



**Barstow Area Consortium for Adult Education
Board Agenda
Barstow Community College, President’s Conference Room
Thursday October 25, 2018 (2:00 p.m. – 4:00 p.m.)
(*Materials in Board Packet)**

PLEASE NOTE: Agenda related documents distributed to the BACAE Board for the Board Meeting may be viewed in the President’s Office at Barstow Community College, 2700 Barstow Rd, Barstow, CA 92311. Individuals who require special accommodation, including but not limited to an American sign language interpreter, accessible seating, or documentation in accessible formats, should contact the BACAE Coordinator at BarstowAEGB@gmail.com at least two days before the meeting date.

Call to Order: 1:58 pm

Attending:	Voting Member	Voting Member	Attendee
Baker Valley	<input checked="" type="checkbox"/> Ronda Tremblay	<input type="checkbox"/> Eric Huynh	<input type="checkbox"/>
Barstow CC	<input checked="" type="checkbox"/> Eva Bagg	<input type="checkbox"/>	<input checked="" type="checkbox"/> Pattie Granados
Barstow AS	<input checked="" type="checkbox"/> Scott Godfrey	<input type="checkbox"/> Jeff Malan	<input checked="" type="checkbox"/> Elias Valencia
Silver Valley	<input checked="" type="checkbox"/> Jeff Youskievicz	<input type="checkbox"/> Michael Cox	<input type="checkbox"/> Reyna Garcia
			<input checked="" type="checkbox"/> Carrie O’Neal

1. ^{ra} Approval of Minutes – September 26, 2018 Motion by E.Bagg; 2nd by J. Youskievicz – Unanimously Approved
2. Public Comment – Public comment will be allowed on any topic relevant to the BACAE. Pursuant to BACAE Policy, comments are limited to 3 minutes per person. Please begin your comment by stating your name.
3. Closed Session – Requested
 - P2C Solutions, LLC – Option 3;
4. Reports/Information Items
 - 4.1 Consultant’s Report
 - 2017-18 Q4 Completed in NOVA and Certified; Due date October 31, 2018
 - AEP Due Dates:
 - October 30: 2018-19 Budget & Workplan Due in NOVA; Opened in NOVA October 15
 - M. Rosin noted that these should be entered as soon as possible. Certification deadline is Nov 30, and Q1 expenses are due the following day on Dec. 1
 - DECEMBER 1: 2018-19 Q1 Expenses Due in NOVA
 - BCC Allocation is not totaling correctly. State has been notified.
 - BVUSD; BUSD; SVUSD are totaling correctly.
 - October 31, 2018 – 2018-19 Q1 DIR Due to aebg@casas.org & copy to M. Rosin
 - Consultant Days

Nov 15, 16, 19, 20	Dec 7, 11, 12, 13
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 - ^{ra} State AEP Directors’ Conference – Sept 27-28, 2018 (Sacramento, CA)
 - M. Rosin shared information and handouts from the State Summit.
 - ^{ra} NOVA Webinar Update – 10.20.18
 - M. Rosin walked the Board through the webinar from 10.20.18 and answered questions.
 - ^{ra} Fiscal Year 2018–19 Program and Accountability Requirements for Student Outcome Data Collection and Submission
 - M. Rosin shared the latest state guidance.

- Workplace ESL Workshop: October 23 @ BCC
 - R. Tromblay: Excellent feedback from participants.
 - S. Godfrey: BUSD planning to bring Ronna Timpa back for more training.

- 4.2 Member Program Update: BAS
 - S. Godfrey: GEDTS Representative visited site. Target of spring 2019 to open. Needs to be open 8 hours during a testing day. Grand opening being planned for November.
- 4.3 Member Program Update: SVUSD
 - J. Youskievicz: Lab is coming together and should be opened soon.
- 4.4 Member Program Update: BVUSD
 - R. Tremblay: Roofing repairs are scheduled for November 1. New furniture and equipment is in place for the Adult School. Hospitality class will be offered in the coming months. How to make change is the key issue. Upselling also a focus. Using technology to promote attendance.
- 4.5 Member Program Update: BCC
 - E. Bagg: Elias Valencia has been appointed as Interim Director of Adult Education. Working on economic development and employer engagement. Tying Adult Education into economic development is critical for regional success.
- 4.6 Consortium Director Hiring Update – BCC
 - Consortium Director position approved by BCC Board of Trustees. Will be posted on EdJoin in the coming days. BACAE Board will be included in the interview process. Goal is as offer date of January or February 2019.
- 4.7 Marketing & Media Manager Report
 - PPT Presentation – Phoenix Design
 - S. Phoenix, from Phoenix Design, presented the monthly report on social media.
 - The Board will discuss with each site lead to determine the needs for the second semester and report back at the November meeting.
- 4.8 BUSD Fiscal Agent Report: 2016-17 – Scott Godfrey
 - \$213,844 carry over in NOVA of which:
 - \$82,713.35 is BUSD funds
 - \$131,130.65 in Consortium Funds

Pan Consortium		Actual Spend/		
		Starting Balance	Encumbered	Remaining Funds
	BACAE per MOU	\$30,000.00	\$0.00	\$30,000.00
	BACAE Audit	\$20,000.00	\$0.00	\$20,000.00
	Regional & On-Site Professional Development	\$2,500.00	\$0.00	\$2,500.00
	As Needed Curriculum	\$30,000.00	\$0.00	\$30,000.00
	Bros of Nowhere	\$5,000.00	\$0.00	\$5,000.00
	TOP Facilitation Training	\$10,000.00	\$0.00	\$10,000.00
	Postal Mailer	\$5,000.00	\$3,563.02	\$1,436.98
	Radio & Marketing Collateral Printing	\$15,000.00		\$12,193.67
	Brochures		\$516.33	
	Radio Ad		\$1,890.00	
	TidBits		\$400.00	
	Workplace ESL Solutions	\$10,000.00	\$10,000.00	\$0.00
	P2C Solutions (Jan-June, 2018)	\$40,800.00	\$40,800.00	\$0.00
	P2C Solutions (July-Dec, 2018)	\$48,000.00	\$48,000.00	\$0.00
	Jorge Saucedo (Jan-June, 2018)	\$12,000.00	\$4,000.00	\$8,000.00
	Jorge Saucedo (July-Dec, 2018)	\$12,000.00	\$0.00	\$12,000.00
	Phoenix Design	\$20,000.00	\$20,000.00	\$0.00
	ReAssigned from Jorge Contract		\$20,000.00	\$0.00
	TOTAL	\$260,300.00		
	Remaining Funds			\$131,130.65

4.9 BUSD Fiscal Agent Report: Data & Accountability Allocation – Scott Godfrey

Barstow Area Consortium for Adult Education						
Data & Accountability Budget						
	Proposed Expenses Purpose	Member(s)	Units	Sub Total (Not To Exceed)	Total Remaining	
STARTING BALANCE					\$123,711.00	
	TOPS Pro Enterprise & CASAS eTests	All	3yr	\$25,910.00	\$97,801.00	Mandated
	Aztec - ABE/HSE/Accuplacer - Online & 3 PD	All	3yr	\$72,656.00	\$25,145.00	3-Year Plan: Page 18
	Computer Hardware for Testing Center	All	3yr	\$25,145.00	\$0.00	3-Year Plan: Page 1

- 4.10 BCC Fiscal Agent Report: 2018-19 – Pattie Granados
 - Three checks have been disbursed. BUSD has not cashed checks.

5. Discussion Items

- 5.1 ^a Plan for Developing 2019-2022 Three-Year Plan
 - M. Rosin shared the state guidance for developing a new Three-Year Plan and discussed a timeframe that includes starting regional meetings in December. Draft would be finalized for the April 2019 Board meeting, with a vote in May 2019. Additional state guidance and a tool kit are expected in the coming weeks and will be shared with the Board.

Figure 1. AEP Three-Year Planning Framework



- 5.2 2017 San Bernardino County Community Indicators Report:
http://cms.sbcounty.gov/Portals/21/Resources%20Documents/CIR_2017_report.pdf?ver=2018-03-23-132312-883
- 5.3 Insight Center for Community Economic Development:
<https://insightccd.org/2018-self-sufficiency-standard/>
- 5.4 CalPassPlus Adult Education LaunchBoard:
<https://www.calpassplus.org/LaunchBoard/Adult-Education-Pipeline.aspx>

6. Action Items

- 6.1 2016-17 Spend Down Distribution
 - Motion by J. Youskievicz to allocate all remaining 2016-17 funds to BUSD, with the exception of P2C Solutions contract extension @ 3 days/month; 2nd by R. Tremblay 2nd – R. Tremblay (Yea), E. Bagg (Yea), J. Youskievicz (Yea), S. Godfrey (Abstain). Motion carried.

- 6.2 P2C Solutions, LLC - Contract Extension – Included in above motion. Approved for six-month extension (3 days per month) effective January 1, 2019 through June 30, 2019. To be billed to BUSD against 2016-17 Spend Down Budget (encumbered December 2018, paid January 2019).

7. Announcements

- 7.1 2018-19 BACAE Board Meeting Schedule (2:00 pm in BCC President’s Conference Room):

November 20, 2018 January 17, 2019 March 14, 2019 May 16, 2019

December 13, 2018 February 21, 2019 April 25, 2019 June 6, 2019

- The Board voted to cancel the November 2018 Board Meeting in lieu of working with M. Rosin on the 2018-19 Budget & Workplan in NOVA and ensuring timely certification of the Consortium. Additionally, M. Rosin will be available to assist with 2018-19 Q1 Expense reports, which are due December 1, 2018.

- 7.2 CCAE South Coast – Palm Springs (November 16-17, 2018) www.ccaestate.org/south-coast

8. Adjournment: 3:00 pm

- Motion by J. Youskievicz; 2nd by R. Tremblay – Unanimously Approved

CONSORTIUM PROGRAM QUALITY SELF-ASSESSMENT

The Consortium Program Quality Self-Assessment Tool is designed to provide consortia with a way to begin important conversations about the quality of their collaboration and impact within their communities using a self-directed quality improvement process wherein consortium agencies may work collaboratively to assess their strengths and weakness, and to develop strategies to enhance policies, procedures and practices accordingly.

This tool is appropriate for formative assessment and building teams that will work toward program improvement. This tool is not intended to be used as an external evaluation tool. However, by engaging in honest, open conversations with key stakeholders through meaningful conversations, consortia will be on the path to better manage themselves and serve students more effectively and efficiently. While there are many right ways to use the self-assessment, it is critical that stakeholders have a clear sense of the purpose, process, and intended use of the results before undertaking a large-scale self-assessment process.

This self-assessment tool utilizes and expands upon concepts introduced by Completion by Design's Loss-Momentum Framework and developed under the aegis of the California Adult Education Program Consortium and Member Effectiveness Field Team. Created with input from practitioners and experts in the field of Adult Education, this self-assessment tool was created to help consortia evaluate their effectiveness in the following key areas:

1. Capacity
2. Connection
3. Entry
4. Progress
5. Completion/Transition

On the following pages are a series of prompts that may be used to describe the effectiveness of regional consortia and their members. Within each of the 5 sections, there are various measures and examples of evidence for each indicator of effectiveness. Consortia will be able to pick from a rating of 1-5 (1 being low on effectiveness and 5 being high on effectiveness).

Instructions

Read each of the following items and select the option that best describes your consortium and / or member agency currently. Group discussions of the indicators are encouraged in order to represent far-ranging views of consortia effectiveness. After conducting the self-assessment, interpretations can be made for how effective consortia are in the key areas. If the majority of answers were rated as:

- 1s: There is strong need for improvement and the consortium has an urgent need to address this area.
- 2s: The consortium is making progress in this area but can improve further. This area needs targeted support in order to improve its outcomes.
- 3s: The consortium is doing well in this area but needs additional work to be addressed.
- 4s: The consortium is doing very well in this area and need only a few improvements in order to be exceptional.
- 5s: The consortium is exceptionally proficient in this area, evident in many ways. This area can serve as an example or model for other consortia to follow.

Consortia should strive to have a majority 3s, 4s, or 5s for each indicator to demonstrate overall effectiveness. Assistance and support should be so sought for areas scoring mostly in 1s and 2s.

Quality Indicator #1: Capacity

Key Concept: This section asks questions about the consortium and individual members' ability to support each other and build capacity to deliver high quality adult education to meet community needs.

1.1. Consortium maintains effective collaborative processes for planning, implementation and accountability.

1.1.1.	1 No staff positions are charged with overall consortium management / coordination	2 3 Part-time staff are charged with overall consortium management / coordination	4 5 1 or more staff charged with overall consortium management / coordination
1.1.2.	1 Consortium seldom convenes to discuss progress toward goals	2 3 Consortium occasionally convenes to discuss progress toward goals	4 5 Consortium frequently convenes to discuss progress toward goals
1.1.3.	1 Consortium has few documented processes or procedures for facilitating collaboration and coordination (i.e., shared calendars, bylaws, governance, etc.)	2 3 Consortium has some documented processes and procedures for facilitating collaboration and coordination (i.e., shared calendars, bylaws, governance, etc.)	4 5 Consortium has significant documented processes and procedures for facilitating collaboration and coordination (i.e., shared calendars, bylaws, governance, etc.)

