

Adult Education and Literacy

Coordinator Handbook

PROGRAM YEAR 2018



**COMMUNITY COLLEGES &
WORKFORCE PREPARATION**
PROSPERITY THROUGH EDUCATION

**IOWA DEPARTMENT
OF EDUCATION**



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Program Overview

Dear Adult Education and Literacy Coordinator:

Adult education and literacy has never been more valued in Iowa than it is now. 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 consultants, your peers, your staff, and other adult education and literacy organizations to contribute to the educational experience of adult learners in Iowa in the implementation of new federal guidelines outlined in the Workforce Innovation and Opportunity Act (WIOA) of 2014.



The information you acquire through this handbook will hone your knowledge and leadership skills and will serve you well in your position and your program. This handbook contains pertinent information that you will help you 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 consultants at the Division of Community Colleges and Workforce Preparation 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 who 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.

Sincerely,

Alex Harris, Adult Education Program Consultant
State Director for Adult Education
Division of Community Colleges and Workforce Preparation



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Overview

Adult Education and Literacy (AEL) empowers individuals to become self-sufficient by providing the basic skills and knowledge necessary to complete a secondary education credential and helps them meet their education and career goals. Nationally, AEL programs serve 1.5 million adults who are no longer in school and who lack basic literacy and math skills, English language acquisition, and/or a high school diploma or a recognized equivalent. Participants come to adult education to leave public assistance, to qualify for employment, to help their children with homework, to become more involved in their communities, and to achieve citizenship skills.¹

Low literacy levels are directly linked to inequality, higher rates of unemployment, lower income, crime, poor health, and increased hospitalizations. Adults without a high school diploma are more than twice as likely to be living in poverty as high school graduates. They are three times more likely to be unemployed than adults with college degrees. Experts estimate that low literacy costs the United States more than \$225 billion in lost tax revenue, reduced productivity, crime, and poor health.

The United States is falling further behind other countries. According to the Program for International Assessment of Adult Competencies (PIAAC), Americans lag behind the international average for basic skills in literacy and numeracy and “problem-solving in technology-rich environments (defined as “using digital technology, communication tools and networks to acquire and evaluate information, communicate with others, and perform practical tasks”).”

In an increasingly competitive world we must empower individuals, families, and communities with the educational opportunities they need to move from low-income jobs with little opportunity for upward mobility to family-sustaining jobs and postsecondary education. The foundational skills of youth and adults determine local, regional, and national competitiveness. They have lasting impacts on the success of individuals and their social mobility. Skills are vital components of healthy, safe families and civic engagement, and are the building blocks of economic development and growth. In our fast-changing and ever-connected 21st-century lives, learning and skill development must be a constant and life-long pursuit².

¹ NRS aggregate report, table 11.

² OCTAE 2014, Making Skills Everyone's Business.

Iowa's Adult Education and Literacy Program is Part of the Solution

The Iowa Department of Education recognizes that Iowa families face multiple responsibilities as they address their children's educational needs, as well as their own. Iowa's adult education and literacy programs build skills for success by providing adults with the opportunity to acquire and to 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.

The Department is committed to the success of adult education programs and literacy services in Iowa and dedicated to helping educators overcome the unique challenges of adult education. The purpose of this handbook is to provide our program leaders with the information they need to be successful in helping adults master the skills they need to compete and to build careers and better futures for themselves, their families, and their communities.

ACTIVITIES

The following activities are available at programs throughout the state to prepare participants for postsecondary credentials and career pathways.



- » **Literacy Skills**
- » **Adult Education**
- » **English Language Acquisition**
- » **Workplace Education**
- » **Family Literacy**
- » **Workforce Preparation**
- » **Integrated English Literacy and Civics Education**
- » **Integrated Education and Learning**

Section I: Workforce Innovation and Opportunity Act

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Workforce Innovation and Opportunity Act Key Provisions

Congress passed the Workforce Innovation and Opportunity Act (WIOA) in 2014 by overwhelming bipartisan margins and reaffirmed Adult Education as one of four key partners in a system of education and training that emphasizes job readiness and access to postsecondary education and training through the use of career pathways. Most importantly, WIOA increases access to employment, education, training, and support services for individuals, particularly those with barriers to employment, and to the services they need to succeed in the labor market. WIOA Title II (Adult Education and Family Literacy Act) aims to help adults acquire the skills and knowledge necessary to obtain employment, become full partners in the educational development of their children, improve economic opportunities for their family, and aid in the transition to postsecondary education and training. Adult education is now a key element in a comprehensive system of education and training.

Adult education and literacy programs will provide the following critical services and activities to support adult learners with the goal of improving access to education and training opportunities, as well as to employment:

- » assist adults to become literate and obtain the knowledge and skills for employment and economic self-sufficiency;
- » support the educational and skill achievement of parents and family members to participate in the educational development of their children and improve economic opportunities for families;
- » assist immigrants and English language learners in improving their English and math proficiencies and understanding of the rights and responsibilities of citizenship; and
- » assist incarcerated individuals in strengthening their knowledge and skills to promote successful re-entry into society.

WORKFORCE INNOVATION AND OPPORTUNITY ACT

President Barack Obama signed WIOA into law on July 22, 2014. This legislation is designed to help job seekers access employment, education, training, and support services to succeed in the labor market and to match employers with the skilled workers they need to compete in the global economy.

Title II increases the focus on serving the most vulnerable workers by prioritizing services to out-of-school youth and low-income adults who have limited skills, lack work experience, and face other barriers to economic success.

ELIGIBILITY (SEC.203(4))

Participation in these programs is limited to adults and out-of-school youth age 16 and older who are not enrolled or required to be enrolled in secondary school under state law. Title II defines the term "eligible" individual to mean an individual:

1. Who has attained 16 years of age;
2. Is not enrolled nor required to be enrolled in secondary school under state law; and
3. Who meets one of the following criteria:
 - a. Has deficient basic skills;
 - b. Lacks a secondary school diploma or its recognized equivalent, and has not achieved an equivalent level of education; or
 - c. Is an English language learner.

Iowa's Unified Plan (USP)

The state plan is an agreement between the state of Iowa and the federal government to assure that administration of adult education and English literacy programs are consistent with the state's goals, policies, and objectives, and with the implementation of the Workforce Innovation and Opportunity Act—WIOA (2014), 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.

The 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 through collaboration and building of a unified state plan for education and workforce systems

among core partners as identified under WIOA that are delivering adult education and family literacy programs and services. The purpose of the plan is to facilitate the improvement and expansion of adult education programs into existing content standards.

The Iowa Adult Education and Literacy State Plan is in line with the guidelines provided by the United States Department of Education: Division of Adult Education and Literacy (USDE:DAEL). This 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.



UNIFIED STATE PLAN GOALS

- » Goal I: Iowa's employers will have access to advanced, skilled, diverse and "Future Ready" workers.
- » Goal II: All Iowans will be provided access to a continuum of high-quality education, training, and career opportunities in the nation.
- » Goal III: Iowa's workforce delivery system will align all programs and services in an accessible, seamless, and integrated manner.

WIOA CORE PARTNERS

- » Iowa Workforce Development
- » Iowa Vocational Rehabilitation Services
- » Iowa Department of the Blind
- » Iowa Department of Education, Adult Education and Literacy

Federal Vision and Purpose (Sec. 202)

WIOA broadens the focus of adult education, literacy, and English language services to include postsecondary transitions and careers. Title II adds the goal “assisting adults in transitioning to postsecondary education” to the purpose and strengthens the focus on the achievement of economic self-sufficiency and creates a partnership to provide adult education and literacy activities, in order to:

1. Assist adults to become literate and obtain the knowledge and skills necessary for employment and economic self-sufficiency.
2. Ensure workers and job seekers have access to basic skill instruction relevant to employment through the one-stop delivery system. Education is provided in the context of industry-specific needs that involve employers and is integrated with occupational skills training to achieve the best outcomes for participants. Programs use career pathways, integrated education and training, and workforce preparation activities as hallmarks of excellent work-relevant instruction.
3. Offer family literacy programs to provide parents and family members with foundational skills that boost their knowledge and confidence to support the educational development of, and to become educational advocates for, their children. Parents and family members are able to improve their skills to achieve readiness for postsecondary education or training, job advancement, and economic self-sufficiency. Programs are designed to make sustainable improvements in the economic prospects for a family and to better enable the family to support their children's learning needs.
4. Ensure English learners have access to services to help them achieve competence in reading, writing, speaking, and understanding English. These competencies allow them to obtain secondary school credentials and succeed in further education and training. Immigrants acquire an understanding of what it means to be a citizen and to participate in civic responsibilities. Programs are designed to provide high-quality math instruction, evidence-based English language instruction, and civics education that is responsive to, and respectful of, the diversity of immigrants and English learners.
5. Assist incarcerated individuals in strengthening their knowledge and skills to promote successful re-entry into society. Ensure they have access to educational services that prepare them for employment, economic self-sufficiency, family roles, and responsible citizenship upon their release. Provide incarcerated individuals with access to adult education and literacy activities that support post-release transition to higher levels of education and

Title II expands education and training options to help participants access good jobs and advance in their careers by increasing the focus on training.



BARRIERS TO EMPLOYMENT

WIOA notes and tracks several barriers to employment experienced by participants. This legislation focuses on serving the most vulnerable individuals:

- » Displaced Homemaker
- » Low-Income
- » Individual with a Disability
- » Ex-Offender
- » Veteran
- » Foster Care Youth
- » Homeless Individual
- » English Language Learner
- » Cultural Barriers
- » Migrant and Seasonal Farmworker Status
- » Low Levels of Literacy
- » Exhausting Temporary Assistant for Needy Families (TANF) Within Two Years
- » Long-term Unemployed
- » Single Parent

training, as well as meaningful employment. Programs are designed to support incarcerated, and formerly incarcerated, individuals' access to life-expanding career pathways opportunities that include approaches such as dual enrollment, peer tutoring, and transitions to re-entry services designed to facilitate post-release success and reduce recidivism.

Adult Education and Literacy Activities (Sec. 203(2))

From grant funds made available for Title II, multi-year grants will be awarded on a competitive basis to eligible providers to develop, implement, and improve adult education and literacy activities within their areas. The following activities are intended to address the needs of the participants, the region, and the economic development:

1. Adult education—refers to academic instruction and education services below the postsecondary level that increase an individual's ability to:
 - a. read, write, and speak in English and perform mathematics or other activities necessary for the attainment of a secondary school diploma or its recognized equivalent;
 - b. transition to postsecondary education and training; and
 - c. obtain employment.
2. Literacy—refers to an individual's ability to read, write, and speak in English, compute, and solve problems at levels of proficiency necessary to function on the job, in the family of the individual, and in society.
3. Workplace adult education and literacy activities. (See page 8.)
4. Family literacy activities. (See page 8)

5. English language acquisition activities. (See page 8.)
6. Integrated English literacy and civics education (see page 9)—refers to:
 - a. Education services provided to English language learners who are adults, including professionals with degrees or credentials in their native countries, that enable such adults to achieve competency in the English language and acquire the basic and more advanced skills needed to function effectively as parents, workers, and citizens in the United States.
 - b. Education services provided to English language learners who are adults, including professionals with degrees or credentials in their native countries, that enable such adults to achieve competency in the English language and acquire the basic and more advanced skills needed to function effectively as parents, workers, and citizens in the United States.
7. Workforce preparation activities—refers to activities, programs, or services designed to help an individual acquire a combination of basic academic skills, critical thinking skills, digital literacy skills, and self-management skills, including competencies in utilizing resources; using information; working with others; understanding systems; skills necessary for successful transition into and completion of postsecondary education or training, or employment; and other employability skills that increase an individual's preparation for the workforce.
8. Integrated education and training. (See page 9).

Workplace Adult Education and Literacy Activities (Sec. 203(16))

WIOA defines and encourages the use of new models such as “workplace adult education and literacy services” as an explicitly allowable activity. Workplace adult education and literacy activities are offered by an eligible provider in collaboration with an employer or employee organization at a workplace or an off-site location that is designed to improve the productivity of the workforce.

Family Literacy Activities (Sec. 203(9))

Family literacy activities must be of sufficient intensity and quality to make sustainable improvements in the economic prospects for a family that better enable parents or family members to support their children’s learning needs, and that integrate all of the following activities:

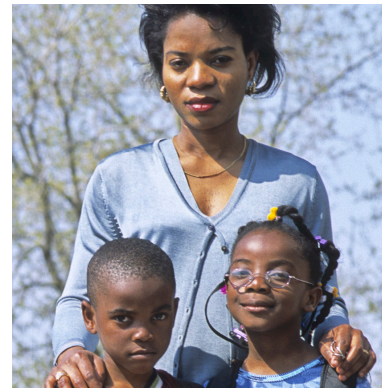
1. Parent or family adult education and literacy activities that lead to readiness for postsecondary education or training, career advancement, and economic self-sufficiency.
2. Interactive literacy activities between parents or family members and their children.
3. Training for parents or family members regarding how to be the primary teacher for their children and full partners in the education of their children.
4. An age-appropriate education to prepare children for success in school and life experiences...”

English Language Acquisition Program (Sec. 203(6))

WIOA broadens the focus of English language services. “English language acquisition program” means a program of instruction:

1. Designed to help eligible individuals who are English language learners achieve competence in reading, writing, speaking, and comprehension of the English language; and
2. That leads to (i)(I) attainment of a secondary school diploma or its recognized equivalent; and (II) transition to postsecondary education and training; or (ii) employment;...

Title II encourages implementation of career pathway approaches that support postsecondary education and training for youth and adults.



Title II helps disadvantaged and unemployed adults and youth earn while they learn through support services and effective employment-based activities.



Title II aligns planning and accountability policies across core programs to support more unified approaches for serving low-income, low-skilled individuals and requires unified planning at the state and local levels.

Integrated Education and Training (Sec. 203(11))

WIOA defines and encourages the use of new models, such as integrated education and training (IET) as an explicitly allowable activity. The term “integrated education and training” means a service approach that provides adult education and literacy activities concurrently and contextually with workforce preparation activities and workforce training for a specific occupation or occupational cluster for the purpose of educational and career advancement.

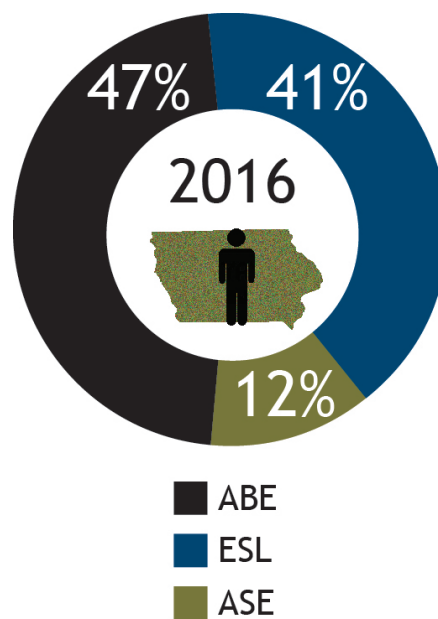
Iowa Adult Education and Literacy

In fiscal year 2016, AEL program enrollment was 17,615, with an unduplicated headcount of 17,539. Of these students, 12,378 were eligible for, and therefore included in, federal year-end reporting based on the NRS requirements.

Adult basic education (ABE) instruction had the most enrollees in 2016 with 5,860 participants; 47 percent of the total enrollment. English as a second language (ESL) was the second largest group of participants with 5,045 participants, while adult secondary education (ASE) represented 12 percent with 1,473 enrollees. There has been a five-year average increase of 5.7 percent in ESL enrollment. Refer to chart on right.

Of those who were enrolled in 2016 and federally reported, 50 percent were female. Thirty-five percent (35%) self-identified as white. Thirty percent (30%) of participants identified themselves as Hispanic or Latino, 20 percent as black or African American, and 13 percent as Asian. The remaining three categories (Native American, Hawaiian or Pacific Islander, and two or more races) combine to about two percent (2%) of the participants.

2016 PERCENT ENROLLMENT
BY ADULT EDUCATION AND
LITERACY PROGRAM



The largest age group served by AEL programs ranged between 25–44 years of age, with 50 percent (50%) in this category. The next largest group, 19–24, accounted for 25 percent (25%). The 45–59 age group had 1,594 participants, which was slightly higher than the 16–18 age group with 1,259 participants.

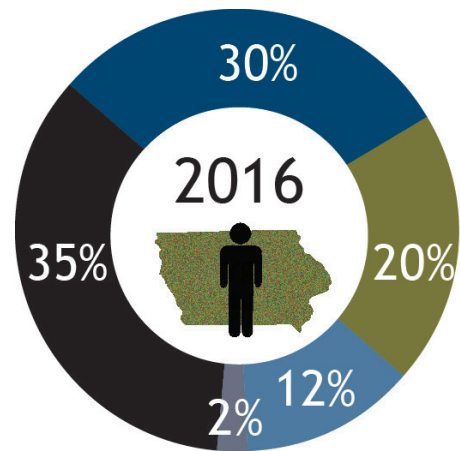
Additional, optional demographic information is collected from participants in the AEL program that can assist in directing resources to target needs.

The three highest status barriers to employment, as indicated upon entry into the AEL program, were self-identified as:

- » unemployed (37 percent);
- » a single parent (7 percent); and
- » being low income (8 percent).

It is important to note that a participant might indicate more than one status measure.

2016 PERCENT ENROLLMENT BY ETHNICITY



- White
- Hispanic/Latino
- Black/African American
- Asian
- Other (Native American, Hawaiian or Pacific Islander, and two or more races)

OUR MISSION

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



OUR GOALS

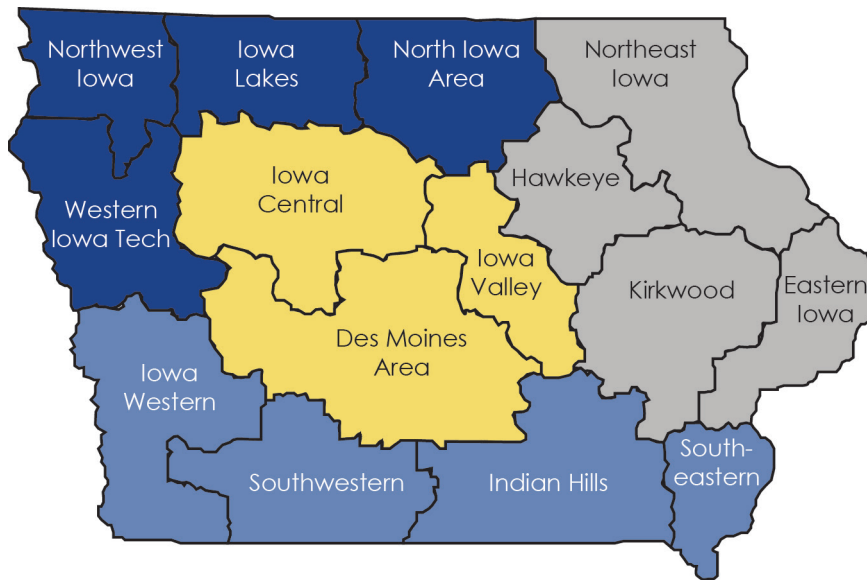
Goals of local AEL programs are to:

1. Assist adults to become literate and obtain the knowledge and skills necessary for employment and self-sufficiency.
2. Assist adults who are parents or family members to obtain the education and skills that –
 - a. are necessary to become full partners in the educational development of their children, and;
 - b. lead to sustainable improvements in the economic opportunities for their family.
3. Assist adults in attaining a secondary school diploma and in the transition to postsecondary education and training.
4. Assist immigrants and other individuals who are English language learners to –
 - a. improve reading, writing, speaking, and comprehension skills in English;
 - b. improve math skills; and
 - c. acquire an understanding of the American System of Government, individual freedom, and the responsibilities of citizenship.

State Leadership

State leadership provides training, resources, technical assistance, and oversight to local adult education and literacy programs that supports their integration in the workforce system to better serve all students, including those transitioning to further education and training.

FIGURE 1: REGIONAL AREAS



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State Funding

In the 2013 state legislative session, funds were allocated for adult education and literacy as part of the [Iowa Skilled Workforce and Job Creation Fund](#), including an amount for English as a second language learners. With this allocation came a state issued definition of adult education and literacy programs in a new section 260C.50:

*For purposes of this section, “**adult education and literacy programs**” means adult basic education, adult education leading to a high school equivalency diploma under chapter 259A, English as a second language instruction, workplace and family literacy instruction, or integrated basic education and technical skills instruction.*

The funds aim for:

1. increased and improved services to adult learners and their families through the coordination of funding streams and programs; and
2. increased and expanded adult and family literacy education programs so that adults and their families will function more effectively in their personal lives and as citizens and be better prepared for workforce training and employment that they may become more responsible and productive members of society.

Federal and state funds are meant to supplement the efforts of the local program in addressing the needs of targeted adult learners. Due to the core measures, the quality of instruction must be sufficient to ensure educational gains are achieved. Follow-up measures

are indicators of success in the development of the talent pipeline and therefore the local program must be aware of the regional needs of the targeted adult learners. Community involvement is discussed further in Section V: System Accountability.

Determination of Federal Funding

The amount of federal 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.

Tracking of Performance Measures

The National Reporting System (NRS) is the accountability system that tracks the core and follow-up measures mandated by WIOA.

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.

The state-negotiated target Measurable Skill Gains (MSG) remains the focus for local programs due to performance-based funding and a targeted post-test rate of 65 percent for each program and each level of students served. This data is reviewed monthly during coordinator webinars.

Training from the state data specialist has made it possible for each program to review local data program-wide as well as classroom-specific. Iowa adult education and literacy programs help to ensure that adults have the skills needed to compete in the knowledge-based economy. This is in keeping with increasing economic opportunity and raising the standard of living in Iowa. **Pilots** have been **conducted** and will be expanded to **partner with credit and non-credit courses** to encourage the transition of adult learners to a career pathway. The pilots are designed to increase the number of adult learners earning transferable credit, marketable credential, and/or entering postsecondary education.

Performance Accountability WIA vs. WIOA

WIOA includes common performance measures or “primary indicators of performance” for its six core programs (Title I Youth program, Title I Adult program, Title I Dislocated Worker program, Title II Adult Education and Family Literacy program, Title III Employment Service, and Title IV Rehabilitation Services program).

This is the broadest application, to date, of common measures across the workforce system. It signals congressional intent to promote more integrated programming and accountability at the state and local levels. In particular, the addition of a credential attainment rate and a skill gains rate will help align objectives across the core programs.

Local Activities/Strategies

The Iowa Department of Education will provide information to the public about, and promote participation in, adult education, literacy, and family services through a variety of initiatives. These include, but are not limited to, workplace programs, career pathway development programs, private-sector partnerships, and research-based practices.

The **one-stop system** will be used as a vehicle to identify available educational and employment services, fiscal and human resources, and other client services to help this targeted population. The key objectives for core services are to:

1. promote accountability and transparency in investing in adult education; and
2. align performance accountability (enrollment, level gains, and core outcomes) to guide strategy development and drive continuous quality improvement.

Iowa’s AEL programs support efforts to increase enrollment and retention by urging programs to offer **flexible schedules**, support services, and year-round programs in attractive and age-appropriate settings. Since program year 2014, a state goal of serving at least five percent (5%) of the total state population without a high school degree, 18 years and older, was established. This goal helped to establish individual program targets for enrollment of participants, which is tracked monthly and posted on the Department’s website. In addition, Iowa is actively raising public awareness of adult education and the effectiveness of AEL programs with an initial statewide branding campaign. This effort has provided support in the transition to the new state’s assessment for awarding the high school

equivalency diploma, effective January 2014. This statewide effort has been aimed at increasing access to services and connecting participants as quickly as possible to programs.

Providers have been **piloting** and demonstrating **innovative instructional methodologies**, from individual to group activities, to meet the diverse needs of adult learners. Adult education programs offer a person-centered approach, in which instructors help participants set and achieve learning goals. Iowa AEL programs facilitate student progress by incorporating college and career readiness standards in instruction, sharing best practices, and providing ongoing professional development and training for instructors, data specialists, and coordinators of programs. Local programs measure **educational levels** and progress using standardized assessment tools and by following the assessment policy guidelines disseminated to programs annually. Providers record gains using the Tops Enterprise (TE®) online reporting system). The state and local providers use the data to analyze program performance.

Through the encouragement of **managed enrollment**, programs have been providing direct and explicit instruction in adult education and literacy classrooms. This approach supports the best practice model through student and instructor surveys, as well as program performance. This shift in classroom management requires a transition period and continual adjustments. Programs have been able to adapt their delivery to meet local and regional needs.

Planned Integrated Activities

Collaboration, coordination, and cooperation have been the mainstays of the program from the beginning including:

1. mutual referrals;
2. assessment;
3. tracking client goals and progress; and
4. decisions regarding the planned delivery of services to the client.

There has always been strong collaboration with federal employment training programs to help adults prepare for the workforce and become self-sufficient. Adult education and literacy programs, in their local communities, seek out working agreements with Iowa Vocational Rehabilitation Services, Iowa Department of Human Services, Iowa Department of Workforce Development, adult and juvenile court officials, and other service agencies.

With the need for a workforce to be able to function in a highly technical environment, more emphasis is being placed on education. The adult education and literacy program has responded to this focus by supplying their services either in business and industry or in the classroom. The program is ready and able to provide assessment instruction in basic academic skills; English language acquisition programs; workplace literacy; communication skills; and job-seeking and retention skills.

The following three adult education and literacy activities are being developed in Iowa's programs and encouraged through WIOA:

1. integrated education and training;
2. workplace education; and
3. workforce training activities.

Integrated Education and Training

Integrated Education and Training (IET) is defined as an educational model that “combines occupational skills training with adult education services to increase the educational and career advancement of participants. In programs that deliver IET, adults participate in both occupational skills training and adult education services at the same time.” Through the adult education professional development leadership contractor, modules on IET are offered as a facilitated online course. The modules take educators and agency administrators through the process of developing plans for implementing one of four instructional models. These models integrate basic skills (i.e. English language acquisition (ELA) or ABE) with technical or occupational skills instruction.

Finally, effective implementation of a comprehensive IET model requires well-planned and integrated coordination of the program structure, student support services, and classroom activities. The IET training modules below provide several options for agencies to choose the best method to meet their adult students’ needs.

1. **Co-Teaching:** The co-teaching model involves skills instruction in a particular in-demand sector along with basic language instruction, delivered in an integrated fashion. Team teaching and co-teaching are the main strategies used to deliver the curriculum. The language and basic skills instructor deliver literacy and language education while the technical instructor teaches the related certificate or credentialing skills. After

completion of the class, students are better prepared to transition to a related advanced class or employment through a career pathway.

2. **Alternating Teaching:** In alternating teaching, students enroll in two different, but coordinated courses. For example, students interested in healthcare careers might also attend a basic skills class. This class may incorporate important components of jobs, such as customer service and patient care, etc., along with basic language or reading skills. After attending the basic skills class, students go to a technology class to learn the digital literacy skills necessary to be successful in the workforce.

Workplace Education

Workplace education programs, defined as literacy services that are offered for the purpose of improving the productivity of the workforce through the improvement of literacy skills, represent a growing trend in Iowa’s adult education and literacy programs. In today’s economy, employees must continually upgrade their skills to remain competitive. In addition to strong reading, math, and communication skills, employees need skills in solving problems, adapting to rapid change, and working in teams as defined in Section 203 of WIOA.

On-site workplace education allows workers to apply basic academic concepts to everyday job tasks, resulting in a better trained, more productive workforce. Local programs have been working with employers to identify skills employees need to be successful in their jobs and to design a course

of basic skills instruction around these needs. Instructors integrate examples and tools from the work environment to make learning relevant to the participant.

Workforce Training Activities

Iowa adult education and literacy provides ongoing professional development for adult education and literacy programs on how to integrate job readiness skills into the basic curriculum and to incorporate real world examples from a variety of work settings into academic instruction. Training has included

the world education course, “Integrating Career Awareness at Every Level.” Iowa’s focus has been to ensure that this integration occurs for English as a Second Language participants, as well as with those preparing for High School Equivalency testing. Sessions during the adult education and literacy summer conference are dedicated to this topic. The development of the Adult Education and Literacy Plus Pathway pilot will include these elements for each functioning level, in addition to workforce training specific to the designated career pathway.



Iowa's AEL Strategic Plan

During the spring of 2015, local programs participated in a series of webinars discussing the transition to WIOA with several "homework" discussion questions and surveys. Later, the state adult education and literacy team met to discuss the results of the webinars. While the work was framed around the question "Where do you see AEL in five years?," additional strategic questions were established to guide the strategic planning for the adult education and literacy system through 2020. Those questions, listed to the right, served as the framework for accountability measures with key indicators that would help to monitor progress as AEL programs moved closer to their goals.

Based on the focus of the five questions and the recommendations received from the field, goal areas were defined and objectives were established in the following four areas:

- » Instructional Systems
- » Data and Accountability
- » Career Pathways
- » Monitoring and Evaluation

The strategic plan was used to guide the development of the Unified State Plan elements with core partners related to specific activities associated with adult education and literacy services.

FRAMEWORK AND ACCOUNTABILITY MEASURES QUESTIONS THAT GUIDE STRATEGIC PLANNING

The following questions served as the framework for accountability measures and include key indicators to help monitor progress toward goals.

1

QUESTION: Are more Iowans enrolled in adult education and literacy programs?

INDICATOR: Number enrolled in adult education programs.

2

QUESTION: Are more students meeting their educational goals?

INDICATOR: Demonstrated improvements in gaining a skill level.

INDICATOR: Receipt of high school equivalency diploma.

3

QUESTION: Are more students advancing to postsecondary education or job training?

INDICATOR: Number of adult students with a goal of advanced education or job training who enter postsecondary education or training.

INDICATOR: Number of HSED graduates who enroll in college at the college level or credential in job training programs.

4

QUESTION: Are more students preparing for, entering, or sustaining employment?

INDICATOR: Number of adult students who are unemployed and looking for work who get a job.

INDICATOR: Number of adult students who are employed and who maintain or improve their jobs.

5

QUESTION: Are families, communities, and the economy benefiting?

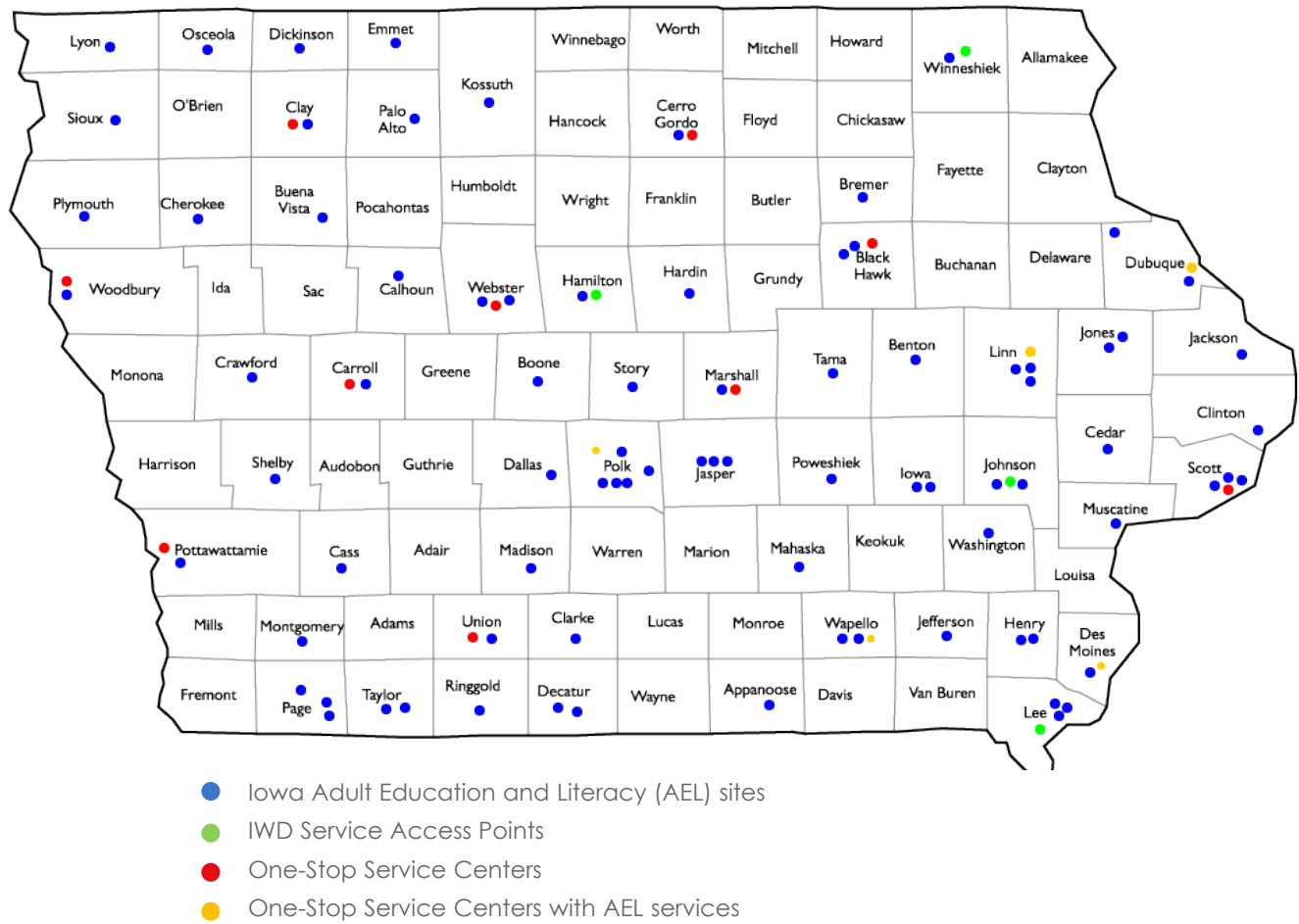
INDICATOR: Return on investment as defined by earnings of AEL students who secure employment.

