January 7, 2024

TO: AEPP Funded Programs

FROM: Fiormelissa Johnson, NYS Director – Adult Education Programs & Policy (AEPP)

SUBJECT: Adult Education Program Roles and Responsibilities

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*The responsibilities listed are not all inclusive; this document will serve to illustrate the basic expectations of the roles identified. For a full list of responsibilities, please review the executed contract or related RFP.

The mission of the **Adult Education Programs & Policy (AEPP) office within the New York State Education Department (NYSED)** is to promote, develop, and support adult education programs with the goal of providing adult students with successful pathways and transitions to post-secondary education, apprenticeship training, and the workforce. The respective roles below help to support this mission.

AEPP Services 7 Regions Throughout New York State (NYS)

1. New York City
2. Hudson Valley
3. Long Island
4. Capital North Country
5. Finger Lakes
6. West
7. Central Southern Tier

Key Principles of Adult Educators & Administrators

Each member of the AEPP Adult Education Community is expected to conduct services in a professional, courteous, and exemplary manner. Treating all members of our communities with respect is a basic principle. Comporting oneself with integrity and demonstrating competency as an educator or administrator is a requirement. Participating in professional development activities and contributing to the advancement of adult education students and participants is essential.

Adult Education Provider Roles

♦ Program Manager –

1. Program Managers are responsible for the day-to-day operation of the Adult Education Programs funded by AEPP. Program managers hire staff, supervise, train, conduct annual evaluations, meet regularly with staff to share program data and improvement strategies in an effort to reach contractual benchmarks, participate in all AEPP mandated Program Manager meetings and trainings, participate in RAEN trainings for the required (14 hours of PD), and consult with AEPP

on all adult education program matters. A program manager must be available while the adult education program is in operation. Adult Education programs may not operate without a competent program manager. In the event the program manager is not available while the program is in operation, a suitable staff must be designated to support students, participants, and the public; any temporary change in management and instruction must be communicated to AEPP. Patterns of violations of the duties and responsibilities relating to the administration of the AEPP funded adult education program, may result in the discontinuing of services and program funds until a suitable program manager has been hired.

2. A program manager shall have access to all student and participant records which shall be carefully maintained and secured in a locked location, and accessible upon request or without advance notice. Program managers shall establish and maintain complete and accurate budget records, documents, accounts, and other evidence directly pertinent to performance under their contract/s. Records provided to AEPP or authorized administrators are deemed to be truthful and have undergone the adult education program's quality control procedures before physical submission or entered into AEPP's Management Information System (MIS), ASISTS. The Records must be kept for the balance of the calendar year in which they were made and for six (6) additional years thereafter. The State Comptroller, the Attorney General and any other person or entity authorized to conduct an examination, as well as the agency or agencies involved in this contract, shall have access to the Records during normal business hours at the adult education program. Patterns of record violations and evidence of fraud may result in the discontinuing of services and program funds.

3. Program Managers must assure that all classes are led by qualified and adult education certified teachers. Should a teacher become unavailable on any given day, the program manager must have a clear plan for assigning a substitute to attend to the class learning plans and students' needs.

4. Every program must assemble a Program Improvement Team (PIT) that will meet regularly to assess and review program data and recommend changes. It is the responsibility of program managers to schedule regular meetings with staff to share data and strategize next steps. Program managers should also meet with staff to provide feedback on job performance and relay information on changes to state and federal mandates.

5. Program managers must also designate one or more individuals to serve as points of contact for workforce development referrals to Career Centers and workforce partners in their Local Workforce Development areas. A list of resources must be maintained and updated annually.

⬥ Adult Education Teacher –

1. Adult Education Teachers play an integral role in programming. Teachers must help students improve their literacy skills or obtain a high school equivalency diploma. Teachers have an opportunity to create pathways for students to achieve more than they believed they could accomplish. Teachers motivate students to pursue their career aspirations or transition into employment or higher education.

2. Teachers and Program Managers must agree to attendance protocol such that a class is never without a designated teacher. Should the assigned teacher be absent, the program manager will identify a suitable temporary replacement for each occurrence.

3. Teachers should often use the resources and materials provided by NYSED/AEPP, including instructional modules that can be found at: www.Collectedny.org. Additional training opportunities through the RAEN centers, will be provided to teachers for professional development, which will contribute to their required 14 hours of professional development. Teachers are encouraged to participate in additional professional development training beyond the required hours. Program Managers must assure that release time is provided to all teachers and case managers to accommodate the 14 required PD RAEN hours.

