

**IOWA'S**  
**ADULT LITERACY PROGRAM**  
**STATE PLAN**  
**EXTENSION/REVISIONS**



**IOWA DEPARTMENT OF EDUCATION**  
**DIVISION OF COMMUNITY COLLEGES**

**PROGRAM YEAR 2013**  
**JULY 1, 2012 – JUNE 30, 2013**

State of Iowa  
**Department of Education**  
Grimes State Office Building  
400 E 14<sup>th</sup> St  
Des Moines IA 50319-0146

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If you have questions or grievances related to compliance with this policy by the Iowa Department of Education, please contact the legal counsel for the Iowa Department of Education, Grimes State Office Building, 400 E 14<sup>th</sup> St, Des Moines IA 50319-0146, telephone number 515/281-5295, or the Director of the Office for Civil Rights, U.S. Department of Education, 111 N. Canal Street, Suite 1053, Chicago, IL 60606-7204.

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## PREFACE

This plan is an agreement between the state of Iowa and the federal government to assure the administration of adult education and English literacy programs are consistent with the state's goals, policies and objectives, and with federal laws and regulations. The plan communicates the scope of the state's commitment to and support of adult education and family literacy to the federal government.

This plan also serves to clarify the relationship of the Iowa Department of Education to the federal government, as well as to agencies within the state that are delivering adult education and family literacy programs and services. The purpose of this plan is to facilitate the improvement and expansion of adult education programs including family literacy and workplace literacy services as incorporated into existing content standards, English literacy, corrections education, adults with disabilities, and other literacy services to adults in Iowa.

**The major purposes of Iowa's Adult Literacy Program State Plan Extension for Program Year 2013 (July 2012--June 2013) are to:**

- Implement a performance-based funding formula that incentivizes the eleven Federal benchmarks and four core measures for each eligible providers' outcomes and contribution to the state's targets.
- Suspend the state-mandated benchmarks while realigning professional development with federal benchmarks and NRS core measures.
- Introduce the opportunity for direct and equitable access to eligible providers for a small competitive grant: 1) incentive-based; 2) project specific; or 3) program alignment.
- Expand the use of lowagrants.gov as a web portal for grant management.
- Review and update Iowa's monitoring tool to be used as an effective measure of program quality with possible incentivizing.

The plan extension is designed to update the *2012 Iowa's Adult Literacy State Plan* in line with the guidelines provided by the United States Department of Education: Division of Adult Education and Literacy (USDE:DAEL). This one-year extension plan includes assurances to the federal government and to the citizens of the state of Iowa, and establishes procedures, criteria, and priorities for use in approving local agency programs of adult education, English literacy, civics, and family literacy in all areas of the state.

**UNITED STATES DEPARTMENT OF EDUCATION  
Office of Vocational and Adult Education**

**The Adult Education and Family Literacy Act  
Enacted August 7, 1998 as Title II of the  
Workforce Investment Act of 1998 (Public Law 105-220)**

The Iowa Department of Education (State Agency) of the State of Iowa hereby submits its revised State plan extension to be effective until June 30, 2013. The eligible agency also assures that this plan, which serves as an agreement between State and Federal Governments under the Adult Education and Family Literacy Act, will be administered in accordance with applicable Federal laws and regulations, including the following certifications and assurances.

**CERTIFICATIONS**

**EDUCATION DEPARTMENT GENERAL  
ADMINISTRATIVE REGULATIONS  
(34 CFR Part 76.104)**

**Section 241** The plan is submitted by the State agency that is eligible to submit the plan.

- (2) The State agency has authority under State law to perform the functions of the State under the program.
- (3) The State legally may carry out each provision of the plan.
- (4) All provisions of the plan are consistent with State law.
- (5) A State officer, specified by title in the certification, has authority under State law to receive, hold, and disburse Federal funds made available under the plan.

**Section 241** The State officer who submits the plan, specified by the title in the certification, has authority to submit the plan.

- (7) The agency that submits the plan, specified by the title in the certification, has authority to submit the plan.
- (8) The plan is the basis for State operation and administration of the program.

