

**IOWA**  
**ADULT EDUCATION**  
**AND LITERACY PROGRAM**

**STATE PLAN**  
**EXTENSION/REVISIONS**

**IOWA DEPARTMENT OF EDUCATION**



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

**PROGRAM YEAR 2014**  
**JULY 1, 2013 – JUNE 30, 2014**

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

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## PREFACE

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

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

**The major purposes of *Iowa's Adult Literacy Program State Plan Extension for Program Year 2014 (July 2013--June 2014)* are to:**

- Implement changes in the policy governing the state's information management system to address state specific needs aligned with the National Reporting System requirements.
- Align professional development activities with Iowa's Adult Education and Literacy (AEL) Professional Development Standards aimed at improving the educational gains of Iowa's adult learners through teacher quality.
- Launch a competitive grant for EL/Civic funds to all eligible providers while maintaining direct and equitable access in the spring of 2014. State leadership funds will continue to be used by local programs for targeted program initiatives (such as Student Achievement in Reading (STAR) and Teaching Excellence in Adult Literacy (TEAL) with open Requests for Applications (RFAs) available to current AEFLA funded programs.
- Target the growth of skills for adult learners in Iowa by expanding the efforts aimed at work readiness. These strategies will be an extension of lessons learned from two years of incentive funds partnered with current statewide grants and initiatives.
- Expand the use of Iowagrants as a web portal for the updated monitoring tool.

The plan extension is designed to update the *2013 Iowa's Adult Literacy State Plan* in line with the guidelines provided by the United States Department of Education: Division of Adult Education and Literacy (USDE:DAEL). This one-year extension plan includes assurances to the federal government and to the citizens of the state of Iowa, and establishes procedures, criteria, and priorities for use in approving local agency programs of adult education, English literacy, civics, and family literacy in all areas of the state.

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

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

The \_\_\_\_\_ Iowa Department of Education \_\_\_\_\_ (State Agency) of the State of  
\_\_\_\_\_ Iowa \_\_\_\_\_ hereby submits its revised State plan extension to be effective until  
June 30, 2014. The eligible agency also assures that this plan, which serves as an agreement between State  
and Federal Governments under the Adult Education and Family Literacy Act, will be administered in  
accordance with applicable Federal laws and regulations, including the following certifications and  
assurances.

**CERTIFICATIONS**

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

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

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

## ASSURANCES

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

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

1. The eligible agency will award not less than one grant to an eligible provider who offers flexible schedules and necessary support services (such as child care and transportation) to enable individuals, including individuals with disabilities, or individuals with other special needs, to participate in adult education and literacy activities, which eligible provider shall attempt to coordinate with support services that are not provided under this subtitle prior to using funds for adult education and literacy activities provided under this subtitle for support services.
2. Funds received under this subtitle will not be expended for any purpose other than for activities under this subtitle.
3. The eligible agency will expend the funds under this subtitle in a manner consistent with fiscal requirements in Section 241.

#### Section 241 Administrative Provisions

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

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

Iowa Department of Education

(State Agency)

Grimes State Office Building

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

Des Moines, Iowa 50319-0146

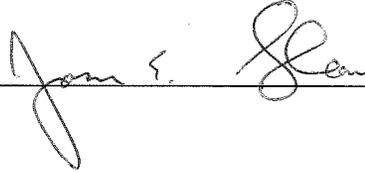
(Address)

By: \_\_\_\_\_

(Signature of Agency Head)

Director and Executive Officer of the State Board of Education

(Title)



3-28-13

(Date)

## ASSURANCES - NON-CONSTRUCTION PROGRAMS

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

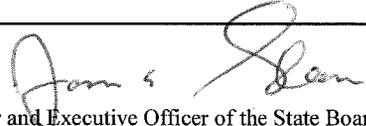
**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

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

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

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

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

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

## CERTIFICATION REGARDING LOBBYING

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

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

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

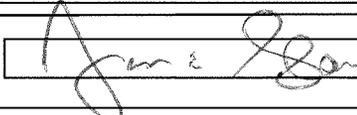
(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this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

