selected as those individuals will not count in the denominator for Table 5.
11. Click **Generate**.

Section 3: Primary Indicators of Performance

12. The results will open in an additional box below, like this:

Name / Id	Contact	Registered	Followup
██████████ ██████████ EIN: ██████████	██████████ Phoenix AZ, 85018 ██████████ w:N/A	<div style="background-color: #f2f2f2; padding: 2px;">From 6/18/2020 to 6/30/2021</div> <div style="padding: 2px;">Rio Salado College Adult Education > F2F V Thom MW 5-9PM GED RLA 1 (Miriam)</div> <div style="background-color: #fff9c4; padding: 2px;">Rio Salado College Adult Education > F2F IP Thom MTWR 6-9PM GED Found R1014 (David/Lexi)</div>	<p>Complete: Obtain a GED/HSE 09/10/2021 Data Match</p> <div style="border: 1px solid #ccc; border-radius: 10px; background-color: #fff9c4; padding: 5px; display: inline-block;">Add / Edit</div>

a. Click **Add/Edit**.

i. **Tip:** Right click on Add/Edit to have the option to open new screen in a new tab or window.

13. This will generate the survey screen:

a. If no results are generated, check to be sure that pop-ups from this site are allowed.

14. Ensure that **Call Date** and **Call Time** are accurate.

15. To populate the **Phone** field, click on one of the phone numbers at the right (the example above has only a home number).

Outcome Call

██████████ (1046)28186327865232 - Rio Salado College Adult Education

Menu Options:

- Administrative History
- Child Records
- Transcripts / Print Transcripts
- Subsides
- Adult Self Family
- Adult Career Center
- Adult Basic Assessment
- HSE (Plus) Career Readiness Pathway

✓ Enrolled in Adult Ed Program	✓ Registration Complete
✓ Pop Has 12 Approved Hours	✓ Entering EPL Set - ASE Level 5
✓ Has MSG in Fiscal	Post-Tested in Fiscal
⚠ Contact type: ASE / ASE	✓ IEL/CE

Enter Test Scores

Measurable Skills Gain	
Most Recent MSG	Date Achieved
HSE Gain	9/10/2021
Secondary Enrollment Type(s)	
Enrollment Type	Enrolled Since
HSE/Diploma Outcomes Achieved	
Outcome	Date Achieved*
Obtain a GED/HSE	9/10/2021

* In case of multiple, only the most recent outcome is showing

Student does not have active enrollments, or program enrollment types.

Employment Second Quarter

Date

Call Details [Survey ID: -1]

Call Date: 3/10/2022

Call Time: 03 : 00 PM

Phone: () - - Home: (602) - Work: N/A

Call Action: --Please select--

Repeat Date: MM/DD/YYYY

Repeat Time: 03 : 00 AM

Save Call and Continue to Outcome Survey, 2.1

Employment Second Quarter

Call Details [Survey ID: -1]

Date

Call Date
(MM/DD/YYYY)

Call Time :

Phone () - Home: (602) ██████████
Work: N/A

Call Action

Repeat Date

Cancel

Section 3: Primary Indicators of Performance

If contact ***is*** made, and the individual is willing to complete the survey, skip to step 20.

If contact is ***not*** made, or if the individual does not wish to provide information, follow steps 16 – 19.

16. **Call Action:** Select the appropriate outcome from the drop-down list.
17. **Repeat Date:** Enter the date that the next call should be made.
18. **Repeat Time:** Enter the time that the next call should be made.
19. Select **Next Call in My List**
20. Select **Save Call and Continue to Outcome Survey.**
21. Follow the script, asking the survey questions provided.
 - a. Mark the participant response for each question.
 - b. *Employment Outcomes*
 - i. If the participant responds “Yes” to the question, a wage question will appear.
 - ii. A response *must* be recorded in order to continue. Enter **\$0/hourly** and **0 average hours** if the individual declines to provide this information.
 - c. *HSE and Postsecondary Credentials*
 - i. There are hidden questions that are optional.
 - ii. If they are not asked, the participant may populate the call list when those outcomes are filtered for at a later date.
22. Ask the final question and enter the participant’s response.
23. Select **Save Survey.**
24. Select **Next Call in My List.**
25. Repeat for remainder of call list.

For Students Who Opted Out of Data Match

26. Select **Include Only Students Who DO NOT Data Match.**
27. Repeat Steps 9 – 25 above.

Please Select Secondary List Options

Adult Ed Program	-- Please select Adult Ed Program --		
	- OR -		
Last Call Action	--Please select--		
Attempted to Contact Previously	<input type="radio"/> Yes <input type="radio"/> No <input checked="" type="radio"/> All		
	Had Outcome Information Entered Previously (includes data match and manual entry) <input checked="" type="radio"/> Yes <input type="radio"/> No		
Best Time to Call	*Date MM/DD/YYYY <small>(MM/DD/YYYY)</small>	*From time 00 : 00 AM	*To time 00 : 00 AM
*Note: If call date is entered, 'From time' and 'To time' are required!			
<input type="checkbox"/> Include Only Students With No SSN <input checked="" type="checkbox"/> Include Only Students Who DO NOT Data Match			
<input checked="" type="checkbox"/> Exclude Students With Less Than 12 Hours Of Attendance			
<input type="button" value="Generate"/>			

Exclusion from Performance Indicators

There are factors that may exclude some students from being counted in performance data. This happens automatically when appropriate barriers to employment and other demographic data is marked in AAEDMS.

- **Students in Correctional Institutions** (WIOA Sect. 225)
 - Students who exit the program while still incarcerated will be excluded from **post-exit** indicators

Students who experience the following situations may be excluded from *all* indicators of performance.

- **Institutionalized While Attending**
 - Students who exit the program due to becoming residents of institutions where 24-hour support is provided Examples of institutions include
 - Correctional facilities
 - Hospitals
 - Treatment centers
- **Medical Treatment**
 - Students who exit the program due to need for medical treatment that
 - is expected to last longer than 90 days
 - prevents continuation in program or entering into employment
- **Military Service**
 - Students who exit due to being called to service with the National Guard or other branch **and**
 - are expected to be on active duty for at least 90 days
- **Death**

Section 4: Delivery of Instruction

Professional Learning Requirements

The following assurances and requirements are included in the ADE/AES adult education grant contract and are monitored by ADE/AES staff for compliance:

Arizona Adult Education Certification

15. The applicant agrees that adult education program director, administrator(s), instructional leader(s), and instructional staff will hold a valid **Arizona Adult Education Teaching Certificate** or will obtain such certificate(s) within 90 days of the hire date.

16. The applicant agrees that instruction in ADE/AES-funded adult education classes is conducted by certified adult education teachers as described in State Assurance #15 above.

Teaching and Learning

9. The local provider will fully implement the **Arizona Adult Education Teacher Standards**. *(State requirement)*

10. The local provider will compensate all adult educators for required Professional Learning activities, which focus on improving teacher effectiveness. *(State requirement)*

11. The local provider director, administrator(s), and adult education staff, as applicable will participate in ADE/AES required professional learning events, and participating staff shall be compensated by the program for attending required activities. *(State requirement)*

12. The local provider will use ADE/AES funds to plan, implement, and evaluate professional learning aligned to the **Standards for Professional Learning**, developed by Learning Forward. *(State requirement)*

13. The local provider will ensure that print and digital curricular resources used for instruction are aligned to **Arizona Adult Education Content Standard** *(State requirement)*

14. The local provider will provide sufficient paid time for adult education instructors to plan and prepare for instruction aligned to the **Arizona Adult Education Content Standards**. *(State requirement)*

15. *The local provider will utilize the passage of one or more Arizona Adult Education Teacher Proficiency Assessment(s) to guide hiring and compensation decisions for instructional staff. (State requirement)*

- Currently, ADE/AES does not require adult educators employed in local programs to pass one or more of the *AZ Educator Proficiency Assessments (AEPA)* to be eligible for an Arizona Adult Education Certificate.
- Local programs may determine if their certified staff are required to pass one or more of the adult educator proficiency assessments.
- Local programs must also determine the specific compensation(s) to be provided to certified staff who successfully pass one or more of the assessments.

Teaching and Learning-Fiscal Assurance #4

The local provider will budget and expend 10% of the ADE/AES grant award and earned income for approved professional learning activities aligned to the Learning Forward Professional

Learning Standards, the Arizona Adult Education Teacher Standards, and the Arizona Adult Education Content *Standards (State requirement)*. The 10% state-allocated Professional Learning funds may be used for the following:

- Activities aligned to the Learning Forward Professional Learning Standards
- AES trainings for teaching and learning that require registration fees
- Relevant conferences

Note: Requests to attend out-of-state conferences must be submitted to the ADE/AES director for professional learning and the fiscal officer for approval prior to budgeting and expending the conference costs. Requests will be reviewed on a case-by-case basis. (State requirement).

Per WIOA-Section 241. Administrative Provisions and Important Considerations for Expending PL Funds:

Supplement NOT Supplant: Funds made available for adult education and literacy activities under this title shall supplement and not supplant other State or local public funds expended for adult education and literacy activities.

- If any PL funds are used to supplement salaries for full-time or part-time certified staff, the staff must participate in job-embedded and collaborative professional learning during their workday. Job-embedded professional learning should include the following activities:
 - *Analyzing student evidence for the purpose of evaluating their impact, reflecting on their collective work, and determining optimal next steps.*
 - *Examining student learning data to help strengthen connections between the learning task, content, instruction, and student outcomes.*
 - *Engaging in collaborative planning focused on standards-based instruction, instructional delivery, and curriculum alignment.*
 - *Participation in internal and external professional learning focused on building teachers' knowledge and skills aligned to the Arizona Adult Education Teacher Standards*
- Staff and/or business meetings are not considered professional learning, and PL funds may not be used to pay a portion of staff salaries or hourly wages to attend these types of meetings.
- PL funds may be used for professional learning for support staff who perform key grant functions, provided the training supports the successful implementation of the program's professional learning goal(s).
- Program grants management staff should include detailed information in the ADE Grants Management Enterprise (GME) System on the proposed and actual expenditure for the professional learning grant funds.
 - ADE/AES may request Time and Effort records for program staff to verify the PL expenditures entered in the GME. Time and Effort logs are auditable records.

**Please refer to the ADE/AES [Planning for Professional Learning Guide](#) for more guidance and information.*

Blended and Virtual Learning

Blended and Virtual/Distance Learning Policy

The PY 2021-2022 policy document can be found [HERE](#). Questions not answered by referencing the policy may be directed to AESEdTech@azed.gov.

Reporting Models for Proxy Hours

Learner Mastery Model

This model assigns a fixed number of proxy hours once the learner passes a test.

Clock-Time Model

This model automatically tracks a student's time on task and can generate reports showing student usage over a period of time.

