KANSAS ADULT EDUCATION POLICY MANUAL

Effective: July 1, 2010

★ LEADING HIGHER EDUCATION ★

Adult Education Policy Manual
(July 1, 2010)

Staff members of Kansas Board of Regents Adult Education thank the Adult Education Advisory Committee for their tireless efforts in designing and contributing to this policy and procedures manual, a first in the history of Kansas Adult Education. Without the guidance of the committee and the creativity of adult educators across the state, this manual would not exist.

The manual is designed in sections for periodic updates as needed – please help keep your manual as current as possible by regularly adding in new sections and destroying outdated sections. Please encourage all adult education staff members in your program to read and thoughtfully practice the procedures detailed below.

For more information on any of the policies in this manual, please contact KBOR Adult Education staff at 785-296-0175.

Complements to this manual include the following documents: the *Kansas Four Year State Plan* (and the current fiscal year's extension plan), PABLO users' manual, *The Comprehensive Adult Education Planner*, and *Accommodating Adults with Disabilities in Adult Education Programs, Revised 2005*.

Sections:

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1. Acronyms and Definitions

ABE: Adult basic education (educational functioning levels 1 through 4)
ADA: Americans with Disabilities Act
AEFLA: *Adult Education and Family Literacy Act*, Title II of the *Workforce Investment Act* which funds adult education services in Kansas
ASE: Adult secondary education (educational functioning levels 5 and 6)
CASAS: Comprehensive Adult Student Assessment System, a national assessment-to-instruction system based on competencies identified as essential for adults to function effectively in their multiple life roles of employees, family members and community members
COABE: Commission on Adult Basic Education, a national professional association for adult educators
DAEL: Division of Adult Education and Literacy, the division of the Office of Vocational and Adult Education of the United States Department of Education responsible for oversight of AEFLA
EFL: Educational functioning level; the descriptor of student performance determined by standardized testing used by the National Reporting System. There are four levels (1-4) for adult basic education (ABE) learners, two levels (5-6) for adult secondary education (ASE) learners, and six levels (7-12) for English-as-a-second-language (ESL) learners.
ELCE: English Literacy and Civics Education, federal funding for services to adults in need of English language instruction, skills necessary to pass the U.S. Citizenship examination, technology skills, and competencies in governmental, educational and workplace systems
ESL: English as a second language (EFL levels 7 through 12)
ESOL: English for speakers of other languages (alternative term for ESL)
FERPA: The Family Educational Rights and Privacy Act, legislation which protects the rights of learners to have their educational records remain private and ensures that educational records are not shared with other agencies or individuals without the learner's written permission
GED: General Educational Development test battery; if passed, an examinee receives the Kansas State High School Diploma
GEDTS: General Educational Development Testing Services, the division of the American Council on Education responsible for the development of the GED test battery and oversight of GED testing
IDEA: Individuals with Disabilities Education Act, federal legislation on education services for individuals with disabilities

IEP = Individual Education Plan, a required plan of action and educational support for pupils with disabilities in public schools

LD = Learning Disability
OHI = Other Health Impairment
SED = Severe Emotional Disturbance
SLD = Specific Learning Disability

IPDP: Individual professional development plan developed and implemented annually by each adult education instructional and leadership staff member

KAEA: Kansas Adult Education Association, a state professional association for adult educators

Kansas Work*Ready!* Credential: The Kansas career readiness credential based on three WorkKeys® assessments

KBOR: Kansas Board of Regents, state agency responsible for postsecondary education and the state agency recognized by the USDOE for oversight of AEFLA funding and subgrantees

LEP: Limited English proficiency, status of learners with limited English language skills

MVAEA: Missouri Valley Adult Education Association, a Midwest regional professional association for adult educators

NRS: National Reporting System for data collection and reporting as required under AEFLA – data is collected on PABLO in Kansas

OPT: Official GED Practice Tests, a half or full-length version of the GED Tests used to determine a learner's readiness for the GED Test battery

OVAE: Office of Vocational and Adult Education, office in the United States Department of Education where DAEL is housed

PABLO: Web-based Kansas adult education data collection and reporting system that conforms to the requirements of the National Reporting System (NRS)

PIP: Program Improvement Plan submitted annually by each subgrantee with progress reports made quarterly

Pre-GED: Instructional services to adults whose skill levels are below EFL level 5

PSE: Postsecondary education or other training at the postsecondary level (goal or outcome)

SIA: Standards-in-Action, a federal initiative to improve teacher and administrator use, understanding and development of content standard-based education

USDOE: U.S. Department of Education, federal agency which oversees AEFLA

WIA: Workforce Investment Act, a block grant of workforce development legislation, of which adult education and family literacy is Title II

Statute # 72-4517

Chapter 72: SCHOOLS
Article 45: ADULT EDUCATION PROGRAMS
Title: Definitions.
Text: As used in this act:

(a) "Board" means the board of education of any school district or the board of trustees of any community college.

(b) "State board" means the state board of regents.

(c) "State plan" means the plan for adult basic education programs prepared and adopted by the state board in accordance with state and federal law.

(d) "Adult basic education program" means a program of one or more courses in general education subjects taught at the grade school or high school level under the supervision of a board for eligible persons which is included in the state plan and for which federal funds are received pursuant to federal law.

(e) "Eligible persons" means persons who (1) have attained the age of 16, (2) have not graduated from high school and have not been recognized as having achieved an equivalent level of education, and (3) are not now regularly enrolled in school.

(f) "Adult supplementary education program" means a program of one or more courses in any subject, other than courses in the adult basic education program or courses approved for state funding purposes, which is conducted under the supervision of a board for persons who have attained the age of 16.

(g) "Federal law" means the adult education act of 1966 (title III, P.L. 89-750), and acts amendatory thereof.
History: L. 1974, ch. 311, § 1; L. 1999, ch. 147, § 116; L. 2000, ch. 86, § 4; April 20.

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2. Indicators of a Quality Adult Education Program Including Standards and Measures

Effective July 1, 2010

Note: Section references in [ ] refer to relevant sections of the Adult Education and Family Literacy Act, Title II of the Workforce Investment Act. Indicators with a ** are state-imposed requirements.

1. Participants in the program are fully representative of the undereducated population in the service area, including limited English proficient adults [AEFLA, Section 231 (e)(12)]. The program serves the "most–in-need/hardest-to-serve" members of the community [AEFLA, Section 231 (e)(2) and (e)(3)].

Measure 1.1

The program effectively serves participants representative of the ethnic diversity of the under-educated population in the program's service area as demonstrated by the educational gain percentage for the minority ethnic groups when compared to the majority (for that program) ethnic group's educational gain percentage. (4 points)		
	High (4 pts.)	**The educational gain *percentage* of each minority ethnic group served by the program is equal to or greater than the majority ethnic group's educational gains' percentage. If the program's majority ethnic group percentage exceeds the state average for educational gains, then the state average is used for comparison.**
	Medium (2 pt.)	**The educational gain *percentage* of each minority ethnic group served by the program is within five to ten percent (5 -10%) of the majority ethnic group's educational gains' percentage. If the program's majority ethnic group percentage exceeds the state average for educational gains, then the state average is used for comparison.**
	Low (0 pts.)	**The educational gain *percentage* of each minority ethnic group served by the program is more than ten percent (10%) lower than the majority ethnic group's educational gains' percentage. If the program's majority ethnic group percentage exceeds the state average for educational gains, then the state average is used for comparison.**

Definitions:

Participant – adult learner who participates in instructional activities in an adult education program for 12 or more hours.

Undereducated population – adults 16 and over without a high school diploma or GED, or those with a high school diploma or higher level of education that have a pre-secondary education level in reading, writing, and/or math, and/or low levels of English language proficiency.

Each minority ethnic group – the number of participants in each of the minority ethnic groups as determined by U.S. Department of Education definitions.

Definitions (cont.):
Majority ethnic group – the group of participants that have the highest numbers being served in that particular program. For example, if in Program A 56% of the learners served are Hispanic, for that program **the *majority ethnic group* would be Hispanic.**

NOTE: Program's performance on this measure will be determined through data in PABLO on DISAGGREGATE REPORT C-2.

Measure 1.2

The program serves participants at the lowest levels of educational attainment. (8 points)		
	High (8 pts.)	**35% or more of participants enter at one of the six "Beginning Levels" (Levels 1, 2, 7, 8, 9 or 10 in Outcomes Measures Definitions).**
	Medium (4 pts.)	**25% to 34% of participants enter at one of the six "Beginning Levels" (Levels 1, 2, 7, 8, 9 or 10 in Outcomes Measures Definitions).**
	Low (0 pts.)	**Less than 25% of participants enter at one of the five "Beginning Levels" (Levels 1, 2, 7, 8, 9 or 10 in Outcomes Measures Definitions).**

Definitions:
Beginning levels – includes Beginning ABE Literacy, Beginning Basic Education, Beginning ESL Literacy, Low Beginning ESL, High Beginning ESL, and Low Intermediate ESL (at or below CASAS score of 210) as defined in *Outcome Measures Definitions*.

Enter – the classification of a participant's level is determined by pretesting when the participant begins or returns to the adult education program for the first time within the current fiscal year.

NOTE: Performance on this measure is determined by data from PABLO on Student Report A-1 QUARTERLY INSTRUCTIONAL HOURS.

Measure 1.3

The program provides participants with documented disabilities with quality services resulting in the same or similar educational gain percentage when compared to the educational gain percentage of those without disabilities. (4 points)		
	High (4 pts.)	**The educational gain *percentage* of participants with disabilities is equal to or greater than the educational gain percentage of those participants without documented disabilities.**
	Medium (2 pts.)	**The educational gain *percentage* of participants with disabilities is within five to ten percent (5% - 10%) of the educational gain percentage of participants without documented disabilities.**
	Low (0 pts.)	**The educational gain *percentage* of participants with disabilities is more than ten percent (10%) lower than the educational gain percentage of participants without documented disabilities.**

Definitions:
Documented disabilities – in the case of a physical disability, documentation consists of information provided on ***Initial Documentation of Disability*** form and maintained in the learner's file. This information includes the nature of the disability and how it was accommodated (e.g., "The learner entered in a wheelchair, was informed of accessible facilities within the center, and requested and was provided a table or computer terminal at an accessible height.").

In the case of **learning or other “invisible” disability**, documentation follows ADA guidelines, and includes confirmation of a disability through such evidence as school records (such as an IEP or evidence of special education services) or the diagnosis by a qualified psychologist or medical doctor within the last 10 years. This information should be noted on the ***Documentation of Disability*** form and maintained in the learner’s file. Participant’s self diagnosis of a disability does not constitute documentation of a learning disability. Results from screening instruments or learning style surveys do not constitute documentation of a learning disability.

NOTE: Documentation of a “specific learning disability” is much more narrowly defined for federal reporting on PABLO. **Performance on this measure is determined by data from PABLO on report DISAGGREGATE REPORT B-2.**

Measure 1.4

The program provides ongoing advising and appropriate special services for participants with documented disabilities. (4 points)		
	High (4 pts.)	**Based on program files, program provides ongoing advising and appropriate special services for *all* participants with documented disabilities.**
	Medium (2 pts.)	**Based on program files, program provides ongoing advising to participants with documented disabilities, but appropriate services are not provided to all participants with disabilities or the provision of appropriate services is not accurately documented.**
	Low (0 pts.)	**Based on program files, program provides limited advising and/or limited special services to individuals with documented disabilities.**

Definitions:
Ongoing advising – program maintains evidence in the participant’s file on the ***Follow-up*** **Documentation** form that one-on-one counseling was provided on a consistent basis—at least monthly. If a participant with a documented disability appears to be struggling, the one-on-one counseling sessions should occur more frequently.

Appropriate special services – during the initial counseling session, the participant should be informed about special services (classroom accommodations, assistance with learning strategies, etc.) that may be provided by the program to ensure that the participant will be successful. These special services should be noted on the ***Follow-up Documentation*** form. At regularly-scheduled follow-up counseling sessions, the impact of these special services should be evaluated, and the special services should be revised if necessary. If appropriate, the participant should also be directed to other relevant services available in the community and/or through other resources.

NOTE: The *Procedural Guide* of the Accommodating Adults with Disabilities in Adult Education Programs (Mellard, Gilbert, & Parker, 1998, Revised 2005) provides an excellent format for helping adult learners identify appropriate accommodations. **Performance on this measure is determined by the annual on-site monitoring.**

Measure 1.5

The program demonstrates a commitment to serve a larger percentage of undereducated adults in the community. (14 points)		
	High (14 pts.)	**Program increases the number of participants served by ten percent (10%) or greater over the previous fiscal year.**
	Medium (7 pts.)	**Program increases the number of participants served by five percent (5%) to nine percent (9%) over the previous fiscal year.**
	Low (0 pts.)	**Program increases the number of participants served by less than five percent (5%) over the previous fiscal year.**

NOTE: Program's performance on this measure is determined by using data from PABLO Student Report C-2.

2. The program is of sufficient intensity and duration so that participants *demonstrate progress* toward their educational, employment, and postsecondary education and training goals [AEFLA, Section 231, (e)(4)(A) and (e)(7)].

Measure 2.1

Participants make significant educational gains. (14 points)		
	High (14 pts.)	**65% or more of all participants entering at Levels 1, 2, 3, 4, 5, 7, 8, 9, 10, 11, and 12 complete an educational functioning level within a program year.**
	Medium (7 pts.)	**55% to 64% of all participants entering at Levels 1, 2, 3, 4, 5, 7, 8, 9, 10, 11, and 12 complete an educational functioning level within a program year.**
	Low (0 pts.)	**Less than 55% of all participants entering at Levels 1, 2, 3, 4, 5, 7, 8, 9, 10, 11, and 12 complete an educational functioning level within a program year.**

Definition:
Complete an educational functioning level – as defined by the National Reporting System (NRS) in *Outcome Measures Definitions* and PABLO.

Participants entering at educational functioning level (EFL) 6 are excluded from this measure since Kansas Adult Education does not use a pre- and posttest to measure educational gain at Level 6. Level 6 participants are not reported to NRS when reporting educational gains.

NOTE: **Performance on this measure is determined by using data from PABLO Student Report C-2.**

Measure 2.2

The program provides workplace readiness instruction as confirmed through the standardized WorkKeys assessments that leads to a Kansas Work*Ready!* certificate and reported in PABLO. (8 points)		
	High (8 pts.)	**The program provides workplace readiness instruction as demonstrated through the achievement of a Kansas Work*Ready*! certificate to 60% or greater of its exited participants entering at Levels 4, 5, 6, and 12.**
	Medium (4 pts.)	**The program provides workplace readiness instruction as demonstrated through the achievement of a Kansas Work*Ready*! certificate to 40% to 59% of its exited participants entering at Levels 4, 5, 6, and 12.**
	Low (0 pts.)	**The program provides workplace readiness instruction as demonstrated through the achievement of a Kansas Work*Ready*! certificate to less than 40% of its participants entering at Levels 4, 5, 6, and 12.**

Definitions:
<u>Workplace readiness instruction</u> – Instructor led instruction using the *Workplace Essential Skills* multi-media curriculum. Workplace readiness instruction may also include WIN or other computer-based programs that provide skill enhancement for successfully completing the WorkKeys assessments.

<u>Standardized assessment</u> –The three (3) ACT *WorkKeys* assessments—Reading for Information, Applied Mathematics, and Locating Information.

IMPORTANT: Programs may also obtain a list of participants in their program who have received a **Kansas Work*Ready*!** Certificate. (Programs do not have to actually do the WorkKeys testing themselves.) Each participant must be entered into PABLO with an appropriate certificate number. The participant must have earned the certificate during the fiscal year he/she attended the adult education program. For determining the percentage of program participants that achieve a **Kansas Work*Ready!*** Certificate, receipt of a certificate at the four different levels “count” as follows:

1 Platinum Level Work*Ready!* Certificate = 6 participants
1 Gold Level WorkReady! Certificate = 4 participants
1 Silver Level WorkReady! Certificate = 2 participants
1 Bronze Level WorkReady! Certificate = 1 participant

Examinees with documented physical or learning disabilities who cannot complete the WorkKeys assessments in the standard time limits, using standard materials, and under standard conditions may, at the discretion of the test administrator, following review of disability documentation, be tested under special conditions and/or using special testing materials available from WorkKeys. Please refer to the WorkKeys Test Coordinator Manual for full details.

NOTE: This measure will be evaluated based on the number of participants reported on PABLO as having received a Work*Ready!* Certificate on Student Report B-11.

Measure 2.3

The program provides instruction, confirmed through standardized assessments, that prepares a participant to enter postsecondary education or training. (8 points)		
	High (8 pts.)	**The program provides instruction as demonstrated through the achievement of scores on the prescribed assessments and as outlined in the PABLO manual to 40% or greater of its exited participants entering at Levels 4, 5, 6, and 12 that results in a participant's designation as "demonstrating college readiness".**
	Medium (4 pts.)	**The program provides instruction as demonstrated through the achievement of scores on the prescribed assessments outlined in the PABLO manual to 25% to 39% of its exited participants entering at Levels 4, 5, 6, and 12 that results in a participant's designation as "demonstrating college readiness".**
	Low (0 pts.)	**The program provides instruction as demonstrated through the achievement of scores on the prescribed assessments and as outlined in the PABLO manual to fewer than 25% of its exited participants entering at Levels 4, 5, 6, and 12 that results in a participant's designation as "demonstrating college readiness".**

Definitions:

Demonstrating College Readiness – means the learner has demonstrated the knowledge and skills necessary for successful entry and persistence in postsecondary education at the credit-bearing level (above Developmental Education as defined by KBOR Adult Education policy regarding CASAS, GED OPT, and GED scores and/or community college or other college placement tests' scores). Learners do not have to identify this goal in order for the program to report achievement of the outcome. (For additional information regarding definitions, see PABLO Manual, **College Readiness**, pages 47 – 49.)

NOTE: This measure will be evaluated based on the number of participants reported on PABLO as having "demonstrated college readiness" on Student Report B-12.

Measure 2.4

The program adheres to standardized testing protocol, confirmed by reviewing randomly selected learners' permanent files. (10 points)		
	High (10 pts.)	**90% to 100% of learner files examined reveal no testing protocol irregularities.**
	Medium (5 pts.)	**80% to 89% of learner files examined reveal no testing protocol irregularities.**
	Low (0 pts.)	**Less than 80% of learner files examined reveal no testing protocol irregularities.**

Examples of testing protocol irregularities:

Incorrect CASAS diagnostic pre- and/or posttest administered, invalid or unreliable test scores, missing CASAS score(s) and/or answer sheet(s), missing technology checklist(s), missing CASAS Pre-Employment/Work Maturity checklist(s), documentation of technology competency not attached to technology pre/post test(s), documentation of workplace readiness competency not attached to CASAS checklist(s).

Examples of invalid or unreliable test scores:
A test score derived from a CASAS assessment that is incorrectly scored; a test score that is above or below the valid test range for a CASAS assessment; a test score that is derived from the same test form administered to the learner previously and within the past six months; a CASAS Functional Writing Assessment picture task score and level determined by only one certified scorer or determined by two or more non-certified scorers. Also, the program monitor will evaluate the program's effectiveness at using the *KBOR Technology Lesson Plans* and the program's adherence to the *KBOR Technology Competency Checklist* protocol.

NOTE: Performance on this measure will be determined by the annual on-site monitoring of the local program.

Measure 2.5

The program adheres to the Kansas Assessment Policy, approved by the Division of Adult Education and Literacy of the U.S. Department of Education, and posttests learners during the time period identified by CASAS--every 70 to 100 hours of participation (excluding Level 6 participants). (8 points)		
	High (8 pts.)	**90% to 100% of exited participants (excluding Level 6 participants) are posttested at a minimum of 70 hours of instruction.**
	Medium (4 pts.)	**80% to 89% of exited participants (excluding Level 6 participants) are posttested at a minimum of 70 hours of instruction.**
	Low (0 pts.)	**Less than 80% of exited participants (excluding Level 6 participants) are posttested at a minimum of 70 hours of instruction.**

NOTE: Performance on this measure will be determined by PABLO data. Identify class schedule and calculate number of students, hours and length of class. (Subtract all exited learners with 39 attendance hours or less from the cohort).

3. The program identifies yearly performance goals and documents participant outcomes, and participants remain in the program a *sufficient length of time* to achieve significant outcomes [AEFLA, Section 231(e)(1), (e)(4)(A), and (e)(7)].

Measure 3.1

Participants spend a significant amount of time in instructional activities. (6 points)		
	High (6 pts.)	**The *median* number of participant hours for program participants entering at Levels 1, 2, 3, 4, 5, 7, 8, 9, 10, 11 and 12 is 70 or more hours.**
	Medium (3 pts.)	**The *median* number of participant hours for program participants entering at Levels 1, 2, 3, 4, 5, 7, 8, 9, 10, 11 and 12 is 60 to 69 hours.**
	Low (0 pts.)	**The *median* number of participant hours for program participants entering at Levels 1, 2, 3, 4, 5, 7, 8, 9, 10, 11 and 12 is less than 60 hours.**

Definition:
<u>Median number of participant hours</u> – The midpoint (an equal number above and below) in the listing of all participants' hours.

NOTE: Learners identified as "distance learners" on PABLO and their hours of participation will not be included when determining the median number of participant hours. **Performance on this measure will be determined by PABLO data.**

Measure 3.2

Prior to each fiscal year, the program negotiates with KBOR and establishes the percentages of *core* outcomes that participants will achieve. (8 points)		
	High (8 pts.)	**The program meets or exceeds 80% of its negotiated goals.**
	Medium (4 pts.)	**The program meets 60 – 79% of its negotiated goals.**
	Low (0 pts.)	**The program meets less than 60% of its negotiated goals.**

Definitions:

Core outcomes – Complete an educational functioning level, obtain employment, retain/improve employment, obtain a GED or high school diploma, and enter postsecondary education or training program.

NOTE: Performance on this measure will be determined by PABLO data and the information from the program's fiscal year's grant or funding application.

Measure 3.3

Program sets high expectations for learners, provides ongoing support, advising and follow up and, in collaboration with postsecondary education partners, creates pathways for learners to enter postsecondary education or training programs. (12 points)		
	High (12 pts.)	**Fifty percent (50%) or greater of exited participants who entered the program during the fiscal year at Levels 4, 5, 6, or 12 transition to postsecondary education or training programs.**
	Medium (6 pts.)	**Twenty-five percent (25%) to forty-nine percent (49%) of exited participants who entered the program during the fiscal year at Levels 4, 5, 6, or 12 transition to postsecondary education or training programs.**
	Low (0 pts.)	**Less than twenty-five percent (25%) of exited participants who entered the program during the fiscal year at Levels 4, 5, 6, or 12 transition to postsecondary education or training programs.**

NOTE: Performance on this measure is determined by PABLO data on Student Reports B-7 and C-2.

4. The program design and implementation process for all program sites is based on research and effective educational practice [AEFLA, Section 231 (e)(4)(B) and (e)(5)]. Programs offer flexible, yet intensive, schedules and appropriate support services [AEFLA, Section 231 (e)(10)].

Measure 4.1

The program design and implementation process at the program's main site and all outreach sites incorporates the components of the Comprehensive Adult Education Planner as demonstrated by the score on the PAM Implementation Review Matrix. (PAM – Mellard and Scanlon, University of Kansas). (4 points)		
	High (4 pts.)	**Program design and implementation incorporates all seven components of PAM as demonstrated by having an overall score of 85% or better of the total possible points on the PAM Essentials Matrix when the scale is completed by 100% of the program staff.**
	Medium (2 pts.)	**Program design and implementation moderately incorporates all seven components of PAM as demonstrated by having an overall score of 75 to 84% of the total possible points on the PAM Essentials Matrix when the scale is completed by 100% of the program staff.**
	Low (0 pts.)	**Program design and implementation does not incorporate all seven components of PAM as demonstrated by having an overall score of less than 75% of the total possible points on the PAM Essentials Matrix when the scale is completed by 100% of the program staff or when the PAM Essentials Matrix is completed by less than 100% of the program staff.**

Definitions:
PAM – See *The Adult Education Comprehensive Planner*, Mellard and Scanlon, University of Kansas Center for Research on Learning, Revised 2004.

Components of PAM – Pre-enrollment, orientation, assessment, prescription, instruction, test taking, and transition. (See explanation below.)

Main site –The primary location for program services; the single location where the largest percentage of learners are served.

Outreach site – a program site offering adult education program services away from the main center of the program.

Explanation of PAM components required to be implemented:

Pre-enrollment – Printed basic information about program and program offerings, printed and disseminated schedule of orientations and classes, printed script accessible to all staff members to ensure appropriate responses to telephone or face-to-face inquiries.

Orientation – A regularly scheduled group process that lasts a minimum of **six** hours over a minimum of two days and includes the following:

- Delivery of information about and explanation of program's offerings, objectives, funding sources, policies (both behavior and attendance), services to individuals with disabilities, and goal-setting;
- Gathering of demographic information on potential learners;
- Group/individual activities that contribute to building a "community of learners."
- Appraisal testing;
- Diagnostic testing (no more than two diagnostic tests on one day—reading, math, listening, and/or writing);
- One-on-one counseling (SEE **Prescription** explanation) which includes additional sharing and gathering of information on disability status and, if necessary, initial identification of accommodations, test scores and explanations, and continuation of the goal-setting process;
- Determination of appropriate class(es) and attendance schedule; and
- Signing of program/learner agreement.

The orientation must take place in a room that is completely segregated from where instruction is being provided or at a time when only orientation is offered, to prevent disruption of services to current participants. ***Orientation*** is not synonymous with ***enrollment***!

Assessment – A process that determines learners' skill levels and progression in multiple content areas. Informal assessments may include instructor-generated tests or "end-of-chapter" tests. Formal assessments include standardized tests that have stringent protocols and comparable forms of pre- and posttests. In Kansas, formal assessments include CASAS Diagnostic Reading, Math, and Listening Tests, CASAS Functional Writing Assessment: Picture Task, and KBOR Technology Teknimedia. Programs must have an assessment policy and schedule that is followed by all staff members. (SEE Section 11 of the KBOR Adult Education Policy Manual for additional information.)

Prescription – A one-on-one private session with the learner and teacher to review assessment results and goals, develop or update the learning plan, and update learner permanent records. The initial prescription component activities occur at the end of the orientation/assessment component and within 12 hours of the learner's entry into the program. Prescription sessions with each learner should also occur after formal assessments (posttests) or at the end of a program session.

Instruction – Programs should provide a variety of instructional classes, i.e. content classes, topic classes, learning strategy, and test-taking classes. Each class should have a syllabus and lesson plans that reflect course content linked to the assessment.

Test taking – Programs must follow the testing protocol in the Kansas Adult Education Assessment Policy (Chapter 11, *Kansas Adult Education Policy Manual*) for the formal CASAS assessments and KBOR Technology Teknimedia and the policies outlined in the *Kansas GED Testing Policy Manual and Reference Guide* for the Official GED Practice Test.

Transition – A process that begins in orientation with a discussion of learners' options once they leave the program. The discussion of options and transition activities (speakers, field trips, etc,) continues throughout the participants' participation in the program and continued support is made available even after the participant exits the program. Programs must have a written transition plan for moving higher-level participants into postsecondary education.

NOTE: The PAM Essentials Matrix and PAM scoring rubric is available in Appendix A. Performance on this measure is determined by the results of the matrix as reported on the rubric to KBOR Adult Education.

Measure 4.2

Program design, including scheduling, instructional activities and support services, contribute to learners' persistence in the program. (4 points)		
	High (4 pts.)	**Participants at all program sites, including any outreach sites, attend on average (mean) 80 or more hours per twelve-week enrollment period.**
	Medium (2 pts.)	**Participants at all program sites, including any outreach sites, attend on average (mean) from 60 to 79 hours per twelve-week enrollment period.**
	Low (0 pts.)	**Participants at all program sites, including any outreach sites, attend on average (mean) less than 60 hours per twelve-week enrollment period.**

Definitions:
Outreach site – a program site offering adult education program services away from the main center of the program.

Support services – services available during scheduled program hours to participants that support retention and learner outcomes, such as counseling, childcare, and transportation and computer lab access.

Expectation of scheduling:
All **classes** should be offered a minimum of 8 hours per week, i.e. ABE/GED is offered a minimum of 8 hours a week during the day and/or a minimum of 8 hours a week in the evening, not 8 hours per week during the daytime and only 6 hours per week in the evening. Similarly, Beginning ESL is offered a minimum of 8 hours a week during the day and/or 8 hours a week during the evening, not 4 hours for Beginning ESL on Monday and Wednesday evenings and 4 hours of Intermediate ESL on Tuesday and Thursday evenings.

Classes for different levels of learners must be scheduled, and a published schedule of classes should reflect only actual instructional times—not teacher preparation time or one-on-one counseling times.

NOTE: Performance on this measure is determined by information provided on the grant application or funding application.

5. Program activities effectively employ advances in technology, including the use of computers [AEFLA, Section 231, (e)(6)].

Measure 5.1

The program has a technology plan and incorporates use of current technology into participant instruction. (4 points)		
	High (4 pts.)	**100% of all teachers incorporate using a computer and other multi-media into instructional activities as confirmed through teacher observations conducted by the program's instructional leader(s).**
	Medium (2 pts.)	**75% to 99% of all teachers incorporate using a computer and other multi-media into instructional activities as confirmed through teacher observations conducted by the program's instructional leader(s).**
	Low (0 pts.)	**Less than 75% of all teachers incorporate using a computer and other multi-media into instructional activities as confirmed through teacher observations conducted by the program's instructional leader(s).**

Definition:
Multi-media – including the use of several media, e.g. DVDs, television, audiotapes.

Teacher observations conducted by the program's instructional leader(s): Using the Standards-in-Action Observation System, the instructional leader will note technology usage in the classroom. The SIA forms are available in Appendix II.

NOTE: Performance on this measure will be determined by the program's instructional leader's observation of teachers' technology use in the classroom as reported to KBOR Adult Education.

Measure 5.2

The program provides technology-specific instruction, including current computer applications and use of Internet, to participants. (8 points)		
	High (8 pts.)	**The program provides technology-specific instruction, including computers and use of Internet, to 90% to 100% of its participants, using the *KBOR Teknimedia* web-delivered and teacher-facilitated curriculum.**
	Medium (4 pts.)	**The program provides technology-specific instruction, including computers and use of Internet, to 80% to 89% of its participants, using the *KBOR Teknimedia* web-delivered and teacher-facilitated curriculum.**
	Low (0 pts.)	**The program provides technology-specific instruction, including computers and use of Internet, to less than 80% of its participants and/or does not use the *KBOR Teknimedia* web-delivered and teacher-facilitated curriculum.**

Definition:
Technology-specific instruction – Instruction is provided to participants in the use of computers, word processing, e-mail and the internet using the web-based and teacher-facilitated Teknimedia curriculum. Teknimedia modules are as follows:

COMPUTER BASICS 1 Certificate Modules
Mouse Tutorial—English or Spanish
PC100 Basic Skills
PC101 Computer Basics

COMPUTER BASICS 2 Certificate Modules
PC110 Files and Folders
PC135 Exploring the Web
PC140 Basic Word Processing (MS Word 2007)

<u>Completing through instruction</u> – After taking the pre-assessment and identifying the learner's needs, a module completed through instruction is one the participant's pretest indicated was needed. Then the participant actually logs into the module and accumulates time completing the lessons. Finally, the participant must successfully complete the performance-based assessments throughout the lesson as well as the knowledge-based posttest for the module in order to have the module marked as being completed through instruction.

<u>Not completing through instruction</u> – After taking the pre-assessment and determining the learner does not have a deficiency in that module, the module is then marked in PABLO as "no" (not completing through instruction).

NOTE: Performance on this measure will be based on the total number of participants in the program completing at least one technology module as reported on PABLO divided by the total number of participants in the program during the <u>current</u> fiscal year on List Report G-1.

Measure 5.3

The program provides technology-specific instruction which results in participants earning a Computer Basics 1 and/or Computer Basics 2 certificate. (8 points)		
	High (8 pts.)	**The program provides technology-specific instruction, and 65% or greater of the participants earn a Computer Basics 1 and/or Computer Basics 2 certificate.**
	Medium (4 pts.)	**The program provides technology-specific instruction, and 50% to 64% of the participants earn a Computer Basics 1 and/or Computer Basics 2 certificate.**
	Low (0 pts.)	**The program provides technology-specific instruction, yet less than 50% of the participants earn a Computer Basics 1 and/or Computer Basics 2 certificate.**

Definition:
<u>Technology-specific instruction</u> –Instruction is provided to participants in the use of computers, word processing, e-mail and the internet using the web-based and teacher- facilitated Teknimedia curriculum. Teknimedia modules are:

COMPUTER BASICS 1 Certificate Modules*
Mouse Tutorial—English or Spanish
PC100 Basic Skills
PC101 Computer Basics

COMPUTER BASICS 2 Certificate Modules*
PC110 Files and Folders

PC135 Exploring the Web
PC140 Basic Word Processing (MS Word 2007)

Completing through instruction – After taking the pre-assessment and identifying the learner's needs, a module completed through instruction is one the participant's pretest indicated was needed (scores less than 100%). Then the participant actually logs into the module and accumulates time completing the lessons. Finally, the participant must successfully complete the performance-based assessments throughout the lesson as well as the knowledge-based posttest, with a minimum score of 90%, for the module in order to have the module marked as being completed through instruction. The participant must complete through instruction at least ***one*** module required for the Computer Basics Certificate for the certificate to count in the calculation for this measure and be marked in PABLO in the certificate section as "completed through instruction."