4. Adult Education Teachers must achieve minimum credentials. If a teacher is not K-12 Certified to teach any content area, the teacher must apply for and achieve Adult Education Certification through NYSED. The Program Manager must ensure these steps are followed for every teacher. More information and the necessary application can be found at: https://www.highered.nysed.gov/tcert/certificate/typesofcerts/acce.html

5. Teachers must provide contextualized instruction, as in the case of Integrated Education and Training (IET) and Integrated English Literacy and Civics Education (IELCE) programming. Providing students with an explanation of how the student's adult education program is funded is appropriate. Empowering students to understand that although adult education services are provided at no cost to the students, federal and state resources fund the cost of services. Providing an opportunity for students to learn about civics, state/federal government, and its role within society.

6. Teachers should explain to participants how obtaining a High School Equivalency diploma is both possible and realistic for the student to achieve; what benefits an HSE diploma provides to the student that they do not already have; how commonly are HSE diplomas issued nationwide, statewide, and at your organization; and provide statistics that the student can use for context and decision making.

7. Every program must assemble a Program Improvement Team (PIT) that will meet regularly to assess and review program data and recommend change. Teachers play an integral role in the PIT team, which should be comprised of the program director/manager, teachers, case managers, and data staff.

Case Manager –

1. All AEPP funded programs are required to have a case manager according to the ratio outlined in each Program Area contract. Essential duties include meeting with students to assure their persistence in instructional classes by identifying Barriers to Education and Employment and providing ample community resources to address those identified barriers. Case managers may also provide intake services which include administering the required assessments. Case managers do not need to be clinicians, social workers, or speak a second language, however, they must have a 4-year degree. Case Managers will provide participants with resources and support them with accessing benefits and transition to postsecondary study or training. All case managers must attend required NYSED training provided through the RAEN annually. The Case Management training will contribute towards the required 14 hours of RAEN professional development.

2. For those participants seeking a NYS High School Equivalency diploma, case managers will help participants understand the multiple pathways to the NYS High School Equivalency diploma and access "next step" services, instruction, training, and apprenticeship programming. Case managers also help students complete the Individual Student Record Form (ISRF), register each student on JobZone, and register students planning to take the GED in the GED Management System.

Patterns of violations of the duties and responsibilities relating to case management or the absence of a case manager for AEPP funded adult education program, may result in the discontinuing of services and program funds until a suitable case manager has been hired.

3. Case managers will also help participants access activities and services provided throughout the local workforce development system, including programs and services that are provided through Career Centers and NYS Department of Labor, ACCES-VR, the NYS Commission for the Blind, and Temporary Assistance for Needy Families (TANF) funded through the NYS Office of Temporary and Disability Assistance. Outlining resources available through case management, such as community referrals is an essential responsibility. One or more individuals must be identified to serve as points of contact for workforce development referrals to Career Centers and workforce partners in their Local Workforce Development areas. Case Managers must develop and continuously update a list of local and community resources, partners, and contacts that their students/participants can refer to as a part of case management. These lists must be shared with each project's respective RAEN director every December.

4. Case management within a Literary Zone (LZ) should provide referral to address specific needs of the LZ participants. This may include, but not be limited to employment, training and apprenticeship programming, career pathway exploration and use of NYSED/CUNY CareerKits (www.CollectEdNY.org), access to benefits, physical and mental health, legal services, financial services, and housing. Case managers are expected to help all students register for Job Zone. A broad overview and specific instructions can be found at the NYSDOL website.

5. Every program must assemble a Program Improvement Team (PIT) that will meet regularly to assess and review program data and recommend change. Case Managers play an integral role with the PIT team, which should be comprised of the program director/manager, teachers, case managers, and data staff.

6. Any amount of time spent with students in the delivery of case management services, should be entered into the AEPP's MIS system, ASISTS, as a case management class. Note that as little as five minutes of face-to-face case management counts as a half hour.

✚ Intake Coordinator –

1. An intake coordinator welcomes participants to the adult education program services. The Intake coordinator identifies participants that have received services after satisfying all applicable programmatic requirements for the provision of services, such as eligibility determination. To be considered a participant, the student must be pre-tested. The tools used for this purpose and approved by NYSED are full battery TABE Math and Reading Forms 11 & 12 series for ABE and ASE programming and the BEST Plus 2.0, or BEST Literacy 1.0 for ESL programming. NYSED/AEPP reserves the right to change this selection based on direction received from U.S. Department of Education's Office of Career, Technical and Adult Education (OCTAE). The second requirement for a participant is the completion of a minimum of twelve (12) contact hours in order for participants count toward federal and state accountability measures. Case Managers may be included in the intake process with caution that enough time is allocated for case managers to provide individual time with students as needed.

