

WIOA Title II Administrator
Arizona Adult Education

Local Provider
Technical Assistance Guide



Program Year 2024 - 2025

Version 4.1

Arizona Department of Education – Adult Education Services

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The Provider Technical Assistance Guide (PTAG) is intended 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 needed topics.
 - 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.

Version 4.1 – Released November 2024

The version number indicates that this is the fourth year of the document and the first iteration. As bigger changes are made throughout the program year, we will release subsequent iterations, highlighting any changes to help them to stand out.

As you use this document, please make note of the following and send them to your program director or ADE-AES liaison.

- areas where more clarification may be needed
- additional topics that will be helpful
- errors (broken links, typos, etc.)

It is our goal to make this document as useful to you as possible - a collaborative approach will go a very long way in making that happen!

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:

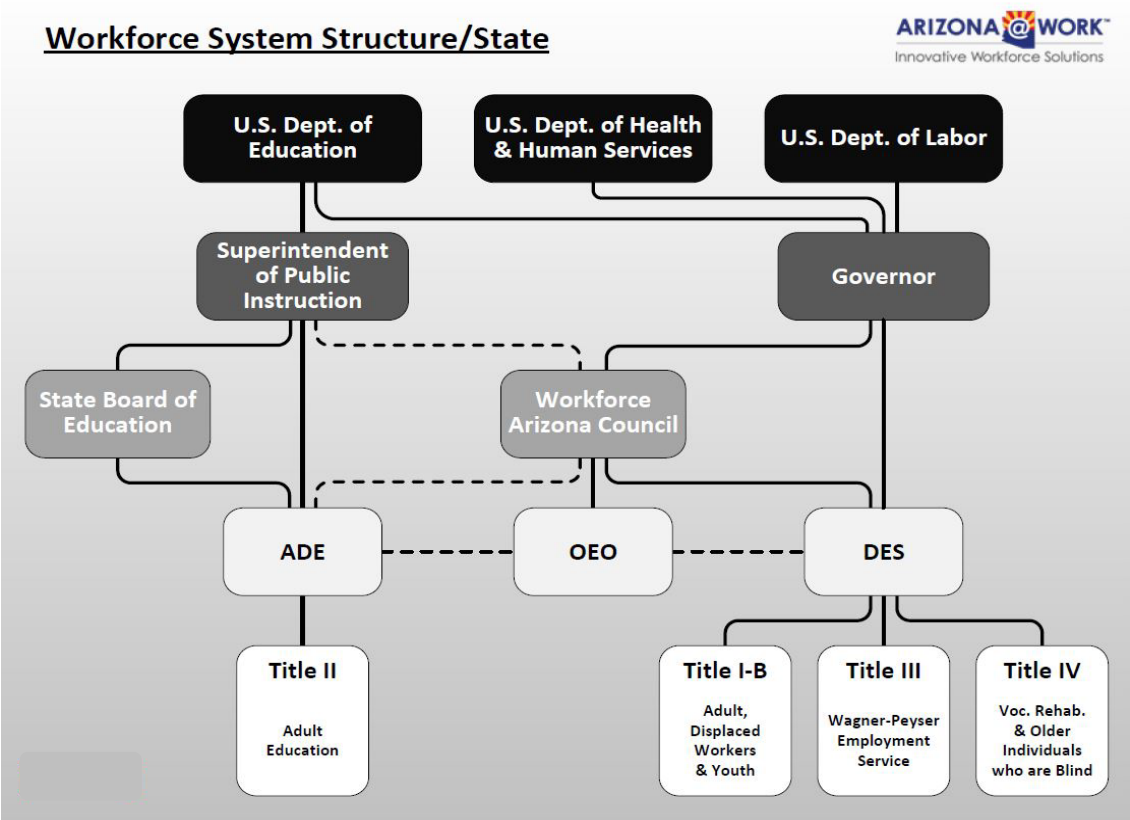
- Have attained 16 years of age *and*
- Are not enrolled, or required to be enrolled, in secondary school as described in [A.R.S. 15-802](#)
- Are lawfully present in the United States, per [A.R.S. 15-232\(B\)](#)
- Identify as at least one of the following
 - basic skills deficient (literacy and/or 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-B, 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). Services provided under each title include the following:

- **Title I-B: Adult, Dislocated Worker, and Youth Employment Services**
 - The **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.
 - The **Dislocated Worker** program is designed to help displaced employees 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 responsible for coordinating all youth-related workforce programs that serve young adults ages 16-24 who face a variety of barriers to employment.
- **Title III: Employment Services**
 - Also referred to as **Wagner-Peyser**, Employment Services 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**
 - The **Vocational Rehabilitation** (VR) program provides services to individuals with disabilities with the goal to prepare for, enter into, and/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 a critical 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@WORK Workforce System.

Arizona 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 strategies and priorities as they pertain 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 at the state and local workforce area levels. Under the guidance of Arizona's State Workforce Board, the Workforce Arizona Council (WAC), this framework became the [Arizona State Plan, Program years 2024- 2025 through 2027 – 2028](#) and was submitted to the U.S. Department of Labor (USDOL) and the U.S. Department of Education (USDOE). 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 WIOA 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 and literacy 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](#)

This section contains each grant requirement, as published in the *Request for Grant Application Guidance Document*, and includes simplified language and guidance.

In addition to meeting each of the grant requirements, grantees must also adhere to the Federal and State Assurances, as documented in [Appendix A](#).

Financial and Grants Management Requirements

1. Grant Funds – Appropriate Use

The grantee must use state-allocated funds to carry out activities in a manner consistent with the WIOA Title II, A.R.S. § [15-232](#) and [15-234](#), Arizona Workforce Development Plan, Code of Federal Regulations (CFR) 200, and Education Department General Administrative Regulations (EDGAR).

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

2. Grant-Purchased Equipment and Supplies

The grantee must use equipment and supplies that have been purchased with state-allocated funds primarily for approved delivery of WIOA Title II services.

- Items such as curriculum and assessment licenses, are to be used for providing services under WIOA Title II to students eligible for those services.

3. Maximum Administration Expenditure

The grantee will not exceed 5% for administration costs but may request to negotiate for a higher rate.

- The cost of administering the program may not exceed 5% of the total grant award. This may be negotiable; contact Fiscal Services for additional information.

4. Professional Learning Set-Aside

The grantee must budget and expend the state-allocated Professional Learning Set-Aside grant funds 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 state-allocated Professional Learning Set-Aside grant 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
- Programs must budget and expend 10% of their grant award PLUS any *earned income* (see below for explanation) on professional learning (PL) 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 Teaching & Learning prior to registering (or otherwise encumbering funds) in order to use grant funds for these expenditures.
 - This [FORM](#) must be submitted not less than 10 business days prior to approval being needed.
 - Other funds, such as from the parent organization, may be used for attending out-of-state conferences without prior approval.

5. Local Match

The grantee must provide a minimum of 25% local match for state-allocated grant funds. Local match can be cash or in-kind contributions. Federal funds and earned income may not be used for local match.

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

Section 2: Grant Requirements

- 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 (see #6 below)
- Set-aside awards that do **not** require a match
 - Workforce System
 - One-time supplemental grants
 - One-time WIOA grant

6. Earned Income and Its Allowable Use

The local provider must 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.

- “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.
 - The year-end detailed accounting will be submitted in the GME.

7. Supplement Not Supplant

The local provider must supplement and not supplant other State or local public funds expended for adult education and literacy activities under WIOA Title II.

- 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 the local provider intends to charge Supplemental Fees as described in [A.R.S. 15-234 D](#), ADE-AES must approve the Supplemental Fees Application. The application may be submitted as part of this grant application or may be submitted at a later date. Supplemental fees **may not** be charged by local providers without ADE-AES approval.*

- If a program wishes to charge Supplemental Fees to students, the following steps must be taken.
 1. Review the [Arizona Adult Education Supplemental Fee Guidelines](#) document to gain depth of understanding of Provider Responsibilities associated with charging fees.
 2. Request a Supplemental Fees Application from your program liaison.
 3. Complete the application following [Arizona Adult Education Supplemental Fee Guidelines](#).
 4. Submit completed application to the program’s liaison.
- Key requirements of collecting supplemental fees include:
 - Under no circumstances may fees be collected without prior approval from ADE-AES.
 - The fee structure must include a sliding scale that takes into account accessibility for all students.
 - If the Supplemental Fees application is approved, an announcement that fees will be charged must be posted no fewer than 90 days prior to implementing the fee structure.
 - Fees must be collected consistently from all students receiving services

- Any fees collected must **supplement** the services the program currently provides and may not take the place of, or supplant, other funding.
- Approval expires at the end of a grant contract cycle (e.g., June 30, 2028).

9. Individuals in Corrections or Other Institutions (Sect. 225)

If the local provider has applied for and was approved for Section 225 state-allocated funds, the local provider must 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 be released from the correctional institution within five years of participation.

- 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)

If the local provider has applied for and was approved for Section 243 state-allocated funds, the local provider must 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.

- 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 2024 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 ESOL 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 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:

- a. 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.*

Property Records must be kept for any equipment whose fair market value is \$5,000 per unit or greater.

- Records must include
 - description(s), including descriptions, 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.

- b. Maintaining inventory records for supplies (computing devices and equipment less than \$5,000 per unit) as described under property records.*

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.

- c. 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.*

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

- d. 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.*

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.
- e. *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.*

Risk Assessment: ADE-AES Evaluation of Noncompliance Risks

ADE-AES is required to conduct an assessment of grantees 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 program year.

Fiscal risk factors that are taken into consideration include

- Dollar amount of grant award
- History of findings during audits, including Single Audits
- Length of time since last comprehensive monitoring

Programmatic risk factors that are taken into consideration include

- Number of years program has been funded under WIOA
- Program performance
- Length of time in position of program director
- History of corrective action items
- History of timely submission of reports, including monthly data confirmation

- 11.6. *Adhering to and following general provisions for selected items of cost in determining allowable or unallowable costs. 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).*

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.

