

*Workforce Investment Act Title II
Adult Education and Family Literacy Act*

Iowa Adult Education and Literacy Coordinator Handbook



COMMUNITY COLLEGES
BUREAU OF ADULT, CAREER, AND COMMUNITY COLLEGE EDUCATION

February 1, 2013

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February 1, 2013

Dear Adult Education Coordinator:

You have assumed the role of an instructional leader at a time when your vision, skills and adult education paradigms will be tested. You will need to evaluate new ideas as you collaborate with the State staff, your peers, your staff and other Adult Education organizations to contribute to the educational experience of adult learners in Iowa.

Adult Education and Literacy has never been more valued in Iowa than it is now. The information you acquire through this handbook to hone your adult education leadership skills and knowledge will serve you well in your position and your program. This handbook contains all of the pertinent information that you will need to be successful.

While this manual is an excellent resource, it cannot serve as the only resource you will need to keep your knowledge of adult education and literacy current. Your state adult education and literacy team at the Bureau of Adult, Career and Community College Education will support your success. In addition, you and your staff have easy access to professional development support. This support provides research-based, adult education training and resources, including alternative delivery of training, with staff that will assist you in your continuous improvement as an instructional leader.

Ultimately, your success will contribute to the success of your program, staff and most importantly, your students. The students will be able to use what they achieve in your program to continue lifelong learning and earn credentials necessary for the 21st century. They will be able to obtain jobs, develop careers and gain citizenship skills which will result in an improved quality of life for themselves and their families. Good luck!

Alex Harris, Adult Education Program Consultant
State Director for Adult Education
Division of Community Colleges
Bureau of Adult, Career, and Community College Education

Coordinator Handbook

Table of Contents

Section I Programs and Resources

- Program Overview 2
- Federal Role 2
 - Federal Role 2
 - State Role 3
 - Local Role 3
- Iowa Adult Education and Literacy Program 3
 - Description 3
 - Our Mission 4
 - Our Goals 5

Section II Eligibility and Enrollment

- Iowa Adult Education and Literacy Program Models 7
 - Scheduling Models 7
 - Continuous Enrollment Classes 7
 - Short-Term and Special Topic Classes 8
 - Intake Structures 8
 - Managed Intake 9
 - Open Intake 9
 - Delivery Models 10
 - Leveled Class Delivery 10
 - Structured Multi-Level Delivery 10
- Eligibility for Iowa Adult Education and Literacy (AEL) Programs 11
 - General Eligibility for Enrollment in Iowa Adult Education and Literacy Programs 11
 - Eligibility of Foreign Students 11
 - Eligibility of Adults with Disabilities 11
 - Non-Discrimination Notice 11
 - Strictly Confidential Information 12
- General Orientation and Intake Process 13
 - Checklist for Student Orientation and Intake 15
- Student Retention and Persistence 16
 - Dealing with Programmatic Issues 17
 - Dealing with Situational and Dispositional Issues 17
 - Retention Strategies 18
- Referrals 18
 - Referring Students from Your Program to Other Agencies 19

Section III Iowa Adult Education and Literacy Instructors

- Choosing Methods of Instruction 21
- Using Educational Levels to Plan Instruction..... 21
- Adult Learning Principles - Knowles 22
- Iowa Adult Literacy Leadership Committee 23

Section IV Accountability

- Program Performance 25
 - Iowa Adult Education and Literacy Performance Measures 26
 - Coordinator Responsibility..... 28
- Continuous Improvement Planning – Local Extension Plan 30
 - Iowa’s Continuous Improvement Benchmark Model 31
- Participatory Planning Committee 31
- Monitoring Program Performance 32
 - Monitoring Tool..... 33
 - Monitoring Schedule for PY 2013..... 34

Section V Program Fiscal Management

- Fiscal Management..... 36
 - Funding Formula..... 36
 - Administrative and Indirect Costs 36
 - Budgets 37
 - Expenditures..... 37
 - Program Income 37
- Requests for Amendments and Reimbursements 38
 - Supplementing..... 40

Appendices

- Spotlight Calendar 42
- Annual Timeline..... 43
- Commonly Used Acronyms 44
- PY 2013 Coordinator Contacts* 45
- Student Interim Needs Assessment Survey 46
- Request for State Technical Assistance/Training for AEL Personnel..... 47
- Retention Self-Check 48
- *Personal Confidentiality Statement* (Example) 49
- FERPA Facts..... 50
- PY 2011 Adult Education Fact Sheet..... 51
- Monitoring Tool..... 53

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SECTION I: PROGRAMS AND RESOURCES

- Program Overview2
- Federal Role2
 - Federal Role2
 - State Role.....3
 - Local Role.....3
- Iowa Adult Education and Literacy Program3
 - Description.....3
 - Our Mission.....4
 - Our Goals5

Program Overview

The Iowa Department of Education (DE) recognizes that today's workplace presents numerous opportunities and challenges for adults. Employers need workers with strong basic skills and an ability to adapt to change. Today's families are faced with multiple responsibilities as they address their children's educational needs, as well as their own. Special populations, such as the homeless and incarcerated, must deal with additional challenges in order to lead safe and productive lives.

To effectively serve the foundational learning needs of these diverse groups, a learning system that is flexible and responsive is necessary. The Iowa Adult Education and Literacy Program is developing such a system for adult learners.

Iowa's Adult Education and Literacy programs build skills for success by providing adults with the opportunity to acquire and improve functional skills necessary to enhance the quality of their lives as workers, family members, and citizens. These programs play an important role in fostering productive employment, effective citizenship, personal and family growth, self-esteem, and dignity for adult learners. Educational services are available at little or no cost to adult learners and are designed to meet the educational needs of each individual.

This handbook is to ensure 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. This handbook communicates the scope of the state's commitment to and support of adult education and family literacy.

The purpose of this handbook 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.

Federal Role

The *Adult Education and Family Literacy Act* is Title II of the *Workforce Investment Act (WIA) of 1998*. It provides the framework for the establishment of the Adult Basic Education (ABE) program. The United States Department of Education Division of Adult Education and Literacy (DAEL) provides grants to states to fund adult education and literacy services, including:

- Workplace literacy services,
- Family literacy services,
- English literacy programs, and
- Integrated English literacy-civics education programs.

Participation in these programs is limited to adults and out-of-school youths age 16 and older who are not enrolled or required to be enrolled in secondary school under state law. The amount of funding each state receives is based on a formula established by Congress. States, in turn, distribute funds to local eligible entities to provide adult education and literacy services. In Iowa, the DE distributes these federal funds to local programs. The National Reporting System (NRS) is the accountability system mandated by WIA. The NRS includes student measures to describe adult education students, program participation, and assessment of the impact of adult education instruction, methodologies for collecting the measures, reporting forms and procedures, and training and technical assistance activities to assist states in

collecting the measures. States are required to report data to the NRS, to meet performance standards for student outcome measures, and to assess local program effectiveness using these standards.

State Role

The DE Adult Education and Literacy team provides technical assistance to local programs in the areas of:

- Program administration,
- Instructor training,
- Student retention,
- database maintenance and reporting,
- Assessment,
- Curriculum,
- Disabilities and other special learning needs,
- English as a Second Language (ESL),
- Technology,
- GED® testing,
- Evaluation and monitoring, and
- Other associated issues.

Local Role

Local programs are operated through community colleges that typically designate one employee to serve as AEL coordinator. This individual is responsible for determining the need for Adult Education and Literacy (AEL) programs within the region, promoting these programs, recruiting students, coordinating the scheduling of AEL classes, hiring instructors, and overseeing financial, attendance, and federal data reports.

See the current list of [Adult Literacy Coordinators](#).

Iowa Adult Education and Literacy Program

Adult Education and Literacy is designed to:

- Satisfy the basic literacy needs of adults,
- Improve and/or upgrade information processing and computational skills leading to a high school equivalency diploma or entry into postsecondary education,
- Satisfy the continuing education demands of adults in the current labor market,
- Improve self-esteem of adults, and
- Empower adults to achieve their goals.

Description

According to the most recent federal legislation, the [Workforce Investment Act \(WIA\) of 1998, Title II, the Adult Education and Family Literacy Act](#), the qualifications for students are:

- Adults who are 16 years of age or older.

- Adults who are not enrolled or required to be enrolled in secondary school under state law; and who:
 - lack sufficient mastery of basic educational skills to enable them to function effectively on the job, in the family, and in society, or
 - do not have a secondary school diploma or its equivalent level of education, or
 - are unable to speak, read, or write the English language.
- Only adults who meet the eligibility criteria above may enroll in the Iowa AEL program. (See eligibility section for more information.)

Target populations include:

- Adults seeking to improve basic skills,
- Adults seeking to attain a high school equivalency diploma (GED®),
- Adults preparing for entrance to postsecondary educational programs,
- Adults preparing for education or employment-related examinations,
- Adults seeking employment,
- Recipients of Temporary Assistance to Needy Families (TANF),
- English as a Second Language (ESL) learners, and
- Incarcerated adults.

Programs include:

- **Basic Skills Instruction** in reading, writing, math, listening, and speaking;
- **GED® Test Preparation** in science, social studies, mathematics, language arts-reading, language arts-writing, and calculator training;
- **Official GED Practice Test™ (OPT) Administration** for documenting readiness to take the GED® test;
- **English for Speakers of Other Languages** in pre-literacy, reading, writing, listening, speaking, grammar, U.S. history and government, and cultural literacy;
- **Thinking and Learning Skills Instruction** in creative thinking, decision-making, problem-solving, and learning and reasoning;
- **College Readiness Skills Instruction** in organization and time management, technology, goal setting, test taking skills, and self-advocacy;
- **Job Readiness Skills Instruction** in goal-setting, career planning, personal work attributes, employee rights and responsibilities, job search strategies, and unemployment survival;
- **Life-Coping Skills Instruction** in budgeting, nutrition, consumerism, and family relationships and parenting, and
- **Computer Literacy Skills** in keyboarding, word processing and other introductory skills.

Our Mission

The mission of Iowa's AEL program is:

To provide accessible, quality instruction that develops life, work, and literacy skills.

Our Goals

The three Iowa State Plan Goals include:

1. Assist adults to become literate and obtain the knowledge and skills necessary for employment and self-sufficiency,
2. Assist adults who are parents obtain the educational skills necessary to become full partners in the educational development of their children, and
3. Assist adults in the completion of a secondary school education.

SECTION II: ELIGIBILITY AND ENROLLMENT

- Iowa Adult Education and Literacy Program Models7
 - Scheduling Models.....7
 - Continuous Enrollment Classes7
 - Short-Term and Special Topic Classes8
 - Intake Structures8
 - Managed Intake.....9
 - Open Intake9
 - Delivery Models.....10
 - Leveled Class Delivery.....10
 - Structured Multi-Level Delivery10
- Eligibility for Iowa Adult Education and Literacy (AEL) Programs11
 - General Eligibility for Enrollment in Iowa Adult Education and Literacy Programs.....11
 - Eligibility of Foreign Students.....11
 - Eligibility of Adults with Disabilities.....11
 - Non-Discrimination Notice11
 - Strictly Confidential Information.....12
- General Orientation and Intake Process13
 - Checklist for Student Orientation and Intake.....15
- Student Retention and Persistence.....16
 - Dealing with Programmatic Issues17
 - Dealing with Situational and Dispositional Issues17
 - Retention Strategies18
- Referrals.....18
 - Referring Students from Your Program to Other Agencies.....19

Iowa AEL Program Models

Encouraging students to enter and remain in class is one role played by AEL coordinators. Throughout the state, programs have adopted various scheduling, intake, and delivery models for their classes. Some models are more effective than others for attracting and retaining students.

Scheduling Models

How a program schedules classes is an important variable impacting student successes. Scheduling features affecting the success of students include:

- Duration (how many weeks/months per program year the class is open)
- Intensity (how many hours/weeks of instruction are available)
- Schedule (whether students begin and end the class at the same time or enroll and exit constantly)

In order for students to make progress toward their goals, programs of sufficient duration and intensity must be established. To demonstrate academic progress, 40 to 100 hours of instruction is usually recommended. The program's schedule also affects organization and instruction delivery. Local programs are encouraged to provide appropriate scheduling methods based on the needs of students.

