

# TENNESSEE ADULT EDUCATION

## SUPERVISOR HANDBOOK



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**FEDERAL MISSION STATEMENT**

*The Division of Adult Education and Literacy (DAEL) promotes programs that help American adults get the basic skills they need to be productive workers, family members, and citizens. The major areas of support are Adult Basic Education, Adult Secondary Education, and English Language Acquisition. These programs emphasize basic skills such as reading, writing, math, English language competency, and problem-solving.*

OVAE: <http://www2.ed.gov/about/offices/list/ovae/pi/AdultEd/index.html>

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## 1) Program Overview

Today's adult worker is faced with numerous opportunities and challenges. Employers need workers with strong basic skills and an ability to adapt to change. Tennessee families are faced with multiple responsibilities as they address their children's educational needs, as well as their own. Special populations must deal with additional challenges in order to lead safe and productive lives. To effectively serve the foundational learning needs of these many groups, a learning system that is adaptable and accommodating is crucial.

Adult Education's students must acquire and improve functional skills necessary to enhance the quality of their lives as dedicated workers, involved family members and model citizens. Tennessee Adult Education programs play an important role in fostering productive employment, effective citizenship, personal and family growth, self-esteem and dignity for adult learners. Educational services are available to adult learners and are designed to meet their educational needs.

This handbook is designed to ensure the administration of adult education programs are consistent with federal laws and regulations and the state's goals and policies. This handbook communicates the scope of the state's commitment to and support of adult education.

### A) Federal Role

The *Workforce Innovation and Opportunity Act (WIOA)* is historic bipartisan legislation that amends and reauthorizes the *Workforce Investment Act of 1998 (WIA)* through fiscal year 2020. The Act makes key improvements to the nation's workforce development system, helps workers attain the foundation skills necessary for 21st century jobs and fosters a modern workforce development infrastructure to help make American companies competitive. The bill emphasizes the creation of career pathway programs, improved integration and coordination of education and training services, development of sector based strategies and streamlined service delivery to individuals, especially for underprepared youth and adults. The United States Department of Education Office of Career, Technical and Adult Education (OCTAE) provides guidance to states in the management of the Adult Education grant.

The amount of funding each state receives is based on a formula established by Congress. States, in turn, distribute funds to local eligible entities to provide adult basic education services. The National Reporting System (NRS) is the accountability system that tracks the core and follow up measures mandated by WIOA. The NRS includes student measures to describe adult education students, program participation and assessment of the impact of adult education instruction, methodologies for collecting the measures, reporting forms and procedures and training and technical assistance activities to assist states in collecting the measures. States are required to report data to the NRS, to meet performance standards for student outcome measures and to assess local program effectiveness using these standards.

## B) State Role

The Tennessee Department of Labor and Workforce Development is responsible for the administration and supervision of the Adult Education grant. The Division of Adult Education is responsible for the allocation and distribution of state and federal funds for adult basic education programs. In addition, the Division adopts rules and regulations for the administration of adult basic education programs aligned with federal guidelines. Further, the Division provides research and curriculum support, professional development and technical support to adult basic education programs.

The state staff provides technical assistance to local programs in the areas of:

- Program management and improvement
- Instructor training
- Student recruitment and retention
- Information and support for student management database
- Curriculum and instructional strategies
- Disabilities and other special learning needs
- English Language Learners (ELL)
- Technology
- High School Equivalency testing
- CASAS
- T-Eval
- Distance Education (Essential Education)
- Evaluation and monitoring
- Other associated issues

## C) Local Role

Local programs, as recipients of federal and state funds, serve adult learners who are basic skills deficient, English language learners and who lack their high school diploma or equivalency. They are responsible for determining the need for Adult Education (AE) programs within the service delivery area (SDA), promoting those programs, recruiting students, coordinating the scheduling of AE classes, hiring instructors and overseeing financial, attendance, and data reports. By agreeing to the assurances issued with the grant application, the local program has agreed to all federal and state specific requirements. Each program might also have their own institutional policies and procedures, such as hiring or reporting that must be adhered to.

Due to the core measures for which programs are responsible under WIOA, the quality of instruction must be sufficient to ensure educational gains are achieved. Programs are responsible for assisting their students in achieving academic level gains, a high school equivalency diploma and entry into post-secondary education or employment.

The needs of the adult learner are diverse as are the services that adult education can provide to prepare the participant for a post secondary credential and employment. Such programs could include:

- **Basic Skills Instruction** in reading, writing, and math;
- **HSE Test Preparation** in science, social studies, mathematics, language arts-reading, language arts-writing;
- **English as a Second Language** in pre-literacy, reading, writing, listening, speaking, grammar, U.S. history and government, and cultural literacy; and
- **Workforce Preparation** in organization, time management, communication, digital literacy and other employability skills.

## 2) Tennessee Adult Education Policies and Procedures

### Our Guiding Principles

The success of any organization depends on a set of clear, shared goals and principles. Tennessee's Adult Education programs are no exception. Clearly and commonly defined principles serve multiple purposes.

Tennessee Guiding Standards define what teachers, administrators, and support staff need to know and be able to do in order to provide quality services.

### A) Program Improvement

#### (1) All Adult Education SDA's will implement the elements.

Key Elements:

- 1.1 Organizational Profile
- 1.2 Leadership
- 1.3 Strategic Planning
- 1.4 Student, Stakeholder, and Market Focus
- 1.5 Measurement, Analysis, and Knowledge Management
- 1.6 Workforce (Faculty and Staff) Focus
- 1.7 Operational Focus (Processes and Systems)
- 1.8 Results

### B) Fiscal

#### (1) All AE SDA's will submit a comprehensive budget detailing allowable expenditures

Key Elements:

- 1.1 Personnel: Supervisor, Instructors, Paraprofessional/Clerical, Employee Benefits
- 1.2 Non-Personnel: Materials, Supplies, Equipment, Travel
- 1.3 Budget Package: Projected Student Numbers, Orientation Dates, Class Schedule, Graduation Date(s),
- 1.4 Equipment and Supplies Inventory\* (everything over \$500 must be listed)
- 1.5 Staff Development: This will be completed according to worksheets provided by the state. Money cannot be transferred into or out of this line item from the AE budget
- 1.6 Surplus/disposition of property\*

#### (2) All AE SDA's will take responsibility for financial invoicing

Key Elements:

- 2.1 The Director (of contracting entity) determines whether the reporting is to be completed by the AE Supervisor or by the local fiscal office
- 2.2 All AE supervisors will have a working knowledge of invoicing/in-kind match regardless of who completes reports
- 2.3 All fiscal reports are due monthly on or before the 15th of the following month and must contain the proper documentation of purchases made including the State travel worksheet for all local travel within the SDA

## C) Curriculum—Janet & Cyndy review and add details if needed

### (1) All AE SDAs will use the level appropriate instructional materials aligned to adopted Tennessee State Standards.

#### Key Elements:

- 1.1 Assessment - Locator, Appraisal, CASAS, HSE official Practice Test
- 1.2 Scheduled Classes
- 1.3 Individual Student Profiles (CASAS and OPT)
- 1.4 Class syllabus based on individual student profiles
- 1.5 In-class Practice and Homework
- 1.6 In-class Monitoring and Feedback (specific)
- 1.7 Scheduled Re-test and Feedback
- 1.8 Identifiable Process- a plan is in place for transitioning from class to class as students progress through the levels

### (2) All teachers will be trained and certified in administering the TABE and OPT, will have a full working knowledge of each student's level, and will use the scores to drive their instruction

#### Key Elements:

- 2.1 The HSE practice test will be administered when a student scores a 7.0 in math and 9.0 in reading

### (3) All instructors will integrate technology into their instruction in the classroom

#### Key Elements:

- 3.1 Teachers will be properly trained to use laptops and projectors and other forms of instructional technology as required

## D) Tennessee Integrated English Literacy and Civics Education Program

The Integrated English Literacy and Civics Education Programs in Tennessee will provide services to English language learners (ELLs) who are adults, including professionals with degrees and credentials in their native countries that enable them to achieve proficiency necessary to function on the job, in their families and in society. These services will include instruction in literacy and English language acquisition as well as instruction on the rights and responsibilities of citizenship and civic participation. Job readiness training, which may transition to career pathways, will also be included in instruction and will be facilitated by the integration of digital literacy. In addition, students will be instructed in computation and problem solving at levels of proficiency necessary to promote personal growth and to integrate effectively into their communities. Academic instruction will enhance students' abilities to obtain a GED or High School Equivalency Diploma and pursue post-secondary education. Information and resources for job advancement and training opportunities will be made available to students. Scientifically valid assessment instruments will aid instruction by helping to identify needs and capture the gains of such students at every achievement level.

In planning for full implementation of the Integrated English Literacy and Civics Education, programs will prepare adult English language learners (ELLs) to become functional in the four language skills, reading, writing, listening and speaking, so they might gain the proficiency necessary to function on the job, in their families and in their communities.

#### Key Elements:

- Orientation
- Assessment (Formal and Informal)
- Analysis of Student Progress

- Assessment (Formal and Informal)
- Analysis of Student Progress
- Syllabus
- Life Skills Instruction
- Integrated Technology
- In-class Monitoring and Feedback
- Professional Development
- Reporting

**(1) Programs will provide instruction in civics education and citizenship preparation that enhance the integration process.**

**(2) Programs will implement job readiness training, which includes job acquisition and retention skills, to assist English language learners in obtaining unsubsidized employment in in-demand industries and occupations that lead to economic self-sufficiency, helping to connect students with local career centers or similar agencies that provide assistance in the job search process.**

**(3) Programs will provide instruction that promotes academic success so that ELLs may pursue a secondary diploma or its equivalent and/or post-secondary training. Digital literacy will be an integral part of instruction at all levels.**

**(4) Programs will serve ELLs who have low levels of literacy and individuals facing substantial cultural barriers without reservation.**

**(5) Programs will assess learning using CASAS tests, standardized testing instruments approved by the National Reporting System. Test results will be used to identify and address learning deficiencies to assure that ELLs are able to achieve their goals.**

**(6) Tracking and reporting will be provided in a timely fashion by all programs serving the ELL population in order to better serve students and funders.**

**E) Data - *lan*—should cmats entry rules/dates be listed here or Section V under data?**

**(1) All AE SDAs will comply with Data Entry Standards**

Key Elements:

- 1.1 Accurate, timely (within ten days) and complete data to include: all participants who fill out an application (intake form), all participant attendance, all participant test scores, labor force status
- 1.2 Each class must have only one instructor assigned
- 1.3 The system will automatically exit the student after 90 days of no service
- 1.4 Manual exits of students should only be done in rare circumstances
- 1.5 Students should not be exited when transferring from one SDA to another. Students should be electronically transferred in the data reporting system. This will allow for much more accurate reporting
- 1.6 Each county within an SDA will have its own ID# and students will be enrolled in classes by county
- 1.7 30, 40, or 60 hours between tests - monitored

**(2) All AE SDA supervisors will monitor their programs on a monthly, quarterly, and yearly basis**

Key Elements:

- 2.1 NRS reports, will be run by individual county or SDA. Table 4 and 5 will be able to be run by class.
- 2.2 Management Reports
- 2.3 Desktop Monitoring
- 2.4 Other Methods As Provided

## F) Program Management - Janet and Cyndy

### (1) All AE SDA supervisors will design and maintain a learning environment where the elements of effective instruction are practiced on a consistent basis

#### Key Elements:

- 1.1 A plan is in place to ensure that teachers are using level-appropriate instructional materials correctly and completely
- 1.2 Schedules for Orientation and classes are posted and available for staff and potential students
- 1.3 All components are presented in an orientation session
- 1.4 Leveled classes are provided to match the student's academic needs
- 1.5 Year-round classes will be offered
- 1.6 Students are provided a syllabus for each class
- 1.7 Teachers use active teaching models to engage students
- 1.8 Teachers use visual prompts, PowerPoint presentations, smartboards, etc. when modeling content
- 1.9 Classes should be scheduled at times to meet students' needs first and then classes be staffed
- 1.10 Student records should include registration forms, release forms (family, media), pre/post tests, OPT profile, enrollment form, CASAS scoring information, and OPT scoring information

### (2) All AE SDA supervisors will ensure that assessments are conducted and scored using protocol established in the federally-approved Assessment Policy and State OPT Guidelines