Memoranda of Understanding (MOU) with Local Workforce Boards Requirements

Purpose of the MOU/IFA: To ensure that access to services are available to all participants served under WIOA through the ARIZONA@WORK system, thus improving the opportunity for positive employment outcomes. More specifically for adult education students, the partnerships have the potential to assist 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

It should be noted that, while one-stop centers carry the signage for ARIZONA@WORK, Title II services provided by adult education grantees are a core, required part of this system.

Once the MOU, including the IFA, meet the satisfaction of the Title II provider(s), it must go ADE-AES for approval and signing by the Deputy Associate Superintendent of Adult Education Services (aka State Director of Adult Education) and the ADE Chief Procurement Officer.

NOTE: In LWAs where there are multiple Title II service providers, it will be up to the provider and LWDB whether there will be separate MOU/IFA with each Title II provider or a single agreement that includes input from all.

ADE-AES will provide support and guidance as needed to facilitate this process.

12. MOU/IFA Requirements

ADE requires each funded Title II provider to:

- f. 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)*

MOU: An MOU must exist in each local workforce area (LWA), and Title II service providers must take part in the process of finalizing the MOU in each LWA for which they are funded to provide services. Typically, the executive director of each LWDB drives the writing of the MOU between partners, including core partners.

- MOU may include:
 - A comprehensive referral system
 - Shared customer-base
 - Shared system costs and co-location when appropriate
 - Other shared services
- Sample MOU may be found [HERE](#).

- g. Contribute from the federal funds reserved for local administration (an amount not to exceed 5% 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)*

IFA: Contribute to the Infrastructure Agreement (IFA) from the federal funds reserved for local administration

- The IFA must be a part of the MOU, even if an addendum.
- The **workforce set-aside** award must be used only to support the ARIZONA@WORK system (34 CRF 361.720).
 - See program's **Final Award Letter, page 5**, for set-aside amount
 - If the program is funded to serve more than one workforce area, the amount shown on the award letter must be shared between the areas, allocated proportionally to the number of students expected to be served in that area.
 - Contribution must not exceed 5% of grant award
- h. 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.*

12.4. *Earning postsecondary certificates/degrees or obtaining guidance on how to make career choices.*

Contribution must be proportionate to the benefit received by individuals receiving Title II services. Examples of ways to use workforce set-aside funds include:

- Purchasing TABE and TABE CLAS-E licenses for use by the one-stop center
 - We highly encourage the MOU to include the requirement that one-stop staff be certified by ADE-AES to administer TABE testing if this option is used.
- Supporting the cost of career counselors to provide services at the Title II location(s)
- Assist with training and materials costs for students participating in IET that have such expenses.

Program Administration and Operations Requirements

13. Annual Performance Requirements

The local provider must meet annual performance targets for Measurable Skill Gains and other performance outcomes as required under WIOA.

See [Primary Indicators of Performance](#).

14. Adult Education Provider Website

The local provider must establish and maintain a website with current information on adult education services.

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)
- Instructional Delivery options (e.g., face-to-face, virtual, Hyflex, hybrid)
- Schedule options
- Pathways to the High School Equivalency Diploma

15. Program Director Availability

The local provider director/administrator (or designee) with decision-making authority must be available 12 months of the year to make programmatic decisions, submit reports, and communicate with ADE-AES personnel as required.

The program director must be available throughout the program year (July 1 – June 30) to oversee program operations. In the event 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). Program liaisons must be notified in advance of any director absences expected to be more than two business days.

16. Program Director as Full Time Position

The local provider director/administrator position must be a full-time position.

Due to the level of responsibility and multiple aspects of carrying out Title II service delivery, it is required that the Program Director be a full-time, dedicated position.

17. Change in Key Personnel

In the event of a change in leadership or other key personnel, the local provider must notify ADE-AES of the change within two business days.

Within **two business days** an email must be sent to the provider's assigned liaison with the following information:

- Last date of employment
- Name, role, and email address of individual who will oversee responsibilities until a replacement is hired.
- Confirmation that
 - AAEDMS access has been deactivated
 - Access to any online curricula has been removed or that a request to do so has been submitted to the ADE-AES Teaching & Learning Team

- Access to Insight, GED Manager, and any other account that contains student information has been disabled

18. Year-Round Services

The local provider must 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.

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
 - Uninterrupted support 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 notified at least 30 days in advance to assist with ensuring services will be provided by another ADE-AES-approved provider.
- Enrollment and Registration
 - Must be ongoing
 - When late in program year, asynchronous instruction is permitted to be sole source of instruction until a new class session begins.
 - Other supportive activities *must* accompany asynchronous instruction
 - Meeting with success coaches, career navigators, etc.

19. Supporting the Selection of a Pathway to the HSE Diploma

The local provider will ensure a process to assist eligible adult education participants in determining the most appropriate of the [three pathways](#) to attain an Arizona High School Equivalency (HSE) Diploma.

NOTE: It is not appropriate to assume that all students will take the GED® testing pathway, nor to refer to students or classes as “GED students” or “GED classes.”

Programs must follow their written process explaining how/when the HSE diploma will be discussed with students. Every incoming student who is seeking the HSE diploma must be counseled on the three pathways to the diploma.

- GED® testing
- HSE PLUS Career Readiness
- College Credit

Key questions may include

- Are you planning to seek a college degree?
- Do you have any college credits already
- Do you have any high school credits?
- Have you already passed any of the GED® subtests?
- Do you have work experience?
- Do you have any industry-recognized credentials?

Additional information is available in the course “Pathways to the High School Equivalency (HSE) Diploma (Program Year 2024 - 2025).” Registration is available in the APLD and is free of charge.

20. Class Location Change Request

The local provider director/administrator must obtain approval from ADE-AES prior to making a change in any class/site or location.

Should the local provider wish to make a change in site or location where classes will be held, including openings or closures, a **Location Change Request** form must be requested from the program liaison. Once completed, it should be returned to the liaison. The approval process includes the following:

1. Review by program liaison
2. Review by Director of Program Operations & Accountability
 - a. If the change would have no fiscal impact, director approves or denies.
 - b. If there is a potential for fiscal impact, director forwards to Director of Fiscal Services for review.
3. Program is notified of approval or denial.

If the request is approved, the following steps must be taken.

- Liaison will provide information to Data Specialist to ensure AAEDMS is updated as needed.
 - Program should confirm accuracy upon completion of the update.
- Liaison will provide information to ADE-AES webmaster for appropriate updates to ADE-AES website.
 - Program should confirm accuracy upon completion of the update.
- Program should ensure their own website reflects changes to service locations as appropriate.

21. Program Operations Plan

The local provider must submit to ADE-AES a program operations plan, including a class schedule, annually.

The Program Operations Plan is intended to be a summary of program operations, including the following

- Names and contact information for individuals fulfilling Key Personnel roles/Key Responsibilities.
- Class Scheduling
- Key processes, including
 - Intake/orientation
 - Administering assessments
 - Ensuring data quality

22. Record Retention

The records listed [pg. 36-37 of Grant Application Guidance Document] must be accessible to ADE-AES for purposes of auditing. (2 C.F.R. § 200.333)

Records noted below, in either hard copy or digital, must be made available to ADE-AES for purposes of auditing.

NOTE: The time frames listed below remain in place in the event the grant contract is ended by either the grantee or ADE. (See [Ending a Grant Contract](#) for additional information.)

The time period for each category begins from the date of submission of the **final expenditure report**.

- **3 Years:**
 - All Financial records and 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)
- 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/teacher attendance records
 - 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 but 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 beyond the date of the Final Expenditure Report.*

Teaching and Learning Requirements

23. Adult Education Teacher Standards

*The local provider will fully implement the **Arizona Adult Education 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](#)

24. Teacher Proficiency Assessment(s) Compensation

The local provider will compensate adult educators for successfully passing one or more of the Arizona Adult Education 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](#)

For teachers already employed by the adult education program, assessment fees can be paid for from the Professional Learning set-aside and should be reported as a PL activity.

Should the program wish to pay a stipend for passage of a test or increase wages as a result of passage, that must be coded as “Salary” and may not come from the PL set-aside.

It is highly encouraged that the program establish any practice of paying for the assessment to be limited at one attempt per assessment per teacher.

NOTE: If teachers have paid for these assessments prior to this guidance or been otherwise compensated, the program should apply any new practice retroactively. If additional guidance is needed, please contact Fiscal Services through the AdultEd@azed.gov inbox.

25. Compensation for Required PL Activities

The local provider will compensate all adult educators for required Professional Learning activities, which focus on improving teacher effectiveness.

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.

26. Required Training and Events

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.*

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

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

27. Professional Learning Standards

*The local provider will use ADE-AES funds to plan, implement, and evaluate professional learning for adult educators aligned to the **Learning Forward 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:

- Professional Learning Implementation Plan (PLIP)
 - 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
 - Final version of PLIP

[For more information, see Preparing and Submitting Plans and Reports.](#)

28. Aligning Curriculum and Instruction to Adult Education Content Standards

*The local provider will ensure that print and digital curricular resources used for instruction are aligned to **Arizona Adult Education Content Standards**.*

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

- [Arizona Adult Education Standards Science](#)
- [Arizona Adult Education Literacy Through Social Studies Standards](#)
- [Arizona Adult Education Standards for English Language Arts \(ELA\)](#)
- [Arizona Adult Education Standards for Mathematics](#)
- [Arizona Adult Education Standards for English Language Proficiency \(ELP\)](#)
- [International Society for Technology in Education \(ISTE\) standards](#)

29. 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.

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

30. Blended Learning

The local provider will implement blended learning and evidence-based instruction for adult learners.

Blended learning is learning that contains both synchronous and asynchronous components. The asynchronous component must complement the synchronous component in order to extend learning as independent practice.