Continuous Enrollment Classes

Many Iowa AEL classes are organized as *continuous enrollment* classes. They are either in operation year round or throughout the program year with shortened hours during the summer. Many students enroll, exit the class, and even re-enroll at various times throughout the program year. Thus, even though the class may have a sufficient duration, students may not stay long enough or consistently enough to make progress. In these *continuous enrollment* classes (sometimes referred to as *open entry/open exit*) there are no set beginnings and endings of study terms, no mandatory start/finish times, and no set testing periods. Students enroll or exit at their convenience and take post-tests when they have completed a minimum of 40 hours between assessments.

Advantages:

- Students can enter classes any time during the program year without a wait.
- Students can establish a schedule within the class hours that is convenient for them.

Disadvantages:

- The members of the class and their needs are constantly changing as different students leave and arrive for class at different days/times and may stop in or out of the program at any time.
- The instructor may feel limited to offering only independent study because of the difficulty of organizing effective small and large group activities for constantly changing audiences.
- New students may not feel connected to the rest of the class because they did not start at the same time as others.
- It may be difficult to know when to post-test students because everyone is on a different schedule.
- Students may drop out because they see no end in sight, and no one misses them.
- Students may make no real commitment to attending because they know they could come back at any time.

AEL coordinators often try to manage the comings and goings in a continuous enrollment class by establishing a learning lab setting. In such a setting, it is easy to fall into a pattern of testing, prescribing materials, and simply pointing students towards textbooks or computers. Not all students are capable of working independently. This issue is covered in Section III, Retention and Persistence.

Short-Term and Special Topic Classes

Short-term classes have scheduled beginning and ending dates and have specific class hours when all students are expected to attend. These classes often run for a set number of weeks, such as the GED[®] Academy, etc. Testing usually occurs at the beginning and the end of the course (unless an individual has to drop out before the class ends).

Short-term classes work most effectively when they are established around a particular level (such as beginning literacy, advanced ESL, high adult secondary) or around a special topic (such as college readiness, work readiness, citizenship, essay writing, phonics, or digital literacy).

Advantages:

- All the students begin at the same time and can establish group rapport.
- The instructor can establish the goal/purpose of the class and students can see clearly their progress toward that goal.
- Students can be grouped according to level and/or interest so that teaching activities can be more focused.
- Students can interact with one another as they learn similar material instead of always working independently on different skills or topics.
- Students can be given a certificate of completion reflecting results of their study.
- Students may be more willing to make a short-term commitment than choose a long-term program that has no end in sight.

Disadvantages:

- Some students may not be able to attend because they are unable to begin at the appointed time.
- Only the needs of a specific group are served in a special topic class; others may be excluded because of their level or interests.
- If the class is not well publicized or if there is not a great interest, it may not run. This may make planning somewhat uncertain.
- If a program only offers short-term classes, instructors may not be employed continuously throughout the year.

Because of their limited duration, short-term classes need to be of sufficient intensity (offering enough hours/week) in order for students to show progress. It is important to build in sufficient contact hours to meet recommended post-testing guidelines

Intake Structures

In addition to how classes are scheduled, it is important to pay attention to the *intake structure*. This refers to whether the course includes specific set times (*managed intake*) for new students to register and enter the class or whether students are allowed to begin on any day, at any time (*open intake*).

Managed Intake/Entry – Regularly Scheduled, Set Registration Time

Classes that utilize the *Managed Intake* structure offer scheduled, well-advertised registration and assessment days and times at regular intervals. New applicants are asked to come for registration at those appointed times. Program orientation, expectations, and entry assessments may be offered in a small group intake setting. Individual follow-up appointments are scheduled to discuss individual learning goals, barriers to participation, assessment results and to set short and long-term educational plans. Programs may also set up special times for students who only need to take the Official GED Practice Test™ (OPT) to come and test.

Advantages:

- Time is saved by administering group orientation and pretesting.
- New students start with an established peer group of others entering at the same time.
- The instructor is focused on intake and able to provide a clear description of the program and its expectations.
- Group lessons are not interrupted by the arrival of new students at odd times.
- Students who only need to take the Official GED Practice Test™ can be managed more efficiently by scheduling testing on particular days/times.
- Once the program has established times, students learn by word of mouth when to arrive and referral agencies know when to send them.

Disadvantages:

- New applicants may be unable to come on the scheduled day and time.
- Group intake that is not well-managed, may seem impersonal to students or resemble previous unpleasant school experiences.
- The instructor may feel bad about turning away students who arrive on the wrong day/time and worry that the students may not return.

Open Intake/Entry – No Set Registration Time

With *Open Intake*, students may arrive whenever a class is in session and receive information about the program, register, begin the assessment process, and start studying.

Advantages:

- Students can enter when it is convenient for them.

Disadvantages:

- Often new students enter a class that is already in session and thus have fewer opportunities to establish peer relationships at the outset.
- When a new student enters, the class interruption may have an adverse impact on the daily instruction.
- Often, the instructor must deal hurriedly with a new applicant, setting him or her aside to fill out forms and begin testing. The instructor may skip important information in the interest of time.
- Often there is little opportunity to offer an orientation to the program, answer questions, or address that individual's concerns adequately.

Open intake is effective in classes that are trying to build enrollment. As soon as a class is well-established, the program should switch to *managed intake*. Research supports that for quality instruction a managed intake is more effective. (Hyzer, 2006)

Delivery Models

AEL coordinators can organize programs to include students of different levels (*multi-level*) within the same class or have classes offered on a leveled delivery, like most of Iowa's ESL classes. It's important to ensure the model selected meets the needs of students.

Leveled Class Delivery – Organized by Educational Level

In a *leveled* class, an instructor with specific expertise (such as a reading specialist) conducts classes for students who are all at the same functioning level. For example, a *leveled* class is particularly well-suited for low-level readers, intermediate students in pre-GED® classes, or advanced students in preparing for college transition. *Leveled* classes provide a greater opportunity for intense and focused instruction.

Structured Multi-level Delivery – All Educational Levels in the Same Class

When enrollment does not justify setting up *leveled* classes, programs often establish *multi-level* programs where students of all levels study in the same class. Here is an example of a *structured multi-level* delivery:

During a four-hour block of time, beginning level students attend for the first 1½ hours for focused, small group instruction followed by one hour of integrated whole group instruction along with intermediate and advanced students. Whole group instruction is then followed by 1½ hours of focused small group instruction for the intermediate- and advanced-level students. All students are encouraged to work on individualized study, computer assisted instruction, peer tutoring, or one-on-one instruction with a volunteer tutor.

For further study:

Moving from Open Enrollment to Managed Enrollment:

<http://www.jeffco.edu/jeffco/images/business/pdfs/WorkkeysWIN/11.pdf>

Fulfilling Dreams in Adult Education: Managing the Multi-Level Classroom:

<http://journals.cluteonline.com/index.php/TLC/article/view/1241/1225>

Individualized Group Instruction: A Common Model:

<http://www.ncsall.net/index.php?id=733>

Eligibility for Iowa AEL Programs

According to the *Workforce Investment Act (WIA), Title II, the Adult Education and Family Literacy Act*, adult education services are to be targeted for:

- Adults who are 16 years of age or older.
- Adults who are not enrolled or required to be enrolled in secondary school under state law; and who:
 - Lack sufficient mastery of basic educational skills to enable them to function effectively on the job, in the family, and in society, or
 - Do not have a secondary school diploma or its equivalent level of education, or
 - Are unable to speak, read, or write the English language.
- Only adults who meet the eligibility criteria above may enroll in the Iowa AEL program.

Eligibility of Foreign Students

Federal adult education legislation does not specify the need to prove legal status of foreigners as a condition for enrollment in adult education classes. Thus, it is not necessary for foreigners to present passports, visas, work permits, or social security cards to prove legal status in order to enroll. However, foreign **students (with F-1 or F-2 visas) enrolled in universities or private English language institutes may not simultaneously enroll in publicly funded adult education programs.** English as a Second Language (ESL) students who have completed postsecondary education in another country, but lack basic English language skills may enroll in AEL programs (as long as they do not have an F-1 or F-2 visa).

Eligibility of Adults with Disabilities

The Iowa AEL program requires that all persons be granted equal access to its programs, facilities, and services without regard to race, color, creed, religion, national origin, sex, age, marital status, disability, or sexual orientation. It does not discriminate in:

- Admission to its programs, services, or activities,
- Access to their locations,
- Treatment of individuals with disabilities, or
- Any aspect of their operations.

A qualified individual with a disability is defined by the Americans with Disabilities Act (ADA) as:

“... an individual with a disability who, with or without reasonable modifications to rules, policies, or practices, the removal of architectural, communication, or transportation barriers, or the provision of auxiliary aids and services, meets the essential eligibility requirements for the receipt of services or the participation in programs or activities provided by a public entity.”

Students who present documentation of their disability have a right under the Americans with Disabilities Act (ADA) to request reasonable accommodations. Depending on the type of disability, the **accommodations for classroom instruction and testing** may include (but are not limited to):

- Extended time for learning and testing,
- Private settings free of interruptions and distractions for learning and testing,
- Frequent breaks or change of activity,
- Calculators,
- Spell checkers,

- Word processors,
- Audiotapes of presentations, texts, and tests,
- Enlarged print,
- Braille texts,
- Readers,
- Note-takers or scribes for learning and testing,
- Sign language interpreters,
- Assistive listening devices, and/or
- Furniture or room modifications to accommodate wheelchairs, etc.

Information on CASAS accommodation may be obtained at:

<https://www.casas.org/docs/pagecontents/accommodationsguidelines2010.pdf?status+master>

At a minimum **all** students should be screened for potential learning disabilities with the following three questions:

1. Have you ever had special help or special classes?
2. Do you think you have trouble learning?
3. What are your hardest subjects?

If students answer positively, the appropriate investigation must occur to determine how best to serve the student in the program.

Many adult learners state that getting a General Education Development (GED®) test credential is their primary reason for entering adult education programs. For information on applying for GED® accommodations contact Kathy Green, kathygreen@southslope.net, (319) 350-1355. Information is also maintained on the Iowa Department of Education website through a link to:

<http://www.gedtestingservice.com/testers/accommodations-for-disability#Accommodations4>.

Strictly Confidential Information

If a student discloses any of the following types of information (verbally or in writing), legally that information is to be considered strictly confidential and therefore “private:”

- Disclosure of “non-directory,” personally identifiable information (PII),
- Disclosure of a diagnosed learning disability,
- Disclosure of previous status as a "special education" student,
- Disclosure of any other type of diagnosed physical or mental disability,
- Disclosure of a diagnosed medical condition,
- Disclosure of use of any prescription drugs,
- Disclosure of history of drug/alcohol abuse and/or treatment,
- Disclosure of status as HIV positive or of having the AIDS virus,
- Official transcripts including GED® scores.

Filing cabinets or drawers containing strictly confidential information must be labeled as “**Confidential.**” These files must not be accessible to students, staff, or faculty, and a log should be maintained to record when confidential files are accessed. Strictly confidential information files should be maintained at the

local program level for a period of not less than five years and must be shredded when discarded. Strictly confidential information regarding a student cannot be discussed, nor can any record be shared without a written release of information. It is strongly encouraged that coordinators have on file a signed *Personnel Confidentiality Agreement* (see Appendix) for every staff or faculty member that has access to confidential information. If there are any doubts to the security and confidentiality refer to the FERPA Fast Fact sheet (see Appendix).

General Orientation and Intake Process

AEL coordinators need to consider how to maintain an effective classroom management system. Each program should have an intake process that includes the six steps listed below. Orientation should be completed first. Appraisal testing must be completed before pretesting. All other steps may be completed in the sequence determined by the program, however all intake steps must be completed before the student has received 12 contact hours. Use the *Checklist for Student Orientation and Intake* to review what your program is offering new students and classes.

1. Orientation
2. Interview
3. Locator Test and Pre-Test
4. Registration
5. Goal-setting
6. Class/instructional assignment (advisement)

A. Orientation

Orientation procedures should provide prospective students with information about the program and, if needed, refer the student to alternate support services within the program or through other agencies in the community.

B. Interview

At some point during the intake process, a qualified staff member should interview students. This is typically done early in the intake process, as it allows the interviewer to:

- Informally assess the student's educational functioning level,
- Determine the appropriate appraisal test,
- Help the student with the registration form, and
- Advise and assist the student with goal setting.

C. Locator Test and Pre-Test

All Adult Education Family Literacy Act-funded programs are required to use approved systems for assessment. All assessments are to be administered according to the policy and procedures outlined in the [Iowa Adult Literacy Assessment Policy Guidelines](#). Other methods of assessment may be used within the local program; however, they are not acceptable for state or federal reporting purposes. A locator test is the initial assessment instrument and provides basic skill level information for the individual. The pre-test results guide placement into an appropriate instructional program. (See Section IV.)