Not completing through instruction – After taking the pre-assessment the learner does not have a deficiency in that module (scores 100%), the module is then marked in PABLO as "no" (not completing through instruction). If the learner successfully completes all of the pre-assessments for the modules included for the certificate, then the certificate is not earned through instruction and does not count for this measure.

*At least one of the modules for the Computer Basics 1 or Computer Basics 2 certificate must be completed through instruction for the certificate to count in the calculation.

NOTE: Performance on this measure will be based on the total number Computer Basics certificates (1 and/or 2) earned through instruction as reported on PABLO divided by the total number of participants during the current fiscal year (List Report G-1). If a participant completes both certificates through instruction in the same fiscal year, both will count in the total number of certificates earned for the purposes of this measure.

6. The program receives local financial support and is viewed as a valuable component of the sponsoring institution or non-profit agency.

Measure 6.1

The program receives local financial support in addition to the minimum required amounts to provide services. (8 points)		
	High (8 pts.)	**Host institution or non-profit agency provides a 35% or greater match (in cash) to federal funds.**
	Medium (4 pts.)	**Host institution or non-profit agency provides at least a 30% but less than a 35% match (in cash) to federal funds.**
	Low (0 pts.)	**Host institution or non-profit agency provides less than a 30% match (in cash) to federal funds.**

Definitions:
Cash match – cash used to match federal funds must be local agency funds. The source of the cash must be state general funds, local ABE mil levy funds, local donations, other (non-federal) grants or other funds provided by the hosting institution and must be used exclusively for AEFLA activities. All of the local cash match reported on the annual budget must be spent in its entirety in the fiscal year in which it was included in the approved annual budget. Local matching funds must NOT be generated from contracted basic skills services.

NOTE: Performance on this measure will be determined by KBOR adult education staff based on the approved fiscal year budget and expenditure reports.

7. The program demonstrates a commitment to quality service to adult learners and to the professionalism of the field of adult education by having paid staff with appropriate educational backgrounds, with credentials in adult education, and with adequate training [AEFLA, Section 231, (e)(8)].

Measure 7.1

Paid instructional and administrative leadership staff members have appropriate educational backgrounds. (4 points)		
	High (4 pts.)	**100% of paid instructional and administrative leadership staff has bachelor's, graduate or post-graduate degrees.**
	Medium (2 pts.)	**85% to 99% of paid instructional and administrative leadership staff has bachelor's, graduate or post-graduate degrees.**
	Low (0 pts.)	**Less than 85% of paid instructional and administrative leadership staff has bachelor's, graduate or post-graduate degrees.**

Definitions:
Paid instructional and administrative leadership staff – all paid staff involved in adult education instructional activities, including instructors, teachers, tutors, paraprofessional classroom aides, counselors, and assessment staff, or in administrative leadership roles, such as directors and coordinators. This definition includes all teachers involved in adult education instructional activities, although they are paid from a non-AEFLA source. This definition does not include secretarial or support staff not involved in instruction or assessment. It also does not include unpaid volunteers.

NOTE: Performance on this measure will be determined by KBOR Adult Education staff from support documentation provided by programs and reported in PABLO on the individual local program staff profile.

Measure 7.2

Paid instructional and administrative leadership staff is currently KAEA credentialed. (2 points)		
	High (2 pts.)	**100% of paid instructional and administrative leadership staff has current KAEA credentials.**
	Medium (1 pts.)	**90% to 99% of paid instructional and administrative leadership staff has current KAEA credentials**
	Low (0 pts.)	**Less than 90% of paid instructional and administrative leadership staff has current KAEA credentials.**

Note: New staff has six (6) weeks following the initial date of employment to secure the initial KAEA credential. KAEA credentialing must be kept current. Although KAEA credentialing is required, this does not imply that programs must pay for credentialing costs. Programs have the option to use local funds if they choose; however, federal and state funds CANNOT be used for the costs of credentialing.

NOTE: Performance on this measure is determined by KBOR Adult Education staff by comparing the KAEA credentialing report with the program's instructional and leadership staff reported on the Staff Profile page in PABLO during the *current* fiscal year.

Measure 7.3

The program meets its program improvement plan objective (one objective). (10 points)		
	High (10 pts.)	**The program meets or exceeds its annual program improvement objective.**
	Medium (5 pts.)	**The program makes positive progress toward meeting its program improvement plan objective.**
	Low (0 pts.)	**The program fails to make positive progress toward meeting its program improvement plan objective.**

Definitions:
<u>Positive progress toward</u> **–** Program demonstrates improvement from previous fiscal year.

For example, a program's improvement plan (PIP) objective is as follows: Central Kansas Community College Adult Education will increase the overall educational gains percentage from 63% (in FY10) to 65% in FY11. Subsequently, the program achieves 64% in FY11 in educational gains overall. The improvement is 1% over FY10's performance. While the program did not meet its PIP objective, it did make positive progress toward achieving its objective.

Program must submit quarterly progress reports with a final report submitted with its end-of-year data.

NOTE: Performance on this measure is determined by PABLO data.

8. The program actively collaborates with multiple partners in the community to expand the services available to adult learners and to prevent duplication of services [AEFLA, Section 231, (e)(9)]. The program actively seeks and responds to input from local stakeholders in planning for local services**.

Measure 8.1

The program collaborates with multiple partners to provide quality services to adult learners. (4 points)		
	High (4 pts.)	**Program demonstrates collaboration with three (3) or more partners who recognize the value of the program to the community.**
	Medium (2 pts.)	**Program demonstrates collaboration with two (2) partners who recognize the value of the program to the community.**
	Low (0 pts.)	**Program demonstrates collaboration with fewer than two (2) partners who recognize the value of the program to the community.**

Explanation of partners who recognize the value of the program:
Collaborative partners are other agencies or institutions who work closely with the local adult education program to ensure that the limited adult education funding is maximized. These partners demonstrate their recognition of the value of the program to the community by providing additional funds, meeting locations, services, volunteers, etc., that **significantly**

impact the quality of services that would be available to adult learners in the community without this collaboration. In almost all instances, the applicant (sponsoring) agency cannot be a collaborative partner. Examples of "significant" support include funds contributed to the program for programmatic expenses or for individual participants' expenses, donations of equipment and supplies, provisions of medical or counseling services for participants, sponsoring of events, continuing publicity about program's offerings and events.

NOTE: Performance on this measure will be determined by KBOR adult education staff based on narrative report with details regarding the collaborative partners' contribution.

9. The program maintains a high-quality information management system to monitor learner, classroom and program performance, to evaluate program effectiveness, and to report participant outcomes. The program uses quality data as a key component in the decision-making process. [AEFLA, Section 231 (e)(11)].

Measure 9.1

The program monitors progress toward its program improvement objective(s) and negotiated outcomes by having accurate and up-to-date information on participants' demographics, assessments, goals, outcomes, and hours of participation, including appropriate surveying of exited learners with the PSE goal. (6 points)		
	High (6 pts.)	**Using PABLO, the program enters data regularly and in a timely manner, monitors data for accuracy, and submits the annual report with the number of errors not exceeding five percent (5%) of the total number of participants served during the reported fiscal year.**
	Medium (3 pt.)	**Using PABLO, the program enters data regularly and in a timely manner, monitors data for accuracy, and submits the annual report with the number of errors exceeding five percent (5%) but no more than ten percent (10%) of the total number of participants served during the reported fiscal year.**
	Low (0 pts.)	**Regarding PABLO, program does not enter data regularly or enters data in an untimely manner or does not monitor data for accuracy and submits the annual report with the number of errors exceeding ten percent (10%) of the total number of participants served during the reported fiscal year.**

Definitions:

<u>Enters data regularly and in a timely manner</u> – initial learner demographic data, assessment pretest cores, goals, class(es) and teacher(s) and/or advisor information is entered monthly at a minimum. Quarterly data is finalized no later than four weeks after the last day of the quarter.

<u>Monitors data for accuracy</u> – has identified and consistently uses a checks-and-balance system that includes instructors' reviews to ensure that PABLO-entered data is complete and accurate.

<u>Errors</u> – entry or lack of entry of information into PABLO that results in data that does not correspond to the information in a learner's individual permanent file; entry or lack of entry of information into PABLO that does not follow the guidelines provided in the latest PABLO users' manual and the *Kansas Adult Education Assessment Policy* (Section 11, *Kansas Adult Education Policy Manual*). PABLO *Validate Data* queries are tools designed to assist programs

in the identification of errors. However, an error that is not identified by a *Validate Data* query is still an error. Also, the use of Student Report C-1 is helpful in identifying general data entry errors, conflicts with hours and exit dates, those who were posttested with less than 40 hours and override issues. Also, reviewing student reports C-7 for ABE and C-13 for ESL can be helpful in identifying assessment issues, i.e. incorrect forms, incorrect pretest information entered.

<u>Appropriate surveying of exited participants</u> – follows PSE surveying policy and data entry protocol outlined in *PABLO Users' Manual.* Reviewing the following reports can be helpful in identifying PSE errors: List Report A-9 for the goal of enter PSE, Student Report B-3 and Validate Data Query D-3.

NOTE: Performance on this measure will be determined by KBOR adult education staff based on the number of errors on the end-of-year report.

Measure 9.2

The program demonstrates administrative capability by submitting accurate and timely budgets, quarterly budget reports, Program Improvement Plan (PIP) quarterly and end-of-year reports, the Capital Outlay report, the Quarter 3 PABLO report, and the Data Quality Checklist. (8 points)		
	High (8 pts.)	**The program submits no more than two of the required reports and budgets inaccurately and/or after the reporting deadline.**
	Medium (4 pt.)	**The program submits three to five of the required reports and budgets inaccurately and/or after the reporting deadline**
	Low (0 pts.)	**The program submits more than five of the required reports and budgets inaccurately and/or after the reporting deadline.**

NOTE: Performance on this measure will be determined by KBOR Adult Education staff's records of dates of report submissions and determination of accuracy confirmed through emails.

10. The program provides quality and cost-effective adult education services**.

Measure 10.1

The program provides quality adult education services at a cost per core outcome that is aligned with the state median cost per outcome.		
	10 points	**>$250.00 less than state median**
	8 points	**$201.00--$250.00 less than state median**
	6 points	**$151.00--$200.00 less than state median**
	4 points	**$101.00--$150.00 less than state median**
	2 points	**State average--$100.00 less than state median**
	0 points	**$1.00--$100.00 greater than state median**
	-2 points	**$101.00--$200.00 greater than state median**
	-4 points	**$201.00--$300.00 greater than state median**
	-6 points	**$301.00--$400.00 greater than state median**
	-8 points	**$401.00--$500.00 greater than state median**
	-10 points	**>$500.00 greater than state median**

Definitions:
Core outcomes - (1) educational gain (completion of an educational functioning level), (2) achievement of the GED, (3) entrance into postsecondary education or training, (4) entrance into employment and (5) retention/improvement in employment as defined in the *PABLO Users' Manual*, Appendix 1.

Cost calculation: Amount of allocated federal and state funding/number of core outcomes = cost per core outcome

NOTE: Performance on this measure will be determined by KBOR Adult Education staff based on the local program's federal and state funding and the total number of participant outcomes as defined above.

Measure 10.2

The percentage of the state's total core outcomes achieved by the local program's participants is equal to or exceeds the percentage of the total state and federal funds received by the local program. (8 points)		
	High (8 pts.)	**The percentage of the local program participants' core outcomes achieved exceeds the percentage of state and federal funds received by the local program.**
	Medium (4 pts.)	**The percentage of the local program participants' core outcomes achieved is equal to or no more than three (3) percentage points less than the percentage of state and federal funds received by the local program.**
	Low (0 pts.)	**The percentage of the local program participants' core outcomes achieved is more than three (3) percentage points less than the percentage of state and federal funds received by the local program.**

Definitions:
<u>Core outcomes</u> - (1) educational gain (completion of an educational functioning level), (2) achievement of the GED, (3) entrance into postsecondary education, (4) entrance into employment and (5) retention/improvement in employment as defined in the *PABLO Users' Manual*, Appendix 1.

<u>Percentage calculation</u>: Program's combined federal and state funding/Kansas Adult Education's total amount of federal and state funding = program's percentage of total Kansas Adult Education funding

Program's number of core outcomes/Kansas Adult Education's total number of core outcomes = program's percentage of total Kansas Adult Education's core outcomes

The difference between *program's percentage of total Kansas Adult Education funding* and *program's percentage of total Kansas Adult Education's core outcomes* determines the program's performance on this measure.

For example, Program A received $124,000 **(3%)** of the total state and federal dollars ($4,898, 998), and its learners achieved 294 **(2%)** core outcomes of the state's total number of core outcomes (17,154). Program A would receive four points for this measure.

NOTE: Performance on Measure 10.2 will be determined by KBOR Adult Education staff based on the local program funding and the total number of participant core outcomes as defined above. For FY2012 funding, performance will be determined using FY2010 funding and FY2010 core outcomes.

Section 2: Appendix A

PAM Rating Scale for FY2011 Indicators

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PAM Rating Scale for FY2011 Indicators
The PAM Essentials

Collaborative Approach:

1. All instructors and staff are involved in PAM implementation. **N/A**

4 Strongly Agree	3 Agree	2 Disagree	1 Strongly Disagree

2. All center and satellite sites are involved. **N/A**

4 Strongly Agree	3 Agree	2 Disagree	1 Strongly Disagree

3. Issues with current policies, practices, and procedures are identified. **N/A**

4 Strongly Agree	3 Agree	2 Disagree	1 Strongly Disagree

4. All staff and instructors reviewed the PAM content. **N/A**

4 Strongly Agree	3 Agree	2 Disagree	1 Strongly Disagree

5. All staff provided input in identifying areas of needed improvement. **N/A**

4 Strongly Agree	3 Agree	2 Disagree	1 Strongly Disagree

6. Area of needed improvement are identified and agreed upon. **N/A**

4 Strongly Agree	3 Agree	2 Disagree	1 Strongly Disagree

7. Timeline developed for PAM implementation and/or program improvement. **N/A**

4	3	2	1
Strongly Agree	**Agree**	**Disagree**	**Strongly Disagree**

8. Agendas for meetings are developed by the staff. **N/A**

4	3	2	1
Strongly Agree	**Agree**	**Disagree**	**Strongly Disagree**

9. Regular staff meetings (1 to 1.5 hr.) are held. **N/A**

4	3	2	1
Strongly Agree	**Agree**	**Disagree**	**Strongly Disagree**

11. All staff consider themselves to be equal partners in the collaborative process. **N/A**

4	3	2	1
Strongly Agree	**Agree**	**Disagree**	**Strongly Disagree**

Pre-enrollment Component:

1. Learner inquiries are welcomed. **N/A**

4	3	2	1
Strongly Agree	**Agree**	**Disagree**	**Strongly Disagree**

2. Script for phone or in person inquiries is used. **N/A**

4	3	2	1
Strongly Agree	**Agree**	**Disagree**	**Strongly Disagree**

3. Information packets of descriptive materials are handed out or mailed. **N/A**

4	3	2	1
Strongly Agree	**Agree**	**Disagree**	**Strongly Disagree**

4. Program options are explained. **N/A**

4	3	2	1
Strongly Agree	**Agree**	**Disagree**	**Strongly Disagree**

5. Inquiry about special needs is made by staff. **N/A**

4	3	2	1
Strongly Agree	**Agree**	**Disagree**	**Strongly Disagree**

6. Next activity is scheduled (e.g. orientation, GED exam, GED practice test, or placement testing) for participant. **N/A**

4	3	2	1
Strongly Agree	**Agree**	**Disagree**	**Strongly Disagree**

Orientation Component:

1. Orientation scheduled regularly as a group activity. **N/A**

4	3	2	1
Strongly Agree	**Agree**	**Disagree**	**Strongly Disagree**

2. Enrollment materials are completed. **N/A**

4	3	2	1
Strongly Agree	**Agree**	**Disagree**	**Strongly Disagree**

3. Learners are asked to self identify any disabilities. **N/A**

4	3	2	1
Strongly Agree	**Agree**	**Disagree**	**Strongly Disagree**

4. Learners identify goals for participation. **N/A**

4	**3**	**2**	**1**
Strongly Agree	**Agree**	**Disagree**	**Strongly Disagree**

5. Learners participate in group activities. **N/A**

4	**3**	**2**	**1**
Strongly Agree	**Agree**	**Disagree**	**Strongly Disagree**

6. Instructional class time options are discussed. **N/A**

4	**3**	**2**	**1**
Strongly Agree	**Agree**	**Disagree**	**Strongly Disagree**

7. Learners develop options to address problems that might arise (e.g. childcare, transportation, illness, and weather). **N/A**

4	**3**	**2**	**1**
Strongly Agree	**Agree**	**Disagree**	**Strongly Disagree**

8. The learner does at least 15% of the talking during orientation. **N/A**

4	**3**	**2**	**1**
Strongly Agree	**Agree**	**Disagree**	**Strongly Disagree**

9. The learners leave with a clear understanding of program services available and the belief that she/he can be successful. **N/A**

4	**3**	**2**	**1**
Strongly Agree	**Agree**	**Disagree**	**Strongly Disagree**

10. If asked, the learners would comment that they felt like the staff truly cared about their well-being and encouraged their continued participation. **N/A**

4	3	2	1
Strongly Agree	**Agree**	**Disagree**	**Strongly Disagree**

Assessment Component:

1. Placement testing is described. **N/A**

4	3	2	1
Strongly Agree	**Agree**	**Disagree**	**Strongly Disagree**

2. Needed learner accommodations are identified and provided. **N/A**

4	3	2	1
Strongly Agree	**Agree**	**Disagree**	**Strongly Disagree**

3. Testing environment and practices are such that the test is appropriately administered. **N/A**

4	3	2	1
Strongly Agree	**Agree**	**Disagree**	**Strongly Disagree**

4. Learner completes appropriate pretest. **N/A**

4	3	2	1
Strongly Agree	**Agree**	**Disagree**	**Strongly Disagree**

5. Assessment results are explained individually in a confidential setting. **N/A**

4	3	2	1
Strongly Agree	**Agree**	**Disagree**	**Strongly Disagree**

6. A copy of assessment results in an understandable format is given to the learner. **N/A**

4	3	2	1
Strongly Agree	**Agree**	**Disagree**	**Strongly Disagree**

7. Testing materials and test results are kept confidential and stored in a secure location. **N/A**

4	3	2	1
Strongly Agree	**Agree**	**Disagree**	**Strongly Disagree**

8. Assessment results are linked to instructional materials. **N/A**

4	3	2	1
Strongly Agree	**Agree**	**Disagree**	**Strongly Disagree**

Prescription Component:

1. Prescription is developed collaboratively between learner and instructor in a confidential setting. **N/A**

4	3	2	1
Strongly Agree	**Agree**	**Disagree**	**Strongly Disagree**

2. Learning abilities and interests are identified. **N/A**

4	3	2	1
Strongly Agree	**Agree**	**Disagree**	**Strongly Disagree**

3. Learners are asked to self-identify any disability affecting participation. **N/A**

4	3	2	1
Strongly Agree	**Agree**	**Disagree**	**Strongly Disagree**

4. Release of information forms are completed for relevant educational records. **N/A**

4	3	2	1
Strongly Agree	**Agree**	**Disagree**	**Strongly Disagree**

5. Learner goals are identified and learner understands and values the goals he/she has set. **N/A**

4	3	2	1
Strongly Agree	**Agree**	**Disagree**	**Strongly Disagree**

6. Instructional options are described and selected. **N/A**

4	3	2	1
Strongly Agree	**Agree**	**Disagree**	**Strongly Disagree**

7. Participation schedule is developed with the learner. **N/A**

4	3	2	1
Strongly Agree	**Agree**	**Disagree**	**Strongly Disagree**

8. Assessment results are incorporated into decision about curricular goals. **N/A**

4	3	2	1
Strongly Agree	**Agree**	**Disagree**	**Strongly Disagree**

9. Steps are initiated to identify and select appropriate access and instructional accommodations. **N/A**

4	3	2	1
Strongly Agree	**Agree**	**Disagree**	**Strongly Disagree**

10. Progress reviews are scheduled and conducted on a regular basis. **N/A**

4	3	2	1
Strongly Agree	**Agree**	**Disagree**	**Strongly Disagree**

11. An adult education class schedule is developed with the learner. **N/A**

4	3	2	1
Strongly Agree	**Agree**	**Disagree**	**Strongly Disagree**

12. The learner's goals are reviewed routinely in order to determine progress and the goals appropriateness. **N/A**

4	3	2	1
Strongly Agree	**Agree**	**Disagree**	**Strongly Disagree**

Instruction Component:

1. Multi-instructional methods are used. **N/A**

4	3	2	1
Strongly Agree	**Agree**	**Disagree**	**Strongly Disagree**

2. Learners participate in a combination of individual, dyad, small, or large group instruction, as appropriate. **N/A**

4	3	2	1
Strongly Agree	**Agree**	**Disagree**	**Strongly Disagree**

3. Independent work (e.g. worksheets, computer drills, workbooks) are only used as supplementary materials or for skill reinforcement only. **N/A**

4	3	2	1
Strongly Agree	**Agree**	**Disagree**	**Strongly Disagree**

4. Routine progress testing is conducted at fixed intervals. **N/A**

4 Strongly Agree	3 Agree	2 Disagree	1 Strongly Disagree

5. Routines for reviewing the learners' learning plans and progress are established. **N/A**

4 Strongly Agree	3 Agree	2 Disagree	1 Strongly Disagree

6. Instruction is most frequently provided in small or large groups. **N/A**

4 Strongly Agree	3 Agree	2 Disagree	1 Strongly Disagree

7. Curricular materials are specified. **N/A**

4 Strongly Agree	3 Agree	2 Disagree	1 Strongly Disagree

8. Class schedules are posted. **N/A**

4 Strongly Agree	3 Agree	2 Disagree	1 Strongly Disagree

9. Learning strategy classes are taught. **N/A**

4 Strongly Agree	3 Agree	2 Disagree	1 Strongly Disagree

Test-Taking Component:

1. Test-taking strategies are offered as curricular content. **N/A**

4	3	2	1
Strongly Agree	**Agree**	**Disagree**	**Strongly Disagree**

2. Learners are fully informed about the process of test-taking, including the implications of test outcomes. **N/A**

4	3	2	1
Strongly Agree	**Agree**	**Disagree**	**Strongly Disagree**

3. Staff consults with learners about testing preparation and requirements. **N/A**

4	3	2	1
Strongly Agree	**Agree**	**Disagree**	**Strongly Disagree**

4. Environment and atmosphere are appropriate for successful testing. **N/A**

4	3	2	1
Strongly Agree	**Agree**	**Disagree**	**Strongly Disagree**

5. Appropriate accommodations are available for persons with disabilities. **N/A**

4	3	2	1
Strongly Agree	**Agree**	**Disagree**	**Strongly Disagree**

6. Exams are administered according to standardization directions. **N/A**

4	3	2	1
Strongly Agree	**Agree**	**Disagree**	**Strongly Disagree**

Transition Component:

1. Staff reviews with learners their participation and success in the program to date. **N/A**

4 Strongly Agree	3 Agree	2 Disagree	1 Strongly Disagree

2. Program has established transition goal benchmarks so participant and staff can assess progress toward goal achievement. **N/A**

4 Strongly Agree	3 Agree	2 Disagree	1 Strongly Disagree

3. A community resource directory is available for learners. **N/A**

4 Strongly Agree	3 Agree	2 Disagree	1 Strongly Disagree

4. Participants apply for federal financial aid by completing the Free Application for Federal Student Aid (FAFSA) while still in the adult education program. **N/A**

4 Strongly Agree	3 Agree	2 Disagree	1 Strongly Disagree

5. Individual transition planning meetings are held. **N/A**

4 Strongly Agree	3 Agree	2 Disagree	1 Strongly Disagree

6. Staff assists the learner with initiating and following up with her/his choice for postsecondary education or training. **N/A**

4 Strongly Agree	3 Agree	2 Disagree	1 Strongly Disagree

7. Follow-up contacts are attempted and continued transition support offered to participants who have exited the program. **N/A**

4	3	2	1
Strongly Agree	**Agree**	**Disagree**	**Strongly Disagree**

8. Program has a written transition plan for assisting participants in higher levels to postsecondary education or training. **N/A**

4	3	2	1
Strongly Agree	**Agree**	**Disagree**	**Strongly Disagree**

9. All staff review the program's transition plan annually and provide updates as appropriate. **N/A**

4	3	2	1
Strongly Agree	**Agree**	**Disagree**	**Strongly Disagree**

FY2011 PAM Implementation Review												
Collaborative Approach	#1	#2	#3	#4	#5	#6	#7	#8	#9	#10	Total	Average Rating
1. All instructors and staff are involved.												
2. All center and outreach sites are involved.												
3. Issues with current policies, practices, and procedures are identified.												
4. All staff and instructors have reviewed the PAM content.												
5. All staff provide input in identifying areas of needed improvement.												
6. Areas of needed improvement are identified and agreed upon.												
7. Timeline developed for PAM implementation and/or program improvement.												
8. Agendas for meetings are developed by the staff.												
9. Regular staff meetings (1 to 1.5 hr.) are held.												
10. All staff consider themselves to be equal partners in the collaborative process.												
Collaborative Approach Totals												
Pre-Enrollment Component	#1	#2	#3	#4	#5	#6	#7	#8	#9	#10	Total	Average Rating
1. Learner inquiries are welcomed.												
2. Script for phone or in person inquiries is used.												
3. Information packets of descriptive materials are handed out or mailed.												
4. Program options are explained.												
5. Inquiry about special needs is made by staff.												
6. Next activity is scheduled (e.g. orientation, GED exam, GED practice test, or placement testing) for participant.												
Pre-Enrollment Component Totals												

Orientation Component	#1	#2	#3	#4	#5	#6	#7	#8	#9	#10	Total	Average Rating
1. Orientation scheduled regularly as a group activity.												
2. Enrollment materials are completed.												
3. Learners are asked to self-identify any disabilities.												
4. Learners identify goals for participation.												
5. Learners participate in group activities.												
6. Instructional class time options are discussed.												
7. Learners develop options to address problems that might arise (e.g. childcare, transportation, illness, and weather).												
8. The learner does at least 15% of the talking during orientation.												
9. The learners leave with a clear understanding of program services available and the belief that she/he can be successful.												
10. If asked, the learners would comment that they felt like the staff truly cared about their well-being and encouraged their continued participation.												
Orientation Component Totals												

Assessment Component	#1	#2	#3	#4	#5	#6	#7	#8	#9	#10	Total	Average Rating
1. Placement testing is described.												
2. Needed learner accommodations are identified and provided.												
3. Testing environment and practices are such that the test is appropriately administered.												
4. Learner completes appropriate pre-test.												
5. Assessment results are explained individually in a confidential setting.												
6. A copy of assessment results in an understandable format is given to the learner.												
7. Testing materials and test results are kept confidential and stored in a secure location.												
8. Assessment results are linked to instructional materials.												
Assessment Component Totals												

Prescription Component	#1	#2	#3	#4	#5	#6	#7	#8	#9	#10	Total	Average Rating
1. Prescription is developed collaboratively between learner and instructor in a confidential setting.												
2. Learning abilities and interests are identified.												
3. Learners are asked to self-identify any disability affecting participation.												
4. Release of information forms are completed for relevant educational records.												
5. Learner goals are identified and learner understands and values the goals he/she has set.												
6. Instructional options are described and selected.												
7. Participation schedule is developed with the learner.												
8. Assessment results are incorporated into decision about curricular goals.												

	#1	#2	#3	#4	#5	#6	#7	#8	#9	#10	Total	Average Rating
9. Steps are initiated to identify and select appropriate access and instructional accommodations.												
10. Progress reviews are scheduled and conducted on a regular basis.												
11. An adult education class schedule is developed with the learner.												
12. The learner's goals are reviewed routinely in order to determine progress and the goals appropriateness.												
Prescription Component Totals												
Instruction Component	#1	#2	#3	#4	#5	#6	#7	#8	#9	#10	Total	Average Rating
1. Multi-instructional methods are used.												
2. Learners participate in a combination of individual, dyad, small, or large group instruction, as appropriate.												
3. Independent work (e.g. worksheets, computer drills, workbooks) are only used as supplementary materials or for skill reinforcement only.												
4. Routine progress testing is conducted at fixed intervals.												
5. Routines for reviewing the learners' learning plans and progress are established.												
6. Instruction is most frequently provided in small or large groups.												
7. Curricular materials are specified.												
8. Class schedules are posted.												
9. Learning strategy classes are taught.												
Instruction Component Totals												
Test-Taking Component	#1	#2	#3	#4	#5	#6	#7	#8	#9	#10	Total	Average Rating
1. Test-taking strategies are offered as curricular content.												

	#1	#2	#3	#4	#5	#6	#7	#8	#9	#10	Total	Average Rating
2. Learners are fully informed about the process of test-taking, including the implications of test outcomes.												
3. Staff consults with learners about testing preparation and requirements.												
4. Environment and atmosphere are appropriate for successful testing.												
5. Appropriate accommodations are available for persons with disabilities.												
6. Exams are administered according to standardization directions.												
Test-Taking Component Totals												
Transition Component	#1	#2	#3	#4	#5	#6	#7	#8	#9	#10	Total	Average Rating
1. Staff reviews with learners their participation and success in the program to date.												
2. Program has established transition goal benchmarks so participant and staff can assess progress toward goal achievement.												
3. A community resource directory is available for learners.												
4. Participants apply for federal financial aid by completing the Free Application for Federal Student Aid (FAFSA) while still in the adult education program.												
5. Individual transition planning meetings are held.												
6. Staff assists the learner with initiating and following up with her/his choice for postsecondary education or training.												
7. Follow-up contacts are attempted and continued transition support offered to participants who have exited the program.												
8. Program has a written transition plan for assisting participants in higher levels to postsecondary education or training.												
9. All staff review the program's transition plan annually and provide updates as appropriate.												
Transition Component Totals												

Summary of Review

1. *Component Item/Area that need improvement:*

2. *Component Item/Area that need improvement:*

3. *Component Item/Area that need improvement:*

4. *Component Item/Area that are examples of best practice:*

5. *Component Item/Area that are examples of best practice:*

6. *Component Item/Area that are examples of best practice:*

Use this information in conjunction with PABLO data and Teacher Observations to determine Program Improvement Plan objective for the following fiscal year (FY2012)

Section 2: Appendix B

SIA Classroom Observation Protocol

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FY2011 SIA Classroom Observation Protocol

EFFECTIVE TEACHING AND LEARNING PRACTICES	E=Enough Evidence N=Not Enough Evidence	
1. Curriculum *content* of the lessons is aligned to the demands of standards.	E/N	Evidence
a. Instructor presents lesson clearly reflecting the concepts/skills of one or more of the standards.		
b. Instructor provides students with well-defined competency-embedded standards-based lesson objectives stated in terms of the desired student learning outcomes.		
c. Students engage in activities with resources directly related to the achievement of the lesson objectives.		
2. *Cognitive level* of learning activities is aligned to the demands of the standards.	E/N	Evidence
a. Instructor poses questions that stimulate student thinking beyond recall.		
b. Instructor provides appropriate wait time after posing questions and asks students to elaborate on and justify their answers.		
c. Instructor activates students' metacognitive skills and works to determine strategies students are using to figure things out.		
d. Students work on assignments reflecting the highest demands and most important concepts posed by the standards targeted by the lesson.		
3. Standards are translated into lesson content *relevant* to adult students.	E/N	Evidence
a. Instructor ties standards-based lesson to students' goals, interests, and needs.		
b. Students actively participate in the lesson via class discussions, group projects, etc. (rather than through solitary seatwork or extended lectures).		
c. Students have varied opportunities to practice, apply, and extend new learning in authentic, practical, and adult-oriented contexts (beyond worksheets).		

4. Standards are addressed by a *coherent progression* of learning.	E/N	Evidence
a. Instructor begins lesson by linking content to previous lessons and what students already know.		
b. Students have prerequisite knowledge/skills to understand lesson content.		
c. Instructor organizes standards in a lesson to build on their natural connections.		
d. Instructor closes lesson by reviewing lesson objectives, summarizing student learning, and previewing how the next lesson builds on that learning.		
5. Students' level of understanding is *assessed* during the lesson and instruction is adjusted based on the data.	**E/N**	**Evidence**
a. Instructor regularly checks whether students are mastering standards-based lesson content (e.g., circulates to check on students' work, monitors verbal responses).		
b. Instructor provides students with prompt, specific feedback to correct misunderstandings and reinforce learning.		
c. Students signal mastery of lesson content before instructor introduces new ideas.		
d. Instructor provides supplemental instruction for students when insufficient learning has occurred and extensions for those ready for additional challenges.		
e. Students evaluate and reflect on their own learning.		

