Reporting & Submission Process

Required Funding Recipient Content

Adult education block grant reporting Toolkit objectives:

AB104 outlines expectations as well as planning and implementation requirements for the regional consortia and its members for the provision of adult education in all areas of the state. AB104 provides funding to support these collaborative efforts. These funds shall assist adult education consortia to accomplish each of the following objectives:

- Governance Plan Template
- Amended Three Year Consortia Plan Template
- Annual Plan Template
- Member Allocation Forms
- Consortia Expenditure and Progress Reporting
- Consortia Performance Tracking & Reporting
- Consortia Student Enrollment Tracking & Reporting

The Toolkit (see Appendix D) consists of:

- Governance Template (described in the Membership section above),
- Amended Three-Year Plan template
- Guidance for completing the Amended Three-Year Plan template
- Revised Annual Plan template for 2015-16*
- Revised Guidance* for completing the Annual Plan template*
- Two Revised Excel Workbooks – one for Member Allocations and one for Performance Measures sections of the Annual Plan (replacing Workbooks for Section 3 and Section 5)*

**NOTE:** The items marked * above have been updated on the AEBG website as of October 12, 2015 in response to input from consortia around the state. The changes address processes for collecting and reporting allocations and performance information. Governance, fiscal structures, and planning of goals, objectives and activities, etc. have not changed.

More information will be added to the AEBG website as it becomes available, including updated Q&A documents, further guidance and regulations as program development progresses, funding updates, and an updated calendar of due dates. Notices will go out to Consortia Primary Contacts and highlighted notes will be posted on the website when new information is added. However, it is recommended that Consortia members check the website regularly for updates:

http://aebg.cccco.edu/For-AEBG-Grantees

Governance Plan template:

The Governance Plan Template in the AEBG Toolkit provides the format for listing
consortium members and describing the process for setting up consortia membership and governance that ensures appropriate processes were followed. This governance plan template will help consortia members develop their own agreed upon decision making process.

**Amended Three Year Consortia Plan template:**

AB104 Adult Education Block Grant legislation states that the AB86 Final Plans are the foundation of the efforts that AB104 will be supporting. Those AB86 Final Plans are accepted as the basis of the Three-Year Plan requirement, with the caveat that the plans must be adapted to AB104 guidelines. AB104 guidelines are largely similar to AB86 structures, but do include notable differences including: seven program areas instead of five, more emphasis on data collection and availability, specific areas of performance, etc. AB86 stressed the importance of consortia member coordination of services and leveraging of resources within and outside the consortia; AB104 further strengthens that emphasis.

The Toolkit provides the Amended Three-Year Consortia Plan template for the adaptation of the AB86 Final Plan to AB104 requirements, as well as specific guidance for filling out that template.

**Revised Annual Plan template:**

AB104 legislation also requires Annual Plans for implementation, the first year of which is 2015-16, and updated plans for each subsequent year. It is understood that some activities will be immediately implemented while others will be phased-in. The Legislature has directed CDE and CCCCO to compile information about what consortia plan to do with the AEBG funds at the outset of implementation, and what impacts those efforts have at the end of each year.

The Annual Plan Template is designed to help consortia plan for year-one of the Block Grant, keeping in mind the vision and goals of the Amended Three-Year Plan and how year-one activities will set the stage for further implementation in the subsequent two years of the grant period. It is also designed to enable CDE and CCCCO to provide AEBG information to the Legislature in accessible formats. Specific guidance is provided in the Toolkit to aid in filling out this form.

**Consortium Member Allocations and Resources:**

In order to receive funding from the AEBG, recipients are required to be members of an AEBG consortium (see membership section above).

AB104 puts strong emphasis on maximizing the benefits from public funds to ensure efficient and coordinated use of resources. It is the intent that eligible entities for several of the funding streams shall be members of AEBG consortium. These include: Adult Corrections Facilities Programs, WIOA Title II, Carl D. Perkins CTE Act, Local Control Funding apportionments for students 19 years of age or older, Community College apportionments received for providing instruction in the course areas listed in AB104 AEBG, and state funds for remedial education and job training services for participants
As a condition of joining a consortium, members commit to reporting any funds available to that member for the purposes of adult education and workforce services for adults, and the uses of those funds. The Member Allocations Workbook (referred to in Sections 3 and 5 of the Revised Annual Plan template) provide the format for submission. The Workbook will collect information by individual consortium member. Consortium Level allocations data will automatically be compiled by the workbook and show on the Summary Sheet at the beginning of the Workbook.