D. Registration

Registration is the process through which mandatory information is gathered from prospective students.

The process typically includes goal-setting, class assignment, and an interview, but these activities may be done at a time most effective for the program. However, the following data must be properly and completely collected and recorded in the management system database:

- Demographic data,
- Primary and secondary goals,
- Pre-test scores,
- Class assignment, and
- Signed informed consent form.

For more detail on data collection, see: [Iowa's Data Dictionary PY 2013](#).

E. Goal-Setting

These goals address both outcomes and instruction. **For reporting purposes, all students must endorse a primary goal. They may also endorse a secondary goal.** Goals for student outcomes are to be relevant and set according to what can be accomplished within the program year. The measure of learner goals for attending is now an optional measure (NRS 2013).

F. Class/Instructional Assignment

Students are assigned to a class/instructional level based on their oral interview, appraisal test score, and/or pretest score. When possible, the students' time preference should be taken into consideration.

CHECKLIST FOR STUDENT ORIENTATION AND INTAKE

Please make a copy and complete this checklist for use with new students/classes.

Welcoming Activity

ORIENTATION

- Program purpose and philosophy
- Available services
- Physical layout
- Class schedule
- Class or building rules
- Rights and responsibilities
- Code of conduct/dress code
- Computer acceptable use policy

Registration Forms

- Paper Form (*Information* completed by student; remainder completed by instructor)
- CBT form
- Release of information
- Media release form

APPRAISAL

- As necessary, administer CASAS Locator to determine correct pre-test

Standardized Entry Assessment

- Assess academic areas using appropriate standardized assessment (related to student goals) and record in the data management system
- Maintain testing records

GOAL-SETTING

- Administer career interest and aptitude assessments
- Record primary and secondary goals
- Discuss career interests and aptitudes
- Discuss personal, work-related, and further education goals
- Decide on a plan of study

INTERVIEW

- Discuss learning styles
- Discuss academic assessment results
- Administer identifying questions or local screening
- Discuss and document identified barriers and special learning needs
- Assist in resolving barriers/needs
- Document any disabilities and arrange for accommodations
- Confirm student attendance schedule and commitment status (use a student commitment contract)
- Establish timelines for future discussion of barriers with student

Student Retention and Persistence

Making sure students remain in your program long enough to make academic progress or reach their goal(s) is what determines the effectiveness and success of local programs. To retain students, it is important for the AEL coordinator to develop a program that meets the needs so students will make the commitment to overcome obstacles and persist in the program until they make progress or reach their goal(s).

Adults need a **purpose** (goal) for participating in Iowa's AEL programs as well as **motivation** to balance the *costs* of attending. *Economic costs* in a free or low cost program are non-existent; but the *personal costs*, such as time away from family and reduced recreational time, are rather high. If motivation exceeds costs, persistence is likely. If the reverse is true, persistence is highly unlikely in a voluntary program.

Principles of Adult Learning

Programs need to provide professional development on basic principles of adult learning styles. Instructional methods should appeal to different styles and the principle assumptions of the Adult Learning Theory.

Styles include:

- Visual
- Auditory
- Kinesthetic

Assumptions of the Adult Learning Theory include:

- Adults want to know why they should learn.
- Adults need to take responsibility.
- Adults bring experience to learning.
- Adults are ready to learn when the need arises.
- Adults are task-oriented.

The reasons adult students stop coming to AEL programs can be divided into three categories:

Programmatic

- Bureaucratic procedures such as paperwork, unclear expectations of program, unclear goals, etc.

Situational

- Family concerns such as transportation, child care, financial problems, and lack of support from family members.
- Unavoidable situations such as job conflict, relocation, and other priorities.

Dispositional

- Attitude,
- Lack of self-esteem,
- Lack of self-discipline,

- Health,
- Perceptions
- Fear of failure, and
- Value.

Dealing with Programmatic Issues

There are specific times students are likely to drop-out (or stop-out) of an AEL program. This section discusses some programmatic strategies that may be utilized.

It is important that students experience success in *concrete* ways during their initial intake and within the first three weeks. *A quality program will strive to take up as little of the student's time as possible with bureaucratic processes.* They do not like to take standardized tests; they do not like to fill out forms; and adults especially do not like to do anything that does not make sense to them. Remember, students focus on the end reward and AEL coordinators want to instill within them an appreciation of learning along the way. Some ways this can be done include:

- Involving students quickly,
- Identifying the value and importance of the program,
- Establishing the climate of the class – starting time, breaks, dress code, code of conduct, etc.,
- Setting expectations. Let students know what they can expect from the program, and let them know what is expected.

For further study:

Adult Learning Theories, TEAL Center Fact Sheet:

<http://bit.ly/13gwxCI>

Highlights from “Adult Learning” by M. Knowles

1.usa.gov/ZmUJ2k

Adult Learning Styles Inventory:

bit.ly/UHdWvC

MCSALL study circle on Persistence:

<http://www.ncsall.net/index.html?id=896.html>

Adult Student Persistence – Resources for Policymakers:

<http://www.ncsall.net/index.html?id=815.html>

Learner Persistence in Adult Basic Education:

<http://www.calpro-online.org/pubs/100719LearnerPersistenceNewsletterPress.pdf>

The First Three Weeks: A Critical Time for Motivation:

<http://www.ncsall.net/index.html?id=420.html>

Dealing with Situational and Dispositional Issues

To address the *situational* and *dispositional needs* that adult students bring to AEL programs, the coordinator must be prepared to provide assistance with student problems. In AEL programs, often the only counselor is going to be the AEL coordinator.

When a student enters the AEL program they are in a crisis mode. During this crisis period, the student is open to change. The student does not want to feel the way he/she feels at the moment. The sooner the

AEL program can work with the student, the more likely the AEL coordinator will be able to develop an effective solution that will help with the immediate need. Then learning can take place.

Crisis counseling is to counseling as first aid is to medicine – a temporary, but immediate relief, for an emergency situation. Students experiencing a crisis situation, have feelings of disorientation, of not being able to control oneself. What is needed is some type of structured fix.

An AEL coordinator must be careful to not express approval or disapproval, criticize, judge, or evaluate the student. A coordinator must remain calm. Deal with the immediate situation and do not try to uncover the deep-rooted cause of the crisis. If a serious mental health problem is suspected, refer the student to a local mental health agency or professional therapist. Two of the main counseling techniques that are useful in AEL programs are the abilities to:

- **Listen** more than talk, and
- **Ask** more than tell.

Retention Strategies

There are three essential elements to student retention in AEL Programs. They are:

1. Make each student feel welcome and valued.
2. Make each class worthwhile.
3. Make each student believe in a positive personal future.

Following are some suggestions for keeping students once they have started the AEL program. Many of the suggestions are simple, common sense, and common courtesy suggestions; others are more involved suggestions that take some planning. All of the suggestions offered are possible for any coordinator to support a teacher in any classroom setting.

- Vary your delivery system.
- Provide relevant instruction and meaningful curriculum.
- View learning as a verb—an ongoing process.
- Help ensure that classes begin and end on time.
- Minimize competition.
- Provide access to career counseling or a list of available guest speakers for teachers to incorporate in their instruction.
- Develop a Student Retention Team (SRT) comprised of volunteers, alumni, and/or graduates.
- Encourage professional development activities to maintain up-to-date methods and procedures.
- Discuss [Distance Education](#) options in case the student has to stop out of the program temporarily.
- Conduct a [Student Interim Needs Assessment Survey](#) to get feedback.

Referrals

External agencies (Iowa Workforce Development, Promise Jobs, Iowa Department of Human Services, Iowa Division of Vocational Rehabilitation Services, etc.) may refer students to AEL programs. In some cases, they will send along a referral form. Before agencies that serve the same clients can exchange written or spoken educational record or confidential information about these clients, agencies must have obtained a signed release of information from the individual. **Be very careful to ensure that a reciprocal release form is in place before discussing any student with someone from an external agency.**

Referring Students from AEL Programs to Other Agencies

Some students in AEL programs may have special needs. They may need assistance from outside agencies. AEL coordinators will want to make referrals to appropriate service providers. When making referrals, be sure to have the student sign an authorization for release of information allowing the AEL program to do so.

When the AEL program makes a referral to another agency, be sure to save a copy of the referral in the student's permanent file, as well as the signed release of information. During a monitoring visit, an AEL program's files may be checked for this type of documentation.

SECTION III: IOWA’S AEL INSTRUCTORS

- Choosing Methods of Instruction 21
- Using Educational Levels to Plan Instruction..... 21
- Adult Learning Principles - Knowles 22
- Iowa Adult Literacy Leadership Committee 23

Choosing Methods of Instruction

Among *best practices* related to instruction, research suggests the following:¹

- Classes tailored to students (needs, preferences, skill levels, etc.);
- Varied methods of instruction (including small groups, computer activities, etc.); and
- A high degree of teacher-student and student-student interaction.

A balanced mix of instructional methods is important in managing the AEL classroom. Each learner has preferences regarding how he or she learns best (working with a large group, small group, alone, with a tutor, etc.). Learning style inventories and questionnaires may help to determine student preferences. These preferences should be taken into consideration when organizing classes for your program.

Regardless of which methods of delivery or intake structures are chosen, coordinators should always help classes being offered to be centered on specific goals and topics selected by the individuals and the group as a whole. Assessment of learners' progress is also vital. At the completion of any type of learning activity, learners must demonstrate their accomplishments.

For further study:

Classroom Dynamics Study:

http://www.ncsall.net/fileadmin/resources/research/br_beder.pdf

Effective Management of Virtual Learning Environments:

http://www.mc.manchester.ac.uk/eunis2005/medialibrary/papers/paper_170.pdf

Using Educational Levels to Plan Instruction

To meet the curricular needs of students in the Iowa AEL program, it is important to determine their skill levels in order to provide instruction in the areas that need improvement. Ultimately, the goal is to find the best fit of materials and activities to promote student progress.

National Reporting System Levels

In order to provide information to the federal government about student progress, the *Workforce Investment Act (WIA)* of 1998 established educational functioning levels for adult education programs all over the nation. The NRS specified six AEL educational levels and six English as a Second Language (ESL) levels to be used by all federally-funded adult education programs. The NRS helps track student entry level, progress, and exit level. For more information regarding the NRS, see <http://www.nrsweb.org>.

For regular AEL learners, these NRS educational functioning levels provide global descriptions of students' abilities in reading/writing, numeracy (math), and functional workplace skills. For ESL learners, listening/speaking, reading/writing, and functional workplace skills are provided. (See the [Educational Functioning Level Descriptor](#).)

The NRS levels also specify standardized test benchmarks. This makes it possible for instructors to place AEL and ESL students into a particular level according to their scaled test scores (CASAS). Using the level descriptors and test benchmarks, instructors can also decide when students are making progress within a

¹ *Improving Basic Skills: The Effects of Adult Education in Welfare to Work Programs.*

<http://www.mdrc.org/publications/179/overview.html>

level, have completed a level, or are ready to move to the next level.

Educational Functioning Levels

In Iowa, we refer to the NRS levels as Educational Functioning Levels (EFLs). Programs use standardized pre-tests to establish an entry EFL for each student enrolled for more than 12 hours. As instruction is provided, ongoing classroom assessment tracks the student's progress. Standardized post-tests (interim and/or exit) must be administered to obtain the student's exit EFL. If a student exits the program before a post-assessment can be administered, the entry level becomes the exit level and the program receives no credit for progress made by the student.

One very important indicator of the success of an AEL program is demonstrating the progress of students in completing EFLs and moving to the next level. As a coordinator, there is a dual accountability—to students and to the state. Students must feel that they are making progress toward their own goals, and the AEL program needs to see proof that the students are making academic progress (as measured by standardized assessments).

To learn more about assessment and placement of these students see [Iowa Adult Literacy Assessment Policy Guidelines](#), as well as [Iowa's Distance Education Policy 2013](#).

Comprehensive Adult Student Assessment System Competencies

The [CASAS Competencies](#) help to break down AEL or ESL Educational Functioning Levels into an identifiable list of over 360 essential life skills that youth and adults need to be functionally competent members of their community, their family, and the workforce. The *CASAS Content Standards* identify the underlying basic skills at specific proficiency levels that should be taught in the context of *CASAS Competencies*. The *CASAS Competencies* along with the *CASAS Content Standards* form the basis of the CASAS integrated assessment and curriculum management system.