## ASSURANCES

### WORKFORCE INVESTMENT ACT OF 1998 (Public Law 105-220)

#### Section 224 (b) (5), (6), and (8)

**Section 241** The eligible agency will award not less than one grant to an eligible provider who offers flexible schedules and necessary support services (such as child care and transportation) to enable individuals, including individuals with disabilities, or individuals with other special needs, to participate in adult education and literacy activities, which eligible provider shall attempt to coordinate with support services that are not provided under this subtitle prior to using funds for adult education and literacy activities provided under this subtitle for support services.

2. Funds received under this subtitle will not be expended for any purpose other than for activities under this subtitle.
3. The eligible agency will expend the funds under this subtitle in a manner consistent with fiscal requirements in Section 241.

#### Section 241 Administrative Provisions

- (a) Supplement Not Supplant.—Funds made available for adult education and literacy activities under this subtitle shall supplement and not supplant other State or local public funds expended for adult education and literacy activities.
- (b) Maintenance of Effort.—
  - (1) In General.—
    - (A) Determination.—An eligible agency may receive funds under this subtitle for any fiscal year if the Secretary finds that the fiscal effort per student or the aggregate expenditures of such eligible agency for adult education and literacy activities, in the second preceding fiscal year, was not less than 90 percent of the fiscal effort per student or the aggregate expenditures of such eligible agency for adult education and literacy activities, in the third preceding fiscal year.
    - (B) Proportionate reduction.—Subject to paragraphs (2), (3), and (4), for any fiscal year with respect to which the Secretary determines under subparagraph (A) that the fiscal effort or the aggregate expenditures of an eligible agency for the preceding program year were less than such effort or expenditures for the second preceding program year, the Secretary—
      - (i) shall determine the percentage decreases in such effort or in such expenditures; and
      - (ii) shall decrease the payment made under this subtitle for such program year to the agency for adult education and literacy activities by the lesser of such percentages.
  - (2) Computation.—In computing the fiscal effort and aggregate expenditures under paragraph (1), the Secretary shall exclude capital expenditures and special one-time project costs.
  - (3) Decrease in federal support.—If the amount made available for adult education and literacy activities under this subtitle for a fiscal year is less than the amount made available for adult education and literacy activities under this subtitle for the preceding fiscal year, then the fiscal effort per student and the aggregate expenditures of an eligible agency required in order to avoid a reduction under paragraph (1)(B) shall be decreased by the same percentage as the percentage decrease in the amount so made available.

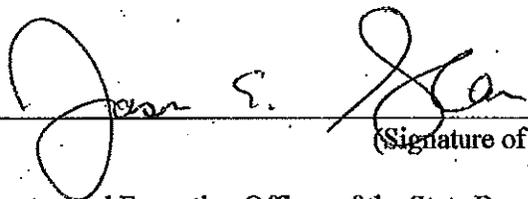
- (4) Waiver.—The Secretary may waive the requirements of this subsection for 1 fiscal year only, if the Secretary determines that a waiver would be equitable due to exceptional or uncontrollable circumstances, such as a natural disaster or an unforeseen and precipitous decline in the financial resources of the State or outlying area of the eligible agency. If the Secretary grants a waiver under the preceding sentence for a fiscal year, the level of effort required under paragraph (1) shall not be reduced in the subsequent fiscal year because of the waiver.

Iowa Department of Education  
(State Agency)

Grimes State Office Building

400 East 14<sup>th</sup> Street

Des Moines, Iowa 50319-0146  
(Address)

By:   
(Signature of Agency Head)

Director and Executive Officer of the State Board of Education  
(Title)

3-19-12  
(Date)

## ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503

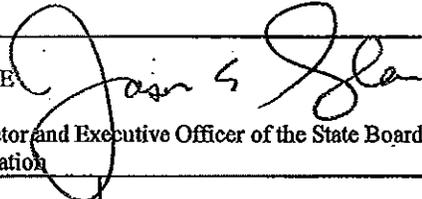
**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