INDICATOR: Number of adult students who obtain skills to pass the U.S. citizenship exam.

INDICATOR: Number of adult students who register to vote or vote for the first time.

Service Areas

FIGURE 2: SERVICE AREAS*



Refer to the [AEL Coordinator Contacts](#) for addresses and phone numbers.

* The locations are approximate and meant to represent county coverage.

Performance Accountability: WIA versus WIOA

WIOA includes common performance measures or “primary indicators of performance” for its six core programs (Title I Youth program, Title I Adult program, Title I Dislocated Worker program, Title II Adult Education and Family Literacy program, Title III Employment Service, and Title IV Rehabilitation Services program).

This is the broadest application, to date, of common measures across the workforce system; it signals congressional intent to promote more integrated programming and accountability at the state and local levels. In particular, the addition of a credential attainment rate and a skill gains rate will help align objectives across the core programs.

Figure 3 below highlights the differences between the core indicators and outcome measures between the two federal regulations.

FIGURE 3: CORE INDICATORS OF PERFORMANCE AND OUTCOME MEASURES

Core Indicators of Performance Required by WIA	Core Indicators of Performance Required by WIOA
Educational functioning levels in reading, writing, speaking, listening, and functional areas.	The percentage of program participants who, during a program year, are in an education or training program that leads to a recognized postsecondary credential or employment and who are achieving measurable skill gains toward such a credential or employment.
Learners enrolling after exiting a postsecondary educational or occupational skills program building on prior services or training received.	The percentage of program participants who obtain a recognized postsecondary credential, or a secondary school diploma or its recognized equivalent (subject to clause 4 (iii)), during participation in or within one year after exiting from the program.
Learners who obtain a job by the end of the first quarter after the exit quarter.	The percentage of program participants who are in unsubsidized employment during the second quarter after exiting from the program.
Learners who obtain a job and remain employed in the third quarter after program exit.	The median earnings of program participants who are in unsubsidized employment during the second quarter after exiting from the program.
Learners who obtain an HSED, secondary school diploma, or recognized equivalent after exit.	The percentage of program participants who are in unsubsidized employment during the fourth quarter after exiting from the program.
	The indicators of effectiveness in serving employers established pursuant to clause (iv).

Coordinator Responsibilities

Coordinators help to establish the local vision and focus, which are articulated to the state through the local extension plan, the status update and through program monitoring. Awareness of the state's goals and mission will help the local program to maintain alignment with state-led initiatives.

Coordinator involvement in the development of standards, such as instructors and professional development, has been invaluable to the state's adult education and literacy programs. Continued input, as circumstances allow, would be a benefit to both the individual program and to the state.

As a recipient of grant funds, coordinators are responsible for compliance with federal regulations. Compliance is reviewed during the annual monitoring and includes programmatic, fiscal, and data related integrity. In program year 2015,

a [classroom observation tool](#) was expanded from the previous version and is based on the Standards-in-Action training in which Iowa participated. This observation has been updated to reflect instructor standards and is designed to be formative, non-threatening, forward-looking, and aimed at helping the state and programs identify professional development needs.

Coordinators also assist by participating in committees designed to study and to research relevant adult education and literacy issues in Iowa and by serving as members of the Coordinator Group. This group meets either virtually or face-to-face on a monthly basis, typically on the third Thursday. The coordinator leadership roles have been assigned through program year 2018 and are outlined in Figure 4 below.

FIGURE 4: COORDINATOR ROLES

Program Year	Chair	Vice Chair	Secretary
PY 2018	Area XV	Area XIV	Area XIII
PY 2019	Area XIV	Area XIII	Area XII
PY 2029	Area XIII	Area XII	Area XI

Chair—Organizes the agenda; plans meetings and presenters as needed; facilitates the virtual or face-to-face meeting; ensures notes and/or recordings are taken and distributed in a timely manner; communicates with the group as frequently as needed—by emails or conference calls.

Vice Chair—Serves as liaison for the Leadership Committee and as a co-chair for the AEL Summer Conference Planning Committee; serves on other associated committees as assigned by the chair; serves as backup in the chair's absence.

Secretary—Performs roll call and takes notes during the meeting; distributes notes, recordings and relative information in a timely manner to the group; communicates with the group as needed—by emails or conference calls.

Section II: Awarding Title II Funds

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Awarding Title II Funds

The Iowa Department of Education is the designated state agency responsible for administering funds and providing program and performance oversight to eligible local entities. During grant year 2016-17, the Department implemented a competitive application process for awarding funds starting July 1, 2017, through June 30, 2020. Through the Request for Proposals (RFP) process, the Department identified, assessed, and awarded multi-year grants to eligible entities throughout the state and ensured that access of services was provided in every county based on need. Funds supported the operational expenses of local adult education programs, including instructor salaries and benefits, classroom supplies, textbooks, and other items necessary to carry out instruction, workforce preparation activities, and civics education.

Process for Awarding Title II Funds

Eligible providers were awarded multi-year contracts to develop, implement, and improve adult education and literacy activities. In conducting the competitive grant program, the Department ensured all eligible providers:

1. Had direct and equitable access to apply and compete for grants or contracts; and
2. Were provided the same grant/contract announcement and application processes.

The Department used the [13 considerations](#) specified in Section 231(e) of WIOA to fund eligible providers. Eligible providers provided narrative details to demonstrate their plans to meet each consideration. The review of proposals included rating responses to each of the 13 considerations and instructor standards.

To determine if an applicant was an entity of demonstrated effectiveness, all applicants were required to provide data



REQUIRED KEY COMPONENTS

The purpose of issuing an application is for an eligible provider to address key required components of an adult education and literacy program outlined in federal guidelines. The following are elements that will be included in the application.

- » a description of how funds awarded under this title will be spent consistent with the requirements of this title (refer to budgets);
- » a description of any cooperative arrangements the eligible provider has with other agencies, institutions, or organizations for the delivery of adult education and literacy activities;
- » a description of how the eligible provider will provide services in alignment with the local plan under Section 108, including how such provider will promote concurrent enrollment in programs and activities under Title I (Refer to Alignment with Local Workforce Plans);
- » a description of how the eligible provider will meet the state-adjusted levels of performance described in Section 116(b)(3), including how such provider will collect data to report on such performance indicators;
- » a description of how the eligible provider will fulfill one-stop partner responsibilities as described in Section 121(b)(1)(A);
- » a description of how the eligible provider will provide services in a manner that meets the needs of eligible individuals; and
- » information that addresses the 13 considerations (outlined on the following page) described under Section 231(e).

demonstrating their ability to improve reading, writing, mathematics, English language acquisition, concurrently and contextually workplace skills, along with access to work-based learning through an integrated education and training model of instruction. Prior recipients of Adult Education and Family Literacy Act (AEFLA) funds and new eligible providers were provided forms to show demonstrated effectiveness in serving low-level literacy participants. Each application was reviewed by a panel and scored according to a point-based scoring rubric weighting each of the considerations and instructor standards. Applications that did not provide sufficient evidence of demonstrated effectiveness were eliminated from the competition. Funded entities will be monitored and required to demonstrate continuous quality improvement.

Considerations

In awarding grants or contracts under this section, the eligible agency shall consider the [13 considerations](#) specified in Section 231(e) of WIOA:

3. The degree to which the eligible provider would be responsive to—
 - A. Regional needs as identified in the local plan under section 108; and
 - B. Serving individuals in the community who were identified in such plan as most in need of adult education and literacy activities, including individuals—
 - i. Who have low levels of literacy skills; or
 - ii. Who are English language learners;
2. The ability of the eligible provider to serve eligible individuals with disabilities, including eligible individuals with learning disabilities;
3. Past effectiveness of the eligible provider in improving the literacy of eligible individuals, to meet state-adjusted levels of performance for the primary indicators of performance described in Section 116, especially with respect to eligible individuals who have low levels of literacy;
4. The extent to which the eligible provider demonstrates alignment between proposed activities and services and the strategy and goals of the local plan under Section 108, as well as the activities and services of the one-stop partners;
5. Whether the eligible provider’s program—
 - A. Is of sufficient intensity and quality, and based on the most rigorous research available so that participants achieve substantial learning gains; and
 - B. Uses instructional practices that include the essential components of reading instruction;
6. Whether the eligible provider’s activities, including reading, writing, speaking, mathematics, and English language acquisition instruction delivered by the eligible provider, are based on the best practices derived from the most rigorous research available and appropriate, including scientifically valid research and effective educational practice;
7. Whether the eligible provider’s activities effectively use technology, services, and delivery systems, including distance education in a manner sufficient to increase the amount and quality of learning and how such technology, services, and systems lead to improved performance;
8. Whether the eligible provider’s activities provide learning in context, including through integrated education and training, so that an individual acquires the skills needed to transition to and complete postsecondary education and training programs, obtain and advance in employment leading to economic self-sufficiency, and to exercise the rights and responsibilities of citizenship;

9. Whether the eligible provider's activities are delivered by well-trained instructors, counselors, and administrators who meet any minimum qualifications established by the state, where applicable, and who have access to high quality professional development, including through electronic means;
10. Whether the eligible provider's activities coordinate with other available education, training, and social service resources in the community, such as by establishing strong links with elementary schools and secondary schools, postsecondary educational institutions, institutions of higher education, local workforce investment boards, one-stop centers, job training programs, and social service agencies, business, industry, labor organizations, community-based organizations, non-profit organizations, and intermediaries, for the development of career pathways;
11. Whether the eligible provider's activities offer flexible schedules and coordination with federal, state, and local support services (such as child care, transportation, mental health services, and career planning) that are necessary to enable individuals, including individuals with disabilities or other special needs, to attend and complete programs;
12. Whether the eligible provider maintains a high-quality information management system that has the capacity to report measurable participant outcomes (consistent with Section 116) and to monitor program performance; and
13. Whether the local areas in which the eligible provider is located have a demonstrated need for additional English language acquisition programs and civics education programs.

Local Workforce Plan Alignment

A process was also established to determine whether local applications for grants or contracts provided adult education and literacy services aligned with a local plan under Section 108. The purpose was to establish uniform procedures within the state for a local board to review an application and to ensure that the Department established a process within its grant and/or contract competition that provided for the submission of all applications for funds under AEFLA to appropriate local boards.

An organization that has demonstrated effectiveness in providing adult education and literacy activities is eligible to apply for Title II funds.



ELIGIBLE APPLICANTS

Eligible applicants may include, but are not limited to, the following examples:

- a. A local educational agency;
- b. A community-based organization or faith-based organization;
- c. An institution of higher education;
- d. A public or private non-profit agency
- e. A library;
- f. A public housing authority;
- g. A nonprofit institution that is not described in items (a) through (g) and has the ability to provide adult education and literacy activities to eligible individuals;
- h. A consortium or coalition of the agencies, organizations, institutions, libraries, or authorities described in items (a) through (h); and
- i. A partnership between an employer and an entity described in items (a) through (i).

The process included:

1. Submission of the applications to the appropriate local board for its review for alignment with the local plan within the appropriate time frame.
2. An opportunity for the local board to make recommendations to the Department to promote alignment with the local plan.
3. A consideration of the results of the local board review by the eligible agency in context with the required considerations in Section 463.20.

Note: Only appointed board members who did not have a conflict of interest as defined in Section 107(h) of WIOA were allowed to participate in the review of an eligible provider application. The Department provided the local board with training prior to participating in the review process.

Demonstrating Effectiveness

All applicants were required to provide data demonstrating the effectiveness of their ability to

improve the skills of eligible individuals (specifically in regards to individuals with low levels of literacy in the content domains of mathematics, reading, writing, English language acquisition, and other subject areas relevant to the services contained in the Department application)

Prior recipients of AEFLA funds, under the Workforce Investment Act (WIA), used data from Iowa’s student data management system, TopsEnterprise, to show effectiveness in meeting state-negotiated performance measures for English as a Second Language (ESL) participants. New organizations were provided forms to show demonstrated student learning gain. Each application was reviewed to determine whether it met the standard of demonstrated effectiveness.

Applications that did not provide sufficient evidence of demonstrated effectiveness were eliminated from the competition. Funded entities will be monitored and required to demonstrate continuous quality improvement.

FIGURE 5: ESTABLISHING DEMONSTRATED EFFECTIVENESS

WIOA Minimum Reporting Requirements (Section 116)			
Program	Measures	Scope of Reporting	Disaggregate Reporting
Title II—Adult Education and Literacy	Employment rate (Q2 post-exit)	Annual report Percent of negotiated plan achieved	Demographic characteristics
	Employment rate (Q4 post-exit)		Employment barriers
	Median earnings	Reports to include most recent year and three preceding years	Services served
	Credential rate		Participants exited
	Measurable skills gain	Ability to benchmark with other eligible providers	Funds expended by career services and training
	Employer measures		Percent training-related Employment
			Percent co-enrolled in core programs
			Percent administrative expenditures

Funding Formula

The annual projected allocation of the federal AEFLA is based on a funding formula as follows:

1. Eighty-five percent (85%) of the funds available shall be allocated based on needs: institutional grant, target AEFLA population, and number of enrolled students served; and
2. Fifteen percent (15%) of the funds available shall be allocated based on incentive funding for the number of participants served through the Integrated Education and Training (IET) Program. In order to receive funding for the next year, 80 percent of participants enrolled in the IET program should be post-tested.

The integrated English Literacy and Civics Education (IELCE) allocation will be based on a similar funding formula to the incentive funding for IET. By incorporating a performance-based funding focus for IELCE, Iowa is encouraging local programs to maintain accountability of students served by the grant.

Assurances

Contractually to receive funds through the Adult Education and Family Literacy Act (AEFLA), Title II of the Workforce Investment Act of 1998, and now Title II of the Workforce Innovation and Opportunity Act requires the chief executive officer of the eligible provider to sign certain general and specific assurance statements on behalf of the local program to certify commitment to abide by requirements through the period of this grant award. Those assurances are detailed below:

1. The applicant will comply with Title VI of the Civil Rights Act of 1964 (45 USC 2000d through 2000d-4) and its implementing regulations (34 CFR Part 100), and in accordance therewith, no person shall, on the grounds of race, color, or national origin,

be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the applicant received federal financial assistance.

2. The applicant will comply with Section 504 of the Rehabilitation Act of 1973, as amended, 29 USC 794, and its implementing regulations (34 CFR Part 104), which prohibits discrimination based on disability in programs and activities receiving federal financial assistance.
3. The applicant will comply with Title II of the Americans with Disabilities Act, (42 USC 12134), *et seq.* and its implementing regulations (28 CFR Part 35), which prohibit discrimination on the basis of disability to public entities, or it will comply with Title III, (42 USC 12181) *et seq.*, and its implementing regulations (28 CFR part 36), which prohibit discrimination on the basis of disability in public accommodations, whichever is applicable.
4. The applicant will comply with Title IX of the Education Amendments of 1972, as amended, (20 USC 1681-1683), and its implementing regulations (34 CFR Part 106), which prohibit discrimination on the basis of sex in education programs and activities receiving federal financial assistance.
5. The applicant will comply with the Discrimination Act of 1975, as amended, (42 USC 6101) *et seq.*, and its implementing regulations (45 CFR Part 90), which prohibit discrimination on the basis of age in programs or activities receiving federal financial assistance.
6. All contractors or others with whom it arranges to provide services or benefits to its students or employees in connection with its education programs or activities are not discriminating in violation of the above-cited statutes, regulations, guidelines and standards against those students or employees.

7. The applicant will administer each program in accordance with all statutes, regulations, program plans, policies, and applications applicable to that program.
8. The applicant will adopt and use proper methods of administering each program, including:
 - a. The enforcement of any obligations imposed by law on agencies, institutions, organizations, and other recipients responsible for carrying out each program, and
 - b. The correction of deficiencies in program operations that are identified through audits, monitoring, or evaluation.
9. The applicant will cooperate in carrying out any evaluation of each program conducted by or for the Iowa Department of Education, the United States Secretary of Education or other federal officials.
10. The applicant will retain all records relating to a program for which federal funds are received for a period of five years after the completion of the activity for which the funds are used or until such time greater than five years as all pending reviews or audits have been completed and resolved.
11. The applicant has adopted appropriate procedures to implement the terms of the Family Educational Rights and Privacy Act of 1974, (20 USC 123g) and its regulations (34 CFR Part 99).
12. None of the funds expended under any programs will be used to acquire equipment (including computer software) in any instance in which such acquisition results in a direct financial benefit to any organization representing the interests of the purchasing entity or its employees or any affiliate of such an organization.
13. The applicant shall repay all funds determined to be due to the federal government because of a disallowance decision in a manner deemed reasonable by the state or the federal government.
14. To the extent authorized by law, the applicant shall indemnify, save, and hold harmless the state, its employees and agents, against any and all claims, damages, liability and court awards including costs, expenses, and attorneys fees incurred as a result of any act or omission by it, or its employees, agents, subcontractors or assignees in its operation of the programs.
15. The applicant will maintain such records, including those pertaining to fiscal audit and program evaluation, and provide access to records upon request to representative of Iowa Department of Education or the US Department of Education.
16. The applicant will make reports to the Iowa Department of Education or the United States Secretary of Education as may reasonably be necessary to enable those parties to perform their duties.
17. The applicant certifies, by submission of this assurance form and by incorporating this form by reference in each of its applications for federal funds, that neither it nor its principals:
 - a. Are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in any transaction by any federal department or agency;
 - b. Have within a three-year period preceding this application been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense to connection with obtaining, attempting to obtain, or performing a public (federal, state, or local) transaction or contract under a public transaction; violation of federal or state antitrust statutes or commission of embezzlement theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

- c. Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, state, or local) with commission of any of the offenses enumerated above; and
 - d. Have not within a three-year period, preceding this application had one, or more public transactions (federal, state, or local) terminated for cause or default.
18. No federal appropriated funds have been paid or will be paid, by or on behalf of the recipient, 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 making of any federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any federal grant or cooperative agreement.
 19. The applicant shall require that the language of this certification be included in the award documents for all sub-awards at all tiers (including sub-grants, contracts under grants and cooperative agreements, and subcontracts) and that all sub-recipients shall certify and disclose accordingly. [SOURCES: Section 1352, Title 31 of the US Code, 34 CFR Part 82]
 20. Coordinate and collaborate to the extent feasible and necessary, as determined by the sub grantee, with other agencies providing adult basic education services.
 21. The applicant has the necessary legal authority to apply for and receive the proposed grant.
 22. The applicant's governing body, and the undersigned official, has been duly authorized to file this application from and on behalf of said applicant, and otherwise to act as the authorized representative of the applicant in connection with this application.
 23. The activities and services for which assistance is sought under this grant will be administered by or under the supervision and control of the applicant.
 24. The project will be operated in compliance with all applicable state and federal laws and in compliance with regulations and other policies and administrative directives of the Iowa Department of Education.
 25. Fiscal control and accounting procedures will be used to ensure proper disbursement of all funds awarded.
 26. The applicant will submit a status report mid-year and any data or financial report as specified, to the Iowa Department of Education, including information relating to the project records and access thereto as the Iowa Department of Education may find necessary.
 27. The Iowa Department of Education reserves the exclusive right to use and grant the right to use and/or publish any part or parts of any summaries, abstracts, reports, publications, records, and materials resulting from this project and this grant.
 28. The applicant will protect and hold harmless the Iowa Department of Education from financial loss and expense, including legal fees and costs, if any, arising out of any breach of the duties, in whole or part, described in the application for the continuing grant.
 29. The applicant shall develop and maintain adequate documentation, in a manner prescribed by the Iowa Department of Education, of its good faith efforts.
 30. The applicant agrees to comply with the regulations referred to in this section as they exist on the date of this contract and as they may be adopted or amended from time to time during the term of this contract and any amendments thereto.
 31. The continuing grant award is subject to the approval of the Iowa Department of Education and availability of federal funds.

Assurance is granted the Iowa Department of Education **specific to financial management** that:

1. The applicant agrees to be the fiscal agent for the grant award received from Department.
2. The applicant agrees to provide timely and accurate reports which include:
 - a. requests for reimbursement;
 - b. budget amendment requests;
 - c. end of year fiscal report; and
 - d. state fiscal expenditure report.
3. Any funds received under this grant will not be used to supplant non-federal funds normally provided for services of the same type, and the applicant agrees to maintain a record of actual expenditures with such fiscal control and accounting procedures as may be necessary to assure proper disbursement and accounting of federal funds.
4. The applicant assures that funds will only be expended on eligible activities outlined in the Adult Education and Family Literacy Act (AEFLA).
5. The applicant will operate in compliance with all federal and state rules, regulations, and state guidelines, maintaining effective control over, and accountability for all grant funds, property, and other assets. Grantees shall adequately safeguard all property and assets and shall assure that they are used solely for authorized adult education purposes as defined by AEFLA.
6. The applicant agrees to maintain and submit time-and-effort records for all employees funded or matched through federal grant awards.
7. The applicant agrees that not more than 20 percent will be set-aside for corrections education and other institutionalized adults.
8. The applicant assures that funds will be used only for financial obligations incurred during the grant period.
9. The applicant will provide state and/or local (non-federal) matching expenditures (combination cash and/or in-kind) equal to or greater than the aggregate amount expended during the preceding fiscal year. State and/or local matching will be a minimum of 25 percent of the federal funding per year.
10. The applicant assures that receipts and expenditures of all funds associated with adult education will be documented and accounted for, and available for review as required, for at least a period of five years.
11. The applicant assures that all fees and tuition collected from adult education students are used to provide additional adult education and literacy services that it would otherwise be unable to provide and that the collection of fees and tuition are documented.
12. Program income from tuition and fees must be reported to the Iowa Department of Education, and:
 - a. accounted for in program records by program allocation code; and
 - b. used only for costs allowable under AEFLA.
13. Unless otherwise negotiated, not less than 95 percent of the funds awarded to successful applicants shall be expended for carrying out adult education and literacy activities. The remaining amount, not to exceed five percent, shall be used for planning, administration, personnel development, and coordination. In any event, the funds utilized for the foregoing cannot exceed 15 percent of the grant funds awarded.
14. Applicant understands that funding is contingent upon federal and state

Budgets

Eligible applicants were responsible for developing an annual budget during the application process that reflected the planned activities for the program year within the grant period. Only expenditures that supported approved Title II activities were included in the budget. Refer to "[Section VI: Financial Management](#)" on page 100 for additional details on use of funds. All approved applicants received an official award notification. If the budget did not match the allocation, an adjustment was made prior to setting the grant underway. Budgets were developed using standard state object codes.

The budget codes on the right were used to establish the AEFLA budget. Funds to support corrections and institutions are capped at 20 percent. Administrative costs, either in *Personnel* or listed in *Other* for indirect costs are capped at five (5) percent or the negotiated rate. Infrastructure or cost sharing with the One-Stop center was included if there was an active memorandum of understanding (MOU) agreement.

Technology Budget

Eligible applicants submitted budgets based on a flat amount of two (2) percent of the pass-through money allocated to programs. This amount reflected activities that encouraged and developed technology integration for AEFLA-funded programs. The expenditures could include instructional time for digital literacy instruction, as well as software license fees. The budget codes on the right will be used to set the budget for technology:

Eligible applicants established a budget for the following categories of funds:

FIGURE 6: AEFLA BUDGET CODES

101	Personnel Services (Salaries and Wages—Administration)
101	Personnel Services (Salaries and Wages—Instructional)
202	In-State Travel (Meals, Lodging, and Registration)
205	Out-of-State Travel (Meals, Lodging and Registration)
301	Office Supplies and Materials (Curriculum and Training Materials)
602	Other Expenses & Obligations

FIGURE 7: TECHNOLOGY BUDGET CODES

101	Personnel Services (Salaries and Wages—Administration)
101	Personnel Services (Salaries and Wages—Instructional)
301	Office Supplies and Materials (Curriculum and Training Materials)
505	Data Processing (Desktop Software, License Fees)
602	Other Expenses & Obligations

Information Management (CASAS Testing Materials) Budget

Eligible applicants were awarded additional allocations from AEFLA State Leadership funds to purchase CASAS Testing Materials needed to assess AEFLA-eligible participants. The Department allocated \$20,000 to programs based on a five-year average enrollment. While the Department will not be purchasing additional testing units, it covers the cost to license TopsEnterprise® and subsidizes the cost of the testing units for the local programs.

FIGURE 8: INFORMATION MANAGEMENT BUDGET CODE

301	Office Supplies and Materials (Curriculum and Training Materials)
------------	---

Professional Development Funds Budget

Eligible applicants were awarded additional allocations from AEFLA's State Leadership funds to use for professional development efforts aligned with the following required specific areas of focus:

- a. Increasing the capacity of instructors and programs to provide quality instruction in the areas of reading, writing, speaking, mathematics, English language acquisition, and distance education via implementation of professional development activities and associated technical assistance such as:
 - » [Student Achievement in Reading \(STAR\)](#) training and evidence-based reading instruction study circles;
 - » Writing webinars;
 - » Low-literacy alphabets and vocabulary;
 - » High-literacy fluency and comprehension;
 - » WIOA partners' conference;
 - » College and Career Readiness Standards;
 - » Hosting the first virtual conference to highlight distance education and technology integration; and
 - » Annual Adult Education and Literacy Summer Conference.
- b. Enabling local programs to establish, build upon, and maintain effective relationships with regional core partners with common training on a system orientation, referral process, data sharing/reporting, integration of education with occupational training, and sector partnership and career pathway development.

The following budget codes are used for professional development. In-state travel can include travel within the college area for instructors and administrators. Contracts are only for external presenters, such as area education agency (AEA) presenters or staff from another program. Personnel services can include the cost of a substitute, as well as planning time.

FIGURE 9: PROFESSIONAL DEVELOPMENT BUDGET CODES

101	Personnel Services (Salaries and Wages—Instructional—PD related)
202	In-State Travel (Meals, Lodging, and Registration)
301	Office Supplies and Materials (Curriculum and Training Materials)
405	Contracts (External Speakers, Fees)
602	Other Expenses & Obligations (Meals—refer to the FAQ Federal Guidelines for Conferences and Meetings)

Integrating English Literacy Civics Education

The Integrating English Literacy Civics Education grant also uses standard state object codes. The proposed budget within the application must match these object code definitions. Eligible providers identified expenditures by line item within each object code.

FIGURE 10: INTEGRATING EL/CIVICS BUDGET CODES

101	Personnel Services (Salaries and Wages—Administration)
101	Personnel Services (Salaries and Wages—Instructional)
202	In-State Travel (Meals, Lodging, and Registration)
205	Out-of-State Travel (Meals, Lodging, and Registration)
301	Office Supplies and Materials (Curriculum and Training Materials)
602	Other Expenses & Obligations

Review Process

Applications went through a detailed evaluation process guided by the principles listed in Figure 11 on the right. The process had three phases:

Phase 1 – Review for completion and compliance

Phase 2 – Panel review

Phase 3 – Review summary

Before starting the evaluation process, the review panelists were briefed on the following:

- » evaluation processes and procedures (including selection and award criteria);
- » content of the application under consideration;
- » weighting of each section; and
- » need to evaluate applications as they are submitted, rather than their potential, should certain changes be made.

The “review summary” included the evaluation summary for each application (based on the combined review of each panelist, including comments and scores, and taking into account the panel’s deliberations and any new scores or

comments considered necessary) with explanations and a list of proposals passing all thresholds, along with a final score. Grantees are able to access the summary through Iowagrants.

FIGURE 11: GUIDING PRINCIPLES FOR APPLICATION EVALUATION

Excellence—Proposals must demonstrate high quality in relation to the topics and criteria set out in the application and detailed in the scoring rubric.

Transparency—Funding decisions must be based on clearly described rules and procedures and applicants should receive adequate feedback on the outcome of the evaluation.

Fairness and Impartiality—All proposals submitted in response to the funding opportunity are treated equally and evaluated impartially on their merits, irrespective of their origin or the identity of the program.

Efficiency and Speed—Evaluation, award, and grant preparation should be done as quickly as possible without compromising quality or neglecting the rules.

Ethics and Security—Proposals must not contravene fundamental ethical principles or relevant security procedures.



Method of Application

Iowagrants is an online grant management system designed to store basic information about grant projects and track the status of grants as they move through the process. Iowagrants has considerably streamlined the operations of grant management by reducing the need to manage paper proposals, enter data, and follow up on missing information.

The online application uses data fields (i.e., text boxes, dropdown boxes, and check boxes) to collect information and let grantees upload files.

Note: *Online forms can “time out” unexpectedly, leading to the loss of significant time and data entry. These forms are customizable and change with added information or adjust questions based on program specific needs—WIOA implementation has led to many “new” questions appearing on application forms.*

Once applications are submitted, applicants should receive confirmation emails and communication as the application moves through the process of review, approval, and awarding. This method tracks the statuses and interactions within Iowagrants.

Once a grant is approved, Iowagrants issues reminders to alert grantees of approaching deadlines for filing progress reports and status update reports. In addition, the payment process is managed in Iowagrants through claims tied to the budget submitted in the application.

Specifics on the planning, writing, and submission of applications are outlined in the grant application packet and funding opportunity webinar. This information should be reviewed in conjunction with the Iowagrants application to better understand the requirements of the process.

To access Iowagrants, go to the following link:
<http://www.Iowagrants.gov>.

In accordance with the Adult Education and Family Literacy Act (AEFLA), Title II of the Workforce Innovation and Opportunity Act (WIOA) of 2014, the purpose of this funding opportunity is to assist eligible applicants in developing instructional programs and partnerships to provide services that focus on the following outcomes:

- » Assist adults to become literate and obtain the knowledge and skills necessary for employment and economic self-sufficiency;
- » Assist adults who are parents or family members to obtain the education and skills necessary to become full partners in the educational development of their children and lead to sustainable improvements in the economic opportunities for their family;
- » Assist incarcerated individuals in strengthening their knowledge and skills to promote successful re-entry into society; and
- » Assist immigrants and other individuals who are English language learners in improving their reading, writing, speaking, and comprehension skills in English, mathematics skills, and acquiring an understanding of the American system of government, individual freedom, and the responsibilities of citizenship.

The Iowa Department of Education's Division of Community Colleges and Workforce Preparation, Bureau of Community Colleges, administers the AEFLA grant. The state adult education staff provides leadership and oversight to AEFLA programs and services in Iowa. This is clarified in Chapter 23—Adult Education and Literacy Programs:

281—23.3(260C) Program administration.

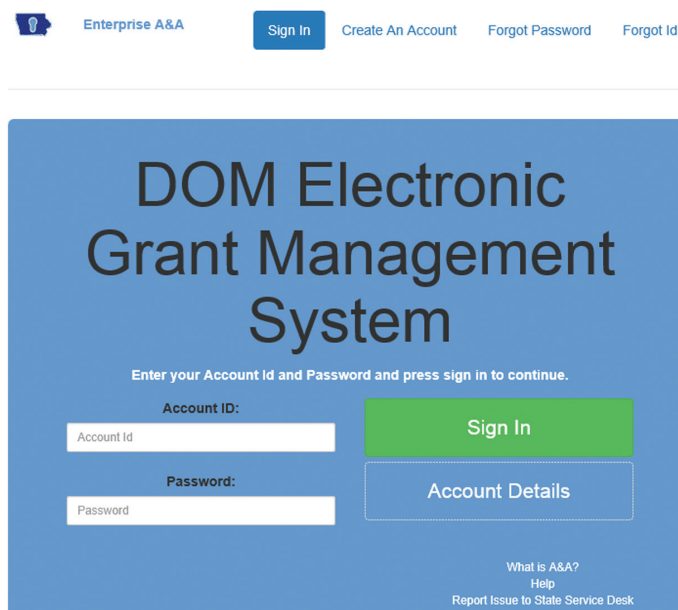
The department, through the division of community colleges, is hereby designated as the agency for administration of state and federally funded adult basic education programs and for supervision of the administration of adult basic education programs. The division shall be responsible for the allocation and distribution of state and federal funds awarded to eligible institutions for adult basic education programs through

a grant application in accordance with this chapter and with the state plan.