The competencies are relevant across the full range of instructional levels, from beginning literacy through high school completion including transition to postsecondary education and training. They cover nine broad content areas:

Basic Communication	Community Resources	Consumer Economics
Health	Employment	Government and Law
Math	Learning and Thinking Skills	Independent Living

These critical competencies provide instructional objectives for curriculum, direct links to test content for monitoring student learning, criteria for program evaluation, and a referencing system for instructional materials. Incorporating *CASAS Competencies and Content Standards* into curriculum and using the CASAS assessment system can help coordinators better meet program needs and fulfill federal reporting requirements. Assessment results provide feedback to learners and instructors to target further instruction regarding common core standards to CASAS reading content standards.

<http://www.casas.org/docs/research/table-2-common-core-to-casas-reading-detailed.pdf?sfvrsn=3>.

Adult Learning Principles - Knowles

Part of being an effective coordinator and helping instructors involves understanding how adults learn best. Andragogy (adult learning) is a theory that holds a set of assumptions about how adults learn. Andragogy emphasizes the value of the process of learning. It uses approaches to learning that are **problem-based and collaborative** rather than didactic, and also emphasizes more **equality between the teacher and learner**. Knowles identified the six principles of adult learning outlined below.

1. Adults are internally motivated and self-directed.
2. Adults bring life experiences and knowledge to learning experiences.
3. Adults are goal oriented.
4. Adults are relevancy oriented.
5. Adults are practical.
6. Adult learners like to be respected.

For more information:

Knowles' Andragogy:

<http://www.learningandteaching.info/learning/knowlesa.htm>

Properties of Adult Learners:

http://youtu.be/Cu_PpkqWJGA

Iowa Adult Literacy Leadership Committee

The [Iowa Adult Literacy Leadership's](#) mission is to provide quality support, resources, and training that will directly meet the professional needs of adult education instructors and staff. To accomplish that task several purposes have been identified:

- Function as an overall planning group for state staff development activities.
- Maintain the high quality and flexibility of staff development activities.
- Create staff development activities that are learner centered.
- Facilitate and implement online and other alternative delivery modes for professional development.
- Expand opportunities for state staff development.
- Recognize and serve the different interests of the various programs and adult learning theories and practices.
- Support and utilize a common data base that maintains the system, which impacts students and AEL staff learning needs and goals.
- Continue to build and design curriculum based upon research and input from all partners.
- Ensure that instructional strategies, curriculum, assessments, and methodologies be aligned to CASAS content standards.

SECTION IV: ACCOUNTABILITY

- Program Performance25
 - Iowa Adult Education and Literacy Performance Measures26
 - Coordinator Responsibility.....28
- Continuous Improvement Planning – Local Extension Plan.....30
 - Iowa’s Continuous Improvement Benchmark Model31
- Participatory Planning Committee31
- Monitoring Program Performance32
 - Monitoring Tool.....33
 - Monitoring Schedule for PY 2013.....34

Program Performance

As financial support for adult education tightens, the need to demonstrate program performance at the state and local levels becomes critical. It is not enough to provide instruction and trust that students are learning something. Since Iowa's AEL programs participate in performance based funding it is important to be able to collect the program's data. Being accountable for the use of adult education resources requires coordinators to know how program performance is measured, understand how results compare to performance standards, and to continually make improvements in instruction and classroom management. When faced with limited program resources, the challenge as an Iowa AEL coordinator is not necessarily about doing more with less, but about doing better with available resources.

The Adult Education and Family Literacy Act (AEFLA) established accountability requirements as one means of determining program effectiveness. The National Reporting System is used to measure those accountability requirements in five types of **core measures**:

- **Outcome Measures** include educational gains, entered employment, retained employment, receipt of secondary credential or GED® credential, and placement in postsecondary training.
- **Demographic Measures** include race, ethnicity, gender, and age.
- **Student Status Measures** include labor force status, public assistance status, disability status, rural residency status, and highest degree or level of school completed.
- **Participation Measures** include contact hours and enrollment in instructional programs for special populations or topics (such as family literacy or workplace literacy).
- **Teacher Status Measures** include total years of experience and teacher certification.

Iowa AEL programs are responsible for all the required federal benchmarks negotiated as negotiated by the state. As required by federal law, each state annually negotiates performance standards for the **core outcome measures** to be applied to the upcoming fiscal/program year. Iowa's negotiated performance standards are found in Iowa's [2013 State Plan Extension](#).

The chart on the following pages compares the performance levels required for this program year to the previous year.

For additional information

NRS Tips: NRS Changes for PY 2012:

<http://www.nrsweb.org/docs/tips/NRSChangesPY2012.docx>

Data Dictionary:

http://educateiowa.gov/index.php?option=com_docman&task=doc_download&gid=13900&Itemid=5111

IOWA ADULT BASIC EDUCATION PERFORMANCE MEASURES		
Core Indicator #1:	Demonstrated Improvements in literacy skill levels in reading, writing, and speaking the English language, numeracy problem-solving, English Language acquisition, and other literacy skills.	
	PY12 Target	PY13 Target
Measure 1	51% of ABE beginning literacy level (EFL1) learners will acquire the level of basic skills needed to complete the educational functioning level.	30% of ABE beginning literacy level (EFL1) learners will acquire the level of basic skills needed to complete the educational functioning level.
Measure 2	41% of ABE beginning level (EFL 2) learners will acquire the level of basic skills needed to complete the educational functioning level.	40% of ABE beginning level (EFL 2) learners will acquire the level of basic skills needed to complete the educational functioning level.
Measure 3	39% of ABE low intermediate level (EFL 3) learners will acquire the level of basic skills needed to complete the educational functioning level.	40% of ABE low intermediate level (EFL 3) learners will acquire the level of basic skills needed to complete the educational functioning level.
Measure 4	31% of ABE high intermediate level (EFL 4) learners will acquire the level of basic skills needed to complete the educational functioning level.	32% of ABE high intermediate (EFL 4) level learners will acquire the level of basic skills needed to complete the educational functioning level.
Measure 5	40% of ASE low (EFL 5) learners will acquire the level of basic skills needed to complete the educational functioning level.	30% of ASE low (EFL 5) learners will acquire the level of basic skills needed to complete the educational functioning level.
Measure 6	N/A (the Federal government does not recognize completion of level 6) ASE high (EFL 6) learners will acquire the level of basic skills needed to complete the educational functioning level.	N/A (the Federal government does not recognize completion of level 6) ASE high (EFL 6) learners will acquire the level of basic skills needed to complete the educational functioning level.
Measure 7	41% of ESL beginning literacy level (EFL 7) learners will acquire the level of basic skills needed to complete the educational functioning level.	45% of ESL beginning literacy level (EFL 7) learners will acquire the level of basic skills needed to complete the educational functioning level.
Measure 8	52% of ESL low beginning level (EFL 8) learners will acquire the level of basic skills needed to complete the educational functioning level.	50% of ESL low beginning level (EFL 8) learners will acquire the level of basic skills needed to complete the educational functioning level.
Measure 9	48% of high beginning ESL level (EFL 9) learners will acquire the level of basic	50% of ESL high beginning level (EFL 9) learners will acquire the level of basic skills

	skills needed to complete the educational functioning level.	needed to complete the educational functioning level.
IOWA ADULT BASIC EDUCATION PERFORMANCE MEASURES		
Core Indicator #1:	Demonstrated Improvements in literacy skill levels in reading, writing, and speaking the English language, numeracy problem-solving, English Language acquisition, and other literacy skills.	
	PY12 Target	PY13 Target
Measure 10	47% of ESL low intermediate level (EFL 10) learners will acquire the level of basic skills needed to complete the educational functioning level.	47% of ESL low intermediate level (EFL 10) learners will acquire the level of basic skills needed to complete the educational functioning level.
Measure 11	42% of ESL high intermediate level (EFL 11) learners will acquire the level of basic skills needed to complete the educational functioning level.	40% of ESL high intermediate level (EFL 11) learners will acquire the level of basic skills needed to complete the educational functioning level.
Measure 12	25% of ESL advanced level (EFL 12) learners will acquire the level of basic skills needed to complete the educational functioning level.	25% of ESL advanced level (EFL 12) learners will acquire the level of basic skills needed to complete the educational functioning level.
Core Indicator #2:	Placement in, retention in, or completion of unsubsidized employment or postsecondary education/training.	
Measure 1	86% of unemployed adult learners with a primary or secondary goal of obtaining unsubsidized employment (and available for work) will obtain unsubsidized employment.	48% of unemployed adult learners in the labor force upon entry who exit during the program year will obtain unsubsidized employment.
Measure 2	86% of adults with a primary or secondary goal of retaining their current job will be retained on the job.	69% of adult learners employed at entry who exit during the program year; and learners who were not employed at time of entry and in the labor force , who are employed at the first quarter after exit quarter , will retain their job.

Measure 3	50% of adult learners with a primary or secondary goal of entering postsecondary education or job training will enroll in further postsecondary academic or vocational programs.	49% of adult learners who have earned a secondary credential (GED [®]) while enrolled, hold a secondary credential (H.S. or GED [®] diploma) at entry, or are enrolled in a class specifically designed for transitioning to community college (i.e., program type: transition class), who exit during the program year will enroll in further postsecondary academic or vocational programs.
Core Indicator #3: Receipt of a secondary school diploma or its recognized equivalent.		
Measure 1	86% of all students with a primary or secondary goal of passing the GED[®] will earn a high school diploma or recognized equivalent.	77% of adult learners who take all GED [®] tests, or are enrolled in adult high school at the high Adult Secondary Education (EFL 6) level, who exit during the program year, will pass the GED[®] .

Coordinator Responsibility

Federal funding of Iowa’s Adult Education and Literacy programs requires that programs demonstrate accountability through accurate record keeping. Coordinators are responsible for collecting, maintaining, and providing information that proves the quality of your program. Programs are on the front lines of the data collection system and should allocate sufficient resources, including both staff and funds, to collect information from students—the descriptive, participative, and outcome measures that comprise the TOPSpro/TE database.

For this data to be meaningful on a statewide and national basis data collection procedures within Iowa must be standardized among all programs; that is, **the data must be defined and collected in the same way by all programs to make it comparable**. The state annually updates the [Iowa Data Dictionary](#) for this purpose.

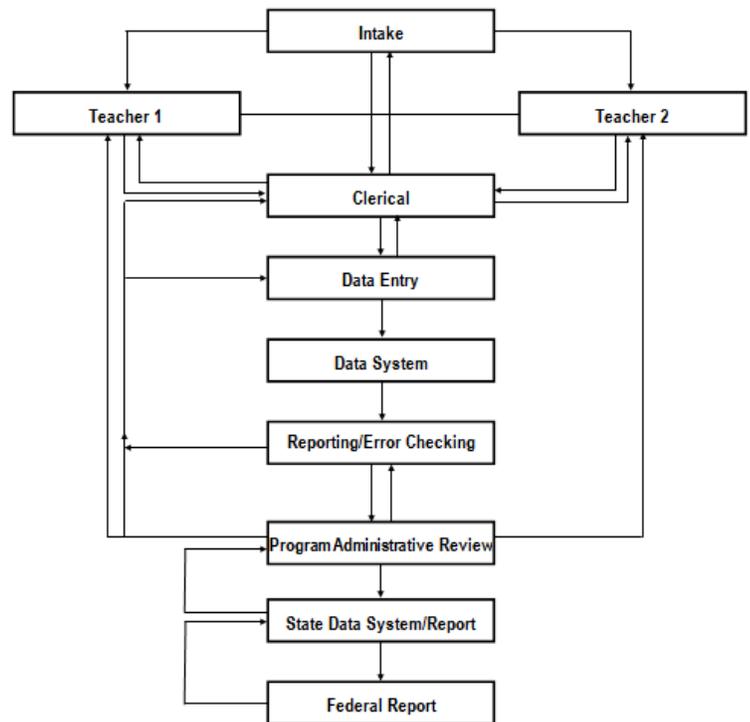
In addition, if program staff needs ongoing training and assistance in:

- Understanding the definitions of each measure and having clear guidelines on how to record these measures, including how to handle missing or incomplete data,
- Understanding of and compliance with the state-defined procedures for assessing students for placement into educational functioning levels and assessing progress,
- Understanding how to correctly record and report data to the state,

programs are able to submit requests to the state for additional training.