- “Synchronous” is instruction where the student and teacher work together, whether or not they are in the same physical place.
 - Examples of synchronous instruction
 - face-to-face/in-person class
 - Zoom class
- “Asynchronous” is instruction is “homework” and must be built on instruction that took place synchronously in order to extend learning beyond synchronous instruction.
 - In order for asynchronous instruction to be entered as attendance, it must follow one of the three approved models.
 - Clock Time
 - Learner Mastery
 - Teacher Verification Model
 - See [Appendix H: AAEDMS, Classes, and Attendance](#) for more information on entering attendance hours.

The current grant period began on July 1, 2024, and it will terminate on June 30, 2028. Grant years are as follow:

- **Program Year* 1:** July 1, 2024 – June 30, 2025
- **Program Year* 2:** July 1, 2025 – June 30, 2026
- **Program Year* 3:** July 1, 2026 – June 30, 2027
- **Program Year* 4:** July 1, 2027 – June 30, 2028

Continuation of funding is based on successful delivery of adult education services to the target populations and the achievement of annual performance requirements. Grant recipients that do not meet grant requirements risk loss of funding at any point in the grant period. (See [Continuation of Funding](#) below for more detail.)

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*

Period of Participation (PoP)

The period of time beginning when an individual who has enrolled in adult education has attained 12 contact and attendance hours* and ending on the participant’s last date of services.

- Exit = The last date of service.
 - Cannot be determined until at least 90 days have passed since the qualified participant last received services
 - Services do NOT include the following
 - Self-service
 - Information-only contact
 - Follow-up services for collection of post-exit data
- An individual may have multiple PoPs in a single program year.

PoPs, rather than individual students (since a student can have more than one PoP), are used to determine most performance measures. There are rare exceptions to this rule.

*Those individuals who enrolled but not yet attained 12 contact/attendance hours are referred to as **Reportable Individuals** for reporting issues.

Exclusion from Performance Indicators

There are five situations that exclude some students/PoPs from being counted in performance data. This happens automatically when relevant barriers to employment and other demographic data is marked in AAEDMS.

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

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

2. **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
- 3. **Medical Treatment**
 - Individuals 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
- 4. **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
- 5. **Death**

Primary Indicators of Performance

Adult education providers funded under the Grant must meet minimum requirements for accountability and performance as set forth by the Office of Career, Technical, and Adult Education (OCTAE) – Division of Adult Education and Literacy (DAEL), as part of continuation of funding throughout the Grant cycle. Minimum requirements for the current program year can be found in [Appendix D](#).

There are five situations that would exclude exclusions participants from being counted in this data, all of which are rare.. See [Exclusions from Performance Indicators](#) below.

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 requirements** for the following two program years will be. These are the same requirements 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)

MSGs are performance indicators intended to show an individual's progress toward achieving employment in a livable-wage job, perhaps on a career pathway by earning a credential, such as an HSE diploma or industry-recognized training certificate. There are five types of MSGs, described below.

MSG 1: Educational Functioning Level (EFL) Advance

1a. Pre- and Post Testing

Accomplished through establishing an *entering* EFL through taking a pretest (aka "initial test") and then demonstrating advancement through post testing (aka "progress testing"). For detailed information on testing, see [Arizona Adult Education Assessment Policy](#).

- **Evidence** of the MSG will be documented in AAEDMS through automatic test imports from DRC's Insight.
- In the event that a test score does not import correctly due to a reason other than a system issue, the [Manual TABE Score Entry Request](#) form must be completed.
 - In the case of a system issue, a support ticket should be submitted to Benchmark, the vendor for AAEDMS.

1b. Carnegie Units

- Not implemented in Arizona

1c. Entry into postsecondary education or Training

- Accomplished by entering into college-level coursework or training at the postsecondary level while enrolled **OR**
- After exiting the program **AND**
- In the same program year
- May be awarded only once for an individual student, regardless of subsequent periods of participation (PoPs).
- **Evidence** of the MSG will be documented in AAEDMS
 - Transcript or other documentation will be uploaded by the program to the student's portfolio.
 - ADE-AES must approve documentation.

1d. Passing a Subtest of the GED® Exam – **NEW as of June 2024!**

- **Evidence** of the MSG earned happens through data match between the Arizona High School Equivalency system and AAEDMS.

MSG 2: Earning a Secondary Diploma or Its Equivalent

- The High School Equivalency (HSE) diploma MSG can be earned through any of the three pathways
 - Passing the GED® exam
 - HSE PLUS Career Readiness
 - College Credit
- See the ADE-AES [website](#) 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
- All three pathways require meeting the legislated **Civics requirement**.
 - Passing GED® Civics test **or** providing a high school transcript to ADE-AES
 - **NOTE:** An official, sealed transcript from the school where the test was passed must be sent to ADE-AES. This is typically done by a request from the student directly to the school, who sends it to ADE-AES.

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Bin #26
Phoenix, AZ 85007

The next three MSG types apply only to students enrolled in IET or [workplace literacy](#) programs. There must be an IET registration for the student in order to award these MSG types.

MSG 3: Transcript or Progress Report of Secondary or Postsecondary Credits

- See additional information on [IET](#) below
- Applicable to students enrolled in IET programs only.
 - Typically applies to students enrolled in adult education programs that are part of a community college.
 - AE programs that are not part of a community college may partner with a college to co-enroll students.
- Students take for-credit courses, such as the training component of an 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.

MSG 4: Progress toward Employment of Training Milestones

- Applicable to students enrolled in workplace literacy or IET

- See additional information in [Workplace Literacy](#) below
- May be used for “sub-certificates,” “pre IET” or bridge programs
 - Examples include:
 - NRF Customer Service certificate
 - OSHA 10
 - CPR

MSG 5: Passing Technical/Occupational Knowledge-Based Exam

- See additional information on [IET](#) and industry-recognized credentials below
- Applicable to students enrolled IET programs *only*.
- 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
- Appropriate documentation will be uploaded to the student’s AAEDMS portfolio for ADE-AES approval in order for the MSG to be earned.

Reporting 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 gain earned in a program year for a Period of Participation (PoP) will be used to calculate the **MSG Rate** on Table 4. The Statewide Performance Report can be run for the program to see all MSGs earned by type. See [Appendix B: NRS Reporting Tables \(Federal Tables\)](#) for more information.

Post-Exit Indicators

Post-exit indicator data is gathered for all periods of participation (PoPs) no matter the reason for exit. Post-exit performance data is shown on [Federal Table 5](#). While these indicators are complex, all calculations will be done automatically in AAEDMS once basic data has been entered. See [Collecting Post-Exit Data](#) below.

Employment Rate 2nd Quarter After Exit

Employment information will be gathered through data match or follow-up survey during the three-month period immediately following the 2nd quarter after exit (see [Appendix E](#)).

- Example:
 - A student exits the program in May 2024 (4th quarter of PY 2023 – 2024).
 - The 2nd quarter after exit would be October – December of 2024.

Employment Rate 4th Quarter After Exit

Employment information will be gathered through data match or follow-up survey during the three-month period immediately following the 4th quarter after exit (see [Appendix E](#)).

- Example:
 - A student exits the program in May 2024 (4th quarter of PY 2023 – 2024).
 - The 4th quarter after exit would be April – June of 2025.

Median Earnings 2nd Quarter After Exit

Employment information will be gathered through data match or follow-up survey during the three-month period immediately following the 2nd quarter after exit (see [Appendix E](#))

- If using the Survey method and Outcome Call List, this information is gathered *at the same time* as the employment data for 2nd quarter after exit is collected.
- **If individual declines sharing income information, it should be entered as \$1.00.**

Note: Only the individual's wage information will be collected for this indicator. *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.

Attainment of a Secondary Diploma or Its Recognized Equivalent

This indicator applies to exited students who

- Were placed at ABE 5 or 6 upon program entry
OR
- Advanced to ABE 5 or 6 prior to exit
AND
- Were employed **OR** enrolled in postsecondary education and training
AND
- Exited the program prior to earning the secondary/HSE diploma
AND
- Earned the secondary diploma within one year of exiting.

Note: If using the Survey method and Outcome Call List, all of this will be calculated automatically in AAEDMS after the responses to the questions have been entered.

Attainment of Recognized Postsecondary Credential

This indicator applies to exited students who were enrolled in an adult education program while also enrolled in a postsecondary education or training program that led to a recognized postsecondary credential. Only those individuals who met the following criteria will be part of this population.

- Were placed at ABE 5 or 6 upon program entry
OR
- Advanced to ABE 5 or 6 prior to exit

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.

Collecting Post-Exit Data

Collecting **employment and earnings** data for students who have exited the program will happen in two different periods. Once will be for the second quarter following exit, and again for the fourth quarter following exit.

Credential Attainment data will be collected for the second quarter following exit only. Obtaining data for the post-exit indicators is done primarily through two methods:

1. **Data Match** is by far the most common means of collecting post-exit data. Data match is conducted by ADE-AES for those individuals who provided social security numbers and agreed to data match with partners. ADE-AES also uploads the data match files into AAEDMS. 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](#).
- **Note:** If the program has a high rate of Social Security number collection and agreement to data match, it is possible that very few or even no students will populate the Outcome Call List.

Annual Contract Continuation

While the grant contract is in place for the duration of the grant cycle, there are requirements that must be met each program year in order for funding to continue into the next program year.

Grantees must

- demonstrate successful delivery of services by meeting requirements for the [primary indicators of performance](#).
- remain compliant with all [grant requirements](#), as determined through [monitoring](#) by ADE-AES.

Ending a Contract

Should the contract be ended during or at the end of a grant cycle, by either the funded provider or ADE-AES, written communication through postal or electronic mail must be sent to ADE-AES, Director of Fiscal Services. Intent to end the contract must be expressed and the following information provided.

