



CALIFORNIA  
DEPARTMENT OF  
EDUCATION

**TOM TORLAKSON**

STATE SUPERINTENDENT OF PUBLIC INSTRUCTION

July 31, 2012

Dear Adult Education Agencies Receiving Workforce Investment Act, Title II: Adult Education and Family Literacy Act Funding:

*FISCAL YEAR 2012-13 PROGRAM AND ACCOUNTABILITY REQUIREMENTS*

Agencies receiving the Workforce Investment Act (WIA), Title II: Adult Education and Family Literacy Act funds have been notified of federal accountability requirements in the application's Guidelines and Requirements. This letter is to remind agencies of the program requirements and provide further details on data collection (see Attachment 1), and accountability deadlines (see Attachment 2). Failure to comply with any requirements or submissions will be cause for placing a hold on the agency's grant funds until requirements are met.

*Grant Reimbursement*

An Expenditure Claim Report (ECR) is required for grant reimbursements. An ECR may be submitted as often as quarterly, but only one, the final ECR, is required. Amounts entered on the initial budget form and any budget revisions will be pre-programmed into the ECR data entry form. The final ECR will ask agencies to report their nonfederal Maintenance of Effort and Program Income/Fees. All forms and instructions are accessed by logging onto the California Adult Education Online Application and Reporting Web site at <http://adulthood.otan.us/>.

*Workforce Investment Act, Title II Data Accountability Requirements*

All agencies that receive the WIA, Title II funds in California must use the Tracking of Programs and Students (TOPSpro™) Enterprise computerized database system to collect and report student demographics and program information. In addition, to comply with federal National Reporting System requirements, the California Department of Education requires all funded agencies to:

1. Track learner progress through the administration of Comprehensive Adult Students Assessment Systems (CASAS) tests.
2. Track learner outcomes through core performance student follow-up surveys.
3. Submit summary reports to document learner progress.

The CASAS will assist agencies in their transition to the updated TOPSpro™ Enterprise software for the new program year. The transition will take place after agencies have submitted their final data deliverables for the 2011-12 program year and should be completed by the end of the first quarter of the 2012-13 program year, to ensure timely data submission for the current program year.

The Adult Education Office and the CASAS offer online and face-to-face trainings on how to use TOPSpro™ Enterprise, administer the CASAS assessment system, and meet accountability requirements. At least one representative from each WIA, Title II funded agency must complete one accountability training and one implementation training by January 31, 2013. Agencies will find a team approach advantageous. More details regarding these training sessions are available on the CASAS Web site at <http://www.casas.org> and the California Adult Education Training Web site at <http://caadultedtraining.org>.

The TOPSpro™ Enterprise software, student record forms, and the required test booklets are available to the WIA, Title II funded agencies at no cost. For more information about the software, data entry forms, assessment tests, data submissions, material ordering guides, or technical assistance, please contact the CASAS California Accountability Program Manager, by phone at 1-800-255-1036 or by e-mail at [capm@casas.org](mailto:capm@casas.org).

For your convenience, Attachment 1 outlines training, data collection and data submission details for all agencies receiving the WIA, Title II federal funds. Attachment 2 lists submission deadlines for program year 2012–13. Additional details on data and accountability requirements are available in the CASAS 2012–13 *Administration Manual for the California and Workforce Investment Act, Title II* and on the CASAS Web site at <http://www.casas.org>.

If you have any questions regarding this subject, please contact the Adult Education Office, by phone at 916-322-2175 and ask to speak to your Regional Consultant.

Sincerely,

Patricia S. Terry, Education Administrator I  
Adult Education Office  
California Department of Education  
1430 N Street, Suite 6408  
Sacramento, CA 95814-5901  
Phone: 916-322-2175  
Fax: 916-327-7089  
[pterry@cde.ca.gov](mailto:pterry@cde.ca.gov)  
<http://www.cde.ca.gov/>

## Data and Document Submission 2012-13

List of required data and documents to submit, as well as resources for technical assistance and training.



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### For All Agencies Receiving Workforce Investment Act, Title II Federal Funding

#### Requirements for Data Collection, Reporting, and Training

The Workforce Investment Act (WIA), Title II funded agencies must complete the following requirements, which must be received on or before the deadlines listed on Attachment 2.

#### *Data Accountability and Implementation Training*

At least one representative from each funded agency must complete one accountability training and one implementation training by January 31, 2013. For more information about these training sessions, and to register, please go to [Comprehensive Adult Students Assessment System \(CASAS\)](#)  or [California Adult Education Training](#) .

## *Data Collection*

1. Collect data on all eligible learners attending between July 1, 2012, and June 30, 2013.
2. Complete an entry record for each learner in any WIA, Title II funded instructional program as soon as the learner enters class.
3. Complete an Update Record for all learners who have 12 or more hours of instruction.
4. Administer both a pre- and post-test to all WIA, Title II learners.
5. Manually enter, scan, or transfer records into the Tracking of Programs and Students (TOPSpro) Enterprise software system. These must be completed each quarter, and each quarterly data submission must be as complete as possible.