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

### Statement for Loan Guarantees and Loan Insurance

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

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

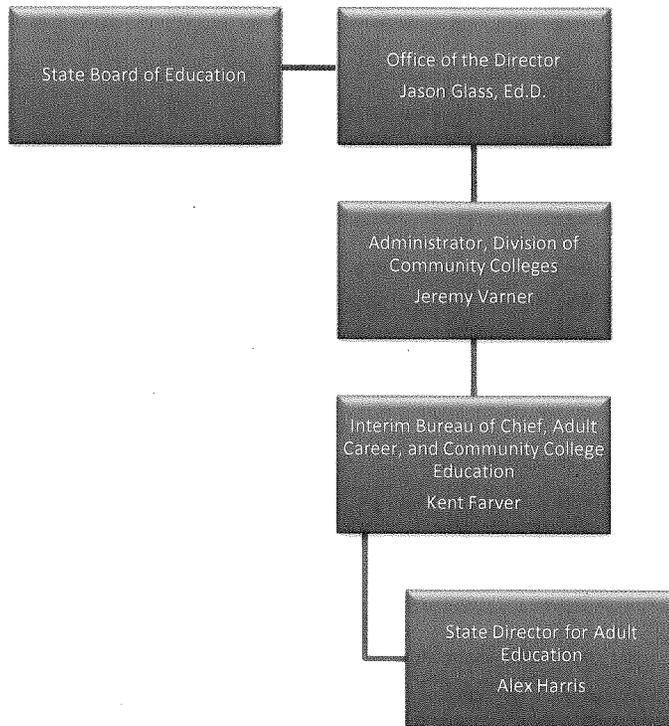
<b>* APPLICANT'S ORGANIZATION</b>	
Iowa Department of Education	
<b>* PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE</b>	
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* Last Name: <input type="text" value="Glass"/>	Suffix: <input type="text"/>
* Title: <input type="text" value="Director and Executive Officer of the State Board of Education"/>	
* SIGNATURE: 	* DATE: <input type="text" value="3.26.13"/>

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

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

3.3 Descriptions of New Organizational Arrangements and Changes

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



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

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

Each local program implemented under the provisions of the act will be evaluated by using formative and summative methods, monitored, and reviewed by the Iowa Department of Education (DE) adult education and literacy staff from the Bureau of Adult, Career, and Community College Education. Monitoring tools have been updated to include five sections (effective and piloted (Program Year) PY13):

- A. Financial Monitoring
- B. Program Management Monitoring
- C. Data Integrity and Implementation Monitoring
- D. Teacher Quality Monitoring
  - i. Classroom Observation; and
  - ii. Student Survey
- E. Self-Assessment
  - i. Program Data; and
  - ii. Local Program Management and Leadership Functions

The state adult education and literacy staff conducts on-going desktop expenditure compliance and an annual status update on performance of local programs through Iowagrants. 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.

Each desktop audit will include Financial, Program Management, and Data Integrity Monitoring. As Iowa has benefited from a state monitoring review conducted on February 11-14, 2013, increased attention in certain monitoring data integrity will be incorporated to ensure local program compliance with AEFLA (Sec. 212).. Within the first quarter of PY14 a revised *Iowa Adult Literacy Assessment Policy Guidelines* and *Iowa's Adult Literacy Data Dictionary* will be introduced establishing the following criteria for monitoring:

- Weekly entry and reporting of all NRS required data.
- Monthly entry of hours of instruction.
- Monthly exiting students absent from the program for 90 days with no scheduled services.

- Assignment of a college issued identification number.
- Collection of student social security number.
- Utilization of a process checklist for each student that aligns data activities associated with student program activity, from intake and goal-setting to assessment and hours of instructional intervention.
- Weekly evaluation of program effectiveness through data integrity reports to implementing strategies for program improvement.

Each program in this program year (PY) will also be required to participate in the self-assessment tools as it was piloted and refined in the previous program year. There will be an additional self-assessment tool developed and piloted in PY14 designed to increase understanding of the relationship between AEFLA requirements, NRS reporting, and the management information system, through a process checklist developed from the data quality checklist submitted by the state annually. These self-assessment tools are designed to help programs review data performance, as well as to identify mentoring capabilities of coordinators. This process will allow group collaboration and targeted professional development for program improvement. In addition to technical assistance with individual programs, a state-wide, NRS specific training, that incorporates management information system training related to data collection time-lines and data matching procedures, will be delivered the first quarter of state fiscal year 2014.

This past year has been the first opportunity to pilot the classroom observation and student survey. Five (5) sites will give feedback on the experience which will allow refining of the tool. The tool will be available for local programs to use as local classroom observation, as well as instructor self-assessment.

Evaluation reports are being tied to continuous improvement plans with required corrective action plans being submitted on Iowagrants.