Contact Information

ADE-AES must have contact information for questions or access to documents.

- Organization
- Responsible Party
- Main Phone Number
- Mailing Address
- Physical Address
 - If different from mailing address
- Email Address
- Phone Number

Should contact information change during the course of the five-year retention period, updated information must be sent to AdultEd@azed.gov.

Document Retention

Document retention rules remain in place despite the contract ending. See a detailed listing in the section on [Grant Requirement 22, Record Retention](#) . Records must be accessible to ADE-AES for purposes of auditing, and the storage location address must be provided. The time period for each category begins from the date of submission of the **final expenditure report**.

OCTAE requires all states to annually submit a revised and updated assessment policy. Updated assessment policies go into effect July 1st of each year. Programs should thoroughly review each newly submitted version of the [Arizona Adult Education Assessment Policy](#).

Topics addressed at length and additional resources available in the state assessment policy include:

- NRS requirements, state requirements, and provider accountability
- General adult education assessment requirements
- Assessment sequence overviews
- Test specifics for both ABE and ESL students
- Guidelines for inclusive assessment administration

TABE Certification Courses

- Per the state assessment policy, local providers are required to **maintain adequate testing staff**.
 - All individuals involved in the testing process must maintain a valid TABE certification – either at the proctor or the coordinator level. The testing process includes student INSIGHT profile creation, test creation and sequencing, test proctoring, and test score approval in AAEDMS.
 - At a minimum, adequate testing staff includes **one** certified proctor and **one** certified coordinator, **or two** certified coordinators.
 - Multi-site programs must have a minimum of one certified coordinator (overall) and one certified proctor (or coordinator) per site.
- The table below depicts the differences between the two levels of certification. Further information about the Proctor and Coordinator courses, as well as registration links, can be found [here](#).

	TABE Proctor	TABE Coordinator
Course prerequisites	NONE	Successful completion of Proctor Course
Course Duration	2-3 hours	2-3 hours
Target Audience	Test proctors (to conduct both in-person and virtual proctoring)	Staff creating testing accounts and testing sessions, tracking testing sequences, and overseeing site-proctoring of tests
INSIGHT Access Group that can be assigned	<ul style="list-style-type: none">• Proctor	<ul style="list-style-type: none">• Administrator• User
Course Content	<ul style="list-style-type: none">• Testing environment• Getting students started with testing• Recognizing and reporting violations• Remote Proctoring• Student testing interface• Basics of DRC INSIGHT portal	<ul style="list-style-type: none">• AZ State Assessment Policy Guidelines: initial testing guidelines, correct testing sequences, required attendance hours, reporting to ADE-AES• Advanced INSIGHT portal: adding students and accommodations, creating test sessions, invalidating sessions, scoring sessions, accessing reports• Approval of scores in the state data management system

- Participants must register for TABE certification courses in the APLD with a username associated with a WIOA program email domain. DRC INSIGHT accounts are created using the **WIOA program email address** and the APLD certification username must match the email associated with the INSIGHT account.

- For assistance, contact the ADE-AES [Event Coordinator](#).
- **Updated certification courses will be released every July 1st** for the upcoming program year. Once successfully completed, participants may return and review the course content at any time. Professional development hours are awarded for the first successful completion of the course in a program year (July 1-June 30).
- Programs must maintain an updated list of currently certified TABE proctors and coordinators.
 - At a minimum, the list should contain certified individuals' first and last names, work email address, certification type, and the certificate expiration date.
 - The updated certification list must be made available to ADE-AES for INSIGHT account auditing and desk monitoring.

DRC INSIGHT Portal

Program personnel access to the INSIGHT portal is limited to individuals who have completed an ADE-AES TABE Certification course.

- **INSIGHT Account Requirements**
 - INSIGHT accounts must be created using an email address from a domain associated with a WIOA funded provider (work email address).
 - Generic and shared accounts are **not** permissible (e.g., testing@aeoprogram.org).
 - Volunteers and part-time staff involved in the TABE testing process *must be assigned provider email accounts* for the creation of their INSIGHT account. Personal email accounts are not permitted.
 - Accounts for individuals without proper certification will be restricted and/or deactivated.
 - Personnel who leave employment with the program must have their INSIGHT account deactivated within 24 hours of their departure.
- **Assigning INSIGHT Access Groups**
 - Multiple Access Groups are available in INSIGHT which can be assigned to individual accounts. There are site-level groups (access to student profiles and/or tests at that site only) and program-level groups (with access to all students and/or tests at all sites within the program). Most accounts will not need more than one access group assigned.
 - Required certification levels for each Access Group in INSIGHT:
 - No certification required:
 - Program License Dashboard Only
 - Program Read Only
 - Site Read Only
 - Program IT
 - Site IT
 - Proctor certification required:
 - Program Proctor
 - Site Proctor
 - Coordinator certification required:
 - Program Administrator
 - Program User
 - Site Administrator
 - Test Administrator
 - Explanations of each Access Group can be found within the INSIGHT portal.
 1. Navigate to "User Management"
 2. Select the question mark icon in the upper right corner of the interface.
 3. Select "Available Access Groups."
 4. A new tab will open with Access Group descriptions.
 - Please refer to the [Assessment Desk Monitoring](#) section of this document for further information related to the monitoring of INSIGHT accounts.

Required Testing Documents

All providers **must have copies** (paper or electronic) of the following DRC published documents available for certified testing staff. These documents are available for download in the DRC INSIGHT portal. Paper-Based Testing materials are available for purchase through the [Arizona DRC representative](#).

Document	Required Format	Description
Online Testing Directions (OTD)	Electronic <i>or</i> printed	Provide scripted directions proctors must read aloud to examinees during testing sessions. Separate documents for the ESL and the ABE test versions.
Test Administration Manual (TAM)	Electronic <i>or</i> printed	Provides detailed instructions for proper test administration. There are separate documents for the ESL and ABE test versions.
Test Books and Answer Booklet for each form and level of the currently approved tests for both ABE and ESL participants	Printed	Must have a minimum of one physical copy of each TABE test level for each funded student contact type. Available to meet a required PBT accommodation.
TABE Level L materials, including the Word List	Printed	Must have at least one physical copy to assess ABE students showing low literacy levels during intake. The Level L and Word Lists are not available for online administration.

TABE Testing Violation Log

Violations include examinee attempts to gain a testing advantage and proctor neglect *but also include* situations beyond control which impact an examinee’s ability to earn a valid score. Examples include:

- Internet or power outages
- Building evacuations
- Sudden illness

These should be recorded in the TABE Violation Log. Any time a student begins a test session but cannot complete it, that session must be invalidated and the student retested with the alternate form. The violation log is the record explaining that deviation from correct testing sequence protocol.

Programs are required to maintain a **log of TABE testing violations and security breaches**.

- At a minimum, the log must contain
 - 1) the AAEDMS ID numbers of students requiring session invalidation
 - 2) name of the session proctor
 - 3) date the session violation occurred
 - 4) name of the test session in INSIGHT
 - 5) a summary of the violation/breach
 - 6) The up-to-date violation log must be made available to ADE-AES for test administration desk monitoring.
- The **Test Administration Manuals**—available for download in the INSIGHT portal’s “documents” tab—include sections on “Testing Irregularities.” These sections provide an extensive list of situations that may constitute a violation and provide guidance on whether the student should be allowed to complete the test session that day, or if the session should be invalidated.

Progress Testing Requirements

DRC publishes two separate markers for attendance hours related to progress testing eligibility:

- **Minimum Required Hours:** no student should be progress tested before reaching this attendance threshold. Additionally, no student should be progress tested less than 4 weeks from their most recent test.
- **Recommended Hours:** students are more likely to record gains in their educational functioning levels when progress testing occurs within this time frame. ADE-AES encourages programs to refrain from progress testing students until they have accumulated attendance hours in the recommended range. This helps reduce testing fatigue and excessive testing.
- Required and Recommended hours for each NRS level and test-type can be found in the state [assessment policy](#).

When measuring attendance hours for a progress test, all instructional time is considered, *regardless of the subject or modality of the instruction*.

Completed [Progress Assessment Exception Forms](#) should be uploaded to the “Student Portfolio” section of the examinee’s AAEDMS profile. Usage of this form should be limited and infrequent.

To help ensure students are following a correct TABE testing sequence that will allow them to demonstrate gains and prevent over-testing, please utilize the [AZ AES TABE Testing Process Guidance](#) document.

TABE Testing Exemptions

- **Earning a High School Equivalency Diploma.**
 - If the student earns their HSE diploma during the program year, no further progress testing is needed as the student will receive an MSG through the HSE credential.
- **Student has attained NRS 6 in a subject area.**
 - A student who has reached ABE 6 (Reading, Math, or Language) or ESL 6 (Reading or Listening) in a subject area should no longer be tested in that area.
 - A student who has attained ESL 6 in both Reading and Listening on the CLAS-E level 4 tests should be transitioned to an ABE contact type. Testing with the ABE Reading test (including the locator) should occur to create an ABE initial score. If the student has earned an MSG in the program year, initial ABE testing may occur once the student has accumulated 40-50 service hours or before the onset of a new program year, whichever comes first.
 - A student enrolled in IET coursework that only requires TABE testing in one subject (Reading or Math), and initially earns an ABE 6 in that subject, is exempt from progress testing. The student would be eligible to earn an MSG through successful completion of the IET.
- When approving TABE scores in AAEDMS there is an option to select “**No longer testing in area.**” This should be checked when:
 - The student has earned NRS 6 in a subject on that pending test, or
 - The student will discontinue instruction in that subject area and will close out the sequence with the test pending approval.

Formative Assessments

Formative assessments monitor a student’s learning in an immediate or short-term manner in order for instruction to be adjusted to meet further learning needs. Typically, standardized assessments, such as TABE and TABE CLAS-E do not provide this type of information.