#### Key Elements:

- 2.1 Testing protocol and requirements are followed and appropriate paperwork is in each student's file
- 2.2 Students are provided feedback regarding testing and an individual profile is provided for all students and teachers for CASAS and HSE testing
- 2.3 Students are provided an opportunity to practice skills both in and out of class
- 2.4 Students are provided specific content feedback and are given unit or lesson quizzes to ensure mastery
- 2.5 Students are provided adequate opportunity to ask questions
- 2.6 A plan is in place for re-testing students
- 2.7 A plan is in place to assist students to register for the HSE test

### (3) All AE SDA supervisors will submit reports, data, and requests for information on or before the due date or according to an announced schedule

#### Key Elements:

- 3.1 The Supervisors regularly check and respond to emails on a daily basis
- 3.2 The Supervisors will complete requests for information by established deadline
- 3.3 The Supervisor is responsible for the entry of data into student management database and has the ability to retrieve and apply the information from the various reports generated through that data to improve the quality of the AE Program

### (4) All AE SDA supervisors will provide information relative to staff development to all staff members

#### Key Elements:

- 4.1 All AE staff members will have access to all state-sponsored training opportunities appropriate to their position and will be afforded the opportunity to attend

**(5) All AE SDA supervisors will promote activities that support student recruitment, retention, and celebration**

Key Elements:

- 5.1 The Supervisor will develop relationships that promote the AE SDA as a part of each community
- 5.2 The Supervisor will put into place processes that track students who miss classes and ensure that they are contacted and encouraged to complete coursework
- 5.3 The Supervisor will plan and conduct a graduation program at least annually where students can celebrate their success

**(6) All AE Supervisors will use critical control points to determine where students are most likely to leave the program, and make improvements toward increasing the retention rate**

Key Elements:

- 6.1 Review data on a quarterly basis to track critical control points where students leave the program
- 6.2 Develop and implement strategies to improve retention rate in areas where deficiencies are evident

**(7) Supervisors and teachers will seek information from students regarding special learning needs and determine what changes in the educational process will be most helpful.**

Key Elements:

- 7.1 Accommodations will be made to assist students' needs in the classroom setting
- 7.2 Supervisors will follow HSE guidelines for testing accommodations and assist students in gaining access to those accommodations
- 7.3 Supervisors will provide adequate accommodations for students with physical disabilities and limitations

## **G) Teacher Evaluations**

**(1) Supervisors will observe and complete teacher evaluations using Project Coach and reporting through T-Eval.**

Key Elements:

- 1.1 Minimum of two evaluations for part time teachers
- 1.2 Minimum of three observations for full time teachers

**(2) Supervisors will follow policies and procedures as trained through Project Coach**

**(3) Supervisors will provide feedback in a timely fashion and use this information to assist teachers in professional improvement.**

### **3) Distance Education Policy**

Distance education delivered through computer technology offers adult students an efficient and effective way to expand and practice their knowledge of skills in math, reading, writing and language. This experience also expands the skills needed to succeed in today's workplace. The ability to participate in digital education classes has historically been a major obstacle for adult education students, however, a growing number of students now have Internet access through the use of multiple devices.

Increasingly, employers expect their employees to have a basic understanding and working knowledge of technology. Today's employees must be able to demonstrate the skillsets necessary to meet the requirements of employers as the workplace evolves with new advancements in technology. Employees must have the ability to use computers, understand how to report their activities using the employer's productivity software, as well as (possess the skills necessary to) use these tools to convey issues, collaborate with co-workers and solve problems. Digital education classes will assure our adult students are better prepared to enter into or advance within the modern workforce.

#### **A) Definition Of Distance Education Learners**

Distance education is a formal learning activity in which the instructional activities of students and instructors are separated by geography, time, or both. For a student to be counted as a distance education student, the greater amount of instruction must be delivered through distance education. A distance education participant is a student who has more proxy hours than direct hours according to the NRS Table IVC reports. With the presence of digital education each adult education student will be identified as one of two types of learners:

- Traditional learners: students who receive the majority of instruction through face-to-face instruction
- Digital learners: students who receive a majority of instruction through approved digital education programs

Every adult basic education student must be identified as either a traditional learner or a digital learner and must be an approved level 4, 5, or 6 student. The ABE instructor and student must both agree that the student is prepared to enroll in a digital education class. A student is classified as a digital learner if the majority of the student's hours to be earned result in his or her participation in digital learning activities. The student's hours in both digital and classroom activities must be reported into the data management system.

The distance education student will be registered, attend orientation and receive on-line training from their ABE instructor. The student must demonstrate their willingness to remain an active participant in the distance education program by logging into the program at least 4- 6 hours a week. The ABE instructor and student are required to have a face-to-face meeting at least once a month to review and discuss the student's progress. If it is determined that the student is not progressing academically or utilizing the distance education program as required, the program has the right to remove the student from the distance education class and enroll him/her in the traditional classroom. Not every student will be a candidate for digital education. Some of the following should be considered when evaluating the appropriateness of digital education for the adult learner.

- Motivation
- Self-direction
- Time management and organizational skills
- Knowledge of basic computer skills
- Internet access

## B) Contact Hours

Contact hours for distance education students can be a combination of actual face-to-face contact or time spent online where the student and instructor are able to interact. This can be a combination of direct face-to-face contact as well as contact through:

- Telephone
- Online communication, in which the identity of the learner can be verified
- Live online discussions
- Telephone conference calls
- Teacher monitored labs
- Live webinar broadcasts to remote locations

All pre and post-tests must be administered in a face-to-face environment. Students in distance education should be post-tested after the same amount of instructional time as other students. Tennessee's assessment policy requires post-testing distance education students after a minimum of 40 approved distance education hours and not to exceed 70 hours before post-testing.

For federal reporting purposes, all learners receiving a minimum of 12 proxy hours of instruction with the program will be reported to the National Reporting System as distance learners.

Communication by phone can be counted as contact time. The learner's identity must be confirmed by the instructor.

## C) Proxy Hours

Proxy hours are defined as the time distance education students spend engaged in approved digital education activities. The hours for each approved activity are determined by one of the following:

**Clock-time:** contact hours are assigned based on the time that a learner is connected to or engaged in an online or standalone software program that tracks time

**Teacher Verification:** a fixed number of hours for each assignment based on the teacher's determination of the extent to which a learner is engaged in or completed the assignment.

**Learner mastery:** defined as a fixed number of proxy hours based on learner mastery of each lesson in the distance curriculum as demonstrated by passing a test with a high percentage (usually 70% to 80%) of correct answers.

## D) Approved Curricula

As new digital education materials become available, the Division of Adult Education reserves the right to review and consider approving them for state use. A review of approved distance education materials will be conducted annually as needed. Distance Education instructional materials are limited to those approved by the Division of Adult Education.

- Essential Education
- Khan Academy
- Read Theory

## E) Technological Knowledge

The following technological knowledge should be considered when evaluating the appropriateness of each student's enrollment into a distance education class. Student should possess the following skills and demonstrate basic technology use such as:

- Sending and replying to e-mail
- Using a Web browser
- Downloading, opening and saving electronic files
- Filling out Web-based forms
- Regular access to Internet through the use of a personal or publicly available computer
- E-mail account

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## 1) Eligibility for Tennessee AE Students

### How word Security Numbers?

#### A) Eligibility of Foreign Students—UPDATE THIS WITH CHANGES

Federal adult education legislation does not specify the need to prove legal status of foreigners as a condition for enrollment in adult education classes. Thus, it is not necessary for foreigners to present passports, visas, work permits, or social security cards to prove legal status in order to enroll. However, foreign **students (with F-1 or F-2 visas) enrolled in universities or private English language institutes may not simultaneously enroll in publicly funded adult education programs.** English as a Second Language (ESL) students who have completed postsecondary education in another country, but lack basic English language skills may enroll in AE programs (as long as they do not have an F-1 or F-2 visa).

#### B) Eligibility of Adults with Disabilities

The following statement must be read to each person upon entering the program:

“If you suspect or know you have a physical/chronic health, learning or other disability, ADD/ADHD, and/or an emotional/mental health disorder that may require accommodations, please let someone on the Adult Education staff know.”

A qualified individual with a disability is defined by the Americans with Disabilities Act (ADA) as:

*“... an individual with a disability who, with or without reasonable modifications to rules, policies, or practices, the removal of architectural, communication, or transportation barriers, or the provision of auxiliary aids and services, meets the essential eligibility requirements for the receipt of services or the participation in programs or activities provided by a public entity.”*

Students who present documentation of their disability have a right under the Americans with Disabilities Act (ADA) to request reasonable accommodations. Depending on the type of disability, the **accommodations for classroom instruction and testing** may include (but are not limited to):

- Extended time for learning and testing,
- Private settings free of interruptions and distractions for learning and testing,
- Frequent breaks or change of activity,
- Calculators,
- Spell checkers,
- Word processors,
- Audiotapes of presentations, texts, and tests,
- Enlarged print,
- Braille texts,
- Readers,
- Note-takers or scribes for learning and testing,
- Sign language interpreters,
- Assistive listening devices, and/or
- Furniture or room modifications to accommodate wheelchairs, etc.

Information on CASAS accommodation may be obtained through CASAS: [Guidelines for Providing Accommodations Using CASAS Assessment for Learners with Disabilities](#). Many adult learners state that getting a High School Equivalency diploma (HSED) is their primary reason for entering adult education programs. For information on applying for HSED accommodations refer to [hiset.ets.org](http://hiset.ets.org).

### C) Strictly Confidential Information

If a student discloses any of the following types of information (verbally or in writing), legally that information is to be considered strictly confidential and therefore "private:"

- Disclosure of "non-directory," personally identifiable information (PII);
- Disclosure of a diagnosed learning disability;
- Disclosure of previous status as a "special education" student;
- Disclosure of any other type of diagnosed physical or mental disability;
- Disclosure of a diagnosed medical condition;
- Disclosure of use of any prescription drugs;
- Disclosure of history of drug/alcohol abuse and/or treatment;
- Disclosure of status as HIV positive or of having the AIDS virus;
- Official transcripts including HSED scores.

Filing cabinets or drawers containing strictly confidential information must be labeled as "**Confidential.**" and must state the authorized personnel with access to the information. These files must not be accessible to students, staff, or faculty. Student files should be maintained at the local program level for a period of not less than three (3) years and fiscal records must be maintained for a period of five (5) years and shredded when discarded. Strictly confidential information regarding a student cannot be discussed, nor can any record be shared without a written release of information. It is strongly encouraged that Supervisors have on file a signed *Personnel Confidentiality Agreement* (see Appendix) for every staff or faculty member that has access to confidential information. If there are any doubts to the security and confidentiality of information refer to the FERPA Facts.

## 2) Tennessee AE Program Models

Encouraging students to enter and remain in class is one role played by AE Supervisors. Throughout the state, programs have adopted various scheduling, intake, and delivery models for their classes.

### A) Scheduling Models

How a program schedules classes is an important variable impacting student successes. Scheduling features affecting the success of students include:

- Duration (how many weeks/months per program year the class is open)
- Intensity (how many hours/weeks of instruction are available)
- Schedule (whether students begin and end the class at the same time or enroll and exit constantly)

In order for students to make progress toward their goals, programs of sufficient duration and intensity must be established. A minimum of 40 hours of instruction is required from the initial CASAS to the retest (post-test) of CASAS. There is no post-test exemption allowed in CASAS. The program's schedule also affects organization and instruction delivery. Local programs are encouraged to provide appropriate scheduling methods based on the needs of students.

<u>Monday</u>	<u>Tuesday</u>	<u>Wednesday</u>	<u>Thursday</u>	<u>Friday</u>
8:30-10:30	10:30-12:30			

\*\*\*\*\* Table of sample model schedule for here——Janet? \*\*\*\*\*

**B) Fast-Track**

*Students are assigned to fast-track classes on the basis of a HiSET or GED Official Practice Test score indicating an NRS level 5 or 6.* Fast-track classes have scheduled beginning and ending dates and have specific class hours which all assigned students are expected to attend. These classes often run for a set number of weeks. Testing usually occurs at the beginning and the end of the course. Because of their limited duration, short-term classes need to be of sufficient intensity (offering enough hours/week) in order for students to show progress. It is important to build in sufficient contact hours to meet recommended post-testing guidelines.

**C) Managed Intake/Entry – Regularly Scheduled, Set Registration Time**

Tennessee Adult Education classes utilize a managed enrollment structure which offers registration and assessment days and times at regular intervals. New applicants are asked to come for registration at those appointed times. Program orientation, behavioral rules, motivational presentations and entry assessments are presented during this process. Individual counseling sessions occur to discuss goals, barriers to participation, assessment results and to establish an individualized educational plan for the student.