**Consortia allocation, budget, and expenditure and progress reporting:**

AB104 requires that each consortium report allocations by consortia member, budgets by program area and objective, and file expenditure and progress reports. Allocations by member should match expenditures, unless a consortium agreement has been reached for movement of funds. Regarding budgets by program areas and objectives, provide an estimate of the budget the consortium members will expend in order to carry out the activities of their Annual Plan. It is understood that these figures will change over the course of implementation, so this would be the best estimate at this time. See the reporting due dates for filing AB104 Consortia Expenditure & Progress Reports via the online system (as used during the AB86 grant process).

Consortia will also be required to break out final expenditures for MOE and the consortia expenditures by the seven program areas. A template will be provided, which will need to be certified by each fund recipient.

**Administration and Indirect amounts:**

A consortium may use no more than 5 percent of funds allocated in a given fiscal year for administration activities. The 5 percent of funds can be used on similar activities as used for administration activities during the AB86 planning grant period.

For **MOE only**, K-12 districts and COEs will be using their CDE approved indirect cost rate for Program Year 2015-16. The indirect cost rate varies from district to district and is not a set amount. Please check the CDE Indirect Rate website, at the link shown below, for the 15-16 approved indirect cost rate for your district.

[http://www.cde.ca.gov/fg/ac/ic/](http://www.cde.ca.gov/fg/ac/ic/)

**Performance Outcomes:**

The performance measures shall include, but are not necessarily limited to:

1. Number of adults served by members of the consortium, and
2. Demonstration of the following:
   - Improved literacy skills
   - Completion of high school diplomas and recognized equivalents
• Completion of post-secondary certificates, degrees, or training programs.
• Placement into jobs
• Improved wages.
• (New) Transfers to Post Secondary (from K-12Adult Programs)
• (New) Transfers from postsecondary noncredit to credit

AB104 requires the Chancellor and Superintendent to align the data system used to produce the September 30, 2016 report on the AEBG to the Legislature, to the system used by local educational agencies for other purposes, in order to streamline data collection and reporting for those providing these services.

The performance charts in Section 6 of the Annual Plan provide the format for setting performance targets in the areas listed above, as well as two additional areas of projected accomplishment. At the suggestion of AEBG focus group members, two intermediate performance measures were added to the list to capture transition to college level coursework. As with Member Allocations, there is a Performance Measures Workbook for setting targets by individual consortium member. Consortium Level performance data will automatically be compiled by the workbook and show on the Summary Sheet at the beginning of the Workbook.

NOTE: While targets for demographic groups are not required, be aware that demographic information regarding program participants will be collected in the Mid-Year and Final Reports.

In the 2015-16 Annual Plan, Section 4.1a, consortia will be required to provide Regional Assessment Plans that include strategies to ensure the data submitted to the state is comprehensive, reliable and valid. CDE and CCCO will review and track the effectiveness of the strategies used in consortia, as well as developments within the WIOA and Perkins programs. It is anticipated that over the next few years the AEBG (2016-17) a statewide system will be identified and developed.

Submission Process:

**By Monday, November 2, 2015:**

The following toolkit templates and forms must be signed and submitted via email to: aebg@ccccco.edu

• Governance Plan Template
• Amended Three Year Consortia Plan Template
• Annual Plan Template
• Member Funding Form (no signatures required)

**By Friday, December 11, 2015:**

Each regional consortium must upload a budget for their regional consortium allocation by December 11, 2015. The budget will be uploaded to the same tracking system used in the AB86 Regional Planning Grant, which can be accessed at the
Consortia will be required to report on their expenditures and progress every six months, with the last six month period being a close out period. The reporting calendar will run from July 1, 2015 to June 30, 2018. A tentative reporting schedule is as follows:


Note: Break out of Annual Expenditures by program area – due July 2016

Period 3 - Activities - July 1, 2016 to December 31, 2016 – Report due in January 2017


Note: Break out of Annual Expenditures by program area – due July 2017

Period 5 - Activities - July 1, 2017 to December 31, 2017 – Report due in January 2018

Period 6 – Close Out Period – actual due date & reporting to be announced.