FY 2011 Summary of Observations

Standards-In-Action Classroom Observation System Observer's Guide

SUBMIT TO: Kansas Board of Regents Adult Education by e-mail to mcarson@ksbor.org

DEADLINE for Submission: July 29, 2011

1. Curriculum *content* of the lessons is aligned to the demands of standards.	Total #Es	Prevalence %
a. Instructor presents lesson clearly reflecting the concepts/skills of one or more of the standards.		
b. Instructor outlines a well-defined standards-based lesson objective stated in terms of the desired student learning outcomes.		
c. Students engage in activities with resources directly related to the targeted standards.		
2. *Cognitive level* of learning activities is aligned to the demands of the standards.	Total #Es	Prevalence %
d. Instructor poses questions that stimulate student thinking beyond recall.		
e. Instructor provides appropriate wait time after posing questions.		
f. Instructor asks students to elaborate on and justify their answers.		
g. Instructor activates students' metacognitive skills (e.g., models strategies, inquires about students' strategies).		
h. Students work on assignments reflecting the highest demands posed by the standards targeted by the lesson.		
3. Standards are translated into lesson content *relevant* to adult students.	Total #Es	Prevalence %
i. Instructor ties standards-based lesson to students' goals, interests, or needs.		
j. Students actively participate in the lesson via class discussions, group projects, etc. (rather than through solitary seatwork or extended lectures).		
k. Students have varied opportunities to apply new learning in authentic, practical, and adult-oriented contexts (beyond worksheets).		
4. Standards are addressed by a *coherent progression* of learning.	Total #Es	Prevalence %
l. Instructor explicitly links lesson content to previous lessons or what students already know.		
m. Students have prerequisite knowledge/skills to understand lesson content.		
n. Instructor incorporates standards in a lesson in a manner that builds on their natural connections.		

o. Instructor closes lesson by reviewing lesson objectives, summarizing student learning, and previewing how the next lesson builds on that learning.		
5. Students' level of understanding is *assessed* during the lesson and instruction is adjusted based on the data.	Total #Es	Prevalence %
p. Instructor regularly checks whether students are mastering standards-based lesson content (e.g., circulates to check on students' work, monitors verbal responses).		
q. Instructor provides students with prompt, specific feedback to correct misunderstandings and reinforce learning.		
r. Students signal understanding of lesson content before instructor introduces new ideas.		
s. Instructor responds to the difference in readiness, interests, or learning styles of students by enhancing, replacing, or adding new strategies so that all students are challenged and no student is unnecessarily frustrated.		
t. Instructor provides supplemental instruction for students who signal they need it (e.g., individualized or peer tutoring, re-teaching activities, review of basic skills).		
u. Instructor provides students who complete class work with extension activities rather than leaving them idle while others complete work.		
v. Students evaluate and reflect on their own learning.		

3. Staff Qualifications and Professional Development Policies

3.1 Adult education programs must employ instructional and administrative staff with appropriate backgrounds in compliance with KSA 72-4526 and in response to Measure 7.1 of *Indicators of a Quality Adult Education Program.*

Education Statute # 72-4526
Chapter 72: SCHOOLS
Article 45: ADULT EDUCATION PROGRAMS
Title: Teacher qualifications; certificate of accomplishment; regulations; participation by nonresidents; authority of teachers and administrators.
Text:

(a) Boards shall employ teachers who have known competence in the subjects taught. School teacher certification requirements shall be applied to adult education teachers only in cases where general education subjects are taught in adult basic education programs for grade school or high school credit.

(b) The board shall issue a certificate of accomplishment to every student completing an adult basic education course, which certifies the subjects studied and the accomplishments made therein. Such certificates shall be issued in accordance with the state plan.

(c) Any board may adopt regulations governing the operation of adult education programs. Any board may authorize persons not residents of the district to participate in adult education programs. The teachers and administrators in such adult education programs shall have the same authority over students as is exercised in regular school instruction.

History: L. 1974, ch. 311, S. 11; July 1.

Note on section (b): This section was written in the 1970's and applies to the authority of local school district or community college boards to issue certificates of accomplishment – no such certificates of accomplishment are currently authorized under the Kansas State 4-Year Plan for Adult Education and Family Literacy, but the section was included for historical accuracy.

3.2 Program staff must participate in required workshops and may participate in further professional development opportunities available through KBOR regional workshops, Kansas Adult Education Association, Commission on Adult Basic Education (COABE), and other national organizations. Programs may apply for up to 5% of additional federal funds for professional development.

Professional Development Workshops
Staff Attendance Requirements
Effective FY2011

Program Staff Member	Required Training	How often?	How to Renew (if required)	Certificate?
Director	1. New Directors Orientation	ONCE	N/A	NO
	2. CASAS Initial Implementation Online Training	Initially and every three years thereafter	Complete online	YES—if pass the certification activity and complete the follow up activities
	3. CASAS Part 2--Curriculum and Instruction	Initially within a year after taking CASAS Initial Implementation Online Training	N/A	YES—if pass the certification activity and complete the follow up activities
Director	4. CASAS Recertification--Curriculum and Instruction	Every three years	Face-to-Face Training	YES—if pass the certification

Program Staff Member	Required Training	How often?	How to Renew (if required)	Certificate?
				activity and complete the follow up activities
	5. PABLO Basics	Initially and ongoing by local program or state and updated annually	Updates Annually	NO
	6. CASAS Functional Writing Assessment Parts I and II	Initially and annually thereafter	Complete writing recertification packet	YES—if pass the certification activity and complete the follow up activities
	7. Directors' Meetings	At least three times a year Summer, Fall, Spring	N/A	NO
Director	8. Technology/Teknimedia	Initially and as updates occur	Ongoing	NO
	9. Proficiency Attainment Model (PAM)	ONCE (Training provided by state	N/A Review program	NO

Program Staff Member	Required Training	How often?	How to Renew (if required)	Certificate?
Director		or local program staff)	implementation annually	
	10.NRS Online Courses: a. What Is the NRS? (20–35 minutes) b. Data Quality Guide Training Courses 8- part online course. (1 hour 15 minutes to 1 hour 45 minutes) c. NRS Data Flow (10–15 minutes) d. Using NRS Data (10–15 minutes) e. Scenarios (Picking up where *Using NRS Data* left off) 5-part course (1 hour 15 minutes to 2 hours) f. Data Use Guide Training (1 hour 15 minutes to 1 hour 45	ONCE	N/A	YES—upon completion of each NRS Training Module

Program Staff Member	Required Training	How often?	How to Renew (if required)	Certificate?
	minutes) 11. Supervisor Training for Standards-in-Action Observation System	 ONCE (Training by state staff)	 N/A	 NO
Teacher	1. CASAS Initial Implementation Online Training	Initially and every three years thereafter	Complete online	YES—if pass the certification activity and complete the follow up activities
Teacher	2. CASAS Curriculum and Instruction Part 2 3. CASAS Recertification--	Initially within a year after taking CASAS Initial Implementation Online Training Every three years	N/A Take face-to-	YES—if pass the certification activity and complete the follow up activities YES—if

Program Staff Member	Required Training	How often?	How to Renew (if required)	Certificate?
	Curriculum and Instruction		face training workshop	pass the certification activity and complete the follow up activities
Writing Teacher	4. PABLO Basics	Initially and ongoing (Training by local program or state staff and updated annually)	Updates annually	NO
Technology Teacher	5. Proficiency Attainment Model (PAM)	ONCE (Training can be provided by local program staff or request training from state staff)	N/A Review program implementation annually	NO
Citizenship Teacher	6. CASAS Functional Writing Assessment Parts I and II	Initially and annually thereafter	Complete writing recertification packet	YES—if pass the certification activity and follow up

Program Staff Member	Required Training	How often?	How to Renew (if required)	Certificate?
				activity
	7. Technology/Teknimedia	Ongoing as training updates occur	Updates annually	NO
	8. CASAS Government and History Citizenship Test Administration	ONCE (Self-training manual)	N/A	NO
Data Tech (Data entry only)	1. CASAS Initial Implementation Online Training	Initially and every three years thereafter	Complete online training every three years	YES—if pass the certification activity (no additional follow up activities required)
	2. NRS Online Courses: a. What Is the NRS? (20–35 minutes) b. Data Quality Guide	ONCE	N/A	YES—upon completion of each NRS

Program Staff Member	Required Training	How often?	How to Renew (if required)	Certificate?
Data Tech (Data entry only)	Training Courses 8- part online course (1 hour 15 minutes to 1hour 45 minutes) c. NRS Data Flow (10–15 minutes) d. Using NRS Data (10–15 minutes) e. Scenarios (Picking up where *Using NRS Data* left off) 5-part course (1 hour 15 minutes to 2 hours) f. Data Use Guide Training (1 hour 15 minutes to 1 hour 45 minutes)			Training Module
	3. PABLO Basics	ONCE (Trained by state or local program staff and ongoing	Updates annually	NO

Program Staff Member	Required Training	How often?	How to Renew (if required)	Certificate?
		as PABLO updates occur)		
Orientation and/or Assessment Administrator (NO additional role as a director or teacher)	1. CASAS Initial Implementation Online Training	Initially and every three years thereafter	Complete online training every three years	YES—if pass the certification activity

The Relationship between Program Improvement and Individual Professional Development

What is professional development?

Professional development focuses on the learning needs of individual practitioners (teachers, counselors, administrators, support staff, paraprofessionals.) Examples of professional development activities include attending workshops or courses, participating in sharing groups, teacher inquiry/research, study circles, reading relevant research, reviewing curriculum and materials, and participating in peer coaching or mentoring.

What is program development?

The goal of program development is to improve program effectiveness in a way that enables programs to better support learners in attaining literacy skills and meeting their goals. The focus is on the systems that create a program. Examples of program development activities include curriculum development, materials development, establishing a student council, restructuring a program, redesigning an intake process, preparing a staff handbook, designing a new program or subprogram, or fundraising.

How are program improvement and individual professional development related?

Effective program improvement is not possible without examining the professional strengths and needs of staff. Both program improvement and staff development are required components for Adult Education programs funded by the Kansas Board of Regents. Often programs do not integrate these two activities, to the detriment of program improvement. Professional development is often treated as an isolated individual endeavor based only on the needs identified by the individual staff person. It is appropriate for individuals to identify their own needs and to address them. However, program improvement will be more effective if individual staff development goals are set within the context of a program's program improvement goals. For example, if a program has decided to improve the technology outcomes for their learners by providing technology instruction as well as integrating technology into their curriculum, providing technology training for teachers will be an important component of making that work. The staff develop program ownership when they are involved in making the decision to dedicate resources to that particular staff development need. In addition, research has shown that professional development has greater impact when there is opportunity for professional dialogue at the program level. One way of implementing staff development could be through participation in a work team that is specifically linked to program development and improvement. In order for staff to effectively implement a plan, they may need special training. For example, let us suppose that an adult education center selected improving the percentage of Level 3 and 4 ABE learners who complete an educational level for their annual goal for program improvement. One of the steps would be for teachers to help in developing an action plan and one of the components would be to develop a scope and sequence with curriculum for math. So, for example, four teachers from two instructional areas agree to work as a group and to write down every step necessary to reach the stated goal of having a written math curriculum. Some of the steps they might outline in the action plan include such activities as conducting an educational needs assessment, reviewing curriculum development, studying the Kansas Content Standards for math, reading and writing for those levels, conferring with other ABE programs about their math curriculum, learning more about the CASAS assessments, reviewing data regarding most missed questions on the assessments for those levels, and working with KSBOR AE to get technical assistance on curriculum development and issues surrounding the specific areas identified by the data. In short, a wide array of staff development activities might be undertaken to develop the capacity of the team to address the program goal. All are powerful forms of professional development, both individually and collectively, and all are clearly linked to the program goal to improve the educational gains of Level 3 and 4 ABE learners.

Many programs, like the one just described, select goals for program development and improvement that necessitate staff learning and growth. A program might select expansion of citizenship education as their goal and pilot a new citizenship education class. As part of the program's plan, a voluntary task force forms to explore citizenship resources and each member of the task force takes responsibility for particular actions and knowledge to bring back to the larger group. For example, one person agrees to work with an attorney to develop a teacher's guide to the citizenship process. Another agrees to research materials that could be used in the curriculum. Both actions result in significant learning, growth and development for the practitioners involved; they also share their learning with others in the program and contribute greatly to the program's goal of piloting a citizenship education class.

Staff who individually attend training or other forms of professional development and apply that learning in their classrooms for improved instruction also contribute to overall program development, although in a less direct or coordinated manner than the examples above illustrate. Valuing and supporting individual development is a critical aspect of program planning. Many programs require or encourage staff to share professional development experiences with the staff as a whole since time spent on these opportunities is financed by the program. While this requires a careful allocation of team meeting time, such sharing builds ongoing staff dialogue. It is equally important to integrate discussions about how staff development promotes and supports program development as this encourages staff members to think about the whole program as well as individual classroom and responsibilities. Sharing information about the program with staff fosters a better understanding of all the components of the organization, broadens perspectives about the program, and increases staff ownership of program development. The program, in turn, benefits from the energy, creativity, know-how, varied viewpoints and knowledge of its personnel.

See pp. 19, 21 and 23 of the FY2011 Kansas Funding Application for the planning forms required by Kansas Board of Regents Adult Education.

3.3 Individuals serving in administrative leadership positions and instructional staff positions that are funded (even partially) through federal, state, or local matching AEFLA funds (including adult education mill levy funds) must have current, active individual professional development plans (IPDP). These plans should reflect participation in activities directly linked to the program's improvement plan.

In compliance with section 12.1 of the *Kansas Four-Year State Plan,* each adult education "program will submit an end-of-the-year report showing the effect of professional development and other State Leadership (5% funding) activities on the provider's level of performance on core indicators and on the *Indicators of A Quality Adult Education Program*. The report will provide information on improvements relating to the staff, program, and learner outcomes."

FY2011 Program Improvement Progress Report

Connecting Individual Professional Development and Program Improvement and Development
Submitted within two (2) weeks of the end of each quarter
(October 15, 2011; January 15, 2012, April 15, 2012 and September 15, 2012)

GOAL:

Program Improvement Objective 1:

Indicators of Success:

Make additional copies of this form as needed.

Activity	Progress on activity	Changes? Needs?	Current Status of Data and Success Indicators	On Target? Y/N
1.				
2.				
3.				
4.				
5.				

3.4 All instructional and administrative staff should have a minimum of 50 hours of professional development every two years and hold current KAEA credentials (Measure 7.2 *Indicators of a Quality Adult Education Program*).

KAEA is the Kansas Adult Education Association, the professional organization for adult educators in Kansas since the mid-1940's. The KAEA Standards Council, established in 1993, was charged with the responsibility to develop a credentialing system for adult education professionals. The purpose is to document and enhance the professional stature of adult educators by establishing minimum requirements for levels of credentials in the field and to insure ongoing professional development. Applications are accepted throughout the year. Credentials are renewable every two years. Applications may be obtained through local Adult Basic Education centers or by visiting the KAEA website (www.thekaea.org). Those who should apply for a credential include all those currently employed as adult educators in Kansas, directors, instructors, tutors, community college, U.S.D., community-based, corporate, corrections, family or workplace literacy employees.

3.5 Programs may **not** pay fees for KAEA credentialing out of federal or state AEFLA funds but may use local funds to pay fees if their sponsoring agency allows such expenditures.

3.6 All instructional and administrative staff members are encouraged to be on the Kansas adult basic education listserv.

KAEA has a listserv for members to share information quickly. A listserv is an e-mail list that is intended for a limited and very specific audience. Only people who subscribe themselves have access to the information. There is no moderator. That means that when a message is posted to the list, the message goes directly to everyone on the list and does not go to an intermediary person to decide whether or not to post the information.

HOW TO SUBSCRIBE
Send a blank message to: join-kansasabe@list.jccc.net
This is case sensitive and must be sent from the address you want

added. NOTE: Do not include signature block, as the listserv will try to interpret each line as a command.

HOW TO UNSUBSCRIBE
Send a blank message to: leave-kansasabe-16711@list.jccc.net
The address is case sensitive. NOTE: Do not include signature block, as the listserv will try to interpret each line as a command.

HOW TO SEND A MESSAGE TO THE LISTSERV
Send an e-mail message to: kansasabe@list.jccc.net (as you would send an ordinary e-mail message). The message will go out to all the people who are subscribed to the listserv. Keep in mind that many people will read the message and it is not intended to communicate to just a few individuals. For a useful list of guidelines when communicating on listservs, go to:
http://www.sherlockat.com/list_netiquette.html

Be sure to send your subscription information from the e-mail account that you regularly use. The listserv automatically uses the email account that was used initially to subscribe.

3.7 Professional Development Fiscal Policy and Attendance Guidelines

The fiscal policy and guidelines in place for Professional Development (PD) for FY 2011 are provided below. The goals of these policies are to: 1) emphasize the importance of using the Individual Professional Development Plan (IPDP) as a tool for guiding professional development; 2) reflect fiscal changes and PD priorities to better target limited resources; 3) assist local program staff in the development of skills and knowledge to support higher levels of student achievement; 4) align the individual and program professional development activities with the program's annual continuous program improvement plan; 5) ensure that the knowledge and skills acquired through professional development are put into practice.

Kansas Board of Regents Adult Education requires program staff members to attend specific trainings and encourages additional activities that will be beneficial to both the individual's professional growth and the program's improvement. **Local program directors**

should not only encourage staff to attend professional development activities but also provide reasonable support in the program budget.

General Support

All staff paid by federal, state or local adult education funds must complete an Individual Professional Development Plan (IPDP) and participate in professional development activities to meet the plan. Staff members are always encouraged to attend activities that become available throughout the year. If a staff member chooses an activity for which she/he is not requesting any funds from federal professional development funds, the activity is not required to be on the IPDP and is not required to have approval for out-of-state travel.

The KBOR AE guidelines for these activities are:

a. Professional development funds can financially support three activities (or the equivalents) for local program staff who are paid from federal, state or local adult education funds for more than seven (7) hours per week.
b. Professional development funds can financially support two activities (or the equivalents) for local program staff who are paid from federal, state or local adult education funds for seven (7) hours per week or fewer.
c. Activities that staff members attend and for which they request financial support from PD funds, must be included on the IPDP. Appropriate forms are available through the KBOR AE web site, the ABE Policy Manual and the funding application.
d. The IPDP can be revised during the program year. The revised IPDP must be signed by the program director and maintained in the individual's program personnel file.
e. KBOR AE has established registration and cancellation policies. The policies are posted on the KBOR AE web site. These policies are strictly honored for all trainings. Programs/individuals will be charged for costs incurred when policies are not followed.
f. The chart on page 11 outlines by hours worked the allowable activities that will be financially supported through federal and local professional development funds. Please note that individuals are encouraged to attend any/all trainings they believe beneficial to professional growth. Persons wishing to attend an out-of-state

professional development activity must provide a request that is submitted initially to the KBOR AE Associate Director, Professional Development with the Professional Development Budget Request prior to the beginning of the fiscal year. If during the course of the year a change in plans occurs, an out-of-state travel request must be submitted and approved at least 60 days prior to the professional development activity's occurrence.

g. Exceptions to this policy may be granted at the discretion of the KBOR AE Associate Director, Professional Development and Program Improvement. Requests for exceptions must be made in writing and signed by the local program director and provided to the KBOR AE Associate Director at least 60 days prior to the professional development activity's occurrence.

Paid Staff Classification	**Work seven (7) hours or fewer per week**	**Work more than seven (7) hours per week**
Staff with less than 12 months employment history in PABLO and staff with 12 or more months of employment history who indicate they are leaving employment within the year due to retirement or other reasons	*Staff in this classification may choose up to two of the following:* **Professional Development Activity** • Workshops sponsored by Kansas Board of Regents Adult Education • Focus/study groups sponsored by Kansas Board of Regents Adult Education • Classroom visits and peer observations • Involvement in professional organizations	*Staff in this classification may choose only three of the following:* **Professional Development Activity** • Workshops sponsored by the Kansas Board of Regents Adult Education Presentations • Participation in special projects • Local workshops supported by your program • Focus/study groups sponsored by Kansas Board of Regents Adult Education • Classroom visits and peer observations • Involvement in professional organizations
Staff with 12 months or more employment history in PABLO	**Same as above**	**Any of the above and/or (one of the following)** • College course • State professional association or regional conference
Staff with 36 months or more employment history in PABLO	**Same as above**	*Staff in this classification may choose five of the following:* **any of the above and/or National conference** - with the requirement of approval from KBOR AE Associate Director for Professional Development and a written report to the KBOR AE Associate Director after attendance.

3.8 Adult Education Staff Tuition Reimbursement Policy

As it pertains to federal (AEFLA) or local matching funds used for professional development, a local program may choose to reimburse an individual for a maximum of nine (9) undergraduate or graduate credit hours per program year as program funds are available. Eligible local staff and/or teachers must work a minimum of 15 hours per week in adult education and have a year's experience in Kansas adult education. Coursework must be related to the staff or teacher's adult education duties. Reimbursement is provided when a copy of the paid receipt and a passing grade ("C" or better for undergraduate courses and "B" or better for graduate courses) for the course are received by the local program director or state staff. Exceptions to this policy must be submitted to and approved by the State Director of Adult Education. No college tuition may be paid prior to completion of the course. Tuition is a REIMBURSED expenditure ONLY.

3.9 Local Program Pre-paid Fees for Other Training Activities Prepayment Policy

As it pertains to federal (AEFLA) or local matching funds used for professional development, local adult education programs which commit to pay for staff to attend a workshop, institute or other state-sponsored event and who fail to attend or otherwise fail to successfully complete the professional development activity at the local program's or Kansas Board of Regent Adult Education's discretion, may be asked to repay the federal or state funds expended. If the local program does not receive the repayment from the individual the funds will need to be repaid from the local funds available to the program and NOT from AEFLA federal or state funds.

3.10 Program Administrator and/or Staff Supervisor's Role in Learning Reinforcement

Supervision Learning Reinforcement Model

Supervisor's Role in Transfer of Learning

There are many activities that need to take place before, during and after training to assure that the knowledge and skills learned in a professional development activity are transferred to the workplace. Research shows that a supervisor may play a critical role in assuring the learning transfer takes place (Brinkerhoff & Motessino, 1995, Broad, M.L. & Newstrom, J.W. 1995).

Supervisors can play an important role in communicating expectations and pre-training motivation for their instructors. Participants of training who receive immediate feedback and support from supervisors during and after training are more likely to transfer it to the workplace (Martocchio, 1992; Rouiller & Goldstein, 1993, Broad, M.L., 1997).

The following is a guide to provide supervisors with direction in facilitating transferring of learning.

1. Provide supervisors with a guide clearly communicating how the professional development is linked to program goals, e.g. participants will apply mathematics instruction strategies to assist students in advancing on CASAS and OPT assessments.
2. Provide supervisors with a detailed list of performance learning objectives, clearly identifying what instructors will know and be able to do as a result of the professional development.
3. Provide supervisors with a guide to discuss the PD with their instructor.
   See below.

BEFORE the PD (professional development) supervisors should:

1. Review the objectives of the professional development with the instructor and let them know what they expect the instructor to know and be able to do with what they learn.

2. Provide instructors with a clear understanding of how the training will be linked to improving the instructor's practice and program goals.
3. Ask the instructor to identify what they hope to learn from the professional development. What do they plan on being able to do differently or have reinforced as a result of the PD?

DURING the PD Supervisors should:

1. Provide instructors with support to complete the pre-work and on-the-job learning activities.
2. Coach and mentor. If the supervisor has expertise in the area or knows someone who does, provide for coaching and mentoring for the instructor.
3. Provide instructors with support as they are completing the job-embedded assignment.

FOLLOWING the PD Supervisors should:

1. Discuss with the instructor how the PD will be incorporated into practice or the program and develop a plan for implementation. The plan should include an assessment of current program practices and environment and how the information, strategies, and tools may be implemented into the structure.
2. Provide time for the instructor to plan for instruction and incorporate the PD into their practice.
3. Review the learning reinforcement checklist of objectives with the instructor assuring that they are able to demonstrate the skills identified.
4. Schedule time for the instructor to share what was learned with staff.
5. Provide coaching and mentoring opportunities for the instructor to receive additional modeling, observation and feedback on instruction.
6. Follow-up with instructor on regular basis to identify which practices are being implemented and which ones they still need help to develop.

Brinkerhoff, R.O., & Montessino, M.U. (1995). Partnership for training transfer: Lessons from a coroporate study. *Human Resource Development Quarterly*, 6, 263-274.

Broad, M.L. (1997). Transfer concepts and research overeview. In M.L. Broad (Ed.), Transferring learning to the workplace (pp. 1-18). Alexandria, VA: American Society for Training and Development.

Broad, M.L. & Newstrom, J.W. (1992). *Transfer of training: Action-packed strategies to ensure high payoff from training investments.* Reading, MA: Addison-Wesley

Montesino, Max. (2002). Strategic Alignment of Training, Transfer-Enhancing Behaviors, and Training Usage: A Posttraining Study. *Human Resource Developmnet Quarterly,* vol. 13, no. 1.

Rouiller, J.Z., & Goldstein, I. L. (1993). The relationship between organizational transfer climate and positive transfer of training. *Human Resource Devlelopment Quarterly,* 4 (4), 377-390.

What an instructor/ participant may do before, during and after training to increase transfer.

Before Training	During Training	After Training
1. Review objectives and identify specifically what you hope to gain from the training	1. Identify knowledge, strategies and skills to implement	1. Complete learning reinforcement checklist with supervisor
2. Identify students to keep in mind while training	2. Practice knowledge, strategies, and skills	2. Develop a plan on implementing skills and using resources and tools from the workshop. Plan should be scaffolded.
3. Begin to formulate objectives for an action plan	3. Complete learning reinforcement checklist in assessing ability to apply strategies and skills.	3. Receive coaching and mentoring
4. Complete pre-work	4. Seek coaching and mentoring or practice strategies and skills	4. Receive follow-up from trainers.
	5. Discuss learning with supervisor	
	6. Complete an action plan on incorporating strategies and skills into the workplace	

Adapted from.:Curry, D.H., Caplan, P., and Knuppel,J., Transfer of Training and Adult Learning (Total), *Journal of Continuing Social Work Education*, 1994, vol.6(1), pp.8-14.

Adapted from Kentucky Adult Education

Learning Reinforcement Checklist
Example from Contextualized Literacy Learning Institute

Course Description:

This series of **Contextualized Language and Literacy through American Film Institutes** is constructed to demonstrate how innovative, high performance-outcome methodologies and meaningful content are very dramatically effective in advancing learning for both multi-level ESOL and ABE/ASE Literacy students. Both Second Language Learning and Literacy Learning are facilitated when learners are engaged in interaction and **meaningful communication**. **Meaningful communication** results from students processing content that is relevant, purposeful, interesting, engaging and contextualized. Learning "collocations" or word partnerships, particularly of the generative kind, and learning mainstream institutionalized utterances as learned wholes, are viewed as being more important than learning single words and their grammatical parts because these "chunks" contribute more to **meaningful communication.** Using a carefully constructed and selected (for generative language chunks and institutionalized utterances) 60-unit American Film component, the presenter shows how to create and align content to both Kansas Content Standards and CASAS competencies. They will receive modeling of and practice in instructional strategies for teaching writing and reading fluency, vocabulary, and comprehension. The practical information gained may be applied in various settings with various types of students. Participants will also explore various types of assessment that go beyond CASAS in identifying instructional strategies and methods of delivery that affect student learning and retention. Participants will complete a job-embedded assignment to transfer classroom knowledge and skills to their workplace. Teachers will be trained and supported to understand and to use this innovative Contextualized Language of American Film model for rapidly improving adult basic literacy and ESOL competencies. Using the key principles developed in this model, participants will also create their own highly-innovative and effective models and materials to meet the needs of their own Adult Literacy Education populations.

Overall Performance Objective:

For adult education teachers to be able to use an existing model that incorporates American film to teach reading and writing to ESL and ABE learners and learn to adapt and/or develop their own research-based methods for teaching reading and writing.

Purpose of Contextualized Literacy Learning Institute:

Participants should exit the course with a multitude of strategies, resources, and tools to assist them in increasing level gains for their students on CASAS and OPT assessments as well as prepare them to use reading and writing to function at a higher level in their everyday lives.

Example from CLLI Institute 1

Following the Professional Development Activity, instructors should be able to:
(You may want to review some or all of the following activities)

Check whether each task was observed or discussed? Rate instructor's ability to perform or comfort level with performing each task below					
	Observed/ Discussed	**1**	**2**	**3**	**4**
Define reading and discuss the importance of comprehending the meaning					
Discuss the model of using films to teach reading and be able to demonstrate the approach					
Describe the components of reading					
Describe the underlying adult learning principles addressed in the model					
Develop own reading and writing methodology					
Use at least one vocabulary graphic organizer					
Describe at least 4 strategies to teach comprehension					
Use at least 4 tools to teach comprehension					
Describe the writing process					
Demonstrate techniques for teaching the writing process					
Use strategies to teach the writing process					
Identify tools for teaching reading and writing together					

3.11 Teacher Observations to Determine Program Professional Development Needs

Program administrators or the designated instructional coordinator will be expected to observe all teachers teaching in their classrooms at least once a program year for the purpose of establishing program professional development needs. The model used for conducting these observations will be the Standards-in-Action Model. Administrators and coordinators will be trained by state staff using the Standards-in-Action model for teacher observations (Appendix PD-1). All local programs must submit the Summary of Observations Form (see sample below) from the Standards-in-Action's Observer's Guide annually to the KBOR AE Associate Director for Professional Development and Program Improvement.

Standards-In-Action Classroom Observation System
Observer's Guide

Summary of Observations

1. Curriculum *content* of the lessons is aligned to the demands of standards.	Total #Es	Prevalence %
a. Instructor presents lesson clearly reflecting the concepts/skills of one or more of the standards.		
b. Instructor outlines a well-defined standards-based lesson objective stated in terms of the desired student learning outcomes.		
c. Students engage in activities with resources directly related to the targeted standards.		
2. *Cognitive level* of learning activities is aligned to the demands of the standards.	Total #Es	Prevalence %
a. Instructor poses questions that stimulate student thinking beyond recall.		
b. Instructor provides appropriate wait time after posing questions.		
c. Instructor asks students to elaborate on and justify their answers.		
d. Instructor activates students' metacognitive skills (e.g., models strategies, inquires about students' strategies).		
e. Students work on assignments reflecting the highest demands posed by the standards targeted by the lesson.		
3. Standards are translated into lesson content *relevant* to adult students.	Total #Es	Prevalence %
k. Instructor ties standards-based lesson to students' goals, interests, or needs.		
l. Students actively participate in the lesson via class discussions, group projects, etc. (rather than through solitary seatwork or extended lectures).		
m. Students have varied opportunities to apply new learning in authentic, practical, and adult-oriented contexts (beyond worksheets).		
4. Standards are addressed by a *coherent progression* of learning.	Total #Es	Prevalence %
n. Instructor explicitly links lesson content to previous lessons or what students already know.		
o. Students have prerequisite knowledge/skills to understand lesson content.		
p. Instructor incorporates standards in a lesson in a manner that builds on their natural connections.		

5. Students' level of understanding is *assessed* during the lesson and instruction is adjusted based on the data.	Total #Es	Prevalence %
q. Instructor regularly checks whether students are mastering standards-based lesson content (e.g., circulates to check on students' work, monitors verbal responses).		
r. Instructor provides students with prompt, specific feedback to correct misunderstandings and reinforce learning.		
s. Students signal understanding of lesson content before instructor introduces new ideas.		
t. Instructor responds to the difference in readiness, interests, or learning styles of students by enhancing, replacing, or adding new strategies so that all students are challenged and no student is unnecessarily frustrated.		
u. Instructor provides supplemental instruction for students who signal they need it (e.g., individualized or peer tutoring, re-teaching activities, review of basic skills).		
v. Instructor provides students who complete class work with extension activities rather than leaving them idle while others complete work.		
w. Students evaluate and reflect on their own learning.		

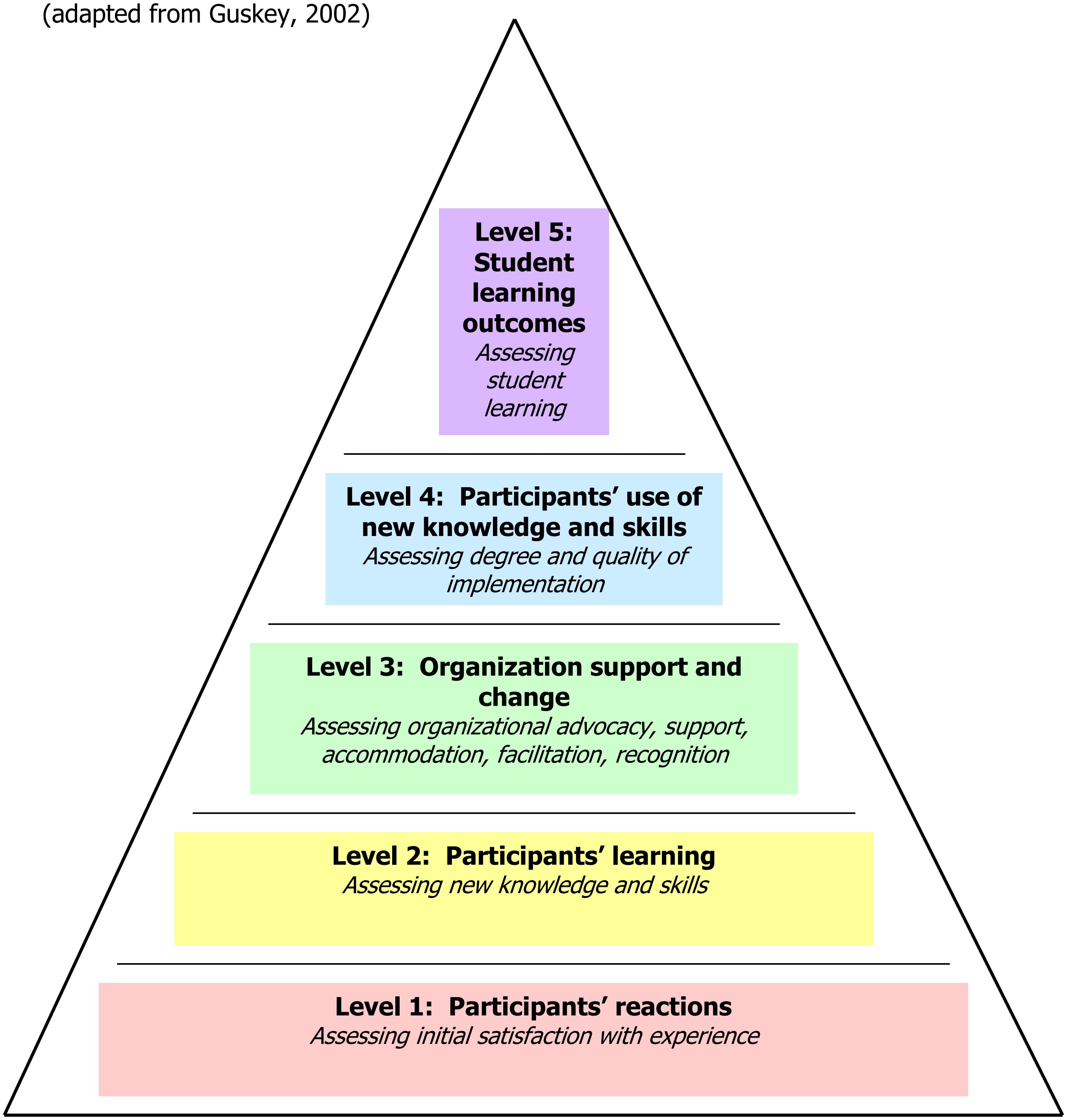
3.12 Evaluation of KBOR AE Offered Professional Development Activities

Based on and adapted from Guskey's Five Levels of Professional Development Evaluation (See Model 1 below), KBOR AE plans to evaluate activities at all levels of the PD evaluation pyramid.