**Note:** Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management, and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§ 290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874) and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327-333), regarding labor standards for federally assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1721 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, AAudits of States, Local Governments, and Non-Profit Organizations.
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE  Director and Executive Officer of the State Board of Education
APPLICANT ORGANIZATION  Iowa Department of Education	DATE SUBMITTED  3-19-12

**CERTIFICATION REGARDING LOBBYING**

**Certification for Contracts, Grants, Loans, and Cooperative Agreements**

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

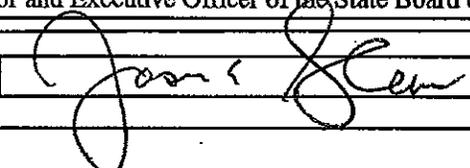
(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all sub-awards at all tiers (including subcontracts, sub-grants, and contracts under grants, loans, and cooperative agreements) and that all sub-recipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

**Statement for Loan Guarantees and Loan Insurance**

The undersigned states, to the best of his or her knowledge and belief, that:

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

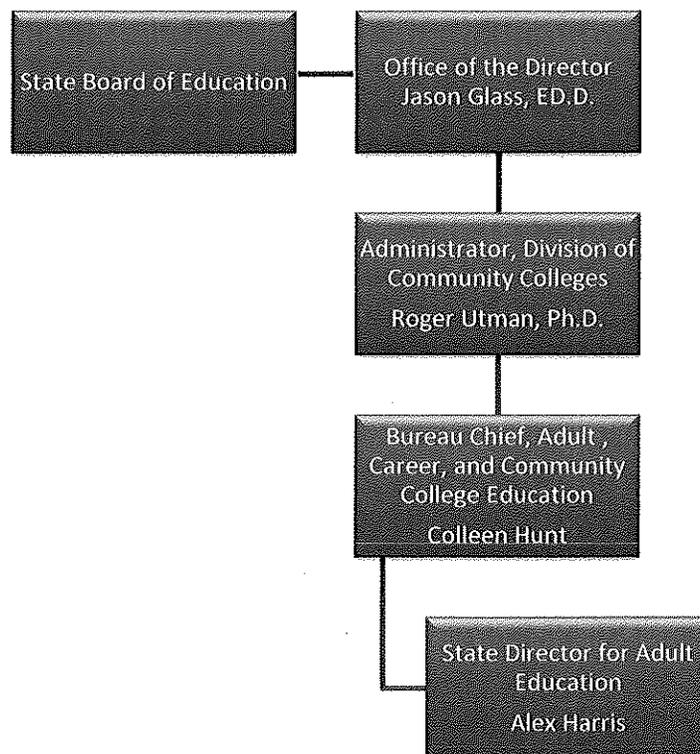
<b>* APPLICANT'S ORGANIZATION</b>	
Iowa Department of Education	
<b>* PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE</b>	
Prefix: Dr.	* First Name: Jason Middle Name: E.
* Last Name: Glass	Suffix:
* Title: Director and Executive Officer of the State Board of Education	
* SIGNATURE: 	* DATE: 3-19-12

**2.0 Needs Assessment (Sec.224(b)(1))**  
*(Not Revised)*

**3.0 Description of Adult Education and Literacy Activities (Sec.224(b)(2))**

**3.3 Descriptions of New Organizational Arrangements and Changes**

This chart is designed to reflect the line of authority from the authorized state official signing the state plan extension to the state director for adult education. The line of authority goes from the state director for adult education to the bureau chief of the Bureau of Adult, Career, and Community College Education to the division administrator of the Division of Community Colleges to the Director and Executive Officer of the State Board of Education. The Director is the authorized State Official who has the authority to sign Iowa's Adult Literacy State Plan Extension.



#### **4.0 Annual Evaluation of Adult Education and Literacy Activities (Sec.224(b)(3))**

##### **4.1 Annual Evaluations**

Each local program implemented under the provisions of the act will be evaluated by using formative and summative methods, monitored, and reviewed by the Adult Education Team from the Bureau of Adult, Career, and Community College Education. Monitoring strategies include self-assessment, continuous improvement plans, onsite monitoring visits, and targeted technical assistance. The Adult Education Team conducts on-going desktop expenditure compliance and performance assessments of local programs through Iowagrants.gov. In addition, 20 percent of the programs have an on-site audit conducted requiring formative and summative performance data, copies of program and fiscal policies, and interviews with staff and students to verify compliance with all federal/state mandates and requirements. The monitoring also reviews the instructional programs to ensure they meet all mandates outlined in the document titled *Iowa's State Plan for Adult Basic Education* and the annual *State Plan Extension*. In program year 2013, Iowa's Adult Education Team will be reviewing and updating the monitoring procedure to incorporate ways to incentivize quality program implementations, documentation of recommendations and continuous improvement in a formal method.