* Consortia will also be required to break out annual expenditures for MOE and the Consortia expenditures by the seven program areas. A template will be provided which will need to be certified by each fund recipient. This will need to be submitted on an annual basis.

**Mid-Year Reporting and Annual Reporting:**

The Mid-Year Report will be due in early spring, and the Annual Report will be due in August. Subsequent follow up reports will be due in the preceding months. Please see the annual plan template guidance for more details. A more specific schedule, with training workshops, will be released soon.

Each regional consortium must submit a student summary report that includes:

- The number of students served by members of the consortium (unduplicated)
- The demographics for these students (unduplicated)
- Student enrollment by program (duplicated)

Each regional consortium must also submit a program outcome summary report for student progress in the following areas:

- Improved literacy skills
- Completion of high school diplomas and recognized equivalents
• Completion of post-secondary certificates, degrees, or training programs
• Placement into jobs
• Improved wages
• Transfers from adult school to post-secondary
• Transfers from post-secondary noncredit to credit

Federal Reporting and AEBG:

AEBG performance assessment policy is still in development, and will be in pace with federal WIOA Title II (Adult Education and Family Literacy Act) and Perkins assessment policies. In year two of the Block Grant, there should be substantial progress made towards comprehensive assessment policies in those programs that will inform the process for the AEBG. For updates on WIOA Title II implementation development, go to http://www2.ed.gov/about/offices/list/ovae/pi/AdultEd/wioa-reauthorization.html

For year-one of the AEBG (2015-16), the state is allowing consortia to designate their own Regional Assessment Plan wherein they will describe the following:

4.1a Consortia’s Regional Assessment Plan, i.e. how students will be appraised, placed, assessed, etc. into the regional adult system, as they progress, and as they move among the various schools – including what tools and vendors will be used for these activities.

4.1b How consortia will track student enrollment, demographics, and performance? What system(s) will be used? How consortia collect the data from the student/classroom level. How this system enables consortia to meet the targeted program outcomes.

Keeping in mind the intent of AB104 legislation is to align AEBG data processes with WIOA Title II, and the fact that there are already over 200 WIOA Title II grantees in the state using that performance assessment and data collection system, Consortia may want to start establishing processes that will prepare them to merge with the WIOA Title II system when it becomes final at the national level. While some shifting of performance definitions is expected as part of enhanced coordination between WIOA Title I and Title II, it is not anticipated that performance tracking and data collection will change extensively. This would likely make effort in this direction at this time well worthwhile.

Many states have already merged their state Adult Education performance reporting with WIOA Title II in order to streamline these processes at the provider and state levels. The system used for performance measurement and data collection for WIOA Title II is the National Reporting System (NRS). For access to this extensive resource, go to http://www.nrsweb.org/. The website provides the following statement as an overview of the NRS:

Overview of NRS: The National Reporting System for Adult Education (NRS) is an outcome-based reporting system for the State-administered, federally funded adult education program. Developed by the U.S. Department of Education's Division of Adult
Education and Literacy (DAEL), the NRS continues a cooperative process through which State adult education directors and DAEL manage a reporting system that demonstrates learner outcomes for adult education. The project is being conducted by the American Institutes for Research (AIR) in Washington, DC. For a one page overview of the NRS, please see NRS at a Glance (508 Compliant Version).

The website also provides a comprehensive set of resources for both new users and the continuing development by long-term grantees. The website includes Implementation Guidelines which provide definitions of measures and methods of data collection, Promising Practices, online training, webinars, FAQ documents, and training materials that states and programs can download and use with their staff and instructors. In addition, there are annual national face-to-face training events to support states for continuous improvement in providing quality data. All of these resources are offered to enable programs to meet compliance requirements, but more importantly - for use in decision-making about continuous program improvement efforts by local and state administrators.

While use of the entire NRS system is not required for year-one of the AEBG, one area where NRS resources have been tapped for implementation in 2015-16 is the use of the standard definitions for demographics and performance measures. The AEBG Data Dictionary, based on WIOA-NRS Data Dictionary, will provide a common footing for all consortia and a more reliable baseline from which to continue implementation of AEBG Three-Year Plans.