

**Workforce Innovation
Opportunity Act
(WIOA), Title II
Providers' Guide**

2019 - 2020

North Carolina College and Career Readiness

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INTRODUCTION

On July 22, 2014, President Obama signed into law the Workforce Innovation and Opportunity Act (WIOA), which revises and reauthorizes the Workforce Investment Act (WIA) of 1998. WIOA is designed to help job seekers access employment, education, training, and support services to succeed in the labor market and to match employers with the skilled workers they need to compete in the global economy. The law brings together, in strategic coordination, four primary Titles with six core programs or partners:

- Title I, Workforce Development Activities, is comprised of three core programs: the Adult, Youth, and Dislocated Worker programs, and is administered by the NC Department of Commerce, Division of Workforce Solutions;
- Title II is Adult Education and Literacy and is administered by the North Carolina Community College System;
- Title III is the Wagner-Peyser Act and is administered by the NC Department of Commerce, Division of Workforce Solutions; and,
- Title IV, Vocational Rehabilitation, or the Rehabilitation Act of 1973, is administered by the NC Department of Health and Human Services, Division of Vocational Rehabilitation Services.

The bipartisan Workforce Innovation and Opportunity Act (WIOA) (Pub. L. 113-128) creates a new vision for how America prepares an educated and skilled workforce that expands opportunity for workers and employers. WIOA represents the most significant reform to our public workforce development system in nearly 20 years. The 21st century public workforce development system created through WIOA builds closer ties between business leaders, State and Local Workforce Development Boards, labor unions, community colleges, nonprofit organizations, youth-serving organizations, and State and local officials. It supports the development of strong regional economies and enhances performance accountability to better inform consumers and investors about programs and services that work.

In North Carolina, WIOA, Title II is administered by the North Carolina Community College System (NCCCS) through a competitive application process. The program is housed in the College and Career Readiness unit within the NCCCS Office located in Raleigh, NC.

WIOA establishes ambitious goals for the integration of workforce service programs. These goals are intended to maximize the value and benefits to customers of services available to them under federally funded workforce development programs. Included are business customers seeking to acquire the talent and skills needed to compete in a global economy. Also included are program participants seeking to acquire skills and recognized credentials to move along pathways that lead to high-paying jobs in growing sectors of the economy that offer long-term opportunities for stable employment.

The purpose of this Guide is to provide guidance on state and federal policies and procedures related to the operation of WIOA, Title II programs. This Guide is a resource that will be updated on a regular basis, and is not intended to be a sole source for information. Use this Guide in conjunction with other available guidance materials such as, staff development, web resources, and targeted technical assistance.

The Workforce Innovation and Opportunity Act (WIOA)

MAJOR POINTS

- 1. WIOA brings together, in strategic coordination, four primary Titles with six core programs or partners:**
 - Title I, Workforce Development Activities, is comprised of three core programs: the Adult, Youth, and Dislocated Worker programs, and is administered in North Carolina by the Department of Commerce, Division of Workforce Solutions;
 - Title II is Adult Education and Literacy and is administered by the North Carolina Community College System;
 - Title III is the Wagner-Peyser Act and is administered by the NC Department of Commerce, Division of Workforce Solutions; and,
 - Title IV, Vocational Rehabilitation, or the Rehabilitation Act of 1973, is administered by the NC Department of Health and Human Services, Division of Vocational Rehabilitation Services.

- 2. As one of the core partners under WIOA, a representative from the Adult Education and Literacy program has a seat on and is a member of the Local Workforce Development Board in each of the 23 local board areas (WIOA Sec. 107 (b)(2)(C)(i)).**
 - As a part of the coordination with education partners, WIOA requires that the Local Workforce Development Board (LWDB) review local applications for Title II: Adult Education and Literacy funding. The LWDB does not approve the application, but reviews it to ensure alignment with the Local Plan for workforce development activities under WIOA (WIOA Sec. 107(d)(11)(B)(i)(I)).

- 3. In addition to being a core partner, Title II: Adult Education and Literacy is also a required partner of the comprehensive One-Stop/American Job Center system, as defined under WIOA Section 121(b).**
 - As such, Title II is required to participate in the provision of services and operation of the American Job Center system, as agreed upon in the negotiated Memorandum of Understanding (MOU) developed by each LWDB.
 - As described in WIOA Section 121(c)(2)(A)(ii), shared responsibility for the infrastructure and shared systems costs is one of the requirements of the required American Job Center system partners.
 - The North Carolina Community College System Office and the NC Department of Commerce jointly developed an infrastructure cost agreement at the State level. Each Title II-funded provider has 1.5% of its Federal budget deducted for infrastructure costs before the grant award is made.

WIOA HIGHLIGHTS

As a WIOA partner, it is important for Title II providers to understand the broader scope of the legislation. Below are some of the highlights of the Workforce Innovation and Opportunity Act that provide a global view of the intent of the law.

WIOA requires states to strategically align workforce development programs: WIOA ensures that employment and training services provided by the core programs are coordinated and complementary, so that job seekers acquire skills and credentials that meet employers' needs.

- Every State develops and submits a four-year strategy - in the form of a single unified strategic plan for core programs to prepare an educated and skilled workforce, and meet the workforce needs of employers.

For a copy of NC's State plan, visit the North Carolina Department of Commerce website.

WIOA promotes accountability and transparency: WIOA ensures that investments in employment and training programs are evidence-based, data-driven, and accountable to participants and tax-payers.

- Core programs are required to report on common performance indicators that provide key employment information, such as how many workers entered and retained employment, their median wages, whether they attained a credential, and their measurable skill gains. **We will examine performance indicators in the Performance and Accountability chapter of this guide.**
- Negotiated levels of performance for the common indicators are adjusted based on a statistical model that considers economic conditions and participant characteristics.
- Performance reports for states, local areas, and eligible training providers will be publicly available.
- Key partners and services will be available at the NCWorks Career Centers through the co-location of the Wagner-Peyser Employment Service and the addition of the Temporary Assistance for Needy Families (TANF) program as a mandatory partner.
- States and local areas are encouraged to improve customer service and program management by integrating intake, case management, and reporting systems.
- Partner programs will dedicate funding for infrastructure and other shared costs. This includes Title II.
- Title II providers should work closely with their local NCWorks Career Centers to determine options for increased coordination of services.



WIOA improves services to employers and promotes work-based training: WIOA contributes to economic growth and business expansion by ensuring the workforce system is job-driven, matching employers with skilled individuals. State and local boards are responsible for activities to meet the workforce needs of local and regional employers.

- State and local boards will promote the use of industry and sector partnerships to address the workforce needs of multiple employers within an industry.
- State and local boards must coordinate and align workforce programs to provide coordinated, complementary, and consistent services to job seekers and employers.
- Title II is a required partner on the local workforce development board.

WIOA provides access to high quality training: WIOA helps job seekers acquire industry-recognized credentials for in-demand jobs.

- Training that leads to industry recognized post-secondary credentials is emphasized.
- States and local areas will use **career pathways** to provide education and employment and training assistance to accelerate job seekers' educational and career advancement.

WIOA enhances workforce services for the unemployed and other job seekers: WIOA ensures that unemployed and other job seekers have access to high-quality workforce services.

- WIOA service categories of core and intensive services are collapsed into "career services" and there is no required sequence of services, enabling job seekers to access training immediately.
- Job seekers who are basic skills deficient, in addition to those who are low-income individuals, have a **priority for services** from the Adult literacy program.

WIOA encourages services to individuals with disabilities: WIOA increases individuals with disabilities' access to high quality workforce services and prepares them for competitive integrated employment. Youth with disabilities will receive extensive pre-employment transition services, so they can successfully obtain competitive integrated employment.

WIOA makes key investments in serving disconnected youth and other individuals with barriers to employment.

- Under the law, local areas must increase the percentage of youth funds used to serve out-of-school youth to 75 percent from 30 percent.
- Local areas must spend at least 20 percent of youth funds on work experience activities such as summer jobs, pre-apprenticeship, on-the-job training, and internships, so that youth are prepared for employment.

As one of the core partners under WIOA, Adult Education and Literacy programs are encouraged to have a seat on the Local Workforce Development Board or serve as a committee member.

For Local Workforce Development Boards (LWDBs) with multiple Title II-funded providers, the organizations should work together to determine the representative for that local board.

The functions of the LWDB include (WIOA Sec. 107(d)):

1. Develop a local plan for workforce development activities (WIOA Sec. 107(d)(1));
2. Perform workforce research and local and regional labor market analysis (WIOA Sec. 107(d)(2));
3. Convene local workforce development system stakeholders in the development of the local plan and leverage support for the plan activities (WIOA Sec. 107(d)(3));
4. Engage employers (WIOA Sec. 107(d)(4));
5. Develop and implement career pathways programming with partners from secondary and postsecondary education by aligning various education, training, and supportive services (WIOA Sec. 107(d)(5));
6. Identify and promote proven and promising practices (WIOA Sec. 107(d)(6));
7. Develop strategies for using technology to maximize the accessibility and efficacy of the local workforce development system (WIOA Sec. 107(d)(7));

Regardless of how the member is chosen, the Adult Education and Literacy LWDB member is responsible for representing all Adult Education providers in that LWDB, participating in LWDB meetings and consulting with, and reporting back to, the other providers in the area.

8. Conduct oversight for programs under WIOA Title I and the local comprehensive American Job Center (WIOA Sec. 107(d)(8));
9. Negotiate local performance accountability measures (WIOA Sec. 107(d)(9));
10. Select operators of the American Job Center, providers of youth services, and eligible providers of training and career services (WIOA Sec. 107(d)(10));
11. Coordinate with local education providers, including Title II: Adult Education and Literacy providers, Career and Technical Education (CTE) providers as defined in section 3 of the Carl D. Perkins Career and Technical Education Act of 2006, and local agencies administering plans under Title I of the Rehabilitation Act of 1973 (29 U.S.C. 732, 741) (WIOA Sec. 107(d)(11));
 - a. As a part of the coordination with education partners, WIOA requires that the LWDB review local applications for Title II: Adult Education and Literacy funding. The LWDB does not approve the application, but reviews it to ensure alignment with the Local Plan for workforce development activities under WIOA (WIOA Sec. 107(d)(11)(B)(i)(I));
12. Develop the operating budget for the Work Force Development Board and administer the operation of the LWDB (WIOA Sec. 107(d)(12)); and
13. Assess the physical and programmatic accessibility of all American Job Centers within the LWDB, in accordance with WIOA Section 188 and the Americans with Disabilities Act of 1990 (ADA) (42 U.S.C. 12101 et seq.) (WIOA Sec. 107(d)(13)).

COMPREHENSIVE AMERICAN JOB CENTER/ NCWORKS PARTICIPATION

Memorandum of Understanding: In addition to being a core partner, Title II is also a required partner of the comprehensive one-stop system referred to as the American Job Center, as defined under WIOA Section 121(b). In North Carolina, the American Job Center system is called NCWorks Career Centers. As such, Title II is required to participate in the provision of services and operation of the American Job Center system, as agreed upon in the negotiated Memorandum of Understanding (MOU) developed by each LWDB. The MOU governs the operation of the comprehensive American Job Center system and includes provisions describing:

- The services to be provided through the American Job Center delivery system, including the way the services will be coordinated and delivered (WIOA Sec. 121(c)(2)(A)(i));
- How the costs of such services and the operating costs of the system will be funded, including:
 - Funding through cash and in-kind contributions, with may include funding from philanthropic organizations or other private entities or through other alternative financing options (WIOA Sec. 121(c)(2)(A)(ii)(I)); and
 - Funding of the infrastructure costs of American Job Centers (WIOA Sec. 121(c)(2)(A)(ii)(II));
- Methods of referral of individuals between the American Job Center operator and partners (WIOA Sec. 121(c)(2)(A)(iii));
- Methods of ensuring accessibility and availability to necessary and appropriate services to all individuals, including individuals with disabilities, those with barriers to employment, and youth (WIOA Sec. 121(c)(2)(A)(iv));
- The duration of, and procedures for amending, the MOU; and
- Any other provisions, consistent with the requirements of WIOA Title I, as deemed appropriate by the parties to the agreement (WIOA Sec. 121(c)(2)(B)).

Infrastructure Costs: As described in (WIOA Section 121(c)(2)(A)(ii), shared responsibility for the infrastructure and shared systems costs is one of the requirements of the American Job Center system

partners. Infrastructure costs of American Job Centers are non-personnel costs that are necessary for the general operation of the center, including:

- (1) Rental of the facilities;
- (2) Utilities and maintenance;
- (3) Equipment (including assessment-related products and assistive technology for individuals with disabilities); and
- (4) Technology to facilitate access to the American Job Center, including technology used for the center's planning and outreach activities.