In addition, [Chapter 23.2\(3\)](#) gives the state authority under federal legislation to establish the funding formula and to issue a competitive bidding process.

Currently, the applications are a continuation and transition to WIOA. Applications are accessed through Iowagrants. A login must be created and approved prior to being able to access adult literacy applications. Logins can be created through Enterprise A&A (Authentication and Authorization). When notification of the funding opportunity has been released, it can be accessed through the main menu "Funding Opportunities".

FIGURE 12: IOWAGRANTS LOGIN



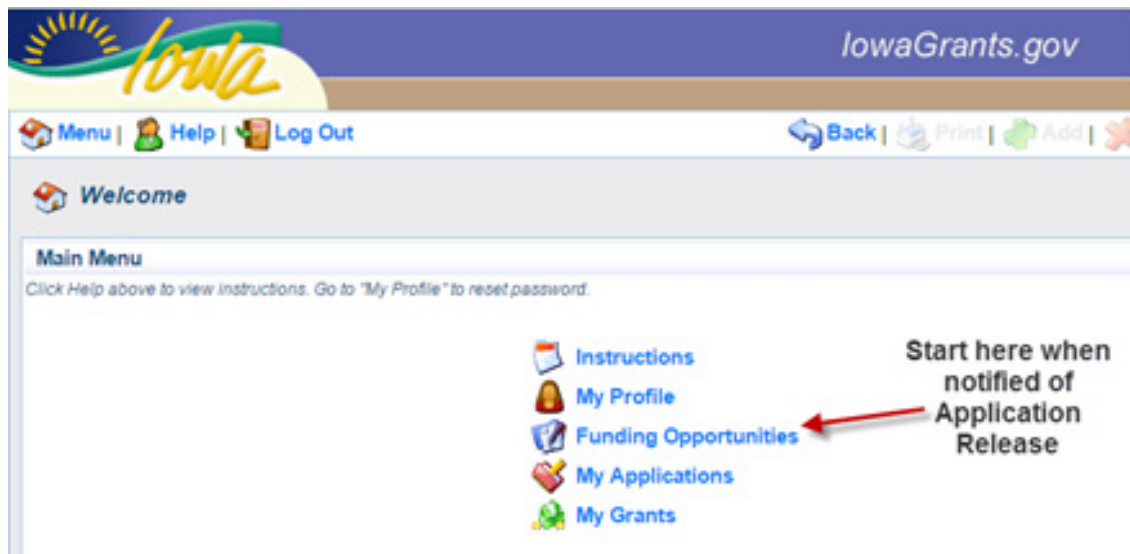
Account Id Examples

Public User Account Format:
firstname.lastname@iowaid

State Employee Account Format:
firstname.lastname@iowa.gov

*If you do not have an @iowa.gov account use your State of Iowa employee email address.

FIGURE 13: IOWAGRANTS MAIN MENU

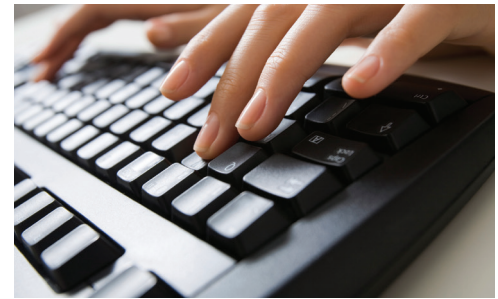


Claims

State funds will be dispersed as lump a sum in the first quarter of the program year while federal funds will be dispersed on a cost-reimbursement basis only. All reimbursements must be submitted according to the procedures outlined in Iowagrants. 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 the regional Department consultant to ensure that the expense claimed is an allowable use of the grant dollars.

The following information must accompany all requests for reimbursement or payment:

- » **For purchases:** Name of the vendor, date of purchase, and amount of expense.
- » **For salaries and wages:** 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, whom it was for, and the amount.
- » **For any other payments:** Information describing where the money went, its purpose, and when it was spent.



SCHEDULE FOR SUBMISSIONS OF REIMBURSEMENT CLAIMS

Grantees must submit reimbursement claims on a quarterly basis by the following dates:

- » July 1-Sept. 30 are due by Oct. 30
- » Oct. 1-Dec. 31 are due by Jan. 30
- » Jan. 1-March 31 are due by April 30
- » April 1-June 30 are due by July 15 (final reimbursement request)

Once the claim form has been completed and submitted electronically, a printed copy must be signed and mailed to the Iowa Department of Education.

Each claim for reimbursement must be supported by adequate documentation. The following list describes the information that must accompany all requests for reimbursement or payment. The documentation should provide:

- » **For purchases:** Name of the vendor, date of purchase, and amount of expense.
- » **For salaries and wages:** 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, whom it was for, and the amount.
- » **For any other payments:** The information provided needs to describe where the money went, its purpose, and when it was spent.

» **For professional development:**

Documentation must include evidence that the activity occurred and be tied back to the plan submitted in the grant application. Evidence could include the agenda of the meetings and sign in sheets, as identified in the local extension plan. This does not include blank templates and should include the what, where, how, and for whom. Documentation for uses of food must include rationale as described in the FAQ Federal Funds for Conference and Meetings.

For example, was this a working lunch or meal as opposed to a brown bag event? Did this allow for Q/A time with a national presenter, or did it allow time off-site to eat and return?

FIGURE 14: CREATE A CLAIM

Menu | Help | Log Out | Back | Print | Add | Delete | Edit | Save

Grant Tracking

1. To create a claim, click Add

Claim General Information

To create a new Claim enter the starting date and the ending date of the Report Period. This is the period of coverage for this Claim.

Claim Type: Reimbursement

Report Period: From [] to []

2. Indicate quarter reporting, then save

Documentation allows the ability to verify expenditures through the reimbursement process for auditing purposes. An invoice provides that proof as well as accounting system reports (general ledger documents, etc.) since community colleges are often externally audited each year.

The standard set for all claims reviewed in Iowagrants is that a spreadsheet will suffice for all personnel service costs. The Department does not expect timesheets or time and effort documentation to be submitted. Documentation must reflect who was paid, how much, and for what time period. For non-personnel expenses, an accounting system report or invoices will suffice as proof an expense occurred. For more details on allowable costs, refer to ["Section VI: Financial Management" on page 100](#).

In addition, applicants must be aware that:

- » AEFLA funds cannot be used to purchase computer hardware and/or software that will be used only partly to serve AEFLA students.
- » Childcare costs for children of AEFLA students are only allowable when other sources of funding have been depleted.

- » Food (coffee, juice, donuts, etc.) to entice prospective students, or as an incentive to get or keep them coming after they are enrolled, is not an allowable expenditure.

Amendments

Occasionally, line items will need to be adjusted for allowable expenses. All amendments for federal funds are submitted and approved through Iowagrants. Line items within budgets can be adjusted, however funds cannot be moved between budgets. All amendments submitted require a revised budget and rationale for expenses.

All adult education and literacy funds are meant to supplement one another to provide increased services to adult learners most in need. *Supplement* means to increase the level of funds that would be made available, while *supplant* means to take the place of. If funds are being used to cover the services or wages of a program that previously was funded from state or local funds, then this would not be seen as an increase. As these issues are very case-specific, questions should be directed to the Department for additional guidance.

FIGURE 15: CREATE AN AMENDMENT

Contract Amendments

ID	Type	Submitted Date	Last Edited By:
1. To start an amendment			

Menu | Help | Log Out | Back | Print | Add | Delete | Edit | Save

Grant Tracking

General Information

Title: (limited to 250 characters)*

Contract Amendment Type: Budget Revision

After naming the amendment, select if it's a budget revision or project revision and then click Save.

There are two types of amendments in Iowagrants: budget amendments and project amendments. The following will help when submitting amendments.

Budget Amendment

- A. Movement of funds within the same budget (i.e. Technology Budget—301 Data Processing to 101 Personnel Services) is allowable. Moving of funds to different budgets is not allowed (i.e. Technology budget to EL/Civics). Multiple changes to budgets may be submitted at one time.
- B. All budget changes require approval by the Department. Please submit a rationale on Iowagrants briefly explaining the changes and why they are necessary. Include a revised budget with the rationale.

Project Amendment

- A. At any time a program might need to alter the services it provides in order to adapt to the changing needs of the students and families served. To ensure that the application is reflective of services being offered, an amendment to modify a program's grant application can be submitted prior to or after the status update in January.

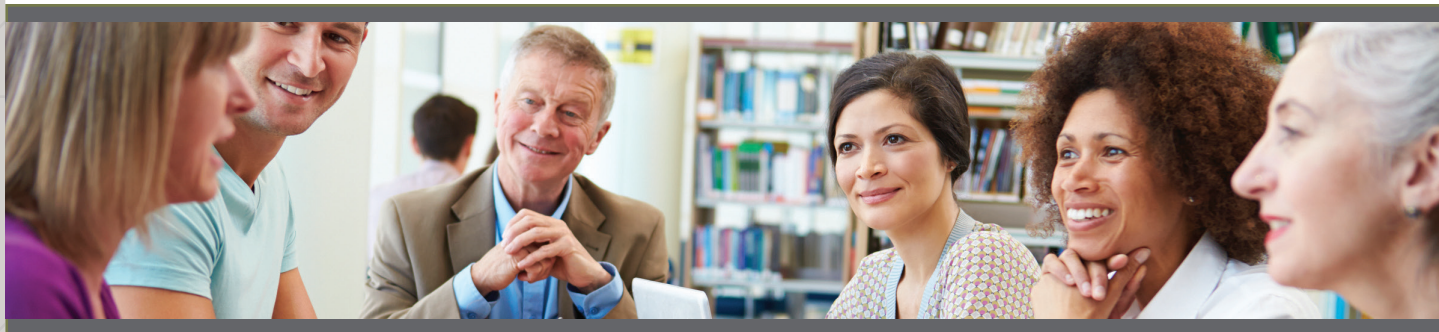
- B. Project amendments should justify why the shift in need necessitates an amendment as well as the change in scope of services and the change in intensity and duration for the program services.

The Department will review the request to determine whether or not revisions or clarifications are needed. If no revisions are needed, the Department will approve the amendment on Iowagrants and create a new budget version, if necessary. Adequate time for the review and approval process must be provided for claims dependent upon a budget amendment.

Negotiations

If at any time during the claim process a claim creates a negative balance in a budget code, or if the amendment does not balance, the regional consultant will negotiate the claim or amendment back to the grantee for correcting. The negotiation will generate an email from Iowagrants identifying the section requested for correcting, a deadline for resubmitting, and an explanation.

It is the responsibility at the point of negotiation to make the correction and resubmit it in a timely fashion in order for the claim to be processed. Failure to resubmit the claim or amendment will stop the reimbursement process.



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Program Operations

Operating an AEL program requires the coordination of a number of elements that will be described in this section through the various stages of operation, maintenance and transition. Incorporation of these elements will facilitate achievement of the AEL program goals to provide continuous improvement to better serve students. Once an organization receives an AEL grant, the following are suggestions to assist in organizing and maintaining a program. There is no specific sequence to these items. These items can overlap and programs should revisit each during the application process and throughout the program year to make adjustments in services and operation of the program.

Needs Assessment

A needs assessment is for the area of service in collaboration with WIOA partners and used to determine the characteristics of the local community. Based on these data, the adult education program can determine the scope of the program, including the number and type of services and classes to offer, class locations, schedules, staffing, instructional materials, and training needs.

Programs should review the needs assessment, as described in the application, and determine whether a revised needs assessment of the target population is required. Methods for assessing need might include data from government reports, surveys, and public comment.

Data collected from the target population should include, but not be limited to, the following:

- » Number of years of prior schooling
- » Educational needs (ESL, AEL, without a high school diploma; work skills development, citizenship)
- » Employment status
- » Social economic status
- » Immigration status
- » Availability for instruction (days of the week, hours of the day)

Personnel and Roles

Each program should have clear expectations of its staff consistent with its philosophy, mission, goals, and standards for program quality. Guided by these expectations, the program should develop a specific staffing plan. Minimum qualifications for both instructional and non-instructional staff should be clearly outlined. The local program is required to keep personnel records, including time and effort documentation, for all eligible AEL staff in accordance with grant requirements. Records must include verification of qualifications and a professional development plan for all staff. Programs are required to keep written job descriptions of all paid and volunteer staff, both instructional and non-instructional. In general, these positions should reflect the responsibilities of both instructional and non-instructional staff as outlined in the chart on the right.

Specific roles are discussed in the next few pages. Not all roles will be represented in each local program; however, the functions should be discussed and a staffing plan must be developed to address the need.

Program Coordinators

The program director is responsible for the overall coordination, administration, and instructional leadership of the adult and/or family literacy education program. The duties include, but are not limited to, ensuring compliance with state and federal policies, providing adequate staffing, providing new staff with agency-specific orientation, providing fiscal oversight, providing leadership in program improvement and professional development, coordinating adult education services where required, and maintaining contact with institutions of postsecondary education and training, local businesses, and community service organizations. *Program coordinators as leaders will perform the tasks outlined on the right. This list is not exhaustive.*

LEADERSHIP TASKS

1. Oversee the program improvement team.
2. Participate with the professional development specialist/lead instructor to create and maintain a professional development plan.
3. Work with professional development specialist/lead instructor to guide development of staff professional development.
4. Work closely with the state AEL consultants to support these efforts.
5. Keep current with best practices.
6. Be knowledgeable about adult learning theory.
7. Ensure that program improvement supports quality instruction.
8. Ensure coverage for classes while instructors attend training.
9. Ensure the organizational structure and support needed for staff to participate in and benefit from long-term, job-embedded professional development.
10. Provide instructors with access to their data to help inform instruction.
11. Approve staff to attend position-appropriate trainings and ensure that they complete those trainings.



INSTRUCTIONAL & NON-INSTRUCTIONAL STAFF

- » Work with the professional development specialist or lead instructor to plan professional development based on identified needs to improve instruction and/or services to students.
- » Participate in position-appropriate professional development activities that support individual professional development needs.
- » Participate in program improvement efforts such as:
 - » participating in the program improvement team;
 - » identifying program improvement goals;
 - » reviewing data and providing related feedback on impact of program improvement efforts; and
 - » implementing program changes.
- » (Refer to roles described under classroom instructor.)

Intake/Assessment Specialist

The intake/assessment specialist will have training in assessment administration, be familiar with all approved standardized assessment instruments, and attend periodic refresher assessment training. Duties include, but are not limited to, conducting program orientation, conducting formal and informal assessments, collecting intake information, initiating participant goal setting, evaluating participant readiness, and coordinating with case manager and instructor. This role may be combined with other positions.

Case Manager/Navigators

Best practices recommend that the case manager be a dedicated position to ensure supportive services and to assist with retention efforts. These duties may be combined with other functions. In cases where this is not possible, the staff assigned to navigation duties must be given sufficient dedicated time to fulfill their duties. The position will have training in educational counseling and attend periodic relevant professional development courses. Services should be made available at flexible times to meet participants' needs, including during class hours. Navigators should be available, as needed, to any student enrolled in an adult education program. The duties include, but are not limited to: participating in program orientation; reviewing goals and analyzing assessments; coordinating with intake specialist and instructor; making referrals to other community resources and agencies; assisting with addressing barriers to attendance, such as childcare and transportation; providing access to resources to assist with transition to workforce or postsecondary education and/or training; and documenting counseling activities and hours.

Classroom Instructor

Classroom instructors should spend at least 80 percent of their paid time in instruction. The program must ensure that adequate time is allotted for lesson planning, professional development, leadership activities, and program improvement efforts. Other duties include, but are not limited to, participating in program orientation, periodically reviewing goals, adjusting student placement, if needed, and coordinating with intake specialist and case manager. All instructor positions, full- or part-time, require a four year college degree.

Data Quality Specialist

Data quality specialists will have data entry skills, knowledge of the assessments used by the program, training in use of the TE[®] system and a complete understanding of services offered by the agency to ensure accurate data entry. The duties include, but are not limited to, overseeing data entry for the agency, ensuring timely, complete, and accurate entry of data, performing regular review of data for errors, and ensuring immediate corrections, when needed. This role may be combined with other positions.

Distance Education Liaison

Programs that refer students to distance education should, at a minimum, have a distance education liaison to serve as the point of contact between the program and the approved distance education curriculum. These duties may be combined with other functions. Additional duties may include, but are not limited to, maintaining contact with the referred student in case the student requires additional instructional or support services and coordinating student post-testing according to the Assessment Policy Guidelines.

Professional Development Specialist/Lead Instructor

The local professional development specialist or lead instructor should be a staff member with current or prior adult education teaching experience and preferably not be filled by the program coordinators.

The lead instructor works with other staff to develop and implement an individual professional development plan in coordination with the program's mission, goals, continuous improvement plan, and professional development needs. Duties include, but are not limited to, coordinating professional development activities within the program and with the state's targeted professional development, supporting staff in implementing new skills and knowledge, and working closely with the professional development system and the program coordinator around instructional quality. All instructor positions, full- or part-time, require a four-year college degree. Professional development specialists and lead instructors will perform the tasks outlined on the right.

Tutor Coordinator

Tutor coordinators provide training and support to volunteer adult education instructors and their learners. This role may be combined with other positions. The duties could include, but are not limited to, implementing effective processes for tutor screening, making referrals to the case manager, participating in orientation, conducting training sessions, assigning and supporting tutor-student pairs and/or groups, providing ongoing supervision of tutoring staff, and working with the professional development specialist to coordinate tutor professional development.

PROFESSIONAL DEVELOPMENT SPECIALIST/LEAD INSTRUCTOR TASKS

1. Work with program coordinators to create and maintain the program continuous improvement/professional development plan.
2. Be an active member in the program improvement team.
3. Work with program coordinators to guide development of staff professional development in support of the program.
4. Support staff to address individual professional development plans.
5. Coordinate and guide the job-embedded professional development process for staff.
6. Assist in the implementation of a variety of formats of professional development (e.g., study circles, coaching, online courses, lesson studies) that support the core features of high-quality, job-embedded professional development.
7. Serve as the main contact between the program improvement team and the state professional development team.
8. Assist the staff in the implementation of the state's high-quality professional development system as described in [Section VII—Professional Development Systems](#).

Volunteer Classroom Aide

Volunteer classroom aides provide supplemental instruction to a learner or learners enrolled in a class or group. While volunteer classroom aides do not have primary responsibility for instructional planning, in cases where they prepare lessons, they must share the lesson(s) with the primary instructors to ensure the supplemental instruction aligns with the classroom instruction. Unlike the volunteer instructor position, the volunteer classroom aide position does not require a four-year degree and has no minimum hours per week.

Sites and Class Schedule

Locations for classes should reflect the results of the needs assessment and the participatory planning committee suggestions. Suitable sites should be in compliance with the requirements of the Americans with Disabilities Act (ADA) of 1990, as amended, and be easily accessible.

Programs might consider entering into a service contract agreement with participating sites. The program and each site should meet before the beginning of the classes. If the adult education program is using classroom space in a school, the teachers whose classrooms are being utilized should be included in such meetings so all parties will agree on how to share the space. Programs should expect to invest time on an ongoing basis with each site.

It is recommended that program coordinators provide representatives of their sites (principals, librarians and partners) with annual or semi-annual updates of the size and scope of the classes at that site, including student retention.

The class schedule should reflect the results of the needs assessment, participatory planning, and committee input. The more intensive the classes (more contact hours per week), the higher the probability that students will achieve their goals. Program coordinators should develop an annual calendar of classes and sites with all partners in consideration of each site's hours of operation and annual calendars. Some schools close during holidays and summer months, but programs should not close longer than four consecutive weeks. The class schedule should take these fluctuations into account. 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); and
- » 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.

Books and Materials

Program leaders and/or selection committees choose instructional resources that best meet student needs based on the student's achievements on the assessment tests. The variety of instructional resources that may be used in the educational process is diverse and can come in many different formats. Regardless of the format, instructional resources should be aligned with the adopted content standards, College and Career Readiness Standards, Iowa's Core—21st Century Skills, English Language Proficiency Standards, and any relevant industry- or occupation- related standards. Making instructional materials available to students can raise legal issues of copyright and the fair use of intellectual property.

Copyright Issues

Current copyright law protects nearly all text, images, audio-visual recordings, and other materials, even if the original works do not include a statement about copyright. Copying and posting copyrighted works online, even for instructional purposes, may violate the legal rights of copyright owners. As a first step in considering the use of materials, consider these legal alternatives:

- » Secure permission from the copyright owner.
- » Link to materials on other sites, rather than copying and posting.
- » Use material in the public domain—two guides to determine if a work has entered the public domain are Cornell’s *Copyright Term* and the *Digital Copyright Slider* of the American Library Association Office for Information Technology Policy.
- » Lawfully use protected materials after a “[fair use](#)” [evaluation](#), including finding public domain sources and analyzing for fair use.

Communications and Recruitment

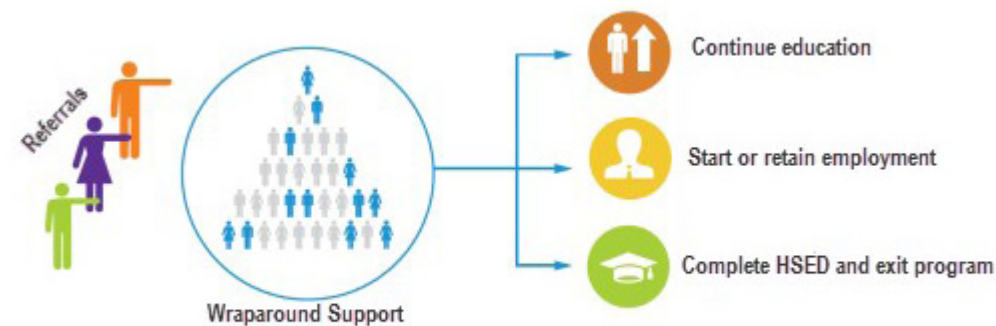
Programs should design communication and recruitment strategies to match the target audience so that services are attractive and accessible to those most in need. Efforts should be made to communicate the value and purpose of the program to the community and learners. Strategies that maximize personal contact with prospective students and include local program initiatives generally have most impact. Refer to [Section VIII-Public Awareness and Communications](#) for details on the state campaign and style guide.

Managing an effective adult education and literacy program is much easier when you share experiences with others. Programs should become familiar with other AEL programs and staff in their region and around the state.

Partnerships

Successful programs work to establish strong partnerships. A pipeline strategy that includes partners prior, during, and after AEL instructional services, as depicted in Figure 16, allows for maximum streamlining of activities.

FIGURE 16: PIPELINE STRATEGIES



Working together, the services can be seamless as partners contribute to the Adult Education and Literacy program pipeline

Partnerships require consistent effort in order to be sustained. Programs should partner with the stakeholders and communities they serve to develop and maintain relationships proven effective for all involved parties: students, adult education programs, the business community, social services, One-Stops, postsecondary education institutions, the participatory planning committee, and others.

It is important for partners to understand other organizations' systems, legislative drivers, policies, and parameters. This is important to reduce duplication of services to shared customers and increase the sharing of resources. In developing partnerships with other agencies, local programs are cautioned not to create new bureaucracies, but rather to take advantage of the strengths of each agency.

Communication, which is key to building trust in partnerships, is enhanced through setting up systems – personal, paper, and electronic – for information sharing, clarifying responsibilities, clearly expressing

expectations, and listening. Communication must be open and frequent, using formal and informal channels. Differences in addressing customer privacy issues should be discussed among all partners. Professional development training and materials are provided for cross-training purposes among the partners.

Programs and partners should collaborate on the effective use of resources including funding, technology, staff, and professional development. Financial resources include contributions from member organizations, as well as any the group obtains from outside sources. Outside resources may include partners' in-kind contributions such as: paid staff time; facilities, including custodial services; utilities; supplies; materials; or volunteer time. Human resources that can be committed to projects can include skilled coordinators, committed leaders, and a bountiful mix of knowledge, skills, and abilities among the partnership's members.



WIOA Development and Program Services

In the delivery of services to meet the program’s goals, the program must provide high-quality instruction while integrating the following elements:

- » Student Experience Model, or an adaptation;
- » Standards framework;
- » Research-based principles of adult learning; and
- » Student-centered, holistic approaches to teaching.

Additionally, programs must strive to provide opportunities for their participants that meet the individual needs for progressing to postsecondary credential attainment and/or employment. Through the evaluation of proposed rules, there are several elements of WIOA that require AEL programs to transition to in program services. Identified areas include, but are not limited to, integrated education and training activities, workforce preparation activities, and the development of career pathways.

Integrated Education and Training (Sec. 203(11))

A key shift in the definitions for AEL has been the term, Integrated Education and Training:

A service approach that provides adult education and literacy activities concurrently and contextually with workforce preparation activities and workforce training for a specific occupation or occupational cluster for the purpose of educational and career advancement.

The required components for Integrated Education and Training has been identified and as:

1. Adult Education and literacy activities as described in Sec. 463.30
2. Workforce preparation activities as described in Sec. 463.34, and
3. Workforce training for a specific occupation or occupational cluster, which can be any of the training services defined in section Sec. 134(c)(3)(D).

Program success is dependent upon strong partnerships before, during, and after services.



BENEFITS OF PARTNERSHIPS

The benefits of partnerships can include:

- » Expanded delivery of services where they have never been delivered, often resulting in fewer resources needed.
- » Resolution of proprietary issues between organizations and agencies.
- » Ownership among all parties.
- » Establishment of a systematic and consistent approach to problem solving.
- » Cost savings through the sharing of resources which also increases the maximum capacity-building capabilities and provides added resources to the programs and services of all partners.
- » Potential for additional generation of revenue.
- » Increased services and satisfaction of common customers.

The specific allowable services, as defined in statute and proposed regulation for each of these components, are as follows:

Workforce Preparation Activities

(Sec. 463.34)

1. Activities programs, or services designed to help an individual acquire a combination of basic academic skills, critical-thinking skills, digital literacy skills; and
2. Self-management skills including; utilizing resources; using information; working with others; understanding systems; skills necessary to transition into and complete postsecondary education, training, or employment; and other employability skills that increase an individual's preparation for the workforce.

Workforce Training for a Specific Occupation or Occupational Cluster

(Sec. 134(c)(3)(D))

- i. Occupational skills training, including training for nontraditional employment;
- ii. On the job training;
- iii. Incumbent worker training in accordance with subsection 134(d)(4);
- iv. Programs that combine workplace training with related instruction, which may include cooperative education programs;
- v. Training programs operated by the private sector;
- vi. Skill upgrading and retraining;
- vii. Entrepreneurial training ;
- viii. Transitional jobs in accordance with subsection 134(d)(5);
- ix. Job readiness training provided in combination with services described in any of clauses (i) through (viii);

- x. Adult education and literacy activities, including activities of English Language acquisition and integrated education and training programs, provided concurrently or in combination with services described in any of clauses (i) through (vii); and
- xi. Customized training conducted with a commitment by an employer or group of employers to employ an individual upon successful completion of the training.

To integrate these components through the program and instruction and offer concurrently and contextually such that:

- a. Within the overall scope of a particular Integrated Education and Training program, the adult education and literacy activities, workforce prep activities, and workforce training activities are:
 1. instructionally balanced proportionally across the three components, particularly with respect to improving reading, writing, mathematics, and English proficiency of eligible individuals;
 2. occur simultaneously; and
 3. uses occupationally relevant instructional materials.
- b. The Integrated Education and Training program has a single set of learning objectives that identifies specific adult education content, workforce prep activities, and workforce training competencies, and the program activities are organized to function cooperatively.

The proposed rules clarified what it means for an Integrated Education and Training program to meet the requirement that the program be “*for the purpose of educational and career advancement.*”

A provider meets the requirements for educational and career advancement if:

- a. The adult education component of the program is aligned with the state’s content standards for adult education as described in the state’s Unified or Combined State Plan; and
- b. The Integrated Education and Training program is part of a career pathway.

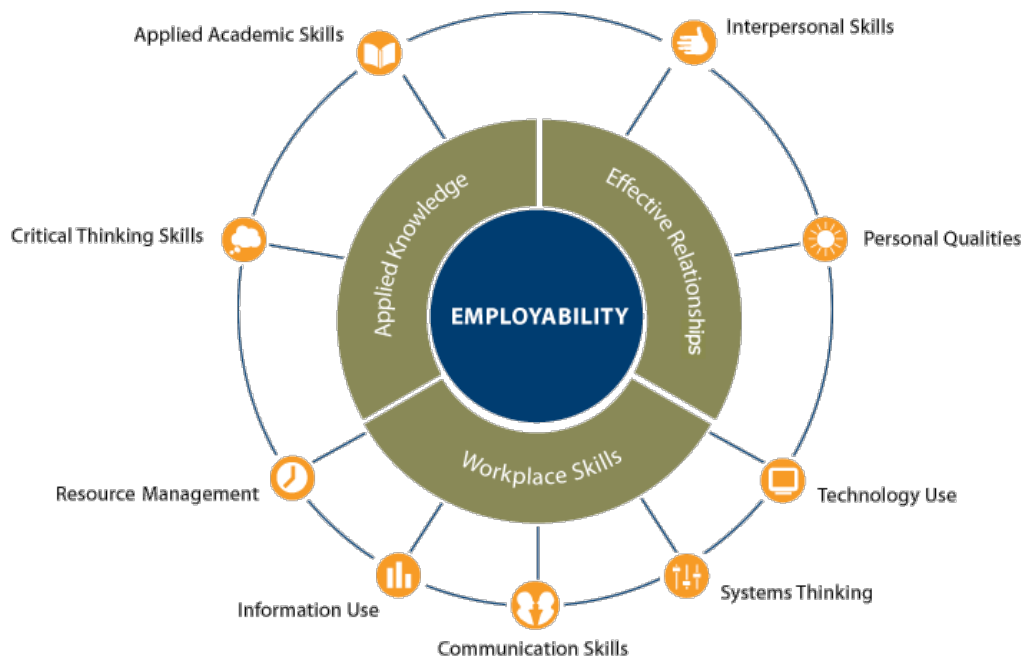
Full implementation of the components to meet the identified requirements will require a shift in adult education and literacy’s typical service approach. This shift will take time and require significant planning. Efforts to address each component through professional development activities are underway with Integration and Alignment, Career Pathways, and College and Career Readiness Standards.

Workforce Preparation Activities

Activities are defined as programs or services designed to acquire a combination of “employability skills”, a critical component of college and career readiness. The education and workforce communities are increasing their focus on how these skills can be embedded into instructional practices at all levels and content areas. In the past, these skills were taught in stand-alone workshops or add-ins just prior to exiting the program. WIOA is shifting this practice.

The Employability Skills Framework, an initiative of the U.S. Department of Education, defines employability skills as the “general skills that are necessary for success in the labor market at all employment levels and in all sectors.” These skills fall into three categories applied knowledge, effective relationships, and workplace skills (see Figure 17 below).

FIGURE 17: EMPLOYABILITY SKILLS FRAMEWORK



Employability skill standards are captured in the Iowa Core—21st Century Skills. In combination with the College and Career Readiness Standards, instructors have a full range of standards to incorporate into their lesson planning. Since employability skills are not intended to be taught alone, these standards can be emphasized through integration with academic and technical skill instruction. Other guidelines to keep in mind when teaching employability skills include:

- » Documenting employability skills that are embedded in classroom practice, which helps students to realize the connection between education and employment.
- » Integrating employability skills (standards) in everyday lessons, at every level and in every content area.
- » Knowing that the development of employability skills does not occur in one or two classes, but grows during a student’s educational career.
- » Emphasizing various employability skills in classroom activities but understanding that all skills cannot be addressed in every class.

The [Lesson Planning Checklist](#) from the Employability Skills Framework is a tool to support the instruction and assessment of employability skills and 21st century standards. Instructors can use it to document how employability skills are being reinforced in the classroom, as a planning and reflection tool, and as a vehicle for communicating with students and other stakeholders. Local programs can use the tool to guide curriculum development, classroom observations, and professional development activities and as confirmation of classroom practice.

Career Pathways

By highlighting career pathways in the Purpose of the WIOA, it is clear that the development and integration of career pathway activities within adult education and literacy instruction is an important, and required concept. To provide more than just workforce training, more than just one integrated course that leads to a credential, programs must explore their ability to become engaged in the delivery of career pathways. Career pathways are a series of career ladders and lattices that allow students to advance their skills and careers over time. Pathways must consider the specific credentials and skill gains students need to advance into both the workplace and the next level of education and training. The use of the phrase “through career pathways” implies a number of programming and instructional techniques including contextualized (job skills) content, bridge programming, integrated adult education and skill training modules, and other important career pathway structural elements.