Classroom formative assessments provide instructors better insight into a student’s thought process than statewide Adult Education accountability assessments due to a larger range of item-types and questioning formats. Effective formative assessments allow students to demonstrate how they arrive at a conclusion (short answer responses, show-your-work requirements, etc.) and/or require answers that minimize the impact of guessing (complete-sentence responses, fill-in-the-blank, etc.). Some examples of formative assessment include a quiz, exit ticket, verbal or written presentation, short written response to a prompt, read-aloud, project submission, or discussion board post.

The TABE assessments are federally mandated accountability assessments intended to measure effectiveness at a programmatic level. Variance for individual examinees is high and becomes even higher when looking at a single examinee’s performance on a single objective. Due to this, it is

imperative that programs employ strategic use of reliable formative assessments of varying types and frequency as the driving force behind differentiation and individualized instruction.

Assessment Desk Monitoring

- Assessment practices at all programs are desk monitored once between July and December of each program year. The monitoring includes:
 - 1) All tests administered over the previous 12-month period
 - 2) Progress test rates
 - 3) Active accounts and assigned Access Groups in INSIGHT
- Test administrations are reviewed for errors related to testing sequences, frequency, and approvals. An overall error rate (percentage of students tested with an error in their test administrations) is determined for each program.
- Programs with an error rate above 5.0% will require additional monitoring including (at minimum) a spring desk monitoring conducted between January and June.
- When a testing sequence anomaly is discovered during desk monitoring, ADE-AES will reference the following locations for possible explanations:
 - 1) The most recently submitted violation log for the program.
 - 2) The student's AAEDMS profile:
 - 1) case note entries
 - 2) "no longer testing in subject" designations
 - 3) Student Portfolio section for an uploaded [Progress Assessment Exception Form](#)

Should no valid explanation be found, the sequence will be marked as erroneous and count towards the program's testing error rate.
- INSIGHT accounts are monitored during assessment desk monitoring to ensure 1) all accounts are associated with a TABE-certified staff member and 2) Access Group assignments match the current certification level. INSIGHT accounts deemed out-of-compliance will be reassigned or deactivated.
- Programs' progress test rates will be monitored after both December and March data submissions. Programs with progress test rates not on pace to meet the state target for the year will be asked to complete the "[Progress Assessment Processes and Procedures](#)" plan.

Assessment Monitoring Corrective Action

Should a program's error rate be higher than 5.0% over a 12-month period, the following actions will be taken:

- 1) a review meeting will be scheduled
- 2) a follow-up *may* be scheduled 10-12 weeks later to review corrections
- 3) a spring monitoring will be conducted between January and June

An **Assessment Processes and Procedures Plan** will be required of programs not on track to meet the progress test rate for the program year (see [Appendix D: Performance Requirements for the progress test rate](#)). The Assessment Processes and Procedures plan will require the program to provide insight on their:

- 1) Process for tracking student attendance hours for identifying students eligible for progress testing
- 2) Data entry and test creation practices
- 3) Procedures for communicating and scheduling progress testing with eligible students
- 4) Internal process for monitoring testing sequences and timelines.

Failure to show improvement may result in additional monitoring, including being required to implement a corrective action plan.

On-Site Assessment Monitoring

In cases where an on-site review of a program's assessment practices is deemed necessary, the following components will be required beyond the desk monitoring components.

- A review of TABE administration manuals/material available. Manuals must be presented physically and stored in a locked and secure location or in electronic form with access limited to appropriately trained personnel.
- Presentation of each testing location at the site to ensure minimum test proctoring requirements are met.

On-site assessment monitoring will occur at a scheduled time to observe assessments being proctored (either in-person or remotely). Proctors must:

- administer tests in an appropriately prepared location,
- ensure proper storage of prohibited devices,
- use scripted testing directions correctly,
- explain site protocol for reporting of testing violations, and
- maintain a safe and secure testing environment for examinees.

TABE Manual Entry Request Form

On occasion a test score may not import automatically due to one of the situations listed below, and a request must be submitted for ADE-AES to manually enter the test score(s). For these situations only and **not** due to a system error, the [TABE Score Manual Entry Request form must be used](#).

- Data entry error (AAEDMS and/or Insight).
- The test was administered on paper due a testing accommodation.
- TABE Level L was used due to very low literacy level.
- The test was administered by Title IB staff at the one-stop center.

If the score did not import due to a system error, a support ticket must be submitted in AAEDMS.

Additional Resources

Below are links to DRC-produced TABE resources.

- **DRC INSIGHT Portal**
 - <https://www.drcedirect.com/all/eca-portal-v2-ui/#/login/TABE>
- **TABE Test**
 - <https://tabetest.com/>
 - [Remote Proctoring](#)
 - [Guidelines to Inclusive Testing](#)
 - [Device Readiness Check](#)
 - [Progress Testing Guidelines](#)
 - [Online Tools Training](#)
- **TABE 11&12**
 - [TABE 11&12 Testing Times](#)
 - [Individual Profile Report](#)
- **TABE CLAS-E**

- [Objective Structure](#)
- [Online Test Administration times](#)
- [CLAS-E Individual Profile](#)

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 seven 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.

- must be completed *prior to* access to AAEDMS or any platform containing student information
 - **FERPA comes FERst!**
- Examples of student information include
 - Personal identifying information (such as name, date of birth, address)
 - Performance data
 - Background/history
- Training must be
 - provided annually (unless specified otherwise by the parent organization)
 - part of onboarding for new staff/volunteers.
 - documented 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.
 - The module for colleges and universities is recommended as it most closely aligns with adult education students.
 - The Data Sharing module may also be helpful to some key personnel.
- 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

- 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.
 - Either the hard-copy or digital form are acceptable.
 - A fillable PDF is typically sent to directors and data coordinators in May each year. It may be printed for hard-copy use or used digitally.

Section 6: Data Quality Specifications

- If you're not certain you have the correct form, check with your program liaison.
- All fields marked as required on the registration forms must be complete and all appropriate signatures in place.
- Completed registration forms must be kept in a secured manner, either as hard copy or digital, and must be made accessible to ADE-AES staff for auditing purposes.

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
 - Class Date
 - Class Name
 - Teacher
 - Number of hours student attended, rounded to the nearest quarter hour.
- **Asynchronous (proxy) Instruction:** Depending on the type of asynchronous instruction, evidence of student engagement may take one of the following forms.
 - **Clock Time Model:** Reports generated from online curriculum
 - **Teacher Verification Model (TVM):** Teacher records
 - **Learner Mastery Model:** Reports generated from online curriculum
- For more information on asynchronous instruction record-keeping, refer to [Appendix H: AAEDMS, Classes, and Attendance](#).
- For more information on asynchronous instruction and the three proxy models, refer to [Proxy Models](#) in this document.

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 state holiday, confirmation 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 processes, including digital and hard-copy student intake files, at least twice per year.

- Dates of internal audits should be noted as monitoring evidence of meeting this requirement.
 - Providers are encouraged to email their program liaisons to note that the internal audit has taken place, adding a Read Receipt for confirmation.
- Data review should be used to identify strengths in the program's data process, as well as to identify areas for improvement.

WIOA Indicators of Performance Data Collection and Requirements

7. 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 2nd quarter after exit
- 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.
 - **When to Ask:** Programs should follow the schedule found in [Appendix E](#) for making contact with students who have exited.
- 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.

Note: The vast majority of post-exit outcome data is collected through data match. It is not unusual for the Outcome Call List, once generated, to have few or even no students to contact.

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.
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).

Section 6: Data Quality Specifications

For Students Who Are Not Participating in Data Match

Please Select Secondary List Options

Adult Ed Program

-- Please select Adult Ed Program --

- OR -

Last Call Action

--Please select--

Attempted to Contact Previously

Yes

No

All

Had Outcome Information Entered Previously (includes data match and manual entry)

Yes

No

Best Time to Call

*Date

MM/DD/YYYY

(MM/DD/YYYY)

*From time

00

:

00

AM

*To time

00

:

00

AM

*Note: If call date is entered, 'From time' and 'To time' are required!

Include Only Students With No SSN

Include Only Students Who DO NOT Data Match

Exclude Students With Less Than 12 Hours Of Attendance

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.

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

Name / Id	Contact	Registered	Followup
<div><div></div><div></div><div>EIN:</div></div>	<div><div></div><div>AZ , <div></div></div><div><div></div></div><div>w:N/A</div></div>	<div>From 6/18/2020 to 6/30/2021</div> <div>Rio Salado College Adult Education > F2F V Thom MW 5-9PM GED RLA 1 (Miriam)</div> <div>Rio Salado College Adult Education > F2F IP Thom MTWR 6-9PM GED Found R1014 (David/Lexi)</div>	<div>Complete: Obtain a GED/HSE 09/10/2021 Data Match</div> <div>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:
14. If no results are generated, check to be sure that pop-ups from this site are allowed.
- a. Ensure that Call Date and Call Time are accurate.

Section 6: Data Quality Specifications

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

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.

Blended Learning

Blended learning ensures that learning opportunities continue beyond synchronous “classroom” instruction. Incorporating blended learning into delivery of instruction is Grant Requirement 30.

Blended learning is learning that contains both synchronous and asynchronous components. The asynchronous component must complement the synchronous component in order to extend learning as independent practice.

- “Synchronous” is instruction where the student and teacher work together, whether or not they are in the same physical place.
 - Examples of synchronous instruction
 - Face-to-face/in-person class
 - Zoom class
- “Asynchronous” instruction is “instruction by proxy,” or “homework” and must be built on instruction that took place during the teacher’s instructional time in order to extend learning to when a student is independently practicing what was learned.
 - In order for asynchronous instruction to be entered as attendance, it must follow one of the three approved **proxy models**.
 - Clock Time
 - Learner Mastery
 - Teacher Verification Model
- See [Appendix H: AAEDMS, Classes, and Attendance](#) for more information on entering attendance hours.