It is vital that coordinators are able to collaborate that no matter who collects the data or when data are collected, the same data collection procedures is consistently implemented. Coordinators should know their flow of data collection as illustrated by NRS’s exhibit “Local Data Collection: A Model” and by making corrective measures necessary to achieve the three components to collecting valid and reliable data: (1) a well-planned, effective process; (2) resources to implement the process; and (3) clearly defined procedures for collecting each measure. Like other processes, data collection requires planning, constant attention, oversight, and fine-tuning through monitoring, error checking, and training. With a sound, well-planned process, sufficient resources, and oversight, the program can have a data collection system that produces valid and reliable data to assist program management and promote improvement.

Local Data Collection: A Model



Data collection is a complex activity—mistakes and missing data can happen. For example, staff may fail to complete forms fully because of high workload or simple oversight, or the required information may not be available when it is needed. The data collection system must have procedures for checking data for completeness and accuracy at several points during the process. Data checking should follow a regular, prescribed schedule with clear deadlines. More than one staff person should be assigned to perform these data checking functions, and these functions should be made explicit in the staff job descriptions and throughout the program. The process should include a regular opportunity for the coordinator to review data reports. As the person most responsible, the coordinator may often be the only person in the program who can see the big picture and thus, brings a different perspective to the data review process. This review may raise further questions about data integrity, requiring another round of data checking and verification among the staff. The coordinator may share data reports with staff as a means to identify problems, track progress, and receive staff buy-in into the data collection process by demonstrating how data can be used for program management and improvement. [NRS Implementation Guidelines-updated 10/2012](#)

Continuous Improvement Planning - Local Extension Plans

In assessing program strengths and needs, each program should review their performance as part of their local extension plan submission as well as for their annual status update. The overall goal of continuous improvement planning and developing an annual local extension plan is to ensure the program is offering high quality services to students and to assist them in meeting their goals.

The continuous improvement planning process must be purposeful and intentional, as well as ongoing and systematic, in order that a program continually evaluates its efforts to improve its services. This is why a status report due in January of the program year will ask programs to report on their submitted local extension plan. An Adult Education and Literacy program with a planning process in place is better able to respond to changing community needs and demographics, new initiatives, trends in technology, and staff turnover. Key steps in the local extension plan process include:

- Assess program needs/strengths (The process looks at each component and the interrelationship of components within the program; e.g., intake, orientation, curriculum development, instruction, assessment, counseling, instruction, follow-up, etc.)
- Define and prioritize goals for program improvement, based on needs.
- Develop a continuous improvement (action/work) plan to meet goal(s) that incorporate individual staff development plans.
- Engage in activities to implement the plan in order to meet those goals and document these efforts.
- Evaluate efforts and progress (e.g., the effectiveness of the plan, making revisions as needed).

The activities listed above constitute a cycle of planning that guides the process of continuous improvement from one year to the next. The steps may be simple or involved. For example, the “assess program needs/strengths” step may be as straightforward as asking, “What is needed?” A more elaborate approach might involve a staff retreat, and a year-long extensive data collection activity. Large and small programs alike make these determinations based on their individual philosophies, identified goals, staffing, and the resources at their disposal.

Iowa Continuous Improvement Benchmark Model

In a presentation to Iowa's Adult Education programs, Barb Rolston and John Hartwig highlighted the purpose, characteristics, and overview of an adult basic education continuous improvement benchmark model. This presentation was to enable participants a chance to gain a better understanding of how to utilize the results of NRS core indicators in developing local improvement strategies while applying the principles of adult basic education.

For more information:

Iowa Continuous Improvement Benchmark Model - PowerPoint

Participatory Planning Committee

It is important for Iowa's Adult Education and Literacy programs to establish an advisory council or participate in a cross-agency collaborative council that addresses adult education concerns. These committees should hold meetings on a regular schedule that include AEL program concerns at least twice a year. Coordinators should keep meeting agendas and minutes on file for inclusion in lowagrants.gov status report due in January of the program year.

Committee members should represent local community groups such as:

- Postsecondary Educational Institutions (Career-Technical Programs, Community Colleges, Universities)
- Business and Industry (Local Businesses, Chamber of Commerce, etc.)
- Workforce Investment Board Partners, Bureau of Employment Programs, Workforce Center
- Human Services (DHS, HUD, Homeless Shelters, etc.)
- Family Services (Head Start, Even Start, Family Resource Network, University Extension Service etc.)
- Disability Services (Division of Vocational Rehabilitation Services, Learning Disability Association, mental health facilities)
- Employment Services (Workforce Investment Board, One Stop Centers, Job Services)
- Public School
- Library
- Volunteer Organizations and Service Clubs
- Other Community-Based Organizations (United Way, Senior Centers, Youth Services)
- Students and Instructors from the program

The Iowa statewide basic skills delivery system emphasizes a consortium approach for the delivery of basic literacy skills services to Iowa's eligible target populations. The consortium approach provides a comprehensive, integrated, seamless delivery system emphasizing cooperation and coordination of the different eligible providers referenced in Section 203(5) of the Act.

Each consortium utilizes a participatory planning committee (PPC) approach for the development of policy, governance, and equality in the distribution of basic literacy skills services throughout the community college district served by the respective consortium. Each PPC consists of 15-20 members representing all of the eligible providers and other

literacy partners within the consortium district as specified in Section 203(5) of the Act. Given the proven and effective delivery of basic literacy skills services through the consortium effort, priority will be given to those local providers who can effectively demonstrate an integrated approach to the delivery of basic literacy skills services. ([Participatory Planning Committee – Iowa Department of Education](#))

Use the participatory planning committee to:

- Facilitate collaboration, referrals, and networking among agencies serving the needs of adults with limited basic skills.
- Educate the community at large about the needs of this population.
- Assist your program with marketing, recruitment, student support services, special events (graduation and awards ceremonies), grant writing, and establishing information linkages.
- Provide input regarding appropriate course offerings and class locations and schedules.

Monitoring Program Performance

As outlined in the [2013 State Plan Extension](#) Section 4.1:

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 lowagrants.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.

To achieve the required evaluation of local adult basic education programs, Iowa conducts four to five site visits, on a rotating basis, along with desktop monitoring to all other sites annually. For more information refer to the [Local Plan Extension Application Guide](#) (pages 13-14). Further purposes include:

- Evaluate the program's progress to-date toward contracted goals and outcomes as agreed upon in the program's Local Plan Extension.
- Ensure that the funded program has qualified staff, procedures, and systems in place to achieve contracted outcomes.
- Ensure that the program is following Iowa's Assessment policies and procedures.

- Ensure that the data management system is producing accurate and reliable information.
- Assess a funded program’s instructional quality.
- Compare the program’s grant expenditures to-date with approved budget.
- Identify program strengths and areas needing improvement.

Monitoring Tool

For programs to prepare for both the site and desktop monitoring, the instrument used by the state is provided in the Appendix. The intent of both the site and desktop monitoring is to review and evaluate program records, accomplishments, organizational procedures, and financial control systems; to provide and identify needs for technical assistance. The monitoring will evaluate programs in the following areas:

- Category A:** Financial Monitoring
- Category B:** Program Monitoring
- Category C:** Data Monitoring
- Category D:** Classroom Observation (site visit only)
- Category E:** Self Assessment (2014)

The Monitoring Instrument uses several tools to collect information to be used in formative and summative performance data, as a review of program and fiscal policies to verify compliance with all federal and state mandates and requirements. The monitoring instrument was based on the twelve considerations referenced in WIA Title II (Sec. 231) as follows:

1. The degree to which the eligible provider will establish measurable goals for participant outcomes.
2. The past effectiveness of an eligible provider in improving the literacy skills of adults and families, and the success of an eligible provider receiving funding in meeting or exceeding the performance levels established for the state, especially with respect to those adults with the lowest 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:
 - a. Is of sufficient intensity and duration for participants to achieve substantial learning gains,
 - b. Uses instructional practices, such as phonemic awareness, systematic phonic, fluency, and
 - c. Has 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 activities coordinate with other available resources in the community, such as by 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 activities offer 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 activities maintain a high-quality information management system that has the capacity to report participant outcomes and to monitor program performance against the state eligible agency performance measures.
12. Whether the local communities have a demonstrated need for additional English literacy programs.

Monitoring Schedule for PY 2013

Desktop monitoring will be conducted throughout the grant period to identify whether grant recipients are performing in accordance with state and federal policies and regulations, as well as program expectations. Status Updates will be conducted on a biannual basis on lowagrants.gov. DE will monitor program performance in terms of meeting federal and state targets, sound management of grant resources, and compliance with DE policies. If questions or concerns arise from a desk review, DE staff will contact the reviewed program for further discussion.

Monitoring Desktop Schedule for PY 2013

<u>Date</u>	<u>Time</u>	<u>Program</u>
1/22/2013	1:30-2:30	WITCC
1/24/2013	10:00-11:00	KCC
1/30/2013	11:00-12:00	EICC
2/20/2013	9:30-10:30	IHCC
2/26/2013	2:00-3:00	NICC
3/4/2013	1:30-2:30	SWCC
3/6/2013	10:00-11:00	DMACC
3/15/2013	11:00-12:00	NCC
4/2/2013	2:00-3:00	SCC
4/23/2013	1:30-2:30	IVCC

Monitoring Site Visit Schedule PY 2013

<u>Date</u>	<u>Program</u>
2/27/2013	ICCC
3/13/2013	HCC
3/27/2013	ICCC SNOW DATE
4/10/2013	IWCC
4/24/2013	NIACC
5/8/2013	ILCC

Pursuant to *Iowa's Adult Literacy Program State Plan Extension Program Year 2013*, DE reserves the right, at all reasonable times, to conduct site visits to review and evaluate grant recipient records, accomplishments, organizational procedures, and financial control systems; to conduct interviews; and to provide technical assistance. All visits will be performed in such a manner as will not unduly disrupt the grant recipient's operations. In addition, 20 percent of the programs will 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.

Results

Based on the monitoring visit, checklist evidence, classroom observation and the general discussion between the monitoring team and the local program staff, the monitoring instrument will be summarized. The monitoring team will work with the local program to identify strengths, areas of concern, technical assistance needs and continuous improvement directives. This summary report will be provided within 30 days of our visit. A response by the local program to any corrective action required will be expected within 45 days.

SECTION V: PROGRAM FISCAL MANAGEMENT

- Fiscal Management.....36
 - Funding Formula.....36
 - Administrative and Indirect Costs36
 - Budgets37
 - Expenditures.....37
 - Program Income37
- Requests for Amendments and Reimbursements38
 - Supplementing.....40

Fiscal Management

Iowa receives its funding for adult education from the federal government. These funds are dedicated to providing the adult basic education and English literacy/civics education (EL/Civics) programs. The basic program, commonly referred to as the “Adult Education and Literacy program,” is the foundation of the services delivered by approved providers and includes the following three areas of instruction:

- Adult Education and Literacy (AEL)
- Adult Secondary Education (ASE)
- English as a Second Language (ESL)

The purpose of the EL/Civics program is to provide blended instruction in English language literacy and civics education that prepares non-native English speakers to fully participate in their communities. Each year, the federal government establishes a set-aside portion of AEL funding to be used in support of EL/Civics activities.

Funding Formula

The annual projected allocation of the federal AEFLA is based on a formula as identified in the [Iowa’s Adult Literacy Program State Plan Extension Program Year 2013](#) (page 16-17). 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, and
- 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 PY 2011’s outcomes and each eligible provider’s contribution to the targeted percentages.

The integrated English literacy and civics (EL/Civics) allocation will be based on a similar funding formula to the AEFLA 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.

Administrative and Indirect Costs

Pursuant to Section 233(a) of AEFLA, the local adult basic education program may budget administrative expenses for AEFLA-funded programs greater than the five percent when it is appropriate and reasonable, by negotiating with the Iowa Department of Education. The negotiated change in percent should include a written request and justification for the higher rate. There is no guarantee of approval for higher rates once funding has begun and each request will be considered individually.

The administrative expense also includes any indirect costs that the adult basic education program charges to the grant. Indirect costs are costs that can be rationally attributed to the running of a program, but cannot reasonably be assigned a direct cost. Examples might include a receptionist’s salary and communication costs.

Budgets

Coordinators are responsible for developing and maintaining their budgets that accurately reflect the planned activities for the adult basic education program. Only expenditures that support approved AEFLA activities may be budgeted. Budgets must be developed using standard state object codes.