KBOR AE staff or designated trainer/facilitator of professional development activities will evaluate the KBOR AE professional development activity at the following times: initially, 30 days after completion and 90 days after completion of training. CASAS assessment trainings and year-long professional development activities will be the currently offered professional development activities evaluated in this manner.

The initial evaluation will be a paper form completed on site after the training. The 30-day follow up will be a call or e-mail from the trainer with specific follow up questions. The 90-day follow up will be a call and/or e-mail. The evaluation and follow up will be designed to both offer support for transfer of learning while evaluating the effectiveness of the training.

Five Levels of Professional Development Evaluation
(adapted from Guskey, 2002)



In respect to professional development activities:

1) Ensure participants are satisfied with the experience
2) Ensure participants learn something
3) Ensure supports for change/implementation are in place
4) Ensure opportunities and awareness of how to use new knowledge and skills
5) See what the impact is on students

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4. Policies on Services to Learners

4.1 Policies on Adult Education Services Provided in Kansas

According to the Kansas Four-Year State Plan, the Kansas Board of Regents will award multi-year grants on a competitive basis to eligible providers within Kansas. Grants will enable the eligible providers to develop, implement, and improve adult education and literacy activities, including the following categories:

- Adult education and literacy services, which may include workplace literacy services;
- Family literacy services; and
- English literacy programs, also known as English-as-a-second-language (ESL) services;
- English Literacy and Civics Education services, which includes English-as-a-second-language and citizenship skills, technology skills, and employment skills instruction.

Adult Basic Education (ABE) instruction uses CASAS competencies as the basis for a curriculum that is delivered in real-life settings pertaining to the adult learners' roles as worker, family member, citizen and lifelong learner. Pre-employment skills and computer literacy are two examples of life skills and workforce development skills offered in ABE instruction.

Family literacy programs include four distinct components in line with the Even Start family literacy model: adult education, early childhood or pre-school education, parenting skills, and intergenerational activities (parents and children together). Only family literacy programs that include all four components meet the definition of providing family literacy services.

English literacy (ESL) programs offer instruction in speaking and listening, reading, and writing, in real-life settings pertaining to the adults' roles as worker, family member, citizen and lifelong learner. These programs include instruction in vocational English as a Second Language (VESL). Since Kansas is a member of the CASAS Consortium, CASAS ESL competencies offer a framework for instruction.

English Literacy and Civics Education includes services to adults in need of English language instruction, skills necessary to pass the U.S. Citizenship examination, technology skills, and competencies in governmental, educational and workplace systems.

Adult Secondary Education classes blend CASAS competencies with GED preparation and pre-employment or employment specific subjects chosen by employers, learners or referring agencies. Computer literacy skills are offered as well as a number of other subjects to help prepare the adults for their roles as worker, family member, citizen and lifelong learner.

4.2 Policies on Services Provided in English and Other Languages

Program services to non-native speakers of English may be offered in native languages other than English in order to provide emergency or other vital communication, i.e. information presented during orientations. However, the focus of instruction must be on acquisition of skills in the English language, not on native language skills. GED preparation in languages other than English is not permitted with AEFLA funds, but Official GED Test batteries passed in other languages may be counted in meeting performance measures for the outcomes of educational gain for Level 6 learners and receiving the GED for learners at all educational functioning levels.

4.3 Policies on Adult Education/Postsecondary Education Co-enrollment

4.3.1 *PSE Goal Setting and Attainment*

In order for an adult education student to achieve the PSE outcome, the adult education participant must identify the goal of entering postsecondary education. An adult education participant who is participating in postsecondary education prior to his/her first day of attendance in an adult education program cannot have the PSE goal because he/she has already achieved the PSE outcome.

Adult education participants with the PSE goal are “counted” as having achieved the goal when the learner has exited the program. This is an NRS requirement. While the PSE outcome is not “counted” for reporting purposes until the learner has exited the adult education program, the learner may achieve the PSE outcome at any time after he/she has entered the adult education program and after having identified the goal “to enter postsecondary education/training.

4.3.2 *Co-enrollment*

In most instances, students receiving college credit (transferable or non-transferable) are not eligible for adult education services. There are three exceptions to this policy:

1. Students who do not have a GED and are enrolled in postsecondary education may qualify for adult education services if they are NOT enrolled in a postsecondary education course that duplicates GED preparation. For example, an individual cannot be served in adult education if they are taking a math, English Composition, English Literature, History, or Science course at the postsecondary level—because these subjects are taught as part of GED preparation and enrollment in both would be duplication of services. However, an individual who is being served in an adult education program may be enrolled in a postsecondary art, physical education, study skills, or psychology class or in a postsecondary technical education program because instruction in these classes would not duplicate the instructional services provided by the adult education program.

2. Students who have a high school diploma but qualify for adult education services based on CASAS scores may not be enrolled in a postsecondary education course in the same subject area(s) in which they qualified for adult education services (reading, math, and/or writing). In other words, an individual who is receiving adult education services although he has a high school diploma because he scored below 245 in reading could not be dual enrolled in a

postsecondary education English Literature course or a developmental reading course.

3. An individual receiving ESL services in an adult education program may be enrolled in postsecondary education but may not be enrolled in an ESL class for which the post-secondary institution is receiving state aid.

While an individual may be co-enrolled in adult education and postsecondary education at the same time, very strict guidelines have been established to ensure that educational services are NOT duplicative. An individual cannot participate in the same area of study in both an adult education program and in a postsecondary education program.

Learners can participate in adult education and technical education simultaneously or sequentially within a very close time frame. The adult education program and the technical education program are interdependent. The adult education program is dependent on the technical education program to provide customized classes for a group of adult education participants. The technical education program is dependent on the adult education program to provide students equipped for the rigors of the technical education program.

4.4 Guidelines and Examples of Who Qualifies for Adult Education Services

Programs must follow the guidelines of “Who Qualifies for Adult Education Services” (following) when deciding on appropriate services to adult learners. Adults must be at least 16 years of age, and 16 and 17-year-olds must have a disclaimer from their school district of current residence (not necessarily the last high school attended) prior to receiving AEFLA services, in compliance with the Compulsory Attendance Act, KSA 72-1111.

Who Qualifies for Adult Education Services?

In order to qualify for adult education services, one of the following three criteria must be met. Upon enrollment in the adult education program, a qualifying individual:

I. Does not have a secondary credential;

- **A. Does not have a high school diploma; and**
- **B. Has not successfully completed the GED battery of tests and will work on obtaining a *Kansas State High School Diploma* by passing the GED Tests.**

OR

II. Does not have basic reading, writing, or math skills.

- **A. Scores below 246 on a CASAS Reading Diagnostic Test; or**
- **B. Scores below 246 on a CASAS Math Diagnostic Test; or**
- **C. Scores below 271 on the CASAS Functional Writing Assessment.**

OR

III. Does not have proficiency in the English language necessary to function in the multiple adult roles of citizen, employee, and family member.

- **A. Scores below 236 on a CASAS Listening Diagnostic Test; or**
- **B. Scores below 236 on a CASAS Reading Diagnostic Test; or**
- **C. Scores below 261 on the CASAS Functional Writing Assessment.**

Only one of the criteria must be met to qualify for adult education services offered by an adult education program. However, an adult education learner with a high school diploma or a GED diploma must be working primarily in the area of his/her identified deficiency and, learning gains (via post-testing) must be reported in this area.

A learner enrolled in a community college course or vocational/technical school/college program must meet one of the requirements above and may not be enrolled in a credit or non-credit course in the same area of study as the primary learning activities in the adult education program.

Example One

Situation:
A learner is enrolled in a vocational/technical college Home Health Aide program and is dual enrolled in an adult education program with the goal of obtaining a GED.

Elements for Consideration to Determine Eligibility:

1) Learner is enrolled in a vocational/technical college course focusing on occupational skills.
2) Learner qualifies for adult education services because he/she does not have a high school diploma or GED diploma.
3) Learner's primary learning activities in the adult education program focus on GED preparation.

Qualifies as an adult education learner?
Yes. Although the learner is dual enrolled, the focus of the two educational programs does not overlap.

Example Two

Elements for Consideration to Determine Eligibility:
A learner is enrolled in Developmental Math at a community college.
The learner participates in an adult education program to receive additional assistance with math.

Criteria:

1) Learner is enrolled in a college math class.
2) Learner's CASAS Math score is 234.
3) Learner qualifies for adult education services based on CASAS Math Diagnostic Test.
4) Learner's primary learning activities are focused on improving math skills.

Qualifies as an adult education learner?
No. The learner is dual enrolled and the major focus of both programs is improvement in math skills.

Example Three

Situation:
A learner with a high school diploma wants to improve his/her computer/technology skills. The learner scores 234 on the CASAS Math Diagnostic Test. The learner's primary learning activities focus on improving computer/technology skills.

Elements for Consideration to Determine Eligibility:

1) Learner has a high school diploma.
2) Learner scores below 246 on the CASAS Math Diagnostic Test.
3) Learner's primary learning activities focus on improving computer/technology skills.

Qualifies as an adult education learner?
No. The learner has a high school diploma and his/her major focus is the improvement of computer/technology skills.

Example Four

Situation:
A learner with a high school diploma wants to improve his/her math skills. The learner scores 243 on the CASAS Math Diagnostic Test. The learner's primary learning activities focus on improving math skills.

Criteria:

1) Learner has a high school diploma.
2) Learner scores below 246 on the CASAS Math Diagnostic Test.
3) Learner's primary learning activities focus on improving math skills.

Qualifies as an adult education learner?
Yes. The learner has a high school diploma yet his/her major focus is the improvement of math skills.

Education Statute # 72-1111
Chapter 72: SCHOOLS
Article 11: SCHOOL ATTENDANCE, CURRICULUM AND ACCREDITATION
Title: Compulsory school attendance; exemptions.
Text: (for the full text of this statute, go online to: **http://www.ksde.org/statutes.html** and key in 72-1111)

(a) Subject to the other provisions of this section, every parent or person acting as parent in the state of Kansas, who has control over or charge of any child who has reached the age of seven years and is under the age of 18 years and has not attained a high school diploma or a general educational development (GED) credential, shall require such child to attend continuously each school year (1) a public school for the duration of the school term provided for in K.S.A. 72-1106, and amendments thereto, or (2) a private, denominational or parochial school taught by a competent instructor for a period of time which is substantially equivalent to the period of time public school is maintained in the school district in which the private, denominational or parochial school is located. [If the] child is 16 or 17 years of age, the parent or person acting as parent, by written consent, or the court, pursuant to a court order, may allow the child to be exempt from the compulsory attendance requirements of this section.

(b) If the child is 16 or 17 years of age, the child shall be exempt from the compulsory attendance requirements of this section if (1) the child is regularly enrolled in a program recognized by the local board of education as an approved alternative educational program, or (2) the child and the parent or person acting as parent attend a final counseling session conducted by the school during which a disclaimer to encourage the child to remain in school or to pursue educational alternatives is presented to and signed by the child and the parent or person acting as parent. The disclaimer shall include information regarding the academic skills that the child has not yet achieved, the difference in future earning power between a high school graduate and a high school dropout, and a listing of educational alternatives that are available for the child.

Note: Deletions of Sections (c)—(f) are intentional.

(g) As used in this section, the terms "parent" and "person acting as parent" have the meanings respectively ascribed thereto in K.S.A. 72-1046, and amendments thereto.

from K.S.A. 72-1046 (d) As used in this section:

(1) "Parent" means and includes natural parents, adoptive parents, stepparents, and foster parents;

(2) "person acting as parent" means (A) a guardian or conservator, or (B) a person, other than a parent, who is liable by law to maintain, care for, or support the child, or who has actual care and control of the child and is contributing the major portion of the cost of support of the child, or who has actual care and control of the child with the written consent of a person who has legal custody of the child, or who has been granted custody of the child by a court of competent jurisdiction…

Simply put, the law requires that anyone who is 16 or 17 years old be enrolled in school – and if they are enrolled in school, they are *not* allowed to enroll in adult education. The law is in effect at all times, including summer when the public schools may be closed. It is the responsibility of the potential adult education learner to get the disclaimer forms completed – *not* that of the adult education program staff. The disclaimer forms and the counseling session need to be from the school district in which the 16- or 17-year-old resides *currently*, regardless if the student attended school there. If the 16- or 17-year-old is on an IEP, he/she must disenroll from school, and a disclaimer also needs to be completed. If a 16- or 17-year-old is emancipated (by a court order) or is married, he/she is considered an adult and may sign the disclaimer (no parental or guardian's signature is required).

4.5 Policies on Services to Individuals on Non-Immigrant Visas

Adults may not be required to show proof of residency in Kansas, nor may programs require adults to show a Social Security card, evidence of citizenship, or evidence of legal permission to reside in the U.S. While programs are encouraged to recruit and serve qualifying adults residing and/or working within Kansas, adults from another state, particularly those residing in communities along the state border, may participate in program services. Newcomers to Kansas from other states do not need to show identification, and programs should not ask potential participants to present a Social Security cards or work permit cards.

EXCEPTION: Individuals in the Unites States on nonimmigrant visas are not eligible for services in adult education programs in Kansas. Individuals residing in the United States on nonimmigrant visas include foreign government officials (A-1) and their family members (A-2) and their employees and servants (A-3), visitors for business (B-1) and for pleasure (B-2), aliens in transit (C1-C4), crewmen (D1-D2), academic students (F-1) and their spouses and children (F-2), temporary workers (H1B-2B) and their spouses and children (H-4), and workers with extraordinary abilities (O-1) and their spouses and children (O-3). For a complete listing of nonimmigrant visas see the U.S. Citizenship and Immigration

Services website at
http://www.uscis.gov/graphics/services/imm_visas.htm
While program staff may not request to see visas, if an adult voluntarily disclose his/her nonimmigrant visa status or the program is aware of or becomes aware of a learner's nonimmigrant visa status, the program must inform the learner that he/she is not eligible to receive program services under AEFLA.

ESL students attending post-secondary institutions (and their spouses) are in a unique situation. Before these students can obtain a student visa, the student must guarantee that they have English language skills at a level sufficient to handle the rigors of his/her area of study. The post-secondary institution becomes the student's (and spouse's) "sponsor" and provides an additional guarantee to the U.S. Government, assuring that it will provide the support and instruction necessary for the student to be successful in his/her course of study. The cost for such classes is one of the additional expenses that justifies the "out-of-country" tuitions, which are usually quite significant.

To use adult education funding to serve these students violates the "most-in-need" mandate, since these students' needs for ESL instruction should be addressed and met by the sponsoring institution. If these needs are not being met by the sponsoring institution, the sponsoring institution is not fulfilling the contract it made with the U.S. government. This commitment extends to spouses and other family members since they are essentially on a student visa as well.

In addition to the issue of serving "most-in-need" learners, several adult education programs have noted that attendance of post-secondary students and/or family members in AEFLA-sponsored ESL classes significantly decreases the enrollment of ESL learners who are less educated and frequently of lower economic status. In other words, inclusion of post-secondary students in ESL classes discourages participation by the "hardest-to-serve/most-in-need" populations. **Therefore, post-secondary education students and their family members needing ESL services should not be served with AEFLA state, federal, or matching local funds.**

4.6 Local programs are encouraged to expand the scope and enhance the quality of services to adult learners by collaborating with other agencies and local business/industry partners. All participants receiving services through collaborative efforts that include any percentage of AEFLA funding (federal, state, or local match) must qualify for adult education services (see section 4.4: *Who Qualifies for Adult Education Services?*). Adults served in classes/programs funded through collaborative efforts that include any percentage of AEFLA funding must be counted as AEFLA participants and their records entered in PABLO databases. All classes/programs/services that are supported with any percentage of AEFLA funding and all individuals served in these programs are included when determining the performance levels of the *Indicators of a Quality Adult Education Program*.

4.6.1 *About contracting with other agencies or federal programs:* Contracts for adult education services with Department of Corrections (DOC), Department of Social and Rehabilitation Services (SRS), Department of Commerce, or One-Stop operators should be negotiated with the intent to improve support services to learners, to expand the program's hours/location of services, and/or to enhance the quality of adult education services in ways that would not be possible without a collaborative approach. Adult education programs must document how the contracted monies enhance, not supplant, adult education services. All services, all staff members, all program sites, and all participants served through collaborative partnerships that include any percentage of AEFLA funding must be included in the determination of performance levels of the *Indicators of a Quality Adult Education Program*.

Contracts for adult education services with business/industry partners are permitted as long as AEFLA funding is used exclusively to provide allowable AEFLA services. AEFLA funding cannot be used to provide employer-specific training. Onsite workplace literacy programs that are supported with any percentage of AEFLA funding and their participants must be included in the determination of performance levels of the

Indicators of A Quality Adult Education Program. Adult education programs may not contract with business/industry partners to provide work-place literacy programs if this collaborative effort results in a reduction of services to the general public. Adult education programs must monitor the effectiveness of their workplace literacy programs in comparison to their adult education programs that serve the general public.

All monies generated by contracts that include services provided by any percentage of AEFLA federal, state, and/or local matching funds must be reinvested exclusively in the adult education program but should not be included in the AEFLA budget as part of the local match. No portion of the local cash match may be generated from AEFLA federal, state, and/or local matching funds. (See Section 4.1.)

Any learner served through contractual services that are paid for exclusively by non-AEFLA funding cannot be included in the adult education learner count on PABLO. The only exceptions to this policy are adults participating in Even Start, Migrant Even Start, Reading Excellence, Title I (ESEA), or 21st Century Community Learning Centers grant-funded programs that include the AEFLA-funded adult education program as a collaborative partner. Adult learners served in these programs may have their participation and outcomes reported on PABLO and on the required reporting format of the non-AEFLA program.

Learners served in all other federally funded education programs (such as Title III programs) cannot be simultaneously served in an AEFLA-funded program, and, therefore, they cannot be included in the adult education learner count on PABLO. Adult education programs must be able to clearly define and delineate the services provided by AEFLA funding, the service provider(s) supported by AEFLA funding, and the recipients of services provided by AEFLA funding.

NOTE: AEFLA federal administrative funds (not to exceed 5% of total federal allocation), state funds, and local matching funds may be used to meet an adult education program's responsibilities as a partner in the local one-stop system. However, when determining the adult education program's contribution to the local one-stop system, adult education's "fair share" must be based on the *percentage of individuals who qualify for adult education services* who access the services of the one-stop center—not on the entire operating cost of the one-stop center. Kansas Adult Education programs are encouraged to negotiate MOUs with their local workforce boards that allow the adult education programs to provide the services (core and/or intensive) that are closely aligned with adult education's mission, such as assessing the basic skills levels and/or pre-employment/work maturity skill levels of one-stop participants.

4.6.2 *About assessment services provided for other agencies:*

Programs are welcome to contract with outside agencies to provide assessments such as CASAS or GED Practice Testing for non-participants in AEFLA funded programs. Such contracts should be fully self-sustaining with none of the costs offset by any AEFLA funding (federal, state, or local match). **Exception**: See **NOTE** in Section 4.6.1.

4.6.3 *About GED Practice Testing:*

The Official GED Practice Tests (OPT) may be administered to any learner of any age, including currently enrolled high school students, as long as the test taker is capable of reading and taking the test. GED practice tests must be administered under standardized testing conditions by a GED testing center. In some instances, a regional GED test examiner may agree to accept OPT scores from a federally and state funded adult education program that has a history of following standardized testing protocol. An adult education program *may* provide this assessment for the general public under a contract with a GED testing center. More information about Official GED Practice Tests, including online sample questions, is available online at:

Required practice testing for GED testing is not the responsibility of AEFLA-funded programs, although AEFLA-funded programs may negotiate with local GED testing centers to best meet the needs of individuals taking practice tests. The *Kansas GED Testing Manual* states that it is the responsibility of the GED testing center to provide GED practice testing opportunities for GED candidates. One of the reasons the GED testing centers were allowed to charge a maximum of a $40.00 fee for the OPT was to provide GED testing centers with additional monies to cover the cost associated with purchasing and administering the OPT test. GED testing centers need to have a cost-effective process for practice testing GED candidates that are not interested in participating in an adult education program as well as be able to provide a waiver so that students who cannot afford the OPT are able to access the GED process.

The *Kansas GED Testing Manual* also allows GED testing centers to accept GED practice test scores from AEFLA programs, but AEFLA programs are only required to provide testing to their own learners. When AEFLA programs provide GED practice testing for AEFLA learners, the practice testing is considered part of the educational process, and the cost is an allowable AEFLA expense. When GED testing centers do practice testing for GED candidates, it is a GED center expense that must be covered by the GED budget. AEFLA funds, federal, state, and/or local adult education mill levy funding or other local funds designated as adult education funds, cannot be used to offset the cost of GED Testing for any individual and GED practice testing for non-AEFLA participants.

Many adult education programs are closely aligned with their sponsoring agencies' GED testing centers, and they may have problems defining the distinct roles of each of these separate entities. In general, one responsibility of the GED testing center is to provide (or contract for the provision of) GED practice testing to all interested parties. One responsibility of the adult education program is to provide GED practice testing for adult education participants. Therefore, it is especially important to emphasize that there are two distinct options for potential GED test takers: (1) sign up for and participate in an adult education program with the goal of studying for and successfully completing the GED Test Battery; or (2) sign up for a GED practice testing session with the goal of achieving a score sufficient to be able to take the GED Test Battery.

Local adult education programs should distinguish carefully between the two groups (adult education participants and GED testers) and should not compel adults who do not need adult education services to begin the program. According to the U.S. Department of Education, adults who do not need adult education services should not be enrolled in the program. It would, therefore, be unethical to enroll an adult who doesn't need the program simply to capture an outcome when the program itself does not need to provide instructional services to that person.

One possible process is to identify potential "testers only" who indicate they have no need for adult education services and allow them to take GED practice tests as required in the *Kansas GED Testing Manual*. Since these individuals have elected to bypass adult education services, they may be charged the $25.00 fee for GED practice testing. If they pass the GED practice tests, then they should continue on to take the Official GED Test Battery.

On the other hand, if an individual does not pass the GED practice tests and is identified as needing adult education services, program staff should encourage this person to enter the adult education program, participate in the program's group orientation process, CASAS testing, goal setting, and other managed enrollment activities that are required of all program participants. Once the individual begins the orientation process, he/she would receive services as would any other learner entering the program.

4.7 Policies on Distance Education

4.7.1 *Definitions Related to Distance Education:*

"Distance education" is formal learning where students and instructors are separated by geography, time or both for the majority of the instructional period. Distance learning materials are delivered through a variety of media including, but not limited to, print, audio recording, videotape, broadcasts, computer software, web-based programs and other online technology. Teachers support distance learners through communication via mail, telephone, e-mail, online technology and software.

"Distance learners" are students who receive distance education services, as defined above. For a learner who receives both distance education and traditional classroom instruction during a program year (such as through a blended distance-classroom approach or concurrent enrollment in both types of instruction), the learner must be classified as a "classroom learner" or "distance learner" based on the instructional delivery method that the learner primarily used during the fiscal year. (OVAE, *NRS Guidelines for Distance Education*, June 6, 2006.)

In Kansas AEFLA programs, "distance education" is defined as formal learning where students and instructors are separated by geography, time or both for the majority (greater than 50% of the hours of participation) of the instructional time. Distance learning is delivered to a remote site or to a participant's home via the Internet (web-based) or on-line computerized program(s). "Distance learners" are those learners who participate initially in an on-site program, then participate through distance learning using a computer with regularly scheduled on-site reviews and progress testing. There is a check box on the PABLO *Student Info* tab to identify each Kansas Adult Education program's distance learners.

Distance learning does not include all study hours that a learner may undertake. It is expected that most adult education participants will study out of class. Therefore, hours generated by learners while doing homework and other self-directed learning projects are not counted on PABLO, and these learners are not to be identified as "distance learners." Only those learners who are working intently on a web-based or an on-line computerized program at a distance from, but under the supervision of and with the support of an adult education instructor, may be identified as distance learners.

4.7.2 Measuring *Contact Hours for Learners in Distance Education:* In order for a program to identify a learner as a "distance learner" and to report this learner's instructional hours generated through distance learning, the following requirements must be met:

1) The initial 12 hours of participation must occur on-site through face-to-face (f2f) instruction. This initial 12 hours should include the program orientation, CASAS appraisal testing, CASAS pre-testing, one-on-one counseling with goal identification and determination of distance learning "compatibility," and assessment of the learner's technology skills using the Kansas Technology Curriculum--Teknimedia. Additional f2f instructional hours may be required once the learner's technology level is determined by the technology skill and knowledge pre-assessments. **Learners identified as "distance learners" should, at a minimum, pass the PC100 Basic Skills and PC135 Exploring the Web with or without instruction before beginning the distance education component of their study.**
2) A distance learner must participate in a minimum of eight (8) hours per week. The minimum eight hours of participation must be actual clock time confirmed by the computer program (e.g., Angel, Blackboard, Teknimedia, SkillsTutor) and also documented by the learner.
3) In addition to the 32 hours per month of distance learning, a distance learner must participate in f2f instruction a minimum of four (4) hours per month. The four hours of f2f participation may include one-on-one counseling, reviewing of work completed, and, after 70 or more hours of instruction, CASAS posttesting.

4) A distance learner must participate a minimum of 36 total hours (distance and f2f learning) per month in order to retain access to the web-based or other computerized instructional program.
5) Hours of participation for distance learners should be entered into PABLO, indicating actual f2f hours and distance learning (dl) hours.
6) CASAS pretesting and posttesting must be conducted on-site following the guidelines in the Kansas Assessment Policy (Section 11).

A participant is identified as a distance learner by selecting the “distance learner” box on the *Student Info* tab of PABLO. Once a participant is identified as a distance learner, both his/her on-site and computerized distance learning instructional time must be reported on PABLO. Actual instructional time generated by a distance learner through computerized distance learning must be reported on the PABLO *Hours* tab as a class with the class code of “DL.” Actual instructional time generated by a distance learner through on-site instruction must be reported on the PABLO *Hours* tab with a class code of “f2f.” By assigning two different class codes, distance learning and on-site instructional time can be monitored.

Any distance learning model that deviates from the above policy must be submitted to and approved by the Kansas State Director of Adult Education prior to implementation.

4.8 Policies on Technology Specific Instruction

The State of Kansas will use Teknimedia to deliver technology specific instruction. User licenses will be assigned to each program based on the estimate made by the program administrator. The course administrator will be able to assign the user IDs. A license is for ***one user*** but includes access to all of the “bundled” Teknimedia courses selected for use by KBOR Adult Education.

All the "Time Spent" hours in Teknimedia should be recorded in PABLO as distance learning hours--whether the learner completes work in the classroom or off-campus. Programs need to create

Technology Class Codes with the DL hours on the HOURS Tab in PABLO.

The Kansas Technology Curriculum Tekimedia modules are:

COMPUTER BASICS 1 Certificate Modules
Mouse Tutorial—English or Spanish
PC100 Basic Skills
PC101 Computer Basics

COMPUTER BASICS 2 Certificate Modules
PC110 Files and Folders
PC135 Exploring the Web
PC140 Basic Word Processing (MS Word 2007)

Students have to complete the Computer Basic (CB) Certificate 1 or CB 2 Certificate with instruction to have the certificate count as an outcome.

Definitions:

<u>Technology-specific instruction</u> - Instruction is provided to participants in the use of computers, work processing, e-mail and the internet using the web-based and teacher-facilitated Teknimedia curriculum.

<u>Completing through instruction</u> - After taking the pre-assessment and identifying the learner's needs, a module completed through instruction is one the participant's pre-test indicated was needed. Then the participant actually logs into the module and accumulates time completing the lessons. Finally, the participant must successfully complete the performance-based assessments throughout the lesson as well as the knowledge-based post-test for the module in order to have the module marked as being completed through instruction.

<u>Not completing through instruction</u> - After taking the pre-assessment and determining the learner does not have a deficiency in that module, the module is then marked in PABLO as "no" (not completing through instruction).

NOTE: Performance on this measure will be based on the total number of participants in the program completing at least one technology module as reported on PABLO divided by the total number of participants in the program during the current fiscal year on List Report G-1.

A passing score for the post assessment is a minimum overall average score of **90%** on the performance-based assessment and **90%** on the knowledge-based assessment.

If a learner passes the pretest for a given module, the learner may skip that module of the course (***completing it without instruction***) and continue to the next. A learner should take the TekAssess pre-assessment for each module of the entire course prior to beginning instruction on any section of the course.

In the pre-assessment, if the learner successfully completes each element in both the performance- and knowledge-based portions of the test with 100%, then the learner would take the next pre-assessment for the next course. However, if the learner does not achieve the 100%, the learner would take the portions of the course that require instruction and then proceed to the next course pre-assessment.

5. Policies on Research-based Practice

Programs must make every effort to assist adults via methods reflecting research-based, effective practice during orientation and throughout instruction.

5.1 Use of the Proficiency Attainment Model (PAM)

Programs are encouraged to follow all seven components of the Proficiency Attainment Model (PAM) described in *The Comprehensive Adult Education Planner* by Daryl Mellard, Ph.D., and David Scanlon, Ph.D., of the University of Kansas. PAM was developed as a result of federally funded research and describes the following seven essential components of adult education in adult education programs:

- The pre-enrollment component;
- The orientation component;
- The assessment component;
- The individual prescription component;
- The instructional and monitoring component;
- The GED test-taking component;
- The transition to community component.

PAM is incorporated in the *Indicators of A Quality Adult Education Program* (see measure 4.1) and is a critical component of program evaluation. AEFLA legislation calls for a “program design and implementation process for all program sites … based on research and effective educational practice [AEFLA, Section 231 (e)(4)(B) and (e)(5)]. The legislation further requires that “programs offer flexible schedules and support services [AEFLA, Section 231 (e)(10)].”

Components of PAM may be adapted to best suit the local needs of adult learners. For example, in the area of goal setting, learners who set goals during pre-enrollment or orientation may revisit and change those goals in a later component. Or activities from the transition component may actually occur much earlier during orientation or instruction.

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6. Funding Policies

6.1 A funding formula based on quality and service to learners who are most in need is applied to all successful AEFLA grant applicants according to the Kansas Four-Year State Plan. In order to be included in the funding formula, adult education programs must have an approved grant application (first year of funding) or renewal application (subsequent years of funding) and meet minimum standards required by the state plan and in accordance with KSA 72-4521.

PURPOSE

The purpose of this formula is to equitably distribute state and federal funds available to those programs whose grant applications have been approved. It is not used to determine whose grant applications are approved, as that would interfere with the direct and equitable access that the state plan establishes and the Adult Education and Family Literacy Act requires. Components of the formula were developed with input from adult education program leadership in Kansas.

GOALS

1. To build into funding decisions the core performance measures and *Indicators of a Quality Adult Education Program*, including participant outcomes, sufficient intensity, instructional staff credentials, and local support.
2. To establish a minimum level of funding so that all adult education programs have an adequate base from which to maintain and enhance quality services.
3. To recognize the difference between urban and rural centers in cost per participant hour to serve those participants at the six lowest levels.

FUNDING FORMULA

1. One-half of state funds is divided evenly among all funded programs as a base level of funding, PLUS
2. Sixty percent (60%) federal funds is distributed based on the number of all participant outcomes, with educational functioning level completions achieved by participants at the six lowest levels (i.e., with a CASAS score of 210 or below) multiplied by a factor of 2, PLUS
3. The remaining half of state funds and the remaining forty percent (40%) of federal funds are distributed based on the number of points each program receives on the *Indicators of A Quality Adult Education Program* times a quality factor.