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

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

To ensure optimization of investment of federal funds in adult education and literacy activities, the state adult education and literacy staff will assess the effectiveness of eligible providers' performance. In PY14, the assessment policy and data dictionary will be updated to ensure comprehensive data collection, to improve timely data input, and increase the use of program data

for determining program status and progress, statewide as well as by local program. Currently, Iowa is using a vendor product as the accountability system to track performance measures. This product has undergone significant changes in the past program year moving from server-based to web-based. As implementation of the system has gone statewide, systemic changes to the product and frequent updates have influenced the tracking and input of data. As a result of the product being designed for another state with state specific indicators, there are adjustments to Iowa's policy that will assist programs in using the vendor product to accurately track National Reporting System (NRS) required data elements. Iowa has started the process of tracking vendor issues and the vendor will work with Iowa to ensure an accountability system specific to National Reporting System (NRS) requirements by removing options not related to NRS. Iowa has executed a process at the state level of tracking local program implementation issues. Contact is made at least monthly with program coordinators and the state reviews data integrity ongoing to discuss technical assistance needs. through efficient policy and procedures methods will ensure improved data integrity that will be tracked at the state level at least quarterly.

Iowa has begun looking at ensuring data matching requirements are being strictly followed. This has included increasing the security and confidentiality of personally identifiable information (PII). Technical assistance and state guidance will be issued to help programs ensure that students are aware of the data matching process and that the needed data elements (mainly social security numbers) are being properly and timely collected.

To further ensure continuous improvement of adult education, English literacy and civics programs, the state adult education and literacy program will continue to focus the state's performance as driven by the negotiated benchmarks for Education Functioning Level (EFL) gains and core measures. The focus on these performance measures will help the adult education and literacy staff to determine program performance and to develop professional development for achieving student improvement within the state.

## 5.2 Additional Indicators

Efforts to establish Work Ready Initiatives, managed enrollment expansion, and the use of case management services will be explored by a task force of program coordinators, instructors, and partner agencies. These indicators will be explored by the state adult education and literacy staff as possible state indicators of best practice.

Work Ready Initiatives will partner with the recently received Trade Adjustment

Assistance Community College and Career Training (TAACCCT) grant, Iowa-Advanced Manufacturing (I-AM), to fund all adult education centers with the Key Train® curriculum. Adult education programs are able to use this curricula as a reportable distance education activity as participants prepare for the National Career Readiness Credential, which has been targeted by the Governor's Office and Iowa Workforce Development in the June 2012 Skilled Iowa Initiative release. The uses of this curriculum will allowable distance education to provide remedial assistance in achieving certificates indicating work readiness. In April 2013, Des Moines Area Community College (DMACC) entered into a partnership with United Way to explore Accelerating Opportunity type projects are currently funded in the neighboring states of Illinois and Kansas. These projects would pilot for Iowa a method of dual enrolling adult education participants in credit or non-credit credential earning programs.

Currently, four local adult education and literacy programs are piloting managed enrollment. With the introduction of STAR (Student Achievement in Reading), Iowa is providing guidance in expanding the paradigm shift from open entry exit enrollment to managed enrollment. Previously workshops were hosted from other state programs that shared the concept, but in July 2013 Iowa's own programs will be able to share experiences of how they were able to make the managed enrollment concept work for their participants.

Case management practices were implemented with incentive funds in the Adult Literacy Workforce Initiative (ALWI). In the past program year, the National Skills Coalition worked with community organizations to establish an Iowa Skills2Compete Coalition. This coalition consists of AMOS (A Mid-Iowa Organizing Strategy), Central Iowa Works, Iowa Association of Business and Industry, Iowa Association of Community College Presidents, Iowa Council of Foundations, and United Way. The coalition used the practices of ALWI to form a policy agenda to address Iowa's skills gap and build pathways to good jobs and economic security. The activities described as Pathways for Academic Career and Employment (PACE) navigators will encourage local adult education and literacy programs, (i.e., Kirkwood Community College) to continue case management efforts with AEFLA eligible participants.

### 5.3 Levels of Performance

As prescribed by the United States Department of Education, Division of Adult Education and Literacy, Office of Vocational and Adult Education, the following performance levels have been recommended for approval by Iowa's Department of Education adult education and literacy team for program year 2014. The goal for each level was developed on the basis of the state's performance by levels during program year 2011 and on the following:

- (a) continuous improvement of the data collection system;
- (b) curriculum frameworks and student performance standards; and
- (c) the changing demographics in local service areas of the state.