TITLE II: ADULT EDUCATION AND FAMILY LITERACY ACT

MAJOR POINTS

- 1. There are three grants available under Title II AEFLA. They are (1) WIOA, Title II, Section 231 – Adult Education and Family Literacy Act (AEFLA); (2) WIOA, Title II, Section 243 – Integrated English Literacy and Civics Education; and WIOA, Title II, Section 225 – Correctional Education and Other Institutionalized Individuals.**
- 2. The NCCCS provides a direct and equitable opportunity for eligible providers to request Title II funds by submitting a written application to develop, implement, and improve adult education and literacy activities in North Carolina.**
- 3. Allowable activities include adult education, literacy, workplace adult education and literacy, family, English language acquisition, integrated English literacy and civics education, workforce preparation, and integrated education and training.**
- 4. Title II–funded programs are required to implement the 13 Considerations into their program operations. These 13 considerations are also used in the program application, so applicants can describe how each consideration will be addressed.**
- 5. Allowable Title II costs include instructional expenditures related to programs and services addressing allowable activities. Examples include salary, wages, and benefits for instructional personnel; textbooks and instructional supplies; and instructional equipment.**
- 6. Administrative costs are non-instructional in nature and do not directly relate to program costs. They cannot exceed 5% of the Federal allocation. They can include administrative costs (e.g., clerical support); indirect costs (e.g., classroom space, rent, utilities); and American Job Center infrastructure costs (1.5% of your Federal allocation is deducted by the NCCCS to cover this requirement before allocations are received.) Administrative costs are unallowable with State funds. Neither Federal nor State matching funds may be used for GED, HiSet or TASC test administration.**
- 7. As part of the Federal compliance process, the System Office is required to conduct a Risk Assessment on each provider before grant funds can be awarded.**

TITLE II - ADULT EDUCATION AND FAMILY LITERACY ACT OVERVIEW

WIOA strengthens the Title II - Adult Education and Family Literacy Act (AEFLA) program by positioning adult education services as a key component of the workforce development system in local communities and improving alignment among adult education programs, postsecondary education providers, and employers. A summary of the most significant changes include:

- **Transition from adult basic education to postsecondary education, postsecondary training, or employment:** While AEFLA continues to emphasize high school completion for youth and adults, WIOA reauthorized AEFLA in a manner that recognizes that completion of high school is not an end, but a means to further opportunities and greater economic self-sufficiency. Through the implementation of new activities such as integrated education and training, workforce preparation activities, and career pathways programming, changes will better support individuals as they transition from adult basic education to postsecondary education, postsecondary training, or employment.
- **English language learning:** Through WIOA, AEFLA now formalizes the role that adult education has played for decades related to assisting immigrants and English language learners in learning to read, write, and speak English, adds mathematics to the scope of services, and expands the focus of English language learning by adding civics education and workforce training.
- **Innovative supports for re-entry:** Drawing on growing research on the long-term value of education in reducing recidivism and promoting successful re-entry into society, AEFLA, as reauthorized by WIOA, encourages innovative programming for the educational and career advancement of incarcerated individuals.
- **Supports for families and communities:** As reauthorized by WIOA, the purpose of AEFLA continues to emphasize the important role that adult education and literacy plays in supporting the educational and skill achievement of parents and family members to participate in the educational development of their children and improve economic opportunities for their families.

ALLOWABLE ACTIVITIES

WIOA, Title II authorizes a variety of allowable activities including:

- Adult education,
- Literacy,
- Workplace adult education and literacy,
- Family literacy.
- English language acquisition,
- Integrated English literacy and civics education,
- Workforce preparation, and
- Integrated education and training.

Each activity is summarized below.

ADULT EDUCATION - academic instruction and education services below the postsecondary level that increase an individual's ability to:

- (A) Read, write, and speak in English and perform mathematics or other activities necessary for the attainment of a secondary school diploma or its recognized equivalent;
- (B) Transition to postsecondary education and training; and
- (C) Obtain employment.

LITERACY - an individual's ability to read, write, and speak in English, compute, and solve problems, at levels of proficiency necessary to function on the job, in the family of the individual, and in society.

WORKPLACE ADULT EDUCATION AND LITERACY - includes adult education and literacy activities designed 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.

FAMILY LITERACY - activities that are of sufficient intensity and quality, to make sustainable improvements in the economic prospects for a family and that better enable parents or family members to support their children's learning needs, and that integrate all the following activities:

- (A) Parent or family adult education and literacy activities that lead to readiness for postsecondary education or training, career advancement, and economic self-sufficiency.
- (B) Interactive literacy activities between parents or family members and their children.
- (C) Training for parents or family members regarding how to be the primary teacher for their children and full partners in the education of their children.
- (D) An age-appropriate education to prepare children for success in school and life experiences.

ENGLISH LANGUAGE ACQUISITION - a program of instruction—

- (A) Designed to help eligible individuals who are English language learners achieve competence in reading, writing, speaking, and comprehension of the English language; and
- (B) That leads to attainment of a secondary school diploma or its recognized equivalent and transition to postsecondary education and training or employment.

INTEGRATED ENGLISH LITERACY AND CIVICS EDUCATION - education services provided to English language learners who are adults, including professionals with degrees and credentials in their native countries, that enables such adults to achieve competency in the English language and acquire the basic and more advanced skills needed to function effectively as parents, workers, and citizens in the United States. Such services shall include instruction in literacy and English language acquisition and instruction on the rights and responsibilities of citizenship and civic participation, and may include workforce training.

WORKFORCE PREPARATION - activities, programs, or services designed to help an individual 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.

INTEGRATED EDUCATION AND TRAINING - an instructional model that provides adult education and literacy activities concurrently and contextually with workforce preparation activities and workforce training for a specific occupation or occupational cluster. An integrated education and training program must meet all the following criteria to be allowable under Title II:

- It must include all three components: adult basic education, workforce preparation activities, and occupational training.
- All three components must occur simultaneously, be of sufficient intensity and quality, be research based, and use occupationally relevant instructional materials.
- The program must have a single set of learning objectives that identifies specific adult education content, workforce preparation activities, and workforce training competencies, and the program activities must be organized to function cooperatively.
- The integrated education and training program must be part of a career pathway and help an individual enter or advance in an occupation or occupational cluster.
- The adult basic education instruction must be aligned with the College and Career Readiness Standards, provide skills that are transferable to other contexts and situations, and prepare participants to succeed in any employment and/or postsecondary education opportunities.

- The occupational training component of the program must align with the skill needs of business in the area and existing, high-quality employment opportunities for participants.

TITLE II- GRANT FUNDING

There are three grants under Title II AEFLA. They include:

1. Adult Education & Family Literacy (AEFLA - Section 231)
2. Integrated English Literacy and Civics Education (Section 243)
3. Federal Correctional Education (Section 225)

The following pages provide a brief description of the three grants.

Federal Adult Education and Family Literacy (Section 231)

Purpose

- Assist adults to become literate and obtain the knowledge and skills necessary for employment and self-sufficiency;
- Assist adults who are parents to obtain the educational skills necessary to become full partners in the educational development of their children; and lead to sustainable improvements in the economic opportunities for their families;
- Assist adults in attaining a secondary school diploma and in the transition to postsecondary education and training, through career pathways; and
- Assist immigrants and other individuals who are English language learners in—
 - Improving their reading, writing, speaking, and comprehension skills in English and mathematics skills; and
 - Acquiring an understanding of the American system of Government, individual freedom, and the responsibilities of citizenship.

Eligible Participants

Adult Education means instruction and support services below the postsecondary level for individuals:

- who have attained 16 years of age;
- who are not enrolled or required to be enrolled in secondary school under State law; and
- basic skills deficient; or
- does not have a secondary school diploma or its recognized equivalent level or education; or
- is an English language learner.

Allocation Method

Funds are distributed to approved applicants through a funding formula.

State match for Section 231: Section 231 Federal funds are matched with State funds. Federal funding regulations (Education Department General Administrative Regulations (EDGAR) and Uniform Guidance) apply to the combination of both State and Federal funds.

Federal Integrated English Literacy and Civics Education (Section 243)
Purpose
Provided in combination with integrated education and training activities and designed to: <ol style="list-style-type: none"> (1) Prepare adult English language learners for, and placement in, unsubsidized employment in high demand industries and occupations that lead to economic self-sufficiency; and (2) Integrate with the local workforce development system and its functions to carry out the activities of the program.
Eligible Participants
English language learners who: <ul style="list-style-type: none"> • have attained 16 years of age; • are not enrolled or required to be enrolled in secondary school under State law; and • have limited ability in reading, writing, speaking or comprehending English language, and • have a native language other than English, or • live in a family or community environment where a language other than English is the dominant language.
Allocation Method
Determined by a funding formula.

Federal Correctional Education (Section 225)
Purpose
To provide a range of adult education and literacy programming designed to assist criminal offenders and other institutionalized individuals with re-entry efforts into the workforce.
Eligible Participants
Criminal offenders who reside in correctional institutions and other institutionalized individuals such as persons who reside in facilities operated by a State mental health agency or individuals in civil confinement institutions. WIOA requires that eligible agencies that are using funds to carry out a program for criminal offenders in a correctional institution give priority to serving individuals who are likely to leave the correctional institution within 5 years of participation in the program.
Allocation Method
Determined by a funding formula

THIRTEEN CONSIDERATIONS FOR WIOA TITLE II

Title II legislation includes 13 considerations or practices that are expected to be implemented in every funded program. These include the following:

1. The degree to which the eligible provider would be responsive to (A) regional needs as identified in the local plan under section 108 and B) serving individuals in the community who were identified in such plan as most in need of adult education and literacy activities, including individuals-(i) who have low levels of literacy skills; or (ii) who are English language learners.
2. The ability of the eligible provider to serve eligible individuals with disabilities, including eligible individuals with learning disabilities;
3. Past effectiveness of the eligible provider in improving the literacy of eligible individuals, to meet State-adjusted levels of performance for the primary indicators of performance described in section 116;
4. The extent to which the eligible provider demonstrates alignment between proposed activities and services and the H. R. 803-195 strategy and goals of the local plan under section 108, as well as the activities and services of the American Job Center partners;
5. Whether the eligible provider's program- (A) is of sufficient intensity and quality, and based on the most rigorous research available so that participants achieve substantial learning gains; and (B) uses instructional practices that include the essential components of reading instruction;
6. Whether the eligible provider's activities, including whether reading, writing, speaking, mathematics, and English language acquisition instruction delivered by the eligible provider, are based on the best practices derived from the most rigorous research available and appropriate, including scientifically valid research and effective educational practice;
7. Whether the eligible provider's activities effectively use technology, services, and delivery systems, including distance education in a manner sufficient to increase the amount and quality of learning and how such technology, services, and systems lead to improved performance;
8. Whether the eligible provider's activities provide learning in context, including through integrated education and training, so that an individual acquires the skills needed to transition to and complete postsecondary education and training programs, obtain and advance in employment leading to economic self-sufficiency, and to exercise the rights and responsibilities of citizenship; include the essential components of reading instruction;
9. Whether the eligible provider's activities are delivered by well-trained instructors, counselors, and administrators who meet any minimum qualifications established by the State, where applicable, and who have access to high quality professional development, including through electronic means;
10. Whether the eligible provider's activities coordinate with other available education, training, and social service resources in the community, such as by establishing strong links with elementary schools and secondary schools, postsecondary educational institutions, institutions of higher education, local workforce investment boards, American Job Centers, job training programs, and social service agencies, business, industry, labor organizations, community-based organizations, nonprofit organizations, and intermediaries, for the development of career pathways;
11. Whether the eligible provider's activities offer flexible schedules and coordination with Federal, State and local support services (such as child care, transportation, mental health services, and career planning) that are necessary to enable individuals, including individuals with disabilities or other special needs, to attend and complete programs;
12. Whether the eligible provider maintains a high-quality information management system that has the capacity to report measurable participant outcomes (consistent with section 116) and to monitor program performance;
13. Whether the local areas in which the eligible provider is located have a demonstrated need for additional English language acquisition programs and civics education programs.

TITLE II COMPETITIVE FUNDING PROCESS

The North Carolina Community College System provides an opportunity for eligible providers to request Title II funds by submitting a written application to develop, implement, and improve adult education and literacy activities in North Carolina.