1.2. Consortium agencies have the leadership, management, and accountability processes necessary to meet community need for adult education

1.2.1.	1 Few agency leaders (adult school principals, community college staff with consortium leadership roles (deans, directors, etc.)) have the knowledge, skills, and abilities to meet the goals and objectives of the California Adult Education Program.	2	3 Some agency leaders (adult school principals, community college staff with consortium leadership roles (deans, directors, etc.)) have the knowledge, skills, and abilities to meet the goals and objectives of the California Adult Education Program.	4	5 Mostly all agency leaders (adult school principals, community college staff with consortium leadership roles (deans, directors, etc.)) have the knowledge, skills, and abilities to meet the goals and objectives of the California Adult Education Program.
1.2.2.	1 Resource allocations (e.g., time and funding) for several agency leadership positions (principals, deans, etc.) are not commensurate with community need and program size	2	3 Resource allocations (e.g., time and funding) for some agency leadership positions (principals, deans, etc.) are not commensurate with community need and program size	4	5 Resource allocations (e.g., time and funding) for agency leadership positions (principals, deans, etc.) are commensurate with community need and program size
1.2.3.	1 Few agencies can be said to participate fully in consortium activities	2	3 Some agencies can be said to participate fully in consortium activities	4	5 Mostly all agencies can be said to participate fully in consortium activities

1.3. Consortium agencies have resources that promote adult learning and provide high levels of access to communities of need

1.3.1.	1 Few agencies have staffing models that support agency-wide coordination and collaboration to achieve high levels of student success and AEBG outcomes	2	3 Some agencies have staffing models that support agency-wide coordination and collaboration to achieve high levels of student success and AEBG outcomes	4	5 Mostly all agencies have staffing models that support agency-wide coordination and collaboration to achieve high levels of student success and AEBG outcomes
1.3.2.	1 Few agencies have access to sufficient number of classrooms and other learning spaces appropriate for adult learners	2	3 Some agencies have access to sufficient number of classrooms and other learning spaces appropriate for adult learners	4	5 Most agencies have access to sufficient number of classrooms and other learning spaces appropriate for adult learners

1.4. Professional development provides opportunities for faculty and staff to turn new knowledge into practice

1.4.1.	1 New program staff / member representatives are expected to learn about AEBG policies on their own	2	3 Some program staff / member representatives receive limited training and orientation to the consortium or AEBG policies and guidance	4	5 All new program staff attend local program orientations that includes a thorough review of AEBG policies and guidance
1.4.2.	1 Existing professional development for staff has not been aligned to ensure that the skills of staff meet the consortium's mission and outcome goals.	2	3 Existing professional development for staff is somewhat aligned to ensure that the skills of staff meet the consortium's mission and outcome goals.	4	5 Existing professional development opportunities for staff are clearly aligned to with the consortium's mission and outcome goals.

Quality Indicator #2: Connection

Key Concept: This section asks questions about the consortium members' ability to provide coordinated, proactive engagement to potential students on educational and training options and choices.

2.1. Consortia and members collaboratively engage prospective students from communities of high need to provide services in aligned program areas

2.1.1.	1 Few if any programs develop annual recruitment plan(s) or establish stretch goals for number of students enrolling in program areas	2 3 Some programs develop annual recruitment plan(s) or establish stretch goals for number of students enrolling in program areas	4 5 Mostly all programs develop annual recruitment plan(s) or establish stretch goals for number of students enrolling in program areas
2.1.2.	1 Few programs conduct outreach or early engagement with prospective students to help them understand educational options and services available	2 3 Some programs conduct outreach or early engagement with prospective students to help them understand educational options and services available	4 5 Mostly all programs conduct outreach or early engagement with prospective students to help them understand educational options and services available
2.1.3.	1 Data are not used to inform recruitment	2 3 Some census data, labor market data, and / or assessments of regional and community needs are used to inform recruitment	4 5 Recruitment is consistently informed by census data, labor market data, and / or assessments of regional and community needs

2.2. Consortium agencies demonstrate a “no-wrong door” approach to regional education and training

2.2.1.	1 Few counselors and advisors are knowledgeable of programs and services offered by the consortium	2	3 Some counselors and advisors are knowledgeable of programs and services offered by the consortium	4	5 Mostly all counselors and advisors are knowledgeable of programs and services offered by the consortium
2.2.2.	1 Counselors / advisors are not comfortable referring students to programs or agencies outside of their home campuses	2	3 Counselors / advisors are somewhat comfortable referring students to programs or agencies outside of their home campuses	4	5 Counselors / advisors are comfortable referring students to programs or agencies outside of their home campuses
2.2.3.	1 Few if any agencies have program maps that clearly delineate requirements and aligned career pathway opportunities across members and partners	2	3 Some agencies have program maps that clearly delineate requirements and aligned career pathway opportunities across members and partners	4	5 Most all agencies have program maps that clearly delineate requirements and aligned career pathway opportunities across members and partners
2.2.4.	1 Curricula are seldom organized around common standards for program areas college and career readiness, and instructional practices incorporate the skills and knowledge learners need to transition successfully to postsecondary education, training, and the workforce	2	3 Curricula are somewhat organized around common standards for program areas college and career readiness, and instructional practices incorporate the skills and knowledge learners need to transition successfully to postsecondary education, training, and the workforce	4	5 Curricula are mostly all organized around common standards for program areas college and career readiness, and instructional practices that incorporate the skills and knowledge learners need to transition successfully to postsecondary education, training, and the workforce

Quality Indicator #3: Entry

Key Concept: This section asks questions about the consortium members' ability to have established common intake and assessment procedures and provide career and goal exploration and planning that addresses individual student needs and interests

3.1. Consortia and members orient adult learners in a manner that is culturally responsive and promotes self-efficacy and confidence

3.1.1.	1 Few programs provide mandatory orientation for first-time students	2 3 Some programs provide differentiated orientation for first-time students	4 5 Programs provide mandatory "high-touch" orientation for first-time students designed to help students identify career options and goals aligned to student skills and interests, clarify program and administrative requirements and timelines, and assist with course selection and access to support services, including financial planning / literacy and other wrap-around services
3.1.2.	1 Few to no partnerships exist among community providers	2 3 Some partnerships exist among a few providers in the community to provide counseling, social, and academic supports	4 5 Programs partner with providers in the community to provide case management services to students, including counseling and social and academic supports.
3.1.3.	1 Few students have meaningful access to high-quality counseling services	2 3 Some students in certain programs have access to high-quality counseling services	4 5 Nearly all students have access to high-quality counseling services from initial contact

3.2. Consortia and members use multiple measures to inform placement, education and career planning, classroom instruction, and continuous improvement activities

3.2.1.	1 There is little to no uniformity or consistency among providers regarding assessment, placement, and use of individual learning plans.	2 3 There is some consistency among providers regarding assessment, placement, and use of individual learning plans.	4 5 Providers have adopted common assessments and placement policies, which directly inform students' individual learning plans
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3.3. Students complete individualized educational plans that reflect an informed understanding of their educational and career options

3.3.1.	1 Few students develop meaningful individual educational plans.	2 3 Some students develop individual educational plans they use to track progress through their programs.	4 5 Individualized educational and support service plans are developed early in the educational experience and updated regularly based on student goals, assessment, and learner outcomes
3.3.2.	1 Career planning occurs at the end of students' programs, if at all.	2 3 Some programs provide integrated career planning that is sometimes captured as part of students' individual educational plans.	4 5 Learning plans are shared across agencies and drive academic and career planning. Career planning is integrated throughout students' educational experience.

3.4. Consortia and members collaborate in the provision of proactive counseling and support services to promote persistence and long-term student success

3.4.1.	1 Few agencies assess or promote the full range of wrap-around supports students need.	2	3 Some programs informally assess student needs and make referrals to partners for services.	4	5 Students are provided the full range of student services to support their ability to successfully complete programs, including financial assistance, housing, access to food / nutrition, child care, books & materials, physical and mental health services.
3.4.2.	1 There is almost no consistent approach to proactively identifying student needs or connecting them to supportive services.	2	3 Dedicated advisors / staff / faculty tend to coordinate academic and non-academic supports to students, though procedures may not be formalized.	4	5 Early alert systems are integrated into programs and prompt action by advisors / staff / faculty who coordinate to provide academic and non-academic support to students

Quality Indicator #4: Progress

Key Concept: This section asks questions about the consortium members' ability to have shared and aligned programs which allow students to accelerate progress via courses that are geared toward academic, career, and community goals.

4.1. Agencies have aligned and articulated programs

4.1.1.	1 No alignment has occurred	2 3 Some alignment has occurred, and some curricula have been updated based on current learning theory and promising practices	4 5 Curricula are aligned, up-to-date and informed by current learning theory and promising practices with well-articulated instructional goals of reasonable scope and sequence
4.1.2.	1 No alignment / articulation has occurred	2 3 Some programs are monitored for successful alignment and articulation	4 5 Consortia / members actively track performance of aligned programs using established data collection procedures and agreed upon measures of skills attainment

4.2. Agencies offer robust integrated education and training programs

4.2.1.	1 Minimal contextualized ESL is provided at a small number of agencies	2 3 Some concurrent enrollment is available	4 5 Several concurrent enrollment opportunities across a number of disciplines are available
4.2.2.	1 Few to no concurrent enrollment opportunities are available	2 3 Some contextualized ESL or basic skills IET courses are provided	4 5 Basic skills and ESL courses are contextualized to include workforce training and workforce preparation activities

4.3. Agencies provide coordinated, ongoing, consistent student support

4.3.1.	1	2	3	4	5
	There is little to no coordination around student support services		Some agencies have processes for tracking student supports needs and acting on data to ensure student success		Members have shared tools and procedures for collecting counseling, transition, and support services data and provide coordinated referrals to members / partners Student satisfaction surveys show high rates of satisfaction (90% or better) across all agencies

Quality Indicator #5: Completion / Transition

Key Concept: This section asks questions about the consortium members' ability to facilitate timely program completion and successful transition into postsecondary education, training, and / or employment.

5.1. Programs demonstrate effectiveness in transitioning students into postsecondary and / or the workforce

5.1.1.	1 There is little to no coordinated case management or formal support for transition into post-secondary or the workforce	2 3 Some agencies provide case managed transition support, though processes may not be uniform or aligned across agencies	4 5 Members have shared systems and procedures to support transition process (alignment of standards, collocated transition specialists, warm hand-offs, case/referral management and tracking)
5.1.2.	1 Few programs have formal articulation / dual-enrollment policies or agreements	2 3 Some programs have formal articulation / dual-enrollment policies or agreements	4 5 Nearly all programs have formal articulation / dual-enrollment policies or agreement that enable easy transition into postsecondary training.
5.1.3.	1 The consortium does not set performance targets and only rarely looks at student achievement in a coordinated way	2 3 Some programs may set performance targets and / or there are consortium plans to develop processes to do so	5 Nearly all consortium agencies actively collaborate to set and track performance targets and student achievement

5.2. Partnerships with local workforce and community service providers are integrated into programs of study

5.2.1.	1 Programs have few if any formal relationships with regional partners	2 3 There are some formal agreements with regional partners to provide support services in a select number of programs	4 5 Programs actively collaborate with partners to provide service-learning, job-shadowing, mentoring, internships, apprenticeships, and / or other work-based learning opportunities and / or services to students that aid in the development of employability skills
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5.3. Programs conduct continuous improvement planning that is in conjunction with all regional adult education stakeholders

5.3.1.	1 Relatively little formal evaluation of program effectiveness is conducted	2 3 Programs regularly assess their effectiveness supporting student goal achievement using data from AEBG accountability systems and additional local measures of effectiveness (industry recognized credentials, AEBG completion measures (high school credentials)	4 5 Programs regularly assess their effectiveness supporting student goal achievement using data from AEBG accountability systems and additional local measures of effectiveness (industry recognized credentials, AEBG completion measures (high school credentials)
5.3.2.	1 Consortium does not conduct meaningful continuous improvement planning. When it does, community partners, staff, faculty, students, and other stakeholders are rarely involved.	2 3 Community partners, staff, faculty, students, and other stakeholders are sometimes involved in continuous improvement planning and evaluation. Opportunities to participate may be reserved for only some powerful and/or influential agencies or employees.	4 5 Community partners, staff, faculty, students, and other stakeholders are engaged in continuous improvement planning and are involved in evaluating program effectiveness and design

CONSORTIUM THREE-YEAR PLANNING GUIDANCE 2019-2022

OVERVIEW

This document provides guidance and establishes the procedures regarding three-year adult education consortium regional plan required by the Adult Education Program (AEP). The three-year planning process is designed to provide consortia and consortium members a chance to collectively assess the impact of services provided over the previous period and to identify new approaches to meeting the educational and workforce needs of adult learners in a diverse and ever-changing economic landscape. In this way, it also provides an opportunity to reexamine commonly held assumptions about the beneficiaries and providers, which taken together, can promote stronger collaboration among agencies and deeper connections to the students and the communities they serve.

The components of the plan are aligned around four phases essential to good planning. The following pages provide a framework for the required elements of consortium three-year plans, as well as guiding prompts, resources, and aligned training opportunities to aid in the planning process. Plans are required to respond to the directions provided under each element of the Plan Guidelines.

Figure 1. AEP Three-Year Planning Framework



TOOLS & RESOURCES

- HCD Training
- Self-Assessment Technical Assistance

- AE Data Unlocked PD
- LaunchBoard, LMI Tools, CASAS Tables

- Effective Pathway Professional Development
- Student Progress Framework
- Planning Support

Formatting and Submission

Plans must be formatted using no smaller than 10-point font, with margins not less than 1" all around. Excluding front matter (cover page, table of contents, etc.) and back matter (appendices, references, etc.), the plan should not exceed 35 pages single-spaced, or 21,000 words. A template has been provided for consortia to use in organizing their plans. Final narratives must be uploaded to NOVA in both PDF and MS Word formats by no later than **June 7, 2019**. Details on the submission process will be released in early 2019.

Following approval, consortium may modify their three-year plans by uploading an amendment through NOVA. Consortia must make information about the development of plan modifications available to the public on a regular basis through electronic means and open meetings, and all amendments must be certified by members prior to submission.

Objectives and Program Areas

California Assembly Bill 104 (AB 104) allocates funds to regional consortia comprised of community college districts, their K-12 counterparts, and other regional providers of adult education programs and services. Regional collaboration provides capacity for the K-12 and community college adult education programs to find common ground and cross historical geographic and cultural boundaries to provide adult learners more robust education and training opportunities, and to expand and improve the quality and reach of adult education as evinced, ultimately, by (A) Improved literacy skills, (B) Completion of high school diplomas or their recognized equivalents, (C) Transition into postsecondary study, (D) Completion of postsecondary certificates, degrees, or training programs, (E) Placement into jobs, and (F) Improved wages. Plans should consider the full range of services required to achieve these outcomes and leverage shared resources and promising practices to hasten student progress toward their academic and professional goals and promote seamless transitions across educational segments and into the workforce.

Based on their assessment of regional need, consortia may develop programs in any of the following allowable areas:

1. Programs in elementary and secondary skills, including those leading to a high school diploma or high school equivalency certificate.
2. Programs for immigrants in citizenship, ESL, and workforce preparation.
3. Programs for adults, including, but not limited to, older adults, that are primarily related to entry or reentry into the workforce.
4. Programs for adults, including, but not limited to, older adults, that are primarily designed to develop knowledge and skills to assist elementary and secondary school children to succeed academically in school.