#### **5.0 Performance Measures (Sec. 224 (b)(4))**

##### **5.1 Eligible Agency Performance Measures (Sec. 212)**

To ensure optimization of investment for federal funds in adult education and literacy activities, the Iowa Department of Education Adult Education Team will assess the effectiveness of eligible providers' performance. All of the performance measures apply to the federal benchmarks and core measures equally weighed. These priorities include student learning gains, receipt of a secondary school diploma or its equivalent, placement in postsecondary education and/or career education training, and employment or job retention. To further ensure continuous improvement of adult education, English literacy and civics programs, the Iowa Department of Education will focus on the state's performance funding formula to be supportive of these 15 measures. Any approved incentive funding to be considered under this act and by the state, if applicable, will be largely determined by eligible providers having met the federal benchmarks for performance. The focus on these performance measures will help the Adult Education Team determine program performance and to develop professional development for achieving student improvement within a program.

## 5.2 Additional Indicators

In previous years, Iowa has required state benchmarks as additional indicators of a program's success. Carefully reviewing the five state goals has shown them to be fairly duplicative in nature to the 15 federal benchmarks. Therefore, incentivizing the following: (1) Adult Basic Education (ABE) pre/post testing; (2) Adult Secondary Education (ASE) pre/post-testing; (3) English Second language (ESL) pre/post testing; (4) General Education Development (GED) pass rate; and (5) earning a basic skills credential will no longer be used as mandated state benchmarks effective program year 2013. Certificates will still be made available to those participants that have earned an educational gain. Iowa's Adult Education Team will use the project-specific competitive grant to explore measurable state benchmarks that compliment the federal benchmarks and follow-up core measures while addressing the continued needs of the adult education, English literacy, civics and family literacy programs.

## 5.3 Levels of Performance

As prescribed by the United States Department of Education, Division of Adult Education and Literacy, Office of Vocational and Adult Education, the following performance levels have been recommended for approval by Iowa's Department of Education Adult Education Team for program year 2013. The goal for each level was developed on the basis of:

- (1) the state's performance by levels during program year 2011; and
- (2) on:
  - (a) continuous improvement of the data collection system,
  - (b) curriculum frameworks and student performance standards, and
  - (c) the changing demographics in local service areas of the state.

The performance targets for Iowa were negotiated on March 1, 2012, and March 7, 2012, as illustrated in Table 1: Iowa's Adult Literacy Program Benchmark Projections for Program Year 2013.

**Table 1**  
**Iowa's Adult Literacy Program**  
**Benchmark Projections for Program Year 2013**  
**(July 1, 2012 – June 30, 2013)**

<b>FEDERAL BENCHMARKS</b>	<b>Program Year 2011 Performance</b>	<b>Program Year 2012 Target</b>	<b>Program Year 2013 Proposed Targets (Known in March 2012)</b>	<b>Program Year 2013 Final Targets (Known in May 2012)</b>
ABE Beginning Literacy	19%	51%	30%	30%
ABE Beginning	25%	41%	40%	40%
ABE Low Intermediate	26%	39%	40%	40%
ABE High Intermediate	21%	31%	32%	32%
ASE Low	23%	40%	30%	30%
ESL Beginning Literacy	40%	41%	45%	45%
ESL Low Beginning Literacy	44%	52%	50%	50%
ESL High Beginning Literacy	42%	48%	50%	50%
ESL Low Intermediate	37%	47%	47%	47%
ESL High Intermediate	35%	42%	40%	40%
ESL Advanced	17%	25%	25%	25%
<b>Follow-up Core Measures - NRS</b>				
Entered Employment	48%	86%	48%	48%
Retained Employment	86%	86%	69%	69%
Earned GED or HS Completion	88%	86%	77%	77%
Entered Postsecondary Education or Training	70%	50%	49%	49%