Eligible Providers: Eligible Title II providers include:

- A. A local educational agency;
- B. A community-based organization;
- C. A volunteer literacy organization;
- D. An institution of higher education;
- E. A public or private nonprofit agency;
- F. A library;
- G. A public housing authority;
- H. A nonprofit institution that is not described in any of subparagraphs (A) through (G) and has the ability to provide adult education and literacy activities to eligible individuals;
- I. A consortium or coalition of the agencies, organizations, institutions, libraries, or authorities described in any of the subparagraphs (A) through (H); and
- J. A partnership between an employer and an entity described in any of subparagraphs (A) through (I).

As required by WIOA, funding is prioritized for the following:

- Organizations who have demonstrated effectiveness in improving the literacy of eligible individuals especially with respect to eligible individuals, who have low levels of literacy;
- Organizations whose services are aligned with local workforce strategies, priorities, and partners; and
- Organizations whose services are responsive to the needs of persons with barriers to employment.

Grant period: Grants are awarded for a three-year period. Funding in second and subsequent years is dependent on continued appropriations and provider meeting all grant, fiscal, and reporting requirements.

Direct and equitable: The NCCCS provides direct and equitable access to Title II funds for eligible providers that are located in North Carolina.

- 1) All eligible providers will have direct and equitable access to apply and compete for grants.
- 2) The same grant announcement and application processes are used for all eligible applicants.

POST ALLOCATION BUDGET

Upon approval of allocations, the provider will receive a packet of materials including Form 2-34 which will be used to submit the Federal and State budget. If the provider's allocation is different than what was submitted on the planning budget, the provider will need to make adjustments to reflect the final allocation.

Remember:

- The budget must display calculations for each detailed line item.
- The budget must have two signatures to include the Chief Fiscal Officer and the Chief Administrative Officer. The chief administrative officer can be the Basic Skills/Title II director.
- The budget should be saved in PDF and submitted via the Moodle® portal to the System Office.

FISCAL RESPONSIBILITIES

Expenditures for each Federal funding source must be tracked separately within an individual budget. Federal and State funds are restricted purpose funds and may not be transferred to other grants or purposes. Records must be maintained to support the appropriate usage of Adult Education and Literacy funds. Amounts reported as expenditures must be for allowable activities and services and must reflect actual expenditures.

Title II recipients are responsible for ensuring that grants are managed with sound fiscal systems and procedures that meet applicable State and Federal requirements. The provider:

- Is responsible for effective management of the grant, including all funds committed to subcontractors;
- Must have appropriate accounting systems in place to track expenditures, including responsibility for monitoring subcontracts and ensuring that all grant funds are expended as articulated in the Memorandum of Agreement between partners;
- Must maintain a time and effort record for each staff person that reflects appropriate alignment among the hours worked on the grant, the hours allocated in the program plan, and the payroll;
- Providers are required to report deviations from the budget or project scope on the Budget Transfer Form: NCCCS 2-36. Federal award recipients must specifically request prior approval if any of the following occur:
 - Transfers of 10% or more of the overall budget
 - Change in scope or objective of the project or program
 - Change in key personnel specified in the application or Federal award
 - Disengagement from the project for more than three months or a 25% reduction in time
 - Transfer from costs associated with serving students to other categories of expense
 - Transferring or contracting out any work.
- Must submit required fiscal reports by the deadline established by the NCCCS. Failure to submit timely and accurate reports may result in a suspension of further payments.
- Must retain all local program records and supporting documents for a minimum of five years from the date of submission of the final expenditure report.

FUNDING DISBURSEMENT AND EXPENDITURES

Community-based organizations will submit requests for reimbursement against the budget from Form NCCCS 2-33 for actual expenditures by the 5th working day of each month. Failure to do so may result in risk of nonpayment or suspension of funding. Each reimbursement request must be submitted with a line item spending report corresponding to the amounts being requested for reimbursement.

Community colleges will submit expenditure reports monthly via the NCCCS XDDBR report.

All procurement must follow NCCCS procurement guidance issued in NCCCS fiscal and budgetary guidelines to be issued by NCCCS.

The provider must retain all local program records and supporting documents for a minimum of five years from the date of submission of the final expenditure report.

ALLOWABLE USES OF FEDERAL FUNDS

The Education Department of General Administrative Regulations (EDGAR) addresses allowable uses of Federal grant funds. All grant recipients must have a financial management system that includes written procedures for ensuring all expenditures conform to the terms and conditions of the grant as well as the Uniform Guidance Cost Principles. All grant costs must:

- Be necessary and reasonable
- Be consistent with policies and procedures
- Be treated consistently
- Be aligned with the Generally Accepted Accounting Principles (GAAP)
- Be adequately documented
- Not be included for match or cost sharing
- Conform with Federal law and grant terms

The provider must maintain a record of actual expenditures of local, State, and Federal funds for activities allowed under WIOA Title II. The funds must be maintained as separate line items to maintain their separate identities for reporting and auditing purposes. Comingling of these separate sources of funding is not allowed.

Title II allowable costs fall into two categories: direct costs and administrative/indirect costs.

Direct costs: Direct costs are expenditures assigned to a specific project or activity that support the program's instructional purpose. Examples include salary, wages, and benefits for instructional personnel; textbooks and instructional supplies; and instructional equipment. Anything dealing with direct instruction is an allowable direct cost including professional development costs.

Equipment is tangible personal property having a useful life of more than one year and per unit cost which equals or exceeds \$5,000. Prior approval is required to purchase equipment. Supplies are all tangible personal property with a per unit cost which is less than \$5,000 regardless of the length of its useful life.

Administrative/indirect costs: These costs are non-instructional in nature and **cannot exceed 5% of your Federal allocation.** They can include:

- Administrative costs (e.g., clerical support and administrative functions. This could include a percentage of a director's salary if other duties are directly related to instructional support.)
- Indirect costs (e.g., classroom space, rent, utilities)
- American Job Center infrastructure costs (1.5% of your Federal allocation is removed by the System Office to cover this requirement before you receive your allocation.)

A provider may request to negotiate an increase in the 5% cap. This request must be in writing with a detailed rationale explaining why the additional administrative cost is necessary and how the additional administrative funds shall be spent. The request may or may not be approved.

Unallowable costs:

- No State funds may be used for administrative/indirect costs.
- No Federal or State FTE generated funds may be used for GED, HiSET, or TASC test administration that are part of the federal match.
- No Federal funds may be used to purchase any promotional items such as pencils, luggage tags, hats, etc. However, State funds may be used if the items are “program-specific.” For example, you could use State funds to purchase a pencil that has your specific program’s name and logo. Advertising is a very limited cost that requires prior approval.
- No State or Federal funds may be used to travel outside the country; prior approval for travel outside the State should be obtained by virtue of inclusion in the local plan/application.
- Other unallowable costs include such items as commencement costs, advisory councils, food, lobbying, flowers, gifts, trophies, awards, and student activity costs.
- All purchases over \$5,000 must follow the State purchasing guidelines.

Supplement – not supplant: State and other non-Federal funding sources should not be replaced by AEFLA Federal funding. The AEFLA funds should be used to supplement and increase the level of funds made available to adult education programs. Federal funds may not be used to pay for services, staff, programs, or materials that would otherwise be paid with State or local funds.

UNEXPENDED FUNDS

It is particularly important to monitor expenses to ensure that funds are used within the fiscal year. State regulations provide no flexibility for use of funds after June 30 of the program year.

TIME AND EFFORT REPORTING

Staff who are paid out of a Federal grant award in full or partially, or out of matching funds to that award, must report their time and effort to the responsible funding agency, North Carolina Community College System (NCCCS) Office.

What is Time and Effort reporting?

Time and effort reports show how salary and wages are charged to Federal grant awards. Therefore, all providers that receive a Federal grant award must keep documentation on-site that:

- Documents the employee’s time in writing
- Reflects the actual time spent by the employee on activities of the Federal program(s) being charged.
- Covers not more than one month.
- Accounts for all the employee’s time for the period covered.
- Be signed by the employee and supervisory official having firsthand knowledge of the work performed by the employee.
- Information kept and maintained on-site is used to prepare time and effort reports, which are to be submitted to the System Office.
- Should document activities performed “after-the-fact.”

Bottom line: If the employee is involved in a single activity with a fixed schedule or a single grant with a fixed schedule, the employee can submit the semi-annual Time and Effort report.

Who needs to submit a Time and Effort report?

Time and Effort reports should be prepared for any employee (full or part time) with salary and wages that are charged:

- Directly to a Federal award,
- Directly to multiple Federal awards or,
- Directly to any combination of a Federal award and other Federal, State or local fund sources used as matching funds.

When are Time and Effort reports submitted to the System Office?

Employees will complete either a semi-annual (every six months) or monthly Time and Effort report, based on their assigned activities. Monthly reports are due by the 15th working day of each month. Semi-annual reports must be submitted by the 15th working day of the month in January and again in July. In this scenario, each report documents the activities performed during the six month period. A comparison of the two types of reports is provided on the next page.

	Semi-annual Time and Effort	Monthly Time and Effort
Factors	Salary and wages are charged directly to a <i>single</i> Federal award (grant) OR to a <i>single</i> cost objective (e.g., work on a single program or on a single type of activity such as teaching or curriculum development).	<p>Salary and wages are paid from multiple Federal awards or multiple cost objectives; employee works on more than one Federal award, a Federal award and a non-Federal funds, or two or more activities paid out of one or more Federal grant awards.</p> <p>Suitable documentation should be maintained to support the Personal Activity Report (PAR) such as a weekly schedule, contract, or time sheet used for budgeting, salary, and wage payments.</p> <p>A PAR must be submitted that:</p> <ul style="list-style-type: none"> • Reflects an after-the-fact distribution of the actual activity of the employee. • Accounts for the total activity for which each employee is compensated from Federal and non-federal funding sources. • Be prepared at least monthly and coincide with one or more pay periods. • Be signed by the employee and immediate supervisor.
Examples	<p>Single cost objective examples:</p> <ul style="list-style-type: none"> • If an instructor is paid 50% out of 231 funds and 50% out of 243 funds to teach at an employer location, teaching Basic Skills is a “single cost objective.” The “single cost objective” for this example is teaching. • A Basic Skills employee teaches Adult Secondary Education (ASE) classes, coordinates English Language Acquisition (ELA) classes, and develops curriculum for Adult Basic Education (ABE) classes. This employee’s salary is paid completely from a single grant (either 231 or 243). This “single cost 	<p>Multiple cost objective examples:</p> <ul style="list-style-type: none"> • A Basic Skills director is paid 100% out of local institutional funds and, as a result, cannot use the single cost objective Federal time and effort sheet. This director will need to fill out a monthly time and effort sheet even though 100% of the time is funded by one source. The source of funds would be reported as “other.” • A Basic Skills instructor works 80% of the time teaching ASE level classes and 20% of the time teaching developmental studies English. This employee needs to fill out the monthly form to indicate the hours and percent of time both assigned and actually spent on each funding source.

	Semi-annual Time and Effort	Monthly Time and Effort
	objective” is, therefore, a grant.	
Reporting Deadlines	Forms should be submitted via the Moodle Learning Management System at http://project.ncperkins.org Reports are due on January 15 and July 15 of each year.	Forms should be submitted via the Moodle Learning Management System at http://project.ncperkins.org These reports are due by the 15 th day in the month after the activities are performed.

Short-term substitutes: For short-term work that is charged to a grant, such as short-term substitute teachers, substitute para-professionals, extended contract time, etc., the approved time sheet or similar type of documentation would suffice as appropriate time and effort reporting. The semi-annual form furnished by the NCCCS Office should not be submitted by short-term employees. All supervisory staff should keep timesheets and other suitable documentation on file locally for backup in these cases.

Time and effort monitoring: Payroll records must be compared to the submitted time-and-effort reports on at least a quarterly basis.

- If the difference is 10% or more, payroll charges must be adjusted at the time of the records comparison. The next quarter's estimates must be adjusted to more closely reflect the actual activity. This review process is intended to reconcile time and effort with payroll records.
- If the anticipated time and effort is less than 10% different from the actual time and effort, an accounting adjustment is not required until the end of the program year.
- All time and effort reporting discrepancies are to be reconciled at the end of the program year. Reconciled discrepancies should be reflected in the final report submitted to the System Office at the end of the program year.

Each quarter, random verification of Time and Effort reporting compliance will be conducted by the System Office. A provider's failure to comply with Time and Effort reporting will be addressed in a corrective action plan.

RISK ASSESSMENT

As part of the Federal compliance process, the System Office is required to conduct a Risk Assessment on each provider before grant funds can be awarded. As the pass-through entity, the North Carolina Community College System (NCCCS) Office must assess the risk of a sub-grantee not complying with Federal statutes, regulations and the terms and conditions of sub-awards.

