

Following Your Student – Start to Finish

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- I. Student contacts program
- II. Enrollment meeting scheduled
- III. Enrollment consists of:
 - Discussion/counseling with student determining the student’s purpose for inquiring about adult education services.
 - Initiating a student file:
 - The CCRP process (see College and Career Readiness Plan form in UTopia) by gathering demographic information including name, address, residency verification, SSN, statewide student identification number (SSID), etc. in addition to student’s information pertinent to labor force status, economic status, institutionalization (if applicable), and if the student will be participating in a specifically defined literacy program defined in the program’s grant.
 - Administer the appropriate assessment(s) to student to establish program type (ELL, ABE, or AHSC), establishing the student’s Entering Functioning Level (EFL) this is used to track all level gains for the fiscal/program year, and to facilitate establishment of the student’s goal(s).
 - Complete the student’s CCRP:
 - Use the comment section to make notes pertinent to student progress. Notes might include additional information pertaining to goal attainment, accommodations, etc.
 - Have student sign the “Waiver of Release of Information and the Grievance and Refund Policy Forms.”
 - These forms must be completed and maintained by the initial managing program. However, it may be updated by programs at anytime.
 - Note: A student’s initial EFL is used for a fiscal/program year. A student’s level gains are based on the initial EFL. A new assessment must be completed at the beginning of a new fiscal year unless a full “pre/post-test” was administered during May or June prior to the beginning of the fiscal year rolling over into the new fiscal/program year establishing the student’s EFL.
 - Assign course(s), instructors, etc.
 - All of the above student data must be entered into UTopia for state and federal outcomes/reporting.
- IV. Instruction consists of:
 - Teacher/student interaction during class or through distance learning delivery.
 - Counseling pertinent to student progress.
 - Assessment within the confines of the course.
 - Selecting curriculum that is appropriate for adult learners and meets the specific needs of the student.
 - Reassessment of academic skill(s), at a minimum, after 50 hours (ABE 1- AHSD)/60 hours (ELL) instruction.
 - Continue with instruction; adjust curriculum (as needed).
 - Recording of grades (as needed).
 - Repeating the process until the student terminates his/her program.

- V. Termination consists of:
- Student terminating his/her enrollment.
 - Student stopping attendance, not receiving instruction for 90 days, and not being scheduled to receive further instruction.
 - Student obtaining goal(s) and not wanting to continue.
 - Filing the student's record in an "inactive file" for perpetuity.

Maintaining Student Records and Program Assurances

Student Records:

1. Student records may be accessed by USBE, OCTAE staff, and financial auditors at any time for program financial monitoring and compliance purposes.
2. Every student's file and the contents listed below are to be maintained in a secure manner.
3. A student file contains all documentation pertinent to the student's education,

The following items are required to be maintained in a student file for perpetuity. (If a program so chooses, student file information may be scanned and stored electronically by the program.)

- Copy of the Education Withdrawal and Application form for Adult Education Program and/or GED® Testing Application for 16-18 Year-Old-Non-Graduates for out-of-school youth ages 16 – 18
- Copies of all grades, including report cards and transcripts obtained from outside agencies
- Current cumulative transcript
- Copy of official GED® report for GEDs passed outside of the state of Utah.
- Copies of all pay stubs used for awarding Career and Technical Education or elective credit
- Copies of professional licenses(s) or certificated skill training used for awarding Career and Technical Education credit
- Copy of military Form DD214 used for awarding Healthy Lifestyles or elective credit
- Copies of releases of information requesting or releasing student records
- Copy of special education student's most recent special education IEP if the student is under the age of 22
- Outside psychological, psychiatrist or medical documentation used in determining education programming accommodations
- Record of accommodations provided
- Documentation of adult education graduation date

The following items are required to be maintained for five years (including the current program year) for auditing purposes:

1. The student completing, graduating, or terminating services.
 2. The end of the funding period of the year.
- Current CCRP (end of year completed CCRP)
 - Signed or refusal to sign "Waiver of Release" form if this is the student's first adult education enrollment
 - Signed copy of the Student Grievance and Refund Policy
 - All assessment protocol score sheets (pre- and post-tests) used to determine student's EFL and level gains
 - Contact hour (non-instructional and instructional) documentation. (Note: students must sign-in (full signature or initials) for each class attended. Student must also enter the time they came to class as well as the time they left class. For students participating in a clock time curriculum delivery approach the computer generated log-sheet suffices as attendance verification.)