**D) Structured Multi-level Delivery – All Educational Levels in the Same Class**

When enrollment does not justify setting up many *leveled* classes, programs may create grouped leveled classes. Here is an example of a *structured multi-level* delivery:  
One class of levels of 1, 2, 3 and another class of levels 4, 5, 6.

### 3) General Orientation and Intake Process

AE Supervisors need to consider how to maintain an effective classroom management system. Each program should have an intake process that includes the five steps listed below. Orientation should be completed first.

- A. Orientation
- B. Locator Test/Appraisal
- C. Registration
- D. Demographics/CASAS
- E. Class assignment

#### A) Orientation

Orientation procedures should provide students with information about the program, their course of study, a motivational component, testing, review of scores, study skills, soft skills and class assignments.

#### B) Locator Test /Appraisal

**All Adult Education programs are required to use approved systems for assessment.** All assessments are to be administered according to the policy and procedures outlined in the [Tennessee Adult Assessment Policy](#). Other methods of assessment may be used within the local program; however, they are not acceptable for state or federal reporting purposes. A locator test is the initial assessment instrument and provides basic skill level information for the individual. The pre-test results guide placement into an appropriate instructional program.

#### C) Registration

Registration is the process through which mandatory information is gathered from prospective students. The process typically includes goal-setting, class assignment, and an interview, but these activities may be done at a time most effective for the program. However, the following data must be properly and completely collected and recorded in the management system database:

- Demographic data
- Pre-test scores
- Class assignment
- Signed informed consent form

#### D) Demographics/CASAS

Complete demographics information of the intake form for CASAS test

#### E) Class Assignment

Counsel with student for leveled class assignment

## **4) Tennessee Assistance Programs**

### **A) Tennessee HOPE Scholarship**

Entering freshmen must meet the following requirements:

Apply by completing the Free Application for Federal Student Aid (FAFSA), available at [www.fafsa.gov](http://www.fafsa.gov). Applications must be received by September 1st for fall semester, February 1st for spring and summer semesters. Early application is recommended.

Students must have been a Tennessee resident for one year by September 1 of the application date.

For students beginning spring and summer terms, residency determined by February 1 as of application date. Students must have graduated from a TN eligible high school. - See more at:

<http://www.tn.gov/collegepays/article/tennessee-hope-scholarship#sthash.AY60Gxox.dpuf>

### **B) Tennessee Reconnect**

Tennessee Reconnect is Governor Bill Haslam's initiative to help adults enter higher education so that they may gain new skills, advance in workplace and fulfill lifelong dreams of completing a degree or credential. For more information visit: <http://tnreconnect.gov/>.

## SECTION III: AE PROGRAM MANAGERS

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## 1) Supervisor Responsibility

The local adult education Supervisor must play a lead role in participation in and support of professional development. Supervisors must ensure that program improvement efforts support quality instruction and that staff participation in professional development complements the Local Plan which has been submitted to the state for approval. Supervisors are responsible for ensuring that program-specific staff orientation has been provided to new staff. The local adult education Supervisor should work with staff members to ensure that knowledge and skills gained from professional development is implemented at the worksite.

### A) Supervisor Qualifications

Supervisors must have a minimum of a Bachelor's Degree. It is highly recommended that supervisors have a professional teacher's license and a minimum of three years' experience in adult education.

### B) Supervisor Requirements

All job duties and responsibilities of full-time adult education supervisors whose salary is paid by adult education funds must be dedicated to adult education activities as outlined in Title II of the Adult Education Literacy Act. Full time is defined as 37.5 hours per week.

### C) Supervisor Job Description

#### (1) Administrative:

Administrative responsibilities include:

- 1.1 preparing the adult education budget for the local program
- 1.2 administering adult education program activities according to federal, state, and local regulations
- 1.3 preparing reimbursement invoices of federal and state funds
- 1.4 supervising and evaluating adult education program staff
- 1.5 submitting adult education program reports to the Division of Adult Education on or before the due dates
- 1.6 ensuring all required data is entered into CMATS management information system according to state guidelines and timelines, and maintaining monthly time and effort sheets.
- 1.7 relaying all pertinent information up through the local chain of command (See Program Management, Fiscal, Data, and Program Improvement Standards.)

#### (2) Instructional:

Instructional responsibilities include:

- 2.1 providing for an interdependent adult education program ensuring proper placement for every student
- 2.2 developing a recruitment plan that informs the target population of program services and attracts prospective adult learners
- 2.3 developing an intake and orientation process that clarifies student and program goals and expectations and ensures appropriate placement in the program
- 2.4 securing competent teachers
- 2.5 providing an orientation for new teachers
- 2.6 ensuring that adult education staff participate in staff development opportunities
- 2.7 providing AE instructional personnel with supplies and materials necessary for the instruction of students
- 2.8 soliciting ideas from teachers and students regarding program improvement
- 2.9 establishing a procedure for providing alternative instruction when a regular adult education teacher must be absent
- 2.10 following the state's initial and ongoing assessment procedures for adult education students
- 2.11 maintaining a file containing items required by state guidelines for every adult education student

- 2.12 developing a program that supports students' progression through the levels of adult education
- 2.13 planning a program that fosters the accomplishment of students' goals
- 2.14 scheduling classes at locations and times that are accessible to the needs of adults participating actively in the local literacy council/advisory board
- 2.15 coordinating graduation activities for adult education graduates
- 2.16 keeping teachers informed of state policies affecting them and of recent trends in adult education
- 2.17 participating in local and state activities designed to improve adult education
- 2.18 comprehending thoroughly the demographic characteristics of the service area
- 2.19 coordinating graduation activities for adult education graduates
- 2.20 attending state-sponsored supervisor/teacher training as appropriate and/or required, including, but not limited to: Supervisors' Leadership Summit, regional meetings and/or tele conferences, and the Academy for Instructional Excellence. If attendance at meetings is not possible, the individual is responsible for all information present.
- 2.21 maintaining monthly time and effort documentation for any staff member that performs duties other than instructional. (Note: A full time AE teacher must spend the majority of his or her time in classroom instruction.)
- 2.22 other instructional duties as warranted by the program supervisor.

#### **D) Assurances**

Program Assurances must be signed by the contracting agency agreeing to the terms as written.

#### **E) Correspondence with the Division of Adult Education**

The Division of Adult Education uses e-mail to disseminate and gather information. All correspondence will be sent via e-mail. It is the grantee's responsibility to check e-mail on a regular basis. If the technology in the local system is down or experiencing problems, it is the grantee's responsibility to notify the Division. Program supervisors are responsible for notifying the Division of Adult Education of any changes to program phone, email, fax, and address.

#### **F) Instructional Lab Guidelines**

Funding does not permit the use of open labs or one-on-one instruction. In order for students to receive class hours, a teacher must be present during lab times.

#### **G) Personnel**

Other than the following, refer to your local agency's personnel and hiring practices.

##### **(1) Instructor Qualifications**

All instructors paid with adult education funds must meet the following minimum qualifications:

- 1.1 Bachelor's degree
- 1.2 Tennessee Teacher License
- 1.3 Demonstrate English proficiency in oral and written English

Any exceptions to these must be approved by the Division of Adult Education and approval on file with the local program.

## **(2) Instructor Job Description**

A full time AE teacher must spend the majority of his or her time in classroom instruction. Instructional duties may include direct teaching, testing, orientation, counseling students, and other instructional activities involving working directly with the students as assigned by the program supervisor.

Full-time responsibilities are based on a 37.5 hour work week to include:

- 2.1 A minimum of 25 hours spent on direct instruction, if teaching in one location
- 2.2 A minimum of 22.5 hours spent on direct instruction if teaching in more than one location
- 2.3 Teachers should spend 15 minutes per hour of instruction as the budget allows.

\*Any exceptions must be approved by the state office

## **H) Promotional Materials**

Any promotional materials paid with adult education funds must include the statement:

"This project is funded under an agreement with the Tennessee Department of Labor and Workforce Development."

### **(1) Student Information and Photographs:**

Programs must get a written release when students' photographs or a story including information about them are published in a newspaper, newsletter, or other publication. Before group photographs of graduates or students are taken that are meant to be published, students should be informed and given an opportunity not to appear in the photograph. Names should only be listed in publications, including graduation programs, with consent from the students.

If students' names and/or photographs are to be used on TV, on radio, in newspapers, or in other print media, a written release from the students should be obtained prior to publication or airing.

## **I) Termination of Services**

Adult education classes are voluntary and are comprised of adults who choose to be there to learn. Any disruption in this learning environment is considered a violation, and termination of services to the individual or individuals responsible is solely at the discretion of the AE supervisor. AE supervisors may make the decision to terminate an adult education student from a voluntary AE class in his/her program for the following: disruption of class, suspected drug or alcohol use while in class, violence, threats, lack of attendance, or lack of academic progress (educational level gain as outlined by the National Reporting System over a 90-day period).

## SECTION IV: AE INSTRUCTORS

- |  |     |
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## 1) Using Educational Levels to Plan Instruction

To meet the curricular needs of students in the Tennessee AE program, it is important to determine their skill levels to provide instruction in the areas that need improvement. Ultimately, the goal is to find the best fit of materials and activities to promote student progress in their identified goal area(s).

### A) National Reporting System

In order to provide information to the federal government about student progress, the *Workforce Innovation and Opportunity Act* established educational functioning levels for adult education programs all across the nation. The NRS specified six AE educational levels and six English as a Second Language (ESL) levels to be used by all federally-funded adult education programs. The NRS helps track student entry level, progress, and exit level.

For AE learners, these NRS educational functioning levels provide global descriptions of students' abilities in reading/writing, numeracy (math), and functional workplace skills. For ESL learners, listening/speaking, reading/writing, and functional workplace skills are provided. (See the *Educational Functioning Level Descriptor*.)

The NRS levels also specify standardized test benchmarks. This makes it possible for instructors to place AE and ESL students into a particular level according to their scaled test scores (CASAS). Using the level descriptors and test benchmarks, instructors can also decide when students are making progress within a level, have completed a level, or are ready to move to the next level.

### B) Educational Functioning Levels

The NRS levels as Educational Functioning Levels (EFLs). Programs use standardized pre-tests to establish an entry EFL for each student enrolled for 12 hours or more. As instruction is provided, ongoing classroom assessment tracks the student's progress. Standardized post-tests (interim and/or exit) must be administered to obtain the student's exit EFL. If a student exits the program before a post-assessment can be administered, the entry level becomes the exit level and the program receives no credit for progress made by the student.

One very important indicator of the success of an AE program is demonstrating the progress of students in completing EFLs and moving to the next level. Students must feel that they are making progress toward their own goals, and the AE program needs to see proof that the students are making academic progress (as measured by standardized assessments).

### C) Comprehensive Adult Student Assessment System (CASAS)

The *CASAS Competencies* help to break down AE or ESL Educational Functioning Levels into an identifiable list of over 360 essential life skills that youth and adults need to be functionally competent members of their community, their family, and the workforce. The *CASAS Content Standards* identify the underlying basic skills at specific proficiency levels that should be taught in the context of *CASAS Competencies*. The *CASAS Competencies* along with the *CASAS Content Standards* form the basis of the CASAS integrated assessment and curriculum management system.

The competencies and content standards are relevant across the full range of instructional levels, from beginning literacy through high school completion including transition to postsecondary education and training. They cover nine broad content areas:

- |                        |                       |                                 |
|------------------------|-----------------------|---------------------------------|
| 0. Basic Communication | 3. Health             | 6. Math                         |
| 1. Community Resources | 4. Employment         | 7. Learning and Thinking Skills |
| 2. Consumer Economics  | 5. Government and Law | 8. Independent Living           |

These critical competencies provide instructional objectives for curriculum, direct links to test content for monitoring student learning, criteria for program evaluation, and a referencing system for instructional materials. Incorporating *CASAS Competencies and Content Standards* into curriculum and using the CASAS assessment system can help Supervisors better meet program needs and fulfill federal reporting requirements.

## 2) Content Standards

The accountability system defines what should be taught and assessed in adult education and literacy programs. Content standards fill that gap by describing what learners should know and be able to do. Instructors use content standards to plan instruction, and learners use standards to set learning goals. Standards help instructors and learners develop plans that keep them focused and engaged.