The performance targets for Iowa were negotiated as illustrated in Table 1: Iowa's Adult Literacy Program Benchmark Projections for program year 2014.

**Table 1**  
**Iowa's Adult Literacy Program**  
**Benchmark Projections for Program Year 2014**  
**(July 1, 2013 – June 30, 2014)**

FEDERAL BENCHMARKS	Program Year 2012 Performance	Program Year 2013 Target	Program Year 2014 Proposed Targets	Program Year 2014 Final Targets
ABE Beginning Literacy	21%	51%	34%	
ABE Beginning	22%	41%	33%	
ABE Low Intermediate	23%	39%	32%	
ABE High Intermediate	17%	31%	26%	
ASE Low	18%	40%	26%	
ESL Beginning Literacy	35%	41%	38%	
ESL Low Beginning Literacy	45%	52%	47%	
ESL High Beginning Literacy	38%	48%	42%	
ESL Low Intermediate	34%	47%	37%	
ESL High Intermediate	32%	42%	32%	
ESL Advanced	14%	25%	20%	
<b>Follow-up Core Measures - NRS</b>				
Entered Employment	48%	86%	48%	
Retained Employment	77%	86%	66%	
Earned GED or HS Completion	87%	86%	68%	
Entered Postsecondary Education or Training	51%	50%	50%	

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

### 6.1 Applications

Iowa will extend current grants for one year in program year 2014. Section 232 of The Adult Education and Family Literacy Act (AEFLA) requires that eligible providers desiring a grant or contract shall submit an application to the Iowa Department of Education (DE) containing information and assurances, including a description of:

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

#### 6.1.1 Allocation of Funds

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

- (1) Ninety percent (90 percent) of the funds available shall be allocated based on needs: institutional grant; target AEFLA population; and number of enrolled students served.
- (2) Ten percent (10 percent) of the funds available shall be allocated based on performance. This year will bring a stronger focus for the state of Iowa on federal benchmarks and core measures. Iowa will be basing the allocation on program year 2012's outcomes and each eligible provider's contribution to the targeted percentages.

Allocation amounts are generated as soon as the amount of available federal funds is known. Annual funding of adult education is subject to availability of funds from the federal government. The DE requires each applicant to provide at least 25 percent of eligible matching funds, cash or in-kind, to be used in providing

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

The integrated English literacy and civics (EL/Civics) allocation will be based on a similar funding formula to the AEFLA state grant allocation. By incorporating a performance-based funding focus for EL/Civics; Iowa is encouraging local programs to maintain accountability of students served by the grant. The needs based element of the funding formula will include EL/Civics enrollment, target EL/Civics population, and an institutional grant for each eligible provider. In PY 2015 as the grant application becomes open for competitive applicants, the funding basis will be reviewed by a committee to determine if performance funding is a viable option. The state adult education and literacy staff would recommend a prescribed allocation based on a cost per student with estimated enrollment numbers. Additional funds would be able to be drawn down based on benchmark attainment. This incentive funding with a base allotment would help to ensure new programs would follow the assessment policy guidelines with timely data submissions as it aligned with funding.

For state leadership funds specified as targeting program initiatives such as Student Achievement in Reading (STAR) and Teaching Excellence in Adult Literacy (TEAL) and with available carry-over funds, Iowa will offer open requests for applications (RFAs) available to AEFLA-funded programs. There might be requirements as specified in the program initiatives, such as managed enrollment for STAR, which must be met for review and approval of additional funding. The review process is outlined in section 6.4.

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

Eligible providers for the continuation grant and state leadership funds specified as targeting program initiatives will be the currently funded AEFLA programs. In PY 2015, through a competitive process, the EL/Civics grant will be open to: (1) a

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

### 6.3 Notice of Availability

Continuation notifications will be issued to local programs by email with a notice that the forms are available on Iowagrants. A packet of information detailing what is required for the application process will be included. Applications will be available in April with every effort made so that at least four to six weeks will be provided before the due date.

Notice for state leadership funds specified as targeting program initiatives for current funded AEFLA programs will be notified through a state distribution list and postings on the state adult education and literacy web page. The RFA will be paper-based and, if approved, will be attached electronically to the local program's continuation application on Iowagrants.gov with a corresponding increase to their funding allocation. Tying the program initiative fund as a separate budget, but linked to the continuation grant, allows one seamless method of tracking claims.