## **6.0 Procedure for Funding Eligible Providers (Sec. 224(b)(7))**

### **6.1 Applications**

Iowa will extend current grants for one year in program year 2013. Section 232 of The Adult Education and Family Literacy Act (AEFLA) requires that eligible providers desiring a grant or contract shall submit an application to the Iowa Department of Education (DE) containing information and assurances, including:

- (1) description of how funds awarded will be spent; and
- (2) description of any cooperative arrangements the eligible provider has with other agencies, institutions, or organizations for the delivery of adult education and literacy activities.

#### **6.1.1 Allocation of Funds**

Section 222 (a) of AEFLA requires the state to use not less than 82.5 percent of the grant funds to award grants and contracts. The current funding formula is as follows:

- (1) Ninety percent (90 percent) of the funds available shall be allocated based on needs: institutional grant; target AEFLA population; and number of enrolled students served.
- (2) Ten percent (10 percent) of the funds available shall be allocated based on performance. This year will bring a stronger focus for the state of Iowa on federal benchmarks and core measures. Iowa will be basing the allocation on program year 2011's outcomes and each eligible provider's contribution to the targeted percentages.

Allocation amounts are generated as soon as the amount of available federal funds is known. Annual funding of adult education is subject to availability of funds from the federal government. The DE requires applicants to provide the share of matching funds, cash or in-kind, required by federal law. Applicants are required to report a minimum of at least a 25 percent in-kind match for activities allowable

under the Title II of the Workforce Investment Act (WIA) Adult Education and Family Literacy Act (AEFLA). A delay in the receipt of the federal allocation for Iowa may delay the issuance of a contract. These funds are not an entitlement to the eligible provider but belong to communities.

The integrated English literacy and civics (EL/Civics) allocation will be based on a similar funding formula to the AEFLA State grant allocation. By incorporating a performance-based funding focus for EL/Civics, Iowa is encouraging local programs to maintain accountability of students served by the grant. The needs-based element of the funding formula will include EL/Civics enrollment, target EL/Civics population and an institutional grant for each eligible provider.

If there are carry-over funds available, Iowa would like to exercise the option of offering additionally focused grants. One option will be either an incentive-based or program alignment grant for currently funded local programs. To qualify for incentive funds, a provider must have exceeded the following in the preceding year: (1) reported all required data for the National Reporting System (NRS); and (2) met all 15 federal targeted percentages. The program alignment grant will be to assist programs incorporating changes in scope and delivery method to align with implementing key elements of Career Pathway development. The other grant will be a competitive based grant designed by the Iowa Department of Education to fund projects during the program year for providers as follows: (1) to serve special target populations; (2) to provide statewide strategic goal initiatives; (3) to initiate adult literacy programs; and (4) provide comprehensive family literacy services. If the option is not exercised then all remaining adult education funds will be allocated annually in accordance with the Iowa Department of Education's (DE) approved funding formula.

## 6.2 Eligible Providers (Sec. 203 (5))

Eligible providers for the continuation grant will be the currently funded 15 community colleges. The competitive incentive grant will also be limited to those AEFLA providers currently funded. The project specific competitive grants will

be open to: (1) a local educational agency; (2) a community-based organization of demonstrated effectiveness; (3) a volunteer literacy organization of demonstrated effectiveness; (4) an institution of higher education; (5) a public or private nonprofit agency; (6) a library; (7) a public housing authority; (8) a nonprofit institution that is not described in any of these subparagraphs and has the ability to provide literacy services to adults and families; and (9) a consortium of the agencies, organizations, institutions, libraries, or authorities described in any of items (1) through (8) (Sec. 203)(5)).

### 6.3 Notice of Availability

Continuation grant awards will be made based on compliance with state and federal guidelines. Applicants for local plan extensions will be distributed in April of each year influenced by the date of United States Department of Education's (USDOE) final state allocation announcement. Every effort will be made so that at least six weeks will be provided from the date of announcement to the due date.