Standards reflect learner needs and goals across programs within the state. Students and Instruction staff “should know what is expected, what and how progress will be monitored. Standards-based education provides a structured approach for state adult education agencies and local programs to create a system that explicitly links standards, assessments, and curriculum and instruction.

- Content standards drive the system. They clearly state what learners should know, be able to do, and what is taught within adult education programs.
- Assessment serves multiple purposes—monitors learner progress to guide instruction, measures how well learners meet the standards, and holds programs accountable for meeting performance goals.
- Curriculum and instruction focus on what is taught, the instructional design of the program, and the indicators of program quality. Standards guide programs to develop curricula that outline the knowledge, skills, learning activities, and materials that will enable learners to achieve the standards.

Moving forward with standards provides the state and local program Supervisors with an opportunity to think systemically about change. The development of content standards is a valuable process for (1) negotiating the range of knowledge and skills that learners should have, (2) measuring learners’ knowledge and skills, and (3) developing curriculum with a clearly articulated instructional approach and maintaining a strong delivery system.

### A) College and Career Readiness Standards

In April of 2013, the Office of Vocational and Adult Education released a study of the common core standards building on a long commitment to promote adult education content standards. The central purpose of the study —Promoting College and Career Ready Standards in Adult Basic Education—is to forge a stronger link among adult education, postsecondary education, and the world of work. The suggested standards present a starting point for raising awareness and understanding of the critical skills and knowledge expected and required for success in colleges, technical training programs, and employment in the 21st century. (Pimentel 2013)

While the academic standards developed by states in recent decades reflected broad agreement among experts about what was desirable for students to learn, they did not necessarily identify what was essential for students to know to be prepared for the rigors of postsecondary training, work, or citizenship. It was not until the development of the Common Core State Standards (CCSS) in 2010—to date adopted by 46 states for K–12 programs—that such a consensus emerged. Based on evidence from a wide array of sources, including student performance data, academic research, assessment data, and results of large-scale surveys of postsecondary instructors and employers, the CCSS offer clear signposts indicating what is most important for college and career readiness (National Governors Association [NGA] 2010b, 2010c, pp. 91–93).

To identify a set of College and Career Readiness (CCR) standards for adult education, MPR Associates, Inc. convened two independent panels—one each for English language arts and literacy (ELA/literacy) and mathematics—to look at the Common Core State Standards (CCSS) from the perspective of adult education. The methodology employed was deliberative, multilayered, iterative, and evidence based.

The CCRS, was developed to specify the knowledge and skills necessary to succeed in entry-level community college and university courses. The CCRS serve a different purpose than high school graduation standards, which typically emphasize mastery of basic skills and knowledge, and not necessarily college and career readiness. According to research, over 80 percent of 21st century jobs require some post-secondary education. By implementing these standards, secondary school and postsecondary faculty in all academic disciplines will advance the mission of Tennessee college and career ready students.

## B) Standards

Professional development is meaningful only when strategies and concepts are learned and transferred into actual practice. To better measure this learning transfer, program Supervisors are responsible for ensuring that all professional development follows the state recommended standards. The purpose behind the standards is to ensure that programs:

- can show how their practice is informed by research (particularly scientifically based research and professional wisdom),
- have a continual emphasis on quality instruction as it leads to student success, and
- have quality professional development driving quality instruction.

Tennessee Adult Education supports evidence-based professional development as indicated in the following standards for state and local programs' guidance.

Standard 1	Strengthens practitioners' knowledge and application of content areas, instructional strategies, and assessment strategies based on research.
Standard 2	Prepares and/or supports practitioners in creating supportive environments that help adult learners reach realistic goals.
Standard 3	Uses data to drive PD priorities, analyze effectiveness, and help sustain continuous improvement for programs and learners.
Standard 4	Uses a variety of strategies to guide program improvement and initiatives.
Standard 5	Enhances practitioners' abilities to evaluate and apply current research, theory, evidence-based practices, and professional wisdom.
Standard 6	Models and/or incorporates theories of adult learning and development.
Standard 7	Promotes and develops program, community, and state level collaboration.
Standard 8	Requires leadership at the state and local levels to promote effective professional development and continuous instructional improvement.

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## 1) Program Performance

The Adult Education and Family Literacy Act (AEFLA) established accountability requirements as one means of determining program effectiveness. The National Reporting System is used to measure those accountability requirements in five types of **core measures**:

- **Outcome Measures** include educational gains, entered employment, retained employment, receipt of secondary credential or HSE credential, and placement in postsecondary training.
- **Demographic Measures** include race, ethnicity, gender, and age.
- **Student Status Measures** include labor force status, public assistance status, disability status, rural residency status, and highest degree or level of school completed.
- **Participation Measures** include contact hours and enrollment in instructional programs for special populations or topics (such as family literacy or workplace literacy).
- **Teacher Status Measures** include total years of experience and teacher certification.

Tennessee AE programs are responsible for all the required federal benchmarks as negotiated by the state. As required by federal law, each state annually negotiates performance standards for the **core outcome measures** to be applied to the upcoming fiscal/program year. Tennessee's negotiated performance standards are found in Tennessee's 2015 State Plan.

### A) Program Standards

Program standards describe the design, delivery, and management of programs and the instructional services of adult education programs. Program standards, also known as indicators of program quality, are perhaps the most familiar type of standard in adult education. Unlike content standards, which focus on what learners should know and be able to do and the extent to which learners can demonstrate their knowledge and skills, program standards focus on the program as a whole.

Indicators of program quality that support standards-based reform might include:

- offering sufficient hours of instruction for learners to develop concepts and skills necessary to meet the standards;
- using authentic materials and promote problem solving in contexts relevant to learners; and
- providing ongoing professional development opportunities for teachers to:
  - (1) gain knowledge in the content area; and
  - (2) develop skills in teaching and in monitoring progress.

## B) Performance Standards

The purpose of adult education is to improve the basic skills of the adult learner. To measure this improvement, the Workforce Investment Act (WIA) requires adult education performance standards. Tennessee's performance standards are approved by OCTAE annually and may vary based on state performance from year to year.

The adult education performance standards focus on educational gains by educational functioning levels (EFL), and follow-up core outcomes. The current federal funding formula incentivizes these key areas for improvement. The Adult Education and Family Literacy Act (AEFLA), Title II of the Workforce Investment Act of 1998, requires states to establish a comprehensive performance accountability system to assess the effectiveness of eligible agencies in making continuous improvement in their adult education and literacy activities. Performance results for adult education and literacy is based on unduplicated enrollment numbers

## C) Performance Measures

The following chart compares the performance levels required for this program year, 2015, to the previous year as it applies to Adult Basic Education (ABE), Adult Secondary Education (ASE) and English as a Second Language (ESL).

### (1) TENNESSEE ADULT EDUCATION PERFORMANCE MEASURES

<b>Core Indicator #1: Demonstrated improvements in literacy skill levels in reading, writing, and speaking the English language, numeracy problem-solving, English Language acquisition, and other literacy skills.</b>		
	<b>PY14 Target</b>	<b>PY15 Target</b>
<b>Measure 1</b>	<b>68% of ABE beginning literacy level (EFL1)</b> learners will acquire the level of basic skills needed to complete the educational functioning level.	<b>52% of ABE beginning literacy level (EFL1)</b> learners will acquire the level of basic skills needed to complete the educational functioning level.
<b>Measure 2</b>	<b>63% of ABE beginning level (EFL 2)</b> learners will acquire the level of basic skills needed to complete the educational functioning level.	<b>42% of ABE beginning level (EFL 2)</b> learners will acquire the level of basic skills needed to complete the educational functioning level.
<b>Measure 3</b>	<b>58% of ABE low intermediate level (EFL 3)</b> learners will acquire the level of basic skills needed to complete the educational functioning level.	<b>40% of ABE low intermediate level (EFL 3)</b> learners will acquire the level of basic skills needed to complete the educational functioning level.
<b>Measure 4</b>	<b>59% of ABE high intermediate (EFL 4) level</b> learners will acquire the level of basic skills needed to complete the educational functioning level.	<b>44% of ABE high intermediate (EFL 4) level</b> learners will acquire the level of basic skills needed to complete the educational functioning level.

## (2) TENNESSEE ADULT EDUCATION AND LITERACY PERFORMANCE MEASURES

<b>Core Indicator #1: Demonstrated improvements in literacy skill levels in reading, writing, and speaking the English language, numeracy problem-solving, English Language acquisition, and other literacy skills.</b>	
<b>PY14 Target</b>	
<b>PY15 Target</b>	
<b>Measure 5</b>	<b>73% of ASE low</b> (EFL 5) learners will acquire the level of basic skills needed to complete the educational functioning level.
<b>Measure 6</b>	<b>N/A</b> (the Federal government does not recognize completion of level 6) <b>ASE high</b> (EFL 6) learners will acquire the level of basic skills needed to complete the educational functioning level.
<b>Measure 7</b>	<b>58% of ESL beginning literacy level</b> (EFL 7) learners will acquire the level of basic skills needed to complete the educational functioning level.
<b>Measure 8</b>	<b>64% of ESL low beginning level</b> (EFL 8) learners will acquire the level of basic skills needed to complete the educational functioning level.
<b>Measure 9</b>	<b>64% of ESL high beginning level</b> (EFL 9) learners will acquire the level of basic skills needed to complete the educational functioning level.
<b>Measure 10</b>	<b>68% of ESL low intermediate level</b> (EFL 10) learners will acquire the level of basic skills needed to complete the educational functioning level.
<b>Measure 11</b>	<b>58% of ESL high intermediate level</b> (EFL 11) learners will acquire the level of basic skills needed to complete the educational functioning level.
<b>Measure 12</b>	<b>59% of ESL advanced level</b> (EFL 12) learners will acquire the level of basic skills needed to complete the educational functioning level.

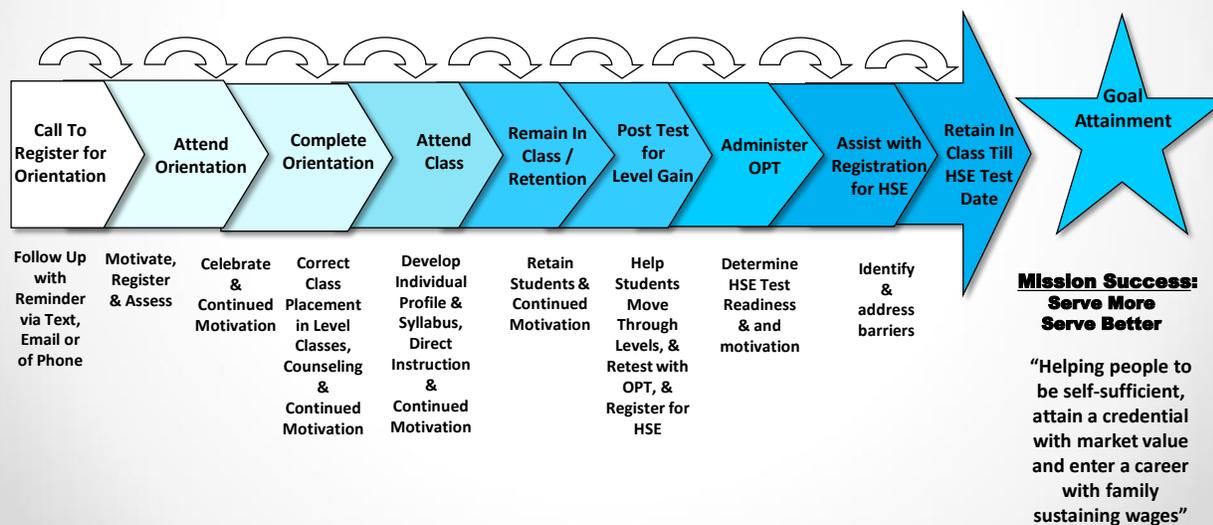
**(3) TENNESSEE ADULT EDUCATION AND LITERACY PERFORMANCE MEASURES**

<b>Core Indicator #2: Placement in, retention in, or completion of unsubsidized employment or postsecondary education/training.</b>	
<b>PY14 Target</b>	
<b>PY15 Target</b>	
<b>Measure 1</b>	<b>0%</b> of unemployed adult learners <b>in the labor force upon entry</b> who <b>exit during the program year</b> will obtain unsubsidized employment.
	<b>48%</b> of unemployed adult learners <b>in the labor force upon entry</b> who <b>exit during the program year</b> will obtain unsubsidized employment.
<b>Measure 2</b>	<b>0%</b> of adult learners <b>employed at entry</b> who <b>exit</b> during the program year; and <b>learners who were not employed at time of entry and in the labor force</b> , who are <b>employed at the first quarter after exit quar-</b>
	<b>81%</b> of adult learners <b>employed at entry</b> who <b>exit</b> during the program year; and <b>learners who were not employed at time of entry and in the labor force</b> , who are <b>employed at the first quarter after exit quarter</b> , will retain their job.
<b>Measure 3</b>	<b>72%</b> of adult learners who have earned a secondary credential (HSE) while enrolled, hold a secondary credential (H.S. or equivalent diploma) at entry, or are enrolled in a class specifically designed for transitioning to community college (i.e., program type: transition class), who exit during the program year will enroll in further postsecondary academic or vocational programs.
	<b>76%</b> of adult learners who have earned a secondary credential (HSE) while enrolled, hold a secondary credential (H.S. or equivalent) at entry, or are enrolled in a class specifically designed for transitioning to community college (i.e., program type: transition class), who exit during the program year will enroll in further postsecondary academic or vocational programs.
<b>Core Indicator #3</b>	<b>Receipt of a secondary school diploma or its recognized equivalent.</b>
<b>Measure 1</b>	<b>31%</b> of adult learners who take all HSE tests, or are enrolled in adult high school at the high Adult Secondary Education (EFL 6) level, who exit during the program year, will <b>pass the HSE assessment.</b>
	<b>15%</b> of adult learners who take all HSE tests, or are enrolled in adult high school at the high Adult Secondary Education (EFL 6) level, who exit during the program year, will <b>pass the HSE assessment.</b>

## 2) Critical Control Points

In 2014 Tennessee Adult Education specialists outlined the steps of a student's journey through an Adult Education program. Several critical points were identified where students may fall through the gaps and fail to be served adequately. It was determined that Nine Critical Control Points are crucial to student success. Program supervisors and all staff should be familiar with these critical points and take action to fill the gaps where students are likely to drop out .