The purpose of this assessment is to furnish the NCCCS State staff with information which will help in monitoring potential risk factors associated with grants awarded to providers. These risk factors are based on Federal guidelines. The focus of the Risk Assessment is to ensure that providers adhere to the grantor's guidelines and agreements, remain within the budget, can implement the scope of service and ensure that proper internal controls are in place.

A risk assessment for eligible sub-grantees will be performed by the NCCCS Office on an annual basis prior to grant award disbursements. Risk factors will include, but will not be limited to:

- Audit Findings
- New Key Personnel
- Prior Experience
- Performance
- Size and complexity of program
- Late Reporting
- Allocation Amount
- Overpayments/Refunds
- Data Submission Errors
- Lapsed Funds/Carryover Amounts
- Financial Distress
- Indications of Fraud and Abuse
- Impending Provider closures

Upon completion of the risk assessment, all providers will be classified as high, moderate or low risk. Each level of risk will have various levels of programmatic and fiscal monitoring that will be implemented during the program year. The purpose of the monitoring reviews will be to confirm that programs are expending and obligating the funds as stated in the initial approved grant application. The different types of programmatic and fiscal monitoring may include:

- On-site Monitoring
- Desktop Monitoring
- Submission of Additional Documentation
- Required Attendance at Trainings/Technical Assistance

As a requirement of the Federal award, the pass-through entity, which in this case would be the NCCCS Office and auditors are to have access to the sub-grantees records and financial statements as necessary for the pass-through entity to meet the requirements. In most circumstances, the Chief Financial Officer (CFO) of the institution will have all the required financial documentation. Documents that should be available for review may include:

- General Ledger Chart of Accounts
- Prior Year General Ledger that includes monthly expenditures
- Payroll information to document the staff paid out of the Federal award
- Time and Effort Documentation
- Cash Management Procedure
- Allowable Procedures
- Travel Policy
- Procurement Procedure

Upon completion of the monitoring, a Corrective Action Plan (CAP) may be required to resolve the issues located during the evaluation. The Provider will be required to submit a plan detailing how the incorrect programmatic and/or fiscal practices will be amended within the required time frame. All providers must submit responses to a CAP within thirty business days of initial notification. If there are unresolved CAP(s), further action may be taken to include specific award conditions/restrictions.

Technical Assistance and training will be provided during the program year to help mitigate and alleviate some of the factors that constitute as risk. All Providers will receive information about the information sessions that will be facilitated via the System Office Compliance team.

FISCAL AUDITS

Providers that receive \$750,000 or more in Federal funds are required to have an outside entity conduct an A-133 audit on an annual basis. An A-133 audit examines compliance with the regulations governing the use of Federal funds by grant sub-recipients of Federal funds. Providers that do *not* receive \$750,000 or more in Federal funds are not subject to the specific A-133 audit. Providers must submit either the most recent A-133 or an annual audit electronically with the grant continuation documents. All providers should maintain audit records on file for possible review.

STUDENT ELIGIBILITY, ENROLLMENT, AND ATTENDANCE

MAJOR POINTS

1. Title II includes services or instruction below the postsecondary level for individuals who have attained 16 years of age; who are not enrolled or required to be enrolled in secondary school under State law; and who are basic skills deficient; or do not have a secondary school diploma or its equivalent and have not achieved an equivalent level of education; or are English language learners.
2. Students who have a high school diploma, a high school equivalency, or an Adult High School diploma may enroll in Title II programs IF they score 12.9 or below (or its equivalent) on a state-approved standardized test, even if they are enrolled in curriculum programs and require Developmental Studies courses, or remediation.
3. State and Federal requirements do not require that minor students should have a waiting period before their enrollment. Minors withdrawn within a six-month period must obtain a signed official withdrawal form from the local public or private educational agency and a notarized petition of the minor's parent, legal guardian, or other person or agency having legal custody and control.
4. Title II programs may not serve foreign students studying in the United States on F-1 (Student) Visas. For J-1 (Job) Visas.
5. Title II providers must have a valid system in place for capturing and reporting student attendance hours. This should include sign-in sheets or electronic attendance systems that verify the time the student entered and exited the instructional activity on a daily basis. Hours are then input into the student information system database (Web Attendance/Colleague or LACES).

STUDENT ELIGIBILITY

WIOA defines the services and target population for Title II programs as “services or instruction below the postsecondary level for individuals

- (A) who have attained 16 years of age;
- (B) who are not enrolled or required to be enrolled in secondary school under State law; and
- (C) who –
 - (i) Are basic skills deficient; or
 - (ii) Do not have a secondary school diploma or its equivalent, and have not achieved an equivalent level of education; or
 - (iii) Are English language learners.

Below are a few clarifications regarding student eligibility.

Withdrawal from Secondary School

No student who is currently enrolled in a public or private secondary school may be enrolled in Title II programs.

Enrollment of High School Graduates

Students who have a high school diploma, a high school equivalency, or an Adult High School diploma may enroll in Title II programs if they score 12.9 or below (or its equivalent) on a state-approved standardized test.

Social Security Numbers

Programs are asked to try to get social security or tax identification numbers from students upon enrollment because these are used to data-match employment, high school credential, and postsecondary outcomes. However, services cannot be denied if the students do not give the program their social security or tax ID numbers.

ENROLLMENT OF SPECIAL POPULATIONS

Minors

Minors are defined as individuals 16 – 17 years of age. Below are a few considerations that apply to the enrollment of minors in Title II programs.

Waiting Period for Minors

The State and Federal requirements do NOT specify that minor students should have a waiting period before their enrollment. That is a local provider decision, often developed in collaboration with the local school system. Some school systems prefer a waiting period as a deterrent to dropping out of school; others do not.

Minors withdrawn within a six-month period must obtain a signed official withdrawal form from the local public or private educational agency and a notarized petition of the minor's parent, legal guardian, or other person or agency having legal custody and control. Minors withdrawn for at least six months do not need a release form but do require a notarized petition of the minor's parent or legal guardian. Emancipated minors do not need a release form or notarized petition.

Emancipated Minors

An emancipated minor is a person below 18 years of age who has married or has a court order stating that the person is emancipated. Programs must obtain proof of emancipation before granting minors the status of emancipation. No agency or individual may grant a transfer in the "judicial decree of emancipation;" therefore, each agency must obtain proof of emancipation in the form of a court order or marriage license. Emancipated minors do not need release forms.

Serving Minors in ESL

Colleges may serve persons who are 16 and 17 years old in English Language Acquisition (ELA) classes if they meet the same criteria as native speaker minor students.

Disciplinary Guidelines for Minors

Programs should require minors to meet the same conduct standards and disciplinary policies and procedures as the adult students. Programs should not adopt different disciplinary procedures or grievance procedures for minor students, nor should they establish classes that are restricted to 16 – 17-year-old students only.

Enrollment of Foreign-born Students

Title II programs may not serve foreign students studying in the United States on F-1 (Student) Visas.

Federal adult education legislation does not specify the need to prove legal status of foreigners as a condition for enrollment in Title II classes. Thus, it is not necessary for foreigners to present passports, visas, work permits, or Social Security cards to prove legal status to enroll. However, foreign students (with F-1 Visas) enrolled in universities or private English language institutes may not simultaneously enroll in publicly funded adult education programs.

English language learners who have completed post-secondary education in another country, but lack English language skills may enroll in Title II programs (if they do not have an F-1 Visa). People in this country as “nannies” or “au pairs” on a study exchange (J-1) visa may not participate in Title II programs.

Enrollment of Court-ordered Youth

A judge may order an individual to attend a Title II class or take a high school equivalency test as a condition of release or parole. The court-ordered student may have specific attendance guidelines dictated by the court. If the court has not set attendance guidelines, the Title II program should determine the appropriate attendance requirement, similar to those developed for other mandated students.

It is recommended that the student sign a commitment contract or similar document that specifies the attendance requirements, and this document should be sent to the court official (i.e., probation officer or other designee providing oversight). Once the student contract is completed, or if the student is terminated, the appropriate court official should be notified in writing.

PARTICIPANTS VERSUS REPORTABLE INDIVIDUALS

When students enroll in the program, their attendance record is evaluated to determine their classification as a “Reportable” individual or a “Participant.” If students enter the program on multiple occasions, their attendance record is re-evaluated each time they re-enter the program after a period of separation.

Federal Reporting of Enrollment

WIOA defines enrolled students in two ways: participant or reportable individual. Both should be included in your data.

Participant: an individual who completes at least 12 contact hours prior to separating for a period of 90 days without service or up to 120 days if they have a future service date. Only participants are reported for WIOA performance indicator purposes. Participant status must be achieved any time an individual enters, or reenters, an adult education program. Participants who continue receiving services across program years do not need to requalify as a participant in a new program year since exit has not occurred.

Reportable Individual: an individual who registers with an Adult Education Program or provides identifying information, takes action that demonstrates an intent to use program services, but has less than 12 contact hours before exiting the program.

What students are classified as participants?

These are individuals who enroll in the program and have at least 12 contact hours prior to separating for a period of 90 days without service or up to 120 days if they have a future service date. The student’s attendance is tracked from their point of entry until their exit date in making this determination. Participant status is retained until an exit occurs.

What students are classified as reportable?

These are individuals for whom identifying information is collected and possibly enroll in the program. If the students who enroll separate from the program with fewer than 12 contact hours, these individuals are classified as “Reportable.” If the students do not enroll but identifying information is collected on them which may include demographic data or administering an assessment, these individuals are also “Reportable.” Providers are responsible for tracking these individuals.

Does a student have to have 12 or more contact hours within a program year to be considered a participant?

No, a student’s attendance record is evaluated from the point of entry to the point of exit. There may be circumstances in which a student continues into a new program year from a prior program year and has 12 or more hours during that period but less than 12 hours in the current program year. For example, a student may begin on May 1, 2017 and have 12 or more contact hours by June 30, 2017. If this student continues into the program year without separating, the student automatically begins the new program year as a participant. It’s also possible for a student to end a program year as a reportable individual, continue into the new program year and become a participant upon their 12th contact hour during their continuous service period without separation.

INTAKE

Programs are expected to use a variety of community outreach and recruitment strategies to ensure that adults, including those most in need of literacy, are aware of program services. Programs must have a process in place for conducting student intake. The Literacy Education Information System (LEIS) form captures demographic, contact, education, employment, and related information. Information on this form must be entered into the student information system (Colleague or LACES) for every student enrolled. The program should determine the most appropriate method for gathering the needed information based on the student's skills and comfort level.

Orientation/intake is a program practice that helps students understand the program, the expectations and to become familiar program options, attendance policies, support services, course scheduling. It is a good opportunity for students to explore careers and setting to set educational goals for transition to post-secondary education or job training and for programs to assess any barriers students might have to regular attendance and to provide the appropriate advising.

DOCUMENTING AND REPORTING STUDENT ATTENDANCE HOURS

Initial Collection of Student Hours: Title II providers must have a valid system in place for capturing and reporting student attendance hours. This should include sign-in sheets or electronic attendance systems that verify the time the student entered and exited the instructional activity daily. If a student exits a class for more than 10 minutes during an instructional activity and then returns to the same instructional activity that day, the student must sign in and out each time.

After calculating the daily hours for each student, always round to the nearest 15-minute increment. For example, Student A arrived at 9:20 AM and left at 11:00 AM. Student A was in class for 1 hour and 40 minutes, which would round to 1.75 hours (1 hr. 45 min). Student B arrived at 9:00 AM and left at 10:20 AM. Student B was in class for 1 hour and 20 minutes, which would round to 1.25 hours (1 hr. 15 min). Remember that 15 minutes is equal to 0.25 hour. Here is a little cheat sheet.

- 15 minutes = .25 hours
- 30 minutes = .5 hours
- 45 minutes = .75 hours
- 60 minutes = 1 hour

Contact hours for distance learning students are calculated differently. Refer to the Distance Learning section of the NC Assessment Policy for guidance.

Tracking attendance: Community College providers transfer daily attendance hours into Web Attendance which will be covered in a later chapter. Other providers use the attendance tracking system within LACES.

ACADEMIC AND CAREER ADVISING, SUPPORT SERVICES

Students need access to academic and career advising and support services. Many students enroll in Title II AEFLA programs with a variety of needs and challenging situations in their lives that can become barriers to their attendance and success. Programs can work with Title II partners, community resources, and other organizations that provide support to individuals with barriers to employment.

Title II funds may be used to cover student transportation to and from the program, such as public transportation passes. Documentation regarding use of funds (e.g., signed log or passes with the cost of the pass) is required. Cash payments to students whether in advance or as a reimbursement are not allowed.