Teacher Verification Model (TVM)

This model assigns a predetermined number of proxy hours for each assignment based on teacher determination of the average time a learner engaged in, or completed, the assignment.

Note: Utilizing the TVM requires teachers to have completed the Blended Learning Certification course. To access registration, click [HERE](#).

For a reference sheet explaining the models for proxy hours, approved curricula, and tips for success, click [HERE](#).

For a rich source of tools and guidance on blended and virtual learning, visit the [EdTech Hub](#).



Section 5: Preparing and Submitting Reports

Reports in this section appear in order of due date in the *program* year. Several reports, particularly year-end reports, are due after the start of the new program year, causing overlap. Additional clarity may be found in. Additionally, if a given due date falls on a weekend or state holiday in any year, the due date will be extended to the next business day.

Demographic and Performance Data

Method of Submission: Completing form found [HERE](#)

Due Date: 15th of each month for the previous month

Purpose: Ongoing monitoring of program performance by both ADE-AES *and* the program

Demographic and performance data is compiled in AAEDMS, including but not limited to the following:

- New and returning student registrations
- IET registrations
- Attendance hours
- TABE CLAS-E and 11/12 test score imports for initial AND progress tests
- Manual entry of test scores in certain circumstances
 - A ticket must be submitted in AAEDMS in order to utilize this process.
- Separating students for whom 90 days have passed with no service activity AND who have no planned return date entered into AAEDMS
- User profiles, including for volunteers

Entering and Approving Data:

- Data Quality Specification #5 requires that data entry staff be trained on collecting and entering data into AAEDMS
- Data Quality Specification #6 requires that a Data Coordinator be responsible for approving data that has been entered by other staff.
- Data must *not* be entered and approved by the same individual. See [Data Quality Specifications](#) for additional detail.

Extension Requests:

- Should an extension be needed for any reason, the form linked above should be completed and the reason for the extension indicated.
- A second form *must* be completed when data has been entered and approved.

Final Allocation Budget for Fiscal Year (July 1 – June 30)

Method of Submission: Submit in the Grants Management Enterprise System (GME) [HERE](#)

Due Date: Sept. 30th

Purpose: Completion of projected budgets for each allocated grant that should match allocations in the final award letter.

- It is highly recommended for programs to attend an ADE Grants Management training webinar. ADE/EMS registration can be found [HERE](#).

Allocation Budget Revisions

Method of Submission: Submit in the Grants Management Enterprise System (GME) [HERE](#)

Due Date: Revised as needed, or upon request by ADE/AES and before submitting the Final Completion and Expenditure Summary Reports

Purpose: Revisions to be submitted regularly to closely align projected budgets with actual expenditures throughout the fiscal year.

- It is highly recommended for programs to attend an ADE Grants Management training webinar. ADE/EMS registration can be found [HERE](#).

Proposed Technology Plan

Method of Submission: Email completed template to AES-POC@azed.gov

Due Date: August 15th

Purpose: The Technology Plan serves to assist programs in implementing meaningful technology use to improve programmatic processes, teacher skills, and student outcomes. It is used at the state office to identify strengths, best practices, and guide technical assistance in accordance with the grant contract. The Technology Plan should be completed by the program/site Technology Team, which must include an administrator, instructional lead, and teacher at a minimum. All professional learning goals and/or initiatives should align with those submitted on the Professional Learning Plan.

Professional Learning Implementation Plan

Method of Submission: Complete the PL Implementation Plan template found [HERE](#)

Due Date: September 30th

Purpose: Provide a written plan to document the planning, implementation, and evaluation of standards-based professional learning at the program and site level/s, utilizing the professional learning set-aside grant funds.

Resources for completing the Professional Learning Implementation Plan are also located at the link above.

IET Implementation Plan

Method of Submission: Email completed Word template to AES-POC@azed.gov

Due Date:

- Existing IET programs: October 31st
 - Make adjustments as needed to prior plan and submit
- New IET programs: minimum of 30 days prior to planned launch

Purpose: Ensure that all elements of an IET program are fully incorporated for alignment with WIOA and State requirements

Eligibility and Waitlist Report

Method of Submission: Email completed template to Edith.Marquez@azed.gov

Due Dates: December 15th **and** June 15th

Purpose: A.R.S. 15-232(C) requires reporting this information to the state legislature bi-annually

- In May and November, Edith Marquez will send the template to be completed to all program directors.
- The **Eligibility** portion of the template is where programs will indicate the number of individuals denied services due to not having lawful presence in the United States.
- The **Waitlist** portion of the template is where programs will indicate the number of students who were not served due to insufficient space in classes.

Proposed Implementation Plan for Continuation of Funding (PIP)

Method of Submission: GME

Due Date: May 31st for *following* program year

Purpose: Indicate the number of students proposed to be served in each funded program area

As of January 2022, changes to the PIP were implemented, including both an earlier due date and a much-shortened report.

The PIP consists of only two items:

- 1) a table showing each program area and places for the numbers of students to be served in each; and
- 2) space for narrative explanation of any differences between those numbers and the numbers shown on the original grant application.

Final Year-End Narrative Report

Method of Submission: Email completed template to AES-POC@azed.gov

Due Date: July 31st for *previous* program year

Purpose: Provide a narrative explanation of the following:

- Performance and outcome data analysis
- Integrated Education and Training (IET) programs
- Program operations strategies
- Professional Learning Report data analysis
- Various teaching and learning strategies, including digital skills integration

Instructions for Completing:

- Overall reporting
 - Keep file as a Word document
 - This allows ADE/AES to provide comments for program review
 - Delete or shrink template verbiage as necessary to fit narrative into page limit of 15 pages.
 - Submit completed report to AES-POC@azed.gov
- Performance Data Analysis
 - Refer to data found in Tables 4, 4B, and 5 as needed.
 - Do *not* provide data in place of narrative analysis
- IET Items
 - Use the IET Validation Report as the basis for data analysis
- Teaching and Learning
 - Complete PL Report prior to completing this section of the Final Narrative
 - The PL Report will be the final version of the PL Implementation Plan
 - No additional document will be submitted

IET Validation Report

Method of Submission: Email completed Excel template to AES-POC@azed.gov

- Beginning in PY 2022-2023, the report will be generated in AAEDMS

Due Date: July 31st for previous program year

- quarterly, beginning PY 2022-2023

Purpose: Provide data on IET participants, IET programs, and status of progress made in credential attainment

Instructions for Completing:

1. **Download Table 3 (Excel).**
 - a. Filter for only IET and IELCE Sec. 243 (IELCE+T)
2. **Update AAEDMS as Needed**
 - a. Remove IET indicator for those who never started the IET program
3. **Complete the IET Validation Report Template:**

- a. Complete the “Program Information” tab with the following information:
 - i. Name of the Program
 - ii. Name of person(s) completing this report
 - iii. Email address for person(s) completing this report
 - iv. Contact number(s) for person(s) completing this report
 - b. Use Table 3 data to complete “IET Validation” sheet.
 - i. Program Type – IET or IELCE Sec. 243
 - ii. In IET – Yes or No
 - iii. Impacted by COVID-19 – Yes or No
 - iv. Provide a Description of the IET Program (e.g., “Bridges to Career Admin Professionals”)
 - v. Use the drop-down to select the student training progress
 - vi. Use the drop-down to select the student’s certification process
 - vii. Indicate the student’s ID number
 - viii. Age Group
 - ix. Gender
 - x. Ethnicity
 - xi. Student First, Middle (if applicable) and Last Name
4. **Save File**
- a. Replace the word “TEMPLATE” in file name with program name/abbreviation.
5. **Submit** the completed IET Validation Report, along with the Final Year-End Narrative Report to AES-POC@azed.gov.

Professional Learning Report

Method of Submission: Make final updates to existing Professional Learning Plan, including reporting the final expenditures of the professional learning set-aside grant funds for the program year.

Due Date: July 31st for previous program year.

Purpose: Provide documentation of how professional learning set-aside funds were used in ways that align with the grant contract; show outcomes of actions taken

Career and Training Services Report

Method of Submission: Submit completed template to AES-POC@azed.gov

Due Date: July 31st

Purpose: Indicate how grant funds were spent on the categories Career Services and on Training Services for aggregate state reporting to the U.S. Departments of Labor and Education

See the table below for examples of career and training services.

Examples of Career Services	Examples of Training Services
Outreach, intake, orientation	Integrated Education and Training Programs
Initial assessment of skill levels including literacy, numeracy, and English language proficiency, as well as aptitudes, abilities, and supportive services needs	
Referrals and coordination with other program areas for services	
Provision of performance information and program cost information on eligible providers of education, training, and workforce services by program and type of provider	
Provision of information on availability of supportive services or assistance and appropriate referrals (including childcare; child support; medical or child health assistance available through the State's Medicaid program and CHIP; SNAP benefits; EITC; assistance under TANF, and other supportive services and transportation)	

Source: OCTAE Program Memorandum 17-2, Table C, Attachment 7

Expenditure Summary Reports with Final Completion Report

Method of Submission: Submit in the Grants Management Enterprise System (GME) [HERE](#)

Due Date: September 30th

Purpose: Submission of the Expenditure Summary Report from the program's accounting system supports the expenditures entered in the Final Completion Report.

- It is highly recommended for programs to attend an ADE Grants Management training webinar. ADE/EMS registration can be found [HERE](#).