# Tennessee Adult Education Critical Control Points



### **3) Data (IAN - PROOF/UPDATE)**

#### **A) Access and Data Entry**

The local adult education program is responsible for entering all required information into CMATS according to the schedule set by the Division of Adult Education.

Staff must have a state-issued ID number in order to participate in CMATS training. All AE program staff using CMATS must have their own state-issued ID number, maintain a secure password, and complete state training in order to access the database. Untrained staff must not access the database. Program staff must not share passwords or use one another's IDs to access the database.

A State of Tennessee Acceptable Use Policy: Network Access Rights and Obligations User Agreement must be completed annually by all staff with access to CMATS.

Program supervisors are to notify the Division of Adult Education within 2 hours of the termination of any employee with a state-issued ID number. Supervisors should notify the Division of Adult Education of name changes of any employee with a state-issued ID number.

Grantees are responsible for establishing local program procedures which protect the confidentiality of both paper and digital versions of student data.

(See Data Policy and Guidelines)

#### **B) Assessments and Class Placement**

The National Reporting System (NRS) requires an initial academic skills test for placing students in the appropriate educational functioning level. Individuals eligible for enrollment in adult education programs must complete, within the first 12 contact hours, a standardized assessment approved by the Division of Adult Education. Approved assessments may be found in the full Assessment Policy.

#### **C) Performance Measures**

As a federally funded program, all Tennessee adult education programs must report data as required by the National Reporting System. (Please refer to the current year's approved performance targets).

There are Outcome Measures that must be reported on ALL students according to the following Core Indicators:

- (1) Core Indicator #1:** Demonstrated improvements in literacy skill levels in reading, writing and speaking the English language, numeracy problem-solving, English language acquisition, and other literacy skills.
- (2) Core Indicator #2:** Placement in, retention in, or completion of postsecondary education, training, subsidized employment, or career advancement.
- (3) Core Indicator #3 :** Receipt of a secondary school diploma or its recognized Equivalent.

## D) Legal Issues: ADA and IDEA

A student is expected to progress through the levels, albeit at his own pace. If level progression is not apparent after 90 hours of instruction, then program supervisor should consider referral to a more appropriate agency.

Notes: The American's with Disabilities Act (ADA) applies to all persons with disabilities, while IDEA legislation applies to all children and adolescents from birth through school age (up to 21 years) who are part of a school system. For more information on ADA and IDEA policy consult:

ADA <http://www.ada.gov/>

IDEA <http://idea.ed.gov/explore/home>

## E) Privacy

Information regarding a student's enrollment, participation in a class, attendance, test scores, progress, achievement, or any other questions about adult students must only be available to program personnel with a need to know. Parents of students over the age of 18, employers, judges, agency personnel, family, friends, or anyone else inquiring about an adult must not be given any information unless the student gives written permission to do so.

Grantees are responsible for establishing local program procedures which protect the confidentiality of both paper and digital versions of student data.

Confidentiality is necessary when establishing workplace classes. If employers ask about progress of their employees, adult education personnel should only give information in general terms. Information may only be shared with written permission from the student.

(See also Program Management – Promotional Material )

## F) NRS PERFORMANCE WORKSHEET

### TENNESSEE NRS PERFORMANCE WORKSHEET PY 2015-16

MEASURE	2013-14 National Average	Actual 2013- 14 Perfor- mance	2014-15 Target	Proposed 2015-16 Target	Change From Performance
ABE Beginning Literacy	44%	51%	68%	52.00%	2%
ABE Beginning Basic Edu- cation	46%	38%	63%	42.00%	11%
ABE Intermediate Low	45%	37%	58%	40.00%	8%
ABE Intermediate High	37%	43%	59%	44.00%	2%
ASE Low	40%	60%	73%	60.00%	0%
ESL Beginning Literacy	50%	31%	58%	40.00%	29%
ESL Beginning Low	55%	34%	64%	43.00%	26%
ESL Beginning High	54%	37%	64%	46.00%	24%
ESL Intermediate Low	48%	38%	68%	40.00%	5%
ESL Intermediate High	43%	30%	58%	34.00%	13%
ESL Advanced	25%	47%	59%	48.00%	2%
Entered Employment	40%	46%	0%	48%	4%
Retained Employment	60%	77%	0%	81%	5%
Obtained a Secondary School Credential or Its Equivalent	73%	72%	72%	76%	6%
Entered Postsecondary Ed- ucation or Training - current program year	31%	7%	31%	15%	114%
		43.20%		47.27%	16.86%

NOTES:

Grantee Signature:

DAEL Director Signature:

\*\*THIS AGREEMENT IS NOT FINAL UNTIL THE  
GRANT AWARD NOTIFICATION IS ISSUED.\*\*

## 4) Monitoring Program Performance

2014-2015 TN AE Monitoring Plan (reference complete monitoring plan for full details)

### A) General Information

#### Preface

This monitoring plan has been developed to provide a reference guide for statewide Adult Education (AE) monitoring activities. The information in this handbook is intended as a guide and does not limit the reviewers in number, scope, or format.

This monitoring procedure contains the required Policy 2013-007 Central Procurement Office Grant Management & Sub recipient Monitoring Policy and Procedures elements which include: federal and state program descriptions of each program to be monitored; total sub recipient contract population; sub recipient contracts to be monitored; agency monitoring cycle; sample monitoring guides; risk assessment and assignment criteria; full-time equivalents and personnel classifications for staff dedicated to monitoring activities; summary of findings; the grants monitoring process and explanation of agency's corrective action process.

In addition, this plan also includes Equal Employment Opportunity (EEO) information; the monitoring process and the program requirements for the Integrated English Language and EL/Civics Programs.

### B) Introduction

Workforce Innovation and Opportunity Act places primary emphasis on program performance at the state and local area levels. Monitoring at state and local area levels will ensure that proper systems are in place, are being followed, and meet the requirements of the law. To accomplish this, the state has prepared this Monitoring Procedure Manual, which includes the onsite and desktop monitoring systems, corrective action, follow-up procedures and other items.

The reason for the emphasis on monitoring is to assist in reducing the possibility of audit exceptions, sanctions, or unallowable costs (which may have to be reimbursed to the federal government). Through the use of established monitoring procedures, the state and local areas may minimize problems by early detection and correction.

The goals for the Division of Adult Education (DAE) monitoring are to:

- ensure that programs meet Adult Education and Family Literacy Act (AEFLA) requirements
- improve the quality of funded activities
- provide assistance in identifying and resolving accountability problems
- ensure the accuracy, validity, and reliability of data collection and data reporting as well as policies and procedures for program accountability

By using the questions and interview of staff and management for each program, the monitor should receive consistent information from all grantors about all programs. The grantor can answer these questions and submit the information to the monitor, or the monitor can use this document as a guide when conducting information-gathering meetings with grantors.

## **(1) Purpose**

Monitoring can serve many purposes. Although it is most common to monitor for compliance with federal and grant requirements, monitoring should be viewed as a multi-faceted management activity directed at achieving program goals and financial requirement standards. Monitoring then becomes a program identification tool that links planning, program design, implementation, technical assistance evaluation and financial requirement standards. The purpose of this review guide is to examine AE program compliance under the Tennessee Department of Labor and Workforce Development. These programs are provided statewide in accordance with each program's policies regarding agreements, responsibilities and activities. It is the department's position, and the position of the federal funding agency that distributes funds to the states, that such services and contractors should be monitored annually.

The Division of Adult Education's Program Monitor will conduct sub recipient monitoring reviews of Adult Education (AE) contractors.

All sub recipients will be monitored with a desk-top and/or on-site review annually.

All sub recipients will receive a comprehensive on-site review at a minimum of once every three years.

To conduct a thorough review, the Program Monitor will examine both the fiscal and programmatic aspects at the Administrative Offices and/or Service Delivery Areas (SDAs). This updated Guide should be used to review program delivery, expenditures and invoices which are connected to contracts and activities.

Monitoring reviews, fiscal reviews and programmatic reviews can be conducted at the Administrative Offices. However, a programmatic review would be incomplete without the Program Monitor observing "first-hand" the delivery of participant services that occur in the classroom setting.

The opportunity to deliver AE services in the SDAs is awarded to an eligible provider through a competitive application process every 3 (three) years, with the possibility of an annual renewals/modification.

## **(2) Grant Monitoring Process**

**Notification Process:** The Program Monitor will provide written notice to each entity being monitored at least 10 (ten) business days prior to reviews being conducted. The written notice will inform the entity of the dates for review, the programs that will be reviewed, and the contract numbers that will be examined and the estimated time of arrival.

If the date(s) identified in the written notification is not convenient for the entity being monitored, the entity must contact the Program Monitor immediately. The entity and the Program Monitor will determine a mutually-satisfactory date, and the review will be rescheduled. However, the Program Monitor reserves the right to conduct monitoring or unscheduled reviews as appropriate.

Monitoring Process: The Tennessee Department of Labor and Workforce Development (TDLWD), Division of Adult Education Program Monitor will use the monitoring guide to conduct fiscal system activities and program reviews. The guide will be amended as regulatory changes occur.

The monitor review may be conducted through desktop evaluation, onsite evaluation or through a combination of these two processes.

The Program Monitor is authorized to monitor any entity receiving AE funds. Their review may include examining program records, questioning employees, interviewing participants, and entering any site or premise which receives AE funds.

Random sampling techniques will be used to perform the review of program records. The Program Monitor will hold an exit conference with appropriate officials for each review conducted.

After the Program Monitor finishes the examination, working papers shall be established during the review and maintained by the TDLWD.

### **(3) Time Schedules**

Monitor Report: A monitoring report indicating noteworthy practices, non-compliance and corrective actions as well as recommendations for improvement is issued within 15 (fifteen) working days of the completion of the monitor working papers.

Corrective Action: A corrective action plan (CAP) will be submitted within 30 (thirty) calendar days of the publishing of monitoring report that requires corrective action.

Progress Report: A progress report will be issued to TDLWD each month until the corrective action has been accomplished.

Letter of Resolution: A letter of resolution will be sent to the provider stating that all actions have been taken and the CAP is closed.

## **C) Required Monitoring Plan**

Grants awarded by Adult Education consist of, at present, cost-reimbursement contracts awarded to local school systems (LEA), SDAs, community base organizations (CBOs), community colleges (CC) and Tennessee Colleges of Applied Technology (TCATs).

Additional emphasis is placed on quality service and continuous improvement in performance outcomes. The aggregate effort of the providers in an SDA determines that area's annual performance, and the combined efforts of all partners will be reflected in statewide performance.