For project specific competitive grants, the Iowa Department of Education (DE) will publish a notice in the *Des Moines Register* and post a notice on the DE's web site with the funding proposal application and dates of the proposal writing workshops. Information will be mailed to every school district superintendent, every community college president, and community-based organizations who have requested funding information in the past.

### 6.4 Process

Adult education eligible providers for the continuation grant will submit local plan extensions electronically to the DE in accordance with standard procedures and instructions. Applicants will use the [lowagrants.gov](http://lowagrants.gov) process to submit application for continuation. This online application is a comprehensive web portal, which provides submission, tracking, review, and processing of adult education grant applications. Iowa envisions [lowagrants.gov](http://lowagrants.gov) to be an easy, efficient, and effective online grant management system for all discretionary and

formula grants. Included in the extension are budget, needs assessment, program description, evaluation, staff qualifications and training schedules, and assurances.

All continuation grant applicants will follow the same application procedures. The Request for Application (RFA) provides instructions for preparation of applications; a dateline for submitting a notice of intent to apply; and a dateline for receipt of the applications, review criteria, assurances, and other legal, fiscal, and program requirements.

The process that will be used to determine the entities that will receive project specific competitive grant AEFLA funding for program year 2013 is as follows:

- A review committee will be established to determine which applicant will be funded. This committee will be composed of individuals such as those that voluntarily serve on the Iowa Literacy Council convened under Executive Order 12. Those that have submissions will be excused to ensure that there is no conflict of interest. No Iowa Department of Education (DE) staff member will serve on the review committee.
- The DE adult education staff will provide three one-hour workshops for review committee members via webinars or face-to-face. Review committee members must participate in only one of these workshops. These workshops will provide review committee members with an overview of AEFLA with a special emphasis on the elements that the reviewers must consider when determining successful applicants. The workshops will also include a review of the funding application and provide examples of the types of information that applicants will most likely be providing. In addition, the workshops will include a review of the scoring rubric.
- Funding proposals are due no later than July 30, 2012, with the expectation that they will begin services no later than

September 1, 2012, if funded. During the first week of August, each grant reviewer will receive a hard copy of six funding proposals to review. Each funding proposal will be reviewed by four committee members.

- All review committee members will meet for a full-day meeting. This will begin with a question-and-answer session to address issues that may have arisen during the reviewing process. At this time, each team will determine which of the applications they reviewed to approve. Once chosen, if all requirements are addressed satisfactorily, then notification from the Iowa Department of Education (DE) will be sent to the contact person. All funded competitive grants will need to provide a detailed budget, needs assessment, program description, evaluation, staff qualifications and training schedules, and assurances.

#### 6.5 Evaluation of Applications (Sec. 231 (e))

As required by AEFLA, in awarding grants under this section, the DE's adult education team shall consider the following criteria in the review of all applications submitted for continuation grant or competitive funding:

- (1) The degree to which the eligible provider will establish measurable goals.
- (2) The past effectiveness of an eligible provider in improving the literacy skills of adults and families, and, in meeting or exceeding such performance measures, especially with regard to those adults with lower levels of literacy.
- (3) The commitment of the eligible provider to serve individuals in the community who are most in need of literacy services, including individuals who are low income or have minimal literacy skills.

(4) Whether or not the program is of sufficient intensity and duration for participants to achieve substantial learning gains, and uses instructional practices, such as phonemic awareness, systematic phonics, fluency, and reading comprehension that research has proven to be effective in teaching individuals to read.

(5) Whether the activities are built on a strong foundation of research and effective educational practice.

(6) Whether the activities effectively employ advances in technology, as appropriate, including the use of computers.

(7) Whether the activities provide learning in real life contexts to ensure that an individual has the skills needed to compete in the workplace and exercise the rights and responsibilities of citizenship.

(8) Whether the activities are staffed by well-trained instructors, counselors, and administrators.

(9) Whether the eligible provider coordinates with other available resources in the community, such as establishing strong links with elementary schools and secondary schools, postsecondary educational institutions, one-stop centers, job training programs, and social service agencies.