Example:
In fiscal year 2011, total federal funds are $3,000,000, and total state funds are $1,100,000. Total number of outcomes for all participants for 24 programs is 12,000 (which includes the doubling of lower level educational gains/outcomes). Average number of quality points for 24 programs is 80. Program XYZ has 300 learner outcomes plus 50 educational gains at the five lowest levels and receives 90 quality points. Program XYZ's funding is calculated as follows:

(½ state) (60% federal) (40% federal + ½ state)

($550,000/24) +[($1,800,000 / 12,000) x (300 + 50)] + {[($1,200,000+$550,000)] / [(24)(80)] x 90} =

$22,917 + ($150 x 350) + ($1,750,000 / 1920) x 90 =

$22,917 + $52,500 + $911.45 x 90 =

$22,917 + $52,500 + $82,030.50 = $157,447.50

Education Statute # 72-4521
Chapter 72: SCHOOLS
Article 45: ADULT EDUCATION PROGRAMS
Title: Establishment and operation agreements with state board; approval of applications and programs.
Text:

The state board may enter into agreements with any board for the establishment and operation of adult basic education programs and any board desiring to secure state and federal funds for the cost of conducting the same shall certify and file an application with the state board for the approval of such adult basic education program. The application shall be on a form prescribed and furnished by the state board, shall contain such information as the state board shall require, and shall be filed on or before July 1 of each year. Approval of the application and the program shall be prerequisite to payment of state and federal funds to any board.

History: L. 1974, ch. 311, § 5; L. 1999, ch. 147, § 118; July 1.

6.2 KBOR authority for AEFLA administration

KBOR is authorized to administer AEFLA federal and matching state or local funds (according to KSA 71-4517, 72-4518, 72-4519, and 72-4520), as well as local mill levy funds designated for adult education (according to KSA 71-617 and 72-4523). Programs receiving mill levy funds must spend the funds as a match to AEFLA-funded activities, and funds may not necessarily be spent in the same manner as local cash that is not used to match AEFLA funds.

According to relevant educational statutes, funds generated by local mill levy for adult education programs cannot be used to operate a GED Testing Center nor pay the salaries or partial salaries of GED examiners, alternate examiners, or support staff.

Education Statute # 72-4518
Chapter 72: SCHOOLS
Article 45: ADULT EDUCATION PROGRAMS
Title: Acceptance of benefits of federal law; administration and supervision by state board; state plan; agreements with federal agencies authorized.
Text:

(a) The state of Kansas does hereby accept the provisions and benefits of federal law relating to adult basic education programs. The state board is hereby designated as the agency for administration of adult basic education programs and for supervision of the administration of adult basic education programs by boards. The state board is authorized to prepare, from time to time amend, and administer the state plan in accordance with state and federal law.

(b) The state board shall enter into agreements with the United States office of education and other agencies of the federal government for the purpose of participation in adult basic education programs provided for by federal law. Any such agreement may contain provisions required or authorized by federal law, so long as the same are not in conflict with the provisions of this act.

History: L. 1974, ch. 311, § 2; L. 1999, ch. 147, § 117; July 1.

Education Statute # 72-4519
Chapter 72: SCHOOLS
Article 45: ADULT EDUCATION PROGRAMS
Title: State and federal funds; allocation and distribution; where deposited; payments; rules and regulations.
Text:

(a) The state board shall be responsible for the allocation and distribution of state and federal funds for adult basic education programs in accordance with this act and with the state plan. Such moneys (sic) shall be expended only in accordance with and for the purposes specified in federal or state law or the state plan. Federal funds for adult basic education programs shall be deposited in the state treasury. Payments under this act may be made in installments and in advance or by way of reimbursement, with necessary adjustments on account of overpayments or underpayments. The state board shall approve vouchers for disbursements from moneys (sic) in the state treasury for adult basic education programs, and the director of accounts and reports shall draw his warrants thereon in accordance with law.

(b) The state board may adopt rules and regulations for the administration of this act and for the distribution of federal and state funds for adult basic education programs so long as the same are not inconsistent with the provisions of this act.

History: L. 1974, ch. 311, S. 3; July 1.

Education Statute # 72-4520
Chapter 72: SCHOOLS
Article 45: ADULT EDUCATION PROGRAMS
Title: Basic education programs; establishment and operation by local boards; standards and criteria; cooperative agreements.
Text:

Each board is authorized to establish, conduct, maintain and administer an adult basic education program and such program shall meet standards and criteria set by the state board. Cooperative agreements among boards may be entered into for providing in conformity with the purposes of this act, such programs, facilities, equipment and services as may be necessary or desirable. No such cooperative agreement shall be effective until the same has been approved by the state board which approval shall be granted if such agreement complies with the standards and criteria established by the state board.

History: L. 1974, ch. 311, S. 4; July 1.

Education Statute # 71-617
Chapter 71: SCHOOLS - COMMUNITY COLLEGES
Article 6: STATE AID AND FISCAL PROVISIONS
Title: Adult basic education; tax levy authorized, limitations, protest; fund, sources; expenses.
Text:

(a) The board of trustees of any community college may levy a tax in each year for a period of not to exceed five (5) years of not to exceed one-fourth (1/4) mill on all taxable tangible property within the district to maintain and operate an adult basic education program at a level approved by the state board. In no event shall the tax levy authorized hereunder be at a rate which will produce an amount in excess of fifty thousand dollars ($50,000).

Such tax levy shall be in addition to all other tax levies authorized or limited by law. Proceeds from such tax levy shall be deposited in the adult education fund of the community college which fund is hereby established. All moneys received by a community college for adult basic education shall be deposited in the adult education fund. The expenses of a community college attributable to adult basic education shall be paid from the adult education fund.

(b) No tax levy shall be made under authority of this section until a resolution authorizing such a levy is passed by the board of trustees and published once a week for three (3) consecutive weeks in a newspaper having general circulation in the community college district, and such resolution shall specify the millage rate of such tax levy and the period of time for which such tax levy shall be made under authority thereof. After the adoption of such resolution such levy may be made unless, within ninety (90) days following the last publication of the resolution, a petition in opposition to such levy, signed by not less than five percent (5%) of the qualified electors of such community college district, is filed with the county election officer of the county in which the main campus of the community college is located. In the event such a petition is filed, such levy shall not be made without the question of levying the same having been submitted to and been approved by a majority of the qualified electors of the district voting at an election which shall be called for that purpose or at the next general election.

History: L. 1974, ch. 311, S. 8; L. 1974, ch. 312, S. 2; L. 1978, ch. 283, S. 1; L. 1979, ch. 223, S. 2; L.1980, ch. 207, S. 45; July 1.

Cross References to Related Sections: Adult education programs, see chapter 72, article 45.

Education Statute # 72-4523
Chapter 72: SCHOOLS
Article 45: ADULT EDUCATION PROGRAMS
Title: Tax levy authorized; limitations; disposition of proceeds; adult education fund; protest petition.
Text:

(a) Subject to the provisions of subsection (b), the board of any school district may make an annual tax levy for a period of not to exceed five years in an amount not to exceed 1/2 mill upon the assessed taxable tangible property within the school district to maintain and operate an adult basic education program at a level approved by the state board and for the purpose of paying a portion of the principal and interest on bonds issued by cities under authority of K.S.A. 12-1774, and amendments thereto, for the financing of redevelopment projects upon property located within the school district. Proceeds from the tax levy, except for an amount to pay a portion of the principal and interest on bonds issued by cities under authority of K.S.A. 12-1774, and amendments thereto, for the financing of redevelopment projects upon property located within the school district, shall be deposited in the adult education fund of the school district, which fund is hereby established. Notwithstanding any other provision of law, all moneys (sic) received by the school district from whatever source for adult basic education shall be credited to the adult education fund established by this section. The expenses of a school district directly attributable to adult basic education shall be paid from the adult education fund.

(b) No tax levy shall be made under this section until a resolution authorizing the levy is passed by the board and published once a week for three consecutive weeks in a newspaper having general circulation in the school district. The resolution shall specify the millage rate of the tax levy and the period of time for which the tax levy shall be made under authority thereof. After adoption of the resolution, the levy may be made unless, within 90 days following the last publication of the resolution, a petition in opposition to the levy, signed by not less than 5% of the qualified electors of the school district, is filed with the county election officer of the home county of the school district. In the event a petition is filed, the tax shall not be levied without the question of levying the same having been submitted to and approved by a majority of the qualified electors of the school district voting at an election which shall be called for that purpose or at the next general election.

(c) The board of any school district which has made a tax levy authorized under the provisions of this section may initiate procedures to renew its authority to make such a tax levy at any time after the final levy under a current authorization is certified to the county clerk.

History: L. 1974, ch. 311, S. 7; L. 1974, ch. 312, S. 1; L. 1 ch. 52, S. 177; L. 1985, ch. 242, & 1; July 1.

6.3 Education statutes concerning use of AEFLA funds

AEFLA funds need to be accounted for separately from general funds (according to KSA 71-614).

Education Statute # 71-614
Chapter 71: SCHOOLS - COMMUNITY COLLEGES
Article 6: STATE AID AND FISCAL PROVISIONS
Title: General fund; transfer authorizations; operating expense; certain expenditures prohibited.
Text:

Any lawful transfer of money from the general fund of a community college to the vocational education fund, adult education fund, adult supplementary education fund or motorcycle driver safety fund shall be an operating expense in the year the transfer is made. The board of trustees of any community college may transfer moneys (sic) from its general fund to its vocational education fund, adult education fund, adult supplementary education fund or motorcycle driver safety fund. Expenditures for vocational education, adult basic education, adult supplementary education and motorcycle driver safety shall not be made from the general fund of a community college.

History: L. 1973, ch. 274, S. 19; L. 1974, ch. 311, S. 12; L. 1974, ch. 312, S. 3; L. 1979, ch. 223, S. 1; L. 1980, ch. 207, S. 42; L. 1989, ch. 39, S. 4; July 1.

6.4 Budgets and budget reports

All AEFLA programs must submit an annual budget on forms approved by KBOR Adult Education. The budget must detail proposed expenditures for federal and state funding awarded through the funding formula, local cash match and any available mill levy (also see section 6.2 above), and funds generated by adult education services. Programs must send annual budgets with original signatures by mail. The budget must reflect adequate financial management as required in 34CFR80.20 and 34CFR80.37. Federal, state, and local funds must be maintained in separate line items in order to maintain separate identities for reporting and auditing purposes. Commingling of these separate sources of funding is not allowed.

During the course of a fiscal year, an annual budget modification is required when the program is awarded additional funds (i.e. EL/Civics Grant funds, incentive funding, professional development funding). These annual budget modifications must be submitted to and approved by KBOR Adult Education. Annual budget revisions that do not result from the receipt of additional funds should reflect changes in line items, but the total funds awarded in federal and state funds, as well as the total cash match, must remain the same. **Annual**

budget revisions that are not a result of the receipt of additional funds must be approved prior to expenditures.

In addition, programs are required to submit quarterly budget report and statement of quarterly balance to KBOR Adult Education on approved budget report forms three times each fiscal year. These quarterly budget reports may be faxed or emailed to KBOR Adult Education. A final budget report and final statement of expenditures is also required to be submitted one month following the close of the fiscal year. Federal or state amounts not spent by June 30 of a fiscal year must either be returned to KBOR or encumbered and spent by September 30 of the following fiscal year. No carryover is permitted from one fiscal year to the next.

Programs need to observe the following maximum or minimum percentages for federal funds:

- maximum 5% of federal funds may be spent on administration (section 100);
- maximum 8% of federal funds may be spent on services to adults in institutions (section 400); and
- maximum of 5% of federal funds may be requested from KBOR Adult Education to be spent on professional development.

Maintenance of effort (see section 1.22 (b) as well as Appendix A of the Kansas Four-Year State Plan) of the local match is required so that the level of local support remains consistent or increases. Even if federal funding decreases or if the final total award amount decreases from one fiscal year to the next, the agency supporting the program is required to sustain the level of the local match from the previous year—at a minimum.

Programs are required to submit a Capital Outlay Inventory for each capital outlay item (e.g. equipment, computer software program, or furnishings) costing $500 or more. A program's Capital Outlay Inventory must correspond to reported capital outlay expenditures on the Adult Education Annual Budget Report. All adult education programs must submit a Capital Outlay Inventory form annually even if no funds were expended in this line item. Programs must submit the Capital Outlay Inventory form for the previous fiscal year no later than the first business day in the month of October.

Budget report forms and the Capital Outlay Inventory form are available at the KBOR Adult Education web site. The Capital Outlay Inventory form and quarterly budget reports may be submitted by mail or as an e-mail attachment. However original and revised annual budgets must be submitted by mail with original signatures. Sample forms and instructions are included on pages 12-15. Following instructions carefully will help prevent delays in approval.

A fiscal year begins on July 1 and ends on June 30. A budget revision may be submitted at any time following approval of the budget for a fiscal year, but **the revised budget must be approved by the KBOR Adult Education Associate Director for Fiscal Affairs prior to any expenditure proposed in the budget revision.**

An annual budget revision proposal is required if a program desires to move funding amounts from one section to another or if changes within the same section line item exceed 10% of the section subtotal. For example, a program has $1000.00 budgeted in a section, including $500.00 in each of two separate line items. Because of an unanticipated change in the program, one of the line items requires $800.00 and the other requires only $200.00. Because each line item needs to change by $300, which is more than 10% of $1000, a budget revision is necessary. Likewise, if the program desires to move the $300.00 to a line item in a different section, an approved budget revision is required.

A quarterly budget report accounts for what the program spent in each quarter of the fiscal year. The amounts spent in each quarter must add up to the total budgeted amount. Back up documentation from the host institution's business office must be submitted with each quarterly budget report.

The final budget report and final statement of expenditures account for what the program spent during the fiscal year. Back up documentation from the host institution's business office must be submitted with the final budget report and statement of final expenditures. Federal or state amounts not spent by June 30 of a fiscal year must either be returned to KBOR or encumbered and spent by September 30 of the following fiscal year. No carryover is permitted from one fiscal year to the next.

Programs are encouraged to first spend local funds then state funds before spending federal funds, *but all funds must be spent as approved in the original budget or an approved budget revision,* ***including local cash***. **Local cash matches must be spent in the fiscal year they are reported on the annual budget report. They cannot be carried over from one fiscal year to the next.**

NOTE: Original annual budgets, revised annual budgets and final statement of expenditures require an original signature and, therefore, must be submitted by mail or hand delivered to KBOR. The quarterly budget reports do not require an original signature and may be submitted as an e-mail attachment.

6.5 Policy on Use of AEFLA Funds and Locally Generated Funds

Adult education services, including adult basic education (ABE), English as a Second Language (ESL), GED preparation, Civics Education, workplace preparation, and technology skills, must be accessible at no or a minimal charge to all adults who qualify. To offset the costs of consumable instructional materials and equipment and other instructional and support services, local programs may establish policies concerning consistent, *reasonable* fees charged to individuals. To avoid creating any barriers to AEFLA services, local policies concerning reasonable fees must be consistently set, clearly defined, and published in advance. Programs must also have a plan in place to ensure that fees do not adversely impact the participation of economically disadvantaged adult learners.

Adult education programs may use AEFLA funding (federal, state, and local matching) to serve only individuals who qualify for adult education services. An adult education program may elect to serve non-qualifying participants as a service to the sponsoring institution. However, when services are provided to non-qualifying participants, the adult education program must determine the cost per participant (or the cost per participant hour) of all participants and then determine the cost for services to non-qualifying individual(s). **The sponsoring institution must reimburse the adult education program for the cost of serving the non-qualifying individual(s).** This reimbursement funding cannot be considered and reported as local matching funds.

One hundred percent (100%) of any funds generated by the use of federal, state, and/or local matching AEFLA funds must be reinvested in the AEFLA program. These locally generated funds cannot be considered and reported as local matching funds. **However, these locally generated funds must be reported on the quarterly and final annual budget reports—both the amount of locally-generated funds and the line item(s) in which they were expended.**

6.6 Policy regarding use and application for professional development funds

Professional development funds will be awarded after initial basic and English Literacy and Civic Education (ELCE) grants have been awarded through a separate application process. Programs may apply for up to 5% of the total federal allocation for professional development. Allowable professional development activities must be linked directly to the program improvement objective (s). Instructional and marketing activities, GED Test administration training and staff administration salaries are not allowable professional development activities. Federal funds used for professional development activities are subject to approval by the Kansas Board of Regents Adult Education Division.

The following items must be submitted with the PD Funding Application:

- Host institution's travel reimbursement policy
- Out-of-state travel request approval form if using federal or local professional development funds
    - Out-of-State travel with federal or local funds is subject to approval by the KBOR Adult Education Associate Director for Professional Development

Professional development reports are due at the same time as budget reports are due. Professional development quarterly and final budget reports require copies of actual receipts for travel, lodging, and meal expenses and copy of actual college tuition billing and satisfactory grade reports for tuition reimbursements.

FY2011 Basic Grant Budget
Adult Education and Family Literacy Act

Program Name ______________________________		_____Budget Modification	Quarterly Reports
_____AEFLA Basic	_____Initial Budget	Date Submitted__________	1st (Due Oct 15th)__________
	_____Final Report	Date Approved__________	2nd (Due Jan 15th)__________
_____Other______________________________	(Due July 30th)		3rd (Due Apr 15th)__________

NOTE: Leave no cells blank; enter 0 if there are no expenditures	Federal	State	Local	Total	Locally Generated
					Prior FY Carryover:
					Amount Collected:
100 ADMINISTRATION (maximum 5% of federal funds)					
Administrators Salary (Adult Education portion only)				$ -	
Administrators Withholdings & Benefits				$ -	
Support Staff Salary/Wages				$ -	
Support Staff Withholdings & Benefits				$ -	
Administration Building & Maintenance				$ -	
Administration Office Supplies (each item less than $500)				$ -	
Administration Capital Outlay (each item $500 or over)				$ -	
Administration In-State Travel				$ -	
Advisory Board Meeting Expenses				$ -	
Staff Meeting Expenses				$ -	
Professional Development (Basic)*	$ -			$ -	
Other Administrative Expenses (please list below)				$ -	
Postage & Print				$ -	
Marketing				$ -	
SUBTOTAL	$ -	$ -	$ -	$ -	$ -
200 INSTRUCTION					
Instructional Salaries/Wages				$ -	
Instructional Withholdings & Benefits				$ -	
Instructional Building & Maintenance				$ -	
Instructional Supplies (each item less than $500)				$ -	
Instructional Capital Outlay (each item $500 or over)				$ -	
Instructional In-State Travel				$ -	
Student Transportation				$ -	
Student Childcare				$ -	
Other Instructional Expenses (please list below)				$ -	
Substitute Costs				$ -	
SUBTOTAL	$ -	$ -	$ -	$ -	$ -
GRAND TOTAL 100 Through 200	$ -	$ -	$ -	$ -	$ -
300 Special Project Funds					
400 Amount of Instruction Subtotal proposed for correctional or other residential institutions					

*Professional development breakout of funds are reported on attached budget worksheets.

Directors Signature: ______________________________ Authorized Fiscal Officer Signature: ______________________________

Typed Name: ______________________________ Typed Name: ______________________________

Date Signed: ______________________________ Date Signed: ______________________________

Official Title: ______________________________

FY2011 ELCE Grant Budget
Adult Education and Family Literacy Act

Program Name ______________________________		_____Budget Modification	Quarterly Reports
	_____Initial Budget	Date Submitted__________	1st (Due Oct 15th)__________
_____El/Civics (Federal Instruction Only)	_____Final Report	Date Approved__________	2nd (Due Jan 15th)__________
_____Other______________________________	(Due July 30th)		3rd (Due Apr 15th)__________

NOTE: Leave no cells blank; enter 0 if there are no expenditures	Federal	State	Local	Total	Locally Generated
					Carryover Amount:
					Amount Collected:
100 ADMINISTRATION (maximum 5% of federal funds)					
Administrators Salary (Adult Education portion only)				$ -	
Administrators Withholdings & Benefits				$ -	
Support Staff Salary/Wages				$ -	
Support Staff Withholdings & Benefits				$ -	
Administration Building & Maintenance				$ -	
Administration Office Supplies (each item less than $500)				$ -	
Administration Capital Outlay (each item $500 or over)				$ -	
Administration In-State Travel				$ -	
Advisory Board Meeting Expenses				$ -	
Staff Meeting Expenses				$ -	
Professional Development (El Civics)*	$ -				
Other Administrative Expenses (please list below)				$ -	
Postage & Print				$ -	
Marketing				$ -	
SUBTOTAL	$ -	$ -	$ -	$ -	$ -
200 INSTRUCTION					
Instructional Salaries/Wages				$ -	
Instructional Withholdings & Benefits				$ -	
Instructional Building & Maintenance				$ -	
Instructional Supplies (each item less than $500)				$ -	
Instructional Capital Outlay (each item $500 or over)				$ -	
Instructional In-State Travel				$ -	
Student Transportation				$ -	
Student Childcare				$ -	
Other Instructional Expenses (please list below)				$ -	
Substitute Costs				$ -	
SUBTOTAL	$ -	$ -	$ -	$ -	$ -
GRAND TOTAL 100 Through 400	$ -	$ -	$ -	$ -	$ -
300 Special Project Funds					
400 Amount of Instruction Subtotal proposed for correctional or other residential institutions					

*Professional development breakout of funds are reported on attached budget worksheets.

Directors Signature: ______________________________ Authorized Fiscal Officer Signature: ______________________________

Typed Name: ______________________________ Typed Name: ______________________________

Date Signed: ______________________________ Date Signed: ______________________________

Official Title: ______________________________

FY2011 Basic Professional Development Budget
Adult Education and Family Literacy Act

Program Name ____

	_____Initial Budget _____Final Report (Due July 30th)
_____**Budget Modification** Date Submitted__________ Date Approved___________	**Quarterly Reports** 1st (Due Oct 15th)_______ 2nd (Due Jan 15th)______ 3rd (Due Apr 15th)_______
NOTE: Leave no cells blank; enter 0 if there are no expenditures	**Federal**
Professional Development	
Curriculum Development	
Substitute Costs	
Professional Development Supplies	
Locally Delivered Professional Development	
In-State Staff Travel for PD Activities	
Out-of-State Staff Travel for PD Activities	
College Tuition Reimbursement	
Registration Cost	
Other (please list below)	
Total	**$ -**

Adult Education Director: ____

Date Signed: ____

State Associate Director
of Professional Development: ____

Date Signed: ____

FY2011 ELCE Professional Development Budget
Adult Education and Family Literacy Act

Program Name ____

_____Initial Budget
_____Final Report
(Due July 30th)

_____**Budget Modification**
Date Submitted___________
Date Approved____________

Quarterly Reports
1st (Due Oct 15th)_______
2nd (Due Jan 15th)______
3rd (Due Apr 15th)_______

NOTE: Leave no cells blank; enter 0 if there are no expenditures	Federal
Professional Development	
Curriculum Development	
Substitute Costs	
Professional Development Supplies	
Locally Delivered Professional Development	
In-State Staff Travel for PD Activities	
Out-of-State Staff Travel for PD Activities	
College Tuition Reimbursement	
Registration Cost	
Other (please list below)	
Total	$ -

Adult Education Director: ____

Date Signed: ____

State Associate Director
of Professional Development: ____

Date Signed: ____

Adult Education FY11 Budget Instructions

(This form may also be used for Budget Modifications or Revisions)

Before beginning, please note the following requirements:

- ❑ **A maximum of 5% of federal funds may be spent in section 100 (administrative).** Program may use available state funds for section 100 as needed.
- ❑ **A maximum of 8% of federal funds may be spent for institutions** (includes activities in residential correctional, medical, mental, youth, or special institutions).
- ❑ **Round all amounts to whole dollars using conventional rounding (e.g., $.00 to $.49 = $0 and $.50 to $.99 = $1).**

Type the name of your adult education program next to "Program Name." Indicate the type of funding that budget is for (i.e., comprehensive, el civics) and which budget reporting period (i.e., initial, modification, quarterly).

Indicate in the columns the adult education funds for the current year, including federal funds, state funds, local funds, and total funds (i.e., federal funds plus state funds plus local funds). Use amounts for federal and state funds that have been allocated to your program from the funding formula. Local funds are defined as any cash-matching funds from non-federal, non-state sources, such as a private grant or ABE mill levy. All mill levy funds designated by law for adult education must be used exclusively for adult education services; however, all mill levy funds do not have to be included in the budget in the year collected. Programs must consider maintenance of effort requirements when budgeting local funds.

In sections 100 through 200, report actual funds allowed for the year. Any amounts not spent or encumbered by June 30, 2011, and encumbered amounts not spent by September 30, 2011, must be returned to Kansas Board of Regents.

In **section 100**, indicate federal, state, local, and total funds for administrator salaries (including director and/or coordinator as applicable) and for any support staff during the period of the budget. Also indicate any other administrative funds, such as consultant services, office supplies, postage, telephone, printing, and other items "Administrative" costs are non-instructional costs of administering the adult education program.

In **section 200**, indicate federal, state, local, and total funds for instructional salaries (any paid teaching staff, whether in an institution or a non-institutional setting, or other instructional staff, such as a counselor), instructional supplies (supplies used to provide instruction to adult education learners), and any other instructional items.

Add up the 2 SUBTOTAL amounts and indicate them in the "GRAND TOTAL" columns. **Double check your calculations and cross check rows and columns horizontally and vertically. Do not include column titled Locally Generated.**

In **section 300**, indicate any funds expended for special projects.

In **section 400**, indicate the amount of section 200 (**instructional costs**) subtotal that is proposed for correctional or other residential institutional costs.

Locally Generated Column: This column should be figured separately from the remainder of the budget. Include in this column all locally generated funds from AE fees or charges to non-AEFLA participants and expenditures. The initial budget report should include carry-over funds from FY10. Quarterly budget reports should include any additional locally generated funds received during FY10.

The budget must be signed by the Program Director and Chief Financial Officer

Budgets and budget modifications (or revisions) **need original signatures; only quarterly budget reports may be submitted with typed signatures.**

Adult Basic Education

Cumulative Statement of FY2011 Quarterly Balance (only for quarterly fiscal reports)

****Attach itemization Detail of Expenditures****

Program Name______________________________ ____1st Quarter ____2nd Quarter ____3rd Quarter

1. Amount of federal grant award:	$	7. Amount of state grant award:	$
2. Total federal monies received Through this quarter:	$	8. Total state monies received through this quarter:	$
3. Total federal monies expended through this quarter:	$	9. Total state monies expended through this quarter:	$
4. Estimate of federal monies encumbered through the end of quarter:	$	10. Estimate of state monies encumbered through the end of quarter:	$
5. Unencumbered monies on hand at the end of the quarter: (add lines 3 and 4; subtract sum from line 2)	$	11. Unencumbered monies on hand at the end of the quarter: (add lines 9 and 10; subtract sum from line 8)	$
6. Balance of grant due: (subtract line 2 from line 1)	$	12. Balance of grant due: (subtract line 8 from line 7)	$

I certify that to the best of my knowledge, the above report accurately reflects fiscal transactions of this program for the period indicated.

Director's Signature: ___________________________

Typed Name: _________________________________

Date Signed: __________________________________

Adult Basic Education Final Statement of FY2011 Expenditures (**only for final fiscal report**)
For the program year ending June 30, 2011
****Attach itemization Detail of Expenditures****

Program Name___________________________________

1. Statement of expended *Federal Funds* for the period from July 1, 2010 to June 30, 2011 (after all encumbrances have cleared.)

   a. Total Federal Funds Received $_______________________________________

   b. Total Federal Funds Expended (Figure must correspond with total federal expenditure reported on budget) $_______________________________________

   c. Amount returned to the State (Subtract amount on line "B" from amount on line "A".) (Enclose check for this amount with this report.) $_______________________________________

2. Statement of expended *State Funds* for the period from July 1, 2010 to June 30, 2011 (after all encumbrances have cleared.)

   a. Total Federal State Received $_______________________________________

   b. Total State Funds Expended (Figure must correspond with total state expenditure reported on budget) $_______________________________________

   c. Amount returned to the State (Subtract amount on line "B" from amount on line "A".) (Enclose check for this amount with this report.) $_______________________________________

3. Report of Local expenditures

   a. Total Local Expenditures for the current fiscal year. $_______________________________________

   b. Local Expenditures for the previous fiscal year. $_______________________________________

I certify that to the best of my knowledge, the above report accurately reflects fiscal transactions of this program for the period indicated.

Director's Signature: __________________________ Authorized Fiscal Officer Signature: ___________________________

Typed Name: ______________________________ Typed Name: ____

Date Signed: ______________________________ Official Title: ____

Date Signed: ____

Adult Education (AEFLA) Capital Outlay Inventory for FY ________

Name of Adult Education Program ______________________________

Today's Date___________

Did your program purchase any capital outlay items (e.g., equipment or furnishings) costing $500.00 or more **each** with federal or state adult education (AEFLA) funds during FY ___? (If you are not sure, check the most recent approved budget for the fiscal year that just ended.)

If **no**, please put a √ in the space below and return this form to KBOR with annual reporting ________. Do not fill in the table below.

If **yes**, fill out the table below for each individual item purchased that cost more than $500.00.

Item Name	Cost of Item	Current Location of Item	Is Item Clearly Marked?	Local ID# of Item
***Laser Printer*	*$639.00*	*ABE classroom*	*Yes*	*2010-1629*

** Sample Item

[Code of Federal Regulations]
[Title 34, Volume 1, Parts 1 to 299]
[Revised as of July 1, 2000]
From the U.S. Government Printing Office via GPO Access
[CITE: **34CFR80.20**]

[Page 196]

TITLE 34--EDUCATION

PART 80--UNIFORM ADMINISTRATIVE REQUIREMENTS FOR GRANTS AND COOPERATIVE AGREEMENTS TO STATE AND LOCAL GOVERNMENTS--Table of Contents

Subpart C--Post-Award Requirements

Sec. 80.20 Standards for financial management systems.

Financial Administration

(a) A State must expand and account for grant funds in accordance with State laws and procedures for expending and accounting for its own funds. Fiscal control and accounting procedures of the State, as well as its subgrantees and cost-type contractors, must be sufficient to:

(1) Permit preparation of reports required by this part and the statutes authorizing the grant, and

(2) Permit the tracing of funds to a level of expenditures adequate to establish that such funds have not been used in violation of the restrictions and prohibitions of applicable statutes.

(b) The financial management systems of other grantees and subgrantees must meet the following standards:

(1) Financial reporting. Accurate, current, and complete disclosure of the financial results of financially assisted activities must be made in accordance with the financial reporting requirements of the grant or subgrant.

(2) Accounting records. Grantees and subgrantees must maintain records which adequately identify the source and application of funds provided for financially-assisted activities. These records must contain information pertaining to grant or subgrant awards and authorizations, obligations, unobligated balances, assets, liabilities, outlays or expenditures, and income.

(3) Internal control. Effective control and accountability must be maintained for all grant and subgrant cash, real and personal property, and other assets. Grantees and subgrantees must adequately safeguard all such property and must assure that it is used solely for authorized

purposes.

(4) Budget control. Actual expenditures or outlays must be compared with budgeted amounts for each grant or subgrant. Financial information must be related to performance or productivity data, including the development of unit cost information whenever appropriate or specifically required in the grant or subgrant agreement. If unit cost data are required, estimates based on available documentation will be accepted whenever possible.

(5) Allowable cost. Applicable OMB cost principles, agency program regulations, and the terms of grant and subgrant agreements will be followed in determining the reasonableness, allowability, and allocability of costs.

(6) Source documentation. Accounting records must be supported by such source documentation as cancelled checks, paid bills, payrolls, time and attendance records, contract and subgrant award documents, etc.

(7) Cash management. Procedures for minimizing the time elapsing between the transfer of funds from the U.S. Treasury and disbursement by grantees and subgrantees must be followed whenever advance payment procedures are used. Grantees must establish reasonable procedures to ensure the receipt of reports on subgrantees' cash balances and cash disbursements in sufficient time to enable them to prepare complete and accurate cash transactions reports to the awarding agency. When advances are made by letter-of-credit or electronic transfer of funds methods, the grantee must make drawdowns as close as possible to the time of making disbursements. Grantees must monitor cash drawdowns by their subgrantees to assure that they conform substantially to the same standards of timing and amount as apply to advances to the grantees.

(c) An awarding agency may review the adequacy of the financial management system of any applicant for financial assistance as part of a preaward review or at any time subsequent to award.

(Approved by the Office of Management and Budget under control number 1880-0517)

(Authority: 20 U.S.C. 3474; OMB Circular A-102)

[53 FR 8071 and 8087, Mar. 11, 1988, as amended at 53 FR 49143, Dec. 6, 1988]

7. Policies on Services to Individuals with Disabilities

7.1 Local policies on services to adults with disabilities must not discriminate nor violate the Americans with Disabilities Act (ADA). Programs are encouraged to establish and share local policies on minimum qualifications for learners with the ability to benefit from adult education services.

Because programs cannot be discriminatory in any manner in their service to individuals, programs need to ensure that they have made a concerted effort to serve all learners effectively. This effort means the program has appropriate materials for all levels, has posted non-discrimination policies as required under the Americans with Disabilities Act (ADA), is physically accessible, does not impose "unreasonable" time limits, provides appropriate accommodations, etc. This does not mean that programs have to create "new" programs or provide special "exclusive" services for learners.

Some learners would benefit from having one-on-one instruction; however, a program cannot be expected to provide one-on-one instruction for a learner if the program uses a group instruction model. Having a teacher provide one-on-one services would be unreasonable and cost prohibitive. However, if a program provides one-on-one tutoring for some individuals, it would be discriminatory to not provide one-on-one tutoring for any individual who requested such services and who would most likely benefit from such services.