For open competitive grants, the Iowa Department of Education (DE) will publish a notice in the Des Moines Register, post a notice on the DE's and state of Iowa web site through the shop front of Iowagrants.gov with information on funding proposal application and due dates of the proposal. Information will be dispersed to every school district superintendent, every community college president, and community-based organizations who have requested funding information in the past.

## 6.4 Process

Adult education eligible providers for the continuation grant will submit local plan extensions electronically to the Division of Community Colleges, within the DE, in accordance with standard procedures and instructions. Applicants will use the [Iowagrants.gov](http://Iowagrants.gov) process to submit application for continuation. This application is done through a comprehensive web portal, which provides submission, tracking, review, and processing of local program's adult education and literacy grant applications. The state adult education and literacy staff believes [Iowagrants](http://Iowagrants.gov) to be an easy, efficient, and effective online grant management system for all discretionary and formula grants. Included in the extension are budget, needs assessment, program description, evaluation, staff qualifications and training schedules, and assurances.

State leadership funds that will be passed through to local programs will be administered through a Request for Application (RFA) process. This RFA will be specific to the purpose of the funds and include instructions for preparation, a timeline for submitting and deliverables, the review criteria, specific assurances, and other legal, fiscal, and program requirements.

The process that will be used to determine funding of continuous, incentive and competitive grant applications for AEFLA funds is as follows:

- A review committee will be established to determine which applicant will be funded. The review committee for incentive and continuation grants will consist of staff from the DE. Competitive grants will be reviewed by a combination of partners and community based individuals such as those that voluntarily serve on the Iowa Literacy Council, convened under Executive Order 12. Issues of conflict of interest will be addressed as committees are formed. Notification and scoring of applications will be shared on [Iowagrants](http://Iowagrants.gov) and for transparency can be reviewed by the applicant.

- The DE adult education and literacy staff will provide a workshop to address the review procedure for new review committee members for reviewing the competitive grant applications. New review committee members must participate in the workshop training. This workshop will provide committee members with an overview of AEFLA with a special emphasis on the elements that the reviewers must consider when determining successful applicants. The workshop will also include a review of the funding application and provide examples of the types of information that applicants will most likely be providing. In addition, the workshop will include a review of the scoring rubric.
- Each funding proposal will be reviewed by four committee members. Once chosen, if all requirements are addressed satisfactorily, then notification from the DE will be sent to the contact person. All funded grants will need to provide a detailed budget, needs assessment, program description, evaluation, staff qualifications and training schedules, and assurances.

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

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

- (1) The degree to which the eligible provider will establish measurable goals.
- (2) The past effectiveness of an eligible provider in improving the literacy skills of adults and families, and, in meeting or exceeding such performance measures, especially with regard to those adults with lower levels of literacy.

- (3) The commitment of the eligible provider to serve individuals in the community who are most in need of literacy services, including individuals who are low income or have minimal literacy skills.
- (4) Whether or not the program is of sufficient intensity and duration for participants to achieve substantial learning gains, and uses instructional practices, such as phonemic awareness, systematic phonics, fluency, and reading comprehension that research has proven to be effective in teaching individuals to read.
- (5) Whether the activities are built on a strong foundation of research and effective educational practice.
- (6) Whether the activities effectively employ advances in technology, as appropriate, including the use of computers.
- (7) Whether the activities provide learning in real life contexts to ensure that an individual has the skills needed to compete in the workplace and exercise the rights and responsibilities of citizenship.
- (8) Whether the activities are staffed by well-trained instructors, counselors, and administrators.
- (9) Whether the eligible provider coordinates with other available resources in the community, such as establishing strong links with elementary schools and secondary schools, postsecondary educational institutions, one-stop centers, job training programs, and social service agencies.
- (10) Whether the eligible provider offers flexible schedules and support services (such as child care and transportation) that are necessary to enable individuals, including individuals with disabilities or other special needs, to attend and complete programs.

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

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

## **7.0 Public Participation and Comment**

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

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

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

*(Not Revised)*

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

*(Not Revised)*

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

For the PY 2015, the EL/Civics grant will be competitively available for all eligible providers and every effort will be made to provide direct and equitable access to funds. Direct and equitable access includes: (1) the right to submit applications directly to (DE), and (2) a process for selecting recipients of funds that gives each applicant a fair chance to receive an award. This will be accomplished through the use of [Iowagrants.gov](http://Iowagrants.gov) grant management system and a review committee that includes partners and community-based individuals. There

is no cost for registering a user on Iowagrants online training in the use of the program is available, and the review system is transparent with scores and comments for improving applications stored in the system.