By using the questions and interview of staff and management for each program, the monitor should receive consistent information from all grantors about all programs. The grantor can answer these questions and submit the information to the monitor, or the monitor can use this document as a guide when conducting information-gathering meetings with grantors.

## D) Contact Information Regarding the Monitoring Process

### Program Contact Information

Jason C. Beard, Administrator (AE)

Wanda Cameron, Director Fiscal Services (AE)

Ian White, Director Performance, Compliance & Testing Services (AE)

Phone (615) 741-7054

### Fiscal Contact Information

Wanda Cameron, Director Fiscal Services (AE)

Ian White, Director Performance, Compliance & Testing Services (AE)

Phone (615) 741-7054

### Contract Office

Contract Coordinator- Pending

TDOL Fiscal Division

Phone: 615-741-1071 or 615-532-1338 5240

Ian White is currently performing desktop reviews for the Division.

Phone (615) 741-7054

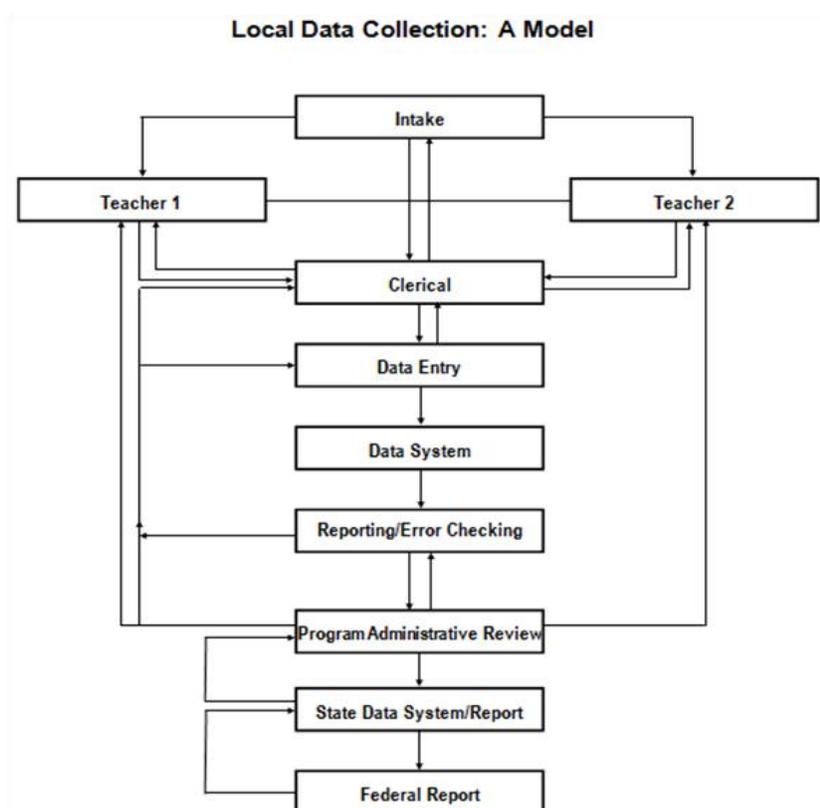
## E) COMPLIANCE CHECKLIST \*\*\*\*\* IAN

Record keeping requires:

- Understanding the definitions of each measure and having clear guidelines on how to record these measures, including how to handle missing or incomplete data;
- Compliance with the state-defined procedures for assessing students for placement into educational functioning levels and assessing progress;
- Correctly reporting data to the state.

Supervisors should know and annually review their flow of data collection as illustrated by NRS's exhibit "Local Data Collection: A Model" and by making corrective measures necessary to achieve the three components to collecting valid and reliable data:

- a well-planned, effective process;
- resources to implement the process; and
- clearly defined procedures for collecting each measure.



Like other processes, data collection requires planning, constant attention, oversight, and fine-tuning through monitoring, error checking, and training. With a sound, well-planned process, sufficient resources, and oversight, the program can have a data collection system that produces valid and reliable data to assist program management and promote improvement.

Data collection is a complex activity—mistakes and missing data can happen. For example, staff may fail to complete forms fully because of high workload or simple oversight, or the required information may not be available when it is needed. The data collection system must have procedures for checking data for completeness and accuracy at several points during the process. Data checking should follow

a regular, prescribed schedule with clear deadlines. Included in the [Assessment Policy](#) for Tennessee is a Data Quality Checklist. This checklist should be completed annually to assess the program's compliance and ability to report data with integrity. More than one staff person should be assigned to perform these data checking functions, and these functions should be made explicit in the staff job description. The process should include a regular opportunity for the Supervisor to review data reports. As the person most responsible, the Supervisor may often be the only person in the program who can see the big picture and thus, brings a different perspective to the data review process. This review may raise further questions about data integrity, requiring another round of data checking and verification among the staff. The Supervisor is encouraged to share data reports with staff as a means to identify problems, track progress, and receive staff buy-in into the data collection process by demonstrating how data can be used for program management and improvement.

With good data, a Supervisor is able to make effective local plans, include committee members as part of the participatory plan that compliments and addresses service gaps, and prepare and use the monitoring experience to learn and grow as a program. Supervisors are encouraged to incorporate the classroom observation tool, part of the monitoring instrument, to begin to identify content standards being taught and plan for future professional development needs.

## SECTION VI: PROGRAM FISCAL MANAGEMENT

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## Program Fiscal Management

Adult education (AE) instructional programs receive funding from the Tennessee Department of Labor and Workforce Development (TDOLWD), Division of Adult Education, through a competitive grant process. Resources are allocated in a manner that best serves the needs of adult learners and the intent of the Workforce Investment Act (WIA) of 1998.

### 1) Allowable Activities

The Division of Adult Education will provide the following activities:

**Adult Education (AE) – Academic instruction and education services below postsecondary level that increase an individual's ability to read, write, and speak in English and perform mathematics at a level necessary for the attainment of a high school equivalency diploma.** This academic instruction and education service will be targeted to meet the needs of the student based upon academic functioning level as determined by standardized testing. Services provided will be tailored to meet AE core performance indicators including, but not limited to, transition to postsecondary education and training or employment. Students will receive employability skills and basic computer skills training as part of their instruction which can lead to the attainment of a certificate verifying completion of said training.

**Workplace Adult Education and Literacy Activities – Eligible providers will develop partnerships with business, industry and the Local Workforce Investment Area to provide Adult Education activities in collaboration with an employer or employee organization at a workplace or an off-site location that is designed to improve the productivity of the workforce.**

**English Language Acquisition Activities – Eligible providers will develop a program of instruction designed to help eligible individuals who are English language learners achieve competence in reading, writing, speaking, and comprehension of the English language.**

**Integrated English Literacy and Civics Education (IEL/CE) - The Integrated English Literacy and Civics Education Programs in Tennessee will provide services to English language learners (ELL) who are adults, including professionals with degrees and credentials in their native countries that enable them to achieve proficiency necessary to function on the job, in their families and in society.**

These services shall include instruction in literacy and English language acquisition as well as instruction on the rights and responsibilities of citizenship and civic participation. Job readiness training, which may transition to career pathways, will also be included in instruction and will be facilitated by the integration of digital literacy. In addition, students will be instructed in computation and problem solving at levels of proficiency necessary to promote personal growth and to integrate effectively into their communities. Academic instruction will enhance students' abilities to obtain a high school equivalency diploma and pursue post-secondary education. Information and resources for job advancement and training opportunities will be made available to students.

**Workforce Preparation Activities – Eligible providers will help individuals acquire a combination of basic academic skills, critical thinking skills, digital literacy skills, and self-management skills, including competencies in utilizing resources, using information, working with others, understanding systems, and obtaining skills necessary for successful transition into and completion of postsecondary education or training, or employment.**

### 2) Eligible Populations

Adults eligible for services with adult education funding include individuals who are at least 16 years of age, who are not enrolled or required to be enrolled in secondary school under state law (if under 18, legally released from compulsory attendance<sup>†</sup>), and who lack sufficient mastery of basic educational skills to enable the individuals to function effectively in society; do not have a secondary school diploma or its recognized equivalent; and have not achieved an equivalent level of education, or are unable to speak, read, or write the English language (WIA Title II, Section 203 (1)).

It is the policy of the Division of Adult Education to treat all students fairly and consistently. Therefore, all students who are eligible for Adult Education services under the Workforce Investment Act, Title II, will enroll and be served according to the identified needs of the local community in which the Adult Education program operates.

Since Adult Education is a voluntary program whose primary function is to serve adults, no information concerning enrollment or attendance will be shared with any outside agency or individual unless approved in advance by the individual in writing. Classes will be scheduled at the local level based on the needs of the community. There will be no scheduled times or hours for any one population except for workplace classes which will be scheduled on-site or at an Adult Education facility at the request of the business. Students will be assigned to the appropriate Adult Education class based on educational functioning level as identified by a Division-approved assessment instrument.

†Adults under the age of 18 must be coded 00 (dropout under 18) or 10 (withdrawn to home school). Eligible home school students are those who have an approved "Intent to Home School" form on file in the Director of Schools' Office and whose parent is teaching the child at home. Proof of withdrawal must be placed in the student file.

### 3) Fiscal Management

Amounts reported as expenditures for reimbursement must be for allowable services after the expense is incurred. Records must show that those who received services or benefits were eligible to receive them.

Funds for grants will be used to supplement and not supplant the amount of state and local funds available for uses specified in the Workforce Innovation and Opportunity Act (WIOA). The term supplanting means to deliberately reduce local funds because of the existence of federal funds.

All duties and responsibilities of state-funded adult education positions must be dedicated to adult education and literacy activities.

### 4) Allowable Expenditures

Funds for Adult Education programs are intended for direct services to individuals. Allowable expenditures under this application for funding include:

#### A) Supervision

**Note:** Supervisor, coordinator, and clerical salaries not directly tied to classroom activities are considered administrative costs. Section 233 of the AEFLA states:

Instructional duties may include direct teaching, testing, orientation, counseling students, and other instructional activities involving working directly with the students.

The local program manager/supervisor position will be paid according to the local salary schedule based on degree and years of experience contingent on available funds. Eligible organizations that do not have an established salary schedule based on degree and years of experience will be paid at the agency's established rate or at a rate comparable with other supervisory staff in the agency with similar duties, education, and years of experience. Salaries must be approved in advance by the Division of Adult Education. Written approval of must be on file. Supervisors are expected to spend 100% of their time on Adult Education activities and must not be assigned other duties by the local system.

Benefits approved for reimbursement with adult education funds for full-time program managers/supervisors are Unemployment Insurance, medical insurance, retirement through Tennessee Consolidated Retirement System or a similar system approved by the Division of Adult Education, Worker's Compensation, Social Security, and Medicare.

Benefits approved for reimbursement with adult education funds for full-time teachers are Unemployment Insurance, the State's portion of medical insurance and retirement, Worker's Compensation, Social Security, and Medicare. Additional benefits provided to employees by the agency as part of the **basic benefits package**, such as dental and life insurance, are also approved for reimbursement (only if they are a part of the benefit package). Optional benefits or benefits incurring an additional cost to the agency must be paid by the local system and cannot be paid with adult education funds.

If the provider does not offer the state retirement plan, a 401K plan is allowable for full-time employees if it does not exceed the amount that would normally be placed into the state retirement plan for that employee. If the provider does offer the state's retirement plan, a 401K will not be an option with Adult Education funds.

### **B) Instruction**

Funds must be used to pay for classroom instruction for eligible adult education students only. All paid teaching personnel must have a minimum of a Bachelor's Degree. A Tennessee Teacher's License is required unless an exception is approved by the Division of Adult Education.

Full-time degreed teachers may be reimbursed according to the current year Division of Adult Education salary schedule for a teaching position. Local funds supplement the remaining salary package.

Licensed teachers paid hourly will be paid \$22/hour not to exceed the maximum amount allowed on the Division of Adult Education salary schedule and contingent on funding being available.

All personnel paid with adult education funds are required to maintain documentation to verify that salaries/hourly wages charged are commensurate with the amount of time devoted to the project.

The state's portion of Social Security and Medicare must be paid at the current rate for part-time employees. The State's portion of retirement may be paid on part-time employees that are currently vested in the Tennessee Consolidated Retirement System (TCRS). Any other benefits received by part-time employees must be paid by the local system and cannot be paid with Adult Education funds.

Benefits approved for reimbursement with adult education funds for full-time teachers are Unemployment Insurance, the State's portion of medical insurance and retirement, Worker's Compensation, Social Security, and Medicare. Additional benefits provided to employees by the agency as part of the **basic benefits package**, such as dental and life insurance, are also approved for reimbursement (only if they are a part of the benefit package). Optional benefits or benefits incurring an additional cost to the agency. must be paid by the local system and cannot be paid with adult education funds.