Career pathways help people earn postsecondary credentials, find middle-skill jobs, and advance their careers by aligning education, job training, and basic support services so that individuals can build their skills even as they continue to work and support their families. People participating in career pathways should be able to move seamlessly across programs to continuously improve their employment and earnings potential. While career pathways are meant to serve people at different skill levels, they are particularly important for providing low-skilled individuals with access to a set of skill-building services that can help them succeed in middle-skill jobs. Career pathways

also help employers by providing them with skilled workers required to sustain and grow their businesses. Career pathways are required as a key skills strategy for states under the new WIOA.

The state has established a Sector Partnership Leadership Council that supports the work of the State Workforce Development Board and the implementation of WIOA. Part of that work has included developing resources, such as [sector partnership toolkits](#), and reinforcing common definitions like career pathways. [Iowa Administrative Code \(IAC\) 281-23\(4\)](#) provides guidance on the role programs have in developing career pathways.

Collaboration (Sec. 23.4(1))

Adult education and literacy programs shall coordinate with other available education, training, and social service resources in the community for the development of career pathways, such as by establishing strong links with elementary schools and secondary schools, postsecondary educational institutions, institutions of higher education, local workforce investment boards, one-stop centers, job training programs, social service agencies, business and industry, labor organizations, community-based organizations, nonprofit organizations, and intermediaries.

DRAFT DEFINITION OF CAREER PATHWAY

A **career pathway** organizes rigorous and high-quality education, training, and other services related to a targeted industry cluster to meet the education and skill needs of the region, state, and the particular needs of an individual, all in the context of workforce preparation. This is achieved through collaboration between industry partners and support partners within a sector partnership.

A career pathway must include advising and support services which identify education and career needs and goals to meet the needs of individuals with or without the need for relevant and reasonable accommodations. To meet the needs of all individuals, a career pathway must be equipped to effectively:

- » Enable an individual to attain a secondary school diploma or its recognized equivalent and at least one recognized postsecondary credential;
- » Prepare an individual to be successful in any of a full range of secondary and postsecondary education options, including apprenticeships; and
- » Help an individual enter and advance within a specific occupation or occupational cluster.

Attention should be given to strategies and approaches which accelerate the educational postsecondary credential attainment and career advancement of the individual to the extent practicable. Such strategies may include, but are not limited to, the concurrent delivery of adult education and eligible postsecondary education programs, and “bridge” curricula which connect adult and basic education to workforce preparation programs and integrate education and training to allow students to advance in their education and employment.

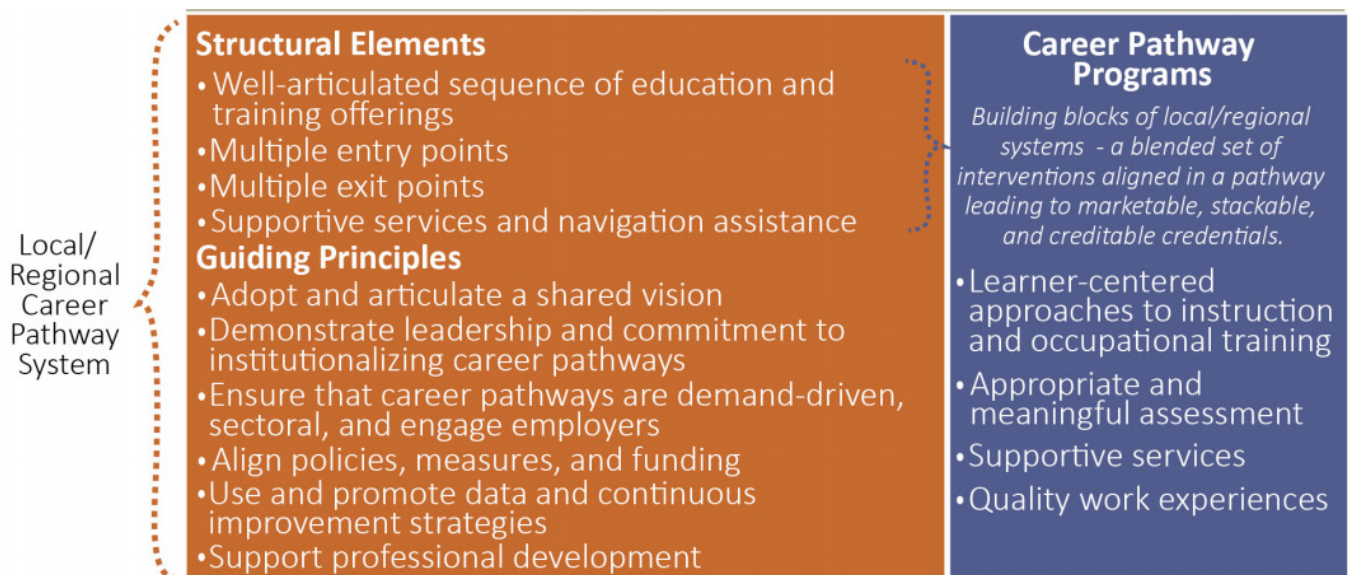
Use of State Funds (Sec. 23.4(2))

Only activities directly linked to adult education and literacy programs and instruction shall be funded with monies received from state adult education and literacy funds. Consideration shall be given to providing adult education and literacy activities concurrently with workforce preparation activities and workforce training for the purposes of educational and career advancement.

The career pathway approach is important for under-prepared students, because it incorporates and integrates best-practice service models, such as: participant-focused education and training;

consistent and non-duplicative assessments of participants' education, skills, assets, and/or needs; support services and career navigation assistance; and employment services and work experiences that have been shown to help under-prepared youth and adults obtain postsecondary credentials and good jobs. The career pathway approach also incorporates sector strategy principles by deeply engaging employers to increase the relevancy and labor market value of participants' skills and credentials, which in turn improves participants' employment prospects.

FIGURE 18: CLASP CAREER PATHWAY SYSTEM



Policies

Policies change as needed to comply with state and federal guidelines. Below is a description of the policies that are currently in place in Iowa.

Student Eligibility Policy—Federal

As defined by WIOA, Title II, Adult Education and Family Literacy Act, “adult education” includes services or instruction below the postsecondary level for students who:

- A. Have attained sixteen years of age;
- B. Are not enrolled or required to be enrolled in secondary school under state law; and
- C. Who –
 - i. are basic skills deficient;
 - ii. do not have a secondary school diploma or its recognized equivalent and have not achieved an equivalent level of education; or
 - iii. are unable to speak, read, or write the English language.

Services and instruction may be provided to individuals sixteen, seventeen, and eighteen years old who meet the requirements above. Additionally, in order to satisfy requirement B, the student must:

- A. Provide documentation of official withdrawal from school on official school letterhead signed by superintendent or designee, or
- B. Provide written evidence of a high school diploma.

Documentation of official withdrawal or a copy of the diploma must be verified prior to enrollment and must be kept on file with other required student records (i.e., standardized assessment and other test records).

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).

The WIOA does not require individuals to demonstrate that they are legal residents of the United States as a condition of enrollment in programs. Individuals from other countries need only satisfy the same requirements as others with the exception listed in this section.

Student Eligibility (Sec. 281-23.5(260C)) - State

In Iowa, the eligibility of an adult education and literacy participant has been defined by administrative code, Chapter 23. A person seeking to enroll in an adult education and literacy program shall be at least 16 years of age and not enrolled or required to be enrolled in a secondary school under Iowa Code section 299.1A and shall meet one of the following eligibility requirements:

1. Lacks sufficient mastery of basic educational skills to enable the person to function effectively in society, demonstrated by a score of Adult Secondary Education (Low) or lower in at least one modality;
2. Does not have a secondary school diploma or a recognized equivalent; or
3. Is unable to speak, read, or write the English language.

Accessibility

The Iowa Adult Education and Literacy program requires that all persons shall have 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; in treatment of individuals with disabilities; or in any aspect of operations. Iowa AEL does not discriminate in:

- » Admission and access to its programs, services, locations, or activities,
- » 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) of 1990 as amended 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.”

Accommodations

Students who present documentation of their disability have a right under the 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 through [CASAS: Guidelines for Providing Accommodations Using CASAS Assessment for Learners with Disabilities](#). Many adult learners state that getting a High School Equivalency diploma (HSED) is their primary reason for entering adult education programs.

For information on accommodations for test takers with disabilities or health related needs or applying for HSED accommodations, refer to hiset.ets.org. Information is also maintained on the Iowa Department of Education AEL website.

At a minimum, students should be screened for potential learning disabilities. The following questions are examples:

- » Do you think you have trouble learning?
- » What are your hardest subjects?

If students answer positively, the appropriate investigation should occur to determine how best to serve the student in the program. Refer to [Section IV—Instructional Services](#) for more information on initial screening,

In order to provide the best possible services, AEL programs should identify individual differences through appropriate screenings and assessment, then find and implement the appropriate adaptations, accommodations, and instructional strategies to help students progress. The policy for serving adults with disabilities has been included in the eligibility policy and should be implemented accordingly by programs.

Confidentiality and Personally Identifiable Information Policy

Pursuant to the Federal Education Rights and Privacy Act (FERPA) and other applicable state and federal laws, confidentiality of adult education and literacy student records is a priority.

FERPA requires that, with certain exceptions, education agencies obtain written consent prior to the disclosure of personally identifiable information (PII) from a student record. However, FERPA allows education agencies to disclose appropriately designated “directory information” without written consent, unless the student has advised the agency to the contrary in accordance with agency procedures.

- A. All local AEL programs are responsible for ensuring that TE[®] data entry is completed only by authorized staff. Authorized staff must maintain their own login information (e.g. username, password) and keep the information secure. It is strongly encouraged that coordinators have a signed [Personnel Confidentiality Agreement](#) on file for every staff or faculty member who has access to confidential information.
- B. Appropriate measures must be taken to ensure student records are protected from loss, theft, or other compromise. Student records may be transported to approved TE[®] data entry sites, ensuring confidentiality and safety at all times. Student records may not be taken to public locations (e.g. staff member’s home, other non-AEL work location). If there are any doubts to the security and confidentiality of information, refer to the [FERPA Facts](#).

- C. Secure (encrypted) transmission methods must be used when transmitting student data electronically. **Data containing personally identifiable information (PII) cannot be stored in cloud storage** such as Google Docs, Dropbox, iCloud, or OneDrive. Data specialists responsible for PII, or other data, should designate where sensitive information should be stored. Generally, sensitive information is stored in approved folders on the program’s secured server.
- D. Strictly confidential information regarding a student cannot be discussed nor can any record be shared without a written release of 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 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 HSED scores.
- E. 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.
- F. 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. Refer to the [Assessment Policy](#) for additional information.

Social Security Numbers

While social security numbers (SSN) are not a requirement of participation in WIOA Title II programs, adult education programs must attempt to gather Social Security information from students. A student may refuse to provide his/her SSN to a local program; however, local program personnel will explain how this information is used and its importance in demonstrating program performance, as this makes the student’s achievement non-reportable. This can be done by indicating to students:

1. The purpose(s) for requesting an SSN;
2. The fact that this data is kept confidential;
3. Student names and other personal identifiers are not disclosed in the federal reporting process.; and
4. The need to have accurate data for outcome reporting to continued federal support for the program.

Assessment Policy

Federal guidelines have stated that assessment procedures to fulfill the accountability requirements of WIOA must be valid, reliable, and appropriate. As noted in Chapter 23—Adult Education and Literacy Programs section 8 "Performance and Accountability", a key performance indicator is identified as compliance with the assessment policy:

a. Compliance. Adult education and literacy programs shall adhere to the policies and procedures outlined in the state assessment policy. Data shall be submitted by the tenth day of each month or, should that day fall outside of standard business hours, the first Monday following the tenth day of the month. All adult education and literacy programs shall comply with data quality reviews and complete quality data checks as required to ensure federal compliance with reporting.

Refer to the [Assessment Policy](#) for additional information.

Co-Enrollment with Core Partners

WIOA requires eligible providers to state in their application for Title II funds how they will align with the local workforce plan, including how they will promote co-enrollment. Section 232 states:

A description of how the eligible provider will provide services in alignment with the local plan under section 108, including how such provider will promote concurrent enrollment in programs and activities under title I, as appropriate. (Section 232. Local Application)

This work will be established in the service agreement modeled at the state and developed at the local level as appropriate to the needs and program issues during this transition period.



Concurrent Enrollment with Education and Training Programs

A program memorandum was released from the Office of Career and Technical Education in June 2010 that supports the continued efforts as outlined in WIOA concerning concurrent enrollment:

There is no prohibition in AEFLA against enrolling an individual who is participating in an adult education program funded under AEFLA in occupational training for which postsecondary credit may be earned. No statutory prohibition in AEFLA prevents a participant in a program funded by AEFLA from co-enrolling in such training at any level. AEFLA does, however, prohibit enrolling students in AEFLA-supported adult education if those students are still enrolled or required to be enrolled in secondary school (see section 9202(1)(B) of AEFLA).

It is the expectation that adult concurrent enrollment opportunities are available and encouraged. When concurrently enrolled, the student has all the rights, privileges, and responsibilities inherent in his or her relationship to each institution. Concurrent enrollment may be at the college level or the academic foundations level. An AEL student is considered concurrently enrolled when the student is enrolled in AEL course work and also enrolled in at least one of the career clusters. A student's AEL course work must not include the academic subjects for which the student is enrolled in college courses or technical programs and/or courses and paying tuition. No college credit would be awarded for AEL course work.

Professional Development Policy

This policy is described in detail in [Section VII—Professional Development System](#).



DEFINITION OF CONCURRENT ENROLLMENT

Concurrent enrollment occurs when an adult student is enrolled in two educational institutions at the same time, receiving educational programs, services and/or benefits from each. These services may include courses, support services, facilities and equipment, or other services necessary to succeed within the continuum of education in Iowa. When concurrently enrolled, the student has all the rights, privileges and responsibilities inherent in his or her relationship to both institutions.

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Iowa AEL Program Models

Programs have adopted various scheduling, intake, and delivery models for their classes. Some models are more effective than others for attracting and retaining students. Three instructional models are recognized by the Department: (1) Managed, (2) Open Entry/Open Exit, and (3) Tutoring. Programs should ensure that they use the model that best meets the needs of the targeted student population. Although programs are free to select the models that will be used, the state is committed to increasing the number of managed classes offered statewide.

Retention is crucial to student success; therefore, it is imperative that programs incorporate structure, evidence-based strategies and practices that encourage student motivation, persistence, and achievement. The development of a student experience model is based on student retention research. The framework was designed to:

- » Promote the development of systematic processes, procedures, and program components that enhance the quality of literacy services and increase student retention; and
- » Help local programs meet the standards and benchmarks and the accountability requirements.

Instructional 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. The Comprehensive Adult Student Assessment System (CASAS) test vendor recommends 70 to 100 hours of instruction and requires a minimum of 40 hours of instruction to demonstrate academic progress.

The Tests of Adult Basic Education (TABE) assessment is also used in Iowa to measure student educational functioning gain. The TABE test vendor recommends 50-60 hours of instruction and requires a minimum of 40 hours for AEB levels 1-4, and 30-59 hours and a minimum of 30 hours for ASE level if TABE9/10 are used. For TABE CLAS-E, 60-95 hours of instruction is 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.

Managed Enrollment Classes

Managed classes have an established cycle with both a start and an end date. Student attendance policies are expected to be in place, explained to students, and enforced; for example, students may miss no more than a specific number of classes and must re-enroll if they exceed the allowed number of absences.

Classes that use the managed structure offer scheduled registration and assessment at regular intervals. New applicants are asked to come for registration at those appointed times. Managed enrollment classes should provide instruction in the contexts of community, worker, and family.

Learning is contextualized when instructional content, methods, and materials are related to the learner experiences and environment. Learning occurs best when context is embedded in instruction, when the skills or knowledge can be quickly applied in daily life, and when learners can construct personal meaning. For further information refer to *Managed Enrollment: An Opportunity to Reinvigorate the Adult Basic Education Experience* available at <http://www.mcae.net/documents/ManagedEnrollment.pdf>.

Note: *All managed classes must meet for a minimum of 5 hours a week.*

Short-Term and Special Topic Classes

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). Due to 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 include sufficient contact hours to meet recommended post-testing guidelines.

Some special topic classes are specifically designed to address employability skills for a specific occupation or occupational cluster for the purpose of educational and career advancement. These classes integrate education and training to provide adult education and literacy activities that are concurrent and contextualized with workforce preparation and training activities.

Open Entry / Open Exit (Continuous Enrollment) Classes

Many adult education and literacy classes are organized as an open entry/open exit class. They are either in operation year round or throughout the program year with shortened hours during the summer. Students enroll, exit the class, and 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 attend consistently enough to make progress.

Open entry/open exit classes (sometimes referred to as continuous enrollment) means 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 sufficient instructional hours.

Learning Lab Classes (Tutoring)

Adult education and literacy programs often try to manage the comings and goings of participants by establishing a learning lab setting. These open sessions are used by students and programs to make up hours of instruction or to accommodate difficult scheduling issues. In this type of setting, there is a pattern of testing and prescribing materials, such as worksheets, textbooks or other independent study materials. Keep in mind that not all students can successfully work independently.

Student Experience Model

The "[Student Experience Model](#)" on page 63) represents good practices employed by AEL programs. It delineates the sequence of events that a student encounters as he/she goes through the educational process. Variations in the model exist based upon program structure and student needs. Intervention and referral to other services may occur at any time during the

student's experience in an adult education and literacy program. The model describes more than just the intake process by tracking the student's progress, revised learning plan, and exit from the program.

The chart shows the elements of the model as separate and distinct. However, based on the variety of student needs and services available in an adult education and literacy program, these elements may overlap or blend together. With the implementation of WIOA, elements of delivery and the flow of processes with core partners should be reviewed and lead to refining local program models.

The Workplace Education Model is included below. (Figure 19) This model may be followed for adult education and literacy classes offered at work sites, especially when services have been customized to meet the employer's needs.

FIGURE 19: WORKPLACE EXPERIENCE MODEL

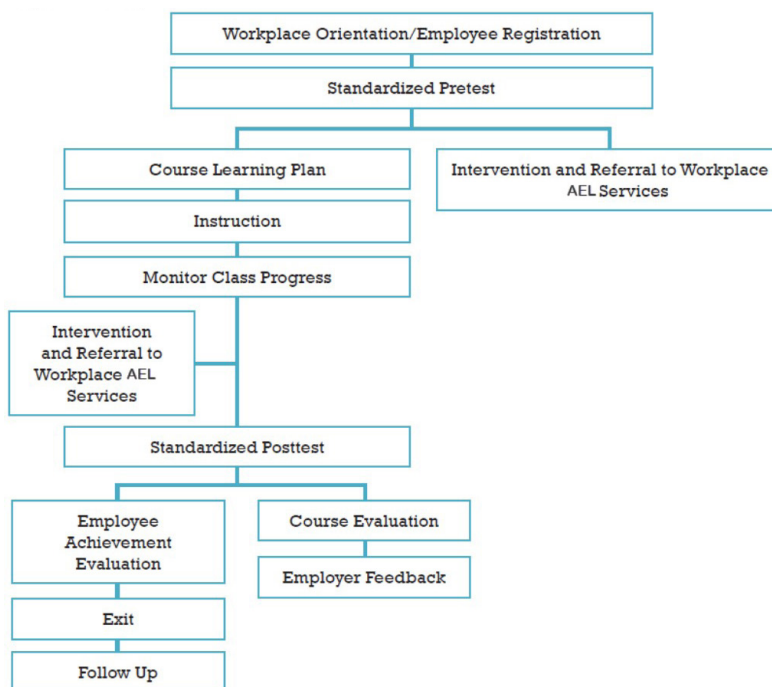
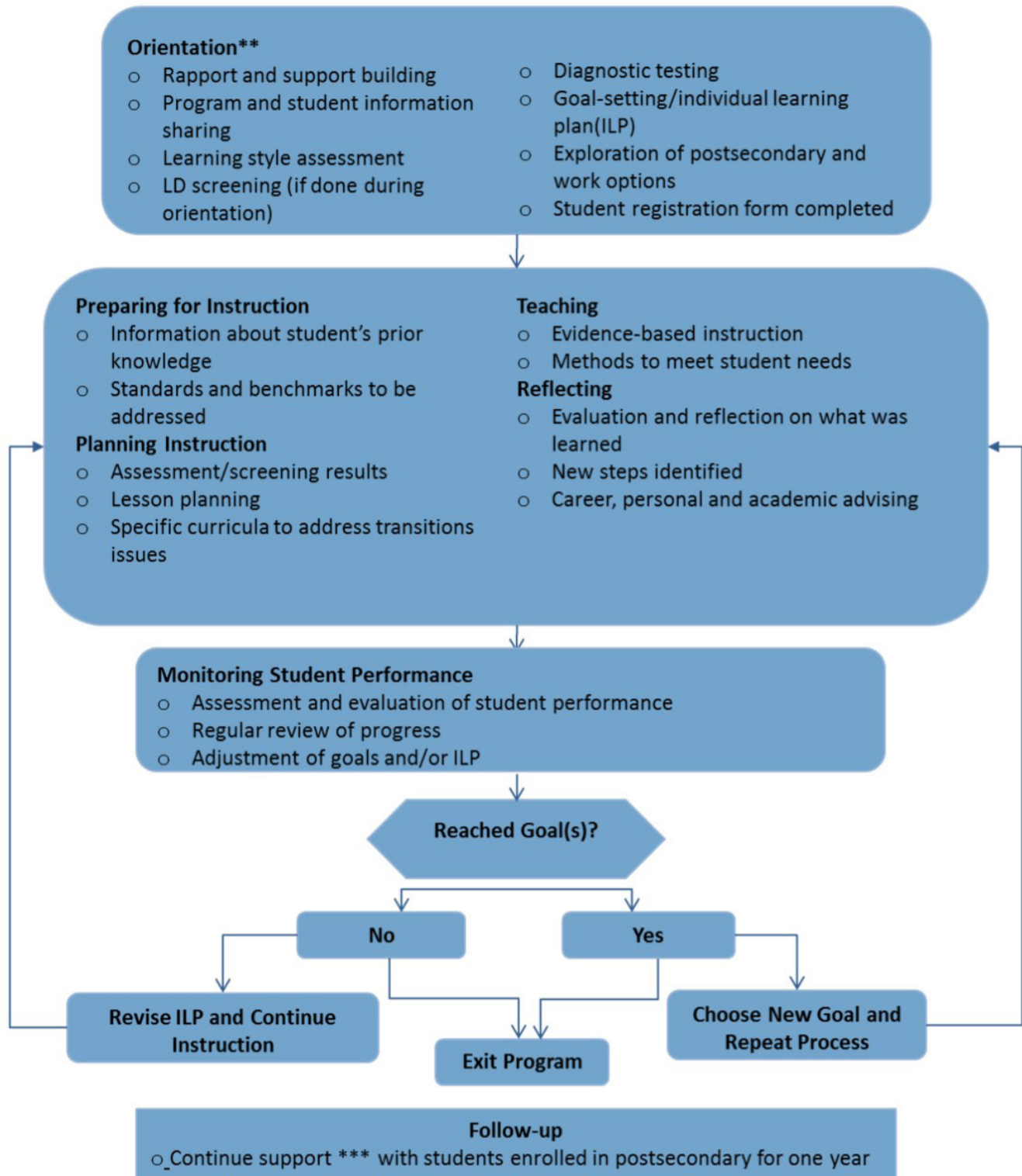


FIGURE 20: STUDENT EXPERIENCE MODEL

Student Experience Model*



*The Student Experience Model may vary based upon program structure and student needs.

**Intervention and referral to other services may occur at anytime during the student’s experience in an AEL program.

***Support –defined as academic intervention per the concurrent enrollment policy

July 2015

Local funded programs may determine the order of required orientation activities and may find it beneficial to combine some activities. However, the following orientation features are expected:



EXPECTED ORIENTATION FEATURES

- » Orientation is for all persons interested in participating in an AEL program.
- » All AEL-funded programs are to implement a formal, separate student orientation that includes the activities detailed in this section.
- » Orientation is facilitated by qualified, knowledgeable, professional staff.
- » Orientation is offered at scheduled intervals to support managed enrollment.
- » The length of orientation is to reflect the goals of the local program and the needs of the students.

Orientation

The purpose of orientation is to ensure that all prospective students are provided with the information and assistance they need to make informed decisions about their participation in AEL services. Orientation is a way to reintroduce the learning process and to acquaint participants with AEL in Iowa.

In general:

- » All students receive an orientation that takes place outside of instructional time.
- » The required components of orientation include rapport and support building, program and student information sharing, learning style inventory, initial goal setting, and locator and/or initial appraisal assessment.

Local funded programs may determine the order of required orientation activities and programs may find it beneficial to combine some of the activities. However the following orientation features are expected:

- » Orientation is for all persons interested in participating in an adult education and literacy program.
- » All adult education and literacy funded programs are to implement a formal, separate student orientation that includes the orientation activities detailed on the following pages.
- » Orientation is to be facilitated by qualified, knowledgeable professional staff.
- » Orientation is to be offered at scheduled intervals to support managed enrollment.
- » The length of orientation is to reflect the goals of the local program and the needs of the students.

Orientation Activities

The following activities are described as individual elements, but can often be blended and revisited throughout the intake process:

Rapport and Support Building—This includes activities (e.g., icebreakers, motivational videos, student success stories, group activities, mini-lessons) that help the student build confidence, feel comfortable, establish relationships, identify support systems, and increase the level of trust and motivation.

Program and Student Information Sharing—Program staff assists the student in making an informed decision about participation in an AEL program. This includes:

- » Program information—oral and written information about the program’s goals, services, structure, delivery, organization, policies, procedures, schedules, referral and support services, the instructor’s role, and the program’s expectations of the students.

Note: *It is important to introduce the standards and benchmarks to students during orientation so that they are aware of the ways learning will be assessed, monitored, and documented.*

- » Student information—contact information (i.e., name, address, telephone number) and other demographic data including student contract and release of information.

Learning Style Inventory—An inventory is to be administered that identifies the student’s preferred style of processing information. Note: for special populations such as ESL or students with special needs, it may be more appropriate to administer the inventory at a time other than

during orientation. The program may choose the learning style inventory it wants to use.

Goal-setting Instruction—Student receives basic instruction on how to set goals. (See the Goal-Setting portion of this section for further information.)

Initial Assessment—Programs should administer instruments for the purpose of determining the student’s estimated skill level and the appropriate diagnostic testing level for the entering student. (See the Assessment Policy Guidelines for exceptions and further information.)

Initial Screening for Learning Disabilities—Some programs may choose to conduct a screening for possible learning disabilities during orientation. The purpose of screening is two-fold. The results from the screening can be used by program staff and the learner to decide whether the learner should be referred for further testing. Screening instruments cannot diagnose a disability.

Diagnostic testing, which is often costly, must be conducted by a qualified professional, such as a psychologist, clinician, or educational diagnostician. This professional must be someone who is licensed to administer psycho-educational batteries that determine the presence of a learning disability. This diagnosis allows the individual to obtain certain accommodations for HiSET™ testing, in higher education settings, and in the workplace. While few adult learners will choose to pursue diagnostic testing, all adults with specific learning disabilities can benefit from instructional adaptations that allow them to achieve their goals.

Programs may choose to expand orientation by adding additional topics or activities based on the program's focus and structure, student demographics, or other factors.



SUGGESTIONS FOR ADDITIONAL TOPICS OR ACTIVITIES

- » HiSet™ testing information
- » Career interests/needs assessment
- » Additional diagnostic assessments
- » Problem-solving strategies
- » Reading comprehension strategies
- » Skills and interest inventories
- » Workplace assessments
- » Study/test-taking strategies
- » Time management techniques

Local funded programs must choose a learning disability screening instrument to utilize. However, the instrument selected and the process of how students will be screened is a programmatic decision.

Programs participating in a screening practice need to establish a formal policy detailing which of the three options the program prescribes:

- » Option 1: Screen all students (no consent form needed).
- » Option 2: Develop criteria for screening students for the probability of learning disabilities and apply the criteria consistently (consent form required).
- » Option 3: Screen all students with one instrument and follow-up with a more extensive screening with those who score high on the initial screening (consent form required for secondary screening).

Programs need to complete and retain the [Special Needs Form](#) for each student who is screened and/or diagnosed with learning disabilities or other special learning needs (i.e., vision and hearing problems). If a program is selective and does not screen all students, an informed consent from the student must be obtained before legally proceeding. The consent form should contain the following:

- » The name of the screening test(s);
- » The interval of time for screening;
- » The purpose of screening and how the results will be used;
- » Who will see the results;
- » Where the protocol forms will be stored and for how long;
- » The learner's signature and the date; and
- » The program representative's signature.

The learner should be given a copy of the informed consent form and the program should keep the original on file.

Note: Disability-related information should be kept in separate files with access limited to appropriate personnel. Documentation of disability is to be held by a single source within the institution in order to protect the confidentiality of persons with disabilities.

Record Keeping

Record keeping is a critical element in the maintenance of an adult education and literacy program. The use of data to drive decisions is paramount in an effective program. Therefore, programs must maintain accurate program, staff, and student data records including but not limited to:

- » Enrollment information;
- » Placement and progress testing;
- » Contact hours/attendance;
- » Retention rates;
- » HSED completions;
- » Exit follow-up information;
- » Certification of teachers; and
- » Fiscal expenditures

This data drives the performance, which in turn guides the funding. In addition, data determines the professional development provided at the local and state level. Further information on specifics related to student data is contained in the current year [Assessment Policy](#) and [Section V—System Accountability](#).

Registration and Enrollment

A student is registered, or considered a reportable individual, once he/she has made an informed decision to participate in an AEL program. At that time, the following data must be properly collected and recorded in the management system database:

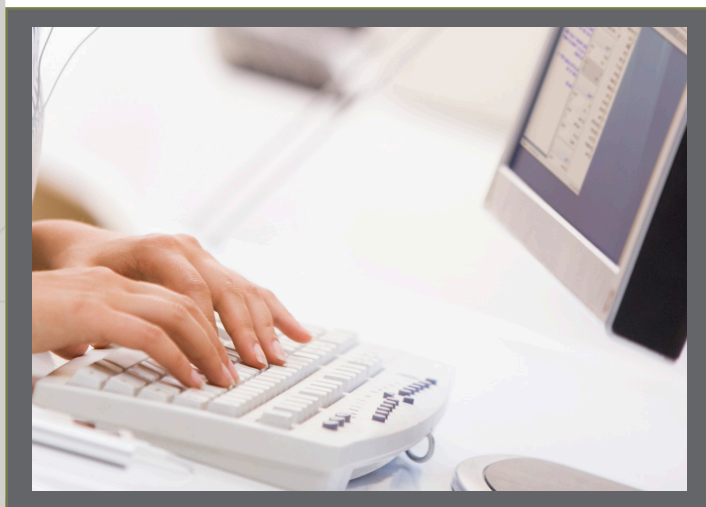
- » Demographic data;
- » Primary and secondary goals;
- » Pre-test scores;
- » Class assignment; and
- » Signed informed consent form.

For more detail on data collection, see [Iowa's Data Dictionary PY 2017](#).

By the time of registration, students should be informed of follow-up procedures, including use of a Social Security number to determine attainment of employment, secondary school diploma or HSED, and/or postsecondary education. At this time, students should be asked to complete the Student Release Form.

A student who has completed at least 12 contact hours is considered a participant, previously referred to as an enrolled student. Participants are counted for federal tables and local program enrollment goals. Any student completing less than 12 contact hours is considered a reportable individual. These students are reported under demographic/characteristic reporting but do not count toward accountability measures.

All required information collected on the student intake, along with hours of attendance according to the Assessment Policy Guidelines, must be entered into TE®.



Goal Setting and Individual Learning Plans

Goal setting, one of the most important processes of any learning experience, begins during orientation, extends into the student's individual learning plan, and continues throughout instruction as the student progresses. Figure 21 illustrates the goal-setting process.

Student implications:

- » If students have a clear vision of where they are going and the steps they will take to get there, they will be motivated to stay in the program.
- » Goals provide long-term vision and short-term motivation by helping students measure progress/level completion and take pride in their achievements.