Proxy Models

Proxy Hours refer to any out-of-class (asynchronous) hours of instruction adhering to specific requirements in three different models: **Clock Time**, **Teacher Verification**, or **Learner Mastery**.

Clock Time Model

This model assigns contact (instructional) hours based on the elapsed time that a participant is connected to, or engaged in, an online or stand-alone software program that tracks time.

All of the software programs listed below utilize “Time on Task” to report proxy hours using the clock time model. Links are included for information only.

- ALEKS (MHC) - <https://www.aleks.com/>
- Aztec Software - <http://www.aztecsoftware.com/products-services/high-school-equivalency>
- BurlingtonEnglish - <https://www.burlingtonenglish.com/>
- Edmentum (Previously named PLATO) - <https://www.edmentum.com/>
- EdReady - <https://nroc.org/what-we-offer/edready/>
- Essential Education - <https://www.essentialed.com/products/>
- Khan Academy - <https://www.khanacademy.org>
- Learning Upgrade - <https://web.learningupgrade.com/>
- McGraw-Hill HSE Achieve - <https://www.mheducation.com/prek-12/segment/adulted.html>
- Northstar Digital Literacy Assessments - <https://www.digitalliteracyassessment.org/>
- Odysseyware - <https://www.odysseyware.com/>
- Rosetta Stone - <https://www.rosettastone.com/k12/home/>
- SkillsTutor - <https://www.paxenpublishing.com/skillstutor/>

Teacher Verification Model

This model assigns a fixed number of hours of credit for each assignment based on teacher determination of the extent to which a participant engaged in, or completed, the assignment.

Section 7: Blended Learning and the Asynchronous Instruction

NOTE: In order to utilize this model, the assigning teacher must have successfully completed the *Blended Learning Certification* course. See below for more information on this course and becoming certified.

Curricular resources that have been vetted by an instructor who has completed the required ADE-AES Blended Learning Certification course can be utilized for proxy hours. Curriculum can include existing resources found through internet searches, resources compiled into a single location within a learning management system (LMS) or webpage, and resources created by the certified instructor.

Blended Learning-certified teachers must submit lessons/resources for approval into the TVM Resource Repository. All lessons are monitored to ensure alignment to the AZ Adult Education Content Standards and reporting guidelines.

Lessons must be current and approved to qualify for proxy hours.

Lessons are archived automatically after three years, unless otherwise requested.

Blended Learning Certification Course

This course will ensure understanding of blended learning as an instructional model to use the TVM effectively. Then, it will walk through the processes for earning/reporting attendance hours through the Teacher Verification Model. It will conclude with a capstone to demonstrate understanding of the TVM process.

Step 1: Complete the course.

- Registration is available in the ADE Professional Learning and Development (APLD) site, and there is no course fee associated.
- The Certificate of Completion for the course must be kept on file at the program (digitally or hard copy).

Step 2: Submit a Lesson to the TVM Repository

- After earning the Blended Learning Certificate, a teacher will submit a lesson for the TVM using this [template](#).
 - A tutorial for submitting the form can be found [HERE](#).

Learner Mastery Model

This model assigns a fixed number of hours of credit based on the participant passing a test on the content of each lesson. Participants work with the curriculum and materials and, when they feel they have mastered the material, take a test. A high percentage of correct answers (typically 70%) earns the credit hours attached to the material.

Reference the following table as a guide to implementing the Learner Mastery model of proxy hours.

Curriculum	Proxy Hours Criteria	Proxy Hours Reporting	Validation by
NROC LMS Courses	Learners must meet a 70% proficiency or greater for all unit quizzes to earn reportable hours.	Each Topic: 0.5 hours/topic	NROC & ADE-AES
Reading Skills for Today's Adults	Learners must complete the supplemental activities and earn a 70% or higher on the assessment. Teachers will keep records of students' work demonstrating completion and mastery.	1.5 hours/passage using PDFs Each Passage includes completion of: <ul style="list-style-type: none">• Passage reading• Pre-questions• Post-questions and• Supplemental activity OR 0.75 hours/passage using Wakelet	Literacy Minnesota & ADE-AES

Section 7: Blended Learning and the Asynchronous Instruction

		Each Passage includes completion of: <ul style="list-style-type: none">• Passage reading• Quizlet vocabulary activities• Google Form of comprehension questions	
USA Learns	Learners must meet a 70% proficiency or greater for all units to earn reportable hours.	Course 1: 3 hours/unit Course 2: 3 hours/unit Practice English & Reading:1 hour/unit USA Learns Citizenship:1 hour/unit	California Department of Education (CDE) & ADE-AES

Additional resources can be found on the [AES Website: Teaching and Learning](#).

Resources include:

- AZ Adult Education Content and Teacher Standards
- Learning Forward Standards
- On-Demand and Self-Paced Training Options
- Information on state-wide initiatives and training opportunities

Tracking Synchronous and Asynchronous Attendance for Entry into the State Data Management System

All hours entered into the state data management system must adhere to Arizona state guidelines and will be subject to audit by the Teaching and Learning and/or the Program Operations & Accountability teams. It is imperative that all hours entered into the state data management system have documentation to substantiate the amount reported. That may include

- virtual and/or in-person attendance logs
 - teacher logs or sign-in sheets
- online curriculum usage reports
- evaluations of specific online curricula
- teachers’ written notes

All documentation must be kept in an auditable format, either hard-copy or digital, and be available upon request by ADE-AES.

Face-to-Face / In-Person Attendance

A teacher attendance log/roster may be maintained in either hard copy or digital format. This record must be maintained for five years to meet document retention requirements.

NOTE: While it has historically been a practice to keep student sign-in sheets for in-person classes, including student signatures, that is *not* a requirement. The auditable record must include the following:

- Class name
- Date of class
- Start and end times
- Students’ Names or IDs
- Total number of hours each student attended, rounded to the nearest quarter hour
- *Student signatures should **NOT** be included.*

Virtual Attendance

Virtual synchronous attendance is when the student is attending class from a location other than where the teacher is through a platform such as Zoom.

Section 7: Blended Learning and the Asynchronous Instruction

Evidence for these hours will include documents verifying interactions such as

- virtual attendance logs
- chat logs
- written records

All virtual attendance records must detail specific time/date and length of contact.

- Class name
- Date of class
- Start and end times
- Students' Names or IDs
- Total number of hours each student attended, rounded to the nearest quarter hour

HyFlex Attendance

As noted elsewhere in this document, HyFlex is a synchronous instructional delivery model in which some students attend in person and others attend through a platform such as Zoom. Tracking attendance for HyFlex classes should follow the same methods for face-to-face and for virtual, applied to students attending in those two modalities.

Clock Time Model

Each of the state-approved curricular programs is able to generate attendance hours showing time on task. These reports should be used to enter proxy hours in the state data management system. As with other attendance records, these documents, whether hard copy or digital, must be retained for five years.

Teacher Verification Model

The number of attendance hour entered for each TVM lesson completed should equal the number of hours associated with the approved lesson.

Integrated Education and Training (IET)

Integrated Education and Training (IET) 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. Its purpose is to provide educational and career advancements.

Three components of an IET include

- 1. Adult education and literacy activities (ABE/ASE or ESOL)
- 2. Workforce preparation activities
- 3. Workforce training for a specific occupation or occupational cluster

Prior to implementing IET programming, an **IET Implementation Plan** must be submitted to ADE-AES and approved. The template for the plan is available from the program’s liaison. It is typical for planning to take a minimum of six months, particularly if the local provider has limited experience with delivering IET services.

Requirements of an IET include

- Single Set of Learning Objectives
 - Weaves the three components above together
- Three components must be taught **concurrently** and **contextually**
 - They *cannot* be taught sequentially
- Curriculum must be aligned to [Arizona Adult Education Content Standards](#)
- Must **lead to** an in-demand industry-recognized credential (IRC)
 - **IRC:** A credential that is sought or accepted by employers within an industry or sector and is a recognized, preferred, or required credential for recruitment, screening, hiring, retention or advancement purposes; and, where appropriate, is endorsed by a nationally recognized trade association or organization representing a significant part of the industry or sector (ACTE)
 - The IRC does not have to be earned within the scope of an IET, but the IET must be part of a pathway to other IETs that will prepare the student to pass the required tests to earn the IRC.
- For co-enrolled students Title IB can pay for training costs.

Note: If a student earns an HSE diploma *prior to* completing the IET, they may continue to receive IET services by meeting the following conditions:

- Maintaining regular and adequate attendance **as defined by the Adult Education Program** (per WIOA Section 134(c)(3)(f))
 - This should be defined in writing as part of the program’s processes.
- Maintaining regular progress toward completion of the industry-recognized credential

Workplace Literacy

Workplace literacy is a type of programming that provides adult education and literacy activities in collaboration with an employer or employee organization. Educational services can be whatever the employer needs for their staff. Typical needs include

- Digital literacy skills
- English language acquisition
- Reading comprehension
- Narrative writing
- Mathematics

While there is no cost to the employer for education services, their investment occurs in the form of investment in their employees. AE services must be provided on paid time, typically at the workplace location.

When working with an employer partner, the AE provider will need to determine what the employer goals are for their staff, determine a timeline, and agree on benchmarks showing progress.

A memorandum of understanding (MOU) must be entered into by the local provider and the employer, and **ADE-AES must approve the agreement as part of its finalization.**

In order to document employee progress, and depending on the benchmarks determined, the employer will provide written communication of satisfactory or better progress toward established goals/milestones.

To document reaching milestones and earning MSG Typ3 4, the employer letter will be uploaded to the student's portfolio in the ADE-AES data management system.

It is highly recommended that the local provider seek assistance from ADE-AES when considering implementation of a workplace literacy program.