CAREER PATHWAYS AND INSTRUCTIONAL PROGRAMMING

MAJOR POINTS

- 1. WIOA requires local workforce development boards to convene their education partners to develop and implement career pathways. In North Carolina, the NCWorks Commission initiated Certified Career Pathways to connect employers, education and training programs, and support services and enable individuals to secure a job or advance in a demand industry or occupation. Integrated education and training is a key element in a career pathway.**
- 2. Title II instructional programs fall into three primary areas: Adult Basic Education (ABE), Adult Secondary Education (ASE), and English Language Acquisition (ELA).**
- 3. Adult Basic Education (ABE) is a program of instruction designed for adults functioning below a 9th grade level who need to improve their reading, writing, speaking, problem solving, or computation skills. Based on placement results from approved standardized tests, students fall into one of four ABE levels.**
- 4. Adult Secondary Education (ASE) is a program of instruction designed for adults functioning between a 9.0 – 12.9 grade level who need to further their education to transition to postsecondary education or employment. Adult Secondary Education includes the Adult High School Diploma program and the High School Equivalency program.**
- 5. English Language Acquisition (ELA) is a program of instruction designed to help limited English proficient adults achieve competence in speaking, reading, listening, and writing the English language as well as other related basic skills.**
- 6. Title II's instructional areas reflect the allowable activities of adult education, literacy, workplace education, family literacy, English language acquisition, integrated English literacy and civics education, workforce preparation, and integrated education and training.**

CAREER PATHWAYS

Career pathways are an integrated service delivery model across education and workforce development that allow local areas to design solutions leveraging the strengths of workforce development and education across the spectrum. WIOA requires local workforce development boards to convene their education partners to develop and implement career pathways. Section 3(7) of WIOA includes the first-ever federal definition of the set of core activities that are required in career pathways. They include a combination of rigorous and high-quality education, training and other services that:

- (A) Aligns with the skill needs of industries in the economy of the State or regional economy involved;
- (B) Prepares an individual to be successful in any of a full range of secondary or postsecondary education options, including apprenticeships...;
- (C) Includes counseling to support an individual in achieving the individual's education and career goals;
- (D) Includes, as appropriate, education offered concurrently with and in the same context as workforce preparation activities and training for a specific occupation or occupational cluster;
- (E) Organizes education, training, and other services to meet the particular needs of an individual in a manner that accelerates the educational and career advancement of the individual to the extent practicable;
- (F) Enables an individual to attain a secondary school diploma or its recognized equivalent, and at least 1 recognized postsecondary credential; and
- (G) Helps an individual enter or advance within a specific occupation or occupational cluster. [WIOA, Sec. 3(7)]

Under Title II, Integrated Education and Training (IET) is the instructional strategy for career pathways, and elements “D” and “E” from the WIOA definition of a career pathway align with the IET elements of concurrent activity and contextualization as acceleration strategies.

Title II providers are important partners in the development of Certified Career Pathways to ensure that sufficient entry and exit points are developed for low-skilled job seekers.

Certified Career Pathways: In North Carolina, workforce development boards are working regionally to create Certified Career Pathways that focus on matching worker preparation to employer need in high-demand occupations. They are created by regional and local teams that consist of engaged employers, workforce development boards, high schools and community colleges, universities, local community leaders and chambers of commerce.

Certification indicates that career pathways meet eight best-practice criteria including demand driven, employer led, collaborative, career aware, coordinated, work based, flexible and evaluable. Teams apply to the NCWorks Commission for certification. The application requires a narrative detailing the development of the pathway and evidence of meeting each of the eight criteria. Teams must identify all of their members and each member’s role in the development of the pathway. Certification review is completed by a statewide interagency team of workforce professionals that makes recommendation to the NCWorks Commission.

PRIMARY PROGRAM AREAS

Title II is designed to prepare students for success in their next steps in college and further training, at work, and in the community. To achieve this purpose, instruction falls into three primary areas that the National Reporting System defines into various functioning levels.

Adult Basic Education (ABE)

Adult Basic Education (ABE) is a program of instruction designed for adults functioning below a 9th grade level who need to improve their reading, writing, speaking, problem solving, or computation skills. Based on placement results from an approved standardized test, students fall into one of four ABE levels.

Adult Secondary Education (ASE)

Adult Secondary Education (ASE) is a program of instruction designed for adults functioning between a 9.0 – 12.9 grade level who need to further their education to transition to postsecondary education or employment. Adult Secondary Education includes the Adult High School Diploma program and the High School Equivalency program.

English Language Acquisition (ELA)

English Language Acquisition (ELA) is a program of instruction designed to help limited English proficient adults achieve competence in speaking, reading, listening, and writing the English language as well as other related basic skills. All instruction must be in English only.

INSTRUCTIONAL OFFERINGS

Title II's instructional offerings include adult education, literacy, workplace education, family literacy, English language acquisition, integrated English literacy and civics education, workforce preparation, and integrated education and training. These allowable activities were described on page 15. Within these activities, Title II providers have developed a variety of specialized delivery models to serve special populations and/or needs. Below are two examples that are unique to community college providers:

1. BASIC SKILLS PLUS

Basic Skills Plus offers transitions and career pathway support to students preparing for entry into employment and postsecondary education programs. The North Carolina legislature approved the Basic Skills Plus program in 2010. Approved Basic Skills Plus providers (community colleges only) may use up to 20% of their adult literacy funding to provide planned instruction and training for eligible students. Students performing at the adult secondary education level on at least one NRS-approved assessment and who are co-enrolled in occupational and adult education courses while earning their adult high school diploma or a recognized high school equivalency credential are eligible for Basic Skills Plus.

Students are co-enrolled in Basic Skills and occupational courses (either curriculum or continuing education courses) as part of the career pathways. The key advantage for eligible students is that tuition for curriculum courses and course registration fees for continuing education courses may be waived by approved providers. Career pathways that are offered by the local college must align with demonstrated demand for employment in local and regional labor markets, offer integrated instruction, and provide student support.

Upon initial approval by the State Board, approved providers may add career pathways that offer basic skills instruction and occupational training to students who are co-enrolled and have achieved the adult secondary education level of performance.

For more information and guidelines, refer to the Basic Skills Plus webpage located on the North Carolina Community College website.

2. ADULT HIGH SCHOOL

Adult High School (AHS) is an Adult Secondary Education program offered cooperatively with a local education agency (LEA) and community college so that adults may earn an Adult High School diploma. The Adult High School diploma must be issued in conjunction with a LEA, as community colleges do not have the statutory authority to issue high school diplomas without this partnership. Contact the NCCCS for more information about the AHS Diploma Program. The current *Adult High School Implementation Guide* may be downloaded at https://www.ncccommunitycolleges.edu/sites/default/files/basic-page-file-uploads/ccr/2018_ahs_implementation_guide_7-1-18.pdf

- **Agreement of Affiliation**

Colleges must sign an *Agreement of Affiliation* with their LEA to offer an Adult High School Diploma program. Copies of the *Agreement of Affiliation* may be obtained from the System Office. Once an agreement is signed by both community college and local school officials, a copy must be sent to the North Carolina Community College System Office to the attention of College and Career Readiness -- Adult High School/High School Equivalency. The *Agreement of Affiliation* is to be updated every three years or when there is a change in either community college or LEA administration.

- **Adult High School Transcripts**

Adult High School transcripts are maintained at each community college, not at the System Office, nor at the LEA.

ASSESSMENT

MAJOR POINTS

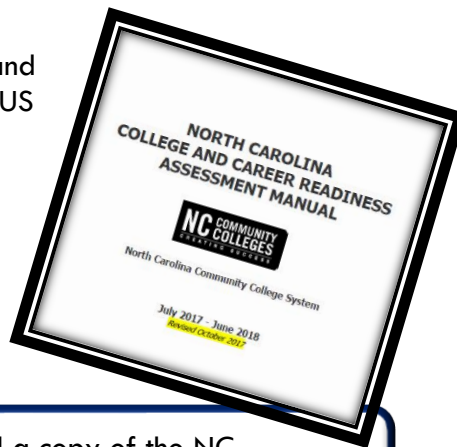
- 1. The NORTH CAROLINA COLLEGE AND CAREER (NCCCR) ASSESSMENT MANUAL is based on guidance from the US Department of Education, Office of Career, Technical and Adult Education (OCTAE), which specifies requirements for statewide assessment policies that must contain certain elements and be submitted to and approved by OCTAE each year. The NCCCR Assessment Manual is located on the NCCCS website.**
- 2. All staff who administer or score any standardized assessment used to measure educational gain must be trained before administering the tests by a certified trainer. A refresher course should be completed every two years.**
- 3. All students entering Title II classes must be assessed by a standardized test approved by the National Reporting System (NRS). The pre-test for the program year or the first period of participation must be administered within the first twelve hours of class instruction. This requirement may be different for students enrolled in the Adult High School Diploma program. Please reference the NCCCR Assessment Manual.**
- 4. The NCCCR assessment policy states that a minimum of 65% of all participants should be post-tested annually.**
- 5. Local programs are responsible for providing fully accessible services and for ensuring that these services meet reasonable criteria, including pre- and post-testing for adults with disabilities.**

NEED FOR ASSESSMENT POLICY

North Carolina's assessment policy provides a framework to measure program effectiveness and provides important criteria for continuous improvement on several levels.

- At the student level, an individual assessment provides vital, reliable information about the student's academic status and progress and allows the student to make informed decisions about goal setting.
- At the program level, accurate assessment data are critical for decision making in planning, instruction, professional development and program improvement. Student assessments help instructors pinpoint student needs and choose appropriate curricula. Aggregate data inform program directors regarding needed improvements and help guide professional development.
- At the State and Federal level, implementation of North Carolina's assessment policy ensures that high quality accurate data are collected statewide and reported to the Federal government so programs can be compared across the state and nation.

Understanding the North Carolina College and Career Readiness Assessment Policy is critical for administrative, instructional, support, and data staff members. The State policy is based on guidance from the US Department of Education, Office of Career, Technical and Adult Education (OCTAE), which specifies requirements for statewide assessment policies that must contain certain elements and be submitted to and approved by OCTAE each year. These regulations also describe how tests must be administered locally to accurately measure educational gains.



Visit the NC Community College website to download a copy of the NC College and Career Readiness Assessment Manual.

INSTRUCTIONAL DELIVERY

MAJOR POINTS

- 1. Instruction in Title II programs must be of sufficient intensity and quality and based on the most rigorous research available, so that participants achieve substantial learning gains.**
- 2. At a minimum, quality instruction should be grounded in research, standards-based, provided by qualified staff, contextualized, and technology-rich.**
- 3. All Title II providers are expected to provide standards-based instruction using the North Carolina Community College System College and Career Readiness Adult Education Standards.**
- 4. Four common instructional delivery models include (1) Managed Enrollment, (2) Open Entry/Open Exit, (3) Tutoring, and (4) Distance Learning. Agencies should ensure that they use the model(s) that best meet the needs of the targeted student population.**
- 5. As part of its workforce preparation activities, Title II providers may now offer and integrate computer literacy classes into a student's program of study. However, stand-alone computer literacy classes should not be offered to students who are not co-enrolled in other adult education and literacy classes.**

STANDARDS-BASED INSTRUCTION

Instruction in Title II programs must be of sufficient intensity and quality and based on the most rigorous research available so that participants achieve substantial learning gains. At a minimum, quality instruction should:

1. Be grounded in best practice documented by viable research,
2. Be aligned to the North Carolina College and Career Readiness Adult Education Content Standards,
3. Be taught by qualified staff,
4. Be contextualized, and
5. Incorporate technology.

All Title II providers are expected to provide standards-based instruction using the North Carolina Adult Education Content Standards. These standards were originally developed, refined, and field tested by adult educators across the State during 2007 to 2010. With the introduction of the College and Career Readiness Standards for Adult Education by the Office of Career, Technical, and Adult Education (OCTAE) in April 2013, the NCCCS College and Career Readiness Adult Education Standards were aligned to reflect these new standards.

Lesson plans and learning units aligned to the College and Career Readiness standards should be used and available for review during State monitoring visits.

Additionally, the English Language Proficiency Standards are companion standards that assist English Language Acquisition programs to align with the College and Career Readiness Standards. They can be accessed at <https://lincs.ed.gov/publications/pdf/elp-standards-adult-ed.pdf>

CONTEXTUALIZED INSTRUCTION

Title II programs should provide learning in context, including through integrated education and training, so that an individual acquires the skills needed to transition to and complete postsecondary education and training programs, obtain and advance in employment, and exercise the rights and responsibilities of citizenship. Contextualized instruction is aimed directly at developing the skills and knowledge **that adults need** to deal with *specific situations* or *perform specific tasks*, and that **they** have identified as *important and meaningful* to themselves “**right now**” in their *everyday* lives. In addition, rather than focus only on the *possession* of basic skills and knowledge, contextualized instruction focuses on the *active application* of those skills and that knowledge “**in a context**”. This context should be based on “real-world” experiences. Contextualized instruction lends itself well to project-based learning and other student-centered practices.