Program implications:

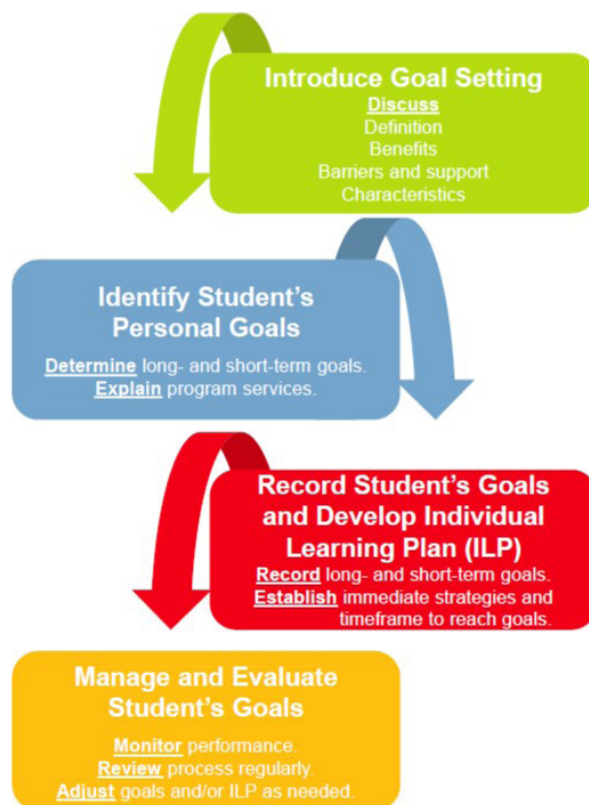
- » Program performance is assessed by comparing students' outcomes to their achievement. For example, in examining employment measures, a rate or percentage is computed by dividing the number of students who obtained a job by the total number of students who were placed in the cohort of "obtain a job." A student is placed in this cohort if they are unemployed and looking for a job upon entering the program.
- » Success in meeting program objectives may be increased by helping students set realistic, achievable goals within the program year.

The goal-setting process usually occurs during an interview phase with the student. Meeting with a case manager or navigator provides an opportunity

to help students translate their personal goals into goals that can be achieved through adult education and literacy. Every effort should be made to:

- » Determine students' long-term goals beyond their participation in adult education and literacy.
- » Inform students of available program and community services and discuss how the services may help the students reach their long-term goals. Establish S.M.A.R.T. goals.
- » Help the students identify goals and explain how these goals will be measured and documented. These goals should have a time frame established after diagnostic testing has occurred.

FIGURE 21: GOAL SETTING—A COLLABORATIVE PROCESS



To retain students, it is important for programs to meet the needs of students. This will help students 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 adult education and literacy programs as well as motivation to balance the costs of attending. Helping students to navigate through the goal-setting process can have a positive impact on retention.

In addition to identifying goals, an individual learning plan (ILP) can begin to be developed which will incorporate those goals into steps and activities to accomplish them. Goals should be realistic and broken down to a level where they can be obtained within a relatively short period.

The student's ILP should be developed in consideration of the student's educational functioning level, any content of particular importance to the student (e.g., specific career field goals, completing job applications, passing the citizenship test), learning techniques or strategies that would improve the student's performance as a learner, social skills that would help the student communicate and work with others, and methods of self-advocacy to assist the learner to articulate his/her rights and needs.

Standardized tests, diagnostic assessments, inventories, and screenings provide much information related to the student's basic skill strengths and weaknesses, learning strategy needs, instructional adaptations, and/or accommodations that may assist the student in the learning process.

Discussions with the student when developing the ILP will help identify content areas of interest to students as well as social and self-advocacy needs.

The ILP is not a static document and should be updated as needed during the course of the student's instructional time with the program. It should include a time frame for meeting the immediate goal and any comments (e.g., indication of whether the goal is met, an explanation of why the goal is not met, and date of reviews).

Retention and Persistence

Intensity and duration of instruction affect achievement of students' goals. The type of class that is most effective depends on student needs, literacy levels, and curriculum offered. In general, classes offered for more hours in a week and more weeks per year are more effective for student goal achievement and for student retention. It is important that students participate long enough to ensure accuracy and reliability of post-test assessments administered to them to measure educational gain. Guidelines are available in the Assessment Policy Guidelines.

Multi-level classes affect the instructional environment and student learning gains. Although challenging, many programs organize classes in this way due to limited resources or low enrollments.

Multi-level classes with a large number of low-level learners may face student advancement challenges. Instruction is difficult when students' literacy levels are too diverse within the class to be adequately addressed by staff or when a program has too many such classes. It is best to have an instructor who

can organize instructional material and instruction at several levels. All students can be exposed to a new topic. The differences are in the depth of the presentation and expected knowledge.

Changes in enrollment affects programs and partnerships that have had an open enrollment structure. However, with the emphasis on accountability and developing instruction that is standards-based while being concurrently and contextually offered, more programs will be adopting evidence based classroom management styles. Management styles incorporate enrollment periods, class duration, prerequisites, and an attendance policy.

Monitoring Student Performance

A formal review of each student's performance is required at least every 90 calendar days starting from the date of registration. Student performance is monitored to:

- » Provide the student with ongoing feedback about his/her performance;
- » Provide the instructor insight into the effectiveness of the instructional plan so areas can be adjusted as needed; and
- » Provide the program with current student information for the maintenance and updating of information in TE®.

A progress/update form must be completed as needed to include progress assessment data or exiting from the program.

Exiting Students

A student is to be exited from the program when:

- » Instruction ends; or
- » A student has not received instruction for 90 calendar days and is not scheduled to receive further instruction.

The exit date for individuals with 90 days of non-attendance is the last date of attendance for the student. Programs should wait until the 90 days of non-attendance has passed before setting the exit date in the system, unless circumstances justify exiting a student sooner.

Student exit data must be entered into TE®, however, the Student Exit Form does not need to be completed for students who participated for fewer than 12 hours (i.e., never considered to be enrolled). Generally, exit reasons do not need to be marked in TE® unless they fall under one of the following reasons: active duty in the armed services, incarcerated, or deceased. A status of 'remaining' needs to be marked in TE® for students who have 90 days of non-attendance, but are also scheduled to receive further services.

Follow-Up

The NRS requires that programs complete follow-up with participants who exit adult education services. Iowa uses state level data matching to collect follow-up measures. Data-matching links records from the program database to state databases. For example, using Social Security numbers, student records from a program are matched to the Unemployment Insurance Wage database to determine whether students are employed and have retained employment.

To conduct this process, each student to be matched needs a valid Social Security number or college ID for postsecondary matching. Each student is required to provide a signed document (Release of Information) allowing their information to be shared for these purposes. Students do not have to divulge their Social Security number to be served by the program but are encouraged to do so.

With increased concern about identity theft, sensitivity to the availability of personal information, and legal requirements as reflected in the Family Educational Rights and Privacy Act (FERPA), it is extremely important that adult education and literacy programs maintain strict adherence to data security issues. All student records must be secured in locked files. Refer to *Confidentiality and Personally Identifiable Information Policy*.

Standards Framework

The success of any organization depends on a set of clear, shared goals and standards. Iowa's AEL programs are no exception. Setting high expectations and clearly stating the criteria needed for success are essential in creating a responsive and effective educational system. Clearly defined standards serve multiple purposes:

1. Practitioner standards define what instructors, administrators, and support staff need to know and be able to do in order to provide quality services.
2. Professional development standards define the essential elements of meaningful professional growth activities.
3. Program standards define the characteristics that exemplary local programs should demonstrate.
4. Content standards clarify the skills and knowledge that adult learners need to know

and be able to do in their roles as workers, parents and community members.

5. Data quality standards ensure that reliable and valid data are available to make informed decisions and guide program management.
6. Performance standards set high expectations for program outcomes.

The role of Iowa's adult education and literacy programs is to connect these six sets of standards (displayed in Figure 22) into a coherent, interrelated system of quality services to adult learners.

Standards for practitioner and professional development provide the foundation for ensuring high quality instruction. Practitioner standards provide a pathway for professional growth and guide the development of high-quality activities that reflect the professional development standards. Through responsive professional development, practitioners gain a better understanding of how to implement program standards that lead to effective teaching, learning, administration, and support.

Professional development provides the tools and processes to help practitioners use the content standards to help adult learners gain the skills and knowledge they need to reach their educational and personal goals. Programs also learn how to implement reliable and valid data standards that can be used to analyze progress and make necessary adjustments for continuous improvement.

Collectively, these standards make clear the shared expectations for success and help to delineate what matters in learning and teaching. The standards also facilitate communication through a common language.

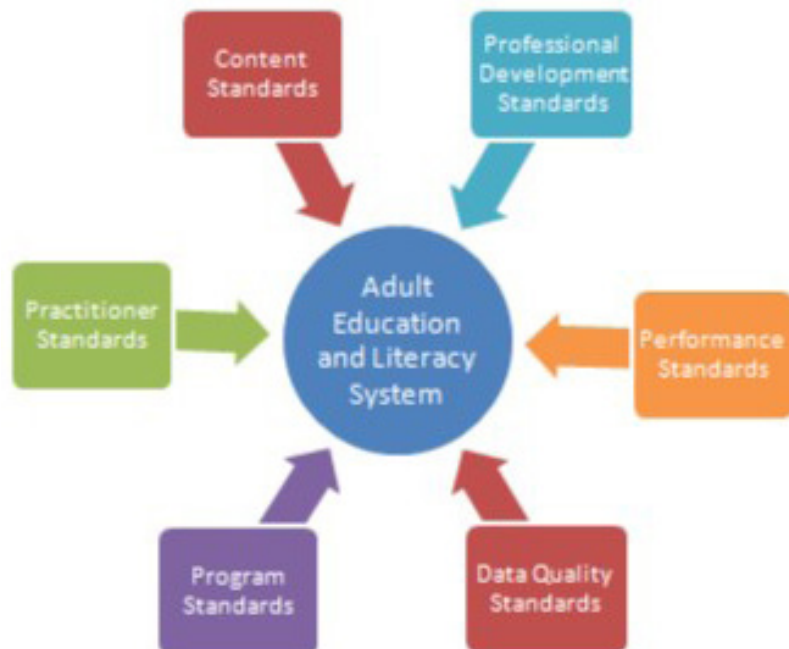
FIGURE 22: ADULT EDUCATION AND LITERACY SYSTEM

SYSTEM IMPLEMENTATION

When the six sets of standards on the right are fully implemented, the result is a high-quality delivery system that leads to strong student performance and performance goals being exceeded.

SHARED EXPECTATIONS

Collectively, these standards make clear the shared expectations for success and help to delineate what matters in learning and teaching. The standards also facilitate communication through a common language.



Content Standards

A piece in the accountability system has been defining what should be taught and assessed in adult education and literacy programs. Content standards fill that gap by describing what learners should know and be able to do. Instructors use content standards to plan instruction, and learners use standards to set learning goals. Standards help instructors and learners develop plans that keep them focused and engaged.

Standards have to reflect learner needs and goals across programs within the state. Everyone in the system “should know what is expected, what they will be measured on, and what the results imply for what they should do next” (National Research Council 1999, 3). Standards-based education provides a structured approach for state adult education agencies and local programs to create a

system that explicitly links standards, assessments, and curriculum and instruction.

Content standards drive the system. They clearly state what learners should know and be able to do, and as such, determine what is taught within adult education programs. Curriculum and instruction focus on what is taught, the instructional design of the program, and the indicators of program quality. Standards guide programs to develop curricula that outline the knowledge, skills, learning activities, and materials that will enable learners to achieve the standards.

Moving forward with standards provides the state and local program coordinators with an opportunity to think systemically about change.

The development of content standards is a valuable process for:

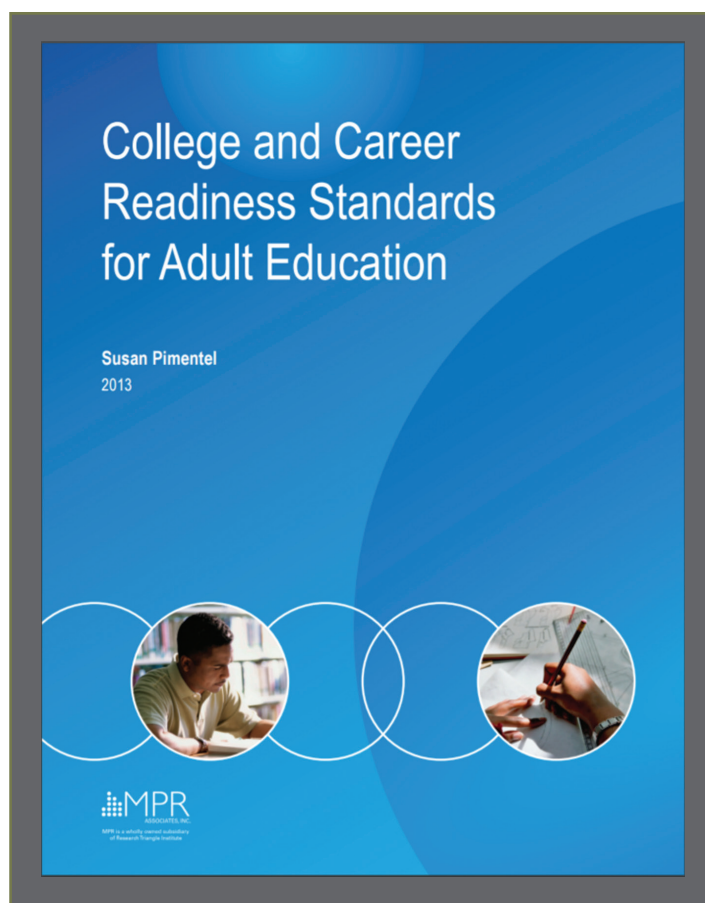
1. Negotiating the range of knowledge and skills that learners should have;
2. Measuring learners' knowledge and skills; and
3. Developing curriculum with a clearly articulated instructional approach and maintaining a strong delivery system. Having a shared understanding of the goals for standards and a common language will allow partner agencies, adult educators, and learners to work more efficiently in planning, developing, reviewing, and implementing the standards across the state.

College and Career Readiness Standards

In April of 2013, the Office of Vocational and Adult Education released a study of the common core standards building on a long commitment to promote adult education content standards. The central purpose of the study —Promoting College and Career Readiness Standards in Adult Basic Education—is to forge a stronger link among adult education, postsecondary education, and the world of work. The suggested standards present a starting point for raising awareness and understanding of the critical skills and knowledge expected and required for success in colleges, technical training programs, and employment in the 21st century. (Pimentel 2013)

While the academic standards developed by states in recent decades reflected broad agreement among experts about what was desirable for students to learn, they did not necessarily identify what was essential for students to know to be prepared for the rigors of postsecondary training, work, or citizenship. It was not until the development

of the Common Core State Standards (CCSS) in 2010—to date adopted by 46 states for K–12 programs—that such a consensus emerged. Based on evidence from a wide array of sources, including student performance data, academic research, assessment data, and results of large-scale surveys of postsecondary instructors and employers, the CCSS offer clear signposts indicating what is most important for college and career readiness (National Governors Association [NGA] 2010b, 2010c, pp. 91–93).



Iowa's 21st Century Skills bridge the knowledge, skills, and dispositions of students from the core academic areas to real-life application and aligns with WIOA definitions.



IOWA CORE 21ST CENTURY SKILLS

The Iowa Core 21st Century skills, listed below, are those standards that will help align activities and lesson plan development.

- » Civic literacy
- » Employability skills
- » Financial literacy
- » Health literacy
- » Technology literacy

Within workforce preparation activities are the common strands of:

- » Learning and innovation;
- » Communication, information, and technology
- » Life and career skills

Iowa Core 21st Century Skills

The *Framework for 21st Century Learning* states, “We believe schools must move beyond a focus on basic competency in core subjects to promoting understanding of academic content at much higher levels by weaving 21st century interdisciplinary themes into core subjects” (2007). 21st century skills bridge the knowledge, skills, and dispositions of students from the core academic areas to real life application and aligns with WIOA definitions.

Workforce Preparation Activities to include programs or services designed to help an individual acquire a combination of basic academic skills, critical thinking skills, digital literacy skills, and self-management skills, including competencies in:

- » Utilizing resources;
- » Using information;
- » Working with others;
- » Understanding systems;
- » Skills necessary for successful transition into and completion of postsecondary education or training, or employment; and
- » Other employability skills that increase an individual’s preparation for the workforce.

Instructor Standards

In June 2015, after several months of review, the final version of the AEL Instructor Standards were released to the local programs. Effective and quality instruction is an essential part of providing an exemplary educational program. Research shows that instructors are by far the most important factor in determining whether students succeed. So, where there are highly effective instructors, quality instruction follows.

These educators are passionate about actively engaging students and meeting them wherever they are on their learning journey. While the art and science of quality instruction may be more than the sum of its parts, some instructional building blocks are essential for it to occur. The standards are designed to provide standards

adult education and literacy instructors as guidance to promote adult students' success along their path toward college and career readiness.

In addition to establishing standards, Chapter 23—Adult Education and Literacy Programs section 6 set a qualification for the hiring of new staff effective July 1, 2015.

281—23.6(260C) Qualification of staff. *Adult education and literacy programs shall be in compliance with the requirements established under this rule by July 1, 2015. The requirements of this rule apply to all staff hired after July 1, 2015. All staff hired prior to July 1, 2015, are exempt from this rule.*

23.6(1) Professional staff. *Professional staff providing instruction in an adult education and literacy program to students must possess at minimum a bachelor's degree.*

23.6(2) Volunteer staff. *Volunteer staff must possess at minimum a high school diploma or high school equivalency diploma.*

Curriculum Development

Iowa's standards and performance measures define the desired outcomes for instruction. Curricula and learning activities should be selected that lead students to the

INSTRUCTOR STANDARDS

- 1 Instructors take responsibility for professional development and involvement in their learning community.
- 2 Instructors plan, design, and implement effective instruction for the adult student.
- 3 Instructors understand and use varied assessments to plan instruction, evaluate student learning, and improve program practice.
- 4 Instructors help establish and support program goals and responsibilities.
- 5 Instructors provide a positive adult learning environment by promoting lifelong learning and respecting diversity.
- 6 Instructors take responsibility for understanding and integrating current technology options into instruction and professional development.

achievement of the knowledge and skills reflected in the standards. Instruction must be designed in consideration of students' learning goals and needs.

A variety of teaching modalities, including technology, small group instruction, lecture, peer tutoring, and individualized instruction, should be used as appropriate as well as a variety of teaching materials. Instructors should use evidence-based instructional methods and practices that have proven to support student persistence and achievement of goals.

It is up to instructors to select appropriate curricula and learning activities that will help lead students to the achievement of their academic goals and the acquisition of skills represented by Iowa’s standards. Curriculum is the way content is designed and delivered. It includes the structure, organization, balance, and presentation of expected or recommended study topics that address content standards and meet local expectations.

A curriculum contains three primary elements:

- » Substance—communicates what should be taught, it is the field of instruction.
- » Purpose—communicates why a topic should be taught, it is the context of instruction.
- » Practice—communicates how a topic should be taught and learned, it is the methodology of instruction. (Methodology includes the collection and use of evidence of students’ learning to inform and to adjust instruction.)

Iowa’s standards reflect the purpose and substance of curriculum. All AEL programs need to ensure that teaching materials and activities that they use align to Iowa’s standards. Documents which link instructional materials and activities to desired learning outcomes are referred to as curriculum alignments.

During "Standards-in-Action", curriculum alignment activities (see Figure 23) were completed to illustrate linking standards to activities and outcomes. Involving instructional staff in the production of curriculum alignments is one way to ensure that instructors are familiar with Iowa’s standards and the texts, materials, and other activities that will help students achieve them.

FIGURE 23: EXAMPLE ALIGNMENT TOOL—DISTANCE EDUCATION

Level A – Beginning Literacy; Level B- Beginning and Intermediate Low; Level C- Intermediate High		Resource -	
Standards – Language Arts (Language and Reading)		Section/Sample	Level of Alignment
CCR Anchor 4L: Determine or clarify the meaning of unknown and multiple-meaning words and phrases by using context clues, analyzing meaningful word parts, and consulting general and specialized reference materials, as appropriate.			
Level A	(L.1.4) Determine or clarify the meaning of unknown and multiple-meaning words and phrases, choosing flexibly from an array of strategies. a) Use sentence-level context as a clue to the meaning of a word or phrase. b) Use frequently occurring affixes as a clue to the meaning of a word. c) Identify frequently occurring root words (e.g., <i>look</i>) and their inflectional forms (e.g., <i>looks, looked, looking</i>).		

Instructional Plans

Adult education and family literacy instructors must have a thoughtful plan, with clearly articulated methods, as to how they will sequence lessons, use instructional materials, and design learning activities. Curriculum and instructional strategies should make career awareness and workforce skills a central context for learning. Instructors must be able to adjust the plan in response to the needs of their students, including those with learning differences.

Instructional Strategies

Among best practices related to instruction, research suggests the following^{1,2}:

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

¹ Improving Basic Skills: The Effects of Adult Education in Welfare to Work Programs. <http://www.mdrc.org/publications/179/overview.html>

² Archer, A. and Hughes, C. (2011) Effective and Efficient Teaching. Guilford Press.

Therefore 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. (See Figure 24).

Regardless of which method of delivery is chosen, adult education and literacy programs should always develop classes that best address the needs of their students as demonstrated in data. There will never be one method that fits all. Adult education and literacy programs work toward developing independent learners that will be successful as family members, community members, workers, and lifelong learners.

FIGURE 24: EFFECTIVE AND EFFICIENT TEACHING

Principles of Effective Instruction ²
1. Optimize engaged time/time on task.
2. Promote high levels of success.
3. Increase content coverage.
4. Spend more time in instructional groups.
5. Scaffold instruction.
6. Address different forms of knowledge.

Following are brief descriptions of two types of instructional methods—implicit and explicit. Used exclusively or blended, all types of instructional methods should be accompanied with a demonstration of the learners' acquired competency through a combination of formative and summative assessments.

Implicit Instruction

Contemporary adult learning theories, such as andragogy, transformational learning, and self-directed learning, support adults taking responsibility for and directing their own learning experiences. Based on these theories, some adult educators view themselves as facilitators of learning and may only use implicit instruction methods (e.g., posing questions to learners who ask for help) and self-paced workbooks or computer modules in one-to-one instruction. Often, observations of learning center classroom activities reveals that adult learners worked alone or with computers over one third of the time they were in the classroom.

While implicit instruction and working independently may be the best approaches for adults involved in career training, other instructional models may need to be considered for individuals pursuing a high school equivalency diploma through adult education because did not achieve academic success in traditional K-12 education settings. Explanations, demonstrations, and one or two practice opportunities might not be sufficient for all types of adult learners.

Explicit Instruction

Explicit instruction can be viewed as providing a series of instructional supports or scaffolds—first

through the logical selection and sequencing of content and then by breaking down that content into manageable instructional units based on students' cognitive capabilities³.

Instructional delivery is characterized by clear descriptions and demonstrations of a skill, followed by supported practice and timely feedback. Initial practice is carried out with high levels of instructor involvement; however, once student success is evident, the instructor's support is systematically withdrawn, and the students move toward independent performance. The concept of “I do, we do, you do” describes the framework of explicit instruction.

Programs could modify instruction typically found in classes characterized by independent assignments, lectures over general content topics, and reading practice by engaging the class with explicit positive and corrective responses and feedback. The sixteen elements of an explicit classroom highlight the level of engagement between instructor and learner. (See Figure 25).

Typically, in providing explicit instruction, programs will need to overcome the tardiness, absenteeism, lack of disciplinary sanctions, tuning out, and dropping out⁴ that result from voluntary or mandated participation. This is often why explicit instruction is coupled with managed enrollment. However, a variety of instructional methods can and often do exist simultaneously within a single program.

³ Improving Basic Skills: The Effects of Adult Education in Welfare to Work Programs. <http://www.mdrc.org/publications/179/overview.html>.

⁴ Beder and Medina, Classroom Dynamics in Adult Literacy Education. <http://www.ncsall.net/fileadmin/resources/research/report18.pdf>.

FIGURE 25: SIXTEEN ELEMENTS OF EXPLICIT INSTRUCTION

1	Focus instruction on critical content.	9	Provide an adequate range of examples and non-examples.
2	Sequence skills logically.	10	Provide guided and supported practice.
3	Break down complex skills and strategies into smaller instructional units.	11	Require frequent response.
4	Design organized and focused lessons.	12	Monitor student performance closely.
5	Begin lessons with a clear statement of the lesson goals and your expectations.	13	Provide immediate affirmative and corrective feedback.
6	Review prior skills and knowledge before beginning instruction.	14	Deliver the lesson at a brisk pace.
7	Provide step-by-step instruction.	15	Help students organize knowledge.
8	Use clear and concise language.	16	Provide distributed and cumulative practice.

Instructional Considerations

Instruction is the “practice” part of curriculum. When planning and implementing instruction, AEL instructional staff should remember that learning situations for all students should:

- » Be purposeful, by providing activities that will help students to achieve their goals;
- » Be transparent, by offering students a clear understanding of what they need to know and be able to do to reach their goals;
- » Be contextual, by providing learning activities in a context that is meaningful to their lives;
- » Build upon students’ expertise, by utilizing students’ prior knowledge and experience.

To meet the curricula needs of students in the Iowa AEL program, it is important to determine their skill levels 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 in their identified goal area(s).

The "Educational Functioning Level Descriptor" provides global descriptions of students' abilities in reading/writing, numeracy (math), and functional workplace skills. For ESL learners, listening and speaking, reading and writing, and functional workplace skills are provided.

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

To enhance the learning opportunities of students with varying learning styles, good instructional practice dictates utilizing a variety of instructional materials from standardized texts and workbooks to contextualized instruction to real-life situations. Activities that require multi-sensory involvement are particularly advised for students who have, or who are suspected of having, a learning disability.

Instructors should provide instructional adaptations and accommodations to assist students who would benefit from them. Accommodations are legally required adaptations that make it easier for students with disabilities to learn. Extra time to complete a task, large print material, and books on tape are a few examples. Instructional adaptations may include things such as magnifying strips, color overlays, rulers, and other simple instructional adaptations.

Adult students appreciate and benefit from learning activities that have relevance to their day-to-day lives. Therefore, to the extent possible, basic skills should be taught through authentic activities. Also, consider presenting lessons within the context of occupations that students may be planning to pursue. This contextualized instruction fully engages students in their academic learning and also demonstrates the relevance of what they are learning to their future occupational choices. Educational programs at all levels are urged to utilize instructional methods that are proven, via research, to be successful such as explicit instruction and activating students' prior knowledge.

Learning Activities

A range of learning activities is necessary to engage students in learning and to appeal to different learning styles. Common activities include in-class discussions, demonstrations, case studies, debates, small group work, quizzes and simulations.

There are hundreds of useful resources that can provide you with ideas to optimize learning. You may also find that your peers may have useful ideas

and suggestions for tried and tested activities. With experience, activities can be modified and adapted to suit students' needs and your learning style. Below are a few examples of learning activities:

Employ Technology in Instruction as Appropriate

Knowledge of appropriate use of technology in the classroom is critical to student success. Students should have the opportunity to utilize technology in instruction and research.

Incorporate a Distance Education Option in the Program

Structured, monitored distance education can provide an instructional option for students who have difficulty attending classes due to work schedules, family obligations, or other situations that prohibit their regular class attendance. Distance education, when used in addition to in-class instruction, enables students to accelerate their learning and provides an opportunity for students to study throughout the summer when some programs may offer fewer courses.

Help Students Reflect on Their Learning

Instructors and students should frequently review the student's learning plan and progress in developing proficiency in Iowa's standards and benchmarks. These reviews provide an opportunity to obtain the student's assessment of his or her accomplishments and input as to what instructional strategies have been particularly beneficial in and out of the adult education and literacy classroom.

Lesson Plans

AEL programs must plan lessons and produce lesson plans that help students achieve their goals (See Figure 27). Lesson plans can take many forms. At a minimum, a lesson plan should include:

- » Expected outcomes of the activity;
- » The college and career readiness standard and/or 21st century skill being addressed;
- » Activities, materials, and resources that will be used to teach the processes and content being addressed;
- » Methods and/or materials that will be used to assess learning gains; and
- » An estimated timeline for completing the instruction.

The following is a brief exploration of the steps involved in creating a standards-based lesson plan. Lesson plans are commonly used by instructors to organize their lessons around three questions: “What to teach?”; “How to teach it?”; and “How to know if it's effective?” Figure 27 provides an example of how to design a lesson plan.

What to teach?

The standards-based lesson planning process begins with an assessment of learners’ needs and goals. This direct involvement of students in the instructional planning process reflects the relationship between and among the student, assessment, and instruction.

The content standards and benchmarks provide a reference point from which to answer this question because they are organized and leveled, containing descriptions of what students should know and be able to do as a result of instruction within the specific content area. This outline gives the instructor a clear instructional path of the skills (benchmarks) that students need to master the level.



How to teach it?

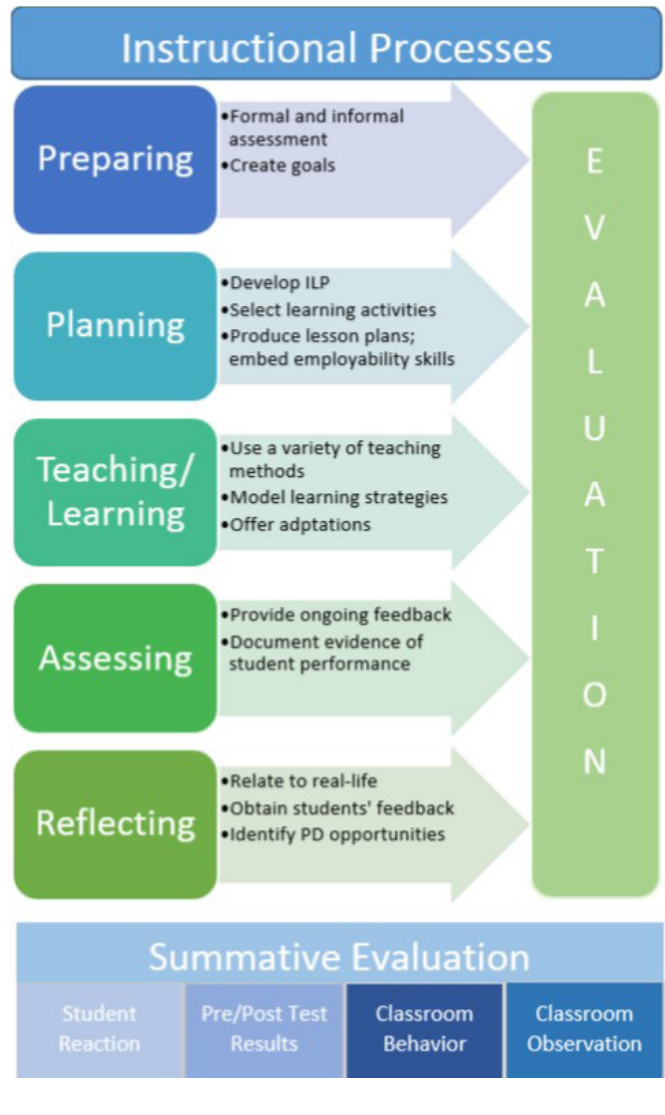
The following are five steps of a standards-based lesson plan (Figure 26):

1. **Preparation:** Create interest in the lesson by reviewing previously learned material and exploring what the students know about the skill that will be taught.
2. **Practice:** Emphasizing practice over presentation results in a more effective lesson. Practice should be included throughout the learning activities so learners can monitor their own progress.
3. **Teach/learn:** After outlining the benchmarks to identify necessary skills, develop learning activities to teach the skills. Be sure they are meaningfully linked to the learners' goals and needs.
4. **Assessment:** The assessment should be observable and should specifically measure whether the objective(s) were reached. The benchmark examples of proficient performance can be used.
5. **Reflection:** Apply the lesson to the real world: Design an activity that bridges the lesson to the learners' lives outside of the classroom.

How to know if it is effective?

Instructors and learners benefit from thoughtful lesson planning, which provides an instructional framework and guides implementation of standards-based education. Lesson plans help instructors establish a road map of what has been taught and what still needs to be taught. They enable instructors to focus on one objective at a time and better communicate to learners what they will learn in each lesson.

FIGURE 26: STANDARD-BASED LESSON PLAN



Instructors should create lesson plans to incorporate ongoing assessments in order to determine how well learners understand concepts and skills. Instructors are able to make mid-course changes in instructional procedures or provide additional support to learners based upon their needs. The practice and application components of the lesson help learners use the new skills and knowledge in educational and other settings, thus promoting generalization and relevance.