Reports in this section appear in order of due date in the *program* year. Several reports, specifically 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 the state data management system, including but not limited to the following:

- 4. New and returning student registrations
- 5. IET registrations
- 6. Attendance hours
- 7. TABE and TABE CLAS-E test score imports for initial AND progress tests
- 8. Manual entry of test scores in certain circumstances
 - o A [request form](#) must be submitted in order to utilize this process.
- 9. Separating students for whom 90 days have passed with no service activity AND who have no planned return date entered into the data management system
- 10. 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 state data management system
- 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:

- 11. Should an extension be needed for any reason, the form linked above should be completed and the reason for the extension indicated.
- 12. 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.

Section 10: Submitting Required Plans and Reports

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

IET Implementation Plan

Submitted prior to implementing a new IET program.

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

Due Date:

- 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

Program Operations Plan

Method of Submission: Submit to AES-Reporting@azed.gov

Due Date: September 30th

Purpose: Maintain in a single document key aspects of program operations, including

- Class Schedule
- IET Programming
- State Leadership activity participation

Professional Learning Implementation Plan (PLIP)

Method of Submission: Complete the PL Implementation Plan (PLIP) template found through link provided by the Teaching & Learning team.

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. The template will be provided in a shared Word document. Authorized individuals can make edits throughout the PY as needed/requested.

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

Eligibility and Waitlist Report

Method of Submission: Complete form; link will be sent from Program Operations & Accountability in the month prior to reporting twice each year.

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, a link to a form will be sent 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.
- **NOTE: Do NOT include individuals who missed orientation or otherwise did not start on the planned date.**

Projected Enrollment for Next Program Year

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

To be completed:

- 1) a table indicating the number students to be served in each program area (e.g., ABE, IELCE, IET, etc.)
- 2) narrative explanation of any differences between the numbers indicated and the numbers shown on the original grant application.

Final Year-End Narrative Report

Method of Submission: Email completed template to AES-Reporting@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-Reporting@azed.gov
- Performance Data Analysis
 - Refer to data found in federal tables.
 - 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 (PLIP) and is to be updated through the Google site.
 - No additional document will be submitted

IET Validation Report

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

Due Date: July 31st for previous program year

Section 10: Submitting Required Plans and Reports

Purpose: Provide data on IET participants, IET programs, and status of progress made in credential attainment; used in conjunction with Final Narrative Report

Professional Learning Report – Final Version of PLIP

Method of Submission: Shared Google document. Authorized individuals can make final updates to the existing Professional Learning Implementation Plan (PLIP), 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; indicate outcomes of interventions and strategies that were implemented to support the attainment of PL goals.

Career and Training Services Report

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

Due Date: July 31st

- Local providers may find it more convenient to update the report template on a quarterly basis, though it will not be due to ADE-AES until 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
- **NOTE: This is not a fiscal report, but rather a collection of information on how funding is used to promote the intention of WIOA.**

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

Examples of Career Services	Examples of Training Services
Outreach, intake, orientation	All costs associated with 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)	
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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. More information can be found on the [ADE Grants Management website](#).

ADE-AES is responsible for administering state and federal funds and ensuring they are expended in a manner that is compliant with all legislation and grant requirements. Monitoring is a process that facilitates carrying out those responsibilities. It also allows ADE-AES to identify areas where technical assistance or other support may be needed.

Programs who will undergo **comprehensive** monitoring are determined by the use of a **Risk Assessment** tool. Criteria on the risk assessment include

- Federal Award Amount
- Single Audit Findings
- Adult Ed Fiscal Monitoring Findings
- Unresolved Corrective Actions
- Length of Time Since Last Comprehensive Monitoring
- Grants Management Enterprise (GME) Draw Downs
- Program's Number of Years Funded under WIOA
- Program Performance
- Program Personnel – Length of time Director has been in role
- Timely Submission of Reports

A copy of the Risk Assessment tool can be provided by the program liaison.

ADE-AES uses a **Monitoring Tool** that is aligned with the grant requirements, all of which are detailed in this document. The monitoring tool template can be requested from program liaisons and may work well for conducting [required bi-annual internal audits](#).

The vast majority of monitoring is done through **desk monitoring** and is conducted on an ongoing basis for all local providers. This includes reviewing

- Monthly data
- AAEDMS data compared to Insight (DRC) data
- Program plans, such as
 - Professional Learning Implementation Plan (PLIP)
 - IET Implementation Plans
- Final and Year-end Reports
- Budgets
- Required written processes

On-site monitoring is also conducted for those programs who will undergo comprehensive monitoring, as determined by the Risk Assessment tool, as well as for other programs as deemed appropriate by ADE-AES staff. Some components of on-site monitoring include:

- Review of student records (digital or hard copy), comparison to the state data management system
- Testing environment
- Classroom observations
 - **NOTE:** ADE-AES conducts classroom observations for purposes other than for monitoring. It will be made clear prior to a site visit what the purpose of the observation is.
- Data security
- Student interviews
- Staff interviews

Glossary of Terms

ABE	Adult Basic Education <ul style="list-style-type: none"> Used to describe adult education and literacy activities Also refers to EFLs ABE 1-4
ADE	Arizona Department of Education
AES	Adult Education Services
ASE	Adult Secondary Education <ul style="list-style-type: none"> Refers to EFLs ABE 5-6
ARS	Arizona Revised Statute
BL	Blended Learning learning that connects and complements traditional synchronous learning experiences (“contact hours”) with asynchronous 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.
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)
ELL	(See <i>English Language Learner</i> below)
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)
ESOL	English for Speakers of Other Languages <ul style="list-style-type: none"> Used to describe instructional program
FERPA	Family Educational Rights and Privacy Act <ul style="list-style-type: none"> A federal law whose purpose is to protect the privacy of student information
FY	Fiscal Year <ul style="list-style-type: none"> Arizona’s fiscal year is July 1 – June 30 <ul style="list-style-type: none"> This coincides with the Program Year (PY) Federal fiscal year is October 1 – September 30

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
IELCE + T	IELCE delivered in conjunction with IET
IET	Integrated Education and Training The term “integrated education and training” means 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 (Sec. 203(11) of WIOA). Such programs include workforce preparation components that help participants acquire a combination of basic academic skills, critical thinking skills, digital literacy skills, and self-management skills. (NRS Guide, April 2024 edition)
IFA	Infrastructure Funding Agreement The cost-sharing component of the MOU between local providers and the one-stop system.
Indirect Costs	the expenses of doing business that are not readily identified with a particular grant, contract, project function or activity, but are necessary for the general operation of the organization and the conduct of activities it performs (U.S. Dept. of Education – <i>see site for more information</i>)
Industry-Recognized Credential (IRC)	A credential that is sought or accepted by employers within an industry or sector and is a recognized, preferred, or required credential for recruitment, screening, hiring, retention or advancement purposes; and, where appropriate, is endorsed by a nationally recognized trade association or organization representing a significant part of the industry or sector (ACTE)
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

NRS	National Reporting System An outcome-based reporting system for the State administered, federally funded adult education program (Source: http://www.nrsweb.org/)
CTAE	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 (Source: www2.ed.gov/about/offices/list/ovae/?src=oc)
One-Stop Center	A center that offers training referrals, career counseling, job listings, and similar employment- related services. In Arizona, the one-stop centers are ARIZONA@WORK . (Source: www.dol.gov/general/topic/training/onestop)
Period of Participation	<p>The period of time beginning when an individual who has enrolled in adult education has attained 12 contact and attendance hours and ending on the participant's last date of services.</p> <p>Individuals who have enrolled but have not attained 12 contact hours are Reportable Individuals (see below).</p>
PoP	See Period of Participation
Post-secondary Educational Institution	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 (Source: WIOA, Title II)
Reportable Individual	An individual who has taken action that demonstrates an intent to use program services and who meets specific reporting criteria of the program, including: 1) Individuals who provide identifying information; 2) Individuals who only use the self-service system; 3) Individuals who only receive information-only services or activities... (Source: OCTAE Memo 17.2)
WAC	Workforce Arizona Council the advisory board to the Governor on workforce matters. Appointed by the Governor, 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. (Source: https://www.arizonaatwork.com/content/workforce-arizona-council)
WIOA	Workforce Innovation and Opportunity Act <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: Title I: Workforce Development Activities Title II: Adult Education and Family Literacy Title III: Wagner-Peyser Act of 1933

	<p>Title IV: Rehabilitation Act of 1973</p> <p>(Source: www.doleta.gov)</p>
<p>Workplace Literacy Program</p>	<p>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</p>

Federal Assurances

1. The grantee 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 grantee 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 from equal access to public services or in the employment, or advancement in employment of qualified individuals.
3. The grantee agrees to comply with Section 427 of the General Education Provisions Act (GEPA Notice OMB Control No. 1894-0005) enacted as part of the Improving America's Schools Act of 1994 (Public Law (P.L.) 103-382).
4. The grantee agrees to comply with the Family Educational Rights and Privacy Act (FERPA) (34 C.F.R. § 99).
5. The grantee agrees to comply with the Fair Labor Standards Act (FLSA) (29 C.F.R. § 500-899).
6. The grantee agrees to administer the ADE-AES-approved standardized assessments in accordance with the Arizona Adult Education Assessment Policy.
7. The grantee agrees to follow all Uniform Guidance & Code of Federal Regulations (CFR200) Requirements.
8. The grantee 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 grantee 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 grantee 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 grantee 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 grantee 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 grantee 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 grantee 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.

Appendix A: Federal and State Assurances

- 15.** The grantee 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. Copies of certificates must be kept on file (hard copy or digital) for audits.
- 16.** The grantee 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 grantee agrees to use the designated adult education data management system and to follow ADE-AES policies and National Reporting System (NRS) Guidelines.
- 18.** The grantee agrees to comply with all 2024-2028 Grant Contract Requirements and ADE-AES policies.