## *Data Reporting*

1. Submit quarterly and end-of-year data to the CASAS. All data submissions must be received by the CASAS on or before each due date.
2. Conduct the Core Performance Follow-Up Measures Survey each quarter to students who exited the program the previous quarter, and enter all results in TOPSpro Enterprise software system on or before each due date.
3. English Literacy and Civics Education (EL Civics) Objectives and Additional Assessment Plans as required, must be submitted to CASAS on or before the due date (for EL Civics-funded agencies only).
4. Annually complete the EL Civics Technology Plan and submit to Outreach and Technical Assistance Network (OTAN) by January 31, 2013 (For EL Civics funded agencies only).
5. Annually complete and submit online the WIA, Title II Program Implementation Survey by the due date.
6. Annually certify that procedures for collecting and reporting data conform to National Reporting Systems standards and submit the End-of-Year Data Submission Certification Letter. This must be received by CASAS on or before August 15, 2013.
7. Annually complete the WIA, Title II Adult Education Personnel Wizard in TOPSpro Enterprise before submitting end-of-year TOPSpro Enterprise data. This must be received by CASAS on or before August 15, 2013.
8. Annually complete the grant award budget and final expenditure claim report. These must be received by the California Department of Education Adult Education Office, by due dates listed in Attachment 2.

Agencies may submit a PDF copy of their quarterly Data Integrity Report via e-mail to [capm@casas.org](mailto:capm@casas.org). The CASAS will not accept quarterly TOPSpro™ Enterprise data submissions via e-mail, as variations in e-mail implementation make it difficult to secure personally identifiable student data. Agencies must submit all requirements listed in Attachment 2 on or before each deadline.


## **Due Dates for Data and Document Submission 2012-13**

Schedule of due dates for reporting required data reports and documents and the addresses to which they are to be submitted.




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Comprehensive Adult Student Assessment Systems (CASAS) and Outreach and Technical Assistance Network (OTAN) are contractors who collect information and data for the Adult Education program.

## By September 30, 2012





| Required Data and Documents                      | Submit Electronically  | Mail Hard Copy   |
|--|--|--|
| Grant Award Notification<br>(Signature Required) | Not Applicable   | Workforce Investment Act,<br>Title II Program<br>Adult Education Office<br>California Department of Education<br>1430 N Street, Suite 6408<br>Sacramento, CA 95814 |
| Grant Budget<br>(Signature Required)             | <a href="#">California Adult Education Online Application and Reporting</a> <br>(Log on required) | Workforce Investment Act,<br>Title II Program<br>Adult Education Office<br>California Department of Education<br>1430 N Street, Suite 6408<br>Sacramento, CA 95814 |

## By October 31, 2012



| Required Data and Documents  | Submit Electronically  | Mail Hard Copy   |
|--|--|--|
| Fourth Quarter Core Performance Follow-up Survey (2010–11 grant year)                        | <a href="#">CASAS Online Surveys WIA Title II Core Performance</a>                                | Not Applicable   |
| First Quarter Data Tracking of Programs and Students (TOPSpro) Enterprise                    | Via TOPSpro software (or mail disk to)   | CASAS<br>5151 Murphy Canyon Road, Suite 220<br>San Diego, CA 92123-4339  |
| English Literacy and Civics Education (EL Civics) Objectives and Additional Assessment Plans | <a href="#">CASAS Civic Participation Objectives and Additional Assessment Plans</a>              | Not Applicable   |
| First Quarter Data Integrity Report (e-mail, fax, or mail hard copy)                         | E-mail to <a href="mailto:capm@casas.org">capm@casas.org</a> or Fax to 858-292-2910  | CASAS<br>5151 Murphy Canyon Road, Suite 220<br>San Diego, CA 92123-4339  |
| October Expenditure Claim Report (optional) (Signature Required)                             | <a href="#">California Adult Education Online Application and Reporting</a> <br>(Log on required) | Workforce Investment Act,<br>Title II Program<br>Adult Education Office<br>California Department of Education<br>1430 N Street, Suite 6408<br>Sacramento, CA 95814 |

## By January 31, 2013

| Required Data and Documents                     | Submit Electronically                  | Mail Hard Copy                              |
|---|--|---|
| First Quarter Core Performance Follow-up Survey | Via TOPSpro software (or mail disk to) | Not Applicable                              |
| Second Quarter Data (TOPSpro) Enterprise        | Via TOPSpro Enterprise software        | CASAS<br>5151 Murphy Canyon Road, Suite 220 |