(10) Whether the eligible provider offers flexible schedules and support services (such as child care and transportation) that are necessary to enable individuals, including individuals with disabilities or other special needs, to attend and complete programs.

(11) Whether the eligible provider maintains a high-quality information management system that has the capacity to report participant outcomes and to monitor program performance against the eligible agency performance measures.

(12) Whether the local communities have a demonstrated need for the proposed program (Sec. 231)(e).

## **7.0 Public Participation and Comment**

### **7.2 Governor's Comments**

The extension of the plan was submitted to the Governor for review and comment to comply with the mandate in section 224(d)(1)(2) of the Act which states "the eligible agency shall submit the State plan, and any revisions to the State plan, to the Governor of the state or outlying area for review and comment and ensure that any comments by the Governor regarding the State plan, and any revisions to the State plan, are submitted to the Secretary." (See Appendix A for the Iowa Department of Education's transmittal letter and the Governor's comments.)

## **8.0 Description of Program Strategies for Populations (Sec. 224(b)(10))**

*(Not Revised)*

## **9.0 Integration with Other Adult Education and Training (Sec. 224(b)(11))**

*(Not Revised)*

## **10.0 Description of the Steps to Ensure Direct and Equitable Access (Sec. 224 (b) (12))**

If Iowa provides a competitive grant option, (see Section 6.0 of this plan) every effort will be made to provide direct and equitable access to funds. Direct and equitable access includes: (1) the right to submit applications directly to Iowa Department of Education (DE), and (2) a process for selecting recipients of funds that gives each applicant a fair chance to receive an award.

### **10.2 Notice of Availability**

Through the extensive procedures described in Section 6.3 of this plan, the DE ensures that all eligible providers have direct and equitable access to apply for grants or contracts under this section and that the same grant announcement process and application process is used for all eligible providers in the state

(Sec. 231) (c). The public announcement of the availability of funds is posted on several email discussion lists, on the DE's website, and the announcement is officially placed in the *Des Moines Register*.

## **11.0 Programs for Corrections Education and other Institutionalized Individuals**

**(Sec. 225) (Not Revised)**

### **12.0 State Leadership Activities (Sec. 223 (a) (b))**

#### 12.1 Description of Activities

The State Staff Development Leadership Project is designed to fund and coordinate state level staff development activities in the following areas: National Report System (NRS) reporting; program improvement; and Comprehensive Adult Student Assessment System (CASAS) statewide staff development activities.

The impact of professional development on instruction and adult learner outcomes is evaluated against the following criteria:

- statewide implementation, adoption, and diffusion into adult literacy instructional strategies, methodologies and curriculum infusion;
- long-term improvement in program outcomes measured by the state and local program's ability to continually meet negotiated benchmark levels; and
- adult learner assistance to effectively meet personal and program literacy goals.

# **Appendix A**

**Letter from the Director of  
Iowa Department of Education Requesting  
Governor's Letter of Review and Comments**

**Letter from Governor Branstad to  
Office of Vocational and Adult Education**



# STATE OF IOWA

TERRY E. BRANSTAD, GOVERNOR  
KIM REYNOLDS, LT. GOVERNOR

DEPARTMENT OF EDUCATION  
JASON E. GLASS, DIRECTOR

March 20, 2012

Governor Terry Branstad  
Lieutenant Governor Kim Reynolds  
Office of the Governor  
State Capitol

Dear Governor Branstad and Lieutenant Governor Reynolds:

I'm pleased to recommend *Iowa's Adult Literacy State Plan Extension: Program Year 2013* for your review.

This plan supports a strong, innovative adult literacy program that is integrated with Iowa's community college system. The adult literacy program is research-based with regard to documenting the needs of learners and uses proven instructional strategies.

The positive results of Iowa's adult literacy program are well documented through consistent assessment and teaching of students through employment and wage studies.

I believe this state plan extension meets criteria for approval, and I'm encouraged by its potential as part of a comprehensive plan to meet the learning needs of Iowans. I am requesting that your comments be forwarded to me by Thursday, March 29, 2012.