Glossary of Terms

ABE	Adult Basic Education
ADE	Arizona Department of Education
AES	Adult Education Services
ASE	Adult Secondary Education
ARS	Arizona Revised Statute
BL	Blended Learning learning that connects and complements traditional in-class learning experiences (“contact hours”) with out-of-class online components (“proxy contact hours”)
Core Partner	Partner agencies under WIOA: <ul style="list-style-type: none"> • Title I: adult, dislocated worker, and youth (DES) • Title III: Employment Services (DES) • Title IV: Vocational Rehabilitation (DES)
Correctional Institution	Any prison, jail, reformatory, work farm, detention center, or halfway house community- based rehabilitation center, or any other similar institution designed for the confinement or rehabilitation of criminal offenders (Source: WIOA, Title II)
DL	Distance Learning <ul style="list-style-type: none"> • A formal learning activity where students and instructors are separated 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, online or software-based curricula, videos, audio recordings, print materials, broadcasts, and other online technology. Instructors support DL students through communication via the online curricula, telephone, e-mail, instant messaging, text messaging, and other technologies and software. • A student is classified as a DL student if the majority of attendance hours credited to the student are considered distance hours as opposed to face-to-face hours.
ELAA	English Language Acquisition for Adults
Eligible Agency	The sole entity or agency in a State or an outlying area responsible for administering or supervising policy for adult education and literacy activities in the State or outlying area, respectively, consistent with the law of the State or outlying area, respectively (Source: WIOA, Title II)
English Language Learner	An eligible individual who has limited ability in reading, writing, speaking, or comprehending the English language, and a) whose native language is a language other than English; or b) who lives in a family or community environment where a language other than English is the dominant language (Source: WIOA, Title II)
FERPA	Family Educational Rights and Privacy Act A federal law whose purpose is to protect the privacy of student information
FY	Fiscal Year

Glossary of Terms

HSE	High School Equivalency
IELCE	Integrated English Literacy and Civics Education refers to the use of funds provided under section 243 of the Act for education services for English language learners who are adults, including professionals with degrees and credentials in their native countries
IELCI + T	IELCE delivered in conjunction with IET
IET	<u>Integrated Education and Training</u> refers to a service approach that provides adult education and literacy activities concurrently and contextually with workforce preparation activities and workforce training for a specific occupation or occupational cluster for the purpose of educational and career advancement Source: DES
IFA	Infrastructure Funding Agreement The cost-sharing component of the MOU between local providers and the one-stop system.
Indirect Costs	
LEA	Local Educational Agency A public board of education or other public authority legally constituted within a State for either administrative control or direction of, or to perform a service function for, public elementary schools or secondary schools in a city, county, township, school district, or other political subdivision of a State, or for a combination of school districts or counties that is recognized in a State as an administrative agency for its public elementary schools or secondary schools (Source: U.S. Dept. of Education)
Literacy	An individual’s ability to read, write, and speak in English, compute, and solve problems, at levels of proficiency necessary to function on the job, in the family of the individual, and in society (Source: WIOA, Title II)
LWBD	Local Workforce Development Board A local office that support economic expansion and develop the talent of the nation’s workforce, by creating regional strategic plans and set funding priorities for their area (Source: www.careeronestop.org)
MSG	Measurable Skill Gain Real time performance measure used to document and report progress toward academic, technical or occupation credentials, or employment. The Department of Education and the Department of Labor recognize five types of measurable skill gains used to assess progress: Secondary Diploma or Equivalent, Secondary or Post- Secondary Transcript, Educational Functioning Level Gain, Progress toward milestones, and Passing Technical/Occupational Knowledge Based Exam.
MOU	Memorandum of Understanding A formal agreement between two or more parties to establish official partnerships

Glossary of Terms

NRS	<p>National Reporting System An outcome-based reporting system for the State administered, federally funded adult education program</p> <p>(Source: http://www.nrsweb.org/)</p>
CTAE	<p>Office of Career, Technical, and Adult Education Administers, coordinates programs that are related to adult education and literacy, career and technical education, and community colleges</p> <p>(Source: www2.ed.gov/about/offices/list/ovae/?src=oc)</p>
One-Stop Center	<p>A center that offers training referrals, career counseling, job listings, and similar employment-related services. In Arizona, the one-stop centers are ARIZONA@WORK.</p> <p>(Source: www.dol.gov/general/topic/training/onestop)</p>
PoP	<p>Period of Participation The period of time beginning when an individual enrolls in adult education and ending on the participant’s date of exit from the program.</p>
Postsecondary Education	<p>All instruction provided for persons who have completed secondary education or who have discontinued secondary education and are beyond the age of compulsory school attendance</p> <p>(Source: nces.ed.gov/pubs79/79409.pdf)</p>
Postsecondary Educational Institution	<p>An institution of higher education that provides no less than a 2-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 post-secondary level</p> <p>(Source: WIOA, Title II)</p>
WAC	<p>Workforce Arizona Council the advisory board to the Governor on workforce matters. Appointed by Governor Ducey pursuant to the Workforce Innovation and Opportunity Act (WIOA), the Council is comprised of leaders representing private business, labor, community- based organizations, the Arizona Legislature, local government and state agencies. It is responsible for carrying out the Governor’s strategic vision for the state’s robust workforce system.</p> <p>(Source: https://www.arizonaatwork.com/content/workforce-arizona-council)</p>
WIOA	<p>Workforce Innovation and Opportunity Act</p> <ul style="list-style-type: none"> • Signed into law July 22, 2014, WIOA is designed to help job seekers access employment, education, training, and support services to succeed in the labor market and to match employers with skilled workers. The four Titles contained in the law are: <ul style="list-style-type: none"> Title I: Workforce Development Activities Title Title II: Adult Education and Family Literacy Title Title III: Wagner-Peyser Act of 1933 Title IV: Rehabilitation Act of 1973 <p>(Source: www.doleta.gov)</p>

Glossary of Terms

Workplace Literacy Program	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 designed to improve the productivity of the workforce
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Appendix A: Grant Assurances and Requirements

Assurances

Federal Assurances

1. The applicant agrees to comply with federal and state statutes, regulations, policies and procedures, and to use state appropriated funds to carry out activities and the local provision of adult education services solely in a manner consistent with the Arizona Unified Workforce Development Plan and the Workforce Innovation and Opportunity Act.
2. The applicant agrees to comply with the following Federal and State Non-Discrimination Laws:
 - Title VI of the Civil Rights Act of 1964, as amended, which prohibits discrimination of all persons on the basis of race, color or national origin (28 C.F.R. § 42.101 et seq.),
 - Title VII of the Civil Rights Act of 1964, as amended (Public Law (P.L.) 88-352), the Age Discrimination in Employment Act of 1967 (Public Law (P.L.) 90-202) and Arizona State Executive Order 99-4, amending 75-5 (A.R.S. § 41-1013), which prohibits discrimination of all persons on the basis of race, age, color, religion, sex, national origin or political affiliation,
 - The Americans with Disabilities Act of 1990 (Public Law (P.L.) 101-336) and the Arizona Disability Act of 1992 (A.R.S. § 41-1492 et seq.), which prohibit discrimination of all persons on the basis of physical or mental disabilities in delivering contract services or in the employment, or advancement in employment of qualified individuals
3. The applicant agrees to comply with the provision in Section 427 of the General Education Provisions Act (GEPA) enacted as part of the Improving America's Schools Act of 1994 (Public Law (P.L.) 103-382) OMB Control No. 1894-0005 (see GEPA Notice OMB 1894-0005 document in the Adult Education section of the Grants Management Resource Library in the ADE GME System).
4. The applicant agrees to comply with the Family Educational Rights and Privacy Act (FERPA) (34 C.F.R. § 99).
5. The applicant agrees to comply with the Fair Labor Standards Act (FLSA) (29 C.F.R. § 500-899).
6. The applicant agrees to administer the ADE/AES-approved standardized assessments in accordance with the Arizona Adult Education Assessment Policy (see document in the Adult Education section of the Grants Management Resource Library in the ADE GME System).
7. The applicant agrees to follow all Uniform Guidance & Code of Federal Regulations (CFR200) Requirements (see document in the Adult Education section of the Grants Management Resource Library in the ADE GME System).
8. The applicant agrees to use funds received under WIOA Section 225 to provide corrections education and educational services for other institutionalized individuals and priority shall be

given to serving individuals who are likely to leave the correctional institution within five years of participation in the program.

9. The applicant agrees to use funds received under WIOA Section 243 to provide services to adults who are English language learners that include instruction in literacy and English language acquisition and instruction on the rights and responsibilities of citizenship and civic participation in combination with integrated education and training activities designed to: 1) prepare adults for, and place such adults in, unsubsidized employment in in-demand industries and occupations leading to economic self-sufficiency, and 2) integrate with the local workforce development system and its functions to carry out the activities of the program.

State Assurances

10. The applicant agrees to use state-allocated funds to establish and conduct adult education courses of study, as prescribed by ADE/AES in this grant contract, to assist adults with continuing basic education; attaining secondary school diplomas, transitioning to postsecondary education, training, and career pathways; improving employment opportunities; and increasing adults' knowledge of the rights and responsibilities of citizenship ([A.R.S. § 15-232 A](#)).
11. The applicant agrees to use state-allocated funds to deliver services and adult education classes only to adults who are citizens or legal residents of the United States or are otherwise lawfully present in the United States, and shall be enforced without regard to race, religion, gender, ethnicity or national origin ([A.R.S. § 15-232 B](#)).
12. The applicant agrees to provide a bi-annual report on the total number of adults who applied for instruction and the total number of adults who were denied instruction under this section because the individual was not a citizen or legal resident of the United States or was not otherwise lawfully present in the United States ([A.R.S. § 15-232 C](#)).
13. The applicant agrees to follow Arizona Adult Education Supplemental Fee Guidelines and state law regarding the charging of supplemental fees to adults eligible to participate in the adult education program (A.R.S. § [15-234 D](#)). The Department of Corrections shall not charge supplemental fees.
14. The applicant agrees to fully cooperate with evaluation and monitoring processes conducted by ADE/AES, including review of all records and documents pertaining to Title II Adult Education and core partner services.
15. The applicant agrees that adult education program director, administrator(s), instructional leader(s), and instructional staff will hold valid Arizona Adult Education teaching certificates or will obtain such certificates within 90 days of the hire date.
16. The applicant agrees that instruction in ADE/AES-funded adult education classes is conducted by certified adult education teachers as described in State Assurance #15 above.

17. The applicant agrees to use the designated adult education data management system and to follow ADE/AES policies and National Reporting System (NRS) Guidelines.
18. The applicant agrees to comply with all FY 2021-2024 Grant Contract Requirements and ADE/AES policies.

Fiscal Requirements

Financial and Grants Management Requirements

1. The local provider will use state-allocated funds to carry out activities in a manner consistent with Arizona Revised Statutes (A.R.S.) [15-232](#) and [15-234](#), Code of Federal Regulations (CFR200), Education Department General Administrative Regulations (EDGAR), Arizona Unified Workforce Development Plan, and Workforce Innovation and Opportunity Act (WIOA), Title II: Adult Education and Literacy.
2. The local provider will use equipment and supplies, purchased with state-allocated funds, primarily for approved delivery of services; also see the “Administrative Regulations and Requirements.”
3. The local provider will not exceed 5% for administration and may request to negotiate a higher local rate for administration costs.
4. The local provider will budget and expend 10% of grant award and earned income for approved professional learning activities aligned to the Learning Forward Professional Learning Standards, the AZ Adult Education Teacher Standards, and the AZ Adult Education Content Standards (State requirement). The 10% state-allocated Professional Learning funds may be used for the following:
 - Activities aligned to Learning Forward Professional Learning Standards;
 - AES trainings for teaching and learning that require registration fees;
 - Relevant conferences
 - **Note:** *Requests to attend out-of-state conferences must be submitted to ADE/AES for approval before budgeting and expending the conference costs. Requests received will be reviewed and approved on a case-by-case basis (State requirement).*
5. The local provider will provide a minimum 25% local match toward state-allocated funds. Local match can be in cash or in-kind contribution. Federal funds may not be used for local match. Earned income may not be used for local match. A Local Match and Earned Income Report must be completed as part of the grant application process (see Budget Submission in Section IV, page 42). (State requirement)
6. The local provider will agree to use 100% of earned income generated by state-allocated funds for adult education instructional purposes. Earned income includes revenue generated by fees and revenue generated by Full Time Student Equivalency (FTSE) dollars. The local provider must provide a year-end detailed accounting of all earned income revenue and expenditures. (State requirement)