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|---|--|--|
|   | (or mail disk to)  | San Diego, CA 92123-4339   |
| January Expenditure Claim Report (Optional)<br>(Signature Required)   | <a href="#">California Adult Education Online Application and Reporting</a> <br>(Log on required)                           | Workforce Investment Act,<br>Title II Program<br>Adult Education Office<br>California Department of Education<br>1430 N Street, Suite 6408<br>Sacramento, CA 95814 |
| EL Civics Technology Plan   | <a href="#">California Adult Education Online Application and Reporting EL Civics Technology Plan</a> <br>(Log on required) | Not Applicable   |
| Second Quarter Data Integrity Report (e-mail, fax, or mail hard copy) | E-mail to <a href="mailto:capm@casas.org">capm@casas.org</a> or Fax to 858-292-2910  | CASAS<br>5151 Murphy Canyon Road, Suite 220<br>San Diego, CA 92123-4339  |
| California Accountability Training                                    | In Person or Online at <a href="#">CASAS Accountability Training</a>    | Not Applicable   |
| CASAS Implementation Training   | In Person or Online at <a href="#">CASAS Implementation Training</a>    | Not Applicable   |

By April 30, 2013

| Required Data and Documents  | Submit Electronically  | Mail Hard Copy   |
|--|--|--|
| Second Quarter Core Performance Follow-up Survey                     | Via TOPSpro Enterprise software  | Not Applicable   |
| Third Quarter Data (TOPSpro) Enterprise                              | Via TOPSpro Enterprise software<br>(or mail disk to)   | CASAS<br>5151 Murphy Canyon Road, Suite 220<br>San Diego, CA 92123-4339  |
| Workforce Investment Act, Title II Program Implementation Survey     | <a href="#">CASAS WIA Title II Program Implementation Survey</a>                                  | Not Applicable   |
| Third Quarter Data Integrity Report (e-mail, fax, or mail hard copy) | E-mail to <a href="mailto:capm@casas.org">capm@casas.org</a> or Fax to 858-292-2910  | CASAS<br>5151 Murphy Canyon Road, Suite 220<br>San Diego, CA 92123-4339  |
| April Expenditure Claim Report (optional) (Signature Required)       | <a href="#">California Adult Education Online Application and Reporting</a> <br>(Log on required) | Workforce Investment Act,<br>Title II Program<br>Adult Education Office<br>California Department of Education<br>1430 N Street, Suite 6408<br>Sacramento, CA 95814 |

By August 15, 2013

| Required Data and Documents | Submit Electronically | Mail Hard Copy |
|-----------------------------|-----------------------|----------------|
|-----------------------------|-----------------------|----------------|

|   |   |  |
|---|---|--|
| Third Quarter Core Performance Follow-up Survey   | Via TOPSpro Enterprise software   | Not Applicable   |
| End-of-Year Data (TOPSpro) Enterprise Adult Education Personnel Wizard (include for Table 7)  | Via TOPSpro Enterprise software (or mail disk to)   | CASAS<br>5151 Murphy Canyon Road, Suite 220<br>San Diego, CA 92123-4339  |
| Payment Points Summary Report   | E-mail to <a href="mailto:capm@casas.org">capm@casas.org</a> or Fax to 858-292-2910   | CASAS<br>5151 Murphy Canyon Road, Suite 220<br>San Diego, CA 92123-4339  |
| End-of-Year Certification Letter (Signature Required)   | E-mail to <a href="mailto:capm@casas.org">capm@casas.org</a> or Fax to 858-292-2910   | CASAS<br>5151 Murphy Canyon Road, Suite 220<br>San Diego, CA 92123-4339  |
| Fourth Quarter Data Integrity Report (e-mail, fax, or mail hard copy)   | E-mail to <a href="mailto:capm@casas.org">capm@casas.org</a> or Fax to 858-292-2910   | CASAS<br>5151 Murphy Canyon Road, Suite 220<br>San Diego, CA 92123-4339  |
| Mandatory Final Expenditure Claim Report (Signature Required)   | <a href="#">California Adult Education Online Application and Reporting</a> <br>(Log on required)  | Workforce Investment Act,<br>Title II Program<br>Adult Education Office<br>California Department of Education<br>1430 N Street, Suite 6408<br>Sacramento, CA 95814     |
| Fiscal Year 2012-13 Annual Audit and Status Certification (AASC) Form Community-Based Organizations (CBO) and Faith-Based Organizations only* | <a href="#">California Adult Education Online Application and Reporting</a> <br>(Log on required) | Annual Audit and Status Certification<br>Audits and Investigations Division<br>California Department of Education<br>1430 N Street, Suite 5319<br>Sacramento, CA 95814 |

## Additional Community-Based Organization Requirement

| Required Data and Documents                                | Submit Electronically | Mail Hard Copy  |
|--|-----------------------|---|
| Fiscal year 2011-12 Organization-wide Audit (OWA) Report** | Not Applicable        | Audits and Investigations Division<br>California Department of Education<br>1430 N Street, Suite 5319<br>Sacramento, CA 95814 |

\*The AASC form assists the California Department of Education (CDE) in determining whether a CBO must provide the Audits and Investigation Division of the CDE with a federal or state required audit report for the fiscal year.

\*\*Pursuant to federal regulations, all CBOs receiving more than \$500,000 in federal funds in a fiscal year must submit an OWA report prepared by a certified public accountant to the CDE within six months of the end of the CBO's fiscal year. Send the report to:

Audits and Investigations Division  
California Department of Education  
1430 N Street, Suite 5319  
Sacramento, CA 95814