If the provider does not offer the state retirement plan, a 401K plan is allowable for full-time employees if it does not exceed the amount that would normally be placed into the state retirement plan for that employee. If the provider does offer the state's retirement plan, a 401K will not be an option with Adult Education funds. Employee benefit costs, while not paid directly to the employee (i.e. insurance premiums), are eligible for reimbursement to the local system.

### **C) Paraprofessional/Clerical**

Funds may be used to employ paraprofessional support for instructional services or clerical support. Note that clerical support is an administrative cost and must be included in the 5% limit on administrative costs.

Paraprofessional/clerical staff shall be paid at a rate comparable with other paraprofes-

sional/ clerical staff in the local system with similar duties, education, and years of experience.

Under no circumstances shall the rate of pay exceed the hourly rate of an adult education instructor and/or the state portion of a beginning teacher salary as listed in the current year Division of Adult Education salary schedule.

The state's portion of Social Security and Medicare must be paid at the current rate for part-time employees. The State's portion of retirement may be paid on part-time employees that are currently vested in the Tennessee Consolidated Retirement System (TCRS). Any other benefits received by part-time employees must be paid by the local system and cannot be paid with Adult Education funds.

Benefits approved for reimbursement with adult education funds for full-time employees are Unemployment Insurance, the State's portion of medical insurance and retirement, Worker's Compensation, Social Security, and Medicare. Additional benefits provided to employees by the agency as part of the **basic benefits package**, such as dental and life insurance, are also approved for reimbursement (only if they are a part of the benefit package). Optional benefits or benefits incurring an additional cost to the agency, must be paid by the local system and cannot be paid with adult education funds.

If the provider does not offer the state retirement plan, a 401K plan is allowable for full-time employees if it does not exceed the amount that would normally be placed into the state retirement plan for that employee. If the provider does offer the state's retirement plan, a 401K will not be an option with Adult Education funds. Employee benefit costs, while not paid directly to the employee (i.e. insurance premiums), are eligible for reimbursement to the local system.

#### **D) Materials, Supplies, and Equipment**

Supplementary materials must be appropriate for adults, suitable to the population for which they are to be used (i.e. ESOL, high school equivalency prep, etc.) and appropriate for the students' educational functioning levels. Materials purchased with adult education funds may only be used with adult education eligible students who are enrolled in the AE program. Assessment materials must be available.

Equipment for use in the AE program may be purchased if the purchase is reasonable and necessary to effectively operate the adult education program and if existing equipment is not sufficient. Equipment over \$500 must have prior approval of the Division of Adult Education before purchasing. Any equipment purchased must be identified with a state tag and follow the Department of Labor and Workforce Development's equipment inventory policy.

#### **E) Travel**

Mileage may be reimbursed for local travel between/among sites on adult education business. Mileage from home to the employee's assigned worksite or from the worksite to home is not an allowable expense. Travel must comply with the State of Tennessee Department of Finance and Administration, Policy 8- Comprehensive Travel Regulations. All travel must be documented to include destination, mileage to and from destination, and purpose of travel. Since travel rates are subject to change, current travel regulations will be supplied to the grantee.

Personnel traveling by an indirect route must assume any extra expense incurred.

Only mileage on official adult education business may be claimed for reimbursement. All travel must be documented to include destination, mileage to and from destination, and purpose of travel.

Meal reimbursement for employees on one-day travel is not permitted.

It is the responsibility of the supervisor to be familiar with and adhere to established state travel policies. The most current state rate schedule must be followed for reimbursement for eligible

mileage, meals, hotels, or other eligible expenses incurred for in-state travel to staff development activities. Any exceptions where cost would exceed the normal state travel allowance must be approved in advance by the Division of Adult Education. If local travel reimbursement rates are different from the state rate schedule, the local guidelines may only be used if the amounts are less than those published in the current state rate schedule.

Out-of-state travel is not permitted with adult education funds unless pre-approved by the Division of Adult Education. Approved out-of-state travel is the basis for reimbursement in accordance with these provisions. When approval is granted, reimbursement may be requested at the out-of-state rates described in CONUS travel guide published on the Internet at [www.gsa.gov](http://www.gsa.gov). All signatures on travel claims must be original.

## 5) Expenditures Unallowable With This Grant

Costs unallowable with this grant include:

- Lobbying
- Food
- Fees for high school equivalency assessments
- Contributions and donations
- Fundraising, solicitations
- Gifts to teachers or students
- Student incentives or stipends
- Entertainment
- Graduation expenses
- Costs for out-of-state travel (unless pre-approved by Division of Adult Education)
- Travel for anything other than approved AE business
- Child care (Programs are encouraged to partner with other agencies to provide this service if needed)
- Transportation (Programs are encouraged to partner with other agencies to provide this service if needed)
- Expenditures for general purpose equipment, e.g. air conditioning, refrigerators, microwaves,
- Capital improvements which add permanent value
- Life insurance, dental insurance, and other benefits not included in the agency's basic benefits package, other than those listed as allowable in the Supervision, Instruction, and Paraprofessional/ Clerical sections.
- Scholarships and student aid costs

Expenses for anyone other than adult education staff

The above list is not meant to be all inclusive. In the event there is a question about a cost not mentioned, contact the Division of Adult Education for clarification/approval prior to purchase.

The approved budget will be the basic fiscal document. Once the contract is signed, it becomes a part of the basic agreement between the Department of Labor and Workforce Development Division of Adult Education and the local provider. Programs and funds will be administered in accordance with the policies and procedures established by the Division of Adult Education and the governing unit of the grantee, provided the local procedures are not in conflict with policies of the state. Amounts reported as expenditures must be for allowable services after expense is incurred. Records must show that those who received services or benefits were eligible to receive them. Fiscal records must be retained for five years.

During fiscal monitoring, any documentation, notes, and other materials used in the claim preparation process must be available for review. Any or all of the following may be required:

- general ledger, expenditures, and any adjusting entries by separate funding categories— adjusting entries should clearly identify any differences if the figures in the expenditure reports do not agree with the general ledger figures
- copies of vouchers supporting payment for salaries, benefits, materials, supplies, travel, and all other expenditures specifically related to the approved line-item budget

lists of all instructors, support, and administrative personnel, with an accounting of salaries/hourly wages paid with adult education dollars (the salaries/hourly wages must agree with the approved budget), and/or list of assigned job duties for all staff paid with adult education funds.

Monthly time and effort documentation must be on file for any staff member that performs duties other than instructional.

The following section defines administrative and instructional costs.

## 6) Further Guidance: Administrative and Instructional Costs

Allowable Cost Categories and Activities for Budgeting Adult Education Funds.

### A) Instructional Examples:

All costs associated with providing instruction to adult education students. These costs are: teacher salaries, salaries of teacher aides or assistants, equipment for the classroom, educational materials or curriculum purchases to include software.

All costs associated with the development and implementation of curriculum for classroom instruction.

All costs associated with the student intake and enrollment process.

Activities such as: testing, student eligibility determination, all collection of data to determine eligibility, and costs associated with the placement of students in the program.

Any activities carried out by an administrative staff person to provide classroom space for students, application and intake activities, curriculum development and any other direct activities that are considered instructional in nature.

### B) Administrative Examples:

Direct costs associated with the administration of the adult education program.

Salaries and fringe benefits of personnel engaged in the following activities such as: supervisory, clerical, and fiscal personnel that do administrative work.

Costs identifiable with program administrative positions, such as the purchase of material, supplies, equipment, data entry, and travel.

Program and fiscal records must be available for audit upon request by authorized agents of the Department of Labor and Workforce Development. The costs claimed for reimbursement should be auditable to determine that they are specifically and directly attributable to the operation of the adult education programs.

Documentation of expenses will be submitted for reimbursement. If expenses requested for reimbursement are for services not allowable or authorized, reimbursement will not be made to the grantee for those expenses. If payment has already been made for unauthorized expenditures, the amount can be deducted from future reimbursements or paid back directly to the State.

The continuation of grants is contingent on state and federal funding.

Budgets are prepared and approved annually. Funds are allocated during the fiscal year that begins July 1 and ends June 30. Funds for grants will be used to supplement and not supplant the amount of state and local funds available for uses specified in the Workforce Investment Act. *Supplanting* means to deliberately reduce local funds because of the existence of federal funds.

Each grantee shall keep accessible and intact records that support all claims for funds for a period of five years and follow accounting practices according to the Education Department General Administrative Regulations (EDGAR) <http://www.ed.gov/policy/fund/reg/edgarReg/edgar.html>.

All duties and responsibilities of state-funded adult education positions must be dedicated to adult education and literacy activities.

## 7) Class Schedule

The local AE Program will provide classes year round. Small programs must have at least one class during summer months. Larger programs must have multiple classes to serve the needs in the community.

## 8) Contracts

Contracts are issued to approved grantees. The director/president of the contracting agency must sign the official contract document, agreeing to all terms contained in the contract and the Program Assurances before a contract will be submitted for final approval and signature of the Commissioner of the Department of Labor and Workforce Development. The contract will become official and valid when signed by all parties.

## 9) Budget Changes

The budget as approved may not be altered unless proper procedures are followed and authorization has been obtained from the Division of Adult Education.

### A) Category

Subsequent changes in category (personnel/non-personnel) of an approved budget may be made after written approval by the Division of Adult Education. Approval must be kept on file. Changes within the budget may not alter the approved budget total.

### B) Amendment

If funds are made available by the Division of Adult Education, a written request in narrative form and a revised budget must be submitted. Upon approval, a budget sheet will be sent for appropriate signatures. The approved amended budget will replace the original budget in the contract.

### C) Reimbursements

The amount claimed must be documented by actual paid receipts, timesheets, travel sheets, or other appropriate documentation. A program will receive reimbursement for actual expenditures incurred not to exceed the amount of the approved budget. Reimbursement may be claimed in the month the invoice is paid. Do not estimate expenditures. A reimbursement request must be based on the actual invoice and not on a purchase order.

## 10) Facilities for the Program

The grantee shall provide suitable ADA compliant space conducive to adult learning for the local Adult Education program. The facility shall include office space (s), adequate classrooms for instruction, and a private space for orientation and testing. The learning environment should be in good condi-

tion and properly maintained. If the space and/or facilities provided by the local Adult Education program are not deemed suitable by the Division of Adult Education, the local program will be responsible for securing alternative space and/or facilities. Suitable space is defined as no less than what is required for a high school or TBR setting and must meet all requirements of ADA. If facilities are not suitable, a letter will be sent to the Director/ President. Six months will be given to secure suitable space.