7. The local provider will agree to supplement and not supplant other State or local public funds expended for adult education and literacy activities under WIOA Title II.
8. If the local provider intends to charge Supplemental Fees as described in A.R.S. [15-234 D](#), the Supplemental Fees Application must be submitted to ADE/AES. The application may be submitted as part of this grant application or may be submitted at a later date (see Arizona Adult Education Supplemental Fee Guidelines document which is available in the Adult Education section of the Grants Management Resource Library in the ADE GME System). Previously funded providers that were charging supplemental fees prior to FY 2021 must reapply to charge fees under the FY 2021 - 2024 grant contract. Supplemental fees may not be charged by local providers without ADE/AES approval. (State requirement)
9. If the local provider has applied for and was approved for Section 225 state-allocated funds, the local provider will deliver services as described under the Applicants for Corrections Education and Other Institutionalized Individuals in Section 225 for criminal offenders within a correctional institution, giving priority to serving individuals who are likely to leave the correctional institution within five years of participation.
10. If the local provider has applied for and was approved for Section 243 state-allocated funds, the local provider will deliver services to adults who are English language learners. The services include instruction in literacy and English language acquisition, instruction on the rights and responsibilities of citizenship, and civic participation in combination with integrated education and training activities designed to: 1) prepare adults for, and place such adults in, unsubsidized employment in in-demand industries and occupations leading to economic self-sufficiency, and 2) integrate with the local workforce development system and its functions to carry out the activities of the program.

Administrative Regulations and Requirements

11. The local provider will comply with the Federal Uniform Guidance, Code of Federal Regulations (CFR200) and Education Department General Administrative Regulations (EDGAR), including but not limited to:
 - Maintaining property records for any equipment with a current per-unit fair market value of \$5,000. Records shall include description(s) of the property(ies), serial number(s) or other identification number(s), the source of funding for the property, the location(s), use and condition of the property, and any ultimate disposition data including the date(s) of disposal and sale price of the property. A physical inventory of the property must be taken at least once every two years. A control system must be developed to ensure adequate safeguards to prevent loss, damage, or theft of the property. Any loss, damage, or theft must be investigated.
 - Maintaining inventory records for supplies (computing devices and equipment less than \$5,000 per unit) as described under property records.
 - Maintaining financial records, supporting documents, statistical records, and all other non-Federal entity records pertinent to a Federal award. Such records must be retained for a period of three years from the date of submission of the final expenditure report including income records.

- Allowing ADE/AES oversight and monitoring of activities to assure compliance with applicable Federal requirements and performance expectations. This includes reviewing required financial and performance reports and ensuring that timely and appropriate action is taken on all deficiencies pertaining to the Federal award detected through audits, on-site reviews, and other means.
- Allowing ADE/AES to evaluate each risk of noncompliance with Federal statutes, regulations, and the terms and conditions of the subaward for purposes of determining the appropriate monitoring. The evaluation may include the program's prior experience with the same or similar subawards; the results of previous audits, including any Single Audits received and the extent to which the same or similar subaward has been audited as a major program; and whether program has new personnel or new/substantially changed systems.
- Adhering to and following general provisions for selected items of cost in determining allowable or unallowable cost. Failure to mention a particular item of cost is not intended to imply that it is either allowable or unallowable; rather, determination in each case should be based on the treatment provided for similar or related items of cost (see CFR200 Selected Item Costs document which is available in the Adult Education section of the Grants Management Resource Library in the ADE GME System).

Memorandum of Understanding with Local Workforce Boards

12. ADE requires each funded Title II provider to:

- Enter into a Memorandum of Understanding (MOU) relating to the operation of the one-stop system in the area with the local workforce board (34 CFR 361.505)
- Contribute from the federal funds reserved for local administration (an amount not to exceed 5 percent of the grant award), its proportionate share of local infrastructure costs based on proportionate use of the one-stop system, and the relative benefit received by the adult education provider and its students (34 CFR 361.720)
- Contribute its proportionate share of local infrastructure costs based on corresponding use of the one-stop system and the relative benefit received, in addition to local federal administrative costs. It may include non-federal resources that are cash, in-kind, or third-party contributions.
- MOUs may include:
 - A comprehensive referral system
 - Shared customer-base
 - Shared system costs and co-location when appropriate
 - Other shared services
- The agreements must ensure that access to information and services are available to all participants, thus improving the opportunity for positive employment outcomes. More specifically, the partnership has the potential to assist students by:

- Reducing the barriers to employment
- Providing access to high-quality services in their communities to find jobs
- Building basic educational or occupational skills
- Earning postsecondary certificates/degrees or obtaining guidance on how to make career choices

General Provisions and Programmatic Requirements

Program Administration and Operations Requirements

1. The local provider must establish and maintain a website with current information on adult education services. (State requirement)
2. The local provider director/administrator (or designee) with decision-making authority will be available 12 months of the year to make programmatic decisions, submit reports, and communicate with ADE/AES personnel as required. (State requirement)
3. In the event of a change in leadership or other key personnel, the local provider will notify ADE/AES of the change within two business days. (State requirement)
4. The local provider will deliver educational services year-round for eligible adult education participants or will establish an ADE/AES-approved formal partnership to ensure access to appropriate educational services. (State requirement)
5. The local provider will ensure a process to assist eligible adult education participants in determining the most expedient and/or appropriate pathway to attain an Arizona High School Equivalency (HSE) Diploma. If the Career-ready Portfolio Pathway is the selected option, will facilitate the process for HSE attainment through that pathway in accordance with ADE/AES guidelines. (State requirement) See Overview of Pathways to the Arizona HSE Diploma and Arizona Career-ready Portfolio Pathway Guidance documents which are available in the Adult Education section of the Grants Management Resource Library in the ADE GME System.
6. The local provider director/administrator will notify ADE/AES prior to making a change in any class/site location. If a [location change](#) would affect the ability of the provider to deliver services as described in the approved grant contract, prior approval must be obtained from ADE/AES. (State requirement)
7. The following documents must be kept on file (hard copy or digital) and provided to ADE/AES staff to review upon request (State requirement):
 - Teaching certificates for relevant staff (see State Assurance #15)
 - Current organizational chart

- Roles and job descriptions indicating personnel carrying out key functions and responsibilities shown in Minimum Staffing Guidelines by Key Function document which is available in the Adult Education section of the Grants Management Resource Library in the ADE GME System.

8. Records Retention Guidelines:

Records noted below must be accessible to ADE/AES for purposes of auditing (*State requirement*).

- **3 Years:** Financial Records, supporting documents, statistical records, and all other non-Federal entity records pertinent to a Federal award must be retained for a period of three years from the date of submission of the final expenditure report or, for Federal awards that are renewed quarterly or annually, from the date of the submission of the quarterly or annual financial report (Retention requirements for records, 2 C.F.R. § 200.333).
- **3 Years:** Records for real property and equipment acquired with Federal funds must be retained for three years after final disposition (Retention requirements for records, 2 C.F.R. § 200.333).
- **5 Years:** Documents that must be kept by the local provider for five* years and be available for examination at the request of ADE/AES are:
 - Student Registration forms;
 - Eligibility Verification forms;
 - Class sign-in sheets; and
 - Fiscal records.

**Due to Tyding's Amendment, auditable records must be kept and available for audit for a minimum of five years.*

Teaching and Learning Requirements

9. The local provider will fully implement the Arizona Adult Education Teacher Standards; see document in the Adult Education section of the Grants Management Resource Library in the ADE GME System. (State requirement)
10. The local provider will compensate all adult educators for required Professional Learning activities, which focus on improving teacher effectiveness. (State requirement)
11. The local provider director, administrator(s), and adult education staff, as applicable, will participate in ADE/AES required professional learning events, and participating staff shall be compensated by the program for attending required activities. Note: The program shall pay applicable registration fees to ADE as required. (State requirement)
12. The local provider will use ADE/AES funds to plan, implement, and evaluate professional learning for adult educators aligned to the Standards for Professional Learning, developed by Learning Forward and available in the Adult Education section of the Grants Management Resource Library in the ADE GME System. (State requirement)

13. The local provider will ensure that print and digital curricular resources used for instruction are aligned to Arizona Adult Education Content Standards document which is available in the Adult Education section of the Grants Management Resource Library in the ADE GME System. (State requirement)
14. The local provider will provide sufficient paid time for adult education instructors to plan and prepare for instruction aligned to the Arizona Adult Education Content Standards. (State requirement)
15. The local provider will utilize the passage of one or more Arizona Adult Education Teacher Proficiency Assessment(s) to guide hiring and compensation decisions for instructional staff. (State requirement)

Data Quality Specifications

The National Reporting System (NRS) has three defined levels of data quality, and Arizona's goal is to earn Exemplary Quality. To this end, Adult Education providers must adhere to the eight requirements shown below that speak to sound practices surrounding data validity and reliability, including data collection, analysis, correction, and continuous improvement.

Security of Information

1. **Privacy:** Provide training on the appropriate use of data in regard to privacy protection, including training on FERPA, to all staff members or volunteers who may have access to student information. Ensure removal of access to all sources of student information for former staff members or volunteers within 24 hours of their leaving employment.

Program Administration of Data-Related Requirements

2. **Process:** Develop and maintain a written process, including a monthly schedule, for data collection, entry, review, analysis, and submission to ADE/AES.
3. **Data Collection:**
 - Ensure the current ADE/AES-provided Student Registration and Contact Update forms are being used, and that intake staff have been trained on their use, including training on NRS data fields.
 - Maintain an auditable record of student attendance in each class that includes:
 - **Face-to-face instruction:** a sign-in and sign-out time per student and class
 - **Proxy (out-of-class) activities:** reports generated from approved online curricula and/or teacher log of attendance hours for the Teacher Verification Model
 - **Instruction at a distance:** documentation of interactions such as webinar attendance and/or written records detailing specific time/date and length of contact.

The [Blended and Virtual/Distance Learning Policy](#), which provides additional information regarding the acceptable evidence for student attendance, and other applicable resources can be accessed in the Adult Education section of the Grants Management Resource Library in the ADE GME System.

4. **Data Entry:** Ensure that data entry staff have been trained on data collection and entry into the data management system. (State requirement)
5. **Data Coordination:** Identify the individual(s) ultimately responsible for data decisions, including analysis and approval of data prior to submission to ADE/AES, and that data entry is done by staff other than those responsible for approving data. (State requirement)
6. **Data Review:** Conduct and document internal audits of data and data processes, including student intake files, at least two times per program year. (State requirement)

Assessment Administration and Data Requirements

7. Ensure that all components of the Arizona Adult Education Assessment Policy are followed, including all data-related components (see document in the Adult Education section of the Grants Management Resource Library in the ADE GME System).