A great resource for evidence-based materials for curriculum and instruction is LINCS (Literacy Information and Communication System). Visit the website by going to <https://lincs.ed.gov/>

INSTRUCTIONAL DELIVERY MODELS

There are various instructional settings that are appropriate for adult learners. The key is to provide a learning environment that is invitational and effective. Four common instructional delivery models include: (1) Managed Enrollment, (2) Open Entry/Open Exit, (3) Tutoring, and (4) Distance Learning. Providers should ensure that they use instructional model(s) that best meet the needs of their targeted student population.

- **Managed enrollment classes** have an established cycle with a start and end date. Students are only allowed to enter the class at the beginning of the cycle and are expected to remain until the end. This model is especially beneficial in preparing students for the structure and requirements of postsecondary education/training.
- **Open entry/open exit instruction** provides the flexibility that some adult learners need because of family and/or work responsibilities. Students can enroll and exit at any time during the scheduled course.
- **Tutoring** provides one-on-one or small group instruction through the use of tutors, usually unpaid volunteers.
- **Distance learning** - “non-classroom or hybrid based” instructional model in which students have access to online instruction at a distance using state-approved software programs.

Distance learners must be assessed under the same guidelines as all adult learners in the State. Students in distance learning should attend a face-to-face orientation and must be pre- and post-tested. Since the exact time distance learning students spend on various activities cannot be directly verified, the “proxy hours” are calculated using one of three NRS-approved methods: clock time, teacher verification, or learner mastery.

- The **clock time method** may only be used with curricula that track the time the student interacts with the curricula and which also contain a mechanism to log students out of the program after a specified period of inactivity.
- The **verification method** is based on a State assigning a predetermined number of proxy hours for completing activities (such as viewing a videotape or completing specific lessons).

INTEGRATION OF TECHNOLOGY

Title II programs should effectively use technology, services, and delivery systems, including distance education, in a manner sufficient to increase the amount and quality of learning. All students should have access to computers and/or other digital devices. As part of its workforce preparation activities, Title II providers may now offer and integrate computer literacy classes into a student's program of study.

COURSE SCHEDULING

All instruction should be scheduled with sufficient intensity and duration to allow for educational gains. Course scheduling should also provide sufficient flexibility to accommodate the varying needs of adult learners with work, family, and related responsibilities.

PERFORMANCE AND ACCOUNTABILITY

MAJOR POINTS

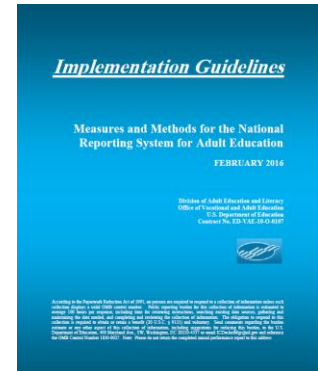
- 1. The National Reporting System (NRS) establishes assessment guidelines, common definitions, and standard data collection protocol in addition to criteria for measuring Federal performance measures.**
- 2. Under WIOA, there are six primary indicators of performance for all of the Titles related to employment rates for 2nd and 4th quarters after exit, median earnings, credential attainment, measurable skill gains, and effectiveness in serving employer needs.**
- 3. Measurable skill gains (MSGs) can be achieved in five ways: (1) comparing a participant's pretest with the participant's posttest, using NRS-approved assessments; (2) awarding adult high school credits in an Adult High School Diploma program (enough to move from ABE Level 5 to ABE Level 6 according to the State's guidelines); (3) enrollment in postsecondary education and training after exit; (4) receipt of a High School Equivalency credential; and (5) receipt of an Adult High School diploma. Only the most recent MSG achieved is reported per period of participation (POP), even if more than one MSG is achieved within a POP.**
- 4. A period of participation begins when a participant enters the program and does not end until a participant exits the program. If a student has 12 or more contact hours during this time, the student is classified as a participant within a period of participation.**
- 5. Every period of participation is treated as a separate event for a participant and performance indicators apply separately to each period. This means that for each period of participation, the State must report measurable skill gains and conduct follow-up on the participant after exit from each period to collect data on the appropriate post-exit indicators.**
- 6. The credential attainment indicator measures two types of credentials: (1) receipt of a secondary school diploma or recognized equivalent during participation or within one year after exit from the program. The receipt of this credential is only counted if the participant also enters postsecondary education or training, or employment within one year after exit. (2) receipt of a recognized postsecondary credential during participation or within one year after exit from the program.**
- 7. Based on National Reporting System guidelines, every State must have an electronic management information system to collect student data. North Carolina uses two systems: Colleague for community college programs and LACES for community-based organizations.**
- 8. A uniform data collection form has been developed to collect the information for input into the management information system. This instrument is referred to as the Literacy Education Information System (LEIS) form.**
- 9. The NCCCS conducts two types of program monitoring annually: (1) on-site monitoring of selected Title II providers each year based on risk assessment results and (2) desktop monitoring reports for all Title II providers.**

NATIONAL REPORTING SYSTEM

Awarded Title II Providers must be held accountable for the resources they receive. This requires Providers to know how programs are measured, understand how results compare to performance standards, and continually make improvements in instruction and classroom management.

National: In 1995, Congress considered eliminating adult education as a separate program and integrating its activities into existing workforce development programs. To keep the program separate, it was essential to develop a strong data collection system to show the impact of adult education.

In response to the need for a national accountability system, the National Reporting System (NRS) was developed for adult education. NRS established assessment guidelines, common definitions, and standard data collection protocol in addition to criteria for measuring Federal performance measures. As a result, a national picture of what adult education programs across the country, including North Carolina, are doing can be presented to Congress and other funders.



WIOA PRIMARY INDICATORS OF PERFORMANCE

Under section 116(b)(2)(A) of WIOA, there are six primary indicators of performance for all the WIOA titles:

1. **Employment Rate – 2nd Quarter After Exit:** The percentage of participants who are in unsubsidized employment during the second quarter after exit from the program;
2. **Employment Rate – 4th Quarter After Exit:** The percentage of participants who are in unsubsidized employment during the fourth quarter after exit from the program;
3. **Median Earnings – 2nd Quarter After Exit:** The median earnings of participants who are in unsubsidized employment during the second quarter after exit from the program;
4. **Credential Attainment:** The percentage of those participants enrolled in an education or training program (excluding those in on-the-job training (OJT) and customized training) who attain a recognized postsecondary credential or a secondary school diploma, or its recognized equivalent, during participation in or within one year after exit from the program.

A participant who has attained a secondary school diploma or its recognized equivalent is included in the percentage of participants who have attained a secondary school diploma or its recognized equivalent **only if the participant also is employed or is enrolled in an education or training program leading to a recognized postsecondary credential within one year after exit from the program;**

5. **Measurable Skill Gains:** Includes educational functioning level gain through pre- post testing, entry into postsecondary education after program exit, receipt of a high school/secondary credential, and awarding of Adult High School Credits for progression from ABE Level 5 to ABE Level 6.

6. **Effectiveness in Serving Employers:** WIOA sec. 116(b)(2)(A)(i)(VI) requires the US Department of Labor and Department of Education to establish a primary indicator of performance for effectiveness in serving employers.

Data matching: North Carolina uses a data matching system to obtain verification of the employment, high school credential, and postsecondary education indicators.

The State has developed a system that allows individual agencies to share data through social security numbers without compromising confidentiality. For employment-related outcomes, the System Office uses North Carolina Department of Commerce wage income records. For postsecondary outcomes, data are matched with the National Student Clearinghouse, a centralized database of public colleges and universities and Continuing Education enrollment in an occupational training course.

The target for MSGs is negotiated between the NCCCS and the US Department of Education. The MSG target for 2019-2020 is 42%. The percentage may vary each year.

WIOA PERIODS OF PARTICIPATION, MEASURABLE SKILL GAINS, AND CREDENTIAL ATTAINMENT

WIOA's new accountability requirements reflect increased emphasis on employment and postsecondary education, and more tracking of participants after their exit. Three areas require a closer examination to better understand the impact of the new accountability requirements: periods of participation (POPs), measurable skill gains (MSGs), and credential attainment.

Periods of Participation (POP)

What are periods of participation?

A period of participation begins when a participant enters the program and does not end until a participant exits the program. If a student has 12 or more contact hours during this time, the student is classified as a participant within a period of participation. A POP may cross one or more program years depending on when the student enters the program and when the student exits the program.

May a student have more than one POP?

Yes, each time a student separates and re-enters the program attending 12 or more contact hours before separating again, the student is a participant in a new period of participation.

When does a student separate/exit from the program?

A student is considered to have exited/separated from the program after a period of 90 days without service or up to 120 days if a prior planned exit and future service date were identified by the student and recorded by the staff.

What is a future service date?

A student who has a planned absence and expects to return may have a scheduled future service date. This date must be no more than 120 days from their last date of attendance. This must be recorded on the LEIS form and in the student information system database. If the student returns by the future service date, then the student does NOT exit/separate from the program, and the student's attendance record is evaluated for the same period of service or POP.

For purposes of determining if a student is receiving service, the following do not count as service:

- Self-service
- Information-only services/activities
- Follow-up services

How are periods of participation used for calculating performance indicators?

State performance on all core outcome measures under WIOA, excluding median earnings, is calculated as a percentage of the total number of outcomes achieved by the total number of periods of participation.

Do the WIOA performance measures apply for each period of participation?

Each time a student qualifies as a participant within a program year, we add the student to the denominator. For example, if a student qualified as a participant on three occasions during a program year, we add that student to our denominator three times.

Every period of participation is treated as a separate event for a participant and performance indicators apply separately to each period. This means that for each period of participation, the State must report measurable skill gains and conduct follow-up on the participant after exit from each period to collect data on the appropriate post-exit indicators. Each exit date from a period of participation is used to determine the follow-up time. For example, if a student exits in December, re-enrolls in April, and exits again in June, the State would report on appropriate post-exit indicators for both exits. The second-quarter employment outcome, for example, would be reported in the April through June quarter for the December exit, and in the following October through December quarter for the June exit.

How do periods of participation affect pre- and post-testing of participants?

Pre-testing: When students enter the program, they are given one or more assessments to determine their initial placement and their pre-tests. Students must be given at least one assessment within their first 12 contact hours. The student's placement is determined by the lowest EFL score of the assessments given within the three-day calendar period. **Each student must have a valid initial placement for each program year. The initial placement remains the same for the entire program year regardless of the number of POPS a student may have.**

Be sure to review the process for retroactive MSGs related to pre/post-testing discussed in the next section.

For students who separate and return within the program year, the student should not be given a new pre-test at the beginning of subsequent POPS unless the student does not have a valid pre-test for the program year.

Post-testing: The student is held accountable for a Measurable Skills Gain (MSG) for every POP. While there are five ways that students may earn an MSG depending on their program of study (discussed in the next section), post-testing is often the most common method for earning an MSG. Therefore, all students with sufficient hours (and progress) should be post-tested within every POP. However, this does not apply to students enrolled in the AHS Program nor students without a pre-test lower than ABE 6.

Must student demographic data be collected for each period of participation?

Yes, every student in an adult education program funded by NCCCS must have a LEIS form completed each program year and at the start of each Period of Participation within the program year. The practice is a requirement by OCTAE since a student's information such as employment status or barriers may change with each new POP.

To ensure we have the most updated information on our students and for best recordkeeping practices, a new LEIS form must be completed and retained for each POP. If you are using an electronic form, the form should be revised when the student returns and both the older and newer versions retained for each appropriate POP. With the uncertainty of some data systems, it's always a great practice to have several sources of documentation to ensure data quality and accuracy.

Measurable Skill Gains (MSG)

Adults enroll in adult education programs for many different reasons, but most often they attend to gain the skills they need to be successful in school, the workplace, and their everyday lives. Under WIOA, programs are able to determine their success in helping students gain those skills, using the measurable skill gains (MSG) indicator. This section explains what MSG is, how it is measured, who is included in the indicator, and how it is different from the outcome measures that State and local adult education programs previously collected.

What is a measurable skill gains indicator?

MSG is a WIOA-required indicator used to demonstrate participants' progress toward achieving a credential or employment. Although a period of participation may cross program years, MSGs may only be earned by participants within a program year.

How are measurable skill gains earned?