5. Programs for adult with disabilities.
6. Programs in career technical education that are short term in nature with high employment potential.
7. Programs offering pre-apprenticeship training conducted in coordination with one or more apprenticeship programs approved by the Division of Apprenticeship Standards.

Additional information on the history of AB 104 and requirements may be found here:
<http://aebg.cccco.edu/Administrators>

PLAN GUIDELINES

Section 1: Consortium Information

Directions: Provide a cover sheet containing, at a minimum, your consortium name, consortium primary contact name and email address.

Section 2: Comprehensive Regional Three-Year Plan

2.1 Executive Summary

Directions: Summarize your regional consortium's adult education impact for the previous planning period, and your vision, goals, and key indicators of progress for the next three-year planning cycle relative to the seven program areas allowable under AB 104.

2.2 Pre-Planning Assessment

Directions: In the Pre-Planning Assessment, you will identify:

- **Consortium and member(s) capacity** including evaluation of current levels and types of education and workforce programs and services for adults in the region and funding available to members for Adult Education services.
- **Key Partners** including their current levels and types of education and workforce programs and services for adults, as well as sources of funding available to them for Adult Education services.
- **Alignment of Adult Education services provided by the consortia with other regional plans and planning processes** including those required under the Federal Workforce Innovation and Opportunity Act (WIOA) Title I and II, Carl Perkins, California Chancellor's Office Strong Workforce Program, and other regional planning processes.

In addition to a narrative for this section, you will include **two tables** with your three-year plan:

- **Table 1.** Entities that provide education and workforce services to adults in the region with current levels and types of adult education programs within the region
- **Table 2.** Funding available within the region to support adult education services. This includes both funds subject to allocation processes in the consortium and categorical

or other funding types which may support services or instruction for adult education students

Helpful Planning Conversations, Questions, and Training:

Potential planning conversations include:

- Convenings with stakeholders and partners to better understand each other's programs and services, performance outcomes, gaps in services, and needs.
- Review of and participation in other regional planning being conducted under WIOA, the regional Strong Workforce Program, AB109, or other processes.

Helpful Questions to Ask:

- Who provides education and workforce services to adults in your region? Examples include but are not limited to:
 - Education Providers: K12 Adult Schools, Community Colleges, Charter Schools, Regional Occupational Centers and programs.
 - Workforce Development Boards and American Job Centers of California
 - Library Literacy Programs
 - Community Based Organizations
 - Jail and Re-Entry Programs: Adult jail education programs and AB109 CCP programs
 - Other State/Federally Funded Programs & Services: Vocational Rehab, CalWORKs, State Hospitals, State Development Centers
- What kinds of adult education services do they provide?
- How are those services funded?

Resources & Tools:

- In November 2018, NOVA will require each member to list all funds expended by program area available for Adult Education services for the 17-18 program year (this includes fees and all other fund sources).
- CASAS AEBG Consortia Summary Data for current levels and types of programs and services.
- WIOA I am planning guidance (<https://caladulthood.org/DownloadFile/498>) and planning partner directory.
- Consortium / Member Self-Assessment

Available Training:

- **Human Centered Design Training** – Adult Education practitioners can use HCD strategies to learn from the communities we serve, break barriers that impede innovation, come up with new concepts, prototype them, and then make those ideas come to life with positive results for our customers.
- **Self-Assessment Training** – Adult Education consortia can complete this self-assessment to evaluate how they are meeting the need in the community and living up to AB104 standards.
- **Planning Consultation** - Adult Education consortia have access to ongoing planning support via webinars, which may include one-on-one consultations with retired Adult Education administrators and / or other experts.

2.3 Community Need and Customers

Directions: In this section you will:

1. **Describe the regional need for Adult Education and workforce services** as it pertains to (1) your current customers, (2) the regional community, and (3) the regional labor market.
2. **Define shared and unique customers**, as well as service priorities and communities of need.
3. **Evaluate the alignment** between needs and levels and types of services available within the region to meet Adult Education and workforce needs.

Helpful Questions to Ask:

- Who are our current customers? Where do they live? What characteristics define the populations engaged in the programs we currently offer?
- What characteristics define the regional community? How do those align with profiles of students currently served by Adult Education programs?
- What industries is the region home to? What kind of skills are they looking for in their employees? What kinds of credentials do they value?
- How well do available programs and services align to the needs and goals of students and area employers?

Resources & Tools:

- Regional demographic data provided by AEP
- [Census Reporter](https://censusreporter.org/) (<https://censusreporter.org/>)
- AEP Webinar on Community Asset Mapping (<https://caladulted.org/DownloadFile/355>)
- LMI Reports, Supply and Demand Tools from the Centers of Excellence
- Data reports from district / agency student information systems (SIS)
- LaunchBoard data tables for consortia outcomes
- CASAS Quarterly and Annual Reports

Available Training:

- **Adult Education Data Unlocked Training** – Adult Education practitioners will understand how to use community, economic, and student data to inform their consortium planning processes. This training will be a mix of tool demonstrations and hands on exploration where practitioners can generate and explore questions about their consortium and regional data and do preliminary exploration of key issues they may want to address in their consortium. Each session will leverage regional assets including the Centers of Excellence directors and other regional training experts.
- **Planning Consultation** - Adult Education consortia have access to ongoing planning support via webinars, which may include one-on-one consultations with retired Adult Education administrators and / or other experts.

2.4 Identifying Goals and Strategies

Directions: In the Goals and Strategies section, you will:

- **Identify activities and measurable goals** to address community needs & improve student outcomes.
- **Describe strategies to improve integration of services** including, but not limited to, alignment of intake / placement for adults seeking education and workforce services, program mapping, and alignment of curriculum and standards.
- **Describe strategies to improve transitions** into postsecondary education and the workforce.

In addition to a narrative for this section, you will provide a **logic model** that identifies the major goals, activities, and outputs for your three-year plan. A logic model template is provided for you to use or adapt as part of the planning toolkit. Please review the guidance for the logic model carefully. You will also identify **3-5 Progress Indicators** you will use to measure progress toward your overarching goals. It is recommended that you review the **Student Progress Framework** to think about how your chosen goals and activities are aligned to student journeys, momentum points, and the AEBG metrics as you make decisions about your activities and outputs for your logic model.

AEBG Student Progress Framework

Connection	Entry	Progress		Completion	
Objectives 1, 2, 4		Objectives 3, 5		Objectives 5, 6, 7	
Adults Served	Participants	Student Progress	Transition	Completion	Outcomes After Exit
Reportable Individual: 1+ hour or svsl	Participant: 12+ contact hours	Interim Progress Meas's 1. EFL Level Attainment 2. CE21 Level Progress 3. Occup. Skills Gain 4. Workforce Prep MS	ABE/ESL to ASE Transition to Postsecondary	HS Diploma or Equivalent Postsecondary Credential	Employment Wage Increase College Credit Award
<ol style="list-style-type: none"> Expand/improve outreach & marketing to target populations Improve/redesign student intake processes Deeper engagement w students regarding goals and longer term educational opportunity Improve initial student data collection 		<ol style="list-style-type: none"> Increase number of ABE/ASE/ESL courses based on community need/demand Reallocate offerings geographically based on regional demographic shifts Increase course articulation agreements or dual/co-enrollment between K12 & CC Increase offerings & enrollment in IET & pathway programs Implement consortia-wide agreement for placement into college level courses using EFL's and other student persistence measures 		<ol style="list-style-type: none"> Increase offering of postsecondary CTE credential programs Improve alignment of CTE credential programs with labor mkt demand Increase offerings & enrollment in IET & pathway programs Improve information about pathways and career opportunities at intake Increase articulation & dual/co-enrollment between K12 AE/CC Improve collection of emp/wage data Increase student participation in WBL activities connect to pathways 	

Helpful Questions to Ask:

- How will the members ensure access to all adults needing services in the region?
- How will members coordinate programs to eliminate duplication and maximize program potential?
- How will members ensure that adults can transition from program or service to other programs and services?
- How will we concretely identify or quantify our outputs – e.g. which specific occupations or industries we will focus on, how many new training programs do we intend to build, where and how we will increase engagement and outreach to new customers, etc.
- How will data be used to evaluate effectiveness?
- How will members be held accountable for effective services?

Tools & Resources:

- Best Practices Reports from Full Capacity Marketing & Hanover Research
- Co-enrollment Guidance from CDE & the Chancellor's Office
- Student Progress Framework
- Webinars highlighting the current pilots that are showing results around the state
- W.K. Kellogg Logic Model Development Guide (<https://www.wkkf.org/resource-directory/resource/2006/02/wk-kellogg-foundation-logic-model-development-guide>)

Available Training:

- **Career Pathway Training** - training to review guidance on integrated pathways and effective transition of students between systems and increase practitioner capacity for career pathway design and implementation.
- **Adult Education Strategies** - webinars to review the major concepts behind the Adult Education effort (AB86 & AB104) - student acceleration, student transition, leveraging resources, and shared professional development.
- **Adult Education Best Practices** - webinars highlighting the best practices that are showing results around the state - covering all topics - in small/large and rural/urban consortia.
- **Logic Modeling** - webinars on developing and using logic models for program planning and improvement.

2.5 Piloting and Implementation

Directions: In the Pilots and Implementation section, you will:

1. **Explain how you will prototype new strategies** and
2. **Evaluate the effectiveness of these pilots** using formative data collected throughout to inform continuous improvement processes, as well as summative data to assess the overarching impact of these strategies.

Helpful Questions to Ask:

- What problems most need solving and lend themselves most effectively to a rapid prototyping approach?
- What criteria will you use to assess success or failure of your pilot processes?
- Are your pilot strategies robust enough for objective measurement / evaluation? Are there sufficient resources to do so?

Tools & Resources

- Best Practices Reports from Full Capacity Marketing & Hanover Research
- CLASP Adult Education Evaluation
- Webinars highlighting the current pilots that are showing results around the state


Available Training:

- **Career Pathway Training** - training to review guidance on integrated pathways and effective transition of students between systems and increase practitioner capacity for career pathway design and implementation.
- **Adult Education Strategies** - webinars to review the major concepts behind the Adult Education effort (AB86 & AB104) - student acceleration, student transition, leveraging resources, and shared professional development.
- **Adult Education Best Practices** - webinars highlighting the best practices that are showing results around the state - covering all topics - in small/large and rural/urban consortia.
- **Human Centered Design Training** - Adult Education practitioners can use HCD strategies to learn from the communities we serve, break barriers that impede innovation, come up with new concepts, prototype them, and then make those ideas come to life with positive results for our customers.

Instructions:

This template uses form fields to organize responses to the required three-year planning prompts. You may easily navigate the template by clicking on each of the shaded fields or by using the Tab key.

This document has been protected to enable use of form fields and to guard against accidental edits to the template. Should the need arise, the document may be unlocked temporarily. Use cases may include adding charts, tables, or graphics to narrative sections, expanding Table 1, adding appendices, or updating the table of contents, among others.

You may temporarily unlock the template by toggling the **Protect Form** button () on the **Developer Tab** on the Microsoft Office ribbon. The Developer Tab does not appear by default, so it must first be enabled in order to use this feature. Instructions for how to enable the Developer Tab may be found here: <https://docs.microsoft.com/en-us/visualstudio/vsto/how-to-show-the-developer-tab-on-the-ribbon?view=vs-2017>

Please note: Form fields will not work correctly unless form protection is on. Please be sure to remember to re-enable it once you have finished your work and before submitting to the AEP office.

Section 1: Consortium Information

Consortium Name

Primary Contact Name

Title

Phone

Email

Submitted:

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Section 2: Comprehensive Regional Three-Year Plan

2.1 Executive Summary

2.2 Pre-Planning Assessment

Table 1. Regional Service Providers

Provider Name	Provider Type	Address or location(s) where AE services are provided	Program Areas								If other, provide a brief description of services provided
			ABE	ASE	ESL	CTE	AWD	WR	PA	ACS	
XYZ Agency	Business / Industry	555 Adult Education Lane, Los Angeles, CA 90001	X	X	X	X	X	X	X	X	XYZ agency provides opportunities for students in Manufacturing Bridge Courses to Job Shadow.
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
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Table 2. Funding for Adult Education Programs and Services

Source and Type of Funds	Funding Estimates FY2019-20	Funding Estimates FY2020-21	Funding Estimates FY2021-22
State / Federal Funding			
AEP	\$0	\$0	\$0
CalWORKs	\$0	\$0	\$0
CCD Apportionment	\$0	\$0	\$0
Corrections	\$0	\$0	\$0
LCFF / District Funds	\$0	\$0	\$0
Perkins V	\$0	\$0	\$0
WIOA II	\$0	\$0	\$0
Other			
	\$0	\$0	\$0
	\$0	\$0	\$0
	\$0	\$0	\$0
	\$0	\$0	\$0
	\$0	\$0	\$0
	\$0	\$0	\$0
Total	\$0	\$0	\$0

2.3 Community Need and Customers

2.4 Identifying Goals and Strategies

Figure 1. Logic Model

Goal Statement:

Our overall direction and focus for the program cycle relative to the target populations and problems we seek to address

Inputs	Activities	Outputs	Immediate (Short-Term) Outcomes	Intermediate Outcomes	Long-Term Outcomes / Impact
<i>In order to accomplish our set of activities we will need the following:</i>	<i>In order to address our problem or asset we will accomplish the following activities:</i>	<i>We expect that once accomplished, these activities will produce the following evidence or service delivery:</i>	<i>We expect that if accomplished these activities will lead to the following changes in the next year</i>	<i>We expect that if accomplished these activities will lead to the following changes in 1-3 years</i>	<i>We expect that if accomplished these activities will lead to the following changes in 3-5 years</i>
Assumptions			External Factors		

Table 3. Progress Indicators

Provide three to five SMART (Specific, Measurable, Attainable, Realistic, and Time-bound) objectives by which your consortium will assess progress and impact during the next three-year cycle. These objectives should map directly to your Logic Model activities, outputs, and / or outcomes, as these will be a driving factor for annual plans throughout the funding period.

Example: By May 2019, increase the number of agencies that have aligned CTE pathways and developed comprehensive program maps from 2 to 10.

- 1.
- 2.
- 3.
- 4.
- 5.