Program Assurances:

By accepting state and/or federal funds, programs provide certification that the program will:

Federal Assurances

- A. Any funds received under this grant will not be used to supplant non-federal funds normally provided for services of the same type, and the provider will make provisions for such fiscal control and fund accounting procedures as may be necessary to assure proper disbursement and accounting for federal funds.
- B. The grantee assures that funds will only be expended on eligible activities outlined in the Adult Education and Family Literacy Act (AEFLA).
- C. The grantee will offer instruction in collaboration with other organizations/agencies serving those individuals most in need of literacy services, including those most at risk including: low income; housed in correctional facilities; needing basic literacy or English acquisition; seeking a high school diploma/GED; single parents; or employment, etc.
- D. The grantee assures that no person on the basis of age, provided the person is 16 years of age or older, an individual with a barrier to employment, will be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity which receives or benefits from Adult Education and Family Literacy Act.
- E. The grantee assures that no qualified handicapped person provided the person is 16 years of age or older shall, on the basis of handicap, be excluded from participation in, be denied the benefits of, or otherwise be subjected to discrimination under any program or activity which receives or benefits from state adult education financial assistance.
- F. The grantee will comply with all civil rights regulations prohibiting discrimination in program benefits, participation, employment, or treatment on the basis of race, gender, color, national origin, sex, and disability.
- G. The grantee will operate in compliance with all federal/state rules, regulations, and state guidelines, maintaining effective control over, and accountability for all grant funds, property, and other assets or, if that is not feasible, will transfer title to the Utah State Board of Education (USB E) – Adult Education Services. Grantees shall adequately safeguard all property and assets and shall assure that they are used solely for authorized adult education purposes as defined by AEFLA.
- H. The grantee will annually submit a program compliance audit conducted by an independent source validating control of cash flow and data collected during the fiscal year July 1 through June 30 (state requirements).
- I. The grantee will submit an appropriately amended application prior to any material change greater than 10% affecting the purpose, administration, organization, budget, or operation of an approved project.
- J. The filing of this application has been authorized by the governing body of the provider. A signed copy of this grant and supporting documentation will be maintained for a period of seven years, three years on site and four years available.
- K. The grantee will give the grantor agency or the U. S. Comptroller General, through any authorized representative, access to all records or documents related to the grant, including the submission of reports as may be required.

- L. The grantee will comply with the requirements of the Family Educational Rights and Privacy Act of 1974.
- M. The grantee assures that funds will be used only for financial obligations incurred during the grant period.
- N. As a state requirement, the grantee will provide state and/or local (non-federal) matching expenditures equal to or greater than the aggregate amount expended during the preceding fiscal year. State and/or local matching will be a minimum of twenty-five percent (25%) of the federal funding per year.
- O. The grantee will provide for cooperation with community action programs, work experience programs, AmeriCorps, work-study, and other programs relating to the antipoverty effort (state requirements).
- P. The grantee will provide for cooperation/coordination with programs under the Utah Department of Workforce Services, the Utah Office of Rehabilitation, the Utah College of Applied Technology, and the Utah System of Higher Education and local employers.
- Q. The grantee will provide for coordination with state and local agencies' reading improvement programs designed to provide reading instruction for adults (state requirements).
- R. The grantee will assure that no expenditure of program funds will be made for any activity of service related to sectarian instruction or religious worship.
- S. The grantee will prepare reports, containing such information as the State Superintendent of Public Instruction may reasonably require, to determine the extent to which funds have been effective in carrying out AEFLA and legislative purposes and project objectives.
- T. The grantee assures that the program will:
 - (1) Utilize qualified administrative personnel and instructional staff.
 - (2) Provide guidance and counseling services.
 - (3) Provide year-round instruction as feasible.
 - (4) Develop effective recruitment and retention strategies.
 - (5) Provide adequate ADA and 504 accessible facilities, equipment, and materials, meeting adult learners' needs.
 - (6) Provide services at a reasonable cost/benefit.
- U. The grantee assures that resources will be available, and a process established, to develop a College and Career Pathway Plan (CCP) for each student that focuses specifically on the student's lowest literacy area as well as stackable career credentials, transition services to post-secondary, career training programs or employment.
- V. Academic instruction will focus on the lowest literacy area. Post-testing measurements will be completed after State defined minimum hours of academic instruction. The possibility of second year funding is partially contingent upon students served with AEFLA funds post-testing rates, level gains meeting or exceeding the state defined targets and compliance with state reporting requirements.
- W. The grantee assures that the Utah State Board of Education's requirements for demonstrated competencies of speaking, listening, reading, writing, computation (arithmetic), skills in democratic governance, skills as a consumer, problem solving skills, and career/occupational skills development will be top priorities of the program.
- X. As a state requirement, the grantee assures incorporation of the Utah Adult Education College and Career Ready Standards into all eligible instructional activities.