WIOA Indicators of Performance Data Collection and Requirements

8. **Exit Outcomes:** Develop and maintain a written process, including a schedule aligned with each follow-up measure, to conduct surveys for those learners who are ineligible for data match provided by ADE/AES. (State requirement)

Appendix B: NRS Reporting Tables (Federal Tables)

The table below provides a snapshot of the data tables that ADE/AES reports in the National Reporting System (NRS). These are also the tables that local Title II providers report their outcome data in. All are generated in AAEDMS, the data management system. For a full description and examples of all Title II federal tables, refer to the [NRS Technical Assistance Guide](#).

Table	Title	Notes
Table 1	Participants by Entering Educational Functioning Level (EFL), Ethnicity, and Sex	“Participants” are those students who have completed 12 or more contact hours and who have an initial assessment establishing entering EFL.
Table 2A	Reportable Individuals by Age, Ethnicity, and Sex	“Reportable individuals” are those students who have completed <i>fewer</i> than 12 contact hours.
Table 3	Participants by Program Type and Age	“Program type” indicates ABE, ASE, ELAA, and IELCE; these categories are further broken down by those participating in IETs
Table 4	Measurable Skill Gains by Entry Level	Primary table used to calculate MSGs
Table 4B	Educational Functioning Level Gain and Attendance for Pre- and Post-tested Participants	Used to track the number of participants who take progress tests and the number of those who make EFL gains
Table 5	Primary Indicators of Performance (post-exit)	Used to report Employment, Entry into Secondary Education or Training, and Attainment of Credentials
Table 7	Adult Education Personnel by Function and Job Status	Used to report FT, PT, and volunteer personnel; their years of experience; types of certification; and program roles
Table 9	Outcome Achievement for Participants in Integrated English Literacy and Civics Education	Used to report performance, both MSGs and post-exit, for IELCE students
Table 10	Outcome Achievement for Participants in Correctional Education Programs	Used for reporting individuals served under Sect 225

Appendix C: Primary Indicators of Performance

Primary Indicator	Type	Description
Measurable Skill Gain (MSG)	MSG 1: Educational Functioning Level Increase	<ul style="list-style-type: none"> a. Progress testing shows increase in academic level when compared to previous test b. Exit from program AND entry into post-secondary or training in SAME program year
	MSG 2: Attainment of a secondary diploma (HSE)	Three pathways: <ol style="list-style-type: none"> 1. Passing of GED® subtests + Civics test 2. HSE+ Career Readiness Portfolio 3. College Credit Pathway
	MSG 3: Secondary or Postsecondary Transcript or Report Card	<ul style="list-style-type: none"> • applicable only to postsecondary transcripts for participants enrolled in IET programs, most often with a postsecondary institution • full-time participant must complete a minimum of 12 credit hours per semester • part-time participants must complete a total of at least 12 credit hours over the course of <i>two consecutive semesters</i> during the program year
	MSG 4: Progress Toward Employment or Training Milestones	<ul style="list-style-type: none"> • satisfactory or better progress report from an employer or training provider
	MSG 5: Passing Technical/Occupational Knowledge-Based Exam	<ul style="list-style-type: none"> • passing exam required for occupation or • progress reaching trade-related benchmarks, such as knowledge-based exams
Employment-Related	Employment Rate 2 nd Quarter After Exit	<ul style="list-style-type: none"> • percentage of participants who are in unsubsidized employment during the second quarter after exiting the program
	Employment Rate 4 th Quarter After Exit	<ul style="list-style-type: none"> • percentage of participants who are in unsubsidized employment during the fourth quarter after exiting the program
	Median Earnings 2 nd Quarter After Exit	<ul style="list-style-type: none"> • median earnings of participants who are in unsubsidized employment in the second quarter after exiting the program
Credential Attainment	Secondary Diploma	<ul style="list-style-type: none"> • Received during program participation or within one year following exit • Applies only to students <ul style="list-style-type: none"> ○ enrolled at ABE 5 or 6
	Postsecondary Credential	<ul style="list-style-type: none"> • Received during participation or within one year following exit • Applies only to students who were also enrolled in postsecondary education or training and who exited the postsecondary education or training program

MSG 3, 4, and 5 Source: ["NRS Tips: Reporting Measurable Skill Gains \(MSG\) Types 3, 4, and 5 by Adult Education Programs"](#)

Appendix D: Performance Targets for PY2022-2023

The table below coincides with Policy Memo PY22-23.1.

NOTE: Per the PY 2022-2023 Assessment Policy (pg. 9), a minimum of 75% of students should be progress-tested following appropriate hours of instruction and sequencing, also detailed in the Assessment Policy.

Measurable Skill Gain (MSG) Targets Table 4	
Programming Area	Target
ABE/ASE	39.5%
ESL	44.5%
Overall	42.0%
Post-Exit Indicators of Performance Table 5	
Indicator	Target
Employment Rate 2nd Quarter after Exit	50.0%
Employment Rate 4th Quarter after Exit	30.5%
Credential Rate	29.0%
Median Earnings	\$6620

Appendix E: Post-Exit Follow-up Schedule

The schedule shown in the table on the following page indicates which former students to contact during the appropriate timeframes. All students *not participating in data match* will be contacted at least twice.

- 2nd Quarter Following Exit
 - Employment
 - Earnings
- 4th Quarter Following Exit
 - Employment
 - Entered Postsecondary or Training
 - Credential Attainment

**Table 5 Performance Outcomes Follow-Up Timeline
PY2021-22 Exiters**

Employment 2nd Quarter After Exit		
During Each of These Timeframes	Contact Students Who Separated During These Timeframes	Ask About Employment During These Timeframes
April 1 - June 30, 2022	July 1-September 30, 2021	January 1-March 31, 2022
July 1 -September 30, 2022	October 1-December 31, 2021	April 1 - June 30, 2022
October 1 - December 31, 2022	January 1 - March 31, 2022	July 1-September 30, 2022
January 1 - March 31, 2023	April 1 - June 30, 2022	October 1 - December 31, 2022
Employment 4th Quarter After Exit		
During Each of These Timeframes	Contact Students Who Separated During These Timeframes	Ask About Employment During These Timeframes
October 1 - December 31, 2022	July 1-September 30, 2021	July 1-September 30, 2022
January 1 - March 31, 2023	October 1-December 31, 2021	October 1 - December 31, 2022
April 1 - June 30 , 2023	January 1 - March 31, 2022	January 1 - March 31, 2023
July 1 -September 30 , 2023	April 1 - June 30, 2022	April 1 - June 30, 2023
HSE Credential Attainment & Employed or Entered Postsecondary/Training Within 1 year of Exit		
During Each of These Timeframes	Contact Students Who Separated During These Timeframes	Ask Whether Student Was Employed OR Entered Postsecondary/Training During These Timeframes
Date of Exit - December 31, 2022	July 1-September 30, 2021	Date of Exit -September 30, 2022
Date of Exit - March 31, 2023	October 1-December 31, 2021	Date of Exit - December 31, 2022
Date of Exit - June 30, 2023	January 1 - March 31, 2022	Date of Exit - March 31, 2023
Date of Exit - September 30, 2023	April 1 - June 30, 2022	Date of Exit - June 30, 2023
Attained Postsecondary Credential While Enrolled or Within 1 year of Exit		
During Each of These Timeframes	Contact Students Who Separated During These Timeframes	Ask Whether Student Earned a Postsecondary Credential During These Timeframes
Date of Exit - December 31, 2022	July 1-September 30, 2021	Date of Exit -September 30, 2022
Date of Exit - March 31, 2023	October 1-December 31, 2021	Date of Exit - December 31, 2022
Date of Exit - June 30, 2023	January 1 - March 31, 2022	Date of Exit - March 31, 2023
Date of Exit - September 30, 2023	April 1 - June 30, 2022	Date of Exit - June 30, 2023

Appendix F: Reports and Due Dates

For detail on each of these reports, refer to [Section 5, "Preparing and Submitting Reports."](#)

Report Name		Due Date*	Comment
Student Demographic & Performance Data		15 th of each month	Submit form found HERE to confirm completion
Final Allocation Budget for the Fiscal Year		Sept. 30 th	Submit in GME
TABE Violation Log <i>and</i> List of Certified TABE Administrators		9/15	Submit form found HERE
		12/15	
		3/15	
		6/15	
Allocation Budget Revisions		As needed	Revise as needed or upon request by ADE/AES throughout fiscal year
Proposed Technology Plan		Aug. 15 th	Submit to AES-POC@azed.gov
Professional Learning Implementation Plan		Sept. 30 th	PL Plan Template and directions are HERE
IET Implementation Plan	Existing IET programs	Oct. 31 st	Submit to AES-POC@azed.gov
	New IET programs	Min. 30 days prior to launch	
Semi-Annual Eligibility and Waitlist Report A.R.S. §15.232(C)		Dec. 15 th	Edith Marquez will email report template in November.
Proposed Implementation Plan for Continuation of Funding (PIP) <i>(for following PY)</i>		May 31 st	Submit in GME
Semi-Annual Eligibility and Waitlist Report A.R.S. §15.232(C)		June 15 th	Edith Marquez will email report template in May.
The remaining reports will be due after the new program year has started.			
Final Year-End Narrative Report		July 31 st	Submit to AES-POC@azed.gov
IET Validation Report		July 31 st	Submit to AES-POC@azed.gov
Final Professional Learning Report		July 31 st	Make final updates to existing PL Implementation Plan
Career and Training Services Report		July 31 st	Submit to AES-POC@azed.gov
Expenditure Summary Reports <i>with</i> Final Completion Report		Sept. 30 th	Submit in GME
Additional Reports		As requested	Submit upon request from ADE/AES

*Should a due date fall on a weekend or State holiday, it will be extended to the next business day.