#### 10.2 Notice of Availability

Through the extensive procedures described in Section 6.3 of this plan, the DE ensures that all eligible providers have direct and equitable access to apply for competitive grants or contracts under this section (Sec. 231) (c). The public announcement of the availability of competitive funds is posted on several email discussion lists, on the state of Iowa website, the Iowagrants funding opportunity list – in which registered users receive system generated announcements, as well as being listed on the adult education and literacy page of the DE’s website. In addition, an announcement is officially placed in the Des Moines Register.

### **11.0 Programs for Corrections Education and other Institutionalized Individuals (Sec. 225) (Not Revised)**

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

##### 12.1 Description of Activities

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

- statewide implementation, adoption, and diffusion into adult literacy instructional strategies, methodologies and curriculum infusion;
  - programs’ participation on state leadership committee;
  - programs’ alignment of professional development to Iowa’s Adult Education and Literacy Professional Development Standards  
<http://bit.ly/IowaDepartmentofEducation>;
  - instructor professional development plans;
  - teacher effectiveness strategies, such as self-assessment, reflection/evaluations;

- long-term improvement in program outcomes measured by the state and local program's ability to continually meet negotiated benchmark levels; and
  - programs' Continuous Quality Improvement Plans for goals to meet benchmark levels (application on Iowagrants)
- adult learner assistance to effectively meet personal and program literacy goals.

The leadership committee, which consists of local program coordinators, adult education and literacy instructors and state staff, is designed to prioritize and coordinate state level staff development activities. This program year will see a number of changes to professional development as teacher effectiveness strategies are reviewed by the committee. Policy on professional development will help establish adult education and literacy expectations in the state. Professional development standards will assist programs in providing state approved targeted training that is aimed at improving quality instruction to adult learners. Monitoring of the use of professional development funds done by local programs will be accomplished through:

- 1) establishing in PY 2014 on Iowagrants.gov a method for local adult education and literacy programs to apply for state leadership funds year long instead of including it as part of their continuation application submitted in spring of 2013. This allows for greater flexibility and aligned use of funds with current identified needs. This process will follow the review steps as outlined in section 6.4; and
- 2) providing guidance to local adult education and literacy programs on the use and implementation of individual professional development plans with an accompanying activity log of those activities that can be used to correlate with quarterly claims.

# **Appendix A**

## **Correspondence from the Director of Iowa Department of Education Regarding Governor's Letter of Review and Comments**

Letter from Governor Branstad to  
Office of Vocational and Adult Education



# STATE OF IOWA

TERRY BRANSTAD, GOVERNOR  
KIM REYNOLDS, LT. GOVERNOR

DEPARTMENT OF EDUCATION  
JASON E. GLASS, DIRECTOR

March 25, 2013

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

Dear Governor Branstad and Lieutenant Governor Reynolds:

I am providing a copy of *Iowa's Adult Literacy State Plan Extension: Program Year 2014* for your review.

I am recommending this plan for review by the Governor and for the following reasons:

- This plan supports a strong, innovative adult literacy program.
- Iowa's adult literacy program is integrated with Iowa's community college system.
- Iowa's adult literacy program is research-based in terms of documenting learner needs and using proven instructional strategies.
- The positive results of Iowa's adult literacy program are well documented through consistent assessment and teaching of students through employment and wage studies.

I am proud to recommend this state plan extension for your approval and I am enthusiastic about its potential as part of a comprehensive plan to meet the learning needs of Iowans. I am requesting that your comments be forwarded to me by March 28, 2013.

Sincerely,

A handwritten signature in black ink that reads "Jason Glass".

Jason Glass  
Director

Grimes State Office Building - 400 E 14th St - Des Moines IA 50319-0146

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[www.iowa.gov/educate](http://www.iowa.gov/educate)

*Championing Excellence for all Iowa Students through Leadership and Service*



TERRY E. BRANSTAD  
GOVERNOR

OFFICE OF THE GOVERNOR

KIM REYNOLDS  
LT. GOVERNOR

March 28, 2013

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

Dear Secretary Dann-Messier:

I am pleased to recommend *Iowa's Adult Literacy State Plan Extension: Program Year 2014* for your review.

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

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

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

Thank you very much for your consideration.

Sincerely,

Terry E. Branstad  
Governor of Iowa