Expenditures

Any adult education and literacy program expenditure deemed not allowable shall not be claimed for reimbursement and will be at the expense of the grant recipient. Under no circumstances may AEFLA funds be expended in support of GED®-testing-related activities including, but not limited to, testing, retesting, graduation ceremonies, testing vouchers, and scholarships. For additional information see [Iowa Fiscal Management Guidelines](#) and [FAQs for AEFLA Expenditures](#), both on the DE website. The coordinator should contact the Iowa Department of Education about any questionable expenditure.

Fiscal Management Guidelines

Applicable federal and state administrative requirements, cost principles, and audit requirements are incorporated into each grant award by reference. For educational institutions, the following apply.

- [Uniform Administrative Requirements for Grants and Agreements to State and Local Governments, 45 FR, Part 2541](#) (59 Fed. Reg. 155 published August 12, 1994)
- [OMB Circular A-21](#),
- OMB Circular A-133, [Audits of State and Local Governments and Non-Profit Organizations](#)

Unallowable Expenditures

As described previously, funds may not be used to support any unapproved activities. Additionally, stipends, allowances, post-service benefits, or other financial support may not be paid to any staff, except as reimbursement for transportation, meals, and other reasonable out-of-pocket expenses directly related to program participation.

Program Income

Adult Education and Literacy programs may collect tuition monies and/or fees. Tuition monies or fees collected must be reasonable and necessary and must not deter access to services. Such fees are regarded as program income, and must be tracked and expended carefully. Program income represents the "gross income received by the grant recipient or sub-recipient directly generated by a grant supported activity or earned as a result of the grant agreement during the grant period."

Program income must be used and reported by the coordinator in the Adult Education Financial Report (formerly ABE9) for end of year reporting. All income collected must be expended directly for the purposes of the AEFLA program. This includes support of classes, coordination, supervision, and general administration of full- and part-time adult education programs, including responsibilities associated with the finances of these programs. Expenditures must be tracked and reported within the state object codes used for the program's budget.

Requests for Amendments and Reimbursements

The Iowa Department of Education funds Adult Education and Literacy programs on a cost-reimbursement basis only. All reimbursements must be submitted appropriately according to the procedures outlined in lowagrants.gov. Coordinators will be able to submit quarterly:

Amendments

The following guidelines will help determine if a budget amendment is required:

Changes that can be made without approval by Iowa Department of Education:

1. Moving up to 10% of a budget between two line items within the same grant.
 - a. The exception is moving money *into* Salaries and Benefits (101 Personnel Services) without approval from DE.

Example: Program has a budget of \$67,000. A 10 percent or \$6,700 adjustment between budget areas within that budget is allowed without requesting approval from DE, as long as money is not moved into Salaries and Benefits.

- b. The 10 percent limit is accumulative, not “per instance.” That is, in the example above, \$6,700 may be moved throughout the year without requesting permission. \$6,700 may not be moved each time you adjust your budget.

Changes requiring approval from Iowa Department of Education:

1. Revisions that result in, or from, major structural changes require approval, even if they are less than 10 percent.

Example: You have made significant changes in curriculum for lower level classes and need to move money from travel into materials/supplies in order to purchase new textbooks.

- a. Moving more than 10 percent of a project budget between budget areas.
 - b. Moving funding between grant budgets (any two budgets with different ID #s)
 - c. Money into Salaries and Benefits (101 Personnel Services)

Explanation: Funds can only be moved into Salaries and Benefits if the program is expanding services (adding new classes, or expanding hours for existing classes). Programs cannot use the extra money to give raises or increase benefits, etc.

For all budget changes requiring approval by Iowa Department of Education, please submit a rationale on lowagrants.gov briefly explaining the changes and why they are necessary. With the rationale, include a revised budget. Multiple changes to a single budget may be submitted at one time. Submit changes for different project budgets separately and with a rationale for each.

After reviewing your request, Iowa Department of Education will negotiate back if revisions or clarifications are needed. If no revisions are needed, DE will approve on lowagrants.gov as well as send an approval in writing. The approval will include a letter labeled “Modification” for funding that is being moved within budgets.

Reimbursements

Each claim for reimbursement must be supported with documentation that, at a minimum, reflects the amount requested for each line item. The documentation will be reviewed by DE consultants to help ensure the expense claimed is an allowable use of the grant dollars.

Grantees must submit reimbursement claims on a quarterly basis.

July 1, 2012 – September 30, 2012; due **October 30, 2012**

October 1, 2012 – December 31, 2012; due **January 30, 2013**

January 1, 2013 – March 31, 2013; due **April 30, 2013**

April 1, 2013 – June 30, 2013; due **July 15, 2013** (final reimbursement request)

Attention: Once the Claim forms have been completed and submitted electronically, a printed copy must be signed and mailed to the Iowa Department of Education (an original signature is needed for auditing purposes).

Note: The form on lowagrants.gov is a three-part form; follow the instructions carefully!

For Part 1: Add an AEFLA, EL/Civics, Technology, or Teacher Training (Effectiveness) Claim Description by selecting the blue "Add" link for the given section. Once the individual fields are completed, select "Save." Repeat this process for each budget line item against which a claim is being submitted.

To edit a Claim Description after it has been added, select the link to the item located in the "Budget Category" column.

For Part 2: To complete the CASAS Materials Claim Description and Claimant Information sections, select "Edit" at the top of the screen. Once the individual fields are completed, select "Save."

For Part 3: Attach supporting documentation by selecting "Add" at the top of the screen; this will open a submission form. Within "Description" and the attachment ensure to reference the category (AEFLA, EL/Civics) and budget line item(s) (101 Personnel, 305 Office Material) for which the attachment applies. Once the document is located and the description is completed, select "Save" at the top of the screen.

To edit a description once saved, or to delete an added attachment, select the attachment's description. This will open the description field and also provide a delete option. After all claims, claimant information and supporting documents has been entered and saved, select the "Mark as Complete."

Supporting Documents: Each claim for reimbursement must be supported by adequate documentation. The list below describes the information the supporting documentation must provide:

For purchases: name of the vendor, date of purchase, and amount of expense must accompany all requests for reimbursement or payment.

For salaries and wages: the name of the person paid, the person's job classification, the amount paid, and the time period covered.

For travel reimbursement: a description of what the expense was for, who it was for, and the amount.

For any other payments: the information provided needs to describe where the money went, what it was for, and when it was spent.

The documentation containing the above information can be submitted in any format (e.g., summary report from the reporting entity's accounting system, spreadsheet, copy of invoices, etc.)

Supplementing

Federal funds may not be used to pay for services, staff, programs, or materials that would otherwise be paid with state or local funds. Supplement and not supplant determination is very case specific and it is difficult to provide a one size fits all guideline. The specific details of the situation need to be examined. *Supplement* means to increase the level of funds that would be made available, while *supplant* means to take the place of. A program can be presumed supplanting if federal funds used to provide services the state or local entity is required to make available under other federal, state, or local laws. Also, a program will be presumed supplanting if federal funds used to provide services that were supported by state or local funds in the prior year.

In general, if services would still have been required due to laws or regulations, then you cannot say that they are supplemental. The entity would have had to provide them regardless, so any use of federal funds would be considered supplanting.

Exceptions: The supplanting argument can be rebutted if the entity can demonstrate that it would not have provided the services in question with non-federal funds had the federal funds not been available. For example, state/local funds were eliminated in the current year because of state and local budget cuts. Documentation will need to be retained that confirms that this is the case.

APPENDICES

- Spotlight Calendar 42
- Annual Timeline..... 43
- Commonly Used Acronyms 44
- PY 2013 Coordinator Contacts* 45
- Student Interim Needs Assessment Survey 46
- Request for State Technical Assistance/Training for AEL Personnel..... 47
- Retention Self-Check 48
- *Personal Confidentiality Statement (Example)*..... 49
- FERPA Facts..... 51
- PY 2011 Adult Education Fact Sheet..... 52
- Monitoring Tool..... 54

Spotlight Calendar

The Iowa Public Television continues to host spotlights as partners to increasing Adult Education and Literacy awareness in Iowa. Below is the listing of colleges that will be highlighted during the upcoming months.

2012

OCTOBER	AREA 11, DMAACC
NOVEMBER	AREA 12, WITCC
DECEMBER	AREA 13, IWCC

2013

JANUARY	AREA 14, SWCC
FEBRUARY	AREA 15, IHCC
MARCH	AREA 16, SCC
APRIL	AREA 1, NICC
MAY	AREA 2, NIACC
JUNE	AREA 3, LICC
JULY	AREA 4, NCC
AUGUST	AREA 5, ICC
SEPTEMBER	AREA 6, IVCC
OCTOBER	AREA 7, HCC
NOVEMBER	AREA 9, EICC
DECEMBER	AREA 10, KCC

Annual Timeline

JULY – AUGUST 2012

**ALLOCATION AMOUNTS DETERMINED
AEFLA GRANT IS AWARDED**

SEPTEMBER – OCTOBER 2012

**1ST QUARTER REIMBURSEMENT CLAIMS DUE
ABE9 (ADULT EDUCATION FINANCIAL REPORT) DUE
YEAR END DATA DUE
GED® CONTRACTS PROCESSED**

NOVEMBER – DECEMBER 2012

**GEDTS SHIPS SECURE TESTING MATERIALS
ANNUAL REPORTING DUE TO OVAE (NRS TABLES, DATA QUALITY CHECKLIST, FINANCIAL REPORT AND
NARRATIVE-DE)**

JANUARY – FEBRUARY 2013

**AEFLA GRANT STATUS UPDATE DUE
2ND QUARTER REIMBURSEMENTS CLAIMS DUE
ANNUAL REPORT PREPARED (DE)
STATE BOARD PRESENTATION (DE)**

MARCH – APRIL 2013

**3RD QUARTER REIMBURSEMENTS CLAIMS DUE
NEGOTIATE PERFORMANCE BENCHMARKS WITH OVAE
STATE PLAN EXTENSION DUE
FUNDING ALLOCATION DETERMINED & SHARED WITH FIELD (DE)**

MAY – JUNE 2013

**LPE IS DUE
AEL CONFERENCE
4TH QUARTER REIMBURSEMENTS CLAIMS DUE**

JULY 2013

ALL REQUESTS FOR REIMBURSEMENTS DUE

3RD THURSDAY OF EVERY MONTH - COORDINATOR ADOBE CONNECT CONFERENCE

Commonly Used Acronyms

AEL	Adult Education and Literacy	DE	Iowa Department of Education
ADA	Americans with Disabilities Act (federal legislation)	IDEA	Individuals with Disabilities Education Act (federal legislation)
ADD	Attention Deficit Disorder	KeyTrain	WorkKeys preparation software
ADHD	Attention Deficit Hyperactivity Disorder	L&W	Life and Work (CASAS test) LEA
AE	Adult Education	LD	Local Educational Agency
AEC	Adult Education Coordinator	LEA	Learning Disability
CAELA	Center for Adult English Language Acquisition	LINCS	Local Educational Agency Literacy Information Communication System (national online resources)
CAI	Computer Assisted Instruction	LEP	Limited English Proficient
CASAS	Comprehensive Adult Student Assessment System (AEL and ESL standardized tests)	MC	Multiple Choice (test item type)
CBE	Competency Based Education	MIS	Management Information Service (computerized system for tracking information)
CBT	Computer-Based Testing	MS	Multiple Select (test item type)
CCRS	College and Career Readiness Standards	NALS	National Adult Literacy Survey NCAL
CCSS	Common Core State Standards	NCSALL	National Center on Adult Literacy
CBO	Community Based Organization	NRS	National Center for the Study of Adult Learning and Literacy
CIMS	Continuous Improvement Monitoring System	OPT	National Reporting System
COABE	Commission on Adult Basic Education (national professional organization)	OVAE	Official GED Practice Test™
CTE	Career and Technical Education	PD	Office of Vocational and Adult Education (federal US DOE)
DAEL	Division of Adult Education and Literacy (federal agency at the US DOE)	PLATO	Professional Development
DE	Distance Education	ProLiteracy	Online basic skills curriculum
DOK	Depth of Knowledge (scale for determining cognitive complexity)	SA	Non-profit International Literacy Organization
DMR	Desktop Monitoring Report	TA	Short Answer (test item type) SBA
DRS	Division of Vocational Rehabilitation Services (Voc Rehab)	TANF	Smarter Balance Assessment
EFL	Educational Functioning Level (federal NRS level)	TE	Technical Assistance
ELL	English Language Learner	TESOL	Temporary Assistance for Needy Families (welfare program)
ER	Extended Response (test item type)	TOEFL	Technology-enhanced (test item type)
ESL	English as a Second Language	WIA	Teachers of English for Speakers of Other Languages (professional organization)
ESOL	English for Speakers of Other Languages	WIN	Test of English as a Foreign Language (ESL standardized test used for college entry)
FIB	Fill-in-the-blank (test item)	WorkKeys®	Workforce Investment Act of 1998 (federal legislation)
FFL	Federal Functioning Level (NRS educational level)	WIB	Workforce Investment Board
GED®	High school equivalency test	WIN	Career readiness courseware
GEDTS®	GED Testing Service®	WorkKeys®	Standardized job skills assessment