2.5 Piloting and Implementation



November 2, 2018

To: Adult Education Program Consortium Directors and Members

From: Adult Education Program Office

Subject: Budget Bill Requirements – 17-18 Data Request

This memorandum is to advise Adult Education Program (AEP) members of the 18-19 California Budget Act requirements in the 2018–19 Program Year. This memorandum can also be found on the adult education website at <https://caladulthood.org/Administrators/23>. Failure to comply with any requirements or deliverable deadlines will be cause for withholding Adult Education Program apportionment payments until the requirements are met.

18-19 Budget Act Requirements

AEP members that were active during the 2017-18 program year must submit the required 17-18 program and expenditure data by program area. The CDE and CCCCO requires all Adult Education Program agencies to use the NOVA systems for data submission in the following areas:

- All AEP members (K12 districts, county offices of education, joint powers authority, and community college districts) must submit in NOVA the total hours of instruction for program year 17-18 provided to students in the seven AEP program areas (adult education/noncredit).
- All AEP members (K12 districts, county offices of education, joint powers authority, and community college districts) must submit in NOVA the total operational cost for program year 17-18 by fund source in the seven AEP program areas (adult education/noncredit). Funds sources also include any fee revenue collected in 17-18.
- The 18-19 Budget Act requirement allows the State AEP Office to have an external entity be involved in drafting a summary report explaining the submitted data, in addition to any caveats or barriers that members may have had in submitting their data.

All data must be submitted by February 15, 2019 via the NOVA system.

Due to the nuances of the K12 and the Community College systems, in order to complete these two exercises, we expect AEP members to enter into NOVA their best estimate given the information/data from their local and state level systems. The AEP Office encourages AEP members to prorate when necessary if funding sources or programs overlap and/or are too difficult to separate.

NOVA Reporting Parameters: The State AEP Office has set up a special reporting section in NOVA for the 17-18 hours of instruction by program area, and operational cost (or labeled leveraged funds) by program area. This is not to be confused with the AEP quarterly expenditure reporting in NOVA. Please see the enclosed process steps for reporting the required 17-18 data in NOVA.

Data Accountability Training

The Adult Education Program Office has contracted with the Sacramento County Office of Education (SCOE) to create the Technical Assistance Project (TAP), which offers online and in-person trainings regarding a variety of topics, including meeting these specific Adult Education Program reporting requirements in the NOVA system. There will be at least two webinars scheduled between November 1, 2018 and January 31, 2019 to review the guidance and understand how to report the required data in NOVA. The initial webinar has been schedule for **Wednesday, November 7, 2018 at 1:30 p.m.** More details regarding training sessions are available on the caladulted website at <https://www.caadultedtraining.org/>

Technical Assistance Contact Information

For questions related to the Adult Education Program and/or technical assistance on professional development topics, please contact the AEP Technical Assistance Project (TAP) by phone at 1- 888-827-2324 or by e-mail at tap@aebg.org.

Sincerely,

Neil Kelly
Adult Education Program Office

Enclosure: Background information, Step by Step Instructions in NOVA, and FAQs

AEP Background – Reporting in NOVA 17-18 data

Adult Education Program Area Definitions

The AB104 legislation defines the seven Adult Education program areas as follows:

1. Programs in elementary and secondary skills, including those leading to a high school diploma or high school equivalency certificate.
2. Programs for immigrants in citizenship, ESL, and workforce preparation.
3. Programs for adults, including, but not limited to, older adults, that are primarily related to entry or reentry into the workforce.
4. Programs for adults, including, but not limited to, older adults, that are primarily designed to develop knowledge and skills to assist elementary and secondary school children to succeed academically in school.
5. Programs for adult with disabilities.
6. Programs in career technical education that are short term in nature with high employment potential.
7. Programs offering pre-apprenticeship training conducted in coordination with one or more apprenticeship programs approved by the Division of Apprenticeship Standards.

If you operate non-AEP programs that overlap with your AEP programs or AEP courses that are designed for “credit” students, please pro-rate hours to include only courses in the seven AEP program areas that are offered to adult education/noncredit students.

Hours of Instruction by Program Area

The term “hours of instruction” is defined as any reportable individual that has at least one hour of program related services or instruction in our systems.

The time period to report hours of instruction by program area is the 17-18 program year beginning July 1, 2017, and ending June 30, 2018. The amount of hours would be the total for the program year, by each AEP program area.

To calculate an hour of instruction, please follow your agency accounting and fiscal policies that are used to report hours into your attendance system, and the state approved system. For community colleges, this would include the reporting of contact hours of approved curriculum through the official attendance reporting process.

There are several suggested methods for gathering the total hours of instruction provided to students in the seven AEP program areas.

1. Use the TOPSpro® Enterprise AEBG/AEP 17-18 member reports by program area showing hours of instruction. CASAS will be providing the 17-18 hours of instruction by member by program area information as early as November 5, 2018.

2. Use your local attendance system, provided that the system is collecting all student services and instruction, and displays the hours by the seven program areas.
3. Community college districts may wish to use their 17-18 Apportionment Attendance Reports generated from the CCFS-320 Reporting System for noncredit FTES. If your college district files a recalculation to their annual report, then the information will be available after November 1, 2018.

Reports from the CCFS-320 Reporting System generate FTES not instructional hours. You will have to calculate the hours of instruction by multiplying the number of FTES by 525 hours. You will also need to develop a method of dividing the lump sum of hours into the various AEP program areas, as the CCFS-320 Report does not separate data or FTES by program area. You cannot report non-AEP program areas into NOVA. Colleges would need to develop a methodology for separating AEP program data from non-AEP program data.

Operational Costs

The term “operational costs” is defined as the true cost of running AEP programs. This includes space, utilities, custodial, overhead, equipment, as well as the normal day-to-day operational costs (instructional, classified, benefits, supplies, etc.).

Operational costs also includes administrative costs, which would include administrators who oversee all areas of adult education/noncredit programs.

In some districts, some of these costs may be difficult to separate or identify specifically to the adult education/noncredit programs. We encourage districts to prorate these costs and use an allocation methodology that would estimate the true cost of running the adult education/noncredit program.

Leveraged Funds by Program Area

Not only will districts enter the true cost of running AEP programs, they will also enter into NOVA the various fund sources that contributed to these operational costs.

NOVA lists the six fund sources mandated in the AB104 legislation (see below) along with the Adult Education Program funds. If you have additional fund sources like WIOA I, Strong Workforce, other college apportionment, student supports, grants, in-kind, donations, etc., a drop down menu is available in NOVA to include “other” fund sources.

If a district’s fund sources are also spent on non-AEP related program areas, and it is difficult to separate between AEP related and non-AEP related funds, districts can prorate contributions for AEP-related programs. This would also apply if revenue/funds were received for non-AEP students – such as community services, community education, for-credit students, etc.

List of fund sources (Education Code 84916 (a-f)):

1. AEP (formerly known as AEBG) – standard adult education apportionment for K12 districts, county offices of education, Joint Powers Authority, and community college districts.
2. CalWORKs – allocation to adult schools, county offices of education, regional occupational programs, and community colleges to provide education services to CalWORKs recipients.
3. Noncredit apportionment – standard noncredit apportionment to community colleges for serving students in noncredit courses and programs. This would not include noncredit programs outside of the seven AEP program areas.
4. Perkins – federal grant to adult schools, county offices of education, regional occupational programs, and community colleges to improve career technical education programs, serve special populations, and meet gender equity needs for adult/noncredit students.
5. LCFF – local control funding formula (LCFF) is the process by which K12 school districts receive their allocations. K12 districts can incorporate K12 adult education into their local control and accountability plan, and support that with funding or in-kind resources.
6. K12 Adult Ed Jail Funds – the Jail Education Program or Adults in Corrections Program is a K12 adult education program that provides for the education of incarcerated adults at county jails in basic education, high school diploma, and English as a Second Language (ESL).
7. WIOA Title II – the Adult Education and Family Literacy Act under the Workforce Innovation and Opportunity Act, Title II, provides supplemental funds to K12 adult schools, county offices of education, community colleges, community based organizations, health services, corrections, and libraries to assist adults in literacy, secondary, and post-secondary education and training. The programs also assists immigrants and other individuals who are English language learners.

Other fund sources:

Fees – this includes any student fees (parking, health, registration, assessment, etc.), tuition fees, student book fees, and equipment or uniform fees related to adult education/noncredit students receiving services and/or instruction in the seven program areas.

Contracted services – any revenue received from providing contracted services with another agency for the purposes of education services and/or instruction related to the seven program areas.

NOTE: The funds reported as leveraged/expensed cannot exceed the amount of funds available by that fund source in the 17-18 program year.

Example: a K12 adult school operates a CTE program that charges a fee to offset

the true cost of running the program. The adult school receive AEP funding, and some WIOA I individual training account funds in addition to the fees to operate the CTE program. See the table below on how to report this in NOVA for the district.

Program Area: Designated as Short Term CTE.

Total Operational Cost to Run the Short Term CTE Program: \$600,000

- \$150,000 is collected in fees
- \$100,00 is received by WIOA I
- \$350,000 is used from AEP funding

Fund	ABE/ASE	ESL/EL Civics	AWD	K12 Success	Short Term CTE	Workforce Reentry	Pre-Apprenticeship	Totals
AEBG					350000			\$350,000
CalWORKs								\$0
Noncredit								\$0
Perkins								\$0
LCFF								\$0
Fees					150000			\$150,000
K12 Adult Ed Jail Funds								\$0
WIOA II								\$0
Contracted Services								
Other / WIOA I					100000			\$100,000

Totals					600000			600000
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Frequently Asked Questions

Q: When is this information due and where do I submit it?

A: Both the hours of instruction by program area and operational cost data by program area are due in NOVA by February 15, 2019.

Q: This will be extremely difficult to separate some of my fund expenses as I receive a grant that combines several programs.

A: We expect AEP members to enter into NOVA their best estimate given the information/data from their local and state level systems. The AEP Office encourages AEP members to prorate when necessary when funding sources or program overlap and are too difficult to separate. You can also use your attendance system or TOPSPro to calculate a percentage model that could also assist in separating the funds.

Q: My college 320 report includes noncredit programs that are not one of the AEP program area. I don't know how to separate them out?

A: Feel free to use your attendance system and/or the TOPSPro system that collects program services and instructional hours to prorate the amount that you think reflects the hours for that program area.

Q: My college district provides services that are not reflected in the 320 report.

A: You can use the TOPSPro system to identify your services if they were reported under your CASAS ID.

Q: I am at the adult school. Should we use ASAP reporting or TE reporting to complete instructional hours in NOVA?

A: The district has several options. We suggest that the district compare the two reports and enter the most accurate information into NOVA.

Q: Per the NOVA webinar, we need to report instructional hours by AEP program. How are we meant to count this? Total hours of instruction offered (number of weeks * hours per week) or by contact time (number of hours attended)?

A: Please report the number of hours attended for the 17-18 program year by AEP program area. The term ‘hours of instruction’ is defined as any reportable individual that has at least one hour of program related services or instruction in our systems.

Q: What are the differences between Short Term CTE, Workforce Reentry and Pre-Apprenticeship?

A: See the program area definitions as described in the AB104 legislation (and are listed in this document)

NOVA Program Area Reporting Guide

Step 1: Once you log into NOVA, click on Funds (located on the blue navigation pane on the left hand side), next click on AEBG, and then click on Program Area Reporting. This will direct you to the Program Area Reporting Dashboard, as shown in the screenshot below. You can use the filters located at the top of the screen to locate your consortium.

NOVA
PLAN. INVEST. TRACK.

Safe Environment: Sandbox

Nicole Alexander

Notifications

Bookmarks

Funds

- SWP - Local
- SWP - Regional
- AEBG
 - Consortia & Members
 - Monitor Reports
 - Fiscal Reporting
 - Program Area Reporting
 - Fund Settings
- Integrated Plan

AEBG Program Area Reporting
Program Area Reporting Dashboard

Consortia

Use the fields below to filter the list of consortia.

Consortia: Select a Consortium | Year: 2018-19 | Status: All

Consortium	Year	Certification Status
<u>01 Allan Hancock Community College Consortium</u>	2018-19	Uncertified
Allan Hancock Joint CCD	0/2 Saved	
Lompoc Unified School District	0/2 Submitted	
<u>04 Butte-Glenn Adult Education Consortium</u>	2018-19	Uncertified
Butte-Glenn CCD	0/6 Saved	
Hamilton Unified School District	0/6 Submitted	
Glenn County Office of Education		
Paradise Unified School District		
Oroville Union High School District		
Butte County Office of Education		
<u>05 Greater Opportunity Through Adult Learning</u>		
<u>06 Partnership for Adult Academic and Career Education</u>		

Step 2: Click on your consortium, which will direct you to the Member Agency Program Area Reports, as shown in the screenshot below. Be sure that you have selected the correct reporting year in the filter located at the top of the screen.

AEBG Program Area Consortium Reporting
[01 Allan Hancock Community College Consortium](#)

Member Agency Program Area Reports

Reporting Year

Year *

2017-18

Certification

2017-18 Program Reporting Status

Uncertified

Certifying Authority

Dr. Sofia Ramirez Gelpi Ph.D.

Active Member Agencies

Member Agency	Total Program Area Hours	Total Leveraged Funds	2017-18 Status
Allan Hancock Joint CCD	0	\$0	Draft
Lompoc Unified School District	0	\$0	Draft
Totals	0	0	0/2 Submitted

Step 3: Find your member agency and click on the link. This will direct you to the workflow steps to complete this report, which includes the Program Area Hours, Leveraged Funds, and Preview section. In the Program Area Hours section, enter the hours of instruction totals for the year for each program area.

AEBG Program Area Reporting: 2017-18 Status: Draft

Allan Hancock Joint CCD

[01 Allan Hancock Community College Consortium](#)

Workflow

- Program Area Hours Not started
- Leveraged Funds Not started
- Preview

Program Area Hours

Hours of Instruction

Enter Hour of Instruction totals for the year broken up for each Program Area.

AEBG Program Area	Q1 - Q4 Hours of Instruction
ABE/ASE	<input type="text" value="0"/>
ESL/EI Civics	<input type="text" value="0"/>
AWD	<input type="text" value="0"/>
K12 Success	<input type="text" value="0"/>
Short Term CTE	<input type="text" value="0"/>
Workforce Reentry	<input type="text" value="0"/>
Pre-Apprenticeship	<input type="text" value="0"/>
Total	0 Hours

Step 4: Next click on the Leveraged Funds section and enter expense totals for each fund broken up by program area.