It is also not unreasonable for a program to emphasize--from the first day of a learner's experience with the program--that adult education is an EDUCATION program and participation in the program requires measurable education or workforce readiness progress that is appropriate for the learner AND is pursued by the learner.

Ideally, the program has developed a very consistent process that is used with each and every learner. This process would include the following steps: teacher/learner identify a reasonable goal(s), teacher/learner work toward the goal(s), teacher/learner measure progress toward the goal(s), teacher/learner revise goal(s), methods, materials, etc. as necessary, teacher/learner monitor progress toward the goal(s), etc. When this process is followed with EVERY learner, the program should have a record that *confirms* that the program is the appropriate placement for the learner or *confirms* that the program is not an appropriate placement for the learner.

If a learner is not making progress because of excessive absences, the program will have a record of the learner's attendance, a record of the counseling session with the learner explaining/reviewing the necessity for consistent attendance and consistent effort in order for the learner to achieve his/her goal(s). With this documentation, it is not unreasonable to "disenroll" a learner when the learner obviously does not (cannot or will not) meet the program's r*easonable* expectations leading to goal attainment.

Similarly, a learner with limited ability must also demonstrate progress toward an "appropriate" goal. If the learner cannot/does not/will not demonstrate progress, the program should have a record of the learner's identified goal(s), plan for achieving the goal(s), monitoring of progress toward goal(s), etc. If these elements are in place, and a learner is not making measurable progress toward an appropriate educational goal, then the adult education program is obviously not the appropriate placement (program) for the learner. Even if the learner "is happy in our program," "likes to attend our program," "is developing more appropriate social skills," etc., these are not measurable education/workplace preparation goals, and, while they may be appropriate goals for some programs, they are not (absent from any other measurable education/workforce readiness progress) sufficient reasons for programs to continue to provide services to an individual.

Following these procedures does not mean that programs have to generate excessive additional paperwork. Most programs already have a process for identifying appropriate goals, log of learner attendance/efforts, a learning plan which includes assignments, teacher's comments, learner's reviews of his/her progress, records of teacher/learner joint reviews of progress, etc. Of course, learner handbooks and other orientation materials should state very clearly the expectations of the program--that all learners will identify and work toward an appropriate education/workforce readiness goal and that learners will demonstrate ongoing measurable progress.

For special needs learners--to ensure programs are not being discriminatory--there would not be the same expectation/time frame/etc. as for a learner that did not have special needs. For example, if a learner had a mobility problem and had to depend on public transportation, he/she may not be able to attend the program during inclement weather, so an attendance policy would have to allow for these special circumstances. A learner who has a developmental disability (e.g. mental retardation, Down's syndrome, autism) may be able to document a learning gain of five points on the CASAS only after 160 or more hours of instruction instead of the more typical 70-100 hours of instruction. However, if the learner is showing no learning gains--even on teacher-constructed tests, end-of-chapter tests, etc.--and different methods have been tried and proven unsuccessful, then the learner (and perhaps an advocate/aide/parent) needs to be informed that unless measurable progress toward a goal is met by a defined future date, then the learner will no longer be a participant in the program because *obviously* the program is not an appropriate placement for this learner.

When this process is followed, learners have been given due process, programs have not been discriminatory, and the program has followed a consistent process that documents that concerted efforts were made to help the learner meet his/her education/workplace readiness goal(s).

Programs need to emphasize that while learners may have "other" goals, the federal/state monies are tied to very specific goals, and expenditure of these monies to serve learners whose primary reason for attending the program is not aligned with these federal/state goals is an inappropriate expenditure of funds.

How long does the learner need to stay out when “disenrolled”? If a program is not an appropriate placement for the learner now, then it most likely will not be an appropriate placement six months from now. Of course, for learners who are "disenrolled" because they violated an attendance policy, conduct policy, etc., the program will most likely be an appropriate placement when the learner decides that he/she can adhere to the program's policies. Programs should also have a clearly defined written policy about how long a person will be disenrolled before he/she can apply for readmission and the process for readmission. This does not mean a program "has to" readmit every learner after a certain waiting period. Adult education programs have the option to not allow a learner to reenroll ever again that has been a threat to a teacher, another learner, or even to the equipment and materials in a program.

In short, it is extremely important that an adult education program has ample *supporting documentation* to negate any claim of discriminatory actions in its services to adult learners. A "paper trail" of the program's honest, well-planned, diligently-executed efforts to serve all learners will support the program's written policy to disenroll learners when the program determines (based on the documented evidence) that this is not an appropriate placement for the learner and continued service to the learner would be a *misuse* of federal and state funding.

7.2 Adults needing accommodations for disabilities should be identified as early in the learning process as possible. Program staff should refer to *The Comprehensive Adult Education Planner* (PAM) and *Accommodating Adults with Disabilities in Adult Education Programs* manuals for further information and procedures. Counseling of adult learners should include referral to the most appropriate placement for the learners needs, regardless of disability status.

In order to "document" a disability, adult education programs should use the Americans with Disabilities Act (ADA) guidelines. Under the ADA broad definitions, program staff can accept several types of documentation of a disability. One of the most common forms of documentation in an educational environment is a self-report from an individual that he/she was identified as having a special need and served under the Individual with Disabilities Education Act (IDEA), frequently known as "Special Education.” Appropriate forms of evidence include an individual having an obvious physical disability and/or providing the adult education program with written confirmation of a disability from an appropriate diagnostician. Program staff should note in the learner’s file the type of documentation that was provided.

However, not everyone who says he/she will need accommodations in the learning or testing environment has a disability. Programs should follow up the group enrollment process with one-on-one interviews, especially with learners who self identify as needing accommodations. This private discussion may provide an environment that is more conducive to soliciting information about why the individual believes he/she will need accommodations to be successful in testing situations. For example, if a learner reports that he received Special Education services in school and that his IEP stated that he should be allowed additional time during testing, this person has a "history of a disability" which is one of the qualifying elements for identification of a disability under ADA. Therefore, this individual would be considered as having a disability for the reporting system.

However, in the private interview setting another learner may report that she will need accommodations because she has dyslexia. When the interviewer questions the learner about her diagnosis, the learner reports that her friend read an article about dyslexia. When the learner and her friend discussed the information provided in the article, they decided that the reason the learner was having trouble reading was because she was dyslexic. The learner also reports she never received Special Education services and that she has never been diagnosed by a professional. While this learner *may* have a specific learning disability, this self-diagnosis and self-reporting of a need for accommodations is not sufficient to identify this person as having a disability.

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8. Policies on Environment

8.1 Local policies on appropriate behavior and dress should be posted, and programs should get signatures of adults confirming that they have been appropriately informed about the policies. ADA signs explaining non-discrimination policies should be posted on a wall or bulletin board in plain sight. Discrimination on the basis of age or other demographic designator, such as requiring learners of a certain age group to participate in services for that age group, is not permitted.

According to KSA 72-4526, "(c) Any board may adopt regulations governing the operation of adult education programs. Any board may authorize persons not residents of the district to participate in adult education programs. The teachers and administrators in such adult education programs shall have the same authority over students as is exercised in regular school instruction."

A sample policy for conduct and dress might include the elements in the following draft. Each local program should have its agency's legal staff review proposed conduct and dress codes to ensure that the codes are legally defensible and are aligned with the policies of the sponsoring institution.

<<PROGRAM>> CODE OF CONDUCT

For everyone to be able to learn well, <<PROGRAM>> asks you to please follow these rules:

1. Be aware of the needs of fellow students.
2. Do not disturb others with unnecessary noise, movement, swearing, or other disruptions.
3. Do not abuse physically or verbally, threaten, hit or mistreat any person.
4. Be courteous to and respectful of staff, other students and their property.
5. Do not use, sell, possess, distribute or be under the influence of narcotics, drugs, or alcohol.
6. Do not be in possession of any item that could be considered to be a weapon.
7. Do not smoke or chew tobacco while in the building or on school grounds.
8. Do not bring children or other persons into the study rooms.
9. No fund raising, buying, or selling is permitted (such as Avon, Amway, or candy from your child's school).
10. Taking plants or animals into the school requires prior permission from the director.

<< PROGRAM>> DRESS CODE

In <<Program>> learners will always:

- Be clean and odor free.
- Wear shoes.

In <<Program>>, learners will not:

- dress in such a way that others are distracted from studying.
- dress in such a way as to be a danger to themselves or others.
- display immoral, obscene, or indecent messages or pictures.
- display messages or pictures promoting violence, gang activity or drugs (including alcohol and tobacco).

Failure to follow <<PROGRAM>> Code of Conduct or Dress Code may result in dismissal.

I have read, or had read to me, and understand this page.

Student Signature____________________________________ Date ___________

Staff Member Signature_______________________________ Date____________

8.2 Local policies on emergency procedures and treatment should be posted, and programs should get signatures of adults confirming that they have been informed about the policies. Programs should offer regular fire and tornado drills and share procedures in case of bomb threats, life-threatening emergencies, or other disasters in a language that learners can read.

8.3 Outreach sites, including those that are in close physical proximity to another outreach site, must meet the same requirements as the main program site in reference to performance on measures in the *Indicators of a Quality Adult Education Program*.

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9. Policies on Basic Skills Certification

9.1 What is the Kansas WORK*Ready*! Certificates?
Kansas WORK*READY*! is a state-wide initiative that uses WorkKeys®, an ACT national assessment system, to create a career readiness certificate documenting an individual's skills in the following areas:

Applied Mathematics - measuring the skills people use when they apply mathematical reasoning and problem-solving techniques to work-related problems;
Locating Information – measuring the skills people use when they work with workplace graphics, such as charts, graphs, tables, forms, maps, diagrams, and instrument gauges; and
Reading for Information – measuring the skills people use when they read and use written text in order to perform duties such as memos, letters, directions, signs, policies, and regulations.

Kansas WORK*READY*! Certificates have the following four levels:

Bronze:	An individual achieving this level possesses core skills for approximately 30 percent of the jobs profiled by WorkKeys®.
Silver:	An individual achieving this level possesses core skills for approximately 70 percent of the jobs profiled by WorkKeys®.
Gold:	An individual achieving this level possesses core skills for approximately 90 percent of the jobs profiled by WorkKeys®.
Platinum:	an individual achieving this level possesses core skills for approximately 99% of the jobs profiled by WorkKeys®.

When awarding a certificate, the individual's lowest score on any one test determines the type of certificate awarded.

Platinum = must receive a score of 6 or above on **all** three tests
Gold = must receive a score of 5 or above on **all** three tests
Silver = must receive a score of 4 or above on **all** three tests
Bronze = must receive a score of 3 or above on **all** three tests
(Example: If an individual scores 4 in *Applied Math*, 3 in *Locating Information*, and 5 in *Reading for Information*, a Bronze certificate is awarded.)

9.2 What are the benefits to my adult learners and my program to becoming involved with the Kansas WORK*Ready*! Certificate initiative?

The Kansas WORK*Ready*! Certificate, signed by the current Governor of Kansas, is beneficial to students in secondary and post-secondary schools who are earning their diploma, degree or other industry certificate. The WORK*Ready*! Certificate indicates a student is prepared with basic transferable skills and is equipped to learn job-specific skills.

By becoming a partner with the Kansas Department of Commerce and KansasWorks, your program will expand its capacity to educate and prepare a world class workforce for the future that will significantly contribute to economic prosperity for Kansas. Partnerships are necessary for achieving this goal. Since the Kansas Department of Commerce and Kansas Adult Education share common stakeholders—potential and current employees and Kansas businesses/employers—we have the need to communicate effectively using a common voice with these stakeholders. The WORK*Ready*! Certificate will provide adult learners with an important tool for securing employment or improved employment, and it will provide employers with a means to identify individuals with basic skills who are ready to learn the specific skills for a job.

Another advantage of this partnership to the adult education program is that by helping learners obtain WORK*Ready*! Certificates, is the program's opportunity for increased performance-based funding. Each participant must be entered into PABLO with an appropriate certificate number. The participant must have earned the certificate during the fiscal year he/she attended the adult education program.

For determining the appropriate score on the *Kansas Indicators of a Quality Adult Education Program* Measure 2.2, the percentage of program participants that achieve a Kansas Work*Ready!* Certificate at the four different levels--“count” as follows:

1 Platinum Level Work*Ready!* Certificate = 6 participants
1 Gold Level WorkReady! Certificate = 4 participants
1 Silver Level WorkReady! Certificate = 2 participants
1 Bronze Level WorkReady! Certificate = 1 participant

Examinees with documented physical or learning disabilities who cannot complete the WorkKeys assessments in the standard time limits, using standard materials, and under standard conditions may, at the discretion of the test administrator, following review of disability documentation, be tested under special conditions and/or using special testing materials available from WorkKeys. Please refer to the WorkKeys Test Coordinator Manual for full details.

IMPORTANT: Programs may also obtain a list of participants in their program who have received a Kansas Work*Ready*! Certificate. Adult Education programs do not have to actually do the WorkKeys testing themselves.

9.3 What would be my program’s role as a partner in the Kansas WORK*READY*! Certificate initiative?
As a partner, your program would have the following responsibilities:

1. Administer the WorkKeys® tests *Applied Math*, *Reading for Information*, and *Locating Information* in accordance with all ACT, Inc. testing protocol and standards;
2. Department of Commerce will provide approved paper certificates in platinum, gold, silver, and bronze, and print candidates name and scores using the standardized state-provided template;
3. Use a standard numbering convention to ensure certificate verification (Example: Allen County CC Adult Education would use 800-1 for the first WORK*READY*! Certificate it awards.);

4. Secure all WORK*READY*! Certificate to ensure authenticity and avoid theft and forgery;
5. Assist adult learners in registering on Kansas Job Link so their certificates can be added to the database;
6. Send adult learners names, scores and identifying numbers of those adult learners seeking employment or nearly-ready to seek employment to the local workforce center for inclusion in the secure database;
7. Protect each learner's privacy and confidentiality rights by having the adult learner sign a release giving his/her permission to enter his/her personal information into the database;
8. Market the certificate to your respective stakeholders; and
9. Do not discriminate against any individual because of age, race, ancestry, gender, color, religion, national origin, disability, political affiliation or belief.

10. Policies on Program Evaluation and Record Keeping

10.1 Monitoring and program evaluation procedures

34CFR80.40 requires KBOR to monitor and report on program performance.

[Code of Federal Regulations]
[Title 34, Volume 1, Parts 1 to 299]
[Revised as of July 1, 2000]
From the U.S. Government Printing Office via GPO Access
[CITE: 34CFR80.40]

[Federal Register Page 212-213]

TITLE 34--EDUCATION

PART 80--UNIFORM ADMINISTRATIVE REQUIREMENTS FOR GRANTS AND COOPERATIVE AGREEMENTS TO STATE AND LOCAL GOVERNMENTS--Table of Contents

Subpart C--Post-Award Requirements

Sec. 80.40 Monitoring and reporting program performance.

(a) Monitoring by grantees. Grantees are responsible for managing the day-to-day operations of grant and subgrant supported activities. Grantees must monitor grant and subgrant supported activities to assure compliance with applicable Federal requirements and that performance goals are being achieved. Grantee monitoring must cover each program, function or activity.

(b) Nonconstruction performance reports. The Federal agency may, if it decides that performance information available from subsequent applications contains sufficient information to meet its programmatic needs, require the grantee to submit a performance report only upon expiration or termination of grant support. Unless waived by the Federal agency this report will be due on the same date as the final Financial Status Report.

(1) Grantees shall submit annual performance reports unless the awarding agency requires quarterly or semi-annual reports. However, performance reports will not be required more frequently than quarterly. Annual reports shall be due 90 days after the grant year, quarterly or semi-annual reports shall be due 30 days after the reporting period. The final performance report will be due 90 days after the expiration or termination of grant support. If a justified request is submitted by a

grantee, the Federal agency may extend the due date for any performance report. Additionally, requirements for unnecessary performance reports may be waived by the Federal agency.

(2) Performance reports will contain, for each grant, brief information on the following:

(i) A comparison of actual accomplishments to the objectives established for the period. Where the output of the project can be quantified, a computation of the cost per unit of output may be required if that information will be useful.

(ii) The reasons for slippage if established objectives were not met.

[[Federal Register, Page 213]]

(iii) Additional pertinent information including, when appropriate, analysis and explanation of cost overruns or high unit costs.

(3) Grantees will not be required to submit more than the original and two copies of performance reports.

(4) Grantees will adhere to the standards in this section in prescribing performance reporting requirements for subgrantees.

(c) Construction performance reports. For the most part, on-site technical inspections and certified percentage-of-completion data are relied on heavily by Federal agencies to monitor progress under construction grants and subgrants. The Federal agency will require additional formal performance reports only when considered necessary, and never more frequently than quarterly.

(d) Significant developments. Events may occur between the scheduled performance reporting dates which have significant impact upon the grant or subgrant supported activity. In such cases, the grantee must inform the Federal agency as soon as the following types of conditions become known:

(1) Problems, delays, or adverse conditions which will materially impair the ability to meet the objective of the award. This disclosure must include a statement of the action taken, or contemplated, and any assistance needed to resolve the situation.

(2) Favorable developments which enable meeting time schedules and objectives sooner or at less cost than anticipated or producing more beneficial results than originally planned.

(e) Federal agencies may make site visits as warranted by program needs.

(f) Waivers, extensions. (1) Federal agencies may waive any performance report required by this part if not needed.

(2) The grantee may waive any performance report from a subgrantee when not needed. The grantee may extend the due date for any performance report from a subgrantee if the grantee will still be able to meet its performance reporting obligations to the Federal agency.

(Approved by the Office of Management and Budget under control number 1880-0517)

(Authority: 20 U.S.C. 3474; OMB Circular A-102)

[53 FR 8071 and 8087, Mar. 11, 1988, as amended at 53 FR 49143, Dec. 6, 1988]

As stated in the Kansas Four-Year State Plan, “Kansas Board of Regents Adult Education will annually evaluate all adult education and literacy programs receiving funds under the Adult Education and Family Literacy Act, including programs receiving English Literacy and Civics Education funds. “

Four major methods of evaluation are used. The first method of evaluation is the monthly review of each local program’s data for accuracy, to determine trends, to identify areas of concern at an early date, etc. This information is reported on PABLO. (Participant-level data and supporting documentation of data must be kept on file at the local program for a minimum of five years.)

In addition to reviewing each local program’s data, the adult education state staff also analyzes PABLO data on a regular basis to determine if Kansas Adult Education is meeting its performance measures that were negotiated with the U. S. Department of Education. PABLO data is verified at the state level through data matching with other state agencies and through the use of telephone follow-up surveys following National Reporting System protocols.

A second form of evaluation involves two reports prepared at the local program level. Each local program must do an annual self evaluation before and in conjunction with the annual monitoring visit. The program’s self-evaluation is based on the monitoring instrument aligned with the *Indicators of A Quality Adult Education Program.*

In addition to the self evaluation, each program submits a program improvement plan report no later than August 1 with details on its progress toward meeting its program improvement objective that was identified approximately fifteen months earlier. This report also includes information on the impact of professional development activities and other state leadership projects on the program's effort to achieve its program improvement objective.

The third method of evaluation is the program staff's completion and submission of the *NRS Local Program Data Quality Checklist* with supporting documentation. The KBOR Adult Education staff compares the program's evaluation of the quality of its data collection and reporting processes with the evidence provided by close analysis of PABLO data. A significant difference between a local program's perception of data quality and the state staff's evidence of data quality results in intensive technical assistance and professional development. Similarly, a local program's self identification of low quality in the collection and reporting of data results in intensive technical assistance and professional development.

The fourth method of evaluation is onsite monitoring of adult education programs by an individual with knowledge of WIA and an understanding of the evidence needed to confirm ratings on the measures of the *Indicators of a Quality Adult Education Program*. Data reported on PABLO and the program's self evaluation is the starting point for onsite program evaluations.

During the monitoring visit, the adult education program staff and the monitor will examine the program's PABLO data and compare this data with the documentation collected in learners' "permanent" files. The local program staff and the monitor will also review program processes from recruitment of learners to instructional methods and techniques to collaborative efforts to local support

The monitoring contractor uses the information in the learners' permanent files (compared with the PABLO data) and the evidence presented by the program staff to determine the rating on some of the measures of the *Indicators*. These monitoring results are reported to KBOR Adult Education. The remaining measures of the *Indicators* are determined by desk auditing and by the use of PABLO data.

KBOR Adult Education staff use these varied evaluation tools to determine state-wide as well as local program technical assistance needs. State level planning for professional development is also heavily dependent on the evaluation reports. The total scores on the *Indicators of a Quality Adult Education Program* are also used to determine the "quality factor" in the Kansas Adult Education funding formula.

10.2 Local programs must keep program and learner records for a minimum of five (5) years, according to the Kansas Four-Year State Plan and 34CFR80.37.

[Code of Federal Regulations]
[Title 34, Volume 1, Parts 1 to 299]
[Revised as of July 1, 2000]
From the U.S. Government Printing Office via GPO Access
[CITE: 34CFR80.42]

[Federal Register, Page 215-216]
TITLE 34--EDUCATION

PART 80--UNIFORM ADMINISTRATIVE REQUIREMENTS FOR GRANTS AND COOPERATIVE AGREEMENTS TO STATE AND LOCAL GOVERNMENTS--Table of Contents

Subpart C--Post-Award Requirements

Sec. 80.42 Retention and access requirements for records.

(a) Applicability. (1) This section applies to all financial and programmatic records, supporting documents, statistical records, and other records of grantees or subgrantees which are:

(i) Required to be maintained by the terms of this part, program regulations or the grant agreement, or

(ii) Otherwise reasonably considered as pertinent to program regulations or the grant agreement.

(2) This section does not apply to records maintained by contractors or subcontractors. For a requirement to place a provision concerning records in certain kinds of contracts, see Sec. 80.36(i)(10).

(b) Length of retention period. (1) Except as otherwise provided, records must be retained for three years from the starting date specified in paragraph (c) of this section.

(2) If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

(3) To avoid duplicate recordkeeping, awarding agencies may make

special arrangements with grantees and subgrantees to retain any records which are continuously needed for joint use. The awarding agency will request transfer of records to its custody when it determines that the records possess long-term retention value. When the records are transferred to or maintained by the Federal agency, the 3-year retention requirement is not applicable to the grantee or subgrantee.

(4) A recipient that receives funds under a program subject to 20 U.S.C. 1232f (section 437 of the General Education Provisions Act) shall retain records for a minimum of three years after the starting date specified in paragraph (c) of this section.

(c) Starting date of retention period--(1) General. When grant support is continued or renewed at annual or other intervals, the retention period for the records of each funding period starts on the day the grantee or subgrantee submits to the awarding agency its single or last expenditure report for that period. However, if grant support is continued or renewed quarterly, the retention period for each year's records starts on the day the grantee submits its expenditure report for the last quarter of the Federal fiscal year. In all other cases, the retention period starts on the day the grantee submits its final expenditure report. If an expenditure report has been waived, the retention period starts on the day the report would have been due.

(2) Real property and equipment records. The retention period for real property and equipment records starts from the date of the disposition or replacement or transfer at the direction of the awarding agency.

(3) Records for income transactions after grant or subgrant support. In some cases grantees must report income after the period of grant support. Where there is such a requirement, the retention period for the records pertaining to the earning of the income starts from the end of the grantee's fiscal year in which the income is earned.

(4) Indirect cost rate proposals, cost allocations plans, etc. This paragraph applies to the following types of documents, and their supporting records: indirect cost rate computations or proposals, cost allocation plans, and any similar accounting computations of the rate at which a particular group of costs is chargeable (such as computer usage chargeback rates or composite fringe benefit rates).

(i) If submitted for negotiation. If the proposal, plan, or other computation is required to be submitted to the Federal Government (or to the grantee) to form the basis for negotiation of the rate, then the 3-year retention period for its supporting records starts from the date of such submission.

(ii) If not submitted for negotiation. If the proposal, plan, or other computation is not required to be submitted to the Federal Government (or to the grantee) for negotiation purposes, then the 3-year retention period for the proposal plan, or computation and its supporting records starts from end of the fiscal year (or other accounting period) covered by the proposal, plan, or other computation.

(d) Substitution of microfilm. Copies made by microfilming, photocopying, or similar methods may be substituted for the original records.

(e) Access to records--(1) Records of grantees and subgrantees. The awarding agency and the Comptroller General of the United States, or any of their authorized representatives, shall have the right of access to any pertinent books, documents, papers, or other records of grantees and subgrantees which are pertinent to the grant, in order to make audits, examinations, excerpts, and transcripts.

(2) Expiration of right of access. The rights of access in this section must not be limited to the required retention period but shall last as long as the records are retained.

(f) Restrictions on public access. The Federal Freedom of Information Act (5 U.S.C. 552) does not apply to records unless required by Federal, State, or local law, grantees and subgrantees are not required to permit public access to their records.

(Approved by the Office of Management and Budget under control number 1880-0517)

(Authority: 20 U.S.C. 3474; OMB Circular A-102)

[53 FR 8071 and 8087, Mar. 11, 1988, as amended at 53 FR 8072, Mar. 11, 1988; 53 FR 49143, Dec. 6, 1988; 64 FR 50392, Sept. 16, 1999]

Programs must keep administrative (or office) records for each adult learner separately from any classroom records. All educational records must be stored and released in compliance with the Family Educational Rights and Privacy Act (FERPA). Administrative records include:

- enrollment forms,
- evidence of testing and answer sheets,
- FERPA and other releases,
- attendance records,
- disclaimers (if any),
- requests for release of information to/from another agency or individual (if any),
- goal setting and follow-up records
- and information on disability status and appropriate accommodations recommended and provided (if applicable).

Administrative records should not include homework, incomplete learner projects, or other items not associated with assessment.

Original documentation of disabilities should be kept separately from the classroom record or returned to the learner after noting the diagnosis and recommended accommodations in the classroom record. In case of a valid reason to keep a copy of the documentation of disabilities, the documentation needs to be kept separately from other learner records or returned to the learner when no longer needed.

No part of a learner's educational record may be released to any outside agency or individual without the written consent of the learner or learner's parent or guardian if the learner is under the age of eighteen. The consent must state the reason for the release of information and its purpose and have an expiration date. Although programs may NEVER share information with an external agency or individual without the learner's (or parent's or guardian's) written consent, programs are still required to keep a record for each individual of all information that was shared, with whom information was shared, and when information was shared with any external agency or individual.

NOTE: For additional guidance on privacy issues, refer to the Family Educational Rights and Privacy Act (FERPA) at http://www.ed.gov/policy/gen/guid/fpco/ferpa/index.html.

A sample consent form is available in the *Accommodating Adults with Disabilities in Adult Education Programs*, *Revised 2005,* notebook.

[January 18, 2001]

PROGRAM MEMORANDUM - OVAE - FY 2001 - 2

TO: Chief State School Officers
State Directors of Vocational - Technical Education
State Directors of Adult Education
State Directors of Community, Technical and Junior Colleges

FROM: Patricia W. McNeil

SUBJECT: The Family Educational Rights and Privacy Act and the Use of State Unemployment Insurance Wage Records to Report on Performance under the Carl D. Perkins Vocational and Technical Education Act and the Adult Education and Family Literacy Act

The Carl D. Perkins Vocational and Technical Education Act (P.L.105-332) (20 U.S.C. § 2301 et seq.) (Perkins III) and the Adult Education and Family Literacy Act (Title II of the Workforce Investment Act of 1998, P.L. 105-220) (20 U.S.C. § 2901 et seq.) (AEFLA) hold States accountable for reporting on, and achieving, annual performance goals for the placement and retention of students in employment, as well as a number of other student outcomes. In addition, some States have established comparable accountability requirements for State community college systems. There is growing interest among States in using State unemployment insurance (UI) wage records to determine the employment status of former students in order to fulfill these requirements. Generally, State UI wage records can provide more accurate information than mail or telephone surveys of former students. Moreover, using State UI records is less expensive than mail or telephone surveys.

The Department supports your efforts to improve the accuracy of the information that your State collects concerning student outcomes and to reduce the burden of obtaining this information. However, preserving student privacy is also required by law. As you investigate using State UI wage records to determine the employment status of students, please note that this approach requires the use of personally identifiable information from student education records. Such personally identifiable information is protected by the Family Educational Rights and Privacy Act (FERPA) (20 U.S.C. § 1232g). The purpose of this memorandum is to assist you in understanding FERPA's privacy protections and how to use State UI wage records to determine the employment status of former students in accordance with FERPA. This guidance applies solely to Perkins III and AEFLA. It was developed in consultation with the Undersecretary and the Family Policy Compliance Office, which administers FERPA.

Accountability Requirements Established by Perkins III and AEFLA

Perkins III creates a State performance accountability system for vocational and technical education through which the Secretary and each eligible agency reach agreement on annual levels of performance for a number of "core indicators" specified in the law. Student "placement in, retention, and completion of, postsecondary education or advanced training, placement in military service, or placement or retention in employment" is one of these core indicators (section 113(b)(2)(iii)). Each eligible agency must use the State adjusted levels of performance to evaluate annually the activities of eligible recipients (section 123(b)). Section 113(c) of Perkins III also requires each eligible agency to submit annually a report to the Secretary regarding "the progress of the State in achieving the State adjusted levels of performance on the core indicators of performance."

AEFLA establishes a similar performance accountability system for adult education and literacy activities. The Secretary and each eligible agency reach agreement on annual levels of performance for a number of "core indicators" specified in the law, including "placement in, retention in, or completion of postsecondary education, training, unsubsidized employment or career advancement" (section 212(b)(2)(ii) of WIA). Each eligible agency must evaluate annually the effectiveness of local adult education and literacy activities using the core indicators of performance (section 224(b)(3)). States must report annually to the Secretary on "the progress of the eligible agency in achieving eligible agency performance measures, including information on the levels of performance achieved by the eligible agency with respect to the core indicators of performance" (section 212(c)). To fulfill these evaluation and reporting requirements, a number of States have expressed interest in using State UI wage records to determine the employment status of former students. Maintained by State labor or employment security agencies, these records consist of quarterly reports of employee earnings that are submitted by employers who are required to comply with the State's unemployment compensation law. In most cases, a wage record includes at least three data elements: (1) an employee's social security number (SSN); (2) the total amount of reportable earnings paid to the employee during the quarter; and (3) the employer's unique identifier. Although Federal and State law protects the confidentiality of this information, most States have established procedures to enable other public agencies to access the information for evaluation purposes.

The employment status of a former student can only be determined from UI wage records by using the student's SSN. A student's SSN, however, is personally identifiable information that is protected by FERPA.

Family Educational and Privacy Rights Act

As you know, FERPA is a Federal law that protects an eligible student's privacy interest in his or her "education records." In particular, FERPA affords eligible students the right to inspect and review their education records, the right to seek to have the records amended, and the right to have some control over the disclosure of information from the records. The term "education records" is broadly defined as:

"[T]hose records, files, documents, and other materials, which (i) contain information directly related to a student; and (ii) are maintained by an educational agency or institution or by a person acting for such agency or institution." (20 U.S.C. § 1232g(a)(4). See also 34 CFR § 99.3 "Education records.")

FERPA provides that education records, or personally identifiable information from such records, may be disclosed by educational agencies and institutions only after an eligible student provides prior written consent, except in statutorily specified circumstances. (20 U.S.C. § 1232g(b)(1) and (d). See also 34 CFR § 99.30.) "Personally identifiable information" is defined by 34 CFR § 99.3 as information that "includes but is not limited to:

(a) the student's name;
(b) the name of the student's parent or other family member;
(c) the address of the student or the student's family;
(d) a personal identifier, such as the student's social security number or student number;
(e) a list of personal characteristics that would make the student's identity easily traceable; or
(f) other information that would make the student's identity easily traceable."

Because the vocational and adult education laws include identical provisions stipulating that "nothing in this Act shall be construed to supersede the privacy protections afforded students and parents under" FERPA (section 5 of Perkins III, section 504(a) of WIA), States must comply with FERPA in using State UI wage records.

Generally, there are three options available to State educational authorities for using State UI wage records consistent with the requirements of FERPA:

* "Importing" State UI wage records and using them internally to determine the employment status of former students;

* Obtaining the prior consent of eligible students to disclose their SSNs to the State UI agency (or other agency that has access to State UI wage records) in order to determine whether they secured or retained employment after they exited the program; and

* Authorizing the State UI agency (or other State agency that has access to UI records) to obtain student SSNs directly from local education agencies and educational institutions, determine the employment status of these students, and report the aggregate results, after which students' personally-identifiable information would be destroyed by the agency authorized to match the UI data.

"Importing" State UI Wage Records to Determine Employment Outcomes

A State educational authority may obtain State UI wage record data from the State UI agency and then use this information internally to determine the employment status of students. This approach meets the requirements of FERPA because the State educational authority has not disclosed personally identifiable information from an education record to others. State law, however, may restrict the extent to which you may share personally identifiable information derived from wage records with local education agencies and educational institutions. Providing local education agencies and educational institutions with information about the earnings of individual students, for example, may be prohibited by Federal or State law.

Obtaining Student Consent for Disclosures to the State UI Agency

FERPA permits the disclosure of protected student information if a student has consented in advance to this disclosure in writing. Thus, a State educational authority may disclose student SSNs to the State UI agency (or other agency that has access to State UI wage records) for the purpose of determining their employment status if it has secured the consent of these students for the disclosure. Requesting student consent for this disclosure, for example, may be made a regular part of the intake or admission process for vocational and adult education programs.