Sincerely,

A handwritten signature in cursive script that reads "Jason E. Glass".

Jason Glass, Ed.D.  
Director



TERRY E. BRANSTAD  
GOVERNOR

**OFFICE OF THE GOVERNOR**

KIM REYNOLDS  
LT. GOVERNOR

March 29, 2012

Dr. Brenda Dann-Messier, Assistant Secretary  
Office of Vocational and Adult Education  
550 12<sup>th</sup> Street SW  
11<sup>th</sup> Floor  
Washington, DC 20202-7100

Dear Secretary Dann-Messier:

I'm pleased to recommend *Iowa's Adult Literacy State Plan Extension: Program Year 2013* for your review.

Lt. Governor Kim Reynolds and I are committed to improving education for all Iowans, from the youngest students through our adult learners. We also are committed to lifelong learning efforts in our state, including the important work of our community colleges in supporting adult literacy programs.

The attached state plan extension provides data about Iowa's Adult Literacy Program administered through our community colleges and points to the success and high performance that has been the result of this effort in our state. It is one part of our work to provide support to adult learners.

I am pleased to submit this state plan extension as part of our comprehensive effort to support the educational needs of all Iowans.

Sincerely,

A handwritten signature in black ink, appearing to read "Terry E. Branstad", written over a horizontal line.

Terry E. Branstad  
Governor of Iowa

**STATE**

**Iowa**

MEASURE	National Average	2010-11 PERFORMANCE	2011-12 TARGET	Proposed 2012-13 TARGET	Change from Performance	Final Agreed Upon 2012-13 TARGET	Change from Performance
ABE Beginning Literacy	41%	19%	51%	30%	58%		-100%
ABE Beginning	44%	25%	41%	40%	60%		-100%
ABE Low Intermediate	45%	26%	39%	40%	54%		-100%
ABE High Intermediate	38%	21%	31%	32%	52%		-100%
ASE Low	42%	23%	40%	30%	30%		-100%
ESL Beginning Literacy	47%	40%	41%	45%	13%		-100%
ESL Low Beginning	49%	44%	52%	50%	14%		-100%
ESL High Beginning	52%	42%	48%	50%	19%		-100%
ESL Low Intermediate	48%	37%	47%	47%	27%		-100%
ESL High Intermediate	42%	35%	42%	40%	14%		-100%
ESL Advanced	24%	17%	25%	25%	47%		-100%
<b>Subtotal on EFLs &amp; SPLs</b>					<b>35%</b>		<b>-100%</b>
HS Diploma/GED	60%	88%	86%	77%	-13%		-100%
Entered Postsecondary Ed / Training	56%	70%	50%	49%	-30%		-100%
Entered Employment	48%	70%	86%	48%	-31%		-100%
Retained Employment	62%	86%	86%	69%	-20%		-100%
<b>Subtotal on Follow-up Outcomes</b>					<b>-23%</b>		<b>-100%</b>
<b>Total</b>					<b>20%</b>		<b>-100%</b>

Director Signature: *C. J. [Signature]* Date Agreed To: 4-9-12  
 Date Negotiated: 3/20/2012

\* OPTIONAL - If Available, Estimated Baselines for Follow-up Measures Using Cohorts (based on State's analysis of sample cohorts, cohorts from 2010-11 data, comparison of characteristics of cohort with goal-setting students, past performance adjusted according to analyses by other States, other method?):

HS Diploma/GED: 3026 out of 3913, 77% (2010-11 Goals Set: 1615) Entered Employment: 1980 out of 4055 48% (2010-11 Goals Set: 853)  
 Entered Postsecondary Ed/Training: 2827 out of 5768 49% (2010-11 Goals Set: 367) Retained Employment: 2868 out of 4154 69% (2010-11 Goals Set: 670)

State indicated participating in optional technical assistance offered through the NRS? Yes  No

\* Provision of these data estimates is voluntary. However, States are encouraged to provide these estimates since they offer a reasonable justification for reaching agreement on projected targets for PY 2012-13, particularly if the proposed targets reflect lower projections compared to 2010-11 performance levels and current 2011-12 targets.