FIGURE 27: DESIGNING A LESSON PLAN

Opening	Gain Attention	Review – Review critical prerequisite skills.	Preview – State the goal of the lesson.
Body	Skill or Strategy	Vocabulary or Concept	Academic Rule
I do it.	Modeling: <ul style="list-style-type: none"> • Show and Tell • Involve students 	<ul style="list-style-type: none"> • Introduce the word. • Introduce the meaning of the word. • Illustrate with examples and non-examples. 	<ul style="list-style-type: none"> • Introduce the rule. • If-then construction • Illustrate the rule with examples and non-example.
We do it.	Prompted or Guided Practice: <ul style="list-style-type: none"> • Guide students in performing the skill or strategy. • Provide physical, verbal, or visual prompts. • Gradually fade scaffolding. 	<ul style="list-style-type: none"> • Guide students in analyzing examples and non-examples using the critical attributes. 	<ul style="list-style-type: none"> • Guide students in analyzing examples and non-examples using the critical attributes.
You do it.	Unprompted Practice: <ul style="list-style-type: none"> • Check students' understanding. • Have students perform the skill/strategy without prompts. 	<ul style="list-style-type: none"> • Check students' understanding. • Have students discern between examples and non-examples. • Have students generate examples and non-examples. • Ask deep processing questions. 	<ul style="list-style-type: none"> • Check students' understanding using examples and non-examples.
Closing	Review – Review critical content.	Preview – Preview the content of the next lesson.	Assign Independent Work

Program Components

Basic Skills—ABE—All programs must provide a program of instruction designed for adults who have minimal skills to receive instruction in reading, writing, speaking, problem solving, or computation at a level necessary to function in society, in the workplace, or in the family.

Advanced Skills — ASE and HSED Preparation—All programs must provide a program of instruction designed for adults who have some literacy skills and can function in everyday life, but who are not proficient in reading, writing, speaking, problem solving, or computation or do not have a high school credential.

ESL—All programs must provide a program of instruction designed to assist individuals of limited English proficiency to achieve competence in the English language. Instruction is geared to adults who want to become more fluent in English, pass U.S. citizenship tests, progress to HSED preparation, and work on job-seeking skills.

Note: Federal AEL funds may not be used to provide instruction in other languages.

Career Pathway Services—All programs must provide services to help students transition to postsecondary education and employment. All AEL programs must play a major role in helping students move beyond ABE and the HSED, but the exact activities to be undertaken will vary depending on the level of students to be served.

Distance Education—All programs must provide this component. A distance education component is defined as a formal learning activity where students and instructors are separated by geography, time, or both for the majority of the instructional period. Distance learning materials are delivered through a variety of media, including print, audio recording, videotape, broadcasts, computer software, web-based programs, and other online technology. Instructors support distance learners through communication via mail, telephone, e-mail, or online technologies and software.

Note: For accountability in TE®, distance education students are those who receive distance education services for more than 50% of their total instructional time.

Integrated English Literacy/Civics Education (IELCE)—All recipients of funds must meet the purpose as defined by the U.S. Department of Education, which is not simply to expand English literacy services, but to provide an integrated program of services that incorporates English literacy and civics education.

The intention of IELCE is to provide integrated English literacy and civics education to immigrants and other limited English proficient populations to promote effective participation in the education, work, and civic opportunities of this country.

This means that the IELCE services include an integrated curricula which blends teaching English language acquisition using a citizenship/civics education context. Examples of classes that fit the IELCE service model could be:

- » Immigrants attending classes that emphasize English acquisition but also cover how to participate in a new community.
- » Immigrants attending classes that emphasize preparation for the citizenship test and also cover English speaking and writing skills.

Activities funded through the IELCE allocation will extend instructional services. Funds should supplement, not supplant, adult education programs.

Other AEL Activities

AEL programs may offer other activities such as family literacy, corrections education, and/or workplace education based upon areas of need.

Family Literacy—All AEL programs are encouraged to offer instructional activities that enrich the parental role of adult learners. The ABE program defines a family literacy component as an initiative that involves all of the following:

- » Adult education and literacy instruction for parents and/or caregivers;
- » Educational activities for their children; and
- » Parenting instruction.

Corrections Education—Defined as a partnership with a jail, reformatory, work farm, detention center, halfway house, community-based rehabilitation center, or other similar institution designed for the confinement or rehabilitation of criminals. WIOA funds will be limited to partnerships that involve learners who are likely to leave the correctional institution within five years of receiving AEL services.

Workplace Education—As defined in Title II WIOA, workplace adult education and literacy activities are offered by an eligible provider in collaboration with an employer or employee organization at a workplace or an off-site location designed to improve the workforce productivity.

Integrated Education and Training—Integrated Education and Training (IET) is defined as an educational model that “*combines occupational skills training with adult education services to increase the educational and career advancement of participants. In programs that deliver IET, adults participate in both occupational skills training and adult education services at the same time.*”

Through the adult education professional development leadership contractor, modules on IET are offered as a facilitated online course. The modules are designed so that educators and agency administrators can develop plans for implementing one of four instructional models. These models integrate basic skills (i.e. ELA or AEL) with technical or occupational skills instruction. Specific objectives for the IET are to:

1. Analyze and cite reasons for implementing IET models after reviewing various resources;
2. Define key terms and components of IET models;
3. Assess the degree of readiness to implement an IET model;
4. Identify which IET models are best suited for the students; and
5. Identify next steps for implementation.

Administered in cooperation with a local company or industry, these managed classes focus on targeted

PRINCIPLES OF ADULT LEARNING

Knowles identified six principles of adult learning listed 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.



REASONS ADULTS STOP ATTENDING

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

1. Programmatic
 - » Bureaucratic procedures such as paperwork, unclear expectations of program, unclear goals, etc.
2. Situational
 - » Family concerns such as transportation, child care, financial problems, and lack of support from family members.
 - » Unavoidable situations such as job conflicts, relocation, and other priorities.
3. Dispositional
 - » Attitude
 - » Lack of self-esteem
 - » Lack of self-discipline
 - » Health
 - » Perceptions
 - » Fear of failure
 - » Value

skill areas for students who are employed or seeking entrance into employment. Work-based learning, which is a form of contextualized instruction that builds skills within the context of real workplace problems or uses actual workplace materials, is the prime focus of the instruction. For example, instruction may incorporate reading an employee handbook or hazardous materials information to improve reading comprehension. Math instruction may involve calculations related to inventory control practices or laying carpet. Refer to the [Workplace Education Model](#) as an example.

Principles of Adult Learning

Andragogy (adult learning) is a theory that holds a set of assumptions about how adults learn and emphasizes the value of the learning process. It uses approaches to learning that are problem-based and collaborative rather than didactic, and also emphasizes more equality between the instructor and learner.

Programmatic Issues

There are specific times when students are more likely to drop-out (or stop-out) of an AEL program. This section discusses some programmatic strategies to use.

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.

Remember, students focus on the end reward and AEL programs want to instill within them an appreciation of learning along the way. Some ways this can be done include:

- » Immediately involving students;
- » Identifying the value and importance of the program;
- » Establishing the climate of the class starting time, breaks, dress code, code of conduct, etc.; and
- » Communicating expectations of the program so students know what is expected.

Situational and Dispositional Issues

The program must be prepared to assist with student problems and address the situational and dispositional needs that adult students bring to AEL programs. Some adult students enter the AEL program 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 program can be developed as an effective solution that will help with the immediate need. Learning can then take place.

Crisis counseling is a temporary, but immediate relief for an emergency situation. Students

experiencing a crisis situation may have feelings of disorientation and/or not being able to control oneself. Either a "structured" fix or crisis counseling may be needed in an emergency situation. An AEL coordinator must be careful to not express approval or disapproval, criticize, judge, or evaluate the student. It is important to remain calm while dealing with the immediate situation. 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 most useful counseling techniques are the abilities to:

- » Listen more than talk; and
- » Ask more than tell.

Referring Students

To assist students in solving situational and dispositional needs, it may be necessary for the AEL program to refer students to external agencies. In addition, external agencies, including WIOA core partners (Iowa Workforce Development, Promise Jobs, and Iowa Division of Vocational Rehabilitation Services, Department for the Blind etc.) may refer students to AEL programs. In some cases, they will send along a [referral form](#). This referral process is a key element for local service agreements. Before agency personnel who 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. Make sure that a reciprocal release form is in place with the appropriate external agency before discussing any student with someone from that agency.

GAP Tuition Assistance Program

As a coordinator, you may have the opportunity to interact with individuals who may be candidates for several different state-sponsored programs through the Iowa Department of Education. The GAP program is one such assistance program that can offer support towards employment success.

This program was established to provide community colleges with funding for need-based tuition assistance. Through this program, applicants are able to complete continuing education certificate training programs for in-demand occupations. The main eligibility criteria is very specific and includes the following:

- » The applicant's family income for the twelve months prior to the date of application;
- » The applicant's family size; and
- » The applicant's county of residence.

An applicant must also have demonstrated the capacity to achieve the following outcomes;

- » The ability to complete an eligible certificate program;
- » The ability to enter a postsecondary certificate, diploma, or degree program for credit;
- » The ability to gain full-time employment; and
- » The ability to maintain full-time employment over time.

Pathways to Academic Career and Employment (PACE)

The PACE program is similar to the GAP Tuition Assistance Program but has a broader perspective toward academic and employment successes.

PACE funding is to be used to implement a simplified, streamlined, and comprehensive

process, along with customized support services, to enable eligible participants to acquire effective academic and employment training to secure gainful, quality, in-state employment. The targeted populations include those:

- » Deemed low-skilled for the purposes of attaining gainful, quality, in-state employment;
- » Earning incomes at or below two hundred fifty percent (250%) of the federal poverty level as defined by the most recently revised poverty income guidelines published by the United States Department of Health and Human Services;
- » Unemployed persons;
- » Underemployed persons; and/or
- » Dislocated workers.

For additional information refer to GAP and PACE Iowa Code at <https://www.legis.iowa.gov/publications/search>.

Coordinator Responsibility

Coordinators are responsible for organizing the structure of the program. Best practice along with knowledge of local demographics will influence the decisions for class offerings. Use the [Checklist for Student Orientation and Intake](#) to review what the program is offering new students and classes. Programs that are continually reviewing their data and making adjustments accordingly will find greater success in meeting the demands for their adult learners.

Additionally, coordinators should be aware of the eligibility of the students being served. If professional development is needed to better serve

special populations, it can be provided to the staff or requested from the state—[Request for State TA/ Training for AEL Personnel](#).

Dealing with student information requires strict confidentiality policies. Coordinators must decide the appropriate procedure and ensure that staff are trained sufficiently so that reporting needs are met, yet personally identifiable information is not shared beyond the what is necessary. Review [Section V—System Accountability](#).

Section V: System Accountability

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System Accountability

Overview of WIOA Program Performance

WIOA aims to streamline the following core federal education and workforce training programs through a unified state plan of coordinated services:

1. Adult, youth, and dislocated worker employment training and Wagner-Peyser services;
2. Adult education and literacy programs; and
3. Vocational rehabilitation services.

WIOA requires programs to align employment and training services in a way that better prepares a skilled workforce that meets employers' needs. It places an increased emphasis on accountability measures, among other reforms, such as promoting work-based training, providing access to high quality training and improving services for individuals with disabilities. It also strengthens the alignment of adult education with employers and postsecondary education, and integrates English literacy. Common performance measures were established for all core programs, affecting the NRS data collection and reporting.

Program Performance

WIOA places an increased emphasis on employment and postsecondary education. For example, the credential performance measure includes a requirement of subsequent transition to postsecondary education or employment in

order to count as an outcome. New performance measures include median earnings and measurable skill gain.

For students who enter the program, student identifiers are used to track the following performance measures:

- » Employment and wages;
- » Secondary credential with employment or postsecondary entry; and
- » Attainment of postsecondary credential.

Program reporting under WIOA requires inter-agency data sharing in order to measure success after enrollment. Programs funded under the WIOA will use data from Iowa's student data management system, TopsEnterprise, to show effectiveness in meeting performance measures. For this reason, it is important that programs track student participation in activities such as Integrated Education and Training, EL Civics, and distance education.

FIGURE 28: PROGRAM PERFORMANCE MEASURES

WIOA Minimum Performance Reporting Requirements (Section 116)			
Program	Measures	Scope of Reporting	Disaggregate Reporting
Title II—Adult Education and Literacy	Employment rate (Q2 post exit)	Annual report	Demographic characteristics
	Employment rate (Q4 post exit)	Percent of negotiated plan achieved	Employment barriers
	Median earnings	Reports to include most recent year and three preceding years	Services served
	Credential rate	Ability to benchmark with other eligible providers	Participants exited
	Measurable skills gain		Funds expended by career services and training
	Employer measures		Percent training-related employment
		Percent co-enrolled in core programs	
		Percent administrative expenditures	

Iowa AEL programs are responsible for all the required federal benchmarks 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 and/or program year. Iowa’s negotiated performance standards are found in [Iowa’s Unified State Plan](#).

In addition, administrative rules for adult education and literacy were adopted (Chapter 23) and section 8 specifically addresses performance and accountability.

23.8(1) Accountability system.

Adult education and literacy programs shall adhere to the standards established by the Adult Education and Family Literacy Act, 20

U.S.C. Ch. 73 and subsequent federal workforce training and adult education legislation in the use and administration of the accountability system. The accountability system will be a statewide system to include, but not be limited to, enrollment reports, progress indicators and core measures.

23.8(2) Performance indicators.

- a. *Compliance. Adult education and literacy programs shall adhere to the policies and procedures outlined in the state assessment policy. Data shall be submitted by the tenth day of each month or, should that day fall outside of standard business hours, the first Monday following the tenth day of the month. All adult education and literacy programs shall comply with data quality reviews and complete quality data checks as required to ensure federal compliance with reporting.*

- b. *Determination of progress.* Upon administration of a standardized assessment within the first 12 hours of attendance, adult education and literacy programs shall place eligible students at an appropriate level of instruction. Progress assessments shall be administered after the recommended hours of instruction as published in the state assessment policy.
- c. *Core measures.* Federal and state adult education and literacy legislation has established the data required for reporting core measures, including, but not limited to, percentage of participants in unsubsidized employment during the second and fourth quarter after exit from the program; median earnings; percentage of participants who obtain a postsecondary credential or diploma during participation or within one year after exit from the program; participants achieving measurable skill gains; and effectiveness in serving employers.

Performance Standards

The purpose of adult education and literacy is to improve the basic skills of the adult learner. To measure this improvement, the WIOA requires adult education performance standards. Iowa's performance standards are approved by OCTAE annually and may vary based on state performance from year to year.

The adult education performance standards focus on contracted enrollment, educational gains by educational functioning levels (EFL), and follow-up core outcomes. The current federal funding formula incentivizes these key areas for improvement. WIOA requires states to establish a comprehensive performance accountability system to assess the effectiveness of funded local programs in making continuous improvement in their AEL programs. Future competitions for funding will be based on the previous two years' performance. Performance results are based on unduplicated enrollment numbers.

The following chart compares the performance levels required for the 2018 program year, to the previous year as it applies to Adult Basic Education (ABE), Adult Secondary Education (ASE) and English as a Second Language (ESL).



FIGURE 29: PERFORMANCE MEASURES

Iowa Adult Education and Literacy Performance Measures

Core Indicator #1 Participants will acquire the level of basic skills needed to complete the educational functioning level (EFL) in reading, writing, and speaking the English language, numeracy problem-solving, English language acquisition, and other literacy skills.

	PY17 Target	PY18 Target
ABE 1	40% of ABE beginning literacy level	41% of ABE beginning literacy level
ABE 2	42% of ABE beginning level (EFL 2)	43% of ABE beginning level (EFL 2)
ABE 3	44% of ABE low intermediate level (EFL 3)	44% of ABE low intermediate level (EFL 3)
ABE 4	40% of ABE high intermediate level (EFL 4)	41% of ABE high intermediate level (EFL 4)
ABE 5	50% of ASE low level (EFL 5)	51% of ASE low level (EFL 5)
ABE 6	N/A (the Federal government does not recognize completion of level 6)	N/A (the Federal government does not recognize completion of level 6)
ESL 1	47% of ESL beginning literacy level	48% of ESL beginning literacy level
ESL 2	48% of ESL low beginning level (EFL 8)	49% of ESL low beginning level (EFL 8)
ESL 3	49% of ESL high beginning level (EFL 9)	48% of ESL high beginning level (EFL 9)
ESL 4	39% of ESL low intermediate level (EFL 10)	42% of ESL low intermediate level (EFL 10)
ESL 5	38% of ESL high intermediate level (EFL 11)	45% of ESL high intermediate level (EFL 11)
ESL 6	22% of ESL advanced level	25% of ESL advanced level

Program Standards

The goal of program standards is to guide the planning, delivery, and evaluation of adult education and literacy programs. The programs have three primary purposes:

- » **Guidance in Proposals to the Field:** The program standards guided the development of Iowa's Request for Proposals (RFPs) for Adult Education and Family Literacy Act (AEFLA), WIOA Title II, funds.
- » **Program Self-Assessment:** Adult education and literacy programs are advised to use the program standards as benchmarks in designing high-quality programs and measuring progress in key areas.
- » **Site Visits and Desktop Monitoring:** During site visits and monitoring, Iowa's AEL team

will use the program standards to guide the process, which includes identifying promising practices, as well as areas where improvement and technical assistance are needed to support the AEL program.

The program standards are meant to support one another and are not sequential. They are divided into two categories:

- » **Learner success,** which includes standards that help programs support learners' progress towards their next steps in postsecondary education, training, and/or employment leading to a family-sustaining wage.
- » **Organizational capacity,** which includes standards that help programs support their staff and guide directors in administering a quality program.

FIGURE 29: IOWA ADULT EDUCATION AND LITERACY PROGRAM STANDARDS

Program Standards and Alignment with WIOA

Learner Success	Standard 1: Learner Progress Learners demonstrate progress toward attainment of literacy skills, including reading, writing, and speaking English, computing, and solving problems at levels of proficiency and are able to demonstrate the ability to transfer learning from the classroom to real life skills necessary to function on the job, in the family of the individual, and in society.
	Standard 2: Curriculum, Instruction, and Professional Development The program has a written, standards-based curriculum and provides instruction matching learner needs while supporting an ongoing, professional development process that is linked to a professional development plan supporting the program's vision and goals.
	Standard 3: Program Design and Leadership The program implements the key design elements articulated in its funded proposal and program leadership ensures that the vision for success is shared by staff and learners and that the program engages in a continuous improvement planning process.
Organizational Capacity	Standard 4: Accountability The program has policies and best practices to demonstrate fiscal responsibility, accuracy and reliability of data reporting, and protection of data according to federal requirements and shows progress toward achieving state performance benchmarks.
	Standard 5: Community Interaction and Outreach The program builds a visible and valued presence in the community, which in turn, supports the program by recruiting learners and talents and coordinating local resources for support services, economic opportunity through career pathways, and further education and training opportunities.
	Standard 6: One-Stop System Integration The program takes steps to implement WIOA's vision as expressed in Iowa's Unified State and Local Plan for a seamless system of education and workforce services that supports career pathways.

Regional Alignment Accountability

WIOA strengthens the alignment of the workforce development system's core programs by compelling unified strategic planning requirements, common performance accountability measures, and requirements governing the one-stop delivery system. In so doing, WIOA places emphasis on coordination and collaboration at the federal, state, and local levels to ensure a streamlined and coordinated service delivery system for job seekers (including those with disabilities) and employers.

The performance accountability system established in WIOA Sec. 101(d)(8) requires:

the development of strategies for aligning technology and data systems across one-stop partner programs to enhance service delivery and improve efficiencies in reporting on performance accountability measures (including the design and implementation of common intake, data collection, case management information, and performance accountability measurement and reporting processes and the incorporation of local input into such design and implementation, to improve coordination of services across one-stop partner programs).

Participation on state and regional boards, councils, and standing committees supports local program activities such as literacy education, workforce preparation, integrated education and training, and development of career pathways. These committees offer adult educators new opportunities to enhance and expand engagement efforts with employers and community agencies to ensure the local adult education services meet the needs of WIOA participants.

Boards, Councils, and Standing Committees

Program standards required that programs establish “a visible and valued presence in the community through outreach and local partnerships.” To ensure increased coordination of programs and resources to support a WIOA system that seamlessly provides integrated services to all job seekers, workers and businesses, AEL program administrators and coordinators are encouraged to participate on regional and statewide boards, councils, and standing committees that support WIOA implementation and partnerships.

Local Workforce Development Board

WIOA requires the local workforce board to coordinate with adult education providers, including reviewing applications from eligible adult education providers to determine whether they are aligned with the local plan and make recommendations to the state agency administering adult education on promoting alignment.

(d) Functions of Local Board

(11) Coordination with education providers.—

(A) In general.--The local board shall coordinate activities with education and training providers in the local area, including providers of workforce investment activities, providers of adult education and literacy activities under title II, providers of career and technical education (as defined in section 3 of the Carl D. Perkins Career and Technical Education Act of 2006 (20 U.S.C. 2302)) and local agencies administering plans under title I of the Rehabilitation Act of 1973 (29 U.S.C. 720 et seq.), other than section 112 or part C of that title (29 U.S.C. 732, 741).

(B) Applications and agreements.--The coordination described in subparagraph (A) shall include--(i) consistent with section 232--(I) reviewing the applications to provide adult education and literacy activities under title II for the local area, submitted under such section to the eligible agency by eligible providers, to determine whether such applications are consistent with the local plan; and (II) making recommendations to the eligible agency to promote alignment with such plan.

Iowa Literacy Council

The abilities to read, comprehend, write, and compute are necessities in today's society. Iowa's Literacy Council seeks to ensure Iowans have literacy skills to reach their personal goals. The leadership and resources of the council will help coordinate statewide literacy programs, provide technical support to volunteers and programs, and bring greater visibility to literacy programs.

Sector Partnerships

Sector partnerships are comprised of industries with shared needs, as well as various education, workforce, economic, and community organizations in supportive roles. These partnerships develop and continuously evaluate goals, policies, and service-delivery strategies to meet the needs of employers in a given sector. In doing so, they operate within labor market regions and are not confined to municipal, county, educational, or state boundaries. Effective sector partnerships are industry-driven, meaning that industries identify needs and assume the lead role in developing strategies which address their identified needs.

Sector partnerships are recognized effective methods for aligning education, economic, and workforce development systems to address industry-identified labor market needs. WIOA emphasizes credential attainment through the use of sector partnerships and career pathways.

Program participation on regional sector partnership committees supports local program activities such as workforce preparation, integrated education and training, and development of career pathways. These committees offer adult educators new opportunities to enhance and expand engagement efforts with employers so that adult education services meet the needs of job seekers and employers.

Sector partnership toolkits and other resources are available on the Department's website under "[Adult, Career and Community College](#)" tab.

Monitoring Program Performance

The Iowa Department of Education's Adult Education and Literacy team uses various means of assessment in an annual and ongoing evaluation process of local programs including: professional development evaluations; site and desktop monitoring; program status updates; monthly performance reviews; and quarterly financial reviews. The results of these processes determine program improvement actions and program improvement plans.

WIOA Performance Implementation Visits

Implementation visits will provide programs and the Department an opportunity to assess local program implementation of WIOA. Monitoring will happen for each program at a different stage of program year 2017. The goal of implementation visits is to:

1. determine whether a program is compliant with WIOA provisions now in effect;
2. assess whether a local area is on track to meet future deadlines;
3. identify the need for and provide technical assistance; and
4. record examples of noted practices that can be shared.

The focus of the visits will be to guide and support the alignment of WIOA core partner programs to ensure integrated services to participants through unified strategic planning. *“State and local boards, One-Stop Center operators and partners must increase coordination of programs and resources to support a comprehensive system that seamlessly provides integrated services that are accessible to all job seekers, workers and businesses.”*

There are five goals that local strategic planning and partnerships are to fulfill:

1. Increase access to opportunities for employment, education, training and supportive services, especially for those with barriers to employment;
2. Alignment of workforce investment, education and economic development systems to create a comprehensive, accessible and high-quality workforce development system;
3. Improvement in the quality and relevance of the systems to provide workers with the skills and credentials necessary to secure employment with family-sustaining wages

and provide employers with the skilled workers they need;

4. Increased prosperity of workers and employers, economic growth of communities, regions and states and the overall global competitiveness of the United States; and
5. The provision of workforce investment opportunities that increase employment, retention and earnings of participants, and increase the attainment of recognized, postsecondary credentials for the reduction of welfare dependency and the skilled labor force employers need.

Site and Desktop Monitoring

Iowa is currently in the process of updating and aligning adult education and literacy monitoring to include program standards that address WIOA implementation along with a quality assurance system to ensure student performance improvement, financial accountability, program quality, and regulatory compliance of local providers in accordance with federal laws and regulations and state statutes and rules.

The monitoring component of the quality assurance system is risk-based. The risk assessment can be used as a self-assessment tool but is annually conducted by the state to evaluate variables associated with the program standards that determine the monitoring strategy appropriate for each local entity—desktop or onsite.

Monthly Performance Review

Conducting data integrity reports and monthly reporting of student records are requirements of Iowa’s assessment policy. This data is pulled from the online data management system and reviewed for validity. The following data elements are reviewed:

- » participant educational levels;
- » monthly attendance;
- » hours of instruction;
- » assignment of a college issued identification number.

Key data elements are posted on the Department’s website for tracking local entities’ progress toward targets. This data includes NRS enrollment and high school equivalency diplomas awarded. Each program is also assessed for post-test percentage and progress toward the state negotiated educational functioning level benchmarks among participants served. While this data is available to each program at any time through the data management system, the state’s review is conducted at least monthly.

Performance reports are being tied to continuous improvement plans with required improvement action plans for any data elements that are not being updated on a monthly basis. Local programs that do not report their data are in non-compliance with Iowa’s assessment policy. Iowa’s adult education and literacy funded programs are allocated funds based on performance. Lack of data limits the ability for the state to make data-driven decisions. In addition to technical assistance on data reporting, NRS guidelines and the implementation of Iowa’s assessment policy, best practices and recommendations are provided to assist the program in developing an improvement plan.

Status Report

For each continuing year after a competition, local programs are responsible for reporting back on strategies implemented during the program

year and to address goal and performance areas requiring continuous improvement. Documented evidence of implementation for the previous year is required and can include qualitative and quantitative examples. Improvement strategies for any unmet performance and for each performance target that is not at least 90 percent achieved is required, detailing plans and other actions taken to improve quality in the upcoming year of funding. Status update forms are created on the grant management system. Iowagrants is able to collect documentation or evidence of implementation in any format provided by the local program. Specific targets are required for updating which can include: enrollment, post-testing rates, educational functioning level gains, transitioning services and integrated education and training participation.

Status updates that fail to include sufficient documentation or continuous improvement will be negotiated back through the grant management system for additional information. Review of the updates are conducted by a panel. Technical assistance is provided for each local entity that has an update negotiated back for revisions. This assistance can include strategies related to goal setting, examples of documentation, or clarifying definitions.

Quarterly Financial Reviews

Through Iowagrants, the grant management system, quarterly claims from each local entity are reviewed by the state adult education and literacy team for allowable and allocable use of AEFLA funds. This review includes documentation for each expenditure against the budget and allocation for each local entity. There are three levels of approval, along with the requirement for an original signed invoice.

The financial review also tracks funds from state leadership that are allocated to each program for the purpose of implementing required leadership activities described in detail by the application from the local entity.

Non-compliant financial reviews are negotiated back for editing. These negotiations include outreach for technical assistance to both the program coordinator and fiscal agent, if necessary. Clarification on expectations is offered along with corrective actions. Due to the layers of approval needed, each level has the ability to negotiate back for correction or additional documentation. Amendments to the budget can be requested in alignment with the caps for correction and administrative percentages. These amendments are reviewed and approved based on the rationale provided by the local entity. While each amendment creates a new budget, the previous budget versions are kept in the grant management system for tracking. Changes in the budget and submissions of claims are time stamped to ensure timely response and processing.

End of Year Fiscal Report

An annual update on the financial expenses, program generated income and match funds will be due in October. This report will be submitted on Iowagrants and replaces the former ABE9 report. The annual update is done on the previous year's grant.

State Funding Report

This report compares adult education and literacy financial allocations, expenditures, and performance for the previous fiscal year. As stated in Chapter 23.3(5)(C), *a year-end report shall be submitted to the department no later*

than October 1. This report completes the fiscal information required for state reporting.

Program Improvement Plan

If noncompliance finding(s) are identified during the assessment, monitoring, or implementation visit, corrective action will be implemented through a program improvement plan within 45 days of the monitoring. The corrective action must identify the findings and specific strategies the local entity will implement to ensure that findings are resolved. While areas of recommendations do not require corrective action, local entities may include improvement strategies that will be implemented in the upcoming year of funding.



Section VI: Financial Management

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Cost Principles

Grant funding for adult education and family literacy programs in Iowa are managed in accordance with sound financial management policies and practices and in conformity with all state and federal financial rules and regulations. Refer to the *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards* (also referred to as 2 CFR 200) for specific requirements. A link to the Uniform Guidance is found on the U.S. Department of Education’s website at <https://ed.gov/policy/fund/guid/uniform-guidance/index.html>.

Basic Considerations

Funds requested must be used only for those items that are reasonable and necessary for accomplishing the objectives of the program and for implementing activities as described in the application. All items requested must be allowable expenditures under the authorizing program statutes, regulations, and rules and must be appropriately allocated.

Allowable Costs (2 CFR Sec. 200.403)

Costs must meet the following general criteria in order to be allowable under Federal awards.

- a. Be necessary and reasonable for the performance of the grant and be allocable under the applicable cost principles.
- b. Conform to any limitations or exclusions set forth in these cost principles or in the federal grant agreement as to types or amount of cost items.

- c. Be consistent with policies and procedures that apply uniformly to both federally-funded activities and activities funded from other sources.
- d. Be accorded consistent treatment. A cost may not be assigned to a Federal grant award as a direct cost if any other cost incurred for the same purpose in like circumstances has been allocated to the Federal award as an indirect cost.
- e. Be determined in accordance with generally accepted accounting principles (GAAP).
- f. Not be included as a cost or used to meet cost sharing or matching requirements of any other federally-financed program in either the current or a prior period. See also [Sec. 200.306 Cost sharing or matching](#) paragraph (b).
- g. Be adequately documented.

Note: Carryover funds (excessive monies carried over to the next fiscal year) should not be used to “pre-order” or purchase supplies and/or equipment for the next program year.

Reasonable Costs (2 CFR Sec. 200.404)

A cost is reasonable if, in its nature and amount, it does not exceed that which would be incurred by a prudent person under the circumstances prevailing at the time the decision was made to incur the cost.

In determining reasonableness of a given cost, consideration must be given to:

- a. Whether the cost is of a type generally recognized as ordinary and necessary for the operation and efficient performance of the Federal grant award.
- b. By such factors as: sound business practices; Federal, state and other laws and regulations; and terms and conditions of the Federal award.

- c. Market prices for comparable goods or services for the geographic area.
- d. Whether the individuals concerned acted with prudence in the circumstances considering their responsibilities to the non-Federal entity, its employees, where applicable its students or membership, the public at large, and the Federal government.
- e. Whether the grant recipient significantly deviates from its established practices and policies regarding the incurrence of costs, which may unjustifiably increase the Federal grant award's cost.

Sample questions to determine reasonableness:

- » Is the expense targeted to valid programmatic or administrative functions?
- » Does the program use what is purchased in the current program year?
- » Can the program show that it paid a fair rate?
- » How would the program defend the purchase if questioned?
- » Does the program really need this?
- » What surplus property and/or existing resources does the program have at this point?
- » Is it more economic to lease or to purchase?
- » Is the minimum amount required to meet the program needs?

Allocable Costs (2 CFR Sec. 200.405)

A cost is allocable to a particular Federal award if the goods or services involved can be charged or assigned based on relative benefits received or some other equitable relationship. A cost is allocable if it is necessary to the overall operation of the program and incurred solely to advance the work under the grant agreement.

If a cost benefits two or more projects or activities, the cost should be allocated to the projects based on the proportional benefit. If a cost benefits two or more projects or activities in proportions that cannot be determined because of the interrelationship of the work involved, the costs may be allocated on any reasonable documented basis. For further guidance, refer to 2 [CFR 200.405\(c\) and \(d\)](#).

Direct and Indirect Administrative Costs

Classification of Costs (Sec. 200.412)

There is no universal rule for classifying certain costs as either direct or indirect under every accounting system. A cost may be direct with respect to some specific service or function but indirect with respect to the Federal grant award or other final cost objective. Therefore, it is essential that each item of cost incurred for the same purpose be treated consistently in like circumstances either as a direct or an indirect cost in order to avoid possible double-charging of Federal awards.

Direct Costs (2 CFR Sec. 200.413)

Direct costs are those costs that can be identified specifically or that can be directly assigned to activities relatively easily with a high degree of accuracy. Costs incurred for the same purpose in like circumstances must be treated consistently as either direct or indirect costs. Typical direct costs charged directly to a Federal grant award are the compensation of employees who work on that award, their related fringe benefit costs, and the costs of materials and other items of expense incurred for the Federal award. See Allowable Costs on page 108 for examples of eligible expenses.