This written consent must be signed and dated by the eligible student and:

(1) specify the records that may disclosed;
(2) state the purpose of the disclosure; and
(3) identify the party or class of parties to whom the
disclosure may be made." (34 CFR § 99.30(b))

In addition, the State educational authority or local educational agency or institution must provide the student, upon his or her request, a copy of the records that are disclosed. (34 CFR § 99.30(c)(1)). A sample consent form that you may adapt is included in Appendix A.

Authorizing a State UI Agency to Evaluate Employment Outcomes under Perkins III and AEFLA

FERPA permits the disclosure of protected student information without the prior consent of students in certain, limited circumstances. (20 U.S.C. § 1232g(b); 34 CFR § 99.31). One exception permits the disclosure of information derived from education records without prior consent to "authorized representatives of" the Comptroller General of the United States, the Secretary, the Attorney General or "State or local educational authorities." The disclosure must be "in connection with the audit and evaluation of Federally-supported education programs, or in connection with the enforcement of the Federal legal requirements which relate to such programs."

Thus, a State educational authority may authorize the State UI agency (or other agency that has access to State UI wage records) to be its representative for the purpose of evaluating whether local vocational and adult education programs have achieved the student employment goals established by the State under Perkins III or AEFLA. Typically, this authorization will be executed by a Memorandum of Agreement (MOA) between the two agencies. The MOA must contain, at a minimum, the following provisions required by FERPA:

1.) Information disclosed by a school to an authorized representative must not be redisclosed to a third party in personally identifiable form. The information only may be redisclosed in aggregate, non-personally identifiable form.

2.) The information should be destroyed when no longer needed for the purpose of the disclosure.

3.) The authorized representative may have access to the records in connection only with -

* an audit or evaluation of a Federally supported education program; or

* for the enforcement of or compliance with Federal legal requirements that relate to those programs.

See 20 U.S.C. § 1232g(b)(3); 34 CFR § 99.35. Sample Memoranda of Agreement are included as Appendix B.

Pursuant to the MOA, the State UI or other agency may then obtain student SSNs directly from local educational agencies or educational institutions and determine the employment status of these students. It may also report the aggregate results of its evaluation to the State educational authority, but no personally identifiable information may be redisclosed in this report. FERPA also requires that each eligible recipient that discloses a student's SSN or other personally identifiable information must maintain a record of this disclosure with the education records of the student. (34 CFR § 99.32)

FERPA also allows a State UI agency to obtain a student's SSN directly from the State educational authority in order to determine the student's employment status. For the purposes of complying with the reporting requirements of Perkins III and AEFLA, a State educational authority may disclose a student SSN to the State UI agency if the UI agency has been made an "agent" of the State educational authority through a written MOA. This MOA should contain the same provisions discussed above.

We hope this memorandum is helpful to you in identifying how State UI wage records may be used to determine the employment status of students in a way that complies with FERPA. State laws concerning the privacy of student records and UI wage information also should be reviewed carefully as you consider the options available to you. If you have further questions regarding the requirements of Perkins III and AEFLA, you may contact Mr. Braden Goetz at (202) 205-3373 or Mr. Jon Weintraub at (202) 205-5602. Please direct any further questions you may have concerning FERPA to:

Family Policy Compliance Office
U.S. Department of Education
400 Maryland Avenue, SW
Washington, DC 20202-4605
(202) 260-3887 (Telephone)
(202) 260 -9001 (Fax)

[Code of Federal Regulations]
[Title 34, Volume 1, Parts 1 to 299]
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[Federal Register, Page 293]

TITLE 34--EDUCATION

PART 99--FAMILY EDUCATIONAL RIGHTS AND PRIVACY--Table of Contents

Subpart A--General

Sec. 99.5 What are the rights of students?

(a) When a student becomes an eligible student, the rights accorded to, and consent required of, parents under this part transfer from the parents to the student.

(b) The Act and this part do not prevent educational agencies or institutions from giving students rights in addition to those given to parents.

(c) If an individual is or has been in attendance at one component of an educational agency or institution, that attendance does not give the individual rights as a student in other components of the agency or institution to which the individual has applied for admission, but has never been in attendance.

(Authority: 20 U.S.C. 1232g(d))

[53 FR 11943, Apr. 11, 1988, as amended at 58 FR 3188, Jan. 7, 1993]

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[Federal Register, Page 293]

TITLE 34--EDUCATION

PART 99--FAMILY EDUCATIONAL RIGHTS AND PRIVACY--Table of Contents

Subpart A--General

Sec. 99.7 What must an educational agency or institution include in its annual notification?

(a)(1) Each educational agency or institution shall annually notify parents of students currently in attendance, or eligible students currently in attendance, of their rights under the Act and this part.

(2) The notice must inform parents or eligible students that they have the right to--

(i) Inspect and review the student's education records;

(ii) Seek amendment of the student's education records that the parent or eligible student believes to be inaccurate, misleading, or otherwise in violation of the student's privacy rights;

(iii) Consent to disclosures of personally identifiable information contained in the student's education records, except to the extent that the Act and Sec. 99.31 authorize disclosure without consent; and

(iv) File with the Department a complaint under Secs. 99.63 and 99.64 concerning alleged failures by the educational agency or institution to comply with the requirements of the Act and this part.

(3) The notice must include all of the following:

(i) The procedure for exercising the right to inspect and review education records.

(ii) The procedure for requesting amendment of records under Sec. 99.20.

(iii) If the educational agency or institution has a policy of disclosing education records under Sec. 99.31(a)(1), a specification of criteria for determining who constitutes a school official and what constitutes a legitimate educational interest.

(b) An educational agency or institution may provide this notice by any means that are reasonably likely to inform the parents or eligible students of their rights.

(1) An educational agency or institution shall effectively notify parents or eligible students who are disabled.

(2) An agency or institution of elementary or secondary education shall effectively notify parents who have a primary or home language other than English.

(Approved by the Office of Management and Budget under control number 1880-0508)

(Authority: 20 U.S.C. 1232g (e) and (f))

[61 FR 59295, Nov. 21, 1996]

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[Federal Register, Page 297]

TITLE 34--EDUCATION

PART 99--FAMILY EDUCATIONAL RIGHTS AND PRIVACY--Table of Contents

Subpart D--May an Educational Agency or Institution Disclose Personally Identifiable Information From Education Records?

Sec. 99.30 Under what conditions is prior consent required to disclose information?

(a) The parent or eligible student shall provide a signed and dated written consent before an educational agency or institution discloses personally identifiable information from the student's education records, except as provided in Sec. 99.31.

(b) The written consent must:

(1) Specify the records that may be disclosed;

(2) State the purpose of the disclosure; and

(3) Identify the party or class of parties to whom the disclosure may be made.

(c) When a disclosure is made under paragraph (a) of this section:

(1) If a parent or eligible student so requests, the educational

agency or institution shall provide him or her with a copy of the records disclosed; and

(2) If the parent of a student who is not an eligible student so requests, the agency or institution shall provide the student with a copy of the records disclosed.

(Authority: 20 U.S.C. 1232g (b)(1) and (b)(2)(A))

[53 FR 11943, Apr. 11, 1988, as amended at 58 FR 3189, Jan. 7, 1993]

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TITLE 34--EDUCATION

PART 99--FAMILY EDUCATIONAL RIGHTS AND PRIVACY--Table of Contents

Subpart D--May an Educational Agency or Institution Disclose Personally Identifiable Information From Education Records?

Sec. 99.32 What recordkeeping requirements exist concerning requests and disclosures?

(a)(1) An educational agency or institution shall maintain a record of each

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request for access to and each disclosure of personally identifiable information from the education records of each student.

(2) The agency or institution shall maintain the record with the education records of the student as long as the records are maintained.

(3) For each request or disclosure the record must include:

(i) The parties who have requested or received personally identifiable information from the education records; and

(ii) The legitimate interests the parties had in requesting or obtaining the information.

(b) If an educational agency or institution discloses personally identifiable information from an education record with the understanding authorized under Sec. 99.33(b), the record of the disclosure required under this section must include:

(1) The names of the additional parties to which the receiving party may disclose the information on behalf of the educational agency or institution; and

(2) The legitimate interests under Sec. 99.31 which each of the additional parties has in requesting or obtaining the information.

(c) The following parties may inspect the record relating to each student:

(1) The parent or eligible student.

(2) The school official or his or her assistants who are responsible for the custody of the records.

(3) Those parties authorized in Sec. 99.31(a) (1) and (3) for the purposes of auditing the recordkeeping procedures of the educational agency or institution.

(d) Paragraph (a) of this section does not apply if the request was from, or the disclosure was to:

(1) The parent or eligible student;

(2) A school official under Sec. 99.31(a)(1);

(3) A party with written consent from the parent or eligible student;

(4) A party seeking directory information; or

(5) A party seeking or receiving the records as directed by a Federal grand jury or other law enforcement subpoena and the issuing court or other issuing agency has ordered that the existence or the contents of the subpoena or the information furnished in response to the subpoena not be disclosed.

(Approved by the Office of Management and Budget under control number 1880-0508)

(Authority: 20 U.S.C. 1232g(b)(1) and (b)(4)(A))

[53 FR 11943, Apr. 11, 1988, as amended at 61 FR 59297, Nov. 21, 1996]

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[Federal Register, Page 300]

TITLE 34--EDUCATION

PART 99--FAMILY EDUCATIONAL RIGHTS AND PRIVACY--Table of Contents

Subpart D--May an Educational Agency or Institution Disclose Personally Identifiable Information From Education Records?

Sec. 99.35 What conditions apply to disclosure of information for Federal or State program purposes?

(a) The officials listed in Sec. 99.31(a)(3) may have access to education records in connection with an audit or evaluation of Federal or State supported education programs, or for the enforcement of or compliance with Federal legal requirements which relate to those programs.

(b) Information that is collected under paragraph (a) of this section must:

(1) Be protected in a manner that does not permit personal identification of individuals by anyone except the officials referred to in paragraph (a) of this section; and

(2) Be destroyed when no longer needed for the purposes listed in paragraph (a) of this section.

(c) Paragraph (b) of this section does not apply if:

(1) The parent or eligible student has given written consent for the disclosure under Sec. 99.30; or

(2) The collection of personally identifiable information is specifically authorized by Federal law.

(Authority: 20 U.S.C. 1232g(b)(3))

SAMPLE RELEASE OF INFORMATION FORM

Permission to Release Information for _______________ Project

I, a learner age 18 years or older, _________________________, consent
(PRINT first and last name)
to the release of the following information: my most recent CASAS diagnostic test scores and any other progress measures used by the Adult Education program, my age, gender, contact information (including a phone number), ethnic group, and location of attendance. The purpose of this release is to see if I may be eligible for an adult literacy research study with the ___________________________________ and if so, to give information so I may be directly contacted. The study's goal is to improve instruction in literacy in adult education programs.

This information will be given only to the research staff at the _______________________. This information will not be given to others and will be destroyed as soon as all the needed information for the study has been collected.

Please ask your adult education director or call the project manager at 785-864-2591 if you have any questions. Thank you for your participation.

___________________________________ _____________
Signature of Adult Learner Date

___________________________________ _____________
Name of Adult Education Program City

IF participant is under the age of 18:

I agree to allow ________________________________ information to be released.
(PRINT student's name)

Signature of parent or legal guardian: _____________________________________

Date: ________________

11. Policies on Learner Assessment

The Workforce Investment Act (WIA), enacted by Congress in 1998, requires states to establish a comprehensive accountability system for adult education programs. The WIA mandates that states must gather data on several core measures, including the educational gain of adult learners. In order to meet this requirement, the United States Department of Education developed the National Reporting System (NRS).

The assessment policies and procedures included in this document are designed to ensure that adult education programs in Kansas meet the following requirements of the NRS:

- Use of state-wide standardized assessments with parallel forms of pre- and posttests to determine educational gain of participants;
- Use of standardized assessments that have a high degree of *reliability* (consistency of the test or the same level of test forms to provide the same score or nearly the same score in a test/retest situation) and a high degree of *validity* (the degree to which the test actually assesses what it is designed to assess);
- Use of consistent and appropriate testing protocols to ensure a standardized testing format and to ensure quality data; and
- Use of data to promote continuous improvement of local programs.

Quality assessment is an essential component of a quality adult education program. Kansas Adult Education is committed to quality assessment confirmed by its use of CASAS assessments since 1988, exclusive use of CASAS assessments for determining learners' entry levels and educational gains since 1995, required training, certification, and recertification for all CASAS users, ongoing support for curriculum alignment with CASAS competencies and Kansas content standards, and continuous monitoring of assessment data to ensure that adult education programs are following the Kansas Adult Education assessment policies.

Quality assessment plays a major role in the following activities:

- learners are accurately informed about their basic skill level(s);
- learners are better equipped to determine appropriate short- and long-term goals;
- instruction focuses on learners' identified needs instead of relying solely on pre-determined curricula;

- learners and programs monitor progress toward goals;
- learners and programs are better equipped to identify other factors that impact progress;
- programs are accurately informed about learners' basic skill levels;
- programs are better equipped to determine effectiveness of program design, instructors' proficiency, curricula and materials;
- programs are able to inform stakeholders about learners' outcomes; and
- programs have more accurate data on which to make decisions.

11.1 GENERAL ASSESSMENT GUIDELINES

Because CASAS is a competency-based educational system—not just a test—programs are responsible for ensuring that all staff members understand "the system." A successful competency-based system requires that the instructors recognize the competencies that comprise the curriculum for the Employability Competency System (ECS), the Life and Work series, the Secondary Diploma Completion series, and the Government and History for Citizenship tests. A successful competency-based system requires that the instructors teach the competencies that will be measured on the assessments. A successful competency-based system requires that test administrators are aware of the different test forms, understand how to determine the appropriate test to administer, and follow testing protocol. Finally, a successful competency-based system requires the program to have a carefully designed delivery system that incorporates learner commitment, quality instruction, appropriate learning environment, and supportive services. When all staff members understand the critical role that "the system" plays and understand their roles in "the system," the more likely learners are to achieve their goals.

Programs must ensure that the following assessment policies and standard operating procedures are in place:

- Learners have valid CASAS (Comprehensive Adult Student Assessment System) diagnostic test score(s) for determining Educational Functioning Level (EFL) **prior to completion of twelve hours of participation** in an adult education program. If a learner is continuing from the previous fiscal year, CASAS diagnostic test scores from tests administered in the previous fiscal year, but within 90 days of the first date of instruction in the current fiscal year, may be used to determine EFL. If the diagnostic test(s) were administered more than 90 days prior to the learner's first date of instruction in the current fiscal year, an alternative version of the latest diagnostic test(s) on which a valid score was achieved should be administered to determine EFL.

- CASAS pre- and posttesting is the only vehicle used to demonstrate learners' educational gains. CASAS diagnostic tests are the assessment instruments used to determine reading, math, and listening skill levels. The CASAS Functional Writing Assessment is a standardized performance-based assessment used to determine writing skill levels. The primary focus of instruction for ABE/ASE learners must be in the areas of reading, writing, and/or math, and the primary focus for ESL learners must be in the areas of speaking/listening, reading, and/or writing. (See Section 11: Appendix II.)

- Learners are pretested in multiple skill areas (i.e., reading, math, writing, listening) in order to provide them and the program staff with extensive information about each learner's basic skills competency levels. This information will assist learners in making decisions about their participation in the program, goals, etc. Multiple pretest diagnostic scores also provide more opportunities for learners to complete an Educational Functioning Level.

- Learners are leveled in PABLO, the Kansas Adult Education statewide information management system, based on the lowest diagnostic pretest score in the area in which *the learner identifies a desire to study*. All diagnostic scores must be entered into PABLO, *but if a learner wishes to study only in a skill area where a higher diagnostic pre-test score was achieved*, the recommended Educational Functioning Level may be overridden. Information must be provided in the "Notes" section that explains that ***the learner*** *has indicated a desire to study exclusively in a skill area where a higher score was achieved.* **A program must never manipulate test scores to achieve learning gains that do not accurately reflect each learner's educational functioning level, the learner's educational goal, and the learner's progress in all areas in which he/she was working.** (See *PABLO Users' Manual,* FY2011.)

- For every learner, all CASAS test scores, test forms used, and dates of testing must be entered into PABLO, including information on invalid testing. Valid test scores, forms, and dates must be entered on the "Current Tests" page. All invalid test scores, forms, and testing dates must be entered in the "Notes" section on the "Current Tests" page. Each learner's testing information in PABLO must match the actual paper documents maintained in the learner's permanent files.

  The quality of a program's data is directly linked to the program's commitment to following the testing policies and procedures, accurate scoring of tests, ensuring valid testing and test scores, and reporting accurate and valid test scores. For this reason, the yearly program monitoring will focus extensively on Quality Indicator Measure 2.4: *The program adheres to standardized testing protocol, confirmed by reviewing randomly selected learners' permanent files.* (See *Indicators of a Quality Adult Education Program including Standards and Measures,* July 2010). Programs must maintain "hard" documentation of all information entered into PABLO for five years.

- Programs should strive to never test a learner on a test form more than once. Since CASAS has parallel test forms at every level and corresponding test forms in different test series, a learner would have to test multiple times at the same level before he/she would ever have to retest on the same test. **Regardless, a learner must never test more than once within a six-month period on the same test form.** Even if the six-month time frame has expired, a learner must never test back-to-back on the same test form. The learner must be given at least one parallel test form between test administrations of the same test form. Administration of the same test within a six-month time frame or administration of the same test form for back-to-back testing results in an invalid test score. These invalid test scores, forms, and testing dates must be entered into the "Notes" section on the "Current Tests" page of PABLO.

- Learners should be posttested initially between 70 and 100 hours of program services and then at every 70 to 100 hours of instruction thereafter. While every learner is not expected to demonstrate significant learning gains within 70 to 100 hours of instruction, learners **and** programs need to have a clearly defined process for evaluating their learners' progress and the program's effectiveness at providing services.

There are two exceptions to this policy. The first exception is the administration of appropriate posttests to learners who have indicated they are leaving the program although they have not participated in 70 hours of instruction. While these learners are not expected to demonstrate a significant learning gain, no posttesting will **guarantee** no evidence of learning gains.

The second exception is when posttesting between 70 to 100 hours of instruction would interfere with the scheduled design of a class session. For example, if a class session is scheduled for nine weeks with 12 hours of instruction per week, posttesting should occur at the end of the class session (approximately 108 hours) not between 70 and 100 hours of instruction.

- Programs must make every effort to adhere to the recommended pre/posttesting timeframe identified by CASAS. For this reason, the following measure was added to the Kansas Indicators beginning July 1, 2009:

Measure 2.5

The program adheres to the Kansas Assessment Policy, approved by the Division of Adult Education and Literacy of the U.S. Department of Education, and posttests learners during the time period identified by CASAS--every 70 to 100 hours of participation (excluding Level 6 participants). (8 points)		
	High (8 pts.)	**90% to 100% of exited participants (excluding Level 6 participants) are posttested at a minimum of 70 hours of instruction.**
	Medium (4 pts.)	**80% to 89% of exited participants (excluding Level 6 participants) are posttested at a minimum of 70 hours of instruction.**
	Low (0 pts.)	**Less than 80% of exited participants (excluding Level 6 participants) are posttested at a minimum of 70 hours of instruction.**

(See *Indicators of a Quality Adult Education Program including Standards and Measures,* July 2010).

- **Programs MUST NOT administer posttests to learners who have fewer than 40 hours of instructions.**

- While all programs are expected to posttest a minimum of seventy percent (70%) of program participants each fiscal year, attempting to meet this expectation will not replace the absolute necessity of following all of the assessment policies detailed above.

- Distance learners' (See Section 4.7) testing information that is entered into PABLO must be obtained through on-site testing following the assessment policies and standard operating procedures provided in this section.

- Test security is recognized as an essential component of standardized testing. Test booklets, self-scoring answer sheets, answer keys, and all other testing materials must be maintained in a secured area.

- No individual, work group, committee, team, and/or program may develop any workshop, training, or instructional session or create any materials designed to teach or prepare learners to answer specific test questions that appear on any CASAS test. Instructors may not review specific test items with learners when discussing test results nor include actual test items or slightly revised test items in any instructional materials. **Instructors should focus on the competencies and the underlying basic skills (content standards) during instruction and while preparing learners for testing.**

- Every standardized assessment has a standardized testing protocol that must be followed to ensure that test results accurately reflect learners' educational levels and educational gains. **Kansas Adult Education requires that every person who administers a CASAS assessment, scores a CASAS assessment, and reports scores for entry into PABLO must be CASAS certified.** CASAS certification is achieved by attending the *CASAS Initial Implementation Workshop* online registering at https://www.casas.org/online_registration/?fuseaction=main.login and successfully completing the follow up activities and certification exam. Individuals who have the basic CASAS certification must renew their CASAS certification every three years, at a minimum. (See the Professional Development Requirements matrix in ***Section 3 Staff Qualifications and Professional Development*** for additional information)

  CASAS Implementation Workshops are offered online. The *CASAS Recertification Workshops* are offered several times during the year through regional workshops. All workshops are posted on the Kansas Adult Education calendar at the following web address: http://www.kansasregents.org/calendar

- In addition to being certified to use CASAS reading, math, and listening assessments, an individual must be certified to use the CASAS Functional Writing Assessment (FWA) instruments for pre- and posttesting of writing skills. In order to be certified to use the CASAS FWA an individual must attend a full-day workshop (CASAS *FWA: Part I*), complete a "homework" assignment, complete a half-day workshop (*CASAS FWA: Part II, online or f2f*), and pass a certification exam. Once an individual is certified to use the CASAS FWA, the individual must be recertified every year by passing a recertification exam packet. The *CASAS Functional Writing Assessment Workshops: Parts I and II* are offered several times during the year during regional workshops. All workshops are posted on the Kansas Adult Education calendar at the following web address: http://www.kansasregents.org/calendar

  All CASAS certification workshops involve much more than training an individual to administer a test. CASAS certification workshops provide extensive information on how the CASAS system (assessment, identification of basic skills and competencies to be taught, instruction, and reporting) works. Included in all CASAS certification workshops is background information on the NRS, NRS policies and the Kansas Assessment Policy. The table with definitions of *educational functioning levels* (see **Outcome Measures Definitions**, pages 147-152) is used to explain CASAS scores and to explain how learners complete an educational functioning level through pre/post testing. The CASAS certification workshops also stress the positive relationship of following the standardized testing protocol, accurate scoring, and error-free data entry to quality data. Since all individuals who administer, score, or use CASAS assessment data in Kansas are required to be CASAS certified, every person who "touches" assessment data has been trained not only on CASAS but also on PABLO, the Kansas NRS system. And individuals must be recertified on CASAS every three years at a minimum.

  The Kansas Board of Regents Adult Education maintains a database of all individuals who are certified to administer CASAS assessments, score CASAS assessments, and report assessment scores on PABLO. PABLO also provides fields on each "Staff Information Profile" page where the dates for participation in *CASAS Implementation Part I*, *CASAS Implementation Part II*, *CASAS Recertification*, *CASAS Writing Part*s *I* and *II*, and *CASAS Writing Recertification* must be entered. Participation in CASAS Workshops and successful certification or recertification may be confirmed by contacting Margy McCready, Kansas Board of Regents, at mmccready@ksbor.org or 785.296.0175.

- In order to prevent "test administration drift," programs must ensure that all test administrators have access to **and use the CASAS test administration manual (TAM) for every test each time it is administered.** Programs are also responsible for ensuring that every test is administered in a testing environment that is designed to elicit learners' best efforts, i.e., adequate space, appropriate furniture, good lighting, no interruptions, no distracting sounds. Programs must provide appropriate accommodations for learners who have disabilities. (See ***Section 11.3Assessment*** for more information)

- Programs must have testing policy and procedures in place to ensure the following:

    * prior to testing, learners are informed of the reason for the testing and how the test results will be used;
    * after testing, learners are confidentially informed of test results and implications;
    * the appropriate amount of instruction has been provided between pretesting and posttesting;
    * the appropriate pretest and posttest is administered, checking previous testing records to determine that the correct level and form of the test has been selected;
    * the test is administered following the standardized testing protocol designed for the test and in an appropriate testing environment;
    * the test is accurately scored;
    * the score is checked for validity;
    * all valid test scores, test forms, and dates of testing are accurately entered into the "Current Tests" page of PABLO within 15 days of the test administration; and
    * all invalid test scores, test forms, and dates of testing are accurately entered into the "Notes" section on the "Current Tests" page of PABLO within 15 days of the test administration.

11.2 PHASES OF ASSESSMENT

Assessing the progress and skills of learners is a continuous process, starting from the moment they arrive in the office or classroom and continuing until they leave the program. Programs or classes should consider the following phases of assessment:

Orientation
The registration form completed during the orientation process will assist programs in assessing some of the needs and skills of new learners. Staff should review the completed form to gain a better understanding of each new learner. Perhaps the learner has difficulty writing the correct information on the form – does this fact indicate low literacy skills, a disability, or nervousness? How many years of formal education has the learner completed? What is/was the learner's job? Does the learner have an obvious disability, or did the learner disclose a hidden disability? Think about how this information will assist in determining how best to meet the needs of this learner.

Initial Assessment/Program Placement
As a part of the orientation process, programs will administer the CASAS ECS (Employability Competency System) or CASAS ESL appraisal and diagnostic tests. These tests assess an individual's ability to apply basic reading, math, listening, and/or writing skills in a functional context. The ABE/ASE appraisal test (ECS Form 130) has two components, reading and math. The reading section (25 items) and the math section (25 items) are composed of multiple-choice questions.

The ESL appraisal test (Life and Work Form 80) has four components: listening, reading, writing, and oral screening. The listening section (30 minutes) and the reading section (30 minutes) are composed of multiple-choice questions. The writing test involves writing two sentences from an audiotape (5 minutes), and the oral screening is composed of six short questions delivered in a one-on-one. Ideally, the initial appraisal assessment would involve each of the four skill areas (e.g. listening, speaking, reading, writing) to provide the program and the participant with a broad perspective of the learner's abilities.

Instructors' interactions and conversations with learners during the intake process will also assist the program in making an early informal assessment of the learner's abilities in these skill areas. Keep in mind the following purposes of the initial tests: to determine what skills and abilities the learner already possesses, to develop a plan of action for meeting his or her needs, and to begin the process for determining the most appropriate class placement.

Determination of Educational Functioning Levels (EFL)
CASAS diagnostic testing is used to determine the learner's Educational Functioning Level for state/federal reporting requirements. Individuals administering CASAS assessments must be trained (certified) by a CASAS state-level trainer. Any scores obtained from testing that is conducted by a non-certified examiner may not be entered in the "Current Tests" page of PABLO. These invalid scores, the test forms used, and the dates of testing must be entered into the "Notes" section of the "Current Tests" page of PABLO. In order to meet the USDOE's requirement for statewide standardized assessments, the following guidelines must be adhered to:

Reading: When leveling a learner based on a reading score, a valid CASAS Reading Diagnostic Test score must be entered in the "Current Tests" page of PABLO. If the learner's diagnostic test score is not in the valid range, an additional CASAS Reading Diagnostic Test must be administered (either at a lower or higher level, depending on whether the invalid test score was at the upper or lower end of the scale score) in order for the learner to achieve a valid diagnostic test score. **Exception:** when a learner's reading skills are so limited that he/she cannot achieve a valid diagnostic test score on the **lowest level CASAS Reading Diagnostic Test** (Level Pre-A, Form 27 or 28), a score of 0 may be entered as the diagnostic reading score in the "Current Tests" page of PABLO. A score of 0 may only be entered after the lowest level diagnostic test was administered and a valid score could not be achieved. The diagnostic test form, on which an invalid score was achieved, and the date of testing must be entered in the "Notes" section on the "Current Tests" page of PABLO.

Math: When leveling a learner based on a math score, a valid CASAS Math Test score must be entered into the "Current Tests" page of PABLO. If the learner's diagnostic test score is not in the valid range, an additional CASAS Math Diagnostic Test must be administered (either at a lower or higher level, depending on whether the invalid test score was at the upper or lower end of the scale score) in order for the learner to achieve a valid diagnostic test score. **Exception:** when a learner's math skills are so limited that he/she cannot achieve a valid diagnostic test score on the **lowest level CASAS Diagnostic Math Test** (ECS, Level A, Form 11or 12), a score of 0 may be entered as the diagnostic math score in the "Current Tests" page of PABLO. A score of 0 may only be entered after the lowest level diagnostic test was administered and a valid score could not be achieved. The diagnostic test form, on which an invalid score was achieved, and the date of testing must be entered in the "Notes" section on the "Current Tests" page of PABLO.

Listening: When leveling a learner based on a listening score, a valid CASAS Listening Diagnostic Test score must be entered. If the learner's diagnostic test score is not in the valid range, an additional CASAS Listening Diagnostic Test must be administered (either at a lower or higher level, depending on whether the invalid test score was at the upper or lower end of the scale score) in order for the learner to achieve a valid diagnostic test score. **Exception:** when a learner's listening skills are so limited that he/she cannot achieve a valid listening test score on the **lowest level CASAS Diagnostic Listening Test** (Life and Works, Level A, Form 81 or 82), a score of 0 may be entered as the diagnostic listening score in the "Current Tests" page of PABLO. A score of 0 may only be entered after the lowest level diagnostic test was administered and a valid score could not be achieved. The diagnostic test form, on which an invalid score was achieved, and the date of testing must be entered in the "Notes" section on the "Current Tests" page of PABLO.

Writing: When leveling a learner based on a writing score, a valid **narrative** writing score derived from the Picture Task section of the CASAS Functional Writing Assessment must be entered. The individual administering and scoring the CASAS Picture Task writing sample must be certified to administer the CASAS Functional Writing Assessment.

All writing scores (pretests and posttests) entered into the "Current Test" page of PABLO must be determined by **two individuals** certified to use the CASAS Functional Writing Assessment. The two certified scorers must be within ten (10) scale score points of one another after scoring the writing sample. When the two scale scores are within ten (10) points of one another, the lower scale score must be entered into PABLO. If the two scorers do not arrive at scale scores that are within ten (10) points of one another, they must discuss their scoring and come to an agreement that results in scale scores that are within ten scale score points of one another. After agreeing to scale scores that are within ten points of one another, the lower scale score must be entered into PABLO. If agreement cannot be achieved, a third certified scorer must read and score the writing sample. This third score must be compared with the two initial scores, and if any two scale scores are within ten (10) points of one another, the lower scale score must be entered into PABLO. If the third scorer's scale score is not within ten scale score points of one of the other two scorer's scores, the third scorer must discuss the writing sample and the scoring process with the first two scorers and come to agreement (within ten scale score points) on the scores. At this time, the lowest scale score must be entered into PABLO.

CASAS Functional Writing Picture Prompts (Forms 460 – 466) must be used as the pretest and posttest instruments for determining learners' educational functioning levels in writing. No picture prompt should be reused for progress testing until the other six prompts have been used between the first use of a prompt and later use of the same prompt. The Form Task section of the CASAS Functional Writing Assessment may **not** be used to level a learner in writing.

All invalid test scores, test forms, and testing dates (other than the exceptions noted above) must be entered in the "NOTES" section on the "Current Tests" page on PABLO.

On-going Assessment

Once learners are assessed and placed in appropriate classes, on-going assessment is critical to inform learners about what they know, in what areas and to what extent they are making progress, and in what areas they still need improvement. On-going assessment may be formal (e.g. a written test) or informal (e.g. teacher observation, checklists, etc.). In addition, it is important to ensure that the assessment tools and techniques that are used are aligned with instruction—and that instruction is aligned with the assessment tools. The most effective assessment systems will also include a way for learners to self assess their progress.

The *CASAS Government and History for Citizenship Test* (Revised 2009) cannot be used to document educational gain. However, this assessment is the standardized instrument that is used in Kansas to document attainment of the goal "Achieve Citizenship Skills." The government and history test has two alternate forms, Form 965 and Form 966. The two forms are parallel in content and difficulty. They contain 30 multiple-choice items that measure basic knowledge of U.S. government, history, voting, geography, documents, holidays, and national symbols. The government and history test also has a writing component, the *Citizenship Dictation Test*, which consists of three sentences selected by the examiner from among six options and dictated to the examinees. In order to attain the citizenship goal, an individual must achieve a minimum score of 206 (18 correct) on the *CASAS Government and History for Citizenship* Test (Form 965 or 966) and a total score of 2 or more on the *CASAS Citizenship Dictation Test*. Test examiners of this assessment **MUST** carefully study the *CASAS Government and History for Citizenship Test Administration Manual* before administering this assessment for the first time and review the manual before subsequent test administrations.

Test examiners must also keep a record of the three sentences used for dictation on the pretest to ensure that the remaining three sentences are used for dictation on the posttest. As with all assessments, a learner should not be given any sentence during the *CASAS Citizenship Dictation Test* that was used during a previous administration of the *CASAS Citizenship Dictation Test* within a six-month time period Programs must also have a process in place to ensure that test examiners randomly vary the sentences used for the *Citizenship Dictation* pretest to prevent test takers from "sharing" the sentences with future test takers. Since different sentences will be used in each pretesting session, different sentences will be used in posttesting session. Therefore, programs must be diligent about entering the sentences used for pretesting and posttesting in each participant's "Notes" section on the "Current Tests" page on PABLO to ensure that a learner is never given the same dictation sentence within a six-month time period

Posttesting/Completion Assessment

Every program should have clearly defined timelines for administering diagnostic posttests. There is very little likelihood of significant educational gains if the learner has attended the program for less than 70 hours. However, a diagnostic posttest should be administered to an individual with 40 or more hours of instruction if the learner discloses that he/she is exiting the program.