AEBG Program Area Reporting: 2017-18 Status: Draft
 Allan Hancock Joint CCD [Next](#)
[01 Allan Hancock Community College Consortium](#)

Workflow

- Program Area Hours Not started
- Leveraged Funds** Not started
- Preview

Leveraged Funds by Program Area

Enter expense totals for each Fund broken up by Program Area.

Fund	ABE/ASE	ESL/EI Civics	AWD	K12 Success	Short Term CTE	Workforce Reentry	Pre-Apprenticeship	Totals
AEBG	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
CalWORKs	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
NonCredit	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Perkins	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
LCFF	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Fees	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
K12 Adult Ed Jail Funds	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
WIOA II	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Contracted Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Totals	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0

To add an additional fund not shown on this list, select a new fund from the drop-down list under the 'Add Another Fund' section.

AEBG Program Area Reporting: 2017-18 Status: Draft
 Allan Hancock Joint CCD [Next](#)
[01 Allan Hancock Community College Consortium](#)

Workflow

- Program Area Hours Not started
- Leveraged Funds** Not started
- Preview

WIOA II	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Contracted Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Totals	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0

Add Another Fund
 Select additional fund to display above and report against.

Select new fund

- WIOA I / ITAs
- Donations
- In-kind Contributions**
- Strong Workforce Program (K12 or College)

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NOVA Site Version: 4.0.19

Step 5: Once you have completed the Program Area Hours and Leveraged Funds sections, click on the Preview section. Review your submission and click on the ‘Save Estimates’ button when you are ready to submit*.

**When you are ready to submit your district’s actual totals, follow the same process as outlined in the steps above, and click on the ‘Submit Actuals’ button.*

AEBG Program Area Reporting: 2017-18

Allan Hancock Joint CCD

[01 Allan Hancock Community College Consortium](#)

Status: Draft

[Share PDF](#)

Workflow

Program Area
 Hours
Completed

Leveraged Funds
 Completed

Preview

Preview & Submittal

Submittal

2017-18 Program Area & Leveraged Funds

Draft

[Save Estimates](#)

[Submit Actuals](#)

Member Representatives

Dr. Sofia Ramirez Gelpi Ph.D.

Regina Smith

Margaret Lau

Marina Washburn

Hours of Instruction

AEBG Program Area	Q1 - Q4 Hours of Instruction
ABE/ASE	100
...	100

Step 6: Consortium Lead Certification

Once all members have submitted their 'Actuals' reports, the consortium primary contact should navigate to the Member Agency Program Area Reports section and click on the Certify button, as shown in the screenshot below.

AEBC Program Area Consortium Reporting
[01 Allan Hancock Community College Consortium](#)

Member Agency Program Area Reports

Reporting Year

Year *

2017-18

Certification

2017-18 Program Reporting Status
 Uncertified

Certifying Authority
 Dr. Sofia Ramirez Gelpi Ph.D.

Certify

Active Member Agencies

Member Agency	Total Program Area Hours	Total Leveraged Funds	2017-18 Status
Allan Hancock Joint CCD	500	\$160,000	Submitted
Lompoc Unified School District	1350	\$10,000	Submitted
Totals	1850	170000	2/2 Submitted



Adult Education Program Fiscal Management Guide

Allowable Uses of Adult Education Program Funds

Funding source: AB104, Section 39,
Article 9

Version 3 Release: August 1,
2017

Updated:

Indirect Cost Rate Section (#10) September 13, 2017

Allowable Uses Section (#3) September 18, 2017

Consortium Administrative Function (#9) November 29, 2017

NOVA Summary (#13) May 15, 2018

Out of State Travel (#6) November 5, 2018

Indirect Rate (#10) November 5, 2018

How to Use this Guide

The purpose of this guide is to specify the education code and processes used to spend California Adult Education Program (AEP) funding by regional consortia and their members. The outcomes from the expenditure process are student data reports for enrollment, demographics, and outcomes, as well as financial reports presenting allocation of funds to members, and the tracking of expenses connected to the seven AEP program areas. Additional outcomes include adherence to a consortium governance structure, the public meeting/ input process, and a long term planning cycle (3-year plan) along with an annual plan.

The AEP Fiscal Management Guide contains the policies and procedures for the administration of the AEP Program for the 18-19 program year. These policies and procedures are based on the AB104 legislation that created the AEP Program. However, the AB104 legislation does not supersede current K-12 adult education and community college education code and regulatory requirements. All current financial processes and systems in place at the various districts and county offices of education must comply with the variety of statutory and policy provisions already in place prior to AB104, that includes the State of California Statutory Codes, California Code of Regulations, State Accounting Code Structure, the Budget and Accounting Manual, and any administrative or management policy memoranda or bulletins.

For AEP program, reporting system documentation, and additional resources, please refer to the AEP website. <https://caladulted.org/>

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1. Responsibility and Roles Overview

Overview

The California Community College Chancellor's Office (CCCCO) and the California Department of Education (CDE) are working in partnership to implement the Adult Education Block Grant (AEP). Since 2015-16, the annual budget appropriation for the block grant has been \$500 million in addition to \$25 million for data and accountability funding as well as an additional \$5 million for AEP technical assistance, and in 18-19 a \$21.5M COLA. The AEP Office appropriates these funds through regional consortia consisting of community college districts, school districts and county offices of education to implement regional plans to better serve the needs of adults.

There are 71 regional consortia across the state that include members from community colleges, k-12 adult schools, county offices of education and a variety of community partners including, but not limited to local workforce investment boards, libraries, and community based organizations.

The California Community Colleges Chancellor's Office and the California Department of Education appointed joint leadership for the Adult Education Program Office. The AEP Office is led by:

Carolyn Zachry, Administrator, Adult Education Office, CDE
Javier Romero, Workforce Development Division Dean, CCCCCO

Role of the Board of Governors and the State Board of Education

The apportionment of AEP funding is provided by an interagency agreement with the Board of Governors of the California Community Colleges and the budget act, in support of the Adult Education Program. Once approved by the Board of Governors of the California Community Colleges, AEP funding for K-12 district and County Office of Education is transferred to the California Department of Education for disbursement. The remaining AEP funding for community colleges is disbursed by the Chancellor's Office.

Per AB104 legislation, the State Board of Education works with the Chancellor of the California Community Colleges and the Superintendent of Public Instruction in the following areas:

- Dividing the state into adult education regions and shall determine the physical boundaries of each region.
- Approving one adult education consortium in each adult education region.
- Approving, for each consortium, the following:
 - Rules and procedures that adhere to conditions related to consortia membership.
 - Member reporting of available funding.
 - Official member representation requirements.
 - Release of a preliminary allocation schedule and a final allocation schedule by the State.
 - Consortia level decision making procedures
 - Public meeting requirements.

Role of the AEP Office

The AEP Office plays a key role in this joint agency effort between the California Department of Education and the California Community Colleges Chancellor's Office. The focus of the AEP Office is to provide policy guidance to the regional consortia and their members, maintain fiscal accountability, collect & report student data and outcomes, and provide technical assistance.

For program guidance, the AEP Office must work with state agencies (CDE and the Chancellor's Office) to align AEP education code within existing statutory requirements and regulations. This would include updating guidance, releasing policy memos, coordinating with CDE/Chancellor's Office staff, and providing technical assistance and training.

For fiscal accountability, the AEP Office's main responsibility is to ensure that consortia and their members operate within budgeted levels, meet spending targets, and comply with any restrictions or limitations by the legislature. This would also include preparing and monitoring contracts, maintaining the state fiscal system for consortia and member reporting, and working with state level fiscal and accounting staff for appropriation of funds and payment.

For student data reporting, the AEP Office must ensure that all members are reporting student enrollment data, demographics, and outcomes through the designated system. This also includes working with contractors, developing data policy, coordinating with other state agencies to share data, drafting legislative required reports, and providing technical assistance and training to local members.

2. AEP Funding Process

MOE and Consortia Formula Allocation

Each AEP Regional Consortium receives the same allocation for the current year as they did in the prior year. The majority (67%) of the AEP allocation is made up of Maintenance of Effort (MOE) as certified by K-12 and County Offices of Education (COEs). The MOE certification process was based on 12/13 adult education related expenses in the ten adult education program areas as submitted by K-12 districts and COEs. This 12/13 certification was used to form the K-12/COE base for the MOE. The MOE funding amount does not change unless funding is reduced based on the criteria as specified in AB104 legislation (84914 (b)).

The remaining amount of AEP funding (33%) was allocated based on a regional allocation formula. According to the Adult Education Program language, the California Community College Chancellor and the State Superintendent of Public Instruction are charged with determining the statewide need for adult education and the funding allocation of each consortium. More specifically, sections 84911 and 84908 (2) (A)(ii), respectively, address these obligations.

Section 84911 states, "To determine the need for adult education, the chancellor and the Superintendent shall consider, at a minimum, measures related to adult population, employment, immigration, educational attainment, and adult literacy." Additionally, Section 84908 (2) (A)(ii) states that, "The chancellor and the Superintendent shall determine the amount to be allocated to each consortium pursuant to this paragraph based on that adult education region's share of the statewide need for adult education."

Given the above language, key state agencies (the California Department of Education, the State Board of Education, the California Community College Chancellor's Office, and the Department of Finance) met to develop a funding formula for adult education regional consortia. They used various combinations of variables, including minimum funding levels. After thorough analysis of the permutations, it was determined that the variables correlated very closely. Consequently, all variables were equally weighted. In addition, it was determined that the minimum grant award amount was appropriate and reasonable, in that it allows the smaller consortia (which in most instances are rural) to make a larger impact in their respective regions. The list below depicts the variables used to determine adult education consortia funding amounts.

- Educational Attainment (No High School Diploma)
- Employment (Unemployed Adults)
- Adult Population - 18 years and older
- Poverty (Household)
- Adult Literacy (7th Grade Education Level)
- ESL (the ability to speak English)

As mentioned above, each factor was equally weighted. The regional consortia received a percentage of the statewide total that was then translated into a dollar amount. Regional consortia that did not meet the minimum funding level, based on the variable amounts, were provided additional funds to raise them to that level. (See the allocation tables under additional resources section for grant amounts by regional consortia, as well as the list of variables by region.)

Additionally, a variety of census data variables related to adult education students in each region are posted on the AEP Website and are pre-populated into the Regional Consortia Member Allocation forms.

AEP Allocation Process

The AEP Fiscal Allocation process begins in January with the release of the proposed Governor's Budget. Based on the amount in the proposed budget, the AEP Office is required by law to release a preliminary budget by February 28th (Section 84909 (b)). Consortia then have until May 2nd to submit the Consortium Fiscal Administrative Declaration (CFAD), which declares the annual allocation for each member in their consortium.

Typically, the State Budget is enacted on July 1st (but can be delayed if not passed by the legislature). The chancellor and the Superintendent, with the advice of the executive director, shall approve, within 15 days of enactment of the annual Budget Act, a final schedule of allocations to each consortium of any funds appropriated by the Legislature for the program. (Section 84909 (c)).

The chancellor and the Superintendent shall determine the amount to be allocated to each consortium based on the following (Section 84909 (d)):

- (1) The amount of funds apportioned to the members of that consortium in the immediately preceding fiscal year.
- (2) That adult education region's share of the statewide need for adult education.
- (3) That consortium's effectiveness in meeting the educational needs of adults in the adult education region based on available data.

Soon after the enactment of the State Budget, the Board of Governors of the California Community Colleges must approve the annual AEP apportionment at a public meeting. Then, using the final schedule approved pursuant to subdivision (c), the chancellor and the Superintendent shall do one of the following for each consortium (Section 84909 (e)):

(1) Apportion funds to a fund administrator designated by the members of a consortium beginning no more than 30 days after approval of the final schedule of allocations.

(2) Apportion funds to members of a consortium beginning no more than 30 days after receipt of a final distribution schedule from that consortium.

Per California Education Code (EC) Section 84912, funds are apportioned in twelve equal payments to consortium fiscal agents (or if direct funded to each member) on a monthly basis. The first payment consists of the July and August payments. Subsequently, payment are apportioned at the end of each month for September through June 2017 for this same purpose.

Funding Cycle Calendar

January - Release of the proposed Governor's Budget

February – Preliminary Allocation Schedule is released (by 2/28)

May – CFAD is due from the consortia to the AEP Office (by 5/2)

July – Budget Act enactment

July – Release of a final schedule of allocations to each consortium (15 days after the budget enactment).

July - Board of Governors of the California Community Colleges approve the annual AEP apportionment at a public meeting.

August – Apportion funds to members of a consortium (30 days after final schedule of allocations).

September to June – Monthly payments are apportioned in 11 or 12 installments (the first payment usually cover 2 months).

3. Allowable Uses of Adult Education Block Grant Funds

AEP apportionment is a restricted fund source. AEP funds can only be used in the seven program areas as identified by the legislation. (Please note: The AB104 legislation specifically states that Adult Education Program is to serve adults, and an adult is defined as “a person 18 years of age or older”. See section

84901 (a) of the AB104 legislation).

Per *EC* Section 84913, use these funds on only the seven following areas:

1. Elementary and secondary basic skills, including classes required for a high school diploma or high school equivalency certificate;
2. Programs for immigrants eligible for educational services in citizenship, English as a second language, and workforce preparation;
3. Programs for adults, including older adults, for entry or reentry into the workforce;
4. Programs for adults, including older adults, to develop knowledge and skills to assist elementary and secondary school children to succeed academically;
5. Programs for adults with disabilities;
6. Short term career technical educational programs with high employment potential;
7. Programs offering pre-apprenticeship training, in coordination with apprenticeship program(s), as specified.

Note: Consortia may choose which AEP program areas to offer based on regional need, and local capacity.

In order to expend AB104 Adult Education Program funds the following criteria must be followed:

- The community college district, county office, JPA and K-12 district must be a member of a regional consortium.
- The member district must be located within the regional boundaries of the consortia as determined by the Chancellor and the Superintendent, with the advice of the executive director.
- Each regional consortium must have an approved adult education plan (the annual plan template) that addresses the fiscal year in which the funds will be expended.
- Funds may only be expended within the seven program areas as prescribed in the AEP education code (Section 84913).
- Each regional consortium must have an approved 3-year consortia plan that includes any amendments (submitted in Year 1 – 15/16).
- Expenditure of AEP Funds must align with the annual plan as approved by the regional consortium for that specific year.
- All members shall participate in expenditure decisions made by the consortium.
- Consortia and members must follow public meeting requirements as listed in the legislative requirements.