PY 2013 Coordinator Contacts

Updated 10/01/2012

Area	Coordinators	Address	Phone Number	Email
1	Sharon Speckhard	Dubuque Center for Education 700 Main Street Dubuque, IA 52001	(563) 557-8271 x108	Speckhas@nicc.edu
2	Mary Schultz	North Iowa Area Community College 500 College Drive Mason City, IA 50401	(641) 422-4176	schulmar@niacc.edu
3	Lisa Washington	Iowa Lakes Community College 3200 College Drive Emmetsburg, IA 50536	(712) 852-5257	lwashington@iowalakes.edu
4	Sara Breems-Diekevers	Northwest Iowa Community College 603 West Park St. Sheldon, IA 51201-1046	(712) 324-5061	sbreemsdiekevers@nwicc.edu
5	Ann Waynar	Iowa Central Community College One Triton Circle Fort Dodge, IA 50501	(515) 576-0099 ext. 2319	waynar@iowacentral.edu
6	Jennifer Wilson	Marshalltown Community College Iowa Valley Continuing Education 3702 S. Center St. Marshalltown, IA 50158	(641) 754-1348	Jennifer.Wilson@iavalley.edu
7	Sandy Jensen	Hawkeye Community College Metro Center 844 W. 4th St. Waterloo, IA 50702	(319) 234-5745	sjensen@hawkeyecollege.edu
9	Peggy Garrison	Career Assistance Center 627 W. Second St. Davenport, IA 52801	(563) 326-5319	pgarrison@eicc.edu rison@eicc.edu
10	Marcel Kielkucki	1030 5th Avenue SE Suite LL100 Cedar Rapids, IA 52403	(319) 784-1513	mkielku@kirkwood.edu
11	Rick Carpenter	DMACC Success Center 800 Porter Ave. Des Moines, IA 50315	(515) 287-8701	hrcarpenter@dmacc.edu
12	Lily Bonilla Pam Woolridge	Western Iowa Tech Community College 4647 Stone Ave. Sioux City, IA 51106	(712) 274-8733 x1488 (712) 274-8733 x1854 (712) 274-8733 x1492	bonilll@witcc.edu WoolriP@witcc.edu
13	Terri Amaral	IWCC Adult Learning Center 300 W. Broadway, Ste. 12 Council Bluffs, IA 51503	(712) 325-3267	tamaral@iwcc.edu
14	Darla Helm	Southwestern Community College 1501 W Townline St. Creston, IA 50801	(641) 782-1497	dhelm@swcciowa.edu
15	Raeann Wyngarden	Indian Hills Community College Community Ed. Center 15260 Truman Street, Suite #2 Ottumwa, IA 52501	(641) 683-5181 w (641) 683-5225 f	rwyngard@indianhills.edu
16	Teresa Garcia	Southeastern Community College 1500 W. Agency RD P.O. Box 180 West Burlington, IA 50265	(319) 208-5160	tgarcia@scciowa.edu

Student Interim Needs Assessment Survey

1. **How long have you been attending this class?**
_____ days _____ months _____ years
2. **How often do you attend?**
(A) always (B) often (C) sometimes (D) rarely (E) never
3. **If you circled (B) or (C) above, what prevents you from attending always?**
(A) lack of child care
(B) lack of transportation
(C) partner would disapprove
(D) pride
(E) fear of failure
(F) other: _____
4. **Why did you enroll in this class?**
(A) to obtain a GED® test credential
(B) to obtain skills to help me find a job
(C) to obtain skills to help me keep my current job
(D) to obtain skills to help me find a better job
(E) for personal growth (budgeting, parenting, etc.)
(F) to obtain skills to enroll in college or vocational school
5. **Have you obtained any of these goals?**
(A) yes (B) no
6. **Have you set other goals since you enrolled in this class? Explain.**

7. **How could this program better meet your needs?**

8. **Do you and your instructor periodically review your needs/goals to determine if they are being met?**
(A) yes (B) no
9. **Does your instructor provide lessons using the correct learning style for you in a way that is easy to understand?**
(A) always (B) often (C) sometimes (D) rarely (E) Never
10. **Does your instructor provide feedback to you regarding your progress?**
(A) yes (B) no

11. **Do you feel like you are “a part” of the class and the adult education program?**
(A) always (B) often (C) sometimes (D) rarely (E) never
12. **Does your instructor provide information about community agencies that could provide a service to you?**
(A) always (B) often (C) sometimes (D) rarely (E) never
13. **Does your instructor encourage you to continue your education by attending vocational programs or college?**
(A) always (B) often (C) sometimes (D) rarely (E) never
14. **Does your instructor provide information on how to apply and interview for a job?**
(A) always (B) often (C) sometimes (D) rarely (E) never
15. **Does your instructor treat you as an adult and with respect?**
(A) always (B) often (C) sometimes (D) rarely (E) never
16. **Do you feel comfortable asking your instructor for guidance with everyday problems?**
(A) yes (B) no
17. **Would you tell others about this program and urge them to attend?**
(A) yes (B) no; why not? _____

Use this space to write any comments you have about this program:

Class location: _____

Date: _____

Request for State TA/Training for AEL Personnel



PROGRAM INFORMATION: COORDINATOR MAKING THE REQUEST

NAME:

EMAIL:

PHONE:

TYPE OF TECHNICAL ASSISTANCE REQUIRED (CHECK ALL THAT APPLY.)

TE/EO

GED®

AEFLA/AEL

ESL/EL CIVICS

FISCAL MANAGEMENT

OTHER _____

PREFERRED DELIVERY:

WEBINAR

FACE TO FACE

OTHER _____

TYPE OF SPECIALTY TRAINING NEEDED (CHECK ALL THAT APPLY.)

CASAS IT REFRESHER

AEL/GED®

ESL/EL CIVICS

COLLEGE TRANSITION

AEL COORDINATOR

OTHER _____

PREFERRED DELIVERY:

WEBINAR

FACE TO FACE

OTHER _____

PREFERRED DELIVERY BY:

SPRING

FALL

AEL CONFERENCE

COORDINATOR CALL

MONITORING VISIT

OTHER _____

RETENTION SELF-CHECK

AN EASY METHOD FOR CALCULATING RETENTION RATES

STEP 1: IDENTIFY THE STUDENT TYPE (AEL, ESL, GENDER) THAT YOU WANT TO CALCULATE THE RETENTION RATE (SEE PERFORMANCE REPORT).

STEP 2: IDENTIFY THE TOTAL NUMBER OF STUDENTS ENROLLED IN THE STUDENT TYPE DURING THAT PERIOD OF TIME.

STEP 3: IDENTIFY THE TOTAL NUMBER OF STUDENTS WHO EITHER COMPLETED THE GOAL AT THE END OF THE TIME FRAME.

STEP 4: DIVIDE THE TOTAL NUMBER OF STUDENTS FROM ITEM 3 BY THE TOTAL NUMBER OF STUDENTS IN ITEM 2.

STEP 5: CHANGE YOUR DECIMAL TO A PERCENTAGE.

EXAMPLE:

THIRTY STUDENTS ENROLLED IN Ms. QUIRE'S CLASS DURING THE FIRST WEEK OF SCHOOL.

AT THE END OF THE FIRST NINE WEEKS, 4 STUDENTS HAD COMPLETED THE CLASS AND 5 STUDENTS WERE CONTINUING THEIR WORK. DIVIDE 9 BY 30 AND THE RETENTION RATE = .30 OR 30%.

IOWA'S ADULT EDUCATION AND LITERACY

PERSONAL CONFIDENTIALITY STATEMENT

This form must be completed by the local AEL program coordinator and any AEL staff receiving restricted or confidential data from participants in AEFLA funded program as a result of data matches conducted for state and federal reporting. The data is to be used for the sole purpose of establishing and evaluating state and federal reporting on student performance measures related to gaining and retaining employment, enrolling in postsecondary education and training, and obtaining a GED.

I, _____, am an employee of _____, which has entered into an Agreement for the Release of Confidential Information with the Chancellor. I understand that in the course of my employment I may have access to confidential information from participants that will be used by the Iowa Department of Education to perform data match as required by the Adult Education and Family Act, Title II of the *Workforce Investment Act (WIA) of 1998*. These records contain student-specific information including social security numbers. Information will be shared with Iowa Workforce Development, the National Student Clearing House, and GED® data systems for the purpose ***No other use will be made of confidential data without a written consent by the participant on file.***

In connection with access to any confidential information furnished by the above, I acknowledge and agree to abide by the terms of the following assurances:

- I will access and use the confidential information only as necessary for the performance of my official job duties and only for the purpose(s) of carrying out the obligations as defined by the AEL reporting requirements.
- I will establish or enforce policies and procedures for safeguarding the confidentiality of such data, including but not limited to staff safeguards, physical safeguards and technical safeguards. Individuals may be civilly or criminally liable for improper disclosure.
- I will store the confidential information only on my employer's premises in an area that is physically safe from access by unauthorized persons during duty hours, as well as non-duty hours or when not in use.
- I will process the information and any records created from the information in a manner that will protect confidentiality by direct or indirect means, and in such a way that unauthorized persons cannot retrieve the information by any means.
- I will retain identifiable records only for the period of time required and will then destroy the records. (Data should not be needed once final changes are made in TE™ from the last data match for each fiscal year, usually an 18 month period (for example, July 1, 2012 – December 31, 2013).
- I will immediately notify the State AEL Program of *any* suspected or actual violation of confidentiality.
- I will inform the State AEL Program when I no longer need restricted access to data match information provided by participants.

- I have read the above-cited agreement and will comply with the terms, including but not limited to, the following: protecting the confidentiality of my personal access codes (e.g., username, password, etc.); securing computer equipment, memory devices and offices where confidential data may be kept; verifying that individuals requesting access to the data are authorized to receive them; and following procedures for the timely destruction of the data.
- I understand if I violate any confidentiality provisions, my access privileges may immediately be suspended or terminated.

By signing below, I acknowledge that I have read and understand the information about the confidentiality requirements for the data gathered from participants and shared with Iowa's Department of Education; Iowa Workforce Development; and the National Student Clearing House, and I will adhere to them. I understand the possible penalties for failure to comply.

Signature: _____ Date: _____

Printed Name/Title: _____

Agency/Co. Name/Address: _____

Telephone/Fax/Email Address: _____

Please return this completed signed form for each staff person approved for direct access to Personal Confidential Information to:

The Adult Education and Literacy Team
c/o – Amy Vybiral, Program Consultant
amy.vybiral@iowa.gov
(email confirmation of receipt from Amy Vybiral)

FERPA FACTS

FERPA is the Family Educational Rights and Privacy Act enacted in 1974 that protects students' educational records and gives them the following rights:

- Right to review and inspect educational records maintained by the institution
- Right to seek amendment to any portion of an educational record
- Right to have some control over the disclosure of information
- Right to obtain a copy of the College's FERPA Policy
- Right to file a complaint with the DOE Family Policy Compliance Office in Washington, DC

FERPA rights are assigned to all students once they enroll in postsecondary education, including Adult Education and ESL students.

Educational Records include Directory Information and Personally Identifiable Information.

Directory Information is defined by the institution and is not considered to be an invasion of privacy. This information may be disclosed without the student's permission to any reasonable written inquiry.

Directory Information is:

- **Name**
- **Address**
- **Email Address**
- **Phone Number**
- **Course of Study**
- **Dates of Attendance**
- **Previous school experience**
- **Date/Place of Birth**

Students who wish to prevent the release of Directory Information under any circumstances, can protect all of their Educational Records by completing a Non-Disclosure form. (This can be created at the local program level with technical assistance from the State.)

Personally Identifiable Information is information that is related to and can easily identify a student. Personally Identifiable Information cannot be disclosed to any third party inquiry without the student's written permission. With data match, this information is shared with a third party and, therefore consent is required to be in compliance with section 212 of the Adult Education and Family Literacy Act.