Appendix G: Data Dictionary

Element Name	Definition	Currently Collected	NRS Implement. Guidelines	NRS Table
Entity: Adult Education Program				
Name of Class	Title of class using ADE/AES Class Naming Conventions	Yes	No	N/A
Class Description	Class description	Yes	No	N/A
NRS Levels	NRS Levels for students that should be participating in this class	Yes	Yes	N/A
Adult Education Program	Local provider that facilitates class	Yes	No	N/A
Class Location	Location that class is taught at	Yes	No	N/A
Year	Fiscal/Program Year that Class is occurring	Yes	No	N/A
Class Size	Minimum and Maximum range of students for the class; class size is unlimited for virtual classes	Yes	No	N/A
Type	Class Content - ELAA or ABE/ASE	Yes	No	N/A
Class Format	Face-to-Face only, Distance Education, or Blended	Yes	No	No
Assign Teacher	Teacher assigned to class	Yes	No	N/A
Assign Role	Role of the teacher in database (if applicable) - will determine amount of access to data for this class in data management system	Yes	No	N/A
Class Start Date	First date of Class	Yes	No	N/A
Class End Date	Last Date of Class	Yes	No	N/A
Collect Proxy Hours	Schedule by which programs will collect proxy hours (weekly, monthly, every two weeks)	Yes	No	4, 4c
Collect Face to Face Hours	Schedule by which programs will collect face to face attendance hours	Yes	No	4
Collect Instruction at a Distance Hours	Schedule by which programs will collect instruction at a distance attendance hours	Yes	No	4
Entity: Adult Education Staff				
Program Name	The full legally accepted name of the institution.	Yes	No	N/A
Primary Adult Ed Program	The full legal accepted name of the institution that the employee primarily is employed by	Yes	No	N/A
Account Requires Certificate	Determines whether the employees position requires teaching certificate information	Yes	Yes	7
Key Function/Employment Function	An employee's main role at the program level	Yes	Yes	7
Date of Birth	Employee's date of birth	Yes	No	N/A
Last Name	The full legal last name borne in common by members of a family.	Yes	No	N/A

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Element Name	Definition	Currently Collected	NRS Implement. Guidelines	NRS Table
First Name	The full legal first name given to a person at birth, baptism, or through legal change.	Yes	No	N/A
Middle Name	The full legal middle name given to a person at birth, baptism, or through legal change	Yes	No	N/A
Preferred or Nick Name	The preferred First Name that an individual wishes to be called	Yes	No	N/A
The primary work address listed for program staff.	Address Street Number and Name	Yes	No	N/A
Address City for program staff	The name of the city	Yes	No	N/A
State Abbreviation for program staff	The abbreviation for the state (within the United States) or outlying area in which an address is located.	Yes	No	N/A
Address Postal Code for program staff	A number that identifies each postal delivery area in the United States used as a portion of an address.	Yes	No	N/A
Address County Name for program staff	The name of the county, parish, borough, or comparable unit (within a state) in which an address is located.	Yes	No	N/A
Ethnicity of program staff	The ethnicity that the program staff member most identifies as. Options included are 1) American Indian or Alaska Native 2) Asian 3) Black or African American 4) Native Hawaiian or Other Pacific Islander 5) White 6) Hispanic/Latino 7) More than One Race	Yes	No	N/A
Gender/Sex of program staff	Whether the staff member is male or female.	Yes	No	N/A
Primary Telephone Number for program staff	The primary work telephone number.	Yes	No	N/A
Telephone Number for program staff	Optional work and mobile phone number	Yes	No	N/A
Electronic Work Mail Address for program staff	The numbers, letters, and symbols used to identify an electronic mail (e-mail) user within the network to which the person or organization belongs.	Yes	No	N/A
Receive Email for program staff	Indicate whether the employee has the ability to receive emails through the data management system. MUST be checked.	Yes	No	N/A
Date of Hire	Official hire date of employee by AE Program	Yes	No	N/A
F/T	The number of hours worked to qualify an individual as full-time employment status, determined by the employer per Department of Labor standards	Yes	Yes	7

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Element Name	Definition	Currently Collected	NRS Implement. Guidelines	NRS Table
P/T	The number of hours worked to qualify an individual as part-time employment status, determined by the employer per Department of Labor standards	Yes	Yes	7
Paid or Volunteer	Status of Individuals who a) are considered employees of the organization and are compensated for their work, following labor laws or b) volunteer or donate their services, usually on a part-time basis, for public service, religious or humanitarian objectives, not as employees and without compensation of pay	Yes	Yes	7
# of hours/week of direct instruction	The number of hours that an employee teaches per week	Yes	No	N/A
# hrs paid prep time per week	The number of hours per week that an employee uses to prepare for instruction	No	No	N/A
# of paid hrs/week dedicated to Professional Learning	The number of hours per week allocated for an employee for professional learning focused on improving educator effectiveness	No	No	N/A
Administers Assessments	Yes/No question pertaining to if an employee administers the approved assessment (TABE 11/12 or CLAS-E) to AE students	No	No	N/A
Level of Education Attained	The extent of formal instruction a person has received (i.e., the highest grade in school completed or its equivalent or the highest degree received).	Yes	No	N/A
Total Years of Adult Education Teaching Experience	The total number of years a teacher has taught in adult education.	Yes	Yes	7
Adult Ed. Certificate	A credential recognized by the State that focuses on teaching adult education students.	Yes	Yes	7
Primary Teaching Certificate Number	A unique number indicated on the teaching certificate awarded by the Arizona Department of Education	Yes	Yes	7
K-12 Certification	A credential recognized by the State that focuses on teaching children	Yes	Yes	7
Special Education Certificate	A credential recognized by the State that focuses on teaching children or adults with disabilities or special needs	Yes	Yes	7
TESOL Certificate	A credential recognized by the State that focuses on teaching English to speakers of other languages.	Yes	Yes	7
# of Hrs/ Week dedicated to AE functions	The number of hours per week that an employee uses for AE functions at the program level	Yes	No	N/A

Appendix G: Data Dictionary

Element Name	Definition	Currently Collected	NRS Implement. Guidelines	NRS Table
Currently teaching in the Adult Ed. Program	Yes/No question pertaining to if an employee currently teaches in an AE program	Yes	N/A	N/A
Log In	User log in to access the data management system	Yes	No	N/A
Password	User password used to access the data management system	No	No	N/A
User Role	The user's main role at the Program, access to AAEDMS is dependent on the role given	Yes	No	N/A
Type of Certificate	Adult Education Certification	Yes	Yes	7
Type of Certificate	Special Education Certification	Yes	Yes	7
Type of Certificate	TESOL Certification	Yes	Yes	7
Type of Certificate	K-12 Certification	Yes	Yes	7
Type of Certificate	No certificate	Yes	Yes	7
Entity: Adult Education Student				
First Name	The full legal first name given to a person at birth, baptism, or through legal change.	Yes	Yes	N/A
Middle Name	A full legal middle name given to a person at birth, baptism, or through legal change.	Yes	Yes	N/A
Last or Surname	The full legal last name borne in common by members of a family.	Yes	Yes	N/A
Preferred or Nick Name	The name by which a student prefers to be addressed.	Yes	No	N/A
Date of Birth	Month, Date, and Year of Birth	Yes	Yes	N/A
Current Age	Automatically calculated by data management system	Yes	No	2, 2A, 3, SPR
Social Security Number/EIN Number	SS#-The nine-digit number of identification assigned to the person by the Social Security Administration. EIN- A unique number or alphanumeric code assigned to a student by a school, school system, a state, or other agency or entity.	Yes	Yes	N/A
Address Street Number and Name	The street number and street name or post office box number of an address.	Yes	Yes	N/A
Address City	The name of the city in which an address is located.	Yes	Yes	N/A
State Abbreviation	The abbreviation for the state (within the United States) or outlying area in which an address is located.	Yes	Yes	N/A
Address Postal Code	A number that identifies each postal delivery area in the United States used as a portion of an address.	Yes	Yes	N/A
Address County Name	The name of the county, parish, borough, or comparable unit (within a state) in which an address is located.	Yes	No	N/A

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Element Name	Definition	Currently Collected	NRS Implement. Guidelines	NRS Table
Primary Contact Phone	Primary phone number listed by student on intake form	Yes	Yes	N/A
Additional phone numbers	Optional emergency, work and cell phone numbers provided by the student	Yes	Yes	N/A
Electronic Mail Address	The numbers, letters, and symbols used to identify an electronic mail (e-mail) user within the network to which the person or organization belongs.	Yes	Yes	N/A
GEDTS Candidate ID	Unique ID given to student at time of registration to GEDTS	Yes	No	N/A
Data Matching(Permission to Release SSN)?	Student has given program permission to use SSN for data match	Yes	No	N/A
Gender/Sex	Whether the learner is male or female.	Yes	Yes	1, 2, 2A, SPR
Gender Identity	Which gender identity does the student most identify with 1) Female 2) Male 3) Non-binary gender/non-conforming 4) Prefer not to answer	Yes	No	N/A
Preferred Gender Pronouns	Which gender pronouns does the student most identify with 1) she, her, hers 2) he, him, his 3) they, them, theirs 4) Other	Yes	No	N/A
Race/Ethnicity - American Indian or Alaska Native	A person having origins in any of the original peoples of North and South America (including Central America), and who maintains a tribal affiliation or community attachment.	Yes	Yes	1, 2, 2A, SPR
Race/Ethnicity - Asian	A person having origins in any of the original people of the Far East, Southeast Asia, or the Indian subcontinent including, for example, Cambodia, China, India, Japan, Korea, Malaysia, Pakistan, the Philippine Islands, Thailand, and Vietnam.	Yes	Yes	1, 2, 2A, SPR
Race/Ethnicity - Black or African American	A person having origins in any of the Black racial groups of Africa.	Yes	Yes	1, 2, 2A, SPR
Race/Ethnicity - Native Hawaiian or Other Pacific Islander	A person having origins in any of the original peoples of Hawaii, Guam, Samoa, or other Pacific Islands.	Yes	Yes	1, 2, 2A, SPR
Race/Ethnicity - White	A person having origins in any of the original peoples of Europe, the Middle East, or North Africa.	Yes	Yes	1, 2, 2A, SPR
Race/Ethnicity - Hispanic or Latin Ethnicity	A person of Cuban, Mexican, Puerto Rican, South or Central American, or other Spanish culture or origin, regardless of race. The term "Spanish origin" can be used in addition to "Hispanic/Latin or Latin."	Yes	Yes	1, 2, 2A, SPR
Race/Ethnicity - Two or more races	A person having origins in two or more race categories and not Hispanic/Latino	Yes	Yes	1, 2, 2A, SPR

Appendix G: Data Dictionary

Element Name	Definition	Currently Collected	NRS Implement. Guidelines	NRS Table
Employment Status	Whether the learner is employed, not employed, or not in the labor force at time of entry into the adult education program, according to the following criteria:	Yes	Yes	6, 10
Employment Status-Employed	Learners who work as paid employees, work at their own business or farms, or who work 15 hours or more per week as unpaid workers at a farm or business operated by a member of their family. Also included are learners who are not currently working but who have jobs or businesses from which they are temporarily absent.	Yes	Yes	6
Labor Force Status-Unemployed	Participant that is unemployed but seeking employment.	Yes	Yes	6
Employment Status - Employed (Notice of Termination or Military Separation)	Participant A) received a notice of termination of employment or the employer has issued a Worker Adjustment and Retraining notification (WARN) or other notice that the facility or enterprise will close OR B) a transitioning service member (within 12 months of separation or 24 months of retirement)	Yes	Yes	6
Labor Force Status-Not in labor force	Participant that is unemployed and not actively looking for employment. This includes incarcerated participants.	Yes	Yes	6
Long Term Unemployed	Participant at program entry has been unemployed for 27 or more consecutive weeks.	Yes	Yes	SPR
Displaced homemaker	Learner has been providing unpaid services to family member in the home, has been dependent on the income of another family member but is no longer supported by that income and is unemployed or underemployed and experiencing difficulty obtaining or upgrading employment.	Yes	Yes	SPR
Individual with a Disability, Including a Learning Disability	Learner has a record of or is regarded as having any type of physical or mental impairment, including a learning disability that substantially limits or restricts one or more major life activities (e.g., walking, seeing, hearing, speaking, learning, and working).	Yes	Yes	SPR