Reasonable & Justifiable

All AEP expenditures must be reasonable and justifiable. “Reasonable” means that expenditures will be made prudently and with every effort to utilize funds efficiently. “Justifiable” means that expenditures are consistent with AEP program goals and activities related to the seven program areas as identified in the AEP Program budget language.

Ultimate Responsibility

Ultimately, AEP regional consortia members (community college district, county office, JPAs and K-12 district) are responsible for allocation decisions. The responsibility cannot be delegated. Members may be audited by the California Department of Audits, the California Department of Education, the Chancellor's Office, or other government agencies with a lawful interest in the expenditure of funds. Expenditures deemed unreasonable and/or unjustifiable will be withheld in future funding distributions or allocations.

Primary Criteria

All allowable costs must meet three primary criteria:

- 1) Substantiate that the cost was necessary and reasonable for proper and effective administration of the allocations.
- 2) The cost must be allocable to the funding source activities.
- 3) The cost must not be a general expense required to carry out the consortia member's overall responsibilities (i.e. not supplanting).

However, even if the costs meet the prior three criteria, the costs must be approved within the 3-year consortia plan and the annual plan template of the regional consortia as agreed upon by its membership. Otherwise, they are not allowable within that year. In addition, the State has the discretion to impose special conditions beyond the funding source that would also determine allowability of cost.

Questions & Answers

While the proposed cost is allowable under the funding source is it also reasonable?

Reasonable is defined by the dictionary as: agreeable to sound judgment, not exceeding the limit prescribed by reason (not excessive), moderate in price, and a rational decision. Systems that can guide this definition are: necessary for the

performance of the consortium; following sound business practices (procurement processes, follow state and local laws, follow the terms of the grant); use of fair market prices; acting with prudence under the circumstances; and having no significant deviation from established prices.

Note: “reasonable” means that expenditures will be made prudently and with every effort to utilize funds efficiently.

What are the guidelines of Allocable?

Allocable is defined by the dictionary as: capable of being allocated or assigned. A cost is considered allocable to a particular funding source/program to the extent it actually benefits the objectives of that program. You can only charge in proportion to the value received by the funding source/program. An example would be that a project director works 80% on the funded program (only 80% of the salary and benefits can be charged to AEP funding). Above and beyond this definition allocable also means that the cost must be related to the 3-year consortia plan and the annual plan template of the regional consortia that have been approved by the AEP Office. Agencies must be able to document prorated allocated costs against the Adult Education Block Grant Program.

Can funds be used as matching funds for other grants?

If the grant for which AEP funds are being considered as matching funds is a continuing grant, meaning it was a grant the district had in the prior year then the AEP must not replace any funds previously used to meet the match requirement. This would be supplanting and not result in increased services. But if the AEP funds are used to increase the matching funds, possibly resulting in more grant funds, then it is an appropriate use of AEP funds. Keep in mind that AEP funds are restricted funds and must be spent in the seven program areas as identified by the AB104 budget language. Some matching grants prohibit the use of restricted funds.

4. Leveraging AEP Funds

Not a Grant

According to the 17-18 Proposed Governor’s Budget, AEP is described as follows: “This program coordinates representatives from local educational agencies, community colleges, and other regional education, workforce, and industry partners to promote the educational opportunities offered to students and adult learners. Through this program, students and adult learners can access courses to complete their high school diplomas or general education equivalent, English as a Second Language courses, and pathways courses that lead to additional career opportunities. The Budget includes \$500 million ongoing Proposition 98

General Fund to support the Adult Education Block Grant Program”.

By referencing “ongoing Proposition 98 General Fund to support the AEP Program”, it clarifies the confusion that AEP was not a permanent, ongoing fund source. AEP is state apportionment, it is ongoing, and can be used in future years to hire permanent staff, teachers and faculty.

In the 18-19 Budget Act, the Adult Education Block Grant Program was changed to reflect that these funds are apportionment, not a block grant. The new program name beginning July 1, 2019 is the Adult Education Program.

Legislative Support

In addition, AEP legislation encourages the leveraging and braiding of other state and federal funding sources as stated in education code Section 84905 (b).

84905. The chancellor and the Superintendent, with the advice of the executive director, shall approve, for each consortium, rules and procedures that adhere to all of the following conditions: (b) As a condition of joining a consortium, a member shall commit to reporting any funds available to that member for the purposes of education and workforce services for adults and the uses of those funds.

AEP legislation goes on further to list the state and federal fund sources that are required to being a member of a consortium Section 84916.

84916. In order to maximize the benefits derived from public funds provided for the purpose of addressing the educational needs of adults and to ensure the efficient and coordinated use of resources, it is the intent and expectation of the Legislature that any community college district, school district, or county office of education, or any joint powers authority consisting of community college districts, school districts, county offices of education, or a combination of these, located within the boundaries of the adult education region shall be a member of a consortium pursuant to this article if it receives funds from any of the following programs or allocations:

- (a) The Adults in Correctional Facilities program.
- (b) The federal Adult Education and Family Literacy Act (Title II of the federal Workforce Innovation and Opportunity Act).
- (c) The federal Carl D. Perkins Career and Technical Education Act (Public Law 109-270).
- (d) Local Control Funding Formula apportionments received for students who are 19 years of age or older.
- (e) Community college apportionments received for providing instruction in courses in the areas listed in subdivision (a) of Section 84913.
- (f) State funds for remedial education and job training services for participants in the CalWORKs program

Note: AEP funds cannot be used to create an 18-22 year old certificate program for Special education students since service of those students by LEAs has been expected for years and districts only had LCFF money.

No Longer “Touched by AEP”

For reporting purpose, AEP is tracking students by program area, rather than fund source. The practice of tracking students that were impacted by AEP funding was difficult to qualify. With new program definitions, students are now tracked by program area regardless of fund source, which encourages the leveraging and braiding of multiple fund sources. The new program definitions are as follows:

For reporting purposes, adult education includes all people receiving support services from AEP consortium members or enrolled in K12 adult education or **noncredit community college coursework** in the program areas listed in AB104: elementary and secondary basic skills, English as a second language, short-term career and technical education, entry/re-entry into the workforce, pre-apprenticeship, adults with disabilities, and adults training to support child school success.

5. Program Fees

Current fee policy for AEP is identified in CDE’s Management Bulletin Management Bulletin AEFLA-02-2013 (for K-12 district and County Office of Education), and the Community College Student Fee Handbook (for community college districts). In addition, community college community education fee based programs (community education and contract education) cannot be co-mingled, leveraged or braided with AEP funds. Title V regulations, and education code prevent community college fee based programs to be combined with any state apportioned program (like AEP). However, these programs can work with regional consortium for student referrals to meet regional needs.

Effective July 1, 2018, please reference the AEP fees policy on the AEP website. The policy states that no tuition may be charged or collected in the following AEP program areas by either community colleges or K12 adult schools (ABE, ASE, ESL, AWD, and K-12 Success). There is a K-12 Adult School exception for CTE – but please go to the website and review the policy.

6. Travel

Only travel necessary for the project is allowed. Travel costs are the expenses for transportation, lodging, subsistence, and related items incurred by employees who

are in travel status on official business for the grant. Such costs will be based on the fiscal agent's per diem rates. These costs shall be considered reasonable and allowable only to the extent such costs do not exceed charges normally allowed by the institution in its regular operations as the result of the institution's written travel policy.

Out of State Travel: Effective July 1, 2018, it is no longer necessary to obtain the State AEP/AEP Office approval for out of state travel. Consortia are required to approve their members out of state travel requests. This can be accomplished through the submission and certification of the annual program budget and work plan in NOVA, or can be put on the agenda for approval at a public meeting. As a best practice for consortia, members should explain how the approved travelers and the consortium would disseminate the information to other member's administrators, staff, faculty, and teachers when they return.

Out of Country Travel: The AEP Office has determined that Out-of-Country travel will not be an allowed via this funding source.

Travel to Conferences – In State: AEP TAP will work with the adult education professional agencies: ACCE, ASCA, CCAE, CCCAOE, etc. to obtain a list of AEP attendees. This will allow AEP TAP to find out what professional development is taking place around the state, and follow up after the event on coordinated professional development offerings.

7. Consortia/Member Effectiveness

Adult Education Block Grant (now Adult Education Program) Measures of Effectiveness responds to AB104, Section 84920. This section requires the Chancellor and the State Superintendent of Public Instruction identify, no later than January 1, 2016, the measures for assessing the effectiveness of consortia that will be used in the report that, pursuant to Section 84917, is to be submitted by September 30, 2016. These measures shall include, but are not necessarily limited to:

- (1) How many adults are served by members of the consortium
- (2) How many adults served by members of the consortium have demonstrated the following:
 - (A) Improved literacy skills
 - (B) Completion of high school diplomas or their recognized equivalents

- (C) Completion of postsecondary certificates, degrees, or training programs
- (D) Placement into jobs
- (E) Improved wages

Consortium Effectiveness

For the purposes of evaluating consortium effectiveness for AEP funding year, the CDE and CCCCO have established the following indicators of compliance:

Evaluation:

- Consortia have evaluated members to identify that the services provided meet the needs identified in the adult education plan.
- Consortia submitted an annual plan that includes program strategies for the upcoming program year based upon regional need, funding, and capacity.

Funding:

- AEP funds are expended within the seven AEP program areas, and are consistent with each consortia' adult education regional plan.
- Consortium expenditures must align with the objectives of the consortium's annual plan as approved by the regional consortium board.

Governance and Collaboration:

- Consortia have identified a governance structure for decision-making.
- Consortium governance plans, by-laws, and AEP requirements are followed for decision making and public meetings.

Membership:

- Consortia invited all eligible members in the region to participate in the AEP initiative.
- All members are located within the regional boundaries of designated consortium.

Planning:

- Consortia have submitted the required Annual Plan Template.
- Consortia have approved and submitted the 3-year plan that may include amendments.
- Consortium members have shared information on related programs that are offered and the resources being used to support these programs.
- Consortia participated in statewide leadership activities (AEP Summit, AEP Director's Conference).

Reporting:

- Consortia will report student level enrollment data and outcomes for quarterly and final reporting.
- Consortia will submit financial expenditure and progress reports.

Member Effectiveness

In addition to consortium effectiveness, the CDE and CCCCCO have identified the following to indicate member effectiveness:

- Each member must participate in completing and updating the Annual Plan Template.
- AEP member funds must be expended within the seven program areas, and services provided must be consistent with the plan.
- Each member must participate in completing and updating the 3-year Consortia Plan, including any amendments.
- Member expenditures of AEP funds must align with the objectives of the consortium's annual plan as approved by the regional consortium board.
- Members participate in consortium/public meetings.
- Members participate in consortium final decisions.
- Members report student level enrollment data and outcomes for quarterly and final reporting.
- Members must share information on programs offered, and the resources being used to support the programs.
- Members provide services that address the needs identified in the adult education plan.
- Members file financial expenditure and progress reports with the regional consortium and input financial data in the state reporting system.

In addition to the consortia and member effectiveness above, please check Section 5 of the AEP Program Guidance for all the AEP member requirements.

Annual Plan General Assurances

Consortia and their members must agree to adhere to the general assurances listed as part of the annual planning process. For the purposes of evaluating Consortia and Consortium Member effectiveness, the California Department of Education and California Community College Chancellor's Office establish annual indicators of compliance. Failure to meet the requirements listed in the 2017-18 AEP General Assurances Document may result in a determination of non-compliance and lead to partial or complete loss of Consortium and/or Member funding. (See annual plan general assurances). Please note that all the items listed above for consortia and member effectiveness are also covered in the AEP General Assurances Document.

Reduction of Member's Funding

The amount of funds to be distributed to a member of that consortium shall be equal to or greater than the amount distributed in the prior fiscal year, unless the consortium makes at least one of the following findings related to the member for which the distribution would be reduced:

- (A) The member no longer wishes to provide services consistent with the adult education plan.
- (B) The member cannot provide services that address the needs identified in the adult education plan.
- (C) The member has been consistently ineffective in providing services that address the needs identified in the adult education plan and reasonable interventions have not resulted in improvements.

(a-b) If a member no longer wishes to provide services or cannot provide services, if possible, reallocate their funds to other members in the consortium. The consortium membership should amend planning documentation to ensure services are being covered in the region (as a result of a member that no longer wishes to provide services or cannot provide services). The consortium must also notify the AEP Office and update the CFAD allocation schedule for the upcoming program year.

(c) If a consortium decides that a member has been consistently ineffective in providing services that address the needs identified in the adult education plan, and is not following the member requirements as listed in the AEP Program Guidance Section 5, and the Annual Plan General Assurances, the consortium must take the following steps:

- 1, Document the member's ineffectiveness (what requirements are they not meeting, etc.)
2. Notify the member that they are being monitored for effectiveness and their funds could be reduced as a result.
3. Notify AEP TAP for technical assistance for the member.
4. Provide the information in #1-#3 to the AEP Office.
5. Work with AEP TAP and the AEP Office to determine if reasonable interventions have not resulted in improvements.
6. If no improvements after steps #1-4, reduce the member's funding and update the CFAD allocation schedule for 17-18. Copy the AEP Office on all correspondence related to member funding reduction.

8. Capital Outlay

Any capital outlay (including building improvements, rental space, leases, construction, etc.) will also be closely scrutinized. It will require that you notify the AEP Office of your consortium's (including any member in that consortium) intent. This is an informational e-mail only. The AEP Office reserves the right to ask questions regarding any purchase and can prohibit any activity that it deems not meeting the reasonable and justifiable criteria.

The member must follow all state & local policies and procedures related to capital outlay. This would include district facilities approval, following procurement processes, and notification of state agency facility departments.

9. Consortium Administration Function

Fiscal Agent or Direct Funding

Consortia have multiple options (direct funding or fund administrator) when choosing who will be responsible for receiving AEP funding from the State. If a member is chosen to be the fund administrator, the member shall commit to developing a process to apportion funds to each member of the consortium pursuant to the consortium's adult education plan within 45 days of receiving funds appropriated for the program. This process shall not require a consortium member to be funded on a reimbursement basis. The pass through mandate follows the instructions from the State's Fiscal Services Division (CDE and CCCCCO). See sections #11 and #12 of this guidance document for more detailed instructions on how the pass through is recorded, and not treated as revenue.