For adult education programs, participants can demonstrate MSG in five ways depending on their program of study:

MSG by Educational Functioning Level (EFL) gain:

- Advancing to one or more higher levels by pre-and post-test EFL gain
- Adult High School credit for applicable AHS students
- Exiting the program and entering Post-Secondary education

MSG by Secondary Diploma/Equivalent:

- AHS Diploma
- High School Equivalency Credential by passing all parts of either the:
 - GED
 - HiSET
 - TASC
 - Multiple Pathways

Who is included in the measurable skill gains indicator?

MSG is reported for all participants (adults who receive 12 or more contact hours within the period of participation.) However, participants who are forced to exit the program due to the following extenuating circumstances are excluded:

- Incarceration or entry into a 24-hour support facility such as a hospital or treatment center
- Medical treatment that lasts more than 90 days
- Being called into active duty in the National Guard or other armed services for at least 90 days
- Death

Can students with more than one POP within a program year earn MSGs retroactively?

Yes, there are two retroactive MSGs:

- **Pre/Post-test MSG:** If a student separates and returns and did not earn an MSG in the prior POP, the student may earn an MSG based on their first post-test within the new POP. If this results in an EFL gain, the gain is applied retroactively to the prior POP. That post-test will serve as the post-test to the prior POP, and the new pre-test for the new POP. The student may earn an additional pre/post-test MSG for their new POP from another EFL gain after post-testing with sufficient hours.
- **HSE/AHS Diploma MSG:** If a student earns either an HSE Credential or an AHS Diploma, an MSG is applied to the student's current POP and any preceding POP within the program year.

Credential Attainment Indicator

(<http://www.nrsweb.org/trainings/events/DefiningKeyElements.aspx>)

Title II programs have always tracked the number of students obtaining a secondary credential as a follow-up outcome measure for NRS reporting. However, WIOA establishes a credential indicator that includes secondary and postsecondary credentials. This section explains the credential indicator, who is included in the measure, how it is calculated, how it differs from previous measures, and how it is reported.

What is the credential indicator?

The credential attainment indicator measures two types of credentials:

- Receipt of a secondary school diploma or recognized equivalent during participation or within one year after exit from the program. The receipt of this credential is only counted if the participant also **enters postsecondary education or training, or employment within one year after exit.**
- Receipt of a recognized postsecondary credential during participation or within one year after exit from the program.

Who is included in the credential indicator?

The secondary school diploma credential component of the indicator applies only to participants enrolled in a secondary education program at or above the ninth-grade level who exited the program and who did not have a secondary school diploma or its equivalent at program entry. The postsecondary education credential component of the indicator applies only to participants who were enrolled in a postsecondary education or training program who exited.

Participants in correctional education programs (WIOA Section 225) are excluded from the indicator. In addition, participants are excluded from the indicator if they are forced to exit the program due to the following extenuating circumstances:

- Incarceration or entry into a 24-hour support facility such as a hospital or treatment center
- Medical treatment that lasts more than 90 days
- Being called into active duty in the National Guard or other armed services for at least 90 days
- Death

How is the credential indicator calculated?

The credential indicator is calculated as a percentage of the total number of participants who exited during the reporting period who achieved either credential as defined above **divided** by the total number of participants (1) who exited and were enrolled in a postsecondary education or training program **plus** (2) all participants who exited and were enrolled in a secondary education program at or above the ninth-grade level and did not have a secondary school diploma or its equivalent.

How is this different from previous reporting?

Participants must be enrolled at the ninth-grade equivalent or higher during participation in the program to be included in the measure, and they must be employed or enrolled in postsecondary education within one year after exit in order to be counted for achieving a secondary credential. Attainment of a postsecondary credential is a new performance indicator for the NRS under WIOA.

LITERACY EDUCATION INFORMATION SYSTEM (LEIS)

Based on National Reporting System guidelines, every State must have an electronic management information system to collect student data. North Carolina's Literacy Education Information System (LEIS) uses two student information management systems: one for community college programs and one for community-based organizations. Both systems collect identical information based on Federal requirements, including student demographics, educational background, special programs, student data, Adult High School and High School Equivalency outcomes, and pre-post test results.

North Carolina Community College System
Literacy Education Information System (LEIS) - Page 1

Provide Name: _____

LAST NAME _____ FIRST NAME _____ MIDDLE/MAIDEN NAME _____

STUDENT SOCIAL SECURITY # _____ STUDENT COLLEGE/LACES ID # _____

INTAKE DATE (Program Start date) _____ PROGRAM YEAR _____ PERIOD OF PARTICIPATION FOR PROGRAM YEAR _____
(Initial date when student first attends. The intake process or returns after credit for credit than 90 days. Leave blank for continuing students.)

SEPARATION DATE FOR THIS PERIOD OF PARTICIPATION _____ Course / section # (CC only if using as registration) _____

1. Mailing Address: _____
Address Line 2: _____
City _____ State _____ (postal abbreviation) _____
Zip Code _____ County _____

2. Home Telephone: _____
Cell Telephone: _____
Email Address: _____

3. Birth Date: _____ (Month/Day/Year) 4. Gender: M F

5. Ethnicity (Select one): 1. Hispanic/Latino 2. Non-Hispanic/Non-Latino
Race (Select at least one): 3. American Indian/Alaska Native 4. Black or African American 5. Asian 6. White 7. Black or African American 8. Hispanic/Latino

6. Schooling History
Last Secondary/Elementary School Attended: _____
Location: _____
Date Last Attended (Secondary/Elementary School): _____
Mo. Year: _____

7. Country of Last School Attended: US Based Schooling Non-US Based Schooling

8. Highest Educational Level at Entry (check one):
 No schooling
 No diploma/Grade 1-11 (or last grade completed)
 High school graduate/Grade 12 completed
 High School Equivalent graduate
 Certificate of attendance/completion as a result of completing a DEP
 Adult High School graduate
 Some Postsecondary education, no degree
 Post high school vocational diploma
 Associate degree
 Bachelor degree
 Master degree or higher
 Unknown

9. Employment Status at Entry:
 FT - Employed full-time
 PT - Employed part-time
 Employed, but received notice of termination of employment or anticipatory repudiation is pending
 Unemployed (unemployed and currently seeking employment)
 Not in the Labor Force (retired, not seeking employment, or incarcerated)

10. NC Residency Under Age 18
Driver's License Number: _____ State of Issue: _____
Date of Issue: _____

IF REQUIRED BY YOUR COLLEGE/ORGANIZATION:
Form Completed by: _____ Comments: _____
Student Signature: _____ Date: _____

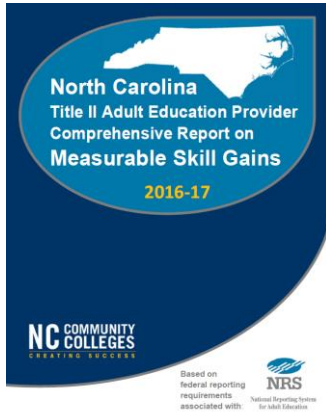
Required use beginning July 1, 2017

Every Title II provider should have a trained LEIS staff member who is knowledgeable and proficient in data entry and understands the purpose and guidelines for student data collection. Training on both systems is available from the System Office.

LEIS Forms

A uniform data collection form has been developed to collect the information for input into the management information system. This instrument is referred to as the Literacy Education Information System (LEIS) form. All NC Title II programs are required to use the System Office's standardized LEIS form to collect and record student data. Additions can be made to the forms, but no changes may be made to the existing components. The form is available in both printable and electronic versions at <http://www.nccommunitycolleges.edu/college-and-career-readiness/program-quality-and-accountability>. Students must sign the first page of the LEIS form, and programs are required to keep the student signature on file for each pop.

PERFORMANCE REPORTS



Title II, Adult Education and Family Literacy Act (AEFLA) is required to collect and report data on adult education student outcomes to the National Reporting System (NRS). Based on that data, the NCCCS compiles and distributes an annual Title II Adult Education Provider Comprehensive Report on Measurable Skill Gains. The report includes the performance outcomes of every Title-II funded program.

In North Carolina, annual baseline levels of success for providers are set at 80% of the state's goal. Excellence levels are set at the state goal plus half of the distance between the baseline and state goal. This report is available on the NCCCS website.

RECORDS RETENTION

Title II providers must retain all local program records and supporting documents for a minimum of five years from the date of submission of the final expenditure report. All State and local Adult High School transcripts and diplomas must be maintained indefinitely.

Additional guidance on records retention can be obtained from the Records Retention and Disposition Schedule at

http://www.ncccommunitycolleges.edu/sites/default/files/basic-page-file-uploads/ccr/ncccs_colleges_final_7-26-16.pdf

PERSONNEL

MAJOR POINTS

1. In North Carolina, Title II funded providers agree to employ staff who hold NRS credentials.
2. Instructors must have a credential/certification in either K-12, Special Education, Adult Education, TESOL, or another recognized credential. Volunteer tutors are not subject to credentialing requirement.
3. NCCCS has developed six Adult Education credentialing options for Title II instructors.
4. Title II funds may be used to hire instructional-related staff such as teachers, coordinators, lab facilitators, assessment and retention specialists, advisors, and counselors.
5. Up to 5% of the Federal portion of the Title II grant may be used for support of administrative functions (such as staff-related administrative duties, clerical, infrastructure costs for NC Works, etc.) In cases where the 5% limitation is too restrictive to allow for adequate planning, administration, personnel development, and interagency coordination, the program may request that the System Office review its situation in order to determine an adequate level of funds to be used for non-instructional purposes.
6. Title II providers must maintain personnel data needed for Federal reporting.

TEACHING CERTIFICATION

Research studies prove that the quality of instruction has the greatest impact on student performance. As a result, Federal and State agencies, in addition to other national organizations, require higher standards for instructors.

In North Carolina, Title II funded providers agree to employ staff who hold NRS credentials. Instructors, faculty, or staff are classified credentialed if they have one of the following:

- **K-12:** A credential awarded by an educational institution for undergraduate or graduate studies that focuses on teaching.
- **Special Education:** A credential awarded by an educational institution for undergraduate or graduate studies that focus on teaching children or adults with disabilities or special needs.
- **TESOL:** Teachers of English to Speakers of Other Languages certification.
- **Adult Education:** A credential or degree awarded by an educational institution for undergraduate studies that focuses on teaching adult education students.
- **Graduate Degree:** Awarded by an educational institution for studies that focuses on teaching, school administration, or a specific content area that aligns to one of the NC Adult Education Content Standards. For example: math, technology, or reading.

A K-12 teaching credential that is expired also counts as a credential. Volunteer tutors are not subject to the credentialing requirement.

An Adult Education credential may be demonstrated in several ways. Below are a few:

1. NCCCS CORE credential (described in the Professional Development chapter)
2. NCCCS ASE credential (2 options - described in the Professional Development chapter)
3. NCCCS ESOL credential (described in the Professional Development chapter)
4. NCCCS STAR credential ((described in the Professional Development chapter)
5. ASU Certified Resource Specialist in Adult Education
6. Bachelor's degree in education with a concentration in a basic skills- related subject area
7. Master's degree or doctoral degree in education with a concentration in one of the Adult Education Content Standards or a basic skills- related subject area
8. Certification from an accredited educational institution in an instructional area.

ALLOWABLE COSTS FOR TITLE II PERSONNEL

Title II funds may be used to hire instructional-related staff such as teachers, coordinators, lab facilitators, assessment and retention specialists, advisors, and counselors.

Up to 5% of the Federal portion of the Title II grant may be used for support of administrative functions (such as staff-related administrative duties, clerical, etc.) In cases where the 5% limitation is too restrictive to allow for adequate planning, administration, personnel development, and interagency coordination, the college may request that the System Office review its situation to determine an adequate level of funds to be used for non-instructional purposes. (It should be noted that 1.5% of the 5% administration cap is removed prior to the grant award; that leaves 3.5% for use on other administrative functions.)

PAYMENT FOR NON-TEACHING HOURS

Part-time instructors may be paid for non-teaching duties such as attending meetings or professional development if those duties and designated times for performing them are identified in their contracts. The duties listed should be specific, such as meeting with employers or curriculum development, not preparation time.

NRS REPORTING OF TITLE II PERSONNEL

Title II providers must maintain personnel data needed for Federal reporting. This includes data on the number of full-time and part-time administrative positions, counselors/advisors, paraprofessionals, teachers as well as unpaid volunteers. Additional information is required for teachers including the number of years of experience in adult education and the nature of their teaching certification. An example of the Colleague reporting system is located on the next page.