Element Name	Definition	Currently Collected	NRS Implement. Guidelines	NRS Table
Migrant and Seasonal Farmworker Status	<p>Seasonal Farmworker: Participant is a low-income individual (i) who for the 12 consecutive months out of the 24 months prior to application for the program involved, has been primarily employed in agriculture or fish farming labor that is characterized by chronic unemployment or underemployment; and (ii) faces multiple barriers to economic self-sufficiency.</p> <p>Migrant and Seasonal Farmworker: Participant is a seasonal farmworker and whose agricultural labor requires travel to a job site such that the farmworker is unable to return to a permanent place of residence within the same day.</p> <p>Dependent of Migrant and Seasonal Farmworker: Participant is a dependent (as defined in 20 CFR 685.110) of the individual described as a seasonal or migrant seasonal farmworker above.)</p>	Yes	Yes	SPR
Dislocated Worker	An individual who receives an individual notice of pending or actual layoff from a job, or an individual who receives a publicly announced notice of pending or actual layoff.	Yes	Yes	SPR
Refugee	A student that identifies as a refugee - who left their native country due to persecution or fear of persecution on account of race, religion, nationality, membership in a particular social group, or political opinion	Yes	No	N/A
Earnings	Student's annual income	Yes	No	N/A
Learner reason for seeking services	Learner's reasons for attending the class or program	Yes	Yes	N/A
Reason for seeking Services -Improve Basic Literacy Skills	Improve overall basic literacy skills	Yes	Yes	N/A
Reason for seeking services - Improve English Language Skills	Improve overall skills in the English language (i.e., speaking, listening, reading, and writing)	Yes	Yes	N/A
Learner's goals for attending - Achieved Citizenship Skills	Obtain skills to pass the U.S. citizenship test	Yes	Yes	9 (Optional)
Learner's goals for attending - Voted or Registered to Vote	Voted or Registered to Vote	Yes	Yes	9 (Optional)

Element Name	Definition	Currently Collected	NRS Implement. Guidelines	NRS Table
Learner's goals for attending - Increased Involvement in Community Activities	Increased Involvement in Community Activities	Yes	Yes	9 (Optional)
Public Assistance Status	Learner is receiving financial assistance from Federal, State, or local government agencies, including Temporary Assistance for Needy Families (TANF) or equivalent general assistance, food stamps, refugee cash assistance, old-age assistance, and aid to the blind or totally disabled. Social Security benefits, unemployment insurance, and employment-funded disability are not included in this definition.	Yes	Yes	N/A
Low Income Status	The learner receives or is a member of a family who receives a total family income in the 6 months prior to enrollment of 70 percent of the income level standard for a family of that size, or the learner is receiving or is a member of a family who is receiving cash assistance payments from Federal or State agencies or food stamps, or the learner can be designated as homeless under the McKinney Act.	Yes	Yes	SPR
English Language Learner	Participant is a person who has a limited ability in speaking, reading, writing or understanding the English language and also meets at least one of the following two conditions – a) participant's native language is a language other than English or b) participant lives in a family or community environment where a language other than English is the primary language	Yes	Yes	SPR
Basic Skills Deficient/Low Levels of Literacy	Participant who has English reading, writing, or computing skills at or below the 8 th grade level on a generally accepted standardized test OR participant who is unable to compute and solve problems, or read, write, or speak English that is necessary to function on the job, in the participant's family or in society	Yes	Yes	SPR
Cultural Barriers	Participant perceives him/herself as possessing attitudes, beliefs, customs or practices that influence a way of thinking, acting, or working that may serve as a hindrance to employment	Yes	Yes	SPR

Appendix G: Data Dictionary

Element Name	Definition	Currently Collected	NRS Implement. Guidelines	NRS Table
Rural Residency Status	Learner resides in a rural area; that is, a place with a population of less than 2,500 that is not near any metropolitan area with a population greater than 50,000, or in a city with adjacent areas of high density.	Yes	Yes	N/A
Highest School Grade Completed at Program Entry	Participant indicates the highest grade completed (1-beyond bachelor's degree) at program entry.	Yes	Yes	6
Location of Highest Grade Completed	Participant indicates where the highest level of education was completed in the United State or outside of the United States.	Yes	Yes	6
Exhausting TANF Within 2 Years	Participant is within 2 years of exhausting lifetime eligibility under part A if Title IV of the Social Security Act, regardless of whether receiving these benefits at program entry	Yes	Yes	SPR
Foster Care Youth Status	Participant, who is under the age of 24, who is currently in foster care or has aged out of the foster care system	Yes	Yes	SPR
Homeless Individual, Homeless Children and Youths, or Runaway Youth	Participant a) lacks a fixed, regular, and adequate nighttime residence; this includes a participant who: i) is sharing the housing of other persons due to loss of housing, economic hardship, or a similar reason; ii) is living in a motel, hotel, trailer park, or campground due to a lack of alternative adequate accommodations; iii) is living in an emergency or transitional shelter; iv) is abandoned in a hospital; v) is awaiting foster care placement	Yes	Yes	SPR
Ex-Offender Status	Participant is a person who either a) has been subject to any stage of the criminal justice process for committing a status offense or delinquent act or b) requires assistance in overcoming barriers to employment resulting from a record of arrest or conviction	Yes	Yes	SPR
Native Language	The language first spoken by the student	Yes	No	N/A
Single Parent Status	Participant is single, separated, divorced or a widowed individual who has primary responsibility for one or more dependent children under age 18 (including single pregnant women)	Yes	yes	SPR
Adult Education Instructional Program Type (Registration Type and Contact Type on AAEDMS)	The type of instructional program in which an adult is enrolled.	Yes	Yes	3

Appendix G: Data Dictionary

Element Name	Definition	Currently Collected	NRS Implement. Guidelines	NRS Table
Enrollment Date	The year, month and day on which a person is considered officially enrolled in the program.	Yes	Yes	2A
Registration Date	First date that student attended the program and given attendance	Yes	Yes	SPR
Separation/Exit Date	Exit from a program generally occurs, as described below, when the participant has not received services for a specified period of time and has no additional services scheduled. The date of exit cannot be determined until 90 days have elapsed since the participant last received services; furthermore, there must be no plans to provide the participant with future services. At that point, the date of exit is applied retroactively to the last date of service.	Yes	Yes	4, 4b, 4c, 5, 5a, 9, 10, 11, SPR
Educational Functioning Level	An individual's skill level, as defined by the National Reporting System for Adult Education and determined by an approved standardized assessment for specific content areas	Yes	Yes	1, 4, 4a, 4b, 4c
Proxy Contact Hours	The number of instructional hours completed by an adult enrolled in a distance learning program.	Yes	Yes	4c
Contact Hours	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 curricula, such as classroom instruction, assessment, tutoring, or participation in a learning lab.	Yes	Yes	4, 4b, 4c
Program Enrollment Type	Learner is enrolled in the following programs or institutions:	Yes	Yes	3
Program Enrollment Type -Adult Basic Education Program	A program of instruction designer for adults who lack competence in reading, writing, speaking, problem solving, or computation at a level necessary to function in society, on a job, or in the family.	Yes	Yes	3
Program Enrollment Type -Adult Basic Education - Integrated Educational Training Program	A service approach that provides adult education and literacy activities concurrently and contextually with workforce preparation activities and workforce training for a specific occupation or occupational cluster for the purpose of educational and career advancement.	Yes	Yes	3
Program Enrollment Type -Adult Secondary Education Program	A program of instruction designed for adults who have some literacy skills and can function in everyday life but who are not proficient or do not have a certificate of graduation or its equivalent from a secondary school.	Yes	Yes	3

Appendix G: Data Dictionary

Element Name	Definition	Currently Collected	NRS Implement. Guidelines	NRS Table
Program Enrollment Type -Adult Secondary Education - Integrated Educational Training Program	A service approach that provides adult education and literacy activities concurrently and contextually with workforce preparation activities and workforce training for a specific occupation or occupational cluster for the purpose of educational and career advancement.	Yes	Yes	3
Program Enrollment Type-ELAA Program	A program of instruction designed to help adults with limited English proficiency achieve competence in the English language.	Yes	Yes	3
Program Enrollment Type -ELAA - Integrated Educational Training Program	A service approach that provides adult education and literacy activities concurrently and contextually with workforce preparation activities and workforce training for a specific occupation or occupational cluster for the purpose of educational and career advancement.	Yes	Yes	3, 11
Program Enrollment Type-Integrated English Literacy and Civics Education Program	Education services provided to English language learners who are adults, including professionals with degrees and credentials in their native countries, that enables such adults to achieve competency in the English language and acquire the basic and more advanced skills needed to function effectively as parents, workers, and citizens in the United States. Such services shall include instruction in literacy and English language acquisition and instruction on the rights and responsibilities of citizenship and civic participation, and may include workforce training.	Yes	Yes	3, 9
Program Enrollment Type-Integrated English Literacy and Civics Education - Integrated Education Training Program	IELCE+T program provided to English language learners who are adults, including professionals with degrees and credentials in their native countries that enable such adults to achieve competency in the English language and acquire the basic and more advanced skills.	Yes	Yes	3
Program Enrollment Type-Correctional Education Program	A program of ABE, ASE, or EL instruction for adult criminal offenders in correctional institutions.	Yes	Yes	6, 10
Program Enrollment Type-Family Literacy Program	A program with literacy component for parents and children or other intergenerational literacy components.	No	Yes	6
Program Enrollment Type-Workplace Literacy Program	A program designed to improve the productivity of the workforce through improvement of literacy skills needed in the workplace.	No	Yes	6