Regardless of whether you choose a fiscal agent or a direct funded structure, consortium must use their administrative funding to ensure that member fiscal information (budget, expenses, etc.) is valid, and tied to the effectiveness of the consortium plans (3 year & annual).

Consortium Administrative Oversight

Consortium Oversight consists of an assessment of each member.

1. Assessment of the member's ability to meet the AEP requirements.
2. Review general assurances (basic member requirements) signed off by each member as part of the annual plan process.
3. Review bylaws, charters, and governance for additional member requirements.

Consortium Oversight consists of an evaluation of each member.

Using the 3-year plan, annual plan, AEP student data, and other resources available— evaluate the following:

1. Evaluation of program needs as identified to meet the needs of the community (needs based)
2. Evaluation of current levels & types of services (enrollment, outcomes)
3. Evaluation of funds provided to members (cost effective)
4. Evaluation of member effectiveness (overall effectiveness)

Each consortium must determine what structure they will use to manage their AEP funding and program activities. Using the State's program guidance, consortia can use multiple leads (co-chairs), a coordinate, point person, lead, and/or director. This decision is made by the consortia membership. Advice on how to reimburse for the consortium related activities for this position can be in consultation with the consortium fund administrator and/or district accounting representatives. Consortium level budgets and expenses must be agreed to by the consortium membership.

Section 84913 limits a consortium on how much they can spend on the administration of the AEP program.

Section 84913 (b) A consortium may use no more than 5 percent of funds allocated in a given fiscal year for the sum of the following:

- (1) The costs of administration of these programs.
- (2) The costs of the consortium.

The administrative limit of 5 percent is calculate on the consortia total allocation for the program year. If agreed upon by members, it can be lower than 5 percent, but not above. Administrative activities are defined as fiscal in nature, and should not include programmatic activities. In some cases, a consortium budget may contain funds for program related activities, and funds for fiscal or administrative activities.

Note: Project leads/co-chairs voting privileges for consortia decisions are not

guaranteed and are to be determined by consortia membership.

Listed below are example of programmatic and fiscal related activities.

Examples of consortium project lead/co-chairs activities

Programmatic Activities

- Provide coordination leadership in consortia.
- Formalize the open meeting requirement to make sure decisions are approved using the agreed upon governance rules.
- Draft and merge planning narrative/information from members.
- Submit planning and student level data deliverables to the State demonstrating consortium agreement (member sign off).
- Set up, organize, manage, and facilitate consortia related meetings (at various levels). Include travel, events, agendas, and preparation of reports/minutes.
- Submit program related information, best practices, and program progress reports to the State. Including developing marketing material for regional or State use.
- Facilitate relationships with members and partners.
- Assist in the implementation of planning strategies.
- Develop milestones and timelines: tracking goals, outcomes, and other deliverables.
- Respond to State inquires and requests (acting as the region's liaison to the State).

Fiscal or Administrative Activities

- Develop consortium and member budgets based on AEP planning.
- Documenting member and consortium activities as it relates to AEP funding.
- Reviewing each member's budget & expenditures for State reporting.
- Administering a review process of financial budget & expenses to AEP planning (3-year plans & annual plans).
- Preparing and setting up fiscal / administrative oversight related meetings.
- Working with members to submit budget & expenditures reports.
- Coordinating the completion of the CFAD documentation.
- Coordination and tracking of consortium & member spending.
- Hiring of consortium level staffing.
- Preparing the payroll for consortium level staffing.
- Purchasing any consortium level items.
- Coordinating budgets in collaboration with consortium members, district administrators, and accounting staff.

10. Indirect Rate for Members

Effective July 1, 2018, Section 84913 of the Education Code is amended to read: For purposes of this paragraph. "indirect costs" means either of the following: (i) For consortium members that are school districts and county offices of education, the lesser of the member's prior year indirect cost rate, as approved by the department, or no more than five percent of the total funding received from the program. (ii) For community college consortium members. the lesser of the member's prior year negotiated indirect cost rate or no more than five percent of the total funding received from the program.

Per the legislative trailer amended under EC 84913, K-12 districts and COEs may use their CDE approved indirect cost rate for any AEP/AEP apportioned funding or 5% whichever is less. The CDE approved indirect cost rate varies by district and is not a set amount. Please check the CDE Indirect Rate website for each school year, at the link shown below.

<http://www.cde.ca.gov/fg/ac/ic/>

Community College Districts (CCDs) may use up to either their approved indirect cost rate as directed in Code of Federal Regulations (CFR) 200.414 up to the development *minimus* amount as allowed in the CFR or 5% whichever is less.

<https://www.gpo.gov/fdsys/granule/CFR-2014-title2-vol1/CFR-2014-title2-vol1-sec200-414>

11. Forty-Five Day Trailer Bill Rule / Pass Through

45 Day Trailer Bill

The members of the consortium may decide to designate a member to serve as the fund administrator to receive and distribute funds from the program. If a member is chosen to be the fund administrator, the member shall commit to developing a process to apportion funds to each member of the consortium pursuant to the consortium's adult education plan within 45 days of receiving funds appropriated for the program. This process shall not require a consortium member to be funded on a reimbursement basis.

Passing Funds Through to Members

As consortia and their members have implemented the 45-day receipt of funds requirement, tracking the pass through of funds to members in the AEP financial system has been difficult. Beginning in program year 17-18, consortium will no longer track the pass through of AEP funds disbursed in 16-17 and 17-18 in the existing AEP financial system. In the fall of 2017, a new AEP fiscal reporting system was rolled out (NOVA) requiring all members to report their allocations, budgets, and expenditures.

The pass through of funds is not required to be reported in this system.

12. Recording of AEP funds in financial systems

To record AEP funds, please follow your state & local financial system guidelines. This would be in addition to any local district policies and procedures that are in place.

As noted in recent trailer bill language introduced for program year 17/18, AEP Program funds received by a participating school district are to be deposited in a separate fund of the school district to be known as the Adult Education Fund and would require moneys in the Adult Education Fund to be expended only for adult education purposes.

K-12 and COEs must adhere to the following reporting requirements:

- All Adult Education Program revenue should be recorded in Fund 11, Adult Education Fund, using Resource 6391, Adult Education Program. Fund 11 is the only fund valid in combination with Resource 6391.
- LEAs that continue to formally commit LCFF revenue to the purposes of adult education should use Object 8091, LCFF Revenue Transfers, to transfer the committed LCFF revenue from their general fund to Fund 11.
- There are no statutory provisions preventing an LEA from carrying over funds, however, a consortium may change the amount of adult education funds available in future years based on actual prior fiscal year spending (see Reduction in Funding / Member Ineffectiveness).
- LEAs will use the same resource code for MOE and non-MOE funding.

K-12 and COE Consortia Fund Administrators

LEAs who are the fund administrator for an adult education consortium and receive Adult Education Program revenue on behalf of their member LEAs should use:

- § **Resource 6391**, Adult Education Program and,
- § Either **Object 8587**, Pass-Through Revenues from State Sources (for the pass-through grant model), or **Object 8590**, All Other State Revenue (for the

subagreement for services model), to account for the revenue that will be provided to their member LEAs.

K-12 and COE Consortia Members (Subrecipients)

LEAs who are the members in an adult education consortium and receive Adult Education Program revenue from their consortia’s fund administrator (not directly from the state) should use:

- § **Resource 6391**, Adult Education Block Grant Program and,
- § Either **Object 8590**, All Other State Revenue (for the pass-through grant model), or **Object 8677**, Interagency Services Between LEAs (for the subagreement for services model), to account for the AEP revenue.

K-12 and COE (LEAs) that receive AEP directly from the state

Use Resource 6391, Adult Education Program, and Object 8590, All Other State Revenue.

Adult Education Program (AEP) SACS Coding Examples

Pass-through grant model accounting examples:

Original Recipient	Subrecipient
<i>Receipt of AEP revenue to be passed through: 11-6391-0-0000-0000-8587</i>	N/A
<i>Pass-through of state revenue: 11-6391-0-0000-9200-7211, 2, 3</i>	<i>Receipt of passed-through AEP revenue: 11-6391-0-0000-0000-8590</i>
N/A	<i>Expenditure of AEP funds: 11-6391-0-XXXX-XXXX-XXXX</i>

Subagreements for services model accounting examples:

Original Recipient	Subrecipient
<i>Receipt of AEP revenue: 11-6391-0-0000-0000-8590</i>	N/A
<i>Payment to subrecipient for subagreement services: 11-6391-0-4XXX-XXXX-5100</i>	<i>Receipt of payment for subagreement services: 11-6391-0-7110-0000-8677</i>
N/A	<i>Expenditures for subagreement services: 11-6391-0-7110-XXXX-XXXX</i>

For further information on whether to use the pass-through grant model or the subagreement for services model when accounting for this grant, LEAs should consult the *California School Accounting Manual (CSAM) Procedure 750*. Additional guidance can be found in *CSAM Procedure 330* under the definition for Object Code 5100, Subagreements for Services.

Community College Districts must adhere to the following reporting requirements:

The following requirements addresses the appropriate accounting for community college districts receiving AEP funds either as a fiscal agent, as a participant/provider, or both. The treatment of funds received as the fiscal agent for disbursement to other participants is different than for funds received by the district for the direct costs of providing adult education services.

Fiscal Agent

Fiscal Agent Funds received from the State under a fiscal agent agreement that are then disbursed within 45 days to other adult education providers should be recorded in the restricted General Fund as 8900 "Other Financing Sources" using revenue object code 8970 "Fiscal Agent Pass Through". Disbursements should be coded to "Other Outgo-Other Transfers" using expenditure object code 7400 "Other Transfers", excluding indirect cost recovery. Under AEP, districts have no fiduciary requirement regarding the use of the funds by the other participants. The only obligation of the fiscal agent is to disburse within 45 days.

Participant/Provider

If a portion of the funds received as a fiscal agent are for the district's own adult education program, then those funds should be recorded initially as described above. A transfer (other outgo) will be recorded to the fiscal agent funds for the district's share. The district will recognize its share of the funds in the restricted General Fund using revenue object code 8620 "General Categorical Programs". Expenditures should be recorded in expenditure object codes 1000-6000 as appropriate. Likewise, if the district is not the fiscal agent and is receiving AEP funds, those funds should be recorded to the restricted General Fund using revenue object code 8620 "General Categorical Programs" and expenditure object codes 1000- 6000 as appropriate.

13. Fiscal Reporting – AEP funds to the State

NOVA for AEP Summary

1. CFAD

The Consortium Fiscal Administrative Declaration (CFAD) is based on the AEP preliminary allocations released by February 28th of each year. The preliminary allocations are derived from the Governor's Budget, which is usually released during the first week of January. The CFAD captures member allocations for each consortium as well as the consortium's chosen disbursement method. The consortium primary contact submits the CFAD into NOVA. Once the CFAD is submitted, the member representative for each member agency is required to review and approve, upon which the CFAD's status is displayed as Consortium Approved. The CFAD must be Consortium Approved by May 2 of each year.

The CFAD consists of four main components, which include the Fiscal Declaration, Agencies & Certifiers, Member Allocations, and the Preview sections.

The Fiscal Declaration section requires that your consortium select a disbursement method for that year (e.g., direct funded or fiscal agent). In addition, this section includes a requirement to explain the rationale behind any changes that occurred such as disbursement method or allocation changes.

2. Annual Plan

The annual plan is based on the 3-year plan. The annual plan is due by August 15th of each year. The annual plan includes an executive summary and AEP objectives along with specific strategies that members will be following for the upcoming fiscal year (July 1st to June 30th). Consortia leads will complete the annual plan in NOVA with online approvals by member agencies.

3. AEP Member Workplan & Budget

Based on the annual plan strategies (submitted by August 15th) and the CFAD (submitted by May 2nd), each member creates a budget for the new fiscal year (July 1 to June 30) showing by object code how they plan to spend all active funding in that 12 month period. Active funding includes all carry-over and new funding combined into one budget. Along with the budget, a work plan is also required. The member work plan aligns with the strategies of the annual plan. Members will check off which strategies from the annual plan they are covering with their 12-month budget. The member agency submits/approves the budget & work plan in NOVA, followed by a

consortium level certification.

Period	Process
January	Governor Releases Budget
February	AEP Preliminary Allocations Released
May	CFAD is due
August	Annual Plan is due
September	Member Work Plans & Budgets are due
October	Consortium certifies member budget & work plans

4. Allocation Amendment

The AEP allocation amendment process allows consortia and members to change allocations outside of the CFAD process. Allocation amendments can occur throughout the year, but should be recorded in NOVA prior to the submission of the following expenditure report. Allocation amendments must approval from all of the member agencies, even those agencies not directly affected by the changes. Consortia that utilize the direct funded disbursement method will need to work at the local level to transfer funds between member agencies.

5. Budget Changes

Budget modifications must be submitted in NOVA prior to the submission of the quarterly expenditure report. In order to submit a budget revision, the consortium primary contact must un-certify the budget in order to allow changes to be made. The member representative enters their changes and re-submits the budget, upon which the consortium primary contact will need to certify.

6. Expense Reporting

Expenditures cannot be reported with a negative balance in any of the object codes.

7. Target Spending

Targets are based on the current active funding for the 12-month period (July 1st to June 30th), which includes all active carry-over funds and any new funds. The member fiscal year or 12-month budget in NOVA reflects all active funding. Failure to meet targets will result in a corrective action plan. The State AEP Office will review all corrective action plans and schedule targeted technical assistance as necessary via AEP TAP.

8. Reporting Deadlines

If the above reporting due date falls on a weekend or a holiday, the report shall be due by close of business on the last working day prior to the reporting deadline.

Members or consortia that fail to meet due dates or submits incomplete reports will be scheduled for targeted technical assistance through AEP TAP.

AEP Quarterly Reporting Deadlines and Rules

Quarter Ending	Expense and Progress Report Due Dates	Spending Targets
First Quarter September 30	Member Due Date: December 1st Consortia Due Date: December 31	15%
Second Quarter December 31	Member Due Date: March 1 Consortium Due Date: March 31	30%
Third Quarter March 31	Member Due Date: June 1 Consortium Due Date: June 30	45%
Fourth Quarter June 30	Member Due Date: September 1 Consortium Due Date: September 30	60%

14. Examples of Expenses Allowed

Example of Allowed Expenditures Listed by Objective

Sample expenditures listed by objective include, but are not limited to the following:

Objective #3: Activities for consortium members and partners to integrate existing programs and create seamless transitions into postsecondary education or the workforce.