Personally Identifiable Information includes:

- **Social Security Number**
- **Student ID Number**
- **Gender**
- **Class Schedule**
- **Race**
- **Test Scores**

As a special reminder, please remember that **Faculty cannot:**

- **Discuss the progress of a Student with anyone (including parents) other than the Student without the written permission of the Student.**
- **Use any portion of a Student's SSN or Student ID in any public manner.**
- **Link the name of a Student with that Student's SSN or Student ID in any public manner.**
- **Use a Student's SSN or Student ID in an email subject line or body of the email message.**
- **Discuss a Student's record over the phone with any third party without permission from the Student.**
- **Leave graded tests in a stack for Students to sort through to pick up their individual test.**
- **Distribute a printed Class List of Student Names with any identifiable data to a third party.**
- **Provide a list of Students with Personally Identifiable Information for any commercial purpose.**
- **Provide a Student Schedule or assist any non College employee in locating a Student on campus.**

Thank you for your part in keeping FERPA compliant!

Additional FERPA information available online at
<http://www.ed.gov/policy/gen/guid/fpc/index.html>

What are some key numbers related to adult literacy in Iowa?

- The GED® pass rate in Iowa in 2012 was **98.6%**.
- There has been a **17.9%** drop in federal funding to adult literacy from 2003-2012.
- According to 2011 census data, there are **228,530** Iowa adults without a high school credential.
- Of the adults without a high school credential, **1.6%** passed the GED® tests in 2012. Many are still to be served.
- In 2012, **26,641** students were enrolled in adult literacy.
- In 2012, the ESL population has increased to **209,080**.
- Iowa's **students met their goals:**
 - **70%** of all students who set a goal of entering employment.
 - **86%** of all students who set a goal of retaining employment.
 - **88%** of all students who set a goal of obtaining a GED® or secondary diploma.
 - **70%** of all students who set a goal to enter postsecondary education or training.
- There were **3,719** GED® passers in Iowa in 2012.

The Mission of Iowa's Adult Literacy Statewide Program is to provide accessible, quality instruction that develops life, work and literacy skills.

The **RETURN ON INVESTMENT** in adult literacy is significant as indicated in the following statistics from **U.S. Census Bureau American Community Survey (2011):**

- ✓ Median annual earnings of 18-64 year olds, non-enrolled adults in the U.S. in 2005.
 - **\$21,529** for high school dropouts.
 - **\$26,876** for high school/GED® graduates.
 - **\$42,380** for bachelor degree holders.
 - **\$57,381** for master's degree or higher.
- ✓ Poverty rates for Iowans without a high school diploma was **23%** in 2011 compared with a poverty rate of **9%** for individuals with a bachelor's degree.
- ✓ Over the working-age lifetime, the gap between the net fiscal contributions of high school graduates and those without a high school diploma would be equal to **\$278,000**; the gap between high school graduates and bachelor degree holders would be **\$806,200**.

Iowa Department of Education, Bureau of Adult, Career, and Community College Education:

Alex Harris, State Director for Adult Literacy

515-281-3640 or
Alex.Harris@iowa.gov

Phyllis Hinton, State Staff Development Coordinator

515-281-4723 or
Phyllis.Hinton@iowa.gov

Amy Vybiral, Federal Data Reporting Consultant

515-339-4520 or
Amy.Vybiral@iowa.gov



2011 – 2012 Iowa Adult Literacy Fact Sheet

What is Adult Literacy Education?

Adult literacy is an education program serving adults, 16 years of age and older, who are functioning below the high school completion level with emphasis on **Reading, Numeracy, and English Literacy**.

Adult literacy educators work with each student to design an individual learning plan that responds to the student's needs and goals such as to:

- complete a high school or obtain a GED®;
- transfer to postsecondary or other training and education programs;
- get a job;
- obtain workforce skills necessary for successful employment;
- help their children with homework and be successful in school;
- get off welfare and achieve a family sustaining income and;
- learn the English language, understand U.S. culture, and participate in society.

According to the 2011 U.S. Census, over 34 million adults, 18 years and older, were without a high school diploma.

American Community Survey, 2011

How Much Does Education Pay in Iowa?

- ✓ In fact, the state can garner **\$3.70** in increased tax revenue for every dollar invested in an associate's degree and **\$2.40** for every dollar invested in a bachelor's degree for low-income adults.
- ✓ Iowans with a bachelor's degree, on average, earn **\$7.26** more an hour than those with a high school diploma.
- ✓ Unemployment and underemployment rates of Iowa workers without a high school diploma are more than **3 times** the rates among workers with some college education.
- ✓ Nearly **91%** of Iowans with a high school diploma, some community college, or a bachelor's degree, have health insurance coverage, compared with **9%** of Iowans with less than a high school diploma or GED®.
- ✓ Poverty rates for Iowans 25 years and older are lowest among college graduates, at **8.9%**, while **23%** of individuals with less than a high school diploma live in poverty.
- ✓ Almost **one-third** of Iowa workers earn less than the \$10.28 per hour wage needed for a full-time worker to keep a family of four above the poverty line.
- ✓ Iowans with a bachelor's degree report median annual earnings that are **49%** more than Iowans with less than a high school diploma or GED®.

Business

- ✓ American businesses lose more than **\$60 BILLION** in productivity each year due to employees' basic skill deficiencies.

No Child Left Behind

- ✓ Children of parents who are unemployed and have not completed high school are **5 times** more likely to drop out than children of employed parents.
- ✓ Children's literacy levels are strongly linked to the educational level of their parents.

Public Health

- ✓ **46%** of American adults cannot read and follow medical instructions.
- ✓ The American Medical Association says that individuals with low health literacy incur medical expenses that are up to **4 times** greater than patients with adequate literacy skills, costing the health care system **BILLIONS** of dollars every year.

Corrections

- ✓ Participation in correctional education reduces re-arrest, re-convictions, and re-incarceration.
- ✓ The U.S. Department of Education figures show that **75% of prison inmates and 85% of juveniles in correctional facilities are functionally illiterate.**

Adult Learners

- ✓ **33%** of current adult literacy enrollees are non-native English speakers seeking to improve English literacy and cultural understanding.
- ✓ Although limited English proficient adults constitute **5%** of the eligible population, they make up **33%** of Iowa adult literacy students.
- ✓ **50%** of adults without a high school diploma are learning disabled.

Where Does Iowa Stand?

- ★ *Higher education benefits not only individuals, but Iowa as a whole. College graduates are more likely to receive employer-provided health insurance and pensions, and pay taxes. They are healthier and less likely to be unemployed or poor, foster higher levels of educational attainment in their children, use fewer public resources, and are more likely to volunteer, vote and make charitable contributions.*
- ★ *Expanding access to education and training for low-wage workers is particularly important when economic prospects are dim. An investment in workforce skills would prepare Iowans for the future and contribute to rebuilding our economy.*

The Iowa Policy Project, www.iowapolicyproject.org



IOWA LAKES COMMUNITY COLLEGE'S SUCCESS CENTER IS THE FIRST STEP TO MAKING DREAMS COME TRUE!

Rondi Miller completed her GED® in 2008 and went on to graduate with her Practical Nursing Diploma. She received her Associates of Applied Sciences (A.A.S.) degree in December of 2011.

Iowa AEFLA Monitoring Tools PY 2013

Review of Recommendations 2012	Reviewers' Comments/Guidance	Methods of Collection/Examples of Documentary Evidence
1. Based upon last year's recommendations:.... What program actions have been taken?		
2. What assistance is needed from the state to further the process?		
A. Financial Monitoring	Reviewers' Comments/Guidance	Methods of Collection/Examples of Documentary Evidence
1. Is the administrative percentage within 5% or the negotiated percentage rate? Yes No		
• Documentation/process in place? Yes No		
2. Does the amount used for Corrections and Institutions fall within a 10% cap? Yes No		
• Documentation/process in place? Yes No		
3. Does program generate income ? Yes No		
Documentation/process in place- if yes.		
• Are fees reasonable and appropriate for grant? Yes No		
• Documentation/process in place? Yes No		
• Is income put back into Adult Literacy program ? Yes No		
• Documentation/process in place? Yes No		
4. Are funds used to supplement and not supplant? Yes No		
• Documentation/process in place? Yes No		
5. Does program track time and effort for grant? Yes No		
• Time and Effort documentation/process in place? Yes No		
• If employees are paid from multiple sources, is the distribution of their salaries documented by their time sheets? Yes No		
• Documentation/process is in place. Yes No		
6. Are records retained for 5 years ? Yes No		
• Documentation/process in place? Yes No		
7. Are all the activities performed by the program an allowable use of AEFLA funds? Yes No		
• Documentation/process is in place. Yes No		
8. How is staff development financed? Yes No		
• Documentation/process is in place. Yes No		

B. Program Monitoring	Reviewers' Comments/Guidance	Methods of Collection/Examples of Documentary Evidence
1. Does program address intensity and duration of classes? How? ● Documentation: Yes No		
2. Does program collaborate with other agencies/entities? ● Is there a referral process to and from the One-Stop and does it result in improved services to clients? ● Documentation: Yes No ● Is the program actively involved in developing the local 5-year plan and MOU for Title I services with the local Workforce Development Board? ● Documentation: Yes No		
3. What is the program's targeted measurable goal (benchmark) for the current year? Is program achieving it? ● Documentation: Yes No		
4. What strategies does the program use to affect goal achievement? ● Documentation: Yes No		
5. How does the program contextualize and integrate instruction? ● Documentation: Yes No		
6. How does the program integrate technology? ● Documentation: Yes No		
7. What is/are the goal(s) for continuous quality improvement? Is program achieving it/them? ● Documentation: Yes No		
8. How do instructors engage students and ensure student success? ● Documentation: Yes No		
9. Does program have a procedure for communicating professional development needs to the State? ● Documentation: Yes No		
10. Do EL Civics funded activities integrate English Literacy and civics education? ● Documentation: Yes No		
11. Does program use research-based practices? ● Documentation: Yes No		

C. Data Monitoring	Reviewers' Comments/Guidance	Methods of Collection/Examples of Documentary Evidence
1. Are there procedures to collect student demographics?	Yes No	
Documentation/process in place- if yes.		
● Assessment:	Yes No	
● Documentation	Yes No	
● Attendance:	Yes No	
● Documentation:	Yes No	
● Pre-enrollment educational attainment (effective 7/1/12)	yes No	
● Documentation:	Yes No	
● Are there procedures for collecting teacher educational attainment?	Yes No	
● Documentation:	Yes No	
● Are there procedures for collecting teacher experience?	Yes No	
● Documentation:	Yes No	
● Are there procedures for collecting teacher credentials?	Yes No	
● Documentation:	Yes No	
2. Are there clear descriptions of staff roles and responsibilities for data collection?		
● Documentation:	Yes No	
3. Does program have established reporting timelines?		
● Documentation:	Yes No	
4. Does the program provide to the state accurate data to do data matching for the following cohorts		
● attained employment		
● Documentation:	Yes No	
● retained employment		
● Documentation:	Yes No	
● post secondary		
● Documentation:	Yes No	
● GED/secondary school diploma attainment		
● Documentation:	Yes No	
5. Does the program have policy and procedure for student intake?		
● Documentation:	Yes No	
6. Are staff aware of 2012 cohort changes?		
● Documentation:	Yes No	

C. Data Monitoring continued	Reviewers' Comments/Guidance	Methods of Collection/Examples of Documentary Evidence
7. Are students informed if program will conduct "student follow-up" for cohorts? • Documentation: Yes No		
8. Does the program require a confidentiality release form for goals that require follow-up? • Documentation: Yes No		
9. Do program and staff follow the state assessment policy? • Are they using appropriate assessments? • Documentation: Yes No • Are pre/post tests administered according to state policy? • Documentation: Yes No • Are staff administering assessments certified? • Documentation: Yes No • Are staff following appropriate test administration procedures? examples: timining, locator, proper forms • Documentation: Yes No		
10. Does program have a quality control procedure in place? • Does the program routinely perform database error checking (missing data) • Documentation: Yes No • Does the program have a policy for inputting data on a timely and regular schedule • Documentation: Yes No		
11. Does the program provide opportunity for staff development that supports NRS data implementation? • Documentation: Yes No		
12. What percentage of the grant is allocated to staff development related to the NRS? examples: benchmarks federal reporting CASAS federal tables • Documentation: Yes No		