The following limitations are in effect:

1. No more than 20 percent of the allocation shall be used to provide education to institutionalized adults.
2. Any *state* funds used for High School Equivalency Diploma testing-related activities cannot be counted for match funds. This includes, but is not limited to, funds used for testing, retesting, graduation ceremonies, travel and salaries of testing staff, proctors, supervisors, testing vouchers, and scholarships.
3. At least 20 percent of an instructor's/staff time may be used for professional development or training.

Indirect Administrative Costs

(2 CFR Sec. 200.414)

The terms "Indirect" and "Administrative" costs are used interchangeably in this section. Indirect costs are costs that can be rationally attributed to the running of a program but cannot be reasonably assigned a direct cost. They are incurred for common purposes, but are not readily assignable to different programs. Examples of indirect costs may include depreciation, the costs of operating and maintaining facilities, and general administration and expenses, such as the salaries and expenses of executive officers, personnel administration, and accounting.

Indirect costs are capped at 5 percent on the AEFLA *federal* grant. A percentage of indirect costs may also be charged to the AEFLA *state* grant. While that percentage has not been capped, programs are encouraged to use a reasonable rate and focus on increasing and expanding services to the targeted population.

For approval to budget an amount *greater than 5 percent* for administrative expenses, programs

must submit a written request and justification at the time of the grant application. There is no guarantee of approval for higher rates once funding has begun, and each request will be considered individually.

As described in [sec. 200.403 *Factors Affecting Allowability of Costs*](#), costs must be consistently charged as either indirect or direct costs but may not be double-charged or inconsistently charged as both. For end-of-year financial reporting, it is important to be able to separate the indirect costs from the direct costs.

Administrative and Clerical Salaries

(2 CFR Sec. 200.413(c))

The Uniform Guidance states that “the salaries of administrative and clerical staff should normally be treated as indirect costs.” Administrative staff provide non-technical support services that generally benefit departmental functions such as clerical support, financial management, procurement of materials and services, budget and planning, and personnel management.

Pursuant to AEFLA Sec. 233(a), a local adult education and literacy program may budget no greater than 5 percent of its direct costs out of its federal grant for administrative expenses. Direct charging of these costs may be appropriate if all of the following conditions are met:

1. Administrative or clerical services are integral to a project or activity;
2. Individuals involved can be specifically identified with the project or activity;
3. Such costs are explicitly included in the budget; and
4. The costs are not also recovered as indirect costs.

Allowable Costs

The following is a list of allowable costs on your AEFLA grant award. For further information on costs, refer to [2 CFR Sec. 200.420-475](#).

- » Advertising and Public Relations (*i.e., Recruitment of personnel, procurement of goods and services, and program outreach that are necessary to meet requirements of the grant are allowable*)
- » Conference, Meeting, Retreat, Seminar, Workshop, or Event (*i.e., Rental of facilities, speakers' fees, costs of meals and refreshments, local transportation, and other incidental items are allowable with restrictions. Primary purpose of the event must be the dissemination of technical information and costs must be necessary and reasonable for successful performance under the grant.*)*
- » Fringe Benefits
- » Materials and Supplies Including Costs of Computing Devices (*A computing device is a supply if the acquisition cost is less than \$5,000*).
- » Memberships, Subscriptions, and Professional Activity Costs
- » Participant Support Costs**
- » Rent of Building and/or Equipment
- » Salaries & Wages
- » Travel Costs (*i.e., Transportation, lodging, meals, and related items incurred by employees who are in travel status on official business of the college or organization.*)

Unallowable Costs

Unallowable costs are those costs that cannot be charged to a federal grant due to federal and/or state policies, regulations and restrictions. For further information on costs refer to [2 CFR Sec. 200.420-475](#). The following is a selected list of unallowable costs that are specifically prohibited by the federal government:

- » Advertising for General Promotion of the College or Organization
- » Alcoholic Beverages
- » Alumni or Fundraising Activities
- » Bad Debts
- » Charitable Contributions, Donations and Gifts
- » Commencement and Graduation Expenses
- » Contingency Provisions (*i.e., Reserves for future unanticipated costs are unallowable*)
- » Entertainment and Social Activities (*i.e., Amusement, social activities and any associated costs such as meals, beverages, lodging, rental transportation, and gratuities are unallowable*)
- » Fines and Penalties
- » First Class or Other Non-Coach Class Travel
- » Goods and Services for Personal Use
- » Interest (*i.e., Costs incurred for interest on borrowed capital, temporary use of endowment funds, or the use of the college's or organization's own funds*)
- » Lobbying Costs
- » Losses on Grant Agreements

* The Department of Education guidance on conference costs can be found at [Ed Guidance on Conference Costs](#).

** As an example, limited use of bus tokens to and from class would be allowable. Funds used to pay students' HISET testing fees would not be allowable.

- » Membership in any Civic or Community Organization, Country Club or Social Club
- » Organization Costs (*i.e., Salaries for attorneys, accountants, or investment counselor are unallowable*)
- » Rental Space
- » Staff Time (*i.e., Paying staff to attend non-adult education related board or community service meetings is unallowable*)
- » Student Activity Costs (*i.e., Costs incurred for intramural activities, student publications, student clubs, and other student activities are unallowable*)
- » Trustees (*i.e., Paying salaries and other expenses of local government bodies, such as boards of county commissioners, city councils, school boards, etc. regardless of whether such expenses incurred for purposes of legislation or executive direction are unallowable*)

Additionally, costs that are unallowable as direct charges on federal sourced awards may not be used as cost share. If you have any questions regarding unallowable costs, please refer back to the Uniform Guidance or contact your Business Office or Grants Accountant.

Supplement vs. Supplant

Federal funds may not be used to pay for services, staff, programs, or materials that would otherwise be paid with state or local funds. This would be referred to as “supplanting” and is unallowable.

A 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; supplant means to take the place of those funds.

What services would have been provided in the absence of these funds? If services would still have been required due to laws or regulations, and therefore, would have been provided regardless, any use of federal funds would be considered supplanting and thus unallowable.

If the services would not have been provided in the absence of the federal funds, then they can be considered supplemental and would be allowable.

Exceptions: The supplanting argument can be rebuffed 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.

Supplement: Increase the level of funds that would be made available

Supplant: Take the place of

Time and Effort Reporting

Strong internal controls must exist for the reporting of salaries and wages on grants. Effort reporting is a means of verifying that appropriate salary and wage expenses were charged to grants and that they are reasonable. It is also a means of verifying that cost sharing was performed as promised and that total effort commitments were met.

The Uniform Guidance ([2 CFR Sec. 200.430](#)) requires that time distribution records must be maintained for all employees whose salary is paid in whole or in part with federal funds or is used to meet a match or cost share requirement for a grant. Effort reporting is a federal compliance requirement and is almost always requested and reviewed by federal auditors when grants are under review.

Effort is a reasonable estimate of time worked on a grant but is not based on a standard 40 hour work week. Even where the number of hours of effort the individual expends each week substantially exceeds the “normal” workweek of 40 hours, effort percentages must be based on total effort, not hours. The effort report form must account for all effort for which the College/Organization compensates the individual and total 100%. Effort does not include outside activities such as external consulting.

The effort report must reflect an "after-the-fact" distribution of actual activities and must be signed and dated by the employee.

The State retains the right to review the Program's effort reports periodically to determine compliance with this federal requirement.



Standards for Financial and Program Management

Internal Control (2 CFR Sec. 200.303)

The Uniform Guidance places emphasis on strong internal controls. In accordance with 2 CFR 200.302, all grant recipients must have financial management systems that include written procedures for ensuring all expenditures conform to the terms and conditions of the grant as well as the Uniform Guidance Cost Principles.

A program's financial management system must be capable of distinguishing expenditures attributable to this grant from other expenditures. Transactions must be properly recorded and accounted for in order to permit the preparation of reliable financial statements and Federal reports. Programs must maintain accountability over assets and demonstrate compliance with Federal statutes, regulations, and the terms and conditions of the Federal award. Programs must take reasonable measures to safeguard protected personally identifiable information.

Cost Sharing or Matching (2 CFR Sec. 306)

Cost sharing is the portion of the total project costs not borne by the granting agency. Therefore, the local program or another party bears some of the costs of the program. These requirements are referred to as either mandatory "matching" or "cost sharing." Other terms used include matching, third-party, and in-kind contributions.

Programs are required to provide a minimum of 25 percent match against their federal funds or match

at the level of their previous years' contributions. This match may exceed 25 percent but may not be less than 25 percent. Matching funds may be cash, in-kind, or a combination of cash and in-kind contributions. Match may occur in one object code, such as personal services or across the various object codes. Match may be claimed in a single quarter or multiple quarters during the grant period. There are no matching requirements for the AEFLA state funds.

Types of Cost Sharing or Match

Costs that can be used to satisfy your program's match or cost sharing requirements may be comprised of the following:

1. Direct costs for the project but were not charged to the grant (*i.e., Salary or travel costs*).
2. Indirect costs (which are also real costs) related to not receiving the full indirect rate from your grant award or indirect related to direct costs identified in #1 above.
3. Third party in-kind contributions, which can be in the form of a third party's direct or indirect costs (*i.e., funds from a Dollar General Literacy Grant, volunteer hours, or a third party's donation of space for your program*).

Generally, the rule for valuation of third party in-kind contributions is "what it would have cost if your program had paid for the item or service." Please note that if a cost would not be allowable under the grant's spending guidelines, it also would not be allowed as cost share.

Third party in-kind contributions must be supported by documentation from the third party. The documentation should be on the third party's letterhead and should indicate the cumulative dollar amount of the cost share achieved, an indication of how the valuation was computed, the period of time over which the cost share was incurred, and should be signed by an authorized official of the third party organization.

To report volunteer hours as match, the cash value of volunteer services per hour must be substantiated and that value reported as in-kind. To determine the value of volunteer time in the state of Iowa, please refer to Independent Sector at www.independentsector.org.

To be acceptable as cost sharing, an item must satisfy all of the following criteria:

1. Be documented and readily identifiable in the Program's accounting system.
2. Not be used as cost sharing for any other grant.
3. Be necessary and reasonable for accomplishment of the program objectives.
4. Be allocable as a cost of the program (*i.e., incurred to benefit the program*).
5. Be allowable under the applicable cost principles, OMB Uniform Guidance, and/or applicable sponsor/award requirements.
6. Be itemized in the approved grant budget.
7. Be incurred during the effective dates of the grant.

Program Income (2 CFR Sec. 200.307)

Adult education and literacy programs may collect tuition monies and/or fees where appropriate. Tuition monies or fees collected must be reasonable and necessary and must not deter access to services. Fees should be minimized so as not to create a

barrier for adult learners and serve instead as a persistence and retention effort by the local programs to incentivize and reward. Such fees, if not refunded through the course of the program year, are regarded as program income. All fees collected must benefit the AEFLA program and provide additional adult education and literacy services that the program would otherwise be unable to provide. Fees cannot be commingled with other funds to purchase non-AEFLA related items or provide non-AEFLA services.

Program income may be used to meet the cost sharing or matching requirement of the Federal award. Program income must be used and reported in the end-of-year financial report and be separated. Again, all income collected must be expended directly for the purposes of the AEFLA program.

Revision of Budget and Program Plans (2 CFR Sec. 200.308)

Programs are required to report deviations from budget or project scope or objective, and request prior approvals from IDOE for budget and program plan revisions. Programs must also report any changes in key personnel or changes in their approved cost sharing or matching. Programs are reminded that they are not permitted to carry forward obligated balances to subsequent periods of performance without prior approval.

Period of Performance (2 CFR Sec. 200.309)

Programs may charge to the Federal award only allowable costs incurred during the period of performance as identified on the grant award agreement.

Performance, Financial Monitoring and Reporting

The Program Coordinator (as subject matter expert for adult education and literacy services) is accountable for the use of the grant funds and should have knowledge concerning the laws and regulations highlighted in this section and further expanded in the OMB Uniform Guidance. In addition, the coordinator's responsibilities include the timely submission of amendments, claims, and status reports.

[Monitoring and Reporting Program Performance \(2 CFR Sec. 200.328\)](#)

Programs are responsible for oversight of the operations of their grant award and supported activities. Programs must monitor their activities under the federal grant award to assure compliance with applicable Federal requirements and performance expectations are being achieved.

Subrecipient Monitoring and Management

Programs may subcontract a portion of their grant to provide adult education and/or family literacy services. The Program must indicate its intent to the state and provide details on the entity or entities that will receive subcontracting funds and how much they will receive. Should the Program decide to discontinue the subcontracting relationship during the course of the grant cycle, it must contact the area consultant to explain how it plans to replace the services provided by the subcontractor.

[Subrecipient and Contractor Determinations \(2 CFR Sec. 200.330\)](#)

The following are the roles of subrecipients and contractors so that Programs can determine the relationship and the applicable requirements. See the chart, "Roles of Subrecipients and Contractors" on page 110.

[Subrecipient Monitoring \(2 CFR Sec. 200.331\)](#)

Programs are required to evaluate the subcontractor's risk and determine appropriate monitoring activities based on that risk assessment. In addition, audit reports from subrecipients are now expected to be obtained from the Federal

Audit Clearinghouse instead of requesting the audit reports from the subcontractor.

In addition to the monitoring requirements, Programs have additional responsibilities if subcontracting out a portion of their funds:

1. Programs must have a written agreement in place with the subcontracting agency that includes a formal budget;
2. Programs are responsible for providing subcontractor(s) with all pertinent adult education and literacy information;
3. Program will notify the subcontracting agency or agencies that subcontractors are required to adhere to all policies and guidelines that apply to state and federal funding. This includes providing high quality instruction and professional development for staff; and
4. Programs are responsible for the performance of, and any violations of guidelines and policies by the subcontractor(s).

Roles of Subrecipients and Contractors

Subrecipients	Contractors
Carry out a portion of a federal grant award and create a federal assistance relationship	A contract will be executed for the purpose of obtaining goods and services for the non-federal entity's own use and creates a procurement relationship with the contractor
Entity is eligible to receive federal assistance	Provide goods and services within normal business operations
Have performance measured in relation to whether or not objectives of a federal program were met	Provide similar goods and services to many different purchasers
Have responsibility for programmatic decision making	Normally operate in a competitive environment
Are responsible for adherence to applicable federal program requirements specified in the award	Provide goods and services that are ancillary to the operation of the federal program.
Use the federal funds to carry out programs for a public purpose specified in authorizing statute, as opposed to providing goods and services for the benefit of a pass-through entity	Are not subject to compliance requirements of the federal program as a result of the agreement

Record Retention and Access

Each grantee shall keep accessible and intact records that support all claims for the project funds relating to the accountability and expenditure of funds for a period of five years after the submission of the final expenditure report or until all audits are complete and findings on all claims have been completely resolved, whichever is later. Such records include but are not limited to staff records, and fiscal

records that document information reported to the state through data and fiscal reporting systems. Refer to [2 CFR Sec. 200.333](#) for further guidance on record retention.



Section VII: Professional Development System

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High-Quality Professional Development

Effective, quality instruction is essential to provide an exemplary educational program. Research shows that instructors are by far the most important factor in determining whether or not students succeed.

Highly effective instructors are passionate about actively engaging students and meeting them wherever they are on their learning journey. While the art and science of quality instruction may be more than the sum of its parts, some instructional building blocks are essential for it to occur. This document provides standards and guidance for Iowa’s adult education and literacy instructors:

Highly effective instructors who have mastered the art and science of quality instruction do not exist in isolation. They do not close their classroom doors and quietly figure it out all by themselves. They collaborate with other professionals in their program and in the educational community at large. They participate in personal learning networks (communities of practice) and consult them to get new ideas and feedback about their struggles and successes. They engage in professional reading of current research to improve and expand their repertoire of skills. When they discover an amazing instructional combination or resource, they share it with other instructors and in online environments (Ferguson, 2010, U.S. Department of Education).

As an Adult Education and Literacy (AEL) leader, you will:

- » assist adults to become literate and obtain the knowledge and skills necessary for employment and self-sufficiency;
- » assist adults who are parents to obtain the educational skills necessary to become full partners in the educational development of their children;
- » assist adults in the completion of a secondary school education; and
- » assist adults to prepare for college and/or career pathways.

To assist instructors in becoming highly effective, administrative rules were adopted (Chapter 23—Adult Education and Literacy Programs) and became effective July 1, 2015.

New Instructor Training

As noted in 23.7(4)(b), all new professional staff are required to have an additional six hours of professional development relevant to their role and responsibilities. For example, instructional staff could participate in professional development such as “Motivating the Adult Learner;” “Teaching a Multilevel Classroom”; “Using Adaptive Learning in the Adult Education Classroom”; or “Blended Learning in Adult Education.”

Exceptions

As noted in 23.7(4)(a), there is an exception to the required twelve hours of annual professional development for professional staff if that staff holds a valid Iowa teacher certificate. In addition, all requirements for professional development are reduced by 50 percent for volunteer staff.

This section outlines certain responsibility of the program to assist instructors to:

- a. Acquire knowledge, skills, approaches, and dispositions;
- b. Explore new or advanced understandings of content, theory, and resources; and
- c. Develop new insights into theory and its application to improve the effectiveness of current practice and lead to professional growth.

The professional development system is an ongoing, continuous improvement cycle. Through the system, strengths and weaknesses are identified on an individual, and more importantly, on a program- and state-wide scale. This identification allows for the best use of limited resources to address the greatest needs.

My Learning Plan

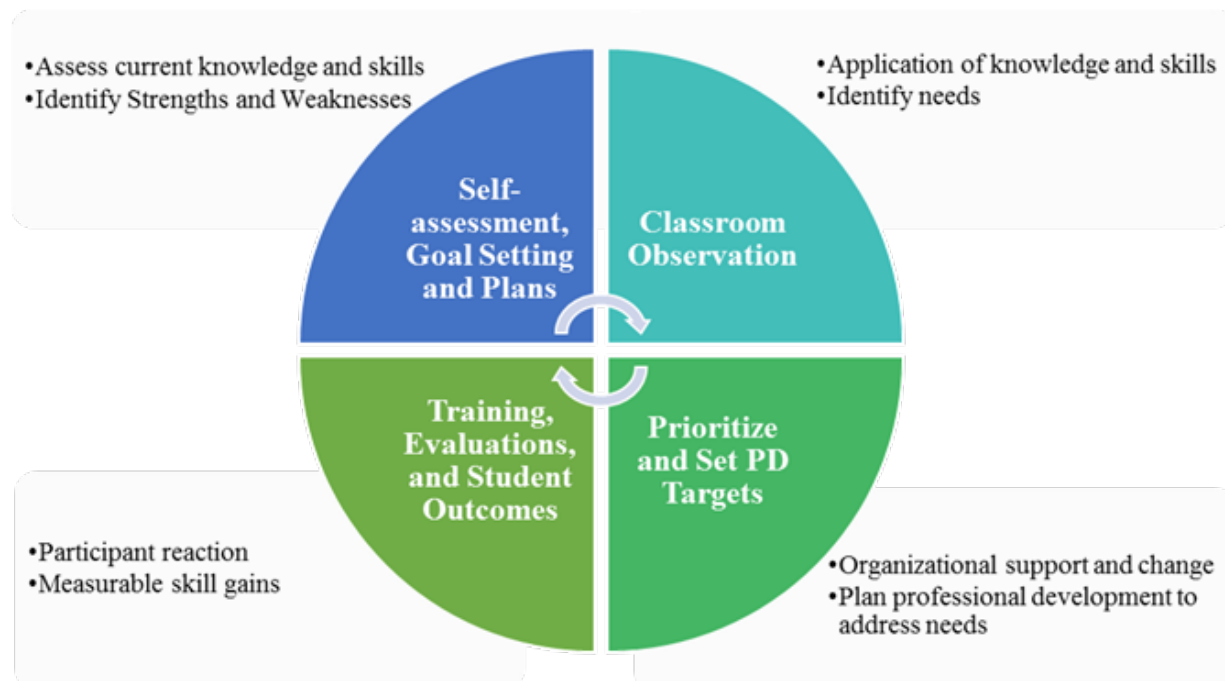
My Learning Plan (MLP), a professional development management system, has been

customized to meet the needs of AEL programs in our state. Use of MLP allows coordinators to ensure compliance with individual professional development plans, tracking professional development hours, classroom observations and self-assessments. Although face-to-face trainings have been provided throughout the state for both coordinators and instructors, the state's AEL professional development team will continue to provide ongoing training and support of MLP.

Individual Professional Development Plan

The goal of professional development is quality programming and improved services to students. Effective professional development involves ongoing commitment to keeping knowledge, skills, and abilities relevant and up-to-date. (See Figure 30). Informed by research, professional wisdom, and data, participants realize the potential of learning communities while focusing

FIGURE 30: PROFESSIONAL DEVELOPMENT CONTINUOUS QUALITY IMPROVEMENT MODEL



on teaching and learning. Effective professional development is ongoing, job-embedded, integrated into organizational goals, and supported by the organizational structure. Creating a plan for individual professional development is a way to link program's performance to quality instruction. Because they support professional quality, individual professional development plans (IPDPs) are integrated into the Iowa Adult Education and Literacy professional development system. All staff are required to have a current IPDP.

Professional Development Calendar

Currently, the state uses *My Learning Plan*, which includes an online calendar document with links for registration information for all state and program level professional development opportunities. Local funded programs are responsible for ensuring appropriate professional staff are informed about, and register in a timely manner for, the relevant professional development opportunities that were committed to in their application. The consultant responsible for the training will be listed as the contact to address any questions or concerns. Each professional development event will include an evaluation form to help capture feedback.

Tracking Professional Development Hours

It is important to track professional development hours to ensure that professional staff are receiving relevant training and development associated with their duties. As indicated by Chapter 23, all professional staff should receive a minimum of 12 hours of professional development annually (July 1 to June 30) to align with the program year and funding. It is the responsibility of each program to track and report the fulfillment of this requirement.

Classroom Observations

With the implementation of College and Career Readiness Standards in the classroom, it is important for instructors to assess their own performance in providing quality instruction and services to adult students. The use of a [classroom observation tool](#) that is aligned to content standards, technology, and instructor standards will provide program administrators with a framework for what adult education and literacy instructors should know and be able to demonstrate. By completing a self-assessment, instructors can identify their strengths, as well as areas needing improvement. This process will aid in professional development decisions and help to ensure professional staff are capable of meeting the diverse needs of adult students.

A self-assessment or observation done by a peer or lead instructor or administrator used with these standards should be a non-threatening tool for the professional staff's use. Additionally, the results may be used to complete a professional development plan that the instructor submits to the local administrator. These tools can provide an element in planning individual and program-wide professional development activities that respond to instructor needs.

The [classroom observation tool](#) is not intended to be used as a form of formative evaluation for instructors. If a paper based version is being used, these records should be maintained to demonstrate upon monitoring that a sufficient percentage of professional staff have completed within a program year.

Annually, a local program should ensure that instructional staff complete a self-assessment, along with their individual professional development plans, and look for alignment. This helps to ensure that the required professional development hours received are targeted to identified needs.

Professional Development Standards

Funded programs are responsible for ensuring that all professional development follows the state adopted standards, effective November 1, 2012. The standards ensure that programs:

- » show how their practice is informed by research (particularly scientifically based research and professional wisdom);
- » have a continual emphasis on quality instruction as it leads to student success; and
- » have quality professional development driving quality instruction.

In addition, the standards have been cited in Chapter 23—Adult Education and Literacy Programs.

Requests/Resources

In addition to the scheduled professional development, local funded programs may request technical assistance or training by completing the "Suggest Professional Development to the State" form located on MLP. There is no cost if the state provides the training. If the training will require a subject matter expert, a cost sharing agreement might be negotiated with additional program partnerships.

Previous trainings and resources are available on Wiggo if copyright law allows. Additional resources

are available through the Department website, resources, and links.

The success of any organization depends on a set of clear, shared goals and standards. Iowa's Adult Education and Literacy programs are no exception. Setting high expectations and clearly stating the criteria needed for success are essential in creating a responsive and effective educational system.

State Leadership Funds dispersed as Teacher Training allocation – targets required activities under section 222(a)(2) either through participation with state or local opportunities are being defined by these two required activities:

1. The alignment of adult education and literacy activities with other core programs and one-stop partners, including the development of career pathways to provide access to employment and training services for individuals in adult education and literacy activities.
2. To improve the instruction provided pursuant to local activities required under section 231(b), including instruction incorporating the essential components of reading instruction as such components relate to adults, instruction related to the specific needs of adult learners, instruction provided by volunteers or by personnel of a program, and dissemination of information about models and promising practices related to such programs.

Professional Development Administrative Rules

281–23.7(260C) High-quality professional development.

23.7(5) Responsibility of program. Adult education and literacy programs shall be responsible for providing professional development opportunities for professional and volunteer staff, including:

- a. Proper procedures for the administration and reporting of data pursuant to rule 281—23.8(260C);
- b. The development and dissemination of instructional and programmatic practices based on the most rigorous and scientifically valid research available; and
- c. Appropriate reading, writing, speaking, mathematics, English language acquisition, distance education, and staff training practices aligned with content standards for adult education.

23.7(2) Professional development requirements.

Professional development shall include formal and informal means of assisting professional volunteer staff to:

- a. Acquire knowledge, skills, approaches, and dispositions;
- b. Explore new or advanced understandings of content, theory, and resources; and
- c. Develop new insights into theory and its application to improve the effectiveness of current practice and lead to professional growth.

23.7(3) Professional development standards.

The department and entities providing adult education and literacy programs shall promote effective professional development and foster continuous instructional improvement. Professional development shall incorporate the following standards:

- a. Strengthens professional and volunteer staff knowledge and application of content areas, instructional strategies, and assessment strategies based on research;
- b. Prepares and supports professional and volunteer staff in creating supportive environments that help adult learners reach realistic goals;
- c. Uses data to drive professional development priorities, analyze effectiveness, and help

sustain continuous improvement for adult education and literacy programs and learners;

- d. Uses a variety of strategies to guide adult education and literacy program improvement and initiatives;
- e. Enhances abilities of professional and volunteer staff to evaluate and apply current research, theory, evidence-based practices, and professional wisdom;
- f. Models or incorporates theories of adult learning and development; and
- g. Fosters adult education and literacy program, community, and state level collaboration.

23.7(4) Provision of professional development.

Adult education and literacy program staff shall participate in professional development activities that are related to their job duties and improve the quality of the adult education and literacy program with which the staff is associated. All professional development activities shall be in accordance with the published Iowa Adult Education Professional Development Standards.

- a. All professional staff shall receive at least 12 clock hours of professional development annually. Professional staff who possess a valid Iowa teacher certificate are exempt from this requirement;
- b. All professional staff new to adult education shall receive 6 clock hours of pre-service professional development prior to, but no later than, one month after starting employment with an adult education program. Pre-service professional development may apply toward the professional development requirements of paragraph 23.7(4)“a”; and
- c. Volunteer staff shall receive 50 percent of the professional development required in paragraphs 23.7(4)“a” and 23.7(4)“b.”

23.7(5) Individual professional development plan. Adult education and literacy programs shall develop and maintain a plan for hiring and developing quality professional staff that includes all of the following:

- a. An implementation schedule for the plan;
- b. Orientation for new professional staff;
- c. Continuing professional development for professional staff;
- d. Procedures for accurate record keeping and documentation for plan monitoring;
- e. Specific activities to ensure that professional staff attain and demonstrate instructional competencies and knowledge in related adult education and literacy fields;
- f. Procedures for collection and maintenance of records demonstrating that each staff member has attained or documented progress toward attaining minimal competencies; and
- g. Provision that all professional staff will be included in the plan. The plan requirements may be differentiated for each type of employee.

23.7(6) Waiver. The requirement for professional development may be reduced by local adult education and literacy programs in individual cases where exceptional circumstances prevent staff from completing the required hours of professional development. Documentation shall be kept which justifies the granting of a waiver. Requests for exemption from staff qualification requirements in individual cases shall be kept on record and made available to the Department for review upon request.

23.7(7) Monitoring. Records of staff qualifications and professional development shall be maintained by each adult education and literacy program for five (5) years, and shall be made available to Department staff for monitoring upon request.

State Leadership Funds

The success of any organization depends on a set of clear, shared goals and standards. Iowa's Adult Education and Literacy programs are no exception. Setting high expectations and clearly stating the criteria needed for success are essential in creating a responsive and effective educational system.

State Leadership Funds dispersed as Teacher Training allocation – targets required activities under Section 222(a)(2) either through participation with state or local opportunities are being defined by these two required activities:

1. The alignment of adult education and literacy activities with other core programs

and one-stop partners, including the development of career pathways to provide access to employment and training services for individuals in adult education and literacy activities.

2. To improve the instruction provided pursuant to local activities required under section 231(b), including instruction incorporating the essential components of reading instruction as such components relate to adults, instruction related to the specific needs of adult learners, instruction provided by volunteers or by personnel of a program, and dissemination of information about models and promising practices related to such programs.

Iowa Adult Literacy Professional Development Leadership Council

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.

Local-Level Professional Development

Funds for all local programs from state leadership will be insufficient to meet the needs of the professional staff. Additional funds from state and local match can and should be used for professional development activities that support the local funded program’s needs. As in the case of the state English as a Second Language grant application, details describing key elements of professional development should be recorded, such as:

- » the category and delivery method of professional development;
- » a detailed activity plan;
- » identification of what is driving the professional development – teacher, student, state;

- » how the professional development offered will be evaluated;
- » an implementation strategy;
- » professional development standard alignment;
- » a timeline for delivery; and
- » an estimated budget.

Funds used to support additional professional development activities will be captured and reported in the State Funding Report.

Section VIII: Public Awareness and Communication

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State Public Awareness Campaign

The Adult Education and Literacy (AEL) brand is a subset of the state of Iowa and the Iowa Department of Education brand. Consistent application and precise production of logos and branding standards will identify and reinforce public awareness of AEL within Iowa’s education system and will make local AEL programs more recognizable and uniform across the state. The state public awareness campaign launched in 2015 is a resource for preparation of AEL-funded documents and publications.

Student Awareness

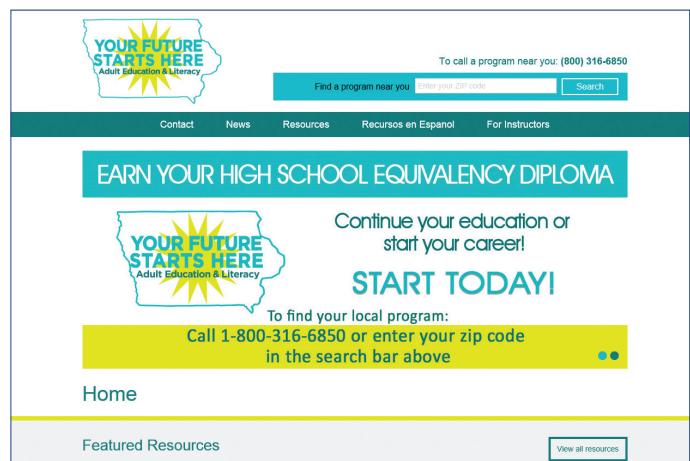
Part of the 2015 campaign addressed the need to centralize information for students to find and locate an AEL center and services. A toll-free hotline was established that routes all callers by zip code to their closest AEL funded program. These calls are expected to help track and appropriately route inquiries. Each funded program was able to select their number to have the calls routed to. It is the responsibility of each funded program to monitor calls received and make corrective actions if messages or returned calls are not being routed correctly or handled in a timely manner. Monthly reports of calls logged will be collected by the state to determine effectiveness and impact on enrollment. All recruitment pieces, in addition to customizing, should have this hotline posted—1-800-316-6850, prominently.

In addition to a hotline service, the campaign also launched a landing webpage, yourfuturestartshereiowa.org, (Figure 33) for students to access “universal” information on

Iowa’s AEL along with resources related to services. These services include information on digital literacy, the high school equivalency testing and the ability based on zip code to locate the closest service provider.

The campaign is a shared responsibility between the state and the local programs to ensure correct information is being shared to the public. While the state will maintain and update the site, if any services related to a local program or service location changes, the state will need to be notified. Web analytics will be used to track usage and routing of users with the intent that the landing page is creating additional referrals to AEL programs. This webpage should be used in all recruitment and ads for AEL-funded programs.

FIGURE 31: YOUR FUTURE STARTS HERE IOWA WEBSITE HOME PAGE



Style Guide

With a brand that represents the values, services, ideas and personality of a program designed to increase recognition and build perceptions, it is important to protect that brand through the use of a style guide. Elements such as logos and supporting graphics, color palette, typography and photography choices are covered in this guide. The guide will also ensure that the brand is correctly represented across all visual media in various situations.