The consortium will align and connect existing and future adult education programs

to postsecondary academic pathways and/or career pathways leading to employment. Consortia should address alignment of placement tools, curriculum, assessment tools and rubrics, and student performance outcomes across delivery systems to ensure that student transition paths, both between providers and into postsecondary credit programs, are understood and supported across all systems.

Examples of allowable expenditures:

- * Program coordination and staff/instructor time
- * Staff/instructor stipends
- * Program and curriculum planning and development
- * Student assessment
- * Articulation
- * Instructional materials and equipment
- * Supplemental instruction and tutoring
- * Counseling, Advising, and other student education planning services
- * Publication and Outreach Material
- * Office supplies
- * Meeting supplies
- * In State Travel
- * Computer Hardware or Software Equipment
- * Assessment for Placement Services
- * Follow-up and Orientation Services
- * Research and contractual services

Objective #4: Activities to address the gaps identified pursuant to the evaluation of regional needs and the evaluation of current levels and types of adult education programs.

Describes the consortium response to the gaps identified in the region. These might include, but are not limited to, working with other partners in the service area, developing or expanding programs and plans to assess the effectiveness of these expanded efforts.

Activities identify programming and service gaps including lack of providers, services, access, attainment, and/or performance. Activities also include strategies to incrementally increase capacity in identified gap areas (e.g., using distance learning to reach adult populations in a consortium's region who are currently underserved).

The AB86 approved 3 year consortia plan includes the resources needed to carry out those strategies, the costs involved, the consortium participants responsible for implementing the identified strategies, the methods for assessing the progress made toward implementing the identified strategies, and a timeline for accomplishing the various implementation steps.

Examples of allowable expenditures:

- * Staff/instructor time for developing new classes/programs
- * Program coordination and staff/instructor time
- * Staff/instructor stipends
- * Space Use Agreements
- * Classroom reconfiguration
- * Classroom furniture
- * New program and curriculum planning and development
- * Instructional materials and equipment
- * Supplemental instruction and tutoring
- * Counseling, Advising, and other student education planning services
- * Publication and Outreach Material
- * Office supplies
- * Meeting supplies
- * In State Travel
- * Computer Hardware or Software Equipment
- * Follow-up and Orientation Services
- * Research and contractual services

Objective #5: Activities to employ approaches proven to accelerate a student's progress toward his or her academic or career goals, such as contextualized basic skills and career technical education, and other joint programming strategies between adult education and career technical education.

Examples of allowable expenditures:

- * Program coordination and staff/instructor time
- * Staff/instructor stipends
- * Program and curriculum planning and development
- * Articulation
- * Instructional materials and equipment
- * Supplemental instruction and tutoring
- * Counseling, Advising, and other student education planning services
- * Publication and Outreach Material
- * Office supplies
- * Meeting supplies
- * In State Travel
- * Computer Hardware or Software Equipment
- * Follow-up and Orientation Services
- * Research and contractual services

Objective #6: Activities to collaborate in the provision of ongoing professional development opportunities for faculty and other staff to help them achieve greater program integration and improve student outcomes.

Examples of allowable expenditures:

- * Program coordination and staff/instructor time

- * Staff/instructor stipends
- * Professional Development
- * Publication and Outreach Material
- * Office supplies
- * Meeting supplies
- * In State Travel and Out of State Travel
- * Research and contractual services

Objective #7: Activities to leverage existing regional structures, including, but not limited to, local workforce investment areas.

Describes how the consortium will leverage existing assets or structures to benefit the adult learners in the region. These assets or structures might include, for example, contributions from or collaborations with existing members, Local Workforce Investment Boards (WIBs), industry employer groups, chambers of commerce, and county libraries.

Examples of allowable expenditures:

- * Program coordination and staff/instructor time
- * Staff/instructor stipends
- * Space Use Agreements
- * Meeting supplies
- * In State Travel
- * Research and contractual services

Examples of Allowable Expenditures by AB104 Objective of Expenditure Reporting Categories

1000: Instructional Salaries, Supervisor’s Salaries, Counselor’s Salaries, and Project Coordinator / Director’s

Salaries. Examples:

Program Director/Coordinator, Instructors, Teachers, Faculty, and Staff - AEP director/coordinator who has direct responsibility for coordinating the program services, developing and monitoring the program plan and budget, reviewing data submissions to ensure accuracy and completing required program reports. Staff who work directly in the program, all positions -- classified, faculty or administrative -- must directly support program services, as reflected in job descriptions and included in the AEP 3 year Consortium Plan and Annual Plan. The member/consortium must be able to document staff time charged to the program. Costs may include salaries or wages and employee benefits.

Costs must be prorated for employees who are assigned to AEP on a part-time basis.

2000: Non Instructional Salaries: Classified Staff (non-instructional) Salaries, and Instructional Aides Salaries.

Examples:

Counseling, Advising, and Other Student Education Planning Services – AEP members may use funds to pay for counseling, advising, and other education planning services provided to students. This may include salary and benefit costs of staff who provide these services, costs related to the provision of workshops, group counseling or advising sessions, online advising, etc.

Orientation Services - Development and delivery of orientation services: this may include staff and materials costs to deliver group orientations, workshops, development of online orientation resources, etc.

3000: Employee Benefits.

4000: Supplies & Material - books, supplies for the adult education program (office), outreach, and recruitment materials.

Examples:

Publications and Outreach Materials - Reasonable costs to develop and produce materials to promote AEP services and activities. Examples include materials for orientation and assessment workshops, guides for creating an education plan, brochures about supportive services, etc.

Food and Beverages - funds can be used to provide food or non-alcoholic beverages for students or staff, provided that there is no local board policy prohibiting these costs. Food and beverage costs must be for activities or functions consistent with the objectives of the AEP 3 year Consortia Plan and the Annual Plan. Funds cannot be used to pay for general activities such as open houses or other events not directly related to AEP.

5000: Other Operating Expenses and Services – AEP related conferences and travel expenses, meeting supplies for AEP related activities, consultants, subcontractors, speaker fees at AEP workshops, and leases for AEP related space and equipment.

6000: Capital Outlay & Equipment - computer hardware/software/printer, space use agreements.

Examples:

Computer Hardware and Software and Equipment - Members may use program funds to purchase computer hardware, software, and equipment to assist in the delivery of AEP services if the purchases are included in the AEP Annual Plan.

These could include education planning software. Equipment purchased by the program that is no longer needed or is being replaced cannot be donated to another non-AEP program. District policies regarding the use and disposal of surplus equipment must be followed.

Follow-Up Services – AEP members may use program funds to pay for communication or early alert systems designed to notify students of their academic standing or intervention services that may include related workshops targeting students on probation or facing dismissal.

Assessment for Placement Services - Purchase of assessment tests and the implementation of multiple measures used for course placement, career assessments, assessment center staff, test proctors, communication to students, practice tests, etc. This may include evaluators or other staff who collect and review of multiple measures data, such as transcripts from other schools, military service and work experience, and specialized certificates and licenses.

Examples of Allowable Expenses by AEP Types of Activities

Program and curriculum planning and development: Development of an AEP tutoring program. Development of an AEP curriculum planning guide. Development of an AEP drop in peer help center. Development of online distance education courses for AEP students. Curriculum development for AEP courses, including new courses.

Student assessment: Purchase of computers and equipment such as scanners, to assess AEP student abilities. Purchase of software and licenses for assessment. Salary of non-instructor hired to administer AEP assessment tests. Development and implementation of assessment intervention programs. Research and development methods for assessment preparation.

Advisement and counseling services: Salary of AEP advisor or counselor. Salary of AEP mentor. Purchase of supplies to create AEP announcements. Creation and maintenance of a website devoted solely to AEP. Cost of an AEP email list that delivers adult education information to adult education students. Direct advising and counseling services for adult education students. Embedded

counseling in adult education courses. Counseling and advising in support of adult education courses.

Supplemental instruction and tutoring: Purchase of a web-based interactive program of supplemental instruction for AEP. Purchase of training videos, or online training videos, or similar that supplement AEP instruction. Direct tutoring to adult education students in AEP areas. Supplemental instruction for AEP students. Salary of teaching assistants assisting AEP instructors.

Articulation: Cost of studies that evaluate applicable English and mathematics courses, to identify important points of instruction to include in AEP course curriculum. Support for AEP faculty/teachers to attend or host meetings and discussions on course alignments and student preparation as these pertain to AEP courses. Stipends for meetings, portfolio sharing, and discussions on course alignment and curriculum.

Instructional materials and equipment: Purchase of learning materials and equipment that support AEP students. The costs for safe storage of AEP supplies, equipment, instructional materials, and similar. Purchase of textbooks and learning materials used in AEP courses. Purchase of AEP instructional software. All learning materials and equipment that support AEP courses and students. Purchase of computers to assess AEP abilities. Purchase of supplies to create AEP announcements. Creation and maintenance of a website devoted solely to AEP. Cost of materials distribution across a variety of media, to AEP students. Purchase of a web-based interactive program of supplemental instruction for AEP courses. Purchase of training videos that supplement AEP instruction.

Coordination: Salary of AEP coordinator, or assistants, or project leads for hours of service provided, not to supplant a teaching salary. Cost of seminars to raise AEP awareness among faculty. Cost of a consultant providing services to create, coordinate, and implement AEP programs.

Research: Purchase of electronic support equipment, hardware and/or software for in-class use by AEP students, used to capture data. Salary of qualified researcher hired to quantitatively assess AEP student data against outcomes of success. Cost of creating a safe storage process for AEP research data. Expanded bandwidth of research capabilities and services related to AEP data systems and queries.

Professional development: Travel to events whose training will directly benefit AEP students, will enhance AEP instructor capabilities, or both. Replication of AEP related training, provided by attendees who return to their schools to share this knowledge with their peers. Cost of seminars to raise AEP awareness among

faculty/teachers. Cost of an AEP professionals/consultants providing services to create, coordinate, implement, and improve AEP programs. Workshop, conferences, and seminars attendance directly related to AEP programs and students. Support for learning communities for professional development for faculty/teachers to learn AEP best practices.

15. Examples of Expenses Not Allowed

Example of Expenses Not Allowed or that Need Prior Approval (specific to AEP) include, but are not limited to:

1. Other Staff Salaries and Benefits

Program funds cannot be used to pay for any staff that does not directly support the AEP services described in the consortium's approved plan.

2. Political or Professional Dues, Memberships, or Contributions

Funds cannot be used for these activities, unless professional membership is an institutional requirement. Business, technical and professional organization or periodical memberships are allowed. Civic or community, or country club or social or dining club memberships are not allowed.

3. Unrelated Travel Costs

Program funds may not be used for the cost of travel not directly related to program activities or functions.

4. Vehicles

Any funds used to purchase vehicles needs to have prior approval by the AEP Office.

5. Clothing

Program funds may not be used to purchase clothing for individual students such as jackets, sweatshirts, or tee shirts (gift of funds). However, clothing for a classroom is permissible – i.e. aprons for a culinary class, welding helmets, etc.

6. Entertainment Costs

Costs of entertainment, including amusement, diversion, and social activities and any costs directly associated with such costs (such as tickets to shows or sports

events, meals, lodging, rentals, transportation, and gratuities) are unallowable.

7. Fines and Penalties

Costs resulting from violations of, or failure of the institution to comply with, Federal, State, and local or foreign laws and regulations are unallowable, except when incurred as a result of compliance with specific provisions of the sponsored agreement, or instructions in writing from the authorized official of the sponsoring agency authorizing in advance such payments.

List of Adult Education Conferences, Dates, Descriptions and Attendees for 2019

Conference	Date / Location	Description and Attendees
CWA Youth Conference https://calworkforce.org/youth-conference/	January 22-23, 2019 Long Beach, CA	WIOA Title I Youth Providers
CAEAA http://www.caeaa.org/events/	February 7-8, 2019 Sacramento, CA	California Adult Education Administrators Association: Principals and Program Directors
ACCE Conference http://www.acceonline.org/	Feb 6-8, 2019 San Diego, CA	Association of Community & Continuing Education: Community College Faculty and Administration
Educating for Careers https://2019.educatingforcareers.org/	March 3-5, 2019 Sacramento, CA	California Career Pathways Conference: Anyone working on career pathway development
*OTAN TDL Symposium https://www.otan.us/tdlsymposium/	March 1-12, 2019 La Puente, CA	Outreach & Technical Assistance Network / Technology & Distance Learning: Anyone working in Distance or Blended Learning programs
TESOL https://www.tesol.org/attend-and-learn/international-convention/tesol-2019-call-for-proposals	March 12-15, 2019 Atlanta, GA	International ESL Conference: Anyone working in an ESL program
National Association of Workforce Boards https://forum.nawb.org/	March 23-26, 2019 Washington, D.C.	Workforce Development Board members, partners, service providers
*COABE https://www.coabe.org/conference-2019/	March 31-April 3, 2019 New Orleans, LA	National Adult Education Conference: Principals, Program Directors, Teachers
*CCAE State Conference https://www.ccaestate.org/2019-ccae-state-conference/	March 25-27, 2019 San Diego, CA	State Adult Education Conference: Anyone working in an Adult Education program
NAWDP https://www.nawdp.org/page/AnnualConference	May 6-8, 2019 San Antonio, CA	National Association of Workforce Development Professionals; Career On Stop front-end staff and counselors
*CASAS Summer Institute https://www.casas.org/training-and-support/si	June 11-13, 2019 Orange County, CA	State Data and Assessment Conference: Anyone working with adult students, data management, or assessment
ISTE https://conference.iste.org/2019/	June 23-26, 2019 Philadelphia, CA	International Society for Technology in Education: Anyone managing or implementing technology solutions
*GED National Conference https://ged.com/in-session/tag/ged-testing-service-annual-conference/	July 24-26, 2019 Chicago, IL	All members offering GED instruction
*CATESOL https://www.catesol.org/current-events	October 3-6, 2019 San Jose, CA	California ESL Conference: Anyone working in an ESL program
ACTE https://www.acteonline.org/event/actes-careertech-vision-2019/	December 4-7, 2019 Anaheim, CA	International CTE Conference: Anyone working in a CTE program

*Strongly Suggested