## SECTION VII: APPENDICES

Appendix A	Annual Timeline
Appendix B	Commonly Used Abbreviations and Acronyms
Appendix C	Tennessee Supervisors by Region
Appendix D	Checklist for Student Orientation and Intake
Appendix E	Personal Confidentiality Statement
Appendix F	FERPA Non Disclosure Form
Appendix G	FERPA Facts
Appendix H	Release of Information Form

## Annual Timeline **Jason- do we want this? Starting when, January?**

### JULY – AUGUST 2014

3<sup>RD</sup> THURSDAY OF EVERY MONTH - SUPERVISOR CALL

ALLOCATION AMOUNTS DETERMINED  
 AEFLA GRANT IS AWARDED  
 ESL STATE GRANT APPLICATION DUE  
 NEW SUPERVISOR/NEW INSTRUCTOR TRAINING

### SEPTEMBER – OCTOBER 2014

1<sup>ST</sup> QUARTER REIMBURSEMENT CLAIMS DUE  
 ADULT EDUCATION FINANCIAL REPORT DUE  
 STATE FINANCIAL REPORT DUE  
 YEAR END DATA RELEASED TO FIELD  
 FALL RFA'S DUE

### NOVEMBER – DECEMBER 2014

GEDTS SHIPS SECURE TESTING MATERIALS  
 ANNUAL REPORT DUE TO OCTAE (NRS TABLES, DATA QUALITY CHECKLIST, FINANCIAL REPORT AND NARRATIVE-IDOE)

### JANUARY – FEBRUARY 2015

AEFLA GRANT STATUS UPDATE DUE  
 HiSET® TEST ADMINISTRATION LAUNCHES  
 2<sup>ND</sup> QUARTER REIMBURSEMENTS CLAIMS DUE  
 ANNUAL REPORT PREPARED (IDOE)  
 STATE BOARD PRESENTATION (IDOE)

### MARCH – APRIL 2015

3<sup>RD</sup> QUARTER REIMBURSEMENTS CLAIMS DUE  
 NEGOTIATE PERFORMANCE BENCHMARKS WITH OCTAE  
 STATE PLAN EXTENSION DUE  
 FUNDING ALLOCATION DETERMINED & SHARED WITH FIELD (IDOE)

### MAY – JUNE 2015

LOCAL PLAN EXTENSION IS DUE  
 4<sup>TH</sup> QUARTER REIMBURSEMENTS CLAIMS DUE

### JULY 2015

ALL REQUESTS FOR REIMBURSEMENTS DUE  
 ESL STATE APPLICATION IS DUE  
 AE ANNUAL CONFERENCE

## Commonly Used Abbreviations and Acronyms

This is a quick reference guide to abbreviations used in Adult Education

ABE	Adult Basic Education	NCAL	National Center on Adult Literacy
ADA	Americans with Disabilities Act (federal legislation)	NCSALL	National Center for the Study of Adult Learning and Literacy
ADD	Attention Deficit Disorder	NRS	National Reporting System
ADHD	Attention Deficit Hyperactivity Disorder	OPT	Official GED® Practice Test™
AE	Adult Education	OCTAE	Office of Career, Technical and Adult Education
AEL	Adult Education and Literacy	PAR	Performance Accountability Review Team
BEST	Basic English Skills Test	PD	Professional Development
CAELA	Center for Adult English Language Acquisition	PSA	Public Service Announcement
CAI	Computer Assisted Instruction	PV	Pearson-Vue testing and products
CASAS	Comprehensive Adult Student Assessment System (AEL and ESL standardized tests)	ProLiteracy	Non-profit International Literacy Organization
CBE	Competency Based Education	RFP	Request for Proposal
CBO	Community Based Organization	SDA	Service Delivery Area
CBT	Computer-Based Testing	TA	Technical Assistance
CCRS	College and Career Readiness Standards	TAACE	Tennessee Association for Adult and Community Education
CCSS	Common Core State Standards	TANF	Temporary Assistance for Needy Families (welfare program)
CMATS	Consolidated Management and Activity Tracking System	TDLWD	Tennessee Department of Labor a& Workforce Development
COABE	Commission on Adult Basic Education (national professional organization)	TE	Top Enterprise
CTE	Career and Technical Education	TESOL	Teachers of English for Speakers of Other Languages (professional organization)
DAE	Division of Adult Education	TOEFL	Test of English as a Foreign Language (ESL standardized test used for college entry)
DE	Distance Education	UTCLEE	University of Tennessee Center for Literacy, Education and Employment
DOK	Depth of Knowledge (scale for determining cognitive complexity)	WIA	Workforce Investment Act of 1998 (federal legislation)
DMR	Desktop Monitoring Report	WIB	Workforce Investment Board
DRS	Division of Vocational Rehabilitation Services (Voc Rehab)	WIOA	Workforce Innovation and Opportunity Act
EFL	Educational Functioning Level (federal NRS level)		
ELL	English Language Learner		
ESL	English as a Second Language		
ESOL	English for Speakers of Other Languages		
ETS	Educational Testing Service		
GED®	High school equivalency test		
GEDTS®	GED Testing Service®		
HiSET	High School Equivalency Test		
HSE	High School Equivalency		
IDEA	Individuals with Disabilities Education Act (federal legislation)		
L&W	Life and Work (CASAS test)		
LD	Learning Disability		
LEA	Local Educational Agency		
LEP	Limited English Proficiency		
LINCS	Literacy Information Communication System (national online resources)		
LWIA	Local Workforce Investment Area		
ME	Managed Enrollment		
NALS	National Adult Literacy Survey		

## 2015 Tennessee Supervisors by Region

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Need updated list from Connie Larson

## Checklist for Student Orientation and Intake

Please make a copy and complete this checklist for use with new students/classes.

- Welcoming Activity**
- ORIENTATION**
  - Program purpose and philosophy
  - Available services
  - Physical layout
  - Class schedule
  - Class or building rules
  - Rights and responsibilities
  - Code of conduct/dress code
  - Computer acceptable use policy
- Registration Forms**
  - Paper Form (*Information* completed by student; remainder completed by instructor)
  - CBT form
  - Release of information
  - Media release form
- APPRAISAL**
  - As necessary, administer CASAS Locator to determine correct pre-test
- Standardized Entry Assessment**
  - Assess academic areas using appropriate standardized assessment (related to student goals) and record in the data management system
  - Maintain testing records
- GOAL-SETTING**
  - Administer career interest and aptitude assessments
  - Record primary and secondary goals
  - Discuss career interests and aptitudes
  - Discuss personal, work-related, and further education goals
  - Decide on a plan of study
- INTERVIEW**
  - Discuss learning styles
  - Discuss academic assessment results
  - Administer identifying questions or local screening
  - Discuss and document identified barriers and special learning needs
  - Assist in resolving barriers/needs
  - Document any disabilities and arrange for accommodations
  - Confirm student attendance schedule and commitment status (use a student commitment contract)
  - Establish timelines for future discussion of barriers with student

## ADULT EDUCATION AND LITERACY

**PERSONAL CONFIDENTIALITY STATEMENT**

**This form must be completed by the local AE program Supervisor and any AE staff receiving restricted or confidential data from participants in AE..**

I, \_\_\_\_\_, am an employee of \_\_\_\_\_, which has entered into an Agreement for the Release of Confidential information. I understand that in the course of my employment I may have access to confidential information from participants. These records contain student-specific information including social security numbers. Information will be shared with Tennessee Department of Labor and Workforce Development, and agency or individual the student authorizes. ***No other use will be made of confidential data without a written consent by the participant on file.***

In connection with access to any confidential information furnished by the above, I acknowledge and agree to abide by the terms of the following assurances:

- I will access and use the confidential information only as necessary for the performance of my official job duties and only for the purpose(s) of carrying out the obligations as defined by the AE reporting requirements.
- I will establish or enforce policies and procedures for safeguarding the confidentiality of such data, including but not limited to staff safeguards, physical safeguards and technical safeguards. Individuals may be civilly or criminally liable for improper disclosure.
- I will store the confidential information only on my employer's premises an area that is physically safe from access by unauthorized persons during duty hours, as well as non-duty hours or when not in use.
- I will process the information and any records created from the information in a manner that will protect confidentiality by direct or indirect means, and in such a way that unauthorized persons cannot retrieve the information by any means.
- I will retain identifiable records only for the period of time required and will then destroy the records. Student records are to kept for a period of three (3) years.
- I will immediately notify the State AE Program of *any* suspected or actual violation of confidentiality.
- I will inform the State AE Program when I no longer need restricted access .
- I have read the above-cited agreement and will comply with the terms, including but not limited to, the following: protecting the confidentiality of my personal access codes (e.g., username, password, etc.); securing computer equipment, memory devices and offices where confidential data may be kept; verifying that individuals requesting access to the data are authorized to receive them; and following procedures for the timely destruction of the data.
- I understand if I violate any confidentiality provisions, my access privileges may immediately be suspended or terminated.

**Directory Information is defined by the institution and is not considered to be an invasion of privacy. This information may be disclosed without the student's permission to any reasonable written inquiry. Directory Information is:**

- **Name**                      • **Course of Study**
- **Address**                      • **Dates of Attendance**
- **Email Address**              • **Previous school experience**
- **Phone Number**              • **Date/Place of Birth**

**Students who wish to prevent the release of Directory Information under any circumstances, can protect all of their Educational Records by completing a Non-Disclosure form.**

## **Jason, FERPA requires us to have a non disclosure form.**

**By signing below, I acknowledge that I have read and understand the information about the confidentiality requirements for the data gathered from participants and shared with Tennessee's Workforce Development; and other individuals and organizations authorized by the student and I will adhere to them. I understand the possible penalties for failure to comply.**

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Printed Name/Title: \_\_\_\_\_

Institution Name: \_\_\_\_\_

Telephone/Email: \_\_\_\_\_

**Please return this completed signed form for each staff person approved for direct access to Personal Confidential Information to the local SDA Supervisor.**

This document will be retained by the SDA Supervisor and made available for program monitoring.

## FERPA Facts **JASON** THIS IS CURRENT DOCUMENT

**FERPA** is the Family Educational Rights and Privacy Act enacted in 1974 that protects students' educational records and gives them the following rights:

- Right to review and inspect educational records maintained by the institution
- Right to seek amendment to any portion of an educational record
- Right to have some control over the disclosure of information
- Right to obtain a copy of the College's FERPA Policy
- Right to file a complaint with the DOE Family Policy Compliance Office in Washington, DC

**FERPA rights are assigned to all students once they enroll in postsecondary education, including Adult Education and ESL students.**

**Educational Records include Directory Information and Personally Identifiable Information.**

**Directory Information** is defined by the institution and is not considered to be an invasion of privacy. This information may be disclosed without the student's permission to any reasonable written inquiry. **Directory Information** is:

- |                        |  |
|------------------------|--|
| • <b>Name</b>          | <input type="checkbox"/> <b>Course of Study</b>            |
| • <b>Address</b>       | <input type="checkbox"/> <b>Dates of Attendance</b>        |
| • <b>Email Address</b> | <input type="checkbox"/> <b>Previous school experience</b> |
| • <b>Phone Number</b>  | <input type="checkbox"/> <b>Date/Place of Birth</b>        |

Students who wish to prevent the release of Directory Information under any circumstances, can protect all of their Educational Records by completing a Non-Disclosure form. (This can be created at the local program level with technical assistance from the State.)

**Personally Identifiable Information** is information that is related to and can easily identify a student. Personally Identifiable Information cannot be disclosed to any third party inquiry without the student's written permission. With data match, this information is shared with a third party and, therefore consent is required to be in compliance with section 212 of the Adult Education and Family Literacy Act.

**Personally Identifiable Information** includes:

- |                                 |   |
|---------------------------------|---|
| • <b>Social Security Number</b> | <input type="checkbox"/> <b>Student ID Number</b> |
| • <b>Race</b>                   | <input type="checkbox"/> <b>Class Schedule</b>    |
| • <b>Gender</b>                 | <input type="checkbox"/> <b>Test Scores</b>       |

As a special reminder, please remember that **staff cannot:**

- **Discuss the progress of a student with anyone (including parents) other than the Student without written permission of the Student.**
- **Use any portion of a Student's SSN or Student ID in any public manner.**
- **Use a Student's SSN or Student ID in an email subject line or body of the email message.**
- **Discuss the Student's record over the phone with any third party without permission from the student.**
- **Distribute a printed Class List of Student Names with any identifiable data to a third party.**

Additional FERPA information is available online at:  
<http://www2.ed.gov/policy/gen/guid/fpco/ferpa/index.html>

## [Program Name Here]

### **RELEASE OF INFORMATION**

Adult Education occasionally receives requests to verify attendance in adult education classes. These requests may come from a parent, spouse, or other family member, a judge or probation officer, an employer to whom you may have applied for a job, a caseworker from another agency, potential landlords, or other agencies or organizations.

Current laws require Adult Education staff members to furnish information requested by a parole officer or other legitimate representative of the court. However, Adult Education staff can release no information about you to any other person or organization without your permission.

If you are a student on probation with the court system it is **YOUR RESPONSIBILITY** to keep up and maintain your attendance log with those who require it.

It is **YOUR OBLIGATION** to inform Adult Education personnel if an agreement is in place between you and your employer or caseworker involving your being an adult education participant.

Please make an "x" in the box in front of those named below to whom Adult Education staff has permission to release information about attendance in classes.

Employer                       Prospective employer                       Probation Officer  
 Case Worker                       Mentor                       Parent  
 Spouse                       Other                      Name \_\_\_\_\_

I understand that I have given Adult Education personnel permission to release information to the individuals I have indicated above. YES \_\_\_\_\_ NO \_\_\_\_\_

I authorize use of my name and photograph by the Tennessee Adult Education Program / Tennessee Department of Labor and Workforce Development for educational videos, newspaper articles, social networking sites and recruitment purposes to promote Adult Literacy programs.  
YES \_\_\_\_\_ NO \_\_\_\_\_

I authorize the local testing center where I take my GED® or HiSET® examination to release my test scores to **[program name here]**.

\_\_\_\_\_  
NAME (please print)

\_\_\_\_\_  
SIGNATURE

\_\_\_\_\_  
DATE