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
Statewide Performance Report (SPR)	The SPR shows important information, such as all MSGs earned by type (EFL gain, diploma earned, IET types).	Though this report is intended to be generated at the state level, it is possible for local providers to run this report for their program only.
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, ESOL, 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 Table

Primary Indicator	Type	Description
Measurable Skill Gain (MSG)	MSG 1: Educational Functioning Level Increase	a. Progress testing shows increase in academic level when compared to previous test
		b. Carnegie Units (not implemented in Arizona)
		c. Entry into postsecondary education or training
		d. Passing a subtest on the GED® exam
	MSG 2: Attainment of a secondary diploma (HSE)	Three pathways: 1. Testing pathway with GED® exam 2. HSE+ Career Readiness Portfolio pathway 3. College Credit pathway All pathways have a Civics requirement.
	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
Employment-Related	MSG 4: Progress Toward Employment or Training Milestones	<ul style="list-style-type: none"> evidence of meeting benchmarks along the way to earning an industry-recognized credential 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 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
Credential Attainment	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
	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

Appendix D: Performance Requirements for PY 2024 - 2025

The table below coincides with Policy Memo PY24-25.1.

Measurable Skill Gains (MSGs) as reported on NRS Table 4	
Minimum Rate	43.0%
Post-Exit Indicators of Performance as reported on NRS Table 5	
Employment Rate 2 nd Quarter after Exit	50.0%
Employment Rate 4 th Quarter after Exit	50.0%
Credential Rate	26.0%
Median Earnings	\$8,600

NOTE: Per the PY 2024-2025 Assessment Policy, *a minimum of 67% of students must be progress-tested* following appropriate hours of instruction and sequencing, also detailed in the Assessment Policy.

Appendix E: Schedule for Post-Exit Follow-Up

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 <i>The dates below remain the same regardless of the year.</i>		
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	July 1-September 30	January 1-March 31
July 1 -September 30	October 1-December 31	April 1 - June 30
October 1 - December 31	January 1 - March 31	July 1-September 30
January 1 - March 31	April 1 - June 30	October 1 - December 31
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	July 1-September 30	July 1-September 30
January 1 - March 31	October 1-December 31	October 1 - December 31
April 1 - June 30	January 1 - March 31	January 1 - March 31
July 1 -September 30	April 1 - June 30	April 1 - June 30
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	July 1-September 30	Date of Exit -September 30
Date of Exit - March 31	October 1-December 31	Date of Exit - December 31
Date of Exit - June 30	January 1 - March 31	Date of Exit - March 31
Date of Exit - September 30	April 1 - June 30	Date of Exit - June 30
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	July 1-September 30	Date of Exit -September 30
Date of Exit - March 31	October 1-December 31	Date of Exit - December 31
Date of Exit - June 30	January 1 - March 31	Date of Exit - March 31
Date of Exit - September 30	April 1 - June 30	Date of Exit - June 30

Appendix F: Reports and Due Dates

The schedule below is taken from Policy Memo 24-25.2
For detail on each of these reports, refer to [Section 10, “Preparing and Submitting Reports.”](#)

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

Report Name	Due Date/s*	Comment
Student Demographic & Performance Data Updated in AAEDMS	15 th of each month	Submit form found HERE to confirm completion
Budgets Revisions of Final Award Allocations	Sept. 30 th , 2024	Submit in GME
TABE Violation Log <i>and</i> List of Certified TABE Administrators <i>Note: If live document links are shared with AES, nothing needs to be submitted.</i>	9/15	Submit to AES-Reporting@azed.gov
	12/15	
	3/15	
	6/15	
Budgets Revisions (as needed)	Ongoing and by June 30 th , 2025	Submit in GME
Professional Learning Implementation Plan (PLIP)	Sept. 30 th	Unique links to PLIP will be sent to each program the week of August
IET Implementation Plan (as needed)	30 days prior to implementation	Submit to AES-Reporting@azed.gov
Semi-Annual Eligibility and Waitlist Report A.R.S. §15.232(C)	Dec. 15 th	Form link will be sent in November
Semi-Annual Eligibility and Waitlist Report A.R.S. §15.232(C)	June 15 th	Form link will be sent in May
The following reports are due after the program year ends.		
Final Year-End Narrative Report	July 31 st	Submit to AES-Reporting@azed.gov
IET Validation Report	July 31 st	Submit to AES-Reporting@azed.gov
Career and Training Services Report	July 31 st	Submit to AES-Reporting@azed.gov
Final Professional Learning Report	July 31 st	Make final updates to PLIP
Expenditure Summary Reports with Final Completion Report	Sept. 30, 2025	Submit in GME
Additional Reports	As requested	Submit upon request from ADE/AES

The following guidance should be used to establish and maintain a valid TABE testing sequence for students enrolled in Arizona WIOA Title II Funded Adult Education Providers.

The table below outlines the valid NRS Ranges (ABE or ESL) an examinee can earn on each level of the TABE assessments. Once a student earns the highest *NRS* level that the *TABE* level effectively measures, they should begin progress testing at the next higher TABE level with their subsequent test.

TABE 13/14 Level	TABE 11/12/13/14 NRS Ranges		
	Low	Mid	High
E	ABE 1 (R300-441) (M300-448)	ABE 2 (R442-500) (M449-495)	ABE 3 (R501-535) (M496-536)
M	ABE 2 (R442-500) (M449-495)	ABE 3 (R501-535) (M496-536)	ABE 4 (R536-575) (M537-595)
D	ABE 3 (R501-535) (M496-536)	ABE 4 (R536-575) (M537-595)	ABE 5 (R576-616) (M596-656)
A	ABE 4 (R536-575) (M537-595)	ABE 5 (R576-616) (M596-656)	ABE 6 (R617-800) (657-800)

TABE CLAS-E Level	TABE CLAS-E A&B NRS Ranges		
	Low	Mid	High
1	ESL 1 (R250-392) (L230-389)	ESL 2 (R393-436) (L390-437)	ESL 3 (R437-476) (L438-468)
2	ESL 2 (R393-436) (L390-437)	ESL 3 (R437-476) (L438-468)	ESL 4 (R477-508) (L469-514)
3	ESL 3 (R437-476) (L438-468)	ESL 4 (R477-508) (L469-514)	ESL 5 (R509-557) (L515-549)
4	ESL 4 (R477-508) (L469-514)	ESL 5 (R509-557) (L515-549)	ESL 6 (R558+) (L550+)

The flow chart on the following page provides guidelines for determining which test to administer to an examinee, based on where they are in their assessment sequence. To reduce time spent testing,

- 1. a student’s previous enrollment history should always be referenced before testing and,
- 2. if a student is co-enrolled at another WIOA Title II Provider, communication between the providers should occur to avoid testing a
- 3. student multiple times unnecessarily.

TABE CLAS-E Level	TABE CLAS-E C&D NRS Ranges		
	Low	Mid	High
1	ESL 1 (R200-354) (L200-348)	ESL 2 (R355-388) (L349-389)	ESL 3 (R389-427) (L390-427)
2	ESL 2 (R355-388) (L349-389)	ESL 3 (R389-427) (L390-427)	ESL 4 (R428-448) (L428-457)
3	ESL 3 (R389-427) (L390-427)	ESL 4 (R428-448) (L428-457)	ESL 5 (R449-487) (L458-488)
4	ESL 4 (R428-448) (L428-457)	ESL 5 (R449-487) (L458-488)	ESL 6 (R488+) (L489+)

While there are a great many areas of the Arizona Adult Education Data Management System (AAEDMS) that technical assistance may be needed with, this section will focus on setting up classes and entering attendance only. Please contact Madison Armer at Madison.Armer@azed.gov or your program liaison for additional assistance.

Setting Up Classes in the State Data Management System

When setting up a new class in the state data management system, pay close attention to the 'class format' which indicates the modality that students are primarily attending. **All formats utilize blended learning where synchronous instruction (contact hours) connects with asynchronous learning (proxy hours)** to be completed outside of class time and therefore can report both types of attendance hours.

All participants must have at least 12 hours of contact with the program* before they can be counted for Federal reporting purposes. The class format options are as follows:

- **Face-to-Face** - used for classes where the synchronous instruction primarily occurs in-person (all students are in the classroom).
- **Virtual** - used for classes where the synchronous instruction is primarily held virtually such as over a video conferencing platform (e.g., all students are attending class virtually, such as Zoom, WebEx, or Google Meets) .
- **HyFlex** - used for classes where the synchronous instruction is occurring in-person and virtually at the same time (students may choose to attend in-person or virtually based on their needs that day).
- **STAR**
- **IET**
- **WL**

**In-person contact time is not required to obtain the initial 12 hours of contact. Contact hours for virtual learners can be a combination of in-person or through telephone, video, teleconference, or online communication, where participant and program staff can interact and through which participant identity is verifiable.*

Recording Proxy Attendance in the State Data Management System

State-funded adult education programs must keep an auditable record of in-class (synchronous) and out-of-class (asynchronous) attendance using the state data management system. This attendance may be recorded in the state data management system as a cumulative monthly total (by default), or, more frequently, if desired. Time spent on asynchronous online learning outside of class, referred to as 'proxy hours,' can be reported via one of three National Reporting System (NRS) proxy models:

- **Clock Time Model** describes recording usage of **state-approved online curricula** that *automatically tracks student usage* and can generate reports showing that student's usage over a period of time. Adult education programs enter that time into the state data management system in the 'proxy hours' field.
- **Learner Mastery Model** describes recording usage of **state-approved online curricula** (see page 7) that allocates *a fixed number of hours* based on passing a test (typically 70% or higher). The fixed number of hours will be recorded in the state data management system in the 'proxy hours' field when the student passes the test.
- **Teacher Verification Model** is where a teacher, upon completion of state-required training, can use their professional judgment and prior experience to determine the time required for students to complete assigned asynchronous work (if the assigned work does not have its own means to track time). The estimated hours to complete the assigned work will be recorded in the state data management system in the 'proxy hours' field for students who show evidence of satisfactory completion.

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