- Y. As a state requirement, the grantee assures that the state-approved standards for English for Speakers of Other Languages (ESL) will be used throughout the duration of the grant.
- Z. The grantee assures that all program staff assigned to administer state approved assessments obtain initial, ongoing, and/or recalibration training as required and defined in the Utah State Board of Education – Adult Education Policy.
- AA. The grantee assures that community representatives, including employers, will be involved in program development and will continue to be involved in carrying out this program.
- BB. The grantee assures that state-required program data (including students’ Social Security Numbers and Student Service Identification Number-SSID) will be collected and entered into the state-developed management information system (UTopia – Utah’s Online Performance Information for Adult Education). Social Security numbers and/or Student Services Identification (SSID) numbers are used for data matches with the Utah Department of Workforce Services, the Utah College of Applied Technology, the Utah System of Higher Education, and the USBE Data Warehouse.
- CC. The grantee assures that requests for reimbursement with supporting expenditure back-up documentation and appropriate agency signatures will be submitted at least quarterly to the Utah State Board of Education.
- DD. The grantee assures that receipts and expenditures of all funds associated with adult education will be documented, accounted for, and available for review as required by the USBE and Office of Career, Technical, and Adult Education (OCTAE).
- EE. The grantee assures that all fees and tuition collected from adult education students are used within the program year to provide additional adult education and literacy services that it would otherwise be unable to provide and that the collection of fees and tuition are documented.
- FF. Program income from tuition and fees must be reported to the Utah State Board of Education School Finance and Statistics division separately from K-12 and community education, and;
 - (1) accounted for in program records by program allocation code, and
 - (2) expended within the program year they are received and;
 - (3) used only for costs allowable under AEFLA.

State Assurances

- A. A Local Education Agency (LEA) receiving adult education state/legislative funds will follow such fiscal control and fund-accounting procedures as may be necessary to assure proper disbursement and accounting.
- B. Agrees that If it becomes necessary for the LEA to act on legislative or Utah State Board of Education mandated reductions in funding, adult education funds may be only reduced proportional to all other district program reductions.
- C. Is aware of legislative ability to reduce funding for education and as such the Utah State Board of Education may recall funds as needed.
- D. Will operate in compliance with appropriate rules, regulations, state policies and guidelines. The LEA will maintain effective control over and be held accountable for all awarded funds, property, and other assets. The LEA shall adequately safeguard all property and shall ensure that it is used solely for authorized adult education purposes or, if that is not feasible will transfer title to the Utah State Board of Education – Adult Education Services.

- E. Filing of this plan has been authorized by the governing body of the LEA, who act as the authorized representatives of the LEA in connection with the plan.
- F. Will submit an appropriately amended program plan prior to any material change greater than 10% affecting the purpose, administration, organization, budget, or operation of approved project.
- G. Adult education funds are used solely to provide direct instruction and administrative oversight to adult education programs.
- H. Will comply with Title VI of the Civil Rights Act of 1964 prohibiting discrimination in program benefits, participation, employment, or treatment on the basis of race, color, or national origin, and in compliance with the provisions of Title IX of the Education Amendments of 1972 prohibiting discrimination on the basis of sex.
- I. Assures that no person on the basis of age, provided the person is 16 years of age or older, will be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity which receives or benefits from state/legislative adult education funding.
- J. Assures that no qualified handicapped person provided the person is 16 years of age or older shall, on the basis of handicap, be excluded from participation in, be denied the benefits of, or otherwise be subjected to discrimination under any program or activity which receives or benefits from state/legislative adult education financial assistance.
- K. Assures that it will not conduct a program of instruction unless it determines that the program will (a) utilize qualified administrative personnel and instructional staff; (b) provide adequate facilities that are ADA and 504 accessible; (c) utilize equipment, materials, and guidance and counseling services meeting the adult learners' needs; (d) provide effective recruitment and retention of participants in adult education programs; (e) provide for economical operation in providing an adequate learning environment; and (f) provide year-round instruction as feasible.
- L. Assures that public state funds will solely be used to provide adult education instructional services to individuals who provide proof of Utah residency.
- M. Will give the USBE, through any authorized representative, access to and the right to examine all records, papers, or documents related to the program plan, including the submission of reports as may be required. A copy of the State Program Plan and supporting documentation must be maintained by the program for a minimum of five years; three years on site and two years available.
- N. Will comply with the requirements of the Family Education Rights and Privacy Act of 1974.
- O. Assures that funds will only be expended on eligible adult education activities as defined in state statute and Utah State Board of Education board rule and policy. Any request for financial reimbursements must be accompanied by supporting documentation (receipts) of expenses.
- P. Will provide for cooperation/coordination of this program with other state and local agencies including the Utah Department of Workforce Services, the Utah State Office of Rehabilitation, the Utah System of Higher Education, and Utah Applied Technology Colleges.
- Q. Will assure that no expenditure of program funds will be made for any education program, activity, or service related to sectarian instruction or religious worship.