(A)	Adult Education Personnel		Unpaid Volunteers (D)
	Total Number of Part-time Personnel (B)	Total Number of Full-time Personnel (C)	
Function			
State-level Administrative/ Supervisory/Ancillary Services *			
Local-level Administrative/ Supervisory/Ancillary Services *			
Local Counselors *			
Local Paraprofessionals *			
Local Teachers **			
Teachers' Years of Experience In Adult Education			
Less than one year			
One to three years			
More than three years			
Teacher Certification			
No certification			
Adult Education Certification			
K-12 Certification			
Special Education Certification			
TESOL Certification			

PROFESSIONAL DEVELOPMENT (PD)

MAJOR POINTS

1. **The national Literacy Information and Communication System (LINCS)** (<https://lincs.ed.gov/>) offers a variety of professional development resources including searchable resources, Community of Practice, and self-paced online courses.
2. **THE CORE INSTRUCTIONAL CERTIFICATE:** This credential is a hybrid learning model and prepares instructors to provide quality adult education in basic skills programs. It is made up of courses which train participants in research and evidence-based methodologies as well as learning philosophies to teach adult learners.
3. **READING SPECIALTY CERTIFICATE:** Student Achievement in Reading (STAR) forms the basis of the reading specialty certificate and provides instructors with the research-based knowledge and skills to assess and teach intermediate readers (levels 4 to 8.9) in alphabets, fluency, vocabulary, and comprehension.
4. **ESOL Fast Track SPECIALTY CERTIFICATE:** This certificate is an online course for ESL teachers who need to develop a theoretical and practical foundation for teaching English to adult immigrants from a variety of linguistic and educational backgrounds. Topics focus on core issues of adult learners, language learning in adulthood, teaching methods, lesson planning including the new ELP Standards, and reflective teaching practices. The course is set up with six modules plus an orientation module and is instructor-moderated.
5. **ADULT SECONDARY EDUCATION SPECIALITY CERTIFICATES:** These credentials are available through a hybrid delivery and are designed for any Title II instructor working with students at the adult secondary education level (grade equivalents 9 to 12.9). They include ASE Language Arts and ASE Math.
6. Every Title II provider must designate funding for professional development activities in its annual budget.

PD BUDGET REQUIREMENTS

Every Title II provider must designate funding for professional development activities in its annual budget. These funds should be tracked to verify expenditures. Professional Development expenditures may include expenses such as travel to local, State and/or national conferences, workshops, and institutes; stipends for part-time staff to attend workshops; training development; and materials costs. Additional PD trainings are also available for other key personnel.

NCCCS PROFESSIONAL DEVELOPMENT SYSTEM

The North Carolina Community College System Office provides a variety of professional development opportunities for Title II providers throughout the year. In addition to regular informational webinars and annual training institutes for local directors, NCCCS sponsors a series of instructional-related workshops throughout the State through which participants can earn adult education teaching credentials. Many of these workshops are conducted by Appalachian State University through its Adult Basic Skills Professional Development program (ABSPD). ABSPD provides professional development through Institutes, face to face workshops, online professional development, DVDs, training manuals, and web-based resources. For additional information and PD resources, visit <https://abspd.appstate.edu/> or contact your regional representative.

LINCS: A NATIONAL PD RESOURCE

The Literacy Information and Communication System (LINCS) (<https://lincs.ed.gov/>) offers a variety of professional development resources including searchable resources, Community of Practice, and self-paced online courses.



- The [LINCS Resource Collection](#) provides free online access to high-quality, evidence-based, vetted materials to help adult education practitioners and state and local staff improve programs, services, instruction, and teacher quality. Spanning 15 topic areas, the collection provides relevant instructional resources and professional development materials, as well as research articles, policy briefs, reports, multimedia resources, and more. Information on how to use the featured resources to enhance teaching and learning also is available, as well as limited technical assistance via support@lincs.ed.gov.
- The [LINCS Community](#) is an interactive online social learning space (a community of practice) for conversation, networking, and professional development, which works in tandem with the LINCS Resource Collection and the [LINCS Professional Development Center](#) to improve evidence-based practice in adult education. The community, supported by leaders in the field, facilitates increased knowledge sharing and collaboration among adult education leadership, professional developers, administrative staff, and practitioners across the country. Community groups are based on the topic areas in the LINCS Resource Collection.

- LINCS offers self-paced online courses for adult education practitioners. These courses are available for use anytime, anywhere on the [LINCS Learning Portal](#).
 - [Career Pathways](#)
 - [Differentiated Instruction](#)
 - [English Language Learners](#)
 - [Learning Disabilities](#)
 - [Open Educational Resources - STEM](#)
 - [Science](#)
 - [Technology](#)
 - [Reading](#)
 - [Research in the Classroom](#)
 - [Teacher Effectiveness](#)

NCCCS CREDENTIALING COURSES

In 2012, the North Carolina Program and Professional Development Team established a credentialing system to train instructors in evidence-based teaching methodologies. These include the learning philosophies and frameworks that are unique to adult education and literacy activities. The credentialing courses and credentialing process funded through the NC Community College System are accessible to all full or part-time Title II instructors or community-based volunteers. The credentials provided via NCCCS can be obtained through a hybrid delivery format. These credentials are awarded through the Adult Basic Skills Professional Development Team at Appalachian State University.

1. **College and Career Readiness Core Certificate**
2. **College and Career Readiness Reading Specialty Certificate**
3. **College and Career Readiness ESOL Specialty Certificate**
4. **Adult Secondary Education (ASE) Specialty Certificate – Math**
5. **Adult Secondary Education (ASE) Specialty Certificate – Language Arts**

LOCAL PD PLANNING

At the core of any strong Title II program is a commitment on the part of all employees to continually expand their knowledge and skills. Each provider should have a local professional development plan in place that outlines the anticipated activities for the year. The plan should be based on program and individual professional development plans, program improvement needs, current research, and evidence-based practice. Examples of staff development activities may include single- or multi-session face-to-face or distance learning trainings, peer coaching, study circles, teacher research, and visits to other adult literacy programs.

REQUIRED TRAININGS

Various staff functions under Title II may involve required professional development that is offered or facilitated through the NCCCS. Below is a list of some of those required trainings.

GED/TASC/HiSET Examiners: All examiners are required to complete online training developed by the vendor before being approved as a test examiner.

Annual Directors' Meeting: The annual Directors' Meeting provides opportunities for directors to learn about policy updates. Programs are required to send a representative to this meeting or participate virtually

NRS Approved Assessment: All staff who either administer or score any standardized assessment used to measure educational gain must be trained before administering the tests. All personnel who administer any National Reporting System approved assessment must complete training by certified trainers. In addition, all staff including instructors involved in gathering, analyzing, compiling, and reporting data for the National Reporting System must be trained.

GED[®], HISET[®], & TASC[®] TESTING

The three nationally-recognized assessments used to obtain a State-issued High School Equivalency credential in North Carolina are GED[®], HiSET[®] and TASC[®]. All three High School Equivalency assessments are recognized by the US Department of Education and cover the same content areas. The North Carolina Community College System is the administrator of all high school equivalency testing. Passing the complete battery of any one of the assessments will lead to the same High School Equivalency Diploma issued by the North Carolina State Board of Community Colleges.

The salaries of high school equivalency examiners and associated testing costs may not be covered by Title II funds (State and Federal). Non-Title II funds must be used to cover GED[®], HiSET[®] and TASC[®] expenditures.

HiSET[®] testing is the only high school equivalency assessment administered at the North Carolina Department Public Safety Correctional facilities.

GLOSSARY OF TERMS

Academic performance - the percent of enrolled students eligible for **completing** an NRS educational functioning level(s) (EFL).

Adult Basic Education - Instruction in adult basic education is designed for adults who lack competence in reading, writing, speaking, problem solving or computation at a level necessary to function in society, in the workplace or in the family.

Adult Education (defined according to WIOA): Academic instruction and education services below the postsecondary level that increase an individual's ability to: (A) read, write, and speak in English and perform mathematics or other activities necessary for the attainment of a secondary school diploma or its recognized equivalent; (B) transition to postsecondary education and training; and (C) obtain employment.

Adult Education and Literacy Activities (defined according to WIOA): Programs, activities, and services that include adult literacy and education, English language acquisition, family literacy, integrated (full implementation of "integrated" is expected in fiscal year 2016-17) English literacy and civics education, workforce preparation, integrated education and training, and workplace education. (Workforce preparation and integrated education, including career pathways, will be a *requirement* of WIOA implementation.)

Career Pathway - the term means a combination of rigorous and high-quality education, training, and other services that –

- a) aligns with the skill needs of industries in the economy of the state or regional economy involved;
- b) prepare an individual to be successful in any of a full-range of secondary or postsecondary options, including apprenticeships;
- c) include counseling to support an individual in achieving the individual's education and career goals;
- d) includes as appropriate, education offered concurrently with and in the same context as workforce preparation activities and training for a specific occupational cluster;
- e) organizes education, training, and other services to meet the particular needs of an individual in a manner that accelerates the educational and career advancement of the individual.
- f) enables an individual to attain a secondary diploma or its recognized equivalent, and at least one recognized postsecondary credential; and
- g) helps an individual enter or advance within a specific occupation or occupational cluster.

Colleague: North Carolina's electronic system for data collection and reporting for community colleges.

Concurrent Enrollment: Enrollment in adult education and credit-bearing academic postsecondary education.

Correctional Institution: Prison, jail, reformatory, work farm, detention center, halfway house/community-based rehabilitative center, or other similar institution for the confinement or rehabilitation of criminal offenders.

Criminal offender: Individual who is charged with or convicted of any criminal offense.

Digital Literacy: the skills associated with using technology to enable users to find, evaluate, organize, create, and communicate information.

English Language Acquisition (formerly ESL - *defined according to WIOA*): Program of instruction (A) designed to help eligible students who are English language learners achieve competence in reading, writing, speaking, and comprehension of the English language; and (B) that leads to attainment of a high school diploma or its equivalent, transition to postsecondary education, or employment.

English Language Learner (*defined according to WIOA*): An eligible student who has limited ability in reading, writing, speaking, or comprehending the English language, and whose native language is a language other than English or who lives in a family or community environment where a language other than English is the dominant language.

Enrollment is defined as a student assessed and enrolled 12 hours or more adult basic education, adult secondary education and English language acquisition.

Entered Postsecondary or Training - Learner enrolling after exit in a postsecondary educational institution or occupational skills program, building on prior services or training received.

Gained Employment - is defined as learners who obtain a job by the end of the first quarter after their exit quarter.

Integrated Education and Training - Service approach that provides adult education and literacy activities concurrently and contextually with workforce preparation (see “Workforce Preparation” below) and workforce training for a specific occupation or occupational cluster for the purposes of educational and career advancement. IET must include three components:

- a) adult education and literacy activities;
- b) workforce preparation activities; and
- c) workforce training for a specific occupation or occupational cluster.

Integrated English Literacy and Civics Education (IELCE) - Education services provided to English language learners (see “English Language Learners” above) who are adults, including professionals with degrees and credentials in their native countries, that enable them to achieve competency in the English language and acquire the basic and more advanced skills needed to function effectively as parents, workers, and citizens in the U.S. Such services shall include instruction in literacy and English language acquisition (formerly English as a second language) and the rights and responsibilities of citizenship and civic participation, and may include workforce training.

Literacy Adult and Community Education System (LACES) – North Carolina’s electronic system for data collection and reporting for community-based organizations

Literacy Education Information System (LEIS) – North Carolina’s management information system used to collect student data

Participant – an individual with at least 12 contact hours prior to separating for a period of 90 days without service or up to 120 days if they have a future service date, is reported on NRS and Statewide Performance Report tables, and is counted toward performance measures.

Postsecondary Educational Institution (defined according to WIOA) - An institution of higher education that provides not less than a two-year program of instruction that is acceptable for credit toward a bachelor’s degree, a tribally-controlled college or university, or a nonprofit educational institution offering certificate or apprenticeship programs at the postsecondary education level.

Reportable Individual (as defined by WIOA): an individual who registers with an Adult Education Program or provides identifying information, takes action that demonstrates an intent to use program services, but has less than 12 contact hours.

Retained Employment - is defined as learners who obtain a job and remain employed in the third quarter after program exit.

Workforce Preparation: Activities, programs, or services designed to help an individual acquire a combination of academic, critical thinking, digital literacy, and self- management skills, including competencies in utilizing resources and information, working with others, understanding systems, and obtaining skills necessary for successful transition into (and completion of) postsecondary education and training, or employment.

Workplace Education: Adult education and literacy activities offered by an eligible provider in collaboration with an employer or employee organization at a workplace or an off-site location that is designed to improve the productivity of the workforce.