Ideally, the learner will be administered a diagnostic test between 70 and 100 hours of instruction in every area in which he/she needs to improve. **The National Reporting System (NRS) does not require that learners be posttested in areas in which they have had no instruction. Programs must provide intensive instruction and follow-up assessment in the learner's lowest functioning level area, unless the LEARNER determines that he/she does not need and/or does not want to study in the lowest functioning level area.** When the LEARNER makes this determination, the recommended Educational Functioning Level may be overridden on PABLO. Information must be provided in the "Notes" section on the "Current Tests" page on PABLO that explains that ***the learner*** *has indicated a desire to study exclusively in a skill area where a higher score was achieved.*

In most instances, CASAS tests series are aligned on the same scale and, therefore, can be used interchangeably because they have a high degree of reliability. For example, a learner who pretests on Reading Level A Form 11 (ECS Series) may be posttested on Reading Level A Form 12 (ECS series) or on Reading Level A Form 81 (Life and Work series) or even on a Reading Level B form if the *CASAS Suggested Next Test Form* document indicates that a Level B assessment is the appropriate posttest to administer. While most programs use only one CASAS series as their primary assessment instruments for a specific group of learners (i.e., ABE or ESL), programs may occasionally use a test form from another series to prevent reusing a test within a six-month time frame. (See Section 11: Appendix I.)
Exceptions: See CASAS Secondary Assessment, CASAS Citizenship Reading, and CASAS Life and Work Listening series.

While the CASAS test series are aligned on the same scale, different test series focus on different competencies and additionally, different levels of a test series usually focus on different competencies. Therefore, the appropriate posttest(s) for each learner should be determined immediately after scoring the pretest(s). The appropriate posttest is determined by referencing the *CASAS Suggested Next Test Form* document. Identifying the posttest form that will be given to the learner provides the instructor with a list of competencies that the learner should master prior to posttesting. This information combined with the information provided by the pretest form is the basis for the learner's individual learning plan. **In a competency-based educational system, linking assessment to instruction is critical.**

Programs using the CASAS Secondary Assessment series **may not interchange** a test from this series with a test from another CASAS series. Pre- and posttesting in this series **must involve** parallel test forms in one of the eight subject areas, and a pretest from one subject area may not be paired with a posttest from a different subject area. If a program adopts the CASAS Secondary Assessment series to assess higher level learners (high Level 4, Level 5, and Level 6), the following tests must be used for pre- and posttesting:

Subject Area	Secondary Assessment Parallel Test Forms	PABLO Skill Domain
Mathematics	505/506	Math
Reading for Language Arts	513/514	Reading
Reading for American Government	525/526	Reading
Reading for United States History	527/528	Reading
Reading for Biological Science	529/530	Reading
Reading for World History	533/534	Reading
Reading for Physical Science	535/536	Reading

Programs using the CASAS Secondary Assessment series may not interchange test forms from this series with test forms from any other CASAS series. For example, a learner cannot be pretested in math on CASAS ECS Form 16 and posttested in math on CASAS Secondary Assessment Form 505. If a learner is pretested using a CASAS series other than the 500 Series (Secondary Assessment Series), and later the decision is made that the learner is ready for intensive GED preparation, the initial CASAS pretest score(s) must be entered in the "Notes" section on the "Current Tests" page of PABLO. Then the 500 Series test(s) must be administered and entered as the new pretest score(s). Then the parallel form(s) of the 500 Series must be used as the posttest(s). **The CASAS Secondary Assessment Series (500 Series) is not interchangeable with other CASAS series.** An educational functioning level completion cannot be achieved by giving a Secondary Assessment Series test as a pretest followed a posttest from another CASAS series (e.g., ECS, Life and Work) or vice versa.

Programs using the CASAS Life and Work Listening assessment **may not interchange** a test from this series with a test from another CASAS series. Programs using the CASAS Life and Work Listening diagnostic tests must use the Life and Work appraisal test. **Similarly, because the Life and Work Listening diagnostic tests are so different from other CASAS listening assessments, a Life and Work Listening diagnostic pretest must be followed by a Life and Work Listening diagnostic posttest.** An educational functioning level completion cannot be achieved by giving a Life and Work Listening diagnostic test as a pretest followed by a Life Skills or ECS Listening diagnostic test as a posttest or vice versa.

11.3 GUIDELINES FOR PROVIDING ACCOMMODATIONS USING CASAS ASSESSMENTS FOR LEARNERS WITH DISABILITIES

Purpose

The accountability standards in the 1998 Workforce Investment Act include the Rehabilitation Act Amendments of 1998 to improve access to adult programs and achieve employment outcomes for learners with disabilities. Other legislation addresses provisions related to testing accommodations for learners with disabilities, including the ADA Amendments of 2008, Section 504 in the Rehabilitation Act of 1973, the Individuals with Disabilities Education Improvement Act of 2004, and the No Child Left Behind Act of 2001. These laws ensure equal access for all learners in education programs, including learners with disabilities. Accommodations provide an opportunity for all test takers to demonstrate their skills and ability. The accommodations may alter test administration procedures without changing what the test is intended to measure. The following guidelines address methods for administering CASAS assessments using accommodations for learners with documented disabilities. The suggested accommodations for disability categories consist of the provisions below:

1. Accommodations in test administration procedures
2. Use of appropriate CASAS test forms

Local Programs' and Learners' with Disabilities Rights and Responsibilities

Local test administrators must consider the individual needs of the learner when they provide accommodations. The responsibility of fulfilling learner requests for accommodations is that of the local program, not of KBOR or CASAS. However, KBOR Adult Education can provide information to programs about the appropriateness of an accommodation and, if necessary, information on how to access community resources. In addition, CASAS will work with state and local programs to develop additional tests that are in a format reflecting the manner in which learners acquire and report information needed to function in everyday life. Local programs are responsible for providing fully accessible services and have the responsibility to ensure that these services meet reasonable criteria. In addition, the program administering the test must provide any necessary accommodations at no cost to the learner. Costs are negligible for most of the common accommodations that learners will request. The local program may wish to contact district or state rehabilitative or health and human welfare agencies for diagnostic services such as for learning disabilities.

Local agencies should provide the same accommodations when they administer CASAS assessment as they do for the learner during instruction and as documented in annual plans such as individual education plans. For example, if the learner acquires information and receives instruction with the assistance of a sign language interpreter, then an interpreter is also necessary to provide directions for standardized testing. However, interpreters *do not sign the test questions themselves* because the purpose of the assessment is to determine level of basic reading literacy skill. It is important that a learner practice using the appropriate accommodation during instruction *before* using the accommodation during the assessment. Also, it is important to *ask learner*s what accommodations will work best in their situation.

In Kansas, all adult education programs are required to provide extensive information to **all** adult education participants about the rights and responsibilities of individuals with disabilities and the rights and responsibilities of programs serving individuals with disabilities during the orientation session and during the follow-up one-on-one counseling session. (See *Accommodating Adults with Disabilities in Adult Education Programs, Revised 2005*). After this information is provided, participants may be asked to disclose information about any disability that may impact their progress toward meeting their short- and long-term goals. However, programs may legally ask this very personal question **for only one reason—to ensure that the learner receives appropriate educational services, including accommodations if necessary**. Programs cannot ask questions about a participant's disability status simply for reporting on PABLO.

Adult learners with disabilities are responsible for providing information on and documentation of their disability. Documentation may include a medical doctor's report, a diagnostic assessment report from a certified professional, Individual Education Plans (IEPs)-- records from learners previously served under Individuals with Disabilities Education Act (IDEA), and/or a report from vocational rehabilitation or other service providers.

If a learner discloses a disability, the adult education program must ensure that the following occurs:

- A staff member reviews the documentation of the disability with the learner to begin the process of identifying the impact of the disability on the learner's previous educational efforts and on the learner's short- and long-term goals. During this process, the staff member should use the "Functional Needs Interview" in the *Accommodating Adults with Disabilities in Adult Education Programs* notebook.

- The staff member and the learner compile a history on the learner's use of accommodations and the learner's perception of the effectiveness of the accommodations previously used. Programs are required to complete the *Initial Documentation of Disability* form for every learner identified on PABLO as having a disability. (See *Section 11, Assessment: Appendix III*.)

- A staff member assists the learner in identifying possible appropriate accommodations for different scenarios. During this process, the staff member should use the "Accommodation Selection Component" of the *Accommodating Adults with Disabilities in Adult Education Programs* notebook. For example, a learner may use books on tape to review science and history. However, the learner would not use a reader or a taped version of a CASAS reading test to determine the learner's educational functioning level in reading or as a *reading* pre- or posttest.

- If the program and learner identify an appropriate accommodation that the learner has not used previously, the program provides the learner with instruction on the use of the accommodation and opportunities to practice using the accommodation in a non-threatening environment before using the accommodation publicly or during testing.

- A staff member is involved in frequent one-on-one counseling with the learner about his/her progress in the program, use of accommodation(s), effectiveness of the accommodation(s), portability of the accommodations into non-educational settings and high-stakes scenarios, "acceptability" of the accommodation(s), etc. Revisions are made if necessary. Programs are required to complete the *Follow-up Documentation Form* (See Section 11: Appendix III.)

- All learners', including learners with disabilities, test scores, test forms, and dates of testing are entered into PABLO. Information about accommodations provided to learners with disabilities during testing or instruction must be maintained in the learners' permanent files--not in PABLO.

- In order to identify areas for program improvement, PABLO data is reviewed on a regular basis to compare the outcomes of learners with no identified disabilities to the outcomes of learners with disabilities. Local programs may also want to collect data on which and how many accommodations or alternate test forms are provided during test administration for program improvement purposes.

Accommodations in Test Administration Procedures

Local test administrators may provide or allow some accommodations in test administration procedures or environment for documented disabilities without contacting KBOR or CASAS. Test administrators frequently use these same "accommodations" as "test-taking strategies" for other learners who do not have documented disabilities. For example, a learner may request to take only one test per day, to test in a room with natural lighting instead of a room with artificial lighting, or to chew gum while testing. Learners may also be allowed to use a variety of readily available educational tools when taking a test, such as a plain straight-edge ruler, a magnifying strip or glass, colored overlays, graph paper, ear plugs, and other devices as deemed appropriate. (See *Accommodating Adults with Disabilities in Adult Education Programs, Revised 2005*.)

Sample accommodations in test administration procedures or environment are shown in Table 1. Examples of these accommodations are extended time, supervised breaks, or sign language interpreter *for test administration directions only*. The accommodations listed are suggestions only. Accommodations are based on needs of individual learners and *not* on a disability category. Any testing accommodation must be consistent with documentation on the *Initial Documentation of Disability* form and the *Follow-up Documentation Form* maintained in the learner's permanent file. These strategies do not alter the validity of the test results. The local test administrator does not need to contact KBOR or CASAS when providing these accommodations. Local programs may call CASAS to provide information on additional accommodations in test administration procedures and formats not listed in Table 1 or about documentation of accommodations on individual records.

NOTE: It is *not* an appropriate accommodation in test administration procedures to *read a CASAS reading test* to a learner with low literacy skills or blindness. The purpose of a reading test is to assess reading skill levels and to determine the learner's appropriate instructional levels, not to assess knowledge of a subject area.

Use of Appropriate CASAS Test Forms

It is important to use an appropriate test form that best meets the learner's goals and manner of receiving and reporting information. Most learners with a disability can take some form of a CASAS test. CASAS provides large-print versions of all tests. Large-print tests and CASAS ***e***Tests® are examples of test forms often used for learners with documented disabilities based on need as well as for *all* learners. The POWER performance-based assessment series, Forms 301-307, and the Tests for Adult Life Skills, Forms 312 through 352, are available specifically for learners who have intellectual disabilities. CASAS is currently expanding development of other test forms to measure basic literacy skills of learners with specific documented disabilities. Please contact CASAS if you are interested in participating in a national validation of other appropriate assessment for specific needs. The CASAS test development process always includes field-based specialists who help design, develop, and field test assessment instruments to ensure appropriateness for assessment of the specific population.

CASAS has a variety of standardized performance-based assessment instruments to use with learners who do not demonstrate their skills well on multiple-choice tests. Standardized performance-based instruments are available for special purposes such as demonstration of writing and speaking skills and functional life skills for developmental disabilities.

Current CASAS reading, math, and listening tests include multiple displays (test prompts) of actual everyday items—maps, telephone books, paycheck stubs, graphs—that cannot be translated realistically into an audio format or into Braille. Programs should contact CASAS if you are interested in participating in a national validation of appropriate assessment for visually impaired or blind learners. The CASAS test development process always includes field-based specialists who help design, develop, and field test assessment instruments to ensure appropriateness for assessment of the specific population.

When Appropriate CASAS Tests Are Not Available
Please contact CASAS to obtain permission *before* changing the test format locally, if a revised test form is not currently available from CASAS. CASAS requires approval because changes in test format affect the standardization and statistical measures for the test. CASAS will provide advice regarding appropriate accommodations that are not currently available to test administrators.

Contact KBOR Adult Education at 785.296.0175 or dglass@ksbor.org or CASAS at 800-255-1036 for further information on appropriate accommodations for using CASAS tests.

Table 1
Providing Accommodations for CASAS Assessments

DISABILITY	TEST ADMINISTRATION PROCEDURES	CASAS TEST FORMS AVAILABLE	CASAS TEST FORMS IN DEVELOPMENT
Specific Learning Disability and/or ADHD **such as dyslexia, dyscalculia, receptive aphasia, hyperactivity, written language disorder, attention deficit disorder**	Extended time (1.5) Alternate schedule Frequent breaks Scribe/writer/alternate room Computer — spelling and grammar check disabled Simple calculator *for Level A/B only*	Large-print forms and Answer Sheet for all CASAS tests Oral assessment for Citizenship Interview Test Large-Print Answer Sheets for Reading for Citizenship CASAS *e*Tests®	Low-level Literacy Forms in CASAS *e*Tests® (with touch screen)
Deaf or Hearing Impaired	Sign language interpreter *for test directions only* Head phones for those taking a listening test		
Blind or Visually Impaired	Magnifier/Template Text-to-speech software Video magnifiers Scribe/reader	Level A/B Reading test in contracted Braille format Large-print CASAS tests CASAS Listening test series (Levels A, B and C)	Level B/C Reading test in contracted Braille format Audio Version
Mobility impairment	Extended time Alternate site/equipment Scribe/writer/ communication board		
Psychiatric Disability such as bipolar disorder, schizophrenia, or major depression	Extended time Supervised breaks Private room Limit testing per day		

Intellectual Disabilities such as traumatic brain injury, autism, cerebral palsy, epilepsy, mental retardation	One-on-one administration Extended time	Adult Life Skills Color-Photo Forms 312 -352 POWER Forms 301- 307 Beginning Literacy Forms 27/28	Low-level Literacy Forms in CASAS *e*Tests® (with touch screen)

Note. The accommodations listed above are suggestions only and in addition to use of regular CASAS tests. Accommodations are based on needs of individual learners and *not* on a disability category. Any testing accommodation should be consistent with documentation in the annual plan, such as an IEP. Alternate test forms developed by CASAS do not modify test standards.

Standardized Assessments Approved for Kansas Adult Education Programs

Population/Subject Area	EFL	Assessments
Appraisal Tests		
ABE/ASE Appraisal	1-6	CASAS Employability Competency System (ECS) Form 130
		CASAS Workforce Learning System (WLS) Form 220 or 230
		CASAS Life and Work Form 80
ESL Appraisal	7-12	CASAS Life and Work Form 80
Special Populations	AA-AAAAA	Test for Adult Life Skills Locator Form 350
Assessments for Determining Learners' Entry Levels/Level Completions for NRS Reporting		
Diagnostic Reading	1, 7, 8	Beginning Literacy Reading Forms 27-28
	1-6	Employability Competency System (ECS) Forms 11R – 18R
	1-6	Workforce Learning Systems (WLS) Forms 213R – 218 R
	5-6	Secondary Assessment Forms 513-536 (must NOT be interchanged with tests from other CASAS series)
Diagnostic Math	1-6	Employability Competency System (ECS) Forms 11M-18M
	1-6	Workforce Learning Systems (WLS) Forms 213M-218M
	5-6	Secondary Assessment Forms 505-506 (must NOT be interchanged with tests from other CASAS series)
Diagnostic Listening	7-12	Life and Work Forms 81L-86L (must NOT be interchanged with other CASAS listening assessments)
Diagnostic Writing	1-6 8-12	Functional Writing Assessment (FWA) Picture Tasks Forms 460-466
Life Skills for Special Populations	AA-AAAAA	Tests for Adult Life Skills Forms 310-343 STRETCH Competency Tests Forms 360-374
Assessments for Other Outcomes		
WorkKeys Assessments	3-6, 11&12	Reading for Information, Locating Information, and Applied Mathematics
Technology	1-12	Teknimedia—Mouse Tutorial, PC100, PC101, PC110, PC135, and PC140

Section 11: Appendix A

Outcome Measures Definitions

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Educational Functioning Level Descriptors—Adult Basic Education Levels

Literacy Level	Basic Reading and Writing	Numeracy Skills	Functional and Workplace Skills
Level 1 **Beginning ABE Literacy** **Pre-test Scores:** CASAS Math: 200 and below CASAS Reading: 200 and below CASAS Writing: 200 and below **Completion Benchmarks:** CASAS Math: >200 CASAS Reading: >200 CASAS Writing: >200	Individual has no or very minimal reading or writing skills. At the lower range of this level, may have little or no comprehension of how print corresponds to spoken language and may have difficulty using a writing instrument. May recognize common signs that are universally accepted symbols. At the upper range of this level, individual can recognize, read and write letters and number, but has a limited understanding of connected prose and may need frequent re-reading. Can write a limited number of basic sight words and familiar words and phrases, including very simple messages. Can write basic personal information on simplified forms. Narrative writing is disorganized and unclear; inconsistently uses simple punctuation (e.g., periods, commas, questions marks); contains frequent errors in spelling.	Individual has little or no recognition of numbers or simple counting skills or may have only minimal skills, such as the ability to add or subtract single digit numbers.	Individual has little or no ability to read basic signs or maps, can provide limited personal information on simple forms and has few or no workplace skills. The individual can handle routine entry-level jobs that require little or no basic written communication or computational skills and no knowledge of computers or other technology.
Level 2 **Beginning Basic Education** **Pre-test Scores:** CASAS Math: 201-210 CASAS Reading: 201-210 CASAS Writing: 201-225 **Completion Benchmarks:** CASAS Math: >210 CASAS Reading: >210 CASAS Writing: >225	Individual can read simple material on familiar subjects and comprehend simple and compound sentences in single or linked paragraphs containing familiar vocabulary. Can write simple notes and messages based on familiar situations, but lacks clarity and focus. Sentence structure lacks variety, but shows some control of basic grammar (e.g., present and past tense), and some control of basic punctuation (e.g., periods, capitalization).	Individual can count, add and subtract three digit numbers, can perform multiplication through 12; can identify simple fractions and perform other simple arithmetic operations.	Individual is able to read simple directions signs and maps, fill out simple forms requiring basic personal information, write phone messages and make simple change. There is minimal knowledge of, and experience with, using computers and related technology. The individual can handle basic entry level jobs that require minimal literacy skills; can recognize very short, explicit,, pictorial texts, e.g., understands logos related to worker safety before using a piece of machinery; can read want ads and complete simple job applications.

Outcome Measures Definitions

Educational Functioning Level Descriptors—Adult Basic Education Levels

Literacy Level	Basic Reading and Writing	Numeracy Skills	Functional and Workplace Skills
Level 3 **Low Intermediate Basic Education** **Pre-test Scores:** CASAS Math: 211-220 CASAS Reading: 211-220 CASAS Writing: 226-242 **Completion Benchmarks:** CASAS Math: >220 CASAS Reading: >220 CASAS Writing: >242	Individual can read text on familiar subjects that have a simple and clear underlying structure (e.g., clear main idea, chronological order). Can use context to determine meaning; can interpret actions required in specific written directions. Can write simple paragraphs with main idea and supporting detail on familiar topics (e.g., daily activities, personal issues) by recombining learned vocabulary and structures; can self and peer edit for spelling and punctuation errors.	Individual can perform with high accuracy all four basic math operations using whole numbers up to three digits, can identify and use all basic mathematical symbols.	Individual is able to handle basic reading, writing and computational tasks related to life roles, such as completing medical forms, order forms or job applications; can read simple charts, graphs labels and payroll stubs and simple authentic material if familiar with the topic. The individual can use simple computer programs and perform a sequence of routine tasks given directions using technology (e.g., fax machine, computer operation). The individual can qualify for entry level jobs that require following basic written instructions and diagrams with assistance, such as oral clarification; can write a short report or message to fellow workers; can read simple dials and scales and take routine measurements.
Level 4 **High Intermediate Basic Education** **Pre-test Scores:** CASAS Math: 221-235 CASAS Reading: 221-235 CASAS Writing: 243-260 **Completion Benchmarks:** CASAS Math: >235 CASAS Reading: >235 CASAS Writing: >260	Individual is able to read simple descriptions and narratives on familiar subjects or from which new vocabulary can be determined by context; can make some minimal inferences about familiar texts and compare and contrast information from such texts, but not consistently. Individual can write simple narrative descriptions and short essays on familiar topics; has consistent use of basic punctuation, but makes grammatical errors with complex structures.	Individual can perform all four basic math operations with whole numbers and fractions; can determine correct math operations for solving narrative math problems and can convert fractions to decimals and decimals to fractions; can perform basic operations on fractions.	Individual is able to handle basic life skills tasks such as graphs, charts and labels, and can follow multi-step diagrams; can read authentic materials on familiar topics, such as simple employee handbooks and payroll stubs; can complete forms such as a job application and reconcile a bank statement. Can handle jobs that involve following simple written instructions and diagrams; can read procedural texts, where the information is supported by diagrams, to remedy a problem, such as locating a problem with a machine or carrying out repairs using a repair manual. The individual can learn or work with most basic computer software, such as using a word processor to produce own texts; can follow simple instructions for using technology.

Outcome Measures Definitions

Educational Functioning Level Descriptors—Adult Basic Education Levels

Literacy Level	Basic Reading and Writing	Numeracy Skills	Functional and Workplace Skills
Level 5 **Low Adult Secondary Education** **Pre-test Scores:** CASAS Math: 236-245 CASAS Reading: 236-245 CASAS Writing: 261-270 **Completion Benchmarks:** CASAS Math: >245 CASAS Reading: >245 CASAS Writing: >270	Individual can comprehend expository writing and identify spelling, punctuation, and grammatical errors; can comprehend a variety of materials such as periodicals and non-technical journals on common topics; can comprehend library reference materials, and compose multi-paragraph essays; can listen to oral instructions and write an accurate synthesis of them; can identify the main idea in reading selections and use a variety of context issues to determine meaning. Writing is organized and cohesive with few mechanical errors; can write using a complex sentence structure; can write personal notes and letters that accurately reflect thoughts.	Individual can perform all basic math functions with whole numbers, decimals and fractions; can interpret and solve simple algebraic equations, tables and graphs and can develop own tables and graphs; can use math in business transactions.	Individual is able or can learn to follow simple multi-step directions, and read common legal forms and manuals; can integrate information from texts, charts and graphs; can create and use tables and graphs; can complete forms and applications and complete resumes; can perform jobs that require interpreting information from various sources and writing or explaining tasks to other workers; is proficient using computers and can use most common computer applications; can understand the impact of using different technologies; can interpret the appropriate use of new software and technology.
Level 6 **High Adult Secondary Education** **Pre-test Scores:** CASAS Math: 246 and higher CASAS Reading: 246 and higher CASAS Writing: 271 and higher **Completion Benchmark:** Pass Official GED Test Battery	Individual can comprehend, explain and analyze information from a variety of literacy works, including primary source materials and professional journals; can use context cues and higher order processes to interpret meaning of written material. Writing is cohesive with clearly expressed ideas supported by relevant detail; can use varied and complex sentence structures with few mechanical errors.	Individual can make mathematical estimates of time and space and can apply principles of geometry to measure angles, lines and surfaces; can also apply trigonometric functions.	**Individual is able to read technical information and complex manuals; can comprehend some college-level books and apprenticeship manuals; can function in most job situations involving higher order thinking; can read text and explain a procedure about a complex and unfamiliar work procedure, such as operating a complex piece of machinery; can evaluate new work situations and processes, can work productively and collaboratively in groups and serve as facilitator and reporter of group work. The individual is able to use common software and learn new software applications; can define the purpose of new technology and software and select appropriate technology; can adapt use of software or technology to new situations and can instruct others in written or oral form on software and technology use.**

Outcome Measures Definitions

Educational Functioning Level Descriptors—English-As-A-Second Language Levels

Literacy Level	Speaking and Listening	Basic Reading and Writing	Functional and Workplace Skills
Level 7 **Beginning ESL Literacy** **Pre-test Scores:** CASAS Reading: <=180 CASAS Listening: <=180 **Completion Benchmarks:** CASAS Reading: >180 CASAS Listening: >180	Individual cannot speak or understand English, or understands only isolated words or phrases.	Individual has no reading or writing skills in any language. May be able to recognize and copy letters, numbers and a few words (e.g. own name). May have little or no comprehension of how print corresponds to spoken language. Individual may have difficulty using a writing instrument.	Individual functions minimally or not at all in English and can communicate only through gestures or a few isolated words. May recognize only common words, signs or symbols (e.g. name stop sign, product logos). Can handle only very routine entry-level jobs that do not require oral or written communication in English. May have no knowledge or use of computers.
Level 8 **Low Beginning ESL** **Pre-test Scores:** CASAS Reading: 181-190 CASAS Listening: 181-190 CASAS Writing: 136-145 **Completion Benchmarks:** CASAS Reading: >190 CASAS Listening: >190 CASAS Writing: >145	Individual can understand basic greetings, simple phrases and commands. Can understand simple questions related to personal information, spoken slowly and with repetition. Understands a limited number of words related to immediate needs and can respond with simple learned phrases to some common questions related to routine survival situations. Speaks slowly and with difficulty. Demonstrates little or no control over grammar.	Individual can read numbers and letters and some common sight words. May be able to sound out simple words. Can read and write some familiar words and phrases, but has a limited understanding of connected prose in English. Can write basic personal information (e.g., name, address, telephone number) and can complete simple forms that elicit this information	Individual functions with difficulty in social situations and in situations related to immediate needs. Can provide limited personal information on simple forms, and can read very simple common forms of print found in the home and environment, such as product names. Can handle routine entry level jobs that require very simple written or oral English communication and in which job tasks can be demonstrated. May have limited knowledge and experience with computers.

Outcome Measures Definitions

Educational Functioning Level Descriptors—English-As-A-Second Language Levels

Literacy Level	Speaking and Listening	Basic Reading and Writing	Functional and Workplace Skills
Level 9 **High Beginning ESL** **Pre-test Scores:** CASAS Reading: 191-200 CASAS Listening: 191-200 CASAS Writing: 146-200 **Completion Benchmarks:** CASAS Reading: >200 CASAS Listening: >200 CASAS Writing: >200	Individual can understand common words, simple phrases, and sentences containing familiar vocabulary, spoken slowly with some repetition. Individual can respond to simple questions about personal everyday activities, and can express immediate needs, using simple learned phrases or short sentences. Shows limited control of grammar.	Individual can read most sight words and many other common words. Can read familiar phrases and simple sentences, but has a limited understanding of connected prose and may need frequent re-reading. Individual can write some simple sentences with limited vocabulary. Meaning may be unclear. Writing shows very little control of basic grammar, capitalization and punctuation and has many spelling errors.	Individual can function in some situations related to immediate needs and in familiar social situations. Can provide basic personal information on simple forms and recognizes simple common forms of print found in the home, workplace and community. Can handle routine entry level jobs requiring basic written or oral English communication and in which job tasks can be demonstrated. May have limited knowledge or experience using computers.
Level 10 **Low Intermediate ESL** **Pre-test Scores:** CASAS Reading: 201-210 CASAS Listening: 201-210 CASAS Writing: 201-225 **Completion Benchmarks:** CASAS Reading: >210 CASAS Listening: >210 CASAS Writing: >225	Individual expresses basic survival needs and participates in some routine social conversations, although with some difficulty. Understands simple learned phrases easily and some new phrases containing familiar vocabulary spoken slowly with repetition. Asks and responds to questions in familiar contexts. Has some control of basic grammar.	Individual can read simple material on familiar subjects and comprehend simple and compound sentences in single or linked paragraphs containing a familiar vocabulary. Individual can write simple notes and messages on familiar situations, but may lack variety in sentence structure, clarity and focus of writing. Shows some control of basic grammar (e.g., present and past tense) and spelling. Uses some punctuation consistently (e.g., periods, commas, question marks, capitalization, etc.).	Individual can interpret simple directions, schedules, signs, maps, etc. Completes simple forms but needs support on some documents that are not simplified. Can handle routine entry level jobs that involve some written or oral English communication but in which job tasks can be clarified orally or through demonstration. Individual may be able to use simple computer programs and can perform a sequence of routine tasks given directions (e.g., fax machine, computer).

Outcome Measures Definitions

Educational Functioning Level Descriptors—English-As-A-Second Language Levels

Literacy Level	Speaking and Listening	Basic Reading and Writing	Functional and Workplace Skills
Level 11 **High Intermediate ESL** **Pre-test Scores:** CASAS Reading: 211-220 CASAS Listening: 211-220 CASAS Writing: 226-242 **Completion Benchmarks:** CASAS Reading: >220 CASAS Listening: >220 CASAS Writing: >242	**Individual participates in conversation in familiar social situations. Communicates basic needs with some help and clarification. Understands learned phrases and new phrases containing familiar vocabulary. Attempts to use new language but may be hesitant and rely on descriptions and concrete terms. May have inconsistent control of more complex grammar.**	**Individual can read text on familiar subjects that have a simple and clear underlying structure (e.g., clear main idea, logical order). Can use word analysis skills and context clues to determine meaning with texts on familiar subjects. Individual can write simple paragraphs with main idea and supporting details on familiar topics (e.g., daily activities, personal issues) by recombining learned vocabulary and structures. Can self- and peer-edit for spelling, grammar, and punctuation errors.**	**Individual can meet basic survival and social demands, and can follow some simple oral and written instructions. Has some ability to communicate on the telephone on familiar subjects. Can write messages and notes related to basic needs and complete basic medical forms and job applications. Can handle jobs that involve basic oral instructions and written communication in tasks that can be clarified orally. Individual can work with or learn basic computer software, such as word processing, and can follow simple instructions for using technology.**
Level 12 **Advanced ESL** **Pre-test Scores:** CASAS Reading: 221-235 CASAS Listening: 221-235 CASAS Writing: 243-260 **Completion Benchmarks:** CASAS Reading: >235 CASAS Listening: >235 CASAS Writing: >260	**Individual can understand and communicate in a variety of contexts related to daily life and work. Can understand and participate in conversation on a variety of everyday subjects, including some unfamiliar vocabulary, but may need repetition or rewarding. Can clarify own or others' meaning by rewording. Can understand the main points of simple discussions and informational communication in familiar contests. Shows some ability to go beyond learned patterns and construct new sentences. Shows control of basic grammar but has difficulty using more complex structures. Has some basic fluency of speech.**	**Individual can read moderately complex text related to life roles and descriptions and narratives from authentic materials on familiar subjects. Uses context and word analysis skills to understand vocabulary, and uses multiple strategies to understand unfamiliar texts. Can make inferences, predictions, and compare and contrast information in familiar texts. Individual can write multi-paragraph text (e.g., organizes and develops ideas with clear introduction, body, and conclusion), using some complex grammar and a variety of sentence structures. Makes some grammar and spelling errors. Uses a range of vocabulary.**	**Individual can function independently to meet most survival needs and to use English in routine social and work situations. Can communicate on the telephone on familiar subjects. Understands radio and television on familiar topics. Can interpret routine charts, tables and graphs, and can complete forms and handle work demands that require non-technical oral and written instructions and routine interaction with the public. Individual can use common software, learn new basic applications, and select the correct basic technology in familiar situations.**

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Section 11: Appendix B

- **Documentation of Disabilities and Accommodations Follow-up Forms**

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Documentation of Disability

(To be completed for every learner identified as having a disability)

Student Name: ____ **DOB:** __________________

Disability (*list all*) : ____

Major life activity limited or restricted (*Circle at least one*): walking, seeing, hearing, speaking, learning, working, other (*explain*)

____

____

Evidence: ____ Self-report; ____ Teacher observation; ____ IEP or psychological evaluation; ____ Letter from medical personnel licensed to diagnose the disability; ____ Other (explain)

____

Name/Address of MD, psychologist, school district professional, and/or other diagnostic professional who conducted testing to determine disability:______________________________

____

Special Strategies Used or Services Provided	Date Initiated or Changed	Staff Initials	Student Initials

If no special strategies are listed, a reason must be given:

____

____

____

____

Date form completed: _______________ **Completed by:**______________________________

Student's signature: ____

Counseling Follow-up Documentation Form

NOTE: *To evaluate the effectiveness and appropriateness of the special strategies and/or services being provided to an individual with a disability,* ***follow up counseling must be provided*** *and documented on this form* ***at a minimum monthly and more often when needed.*** *This information is* ***confidential*** *and is to be shared with all involved instructors. However, this form is not to be copied or released to others except by authorized personnel and with written approval of the learner.*

DATE	NOTES	STAFF INITIALS	STUDENT'S INITIALS

KBOR/Adult Ed/Form – ACCOM/required form