Appendix G: Data Dictionary

Element Name	Definition	Currently Collected	NRS Implement. Guidelines	NRS Table
In Correctional Facility	Any prison, jail reformatory, work farm, detention center, or any other Federal, State, or local institution designed for the confinement or rehabilitation of criminal offenders	Yes	yes	6
In Community Corrections Program	A community-based rehabilitation facility or halfway house.	Yes	yes	6
In Other Institutional Programs	Any other medical or special institutions	Yes	yes	6
Program Enrollment Type-Distance Education	Formal learning activity where students and instructors are separated 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 recording, videotape, broadcasts, computer software, web-based programs and other online technology. Teachers support distance learners through communication via mail, telephone, e-mail or online technologies and software.	Yes	yes	4c, 5a
Measurable Skills Gain	The percentage of program participants who, during a program year, are in an education or training program that leads to a recognized postsecondary credential or employment and who are achieving measurable skill gains, defined as documented academic, technical, occupational, or other forms of progress, towards such a credential or employment. Depending on the type of education or training program, documented progress is defined as one of the following: a) Documented achievement of at least one educational functioning level of a participant who is receiving instruction below the postsecondary education level; b) Documented attainment of a secondary school diploma or its recognized equivalent; c) Secondary or postsecondary transcript or report card for a sufficient number of credit hours that shows a participant is meeting the State unit's academic standards ; d) Satisfactory or better progress report, towards established milestones, such as completion of OJT or completion of one year of an apprenticeship program or similar milestones, from an employer or training provider who is providing training; or e) Successful passage of an exam that is required for a particular occupation or progress in attaining technical or occupational skills as evidenced by	Yes	Yes	4, 4a, 4b, 4c, 9, 10, 11, SPR

Appendix G: Data Dictionary

Element Name	Definition	Currently Collected	NRS Implement. Guidelines	NRS Table
	trade-related benchmarks such as knowledge-based exams.			
Employment Second Quarter After Exit	The percentage of participants who are in unsubsidized employment during the second quarter after exit from the program (for title I Youth, the indicator is the percentage of participants in education or training activities, or in unsubsidized employment during the second quarter after exit)	Yes	Yes	4, 4a, 4b, 4c, 9, 10, 11, SPR
Employment Fourth Quarter After Exit	The percentage of participants who are in unsubsidized employment during the fourth quarter after exit from the program (for title I Youth, the indicator is the percentage of participants in education or training activities, or in unsubsidized employment during the fourth quarter after exit)	Yes	Yes	4, 4a, 4b, 4c, 9, 10, 11, SPR
Median Earnings Second Quarter After Exit	The median earnings of participants who are in unsubsidized employment during the second quarter after exit from the program	Yes	Yes	4, 4a, 4b, 4c, 9, 10, 11, SPR

Appendix G: Data Dictionary

Element Name	Definition	Currently Collected	NRS Implement. Guidelines	NRS Table
<p>Attained a Secondary School Diploma/Recognized Equivalent and Enrolled in Postsecondary Education or Training within one year of exit</p>	<p>The percentage of those participants enrolled in an education or training program (excluding those in on-the-job training (OJT) and customized training) who attain a recognized postsecondary credential or a secondary school diploma, or its recognized equivalent, during participation in or within one year after exit from the program. A participant who has attained a secondary school diploma or its recognized equivalent is included in the percentage of participants who have attained a secondary school diploma or its recognized equivalent only if the participant also is employed or is enrolled in an education or training program leading to a recognized postsecondary credential within one year after exit from the program</p>	<p>Yes</p>	<p>Yes</p>	<p>4, 4a, 4b, 4c, 9, 10, 11, SPR</p>
<p>Attained a Secondary School Diploma/Recognized Equivalent and Employed within one year of exit</p>	<p>The percentage of those participants enrolled in an education or training program (excluding those in on-the-job training (OJT) and customized training) who attain a recognized postsecondary credential or a secondary school diploma, or its recognized equivalent, during participation in or within one year after exit from the program. A participant who has attained a secondary school diploma or its recognized equivalent is included in the percentage of participants who have attained a secondary school diploma or its recognized equivalent only if the participant also is employed or is enrolled in an education or training program leading to a recognized postsecondary credential within one year after exit from the program</p>	<p>Yes</p>	<p>Yes</p>	<p>4, 4a, 4b, 4c, 9, 10, 11, SPR</p>
<p>Attained a Postsecondary Credential while enrolled or within one year of exit</p>	<p>The percentage of those participants enrolled in an education or training program (excluding those in on-the-job training (OJT) and customized training) who attain a recognized postsecondary credential or a secondary school diploma, or its recognized equivalent, during participation in or within one year after exit from the program. A participant who has attained a secondary school diploma or its recognized equivalent is included in the percentage of participants who have attained a secondary school diploma or its recognized equivalent only if the participant also is employed or is enrolled in an education or training program leading to a recognized postsecondary credential within one year after exit from the program</p>	<p>Yes</p>	<p>Yes</p>	<p>4, 4a, 4b, 4c, 9, 10, 11, SPR</p>

Appendix G: Data Dictionary

Element Name	Definition	Currently Collected	NRS Implement. Guidelines	NRS Table
Attained Any Credential (Unduplicated)	The unduplicated total number of participants who EITHER: (1) did not possess a secondary school credential or recognized equivalent and exited during the program year who entered at, or advanced into, a secondary school level program (9th grade equivalent or higher) OR (2) were co-enrolled in a postsecondary education or training program leading to a recognized postsecondary credential and exited that postsecondary training program; not included are participants who exited due to the exclusions listed in OCTAE Program Memorandum 17-2 Attachment 2: Table A or incarcerated individuals under section 225 who exited the AEFLA program but remain incarcerated.	Yes	Yes	5, 5a
Initial Assessment	The initial assessment administered to students to determine proficiencies in basic skills. The results guide placement into the appropriate instructional program and establish entering educational functioning level (EFL).	Yes	Yes	N/A
CLAS-E	English proficiency assessment to measure students' reading, listening, writing, and speaking skills.	Yes	No	N/A
TABE 11&12	ABE/ASE assessment used to measure achievement of basic skills commonly found in adult education curricula taught in high school and adult instructional programs.	Yes	No	N/A
Test Name	The assessment Form and Content Area taken by the student	Yes	No	N/A
TABE 11&12 Level/Version	Levels of the TABE 11&12 assessments that are available (L,E,M,D,A)	Yes	No	N/A
CLAS-E Form/Level	Levels of the CLAS-E assessment are 1, 2, 3, 4 that are available for Form A or B	Yes	No	N/A
Date	Date the student took the assessment	Yes	No	N/A
Score	The Scale Score of the assessment taken by the student	Yes	No	N/A
How Did You Learn about the Adult Education Program?	Participant reports how they learned about the Adult Education program	Yes	No	N/A
Children in Local School System	The participant's child(ren) is(are) enrolled in the local school system	Yes	No	N/A
On Probation	Participant is on court-ordered probation	Yes	No	N/A

Appendix G: Data Dictionary

Element Name	Definition	Currently Collected	NRS Implement. Guidelines	NRS Table
Veteran of Armed Forces	Participant holds veteran status after serving in a branch of the U.S. armed forces	Yes	No	N/A
Reportable Individual	Individuals in an AEFLA program who have not completed at least 12 contact hours	Yes	Yes	2A
Participant	When a reportable individual in an AEFLA program has completed at least 12 contact hours, he or she is considered a participant.	Yes	Yes	All tables except 2A
Period of Participation (PoP)	For all indicators, except Measurable Skill Gains, a period of participation refers to the period of time beginning when an individual becomes a participant and ending on the participant's date of exit from the program.	Yes	Yes	All tables except 2A
Post Test or Progress Test	The post-test or progress test administered to a student to determine if the student has increased their level of knowledge in basic skills. The results guide appropriate instruction, determine the current educational functioning level, and may lead to an MSG being earned.	Yes	Yes	4b
Career Services	Count of participants served during the period of the report who received Career Services only.	Yes	Yes	SPR
Training Services	Count of participants served during the reporting period who received training services.	Yes	Yes	SPR

Year One Draft

Exhibit 1: HSE Pathways

THREE WAYS TO EARN A HIGH SCHOOL EQUIVALENCY DIPLOMA

CHOOSE FROM THREE PATHWAYS:

1 **GED® TEST PATHWAY**
 Candidate** must pass the 4 subtests (Math, Language Arts, Social Studies, and Science) with a minimum score of 145 in each subject area. Pass the Arizona Civics Test with a minimum score of 60*.

2 **HSE PLUS CAREER READINESS PATHWAY**
 The Adult Education student** must accumulate and document 22 points in two areas (Academic Readiness and Career Readiness) through a variety of different sources. Pass the Arizona Civics Test with a minimum score of 60*.

3 **COLLEGE CREDIT PATHWAY**
 Candidate** must earn 25 college credits in 6 specific subject areas. Classes must be at least at the 100+ level with a passing grade letter of 'C' or above. Pass the Arizona Civics Test with a minimum score of 60*.



ARIZONA HIGH SCHOOL EQUIVALENCY DIPLOMA

IMPORTANT

*As mandated per A.R.S. § 15-701.01, any person wishing to obtain an Arizona High School Equivalency Diploma must pass the Arizona Civics Test.

**Per A.R.S. § 15-702, individuals must be sixteen years of age or older and not enrolled in school, and lack a high school diploma, to be eligible to any of the three HSE pathways in Arizona.

STUDENTS IN ARIZONA NOW HAVE THREE WAYS TO EARN A HIGH SCHOOL EQUIVALENCY (HSE) DIPLOMA.

1. GED® TEST PATHWAY

Individuals sixteen years of age or older, not enrolled in secondary school or required to be enrolled in secondary school, and lack a high school diploma, can earn their High School Equivalency Diploma by passing the 4 GED® tests along with the AZ Civics Test. You don't have to take all tests at once - you can space them out and go at your own pace.

Test Subjects:

- Reasoning Through Language Arts
- Mathematical Reasoning
- Science
- Social Studies
- Arizona Civics

2. HSE PLUS CAREER READINESS PATHWAY

Individuals sixteen years of age or older, not enrolled in secondary school or required to be enrolled in secondary school, lack a high school diploma, and enrolled in WIOA Title II Adult Education programs can earn their HSE Diploma through the HSE PLUS Career Readiness Pathway by demonstrating Academic Readiness (14 points) and Career Readiness (8 points), for a required total of 22 points*.

* Eligible individuals must be actively enrolled in a WIOA Title II Adult Education provider. Application submission will be completed through the eligible Adult Education program.

3. COLLEGE CREDIT PATHWAY

To be eligible for the College Credit Pathway, individuals must be sixteen years of age or older, not enrolled in secondary school or required to be enrolled in secondary school, and lack a high school diploma*.

Requirements:

- Earn 25 college credits in specific areas.
- Courses must be at the 100-course level or above.
- Passing grade letter of 'C' or above.
- Credits must be earned at or validated by an Arizona public state university or community college.
- Pass the Arizona Civics Test.

* It is the applicant's responsibility to work with an academic advisor at an eligible institution to ensure that all coursework meets the credit requirements of the College Credit Pathway.



More Information:

Arizona Department of Education Adult Education Services | 1535 W Jefferson St, Phoenix, AZ 85007
<http://www.azed.gov/adultedservices/hse/> | Phone number: (602) 258-2410