- R. Will make such reports, including reports of evaluations, in such form and containing such information as the USBE may reasonably require.
- S. Assures that state funds will be used within the program year awarded and may carry over with USBE permission no more than 10% or \$50,000 annually, whichever is less. Funds carried over may be considered in determining the school district's allocation for the next fiscal year. Funds carried over shall be expended within the next fiscal year. If funds are not expended they shall be recaptured by the USBE on February 1 of each program year.
- T. Will annually submit a program compliance audit conducted by an independent source validating data collected during the fiscal year July 1 through June 30.
- U. Assures that resources will be available, and a process established, to develop student's College and Career Readiness Plan (CCRP).
- V. Assures that the Utah State Board of Education's requirements for demonstrated competencies in the Adult High School Completion program and state Core curriculum standards will be followed for persons seeking an adult education secondary diploma.
- W. Assures that the state-approved standards for English Language Proficiency (ELP) will be used with adult education learners receiving ELL services.
- X. Assures incorporation of the Utah Adult Education College and Career Ready (CCR) Standards are infused into all eligible instructional activities.
- Y. Assures that all program staff assigned to administer state-approved assessments obtain initial, ongoing, and/or recalibration training as required and defined in the Utah State Board of Education – Adult Education Policy.
- Z. Assures that state-required program data (including students' Social Security Numbers and Student Services Identification Numbers—SSID) will be collected and entered into the state-developed management information system (UTopia – Utah's Online Performance Information for Adult Education). Social Security numbers and/or Student Services Identification (SSID) numbers are used for data matches with the Utah Department of Workforce Services, the Utah System of Higher Education, Applied Technology Colleges, and the USBE data warehouse for data reporting purposes.
- AA. Assures that community representatives, including residents, will be involved in program development and will continue to be involved in carrying out this program.
- BB. Assures that the Utah State Board of Education's requirements for demonstrated competencies of speaking, listening, reading, writing, computation (arithmetic), skills in democratic governance, skills as a consumer, problem solving skills, and career/occupational skills development will be top priorities of the program.
- CC. Assures that receipts and expenditures of all funds associated with adult education will be documented and accounted for and available for review as required by the USBE.

DD. Assures that all fees and tuition collected from adult education students are used to provide additional adult education and literacy instructional services that it would otherwise be unable to provide, and that the collection of fees and tuition is documented.

EE. Assures that program income from tuition and fees must be reported to the Utah State Board of Education School Finance and Statistics division separately from K-12 and community education, and:

- (1) Accounted for in program records by program allocation code, and
- (2) Used only for costs allowable under AEFILA and state statute.

Validating Disbursement of Utah Adult Education Funds

The following is provided as a guide to assist in the auditing of items to ascertain program outcomes.

Items to Compare

Category	UTopia	Paper Trail
Enrollees	UTopia verifies	No verification required
Contact Hours	UTopia report: <u>Student Total Contact Hour Details</u>	<ol style="list-style-type: none"> 1. Verify that classroom “roll books”/teacher maintained attendance sheets etc. = instructional contact hours. 2. Verify that documentation (student log) content/purpose of non-instructional hours. <p>Note: Class roll documentation must include student signature or initials on arrival and departure time for each class attended. Attendance from an online course the computer generated report of attendance will suffice.</p>
Diploma	UTopia report: <u>Student Official Transcript</u> <u>Student Transcript Workup</u>	<ol style="list-style-type: none"> 1. Verify that all credits earned or awarded in the student’s file are entered in UTopia. 2. Verify that the program graduation requirements are met. 3. Verify that earned and awarded credit has the required documentation validating completion of course work (including Official GED® Report if the GED® was used for credit) in the student’s file.
Level Gains	UTopia report: <u>Complete Test History</u>	Verify that assessment protocols’ face sheets (must include student’s name, date of birth, date of test, test administrator’s name, and raw scores maintained in the student’s file matches what was entered in UTopia.
GED	UTopia report: <u>Verified GED Status</u>	If a staff member has checked the box to verify an out-of-state GED®, a copy of the student’s Official GED® Report is in the student’s file.
Credits	UTopia report: <u>Student Official Transcript</u> <u>Student Transcript Workup</u>	Verify that student’s file contains transcripts from other institutions; GED® and other sources of credit records validating the both earned and awarded credits.
Proof of Utah Residency	UTopia report: <u>Student Proof of Residency</u>	Proof of Utah residency must be maintained in each student’s file following the parameters as defined in Board Rule R277-733-6.

Adult Education Program Fiscal Audits

Annually a program audit completed by an independent auditor is required to validate program outcomes.

Audits are to be completed annually after June 30th – the end of the program year.

The program director and auditor must reconcile and agree on program outcomes prior to the auditor's submission of the audit findings.

Annually program audits are due directly from the auditor to the USBE –Adult Education Services State Coordinator by September 15th.

Auditors are expected to select and review 5 percent of the program's student files (not to exceed 20 student files), assuring that reported UTopia data is accurate in determining program outcomes.

Costs of program audits are borne by the program.