2. Intake coordinators must identify participants that demonstrate an intent to use program services and who meets the specific eligibility criteria of the program. The program must have recorded seven important demographic data elements as follows: Name, Gender, Date of Birth, Ethnicity, Barriers to Employment, Co-Enrollment, and Employment Status. In addition, a reportable individual is one that has completed less than twelve (12) contact hours or has not been pre-tested. While these individuals do not count toward the accountability measures, they are counted and reported. Program staff should make every effort possible to reconnect with these individuals to assist them in returning to programming to complete their goals. A list of program activities to impact student persistence, can be located on the AEPP website.

3. Intake coordinators provide participants with the American Disabilities Act disclosure and secure acknowledgement from the student, as well as inform the student of your organization's policies and supportive services for students with learning disabilities. They also Develop an Employment and Education Plan (EEP) tailored to the student's needs and goals as a required element for every student folder maintained by the program.

4. Explaining Fast Track opportunities offered by your organization, sharing state data that shows how adults need support to pass the four GED subtests. Intake coordinators should also explain New York's four pathways to High School Equivalency (HSE):

   a. Passing the 4 subtests of the GED.

   b. Using the Attachment R to obtain credit from Regents tests passed by the student.

   c. Participating in the National External Diploma Program (NEDP).

   d. Obtaining twenty-four (24) college credits from a college located within the US.

5. Providing a Student Contract and Attendance Agreement and securing acknowledgement/signatures from the student. Providing a schedule or "menu" of available classes to the student, as well as an outline of programming offered by your organization that differs from traditional classroom instruction (such as vocational training). Explaining distance education and hybrid education options and expectations, if offered by your organization.

6. Providing the student with a "Meet the Staff" document that includes pictures and short bios of each staff member, including teachers and case managers. Outlining resources available through case management, such as community referrals. Recruiting ambassadors from your existing student population to greet and guide the new student, especially if your organization serves a population that speaks a language other than English natively.

7. Developing plans for following up after the student exits the program, such as how the student can be contacted and how the student can update your organization on their post-exit progress. Explain why follow-up is important and an essential obligation for your organization.

8. Managing the maximum number of contact hours permitted for the comprehensive intake process as twelve (12). Programs must maintain and update detailed records of how the intake time is spent. Any amount of time spent with students in the delivery of intake services, should be entered into the AEPP's MIS system, ASISTS, as an intake class.

9. Every program must assemble a Program Improvement Team (PIT) that will meet the regularly to assess and review program data and recommend change. Intake coordinators play an integral role with the PIT team, which should be comprised of the program director/manager, teachers, case

managers, and data staff. The Intake agenda should be reviewed annually, and updates recommended by the PIT.

Data Manager –

1. Data Managers shall have access to all student and participant records which shall be carefully maintained and secured in a locked location, and accessible upon request or without advance notice. Data managers shall establish and maintain complete and accurate records, documents, and other evidence directly pertinent to performance under their contract/s. Records provided to AEPP or authorized administrators are deemed to be truthful and have undergone the adult education program's quality control procedures before physical submission or entered into AEPP's Management Information System (MIS), ASISTS. The Records must be kept for the balance of the calendar year in which they were made and for six (6) additional years thereafter. The State Comptroller, the Attorney General and any other person or entity authorized to conduct an examination, as well as the agency or agencies involved in this contract, shall have access to the Records during normal business hours at the adult education program.

2. Data managers identify participants that have received services after satisfying all applicable programmatic requirements for the provision of services, such as eligibility determination. To be considered a participant, the student must be pre-tested. The second requirement for a participant is the completion of a minimum of twelve (12) contact hours in order for participants to count toward federal and state accountability measures; data managers must assure that all pertinent data relating to student services is accurately and timely reported.

3. Data managers must identify reportable individuals that demonstrate an intent to use program services and who meets the specific eligibility criteria of the program. The data manager must have recorded seven important demographic data elements as follows: Name, Gender, Date of Birth, Ethnicity, Barriers to Employment, Co-Enrollment, and Employment Status. In addition, a reportable individual is one that has completed less than twelve (12) contact hours or has not been pre-tested. While these individuals do not count toward the accountability measures, they are counted and reported.

4. Every program must assemble a Program Improvement Team (PIT) that will meet the regularly to assess and review program data and recommend change. Data managers play an integral role with the PIT team, which should be comprised of the program director/manager, teachers, case managers, and data staff. The Data Manager should prepare the agenda for all PIT meetings.

5. Data managers are responsible for generating, reviewing, and correcting all data checking reports available in the ASISTS management information system. These data managers must also attend training supported by ASISTS and offered through each RAEN center and NRS/NYRS Training provided by the Accountability Office; time spent in these trainings contributes to the 14 required hours of RAEN PD. Patterns of violations of the duties and responsibilities relating the data management of the AEPP funded adult education program and the absence of a competent data manager, may result in the discontinuing of services and program funds until a suitable data manager has been hired.