The Logo

The AEL logo, as seen in Figure 32, was designed to be both modern and timeless. It uses bold colors to make a statement regarding action and to convey the start of a new beginning.

When displaying the logo, be aware of the need to factor in an exclusion zone. The minimum exclusion zone margin for the AEL logo is based on the dimensions of the central circle in the logo graphic. With all logos, a clear-space of the one circle must be maintained on all sides. When using background color behind the logo, it must extend to a minimum of the same dimensions as one circle on all sides. No element should encroach on this space.

The variations of the logo that are acceptable for use in marketing and communication material can be found to the right. These variations should only be used when specifically requested. Condensing, extending, distorting, manipulating, modifying, or redrawing the logo in any way is unacceptable.

FIGURE 32: AEL LOGO: STANDARD AND GRAYSCALE



COLORS

	CMYK: 8/0/79/0 RGB: 242/238/83 HEX# F2EE53
	CMYK: 73/1/27/0 RGB: 0/185/194 HEX# 00B9C2
	CMYK: 84/34/51/11 RGB: 31/122/122 HEX# 1F7A7A
	CMYK: 43/0/62/26 RGB: 107/188/71 HEX# 6BBC47

Colors

The color palette, on the left, includes primary and secondary colors. The logo should be reproduced in CMYK for print.

Typography

The AEL primarily uses two typefaces. Calibri is used primarily for display and headline copy, while Helvetica is used primarily for text and web context. Both can be purchased through Adobe or from other online typeface vendors. Please refer to Figure 33 for examples of typefaces.

Artwork and/or Photographs

Every image used, both digitally and in print, contributes to the way the message for AEL in Iowa is perceived. Artwork and photographs should focus on creating connections with the message. Photographs should represent diversity in age and ethnicity. Images of individuals appearing to be under the age of 24 should not be used. Refer to Figure 34 for examples of images.

FIGURE 33: TYPOGRAPHY

Newsletter	Heading 1	Calibri Upper & Small Caps	28 pt	Regular
	Heading 2	Calibri Uppercase	70 pt	WordArt
	Article Title	Calibri Uppercase & Lowercase	22 pt	Bold
	Body Text	Helvetica Sentence Case	12 pt	Medium
	Sidebar Text	Helvetica Sentence Case	14 pt	Medium
e-Newsletter	Featured Title	Calibri Uppercase & Lowercase	16 pt	Bold
	Article Title	Calibri Uppercase & Lowercase	14 pt	Bold
	Body Text	Helvetica Sentence Case	12 pt	Regular
	Footer	Helvetica Uppercase & Lowercase	12 pt	Regular
Website	Header 1	Helvetica Uppercase & Lowercase	38 pt	Light
	Header 2	Helvetica Uppercase & Lowercase	24 pt	Bold
	Body Text	Helvetica Sentence Case	16 pt	Regular

FIGURE 34: IMAGE EXAMPLES



Publications

Vertical and horizontal ads have been created for programs to use in their communities. In addition, a customizable brochure has been developed that can be co-branded. A contact card, the size of a business card, can be printed with one side in English and the other in Spanish. Sample publications and ads can be found in Figure 35.

A video has also been posted to the Department's website and is available for programs to download. The video will be available in segmented vignettes that highlight each student. The video's message is meant to relate to a wide audience, from potential participants to stakeholders and legislators. It should be used appropriately, without additional editing.

Questions or publications needs should be directed to Marcela Hermosillo at 515-281-4723 or marcela.hermosillo@iowa.gov

FIGURE 35: SAMPLE PUBLICATIONS AND ADS

YOUR FUTURE STARTS HERE
Adult Education & Literacy

EARN YOUR HIGH SCHOOL EQUIVALENCY DIPLOMA

Continue your education or start your career!

To find your local program:
Call 1-800-316-6850
or visit
www.yourfuturestartshereiowa.com

EARN YOUR HIGH SCHOOL EQUIVALENCY DIPLOMA

YOUR FUTURE STARTS HERE
Adult Education & Literacy

Continue your education or start your career!

START TODAY!

To find your local program:
Call 1-800-316-6850 or visit our website
www.yourfuturestartshereiowa.com

EARN YOUR HIGH SCHOOL EQUIVALENCY DIPLOMA

Continue your education or start your career!

YOUR FUTURE STARTS HERE
Adult Education & Literacy

To find your local program:
Call 1-800-316-6850 or visit www.yourfuturestartshereiowa.com

Communications

Communication between the state and funded programs is critical. This section discusses key channels for communication between the state and funded programs. Consultants assigned to your region are the first point of contact with general questions.

Email

Email will remain the primary method of communicating initial announcements to the local programs. Emails will often contain time sensitive information requiring action. Therefore, it is important that mailboxes are set to receive messages with sufficient space to reduce undeliverable messages.

Zoom Meetings

Efforts are made to reduce the need to travel through the implementation of web conferencing. While this tool is very effective in sharing information and allows screen sharing, chat, and recording features, there are limitations. A personal meeting is still the best way to build relationships and to ensure that information has been received and processed.

Programs need to download the software (<https://www.zoom.us/>) and provide staff with suitable headphones or access to a phone in order to participate in the web conferences. Additional web conferencing can be requested to address technical assistance issues where screen sharing and the ability to walk through the issue is provided. There will be times when a face-to-face meeting is preferred.

Newsletters

Periodically, a newsletter or fact sheet will be released by the state AEL to funded programs. This channel of communication will be used to provide information and ideas to programs and interested stakeholders. The newsletter will typically be one to four pages in length. The intent will be:

- » To keep the public informed.
- » To educate all readers about issues and ideas.
- » To build cohesion and a sense of pride.
- » To spark new interest in, and increase recognition of services and best practices.
- » To offer a format for information exchange that doesn't currently exist.
- » To maximize information sharing.

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Annual Timeline

JULY – AUGUST

3rd Thursday of every month - Coordinator Call

- Allocation Amounts Finalized
- AEFLA Grant is Awarded
- ESL Grant Application is Awarded

SEPTEMBER – OCTOBER

- 1st Quarter Reimbursement Claims Due
- Adult Education Financial Report Due
- State Financial Report Due
- Year End Data Released to Field
- New Coordinator/New Instructor Training
- NRS Tables and Data Quality Checklist Due

NOVEMBER – DECEMBER

- Annual report due to OCTAE (Financial Report and Narrative-Department)
- HiSET Policy - Destroy Tests/Re-order Paper-Based Tests

JANUARY – FEBRUARY

- Grant Status Update Due
- New HiSET® Test Launches
- 2nd Quarter Reimbursements Claims Due
- Annual Report Prepared (Department)
- State Board Presentation (Department)

MARCH – APRIL

- 3rd Quarter Reimbursements Claims Due
- Negotiate Performance Benchmarks with OCTAE
- Unified State Plan Extension Due
- Funding Allocation Determined & shared with field (Department)

MAY – JUNE

- Local Plan Extension is Due

JULY

- All requests for reimbursements due
- ESL State Application is Due
- AEL Annual Conference
- 4th Quarter Reimbursements Claims Due

Commonly Used Acronyms

ABE	Adult Basic Education	IDEA	Individuals with Disabilities Education Act (federal legislation)
ADA	Americans with Disabilities Act	IET	Integrated Education and Training
ADD	Attention Deficit Disorder	KeyTrain	WorkKeys preparation software
ADHD	Attention Deficit Hyperactivity Disorder	L&W	Life and Work (CASAS test)
AEL	Adult Education and Literacy	LEA	Local Educational Agency
ANI	Adult Numeracy Instruction	LD	Learning Disability
CAELA	Center for Adult English Language Acquisition	LINCS	Literacy Information Communication System (national online resources for Adult Education)
CAI	Computer Assisted Instruction	LEP	Limited English Proficient
CASAS	Comprehensive Adult Student Assessment System (AEL and ESL Standardized Tests)	ME	Managed Enrollment
CBE	Competency Based Education	MIS	Management Information Service
CBT	Computer-Based Testing	MLP	My Learning Plan
CCR	College and Career Readiness	NALS	National Adult Literacy Survey
CCRS	College and Career Readiness Standards	NCAL	National Center on Adult Literacy
CCSS	Common Core State Standards	NCSALL	National Center for the Study of Adult Learning and Literacy
CBO	Community Based Organization	NRS	National Reporting System
CIMS	Continuous Improvement Monitoring System	OPT	Official Practice Test
COABE	Commission on Adult Basic Education (national professional organization)	OCTAE	Office of Career, Technical, and Adult Education
CoP	Communities of Practice	PD	Professional Development
CTE	Career and Technical Education	PIACC	Programme for the International Assessment of Adult Competencies
DE	Iowa Department of Education	PLP	Professional Learning Plan
DE	Distance Education	PV	Pearson-Vue testing and products
DOK	Depth of Knowledge	ProLiteracy	Non-profit International Literacy Organization
DMR	Desktop Monitoring Report	RWDB	Regional Workforce Development Board
DRS	Division of Vocational Rehabilitation Services	STAR	Student Achievement in Reading
EFL	Educational Functioning Level (federal NRS)	TA	Technical Assistance
ELA	English Language Arts	TANF	Temporary Assistance for Needy Families (welfare program)
ELL	English Language Learner	TE	Tops Enterprise
EL/Civics	English Literacy and Civics Education	TESOL	Teachers of English for Speakers of Other Languages (professional organization)
ESL	English as a Second Language	WIOA	Workforce Innovation and Opportunity Act
ESOL	English for Speakers of Other Languages	WIN	Career readiness courseware
ETS	Educational Testing Service	WorkKeys	Standardized job skills assessment
GED	GEDTS High School Equivalency Test		
HiSET	ETS high School Equivalency Assessment		
HSED	High School Equivalency Diploma		

PY 2018 Coordinator Contacts

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Last Updated 09/01/2017

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 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:

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.)	<input type="checkbox"/> TE/DATA MANAGEMENT	<input type="checkbox"/> OTHER _____ _____ _____	PREFERRED DELIVERY:
	<input type="checkbox"/> HISET™		
	<input type="checkbox"/> AEFLA/AEL	<input type="checkbox"/> WEBINAR	
	<input type="checkbox"/> ESL/EL CIVICS	<input type="checkbox"/> FACE TO FACE	
	<input type="checkbox"/> FISCAL MANAGEMENT	<input type="checkbox"/> OTHER _____	

TYPE OF SPECIALTY TRAINING NEEDED (CHECK ALL THAT APPLY.)	<input type="checkbox"/> CASAS IT REFRESHER	<input type="checkbox"/> OTHER _____ _____ _____	PREFERRED DELIVERY:
	<input type="checkbox"/> AEL/HISET™		
	<input type="checkbox"/> ESL/EL CIVICS	<input type="checkbox"/> WEBINAR	
	<input type="checkbox"/> COLLEGE TRANSITION	<input type="checkbox"/> FACE TO FACE	
	<input type="checkbox"/> IET/IELCE	<input type="checkbox"/> OTHER _____	

PREFERRED TIMELINE BY:	<input type="checkbox"/> SPRING	<input type="checkbox"/> OTHER _____ _____ _____
	<input type="checkbox"/> FALL	
	<input type="checkbox"/> AEL CONFERENCE	
	<input type="checkbox"/> COORDINATOR CALL	
	<input type="checkbox"/> MONITORING VISIT	

Note: This request can also be submitted online through MLP.

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 may consist of the following:

- 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
- Race
- Gender
- Student ID Number
- Class Schedule
- Test Scores

As a special reminder, please remember that staff cannot:

- » Discuss the progress of a student with anyone (including parents) other than the Student without written permission of the Student.
- » Use any portion of a 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 the Student's record over the phone with any third party without permission from the student.
- » Distribute a printed Class List of Student Names with any identifiable data to a third party.

Personal Confidentiality Statement

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 HSED.

I, _____, am an employee of _____, who has entered into an Agreement for the Release of Confidential Information with the Chancellor/President. 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 Innovation and Opportunity Act (WIOA). These records contain student-specific information including social security numbers. Information will be shared with Iowa Workforce Development, the National Student Clearing House, and HSED data systems for the purpose of _____. 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, 2016 – December 31, 2017).
- » 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. I will adhere to these requirements and I understand the possible penalties for failure to comply.

Signature: _____ Date: _____

Printed Name/Title: _____

Institution Name: _____

Telephone/Email: _____

Please return this completed signed form for each staff person approved for direct access to Personal Confidential Information to the local Program Coordinator to upload onto Iowagrants.

Individual PD Plan Template

Individual Professional Development Plan Template

Name

Adult Education and Literacy Program Goal:

TIMEFRAME	Personal goals: (Optional) (e.g. May be planning retirement, may be wanting to develop new skills, change careers, major changes to personal life etc)	Professional goals: (e.g. Positional goals, gaining further qualifications, Memberships of Boards, Professional Associations etc)
Next 12 months		
Next 3 years		

This Professional Growth Plan was discussed and approved on _____

Instructor Signature _____ Coordinator Signature _____

Individual Professional Development Plan Template

STRENGTHS AND WEAKNESSES

	Planned Activities	Objective of Development Activity	Aligned Professional Development Standard	How activity impacts student learning
<p>Required knowledge/skills Consider:</p> <ul style="list-style-type: none"> • required competencies • job description • service plans and frameworks 				
<p>Strengths Consider:</p> <ul style="list-style-type: none"> • your views • recent tests/appraisals • other people's views 				
<p>Weaknesses/gaps Consider:</p> <ul style="list-style-type: none"> • gaps in knowledge/skills • changes to systems/services requiring new skills • what will help you to progress in your role? 				

Individual PD Plan Activity Log

Individual Professional Development Plan Activity Log

<p><i>Example:</i> Participated on our curriculum development team. Researched curricula, developed annual scope & sequence for Low Intermediate, assembled curriculum notebook</p>	<p>Jan - Mar 2013 5 team mtgs = 10 hours + 14 hours at home</p>	<p>10</p>				<p>14</p>	<p>(1) Description of professional development activity completed</p>	<p>(2) Date(s)/ hrs of partici- pation</p>	<p>(3) Work- shop/ Train- ing</p>	<p>(4) Credit course</p>	<p>(5) Webinar/ Phone- in/ Study Circle</p>	<p>(6) Confer- ence</p>	<p>(7) Self- Study</p>	<p>(8) Other</p>
1.														
2.														
3.														
4.														
5.														
6.														
<p>Total PD Hours (Total each of columns 3-8)</p>														

<p>I have completed the professional development activities as described.</p>	<p>I have granted _____ professional development hours for the professional development activities described.</p>
<p>Instructor Signature _____</p>	<p>Adult Education and Literacy Program Coordinator Signature _____</p>
<p>Date _____</p>	<p>Date _____</p>

AEL Monitoring Tools

Iowa Adult Education and Literacy Monitoring Tool*

* used in PY16 (refer to WIOA Implementation Review <https://www.educateiowa.gov/sites/files/ed/documents/AEL%20WIOA%20Implementation%20Review%2012-14-16%20%281%29.pdf> for PY17 Tool.)

Review of Recommendations from Previous Monitoring			Method(s) of Collection/Title of Document included in Evidence Binder
Review of Recommendations from Previous Monitoring	YES	NO	Method(s) of Collection/Title of Document included in Evidence Binder
<p>1. Based upon last year's recommendations:.... What program actions have been taken?</p> <ul style="list-style-type: none"> Documentation: 	<input type="checkbox"/>	<input type="checkbox"/>	Corrective Action Plan; Current year and previous year Local Plan Extension
<p>2. What assistance is needed from the state to further the process?</p>			
<p>A. Financial Monitoring</p>			
<p>1. Is the administrative percentage for the <i>federal funds</i> within 5% or the negotiated percentage rate?</p> <ul style="list-style-type: none"> What is the administrative percentage of the <i>State allocation</i> ? Documentation: 	<input type="checkbox"/>	<input type="checkbox"/>	Grant Award Notification, Fiscal documentation, ledger
<p>2. Does the amount used for Corrections and Institutions fall within a 20% cap for <i>federal funds</i> ?</p> <ul style="list-style-type: none"> What is the amount of <i>State funds</i> used for High School Equivalency? Documentation: 	<input type="checkbox"/>	<input type="checkbox"/>	Grant Award Notification, Fiscal documentation, ledger
<p>3. How is professional development expenditure tracked?</p> <ul style="list-style-type: none"> Documentation: 			Fiscal documentation, ledger
<p>4. Are funds used to supplement and not supplant?</p> <ul style="list-style-type: none"> Documentation: 	<input type="checkbox"/>	<input type="checkbox"/>	Budget review proposed expenses to actual
<p>5. Does program generate income?</p> <ul style="list-style-type: none"> Are fees reasonable and appropriate for grant? Is income put back into Adult Literacy program ? Documentation: 	<input type="checkbox"/>	<input type="checkbox"/>	
<p>6. Does program track time and effort for grant?</p> <ul style="list-style-type: none"> If employees are paid from multiple sources, is the distribution of their salaries documented by their time sheets? Documentation: 	<input type="checkbox"/>	<input type="checkbox"/>	Time and effort documentation
<p>7. Are all the activities performed by the program an allocable and allowable use of funds?</p> <ul style="list-style-type: none"> Documentation: 	<input type="checkbox"/>	<input type="checkbox"/>	Grant Award Notification, Fiscal documentation, last claim submitted on lowagants
<p>8. Are records retained for 5 years?</p> <ul style="list-style-type: none"> Documentation: 	<input type="checkbox"/>	<input type="checkbox"/>	Grant Award Notification, Fiscal documentation, ledger
<p>9. Is there an active MOU agreement between Core Partners?</p> <ul style="list-style-type: none"> Documentation: 	<input type="checkbox"/>	<input type="checkbox"/>	

B. Program Monitoring	YES	NO	Reviewers' Comments/Guidance	Method(s) of Collection/Title of Document included in Evidence Binder
1. Does program address intensity and duration of classes? How do you structure and sequence managed enrolment? • Documentation:	<input type="checkbox"/>	<input type="checkbox"/>	Copy of current year's Local Plan Extension, Class Schedule, Program Contact Information Sheet and Grant Award Notification, Communications with staff and student	
2. Does program collaborate with other agencies/entities? • Is there a referral process to and from the One-Stop • Does it result in improved services to clients? • Is the program actively involved in developing the local WIB plan • Documentation:	<input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	Written procedure, MOU, program documents Provide list of agencies and entities under current	
3. What is the program's targeted measurable goal (benchmark) for the current year? Is program achieving it? • Documentation:			Program documents	
4. What strategies for goal achievement and program improvement does the program use? How do you measure your progress? • Documentation:			Program documents, historical data on tracking or measuring performance	
5. What strategies are using to provide AEL services as aligned with WIOA? • Documentation:				
6. How does the program contextualize and integrate instruction into career awareness? • Documentation:			Program documents, skill development, career guidance, college and career readiness standards, written screening	
7. Is there an outline of specific curricula for each program component including showing the use of research based practices along with alignment of CCRS? (ABE, HISET, ESL, etc.)/listing of "other materials" to be used for instruction? • Documentation:	<input type="checkbox"/>	<input type="checkbox"/>	Program documents. A menu of aligned classroom support materials. Written screening and referral processes for adult learners with a learning disability.	
8. What strategies for integrating technology are used? • Documentation:			Standards based lesson plans with computer assisted instruction.	
9. What strategies do instructors use to engage students and ensure student success? How is student success aligned with a Career Pathway specific to the student's needs and occupational field of choice? • Documentation:			Standards based lesson plans, observation forms, student surveys, distance curricula, employer engagement	
10. Does the program have a procedure for obtaining professional development needs and communicating program needs to the State? (Identify what the procedure is.) What are your program action plans for ANI, STAR, Digital learning, including timeframe for trainings. • Documentation:	<input type="checkbox"/>	<input type="checkbox"/>	Individual Professional Development Plans; Copies of any certificates should be accessible if monitors need to review or have questions; Evaluation Forms from stakeholders.	
11. Do EL/Civics funded activities integrate English Literacy and civics education? • Documentation:	<input type="checkbox"/>	<input type="checkbox"/>	Program documents	

C. Data Monitoring	Method(s) of Collection/Title of Document included in Evidence Binder
<p>1. Data collection policies and procedures:</p> <ul style="list-style-type: none"> Does program have policies and procedures for collecting student demographics? Does program have policies and procedures for administering assessments? Does program have policies and procedures for tracking student attendance? Does program have policies and procedures for recruitment and retention? Does the program share learning gains and level completions with student? Does program have policies and procedures for pre-enrollment educational attainment (effective 7/1/12)? Are there procedures for collecting teacher educational attainment, credentials and experience in adult education? Are sub-sections of HSED test battery, attempted and passed entered into TE®? Are special programs entered into TE®? Documentation: 	<p>Reviewers' Comments/Guidance</p> <p>YTD NRS tables (at point of monitoring visit) and 2 NRS tables from the previous program year</p> <p>Attendance sign-in sheets and template used to track attendance</p> <p>Marketing materials, student contracts, program information, website content will also be reviewed.</p> <p>Learning gains report generated after test or in TE</p> <p>Sub-section, sub-section score, sub-section-date, passed/not passed. Student Demographics.</p> <p>Distance Education, GAP, PACE, State Corrections, CBET (STAR), etc.</p>
<p>2. Are there clear descriptions of staff roles and responsibilities for data collection?</p> <ul style="list-style-type: none"> Is there a documented flow of data collection for documentation? 	<p>Current job descriptions for positions key to data collection. NRS Table 7. Resumes available if needed.</p>
<p>3. Does program have established reporting timelines?</p> <ul style="list-style-type: none"> Documentation: 	<p>Program policy/handbook</p>
<p>4. Does the program provide to the state accurate data to do data matching for the following cohorts:</p> <ul style="list-style-type: none"> attained employment retained employment post secondary HSET/high school equivalency diploma attainment Documentation: 	<p>Federal Tables 1-12, NRS Performance Report, Personal Score Report, Federal Tables Monitor Report, Data Integrity Report (NRS Inclusion) – Goals – Paired Matches, Hours of Instruction, Program Enrollment (Entry Fields), Program Outcomes (Update Fields)</p>
<p>5. Does the program have policy and procedure for student intake?</p> <ul style="list-style-type: none"> Documentation: 	<p>Program policy/handbook</p>
<p>6. What percentage of classes does the program distribute CASAS Class Profiles by Competency to at the current time?</p> <ul style="list-style-type: none"> 100-75% 74-50% less than 50% Documentation: 	<p>distribution agenda/report, instructor access documentation</p>
<p>7. Are students informed if program will conduct "student follow-up" for cohorts?</p> <ul style="list-style-type: none"> Does the program require a confidentiality release form for goals that require follow-up? Documentation: 	<p>Signed consent forms - confidentiality assurances</p> <p>Student information in TE - Consent field updated</p>
<p>8. Does program have a quality control procedure in place?</p> <ul style="list-style-type: none"> Does the program routinely perform database error checking (missing data)? Does the program have a policy for inputting data on a timely and regular schedule? Documentation: 	<p>Data Quality Checklist - Assessment Policy</p> <p>Data Integrity Report</p> <p>Implementation or Beyond Certificate</p> <p>Program policy/handbook</p>
<p>9. Does the program provide opportunity for staff development that supports NRS data implementation?</p> <ul style="list-style-type: none"> Documentation: 	<p>Staff Training agendas; Local Plan Extension; PD Activity</p> <p>Grant application(s)</p>

Fair Use Factors Checklist

This checklist can be used to help determine if your use of a copyrighted work falls within the fair use exception to copyright law.

<i>Purpose of Use</i>	
<i>Favoring Fair Use</i>	<i>Opposing Fair Use</i>
<input type="checkbox"/> Teaching (including classroom use copies)	<input type="checkbox"/> Commercial activity
<input type="checkbox"/> Research	<input type="checkbox"/> Profiting from the use
<input type="checkbox"/> Scholarship	<input type="checkbox"/> Entertainment
<input type="checkbox"/> Nonprofit Educational Institution	<input type="checkbox"/> Denying credit to original author
<input type="checkbox"/> Criticism	
<input type="checkbox"/> Changing the work for a new utility	
<input type="checkbox"/> Parody	
<i>Nature of Work</i>	
<i>Favoring Fair Use</i>	<i>Opposing Fair Use</i>
<input type="checkbox"/> Published work	<input type="checkbox"/> Unpublished work
<input type="checkbox"/> Factual or Nonfiction based	<input type="checkbox"/> Highly creative work (art, music, plays, etc.)
<input type="checkbox"/> Important to favored educational objectives	<input type="checkbox"/> Fiction
<i>Amount Used</i>	
<i>Favoring Fair Use</i>	<i>Opposing Fair Use</i>
<input type="checkbox"/> Small Quantity	<input type="checkbox"/> Large portion or whole work used
<input type="checkbox"/> Portion used is not central to entire work	<input type="checkbox"/> Portion used is central to work
<input type="checkbox"/> Appropriate portions for educational purpose	
<i>Market Effect</i>	
<i>Favoring Fair Use</i>	<i>Opposing Fair Use</i>
<input type="checkbox"/> User lawfully acquired or purchased copy of original work	<input type="checkbox"/> Avoids payment of royalties/permission
<input type="checkbox"/> One or few copies made	<input type="checkbox"/> Significantly impairs market or potential market for copyrighted work or derivatives
<input type="checkbox"/> No significant effect on the market or potential market for copyrighted work	<input type="checkbox"/> Licensing mechanism is reasonably available
<input type="checkbox"/> Lack of licensing mechanism	<input type="checkbox"/> Permission is available
	<input type="checkbox"/> Numerous copies made
	<input type="checkbox"/> Placed it on Web or other public forum
	<input type="checkbox"/> Repeated or long term use

Observation Toolkit

Classroom observations are a hallmark of standards-based instructional leadership. They are a prime method program administrators can use to monitor the consistency of instructional practices and their fidelity to standards. Observing is different and separate from formal summative evaluations of personnel. One of its most powerful features is a reliance on the aggregation of data across instructors and specific teaching and learning practices. The purpose of classroom observations is to reveal effective and ineffective teaching practices and curriculum choices recurring across multiple classrooms within a program and across the state—not to judge the merit or performance of a specific instructor. Observations of a single instructor cannot provide an accurate portrait of instructional quality within an entire program. But when findings from visits to every classroom within a program are analyzed, a clear picture of standards-based instruction emerges. Program coordinators can then address the professional development needs of an entire faculty more effectively, by investigating common instructional choices made by multiple instructors.

Observation is designed to be formative, non-threatening, and forward-looking—a system in which the observer is clearly invested in an instructor’s success.

The toolkit includes the observational tool, the aggregation of observation data form and the summary of observation data form. Follow these guidelines when observing classrooms:

- I. Support the natural atmosphere of the classroom.
 - a. Arrive early and remain in the classroom during the entire lesson to capture how the lesson is set up, its flow and conclusion.
 - b. Minimize your interaction with students. Contact is permitted if done discreetly and with the purpose of understanding what students are thinking and working on. Otherwise, asking questions or participating in activities can detract from your observations.
- II. Circulate freely when students are working individually or in groups (if you cannot hear students or need to see their work); otherwise, move to the side or back of the room during whole-class discussion.
- III. Assume the role of researcher—collecting data on teaching practices—not evaluator.
- IV. Come to the lessons fresh—just as students do—without the benefit of any advance meeting or detailed information about what to expect.
- V. Pay attention to student responses, including the level of student engagement, how students are constructing their understanding, strategies they use to solve problems, and patterns of student errors.
- VI. Pay attention to instructor-student interactions, including the type of student engagement and how the instructor encourages engagement.
- VII. Pay attention to what the instructor says and does, as well as what he or she asks students to do.

For further study: Unit Four—[Observing Standards in Action](#)

Classroom Observation Tool

With the adoption of the College and Career Readiness Standards in Iowa, this tool was introduced to help instructors with the implementation of content standards in their instruction. This same tool can and should be used to measure four out of six instructor standards and is an effective self-assessment, as well as a critical friends group, and monitoring tool.

Effective Teaching and Learning Practices	E=Evident NFE=Not Fully Evident	
1. Curriculum content of the lesson is aligned to the demands of the standards ¹ . (Standards 2 and 5)	E/NFE	Evidence
a. Instructor presents lesson clearly reflecting the concepts/skills of one or more of the standards.		
b. Instructor outlines a well defined standards-based lesson objective stated in terms of the desired student learning outcomes.		
c. Students use resources directly related to the targeted standards.		
2. Cognitive level of learning activities are aligned to the demands of the standards. (Standards 2 and 5)	E/NFE	Evidence
a. Instructor poses questions that stimulate student thinking beyond recall.		
b. Instructor allows appropriate wait-time (3 or more seconds) after posing questions.		
c. Instructor asks students to elaborate on and justify their answers.		
d. Instructor activates students' metacognitive skills (e.g. models strategies, inquires about students' strategies).		
e. Students work on assignments reflecting the highest demands posed by the standards targeted by the lesson.		
3. Standards are translated into lesson content relevant to adult students. (Standards 2, 5 and 6)	E/NFE	Evidence
a. Instructor ties standards-based lesson to students' goals, interests, or needs.		
b. Students actively participate in the lesson through class discussions, group projects, etc., instead of doing solitary seatwork or listening to extended lectures.		
c. Students have varied opportunities (beyond worksheets) to apply new learning in authentic or practical adult-oriented contexts.		
d. Students have access to technology in learning or for use in application in adult-oriented contexts.		

¹For the purpose of "standards", it is defined as the most specific level of outcome used by Iowa's Adult Education and Literacy programs as adopted by the College and Career Readiness Standards as well as the Iowa Core 21st Century Skills to indicate what adult students should know and be able to do. These can include indicators, and examples.

Effective Teaching and Learning Practices	E=Evident	NFE=Not Fully Evident
4. Standards are addressed by a coherent progression of learning. (Standard 5)	E/NFE	Evidence
a. Instructor explicitly links lesson content to previous lessons or what students already know.		
b. Students have prerequisite knowledge/skills to understand lesson content.		
c. Instructor incorporates standards in a lesson in a manner that builds on their natural connections.		
d. Instructor closes lesson by: <ul style="list-style-type: none"> • Reviewing lesson objectives; • Summarizing student learning; and • Previewing how the next lesson builds on that learning. 		
5. Students' level of understanding is assessed during the lesson and instruction is adjusted accordingly. (Standard 3)	E/NFE	Evidence
a. Instructor regularly checks whether students are mastering standards-based lesson content (e.g., circulates to check on students' work, monitors verbal responses).		
b. Instructor provided students with prompt, specific feedback to correct misunderstanding and reinforce learning.		
c. Students signal understanding of lesson content before instructor introduces new idea.		
d. Instructor provides supplemental instructions for students who show that they need it (e.g., individualized or peer tutoring, re-teaching, review of basic skills).		
e. Instructor provides extension activities for students who complete classwork, instead of leaving them idle or unchallenged.		
f. Students evaluate and reflect on their own learning.		

Aggregation of Observation Data Form

Effective Teaching and Learning Practices											E = Evident NFE = Not Fully Evident	
1. Curriculum <i>content</i> of the lessons is aligned to the demands of standards. ¹ (Standards 2 and 5)	1	2	3	4	5	6	7	8	9	10	Total Es	Prevalence Percent
a. Instructor presents lesson clearly reflecting the concepts/skills of one or more of the standards.												
b. Instructor outlines a well-defined standards-based lesson objective stated in terms of the desired student learning outcomes.												
c. Students use resources directly related to the targeted standards.												
2. <i>Cognitive level</i> of learning activities is aligned to the demands of the standards. (Standards 2 and 5)	1	2	3	4	5	6	7	8	9	10	Total Es	Prevalence Percent
a. Instructor poses questions that stimulate student thinking beyond recall.												
b. Instructor allows appropriate wait-time (3 or more seconds) after posing questions.												
c. Instructor asks students to elaborate on and justify their answers.												
d. Instructor activates students' meta-cognitive skills (e.g., models strategies, inquires about students' strategies).												
e. Students work on assignments reflecting the highest demands posed by the standards targeted by the lesson.												
3. Standards are translated into lesson content <i>relevant</i> to adult students. (Standards 2, 5 and 6)	1	2	3	4	5	6	7	8	9	10	Total Es	Prevalence Percent
a. Instructor ties standards-based lesson to students' goals, interests, or needs.												
b. Students actively participate in the lesson through class discussions, group projects, etc., instead of doing solitary seatwork or listening to extended lectures.												
c. Students have varied opportunities (beyond worksheets) to apply new learning in authentic or practical adult-oriented contexts.												
d. Students have access to technology in learning or for use in application in adult-oriented contexts.												

¹For the purpose of "standards", it is defined as the most specific level of outcome used by Iowa's Adult Education and Literacy programs as adopted by the College and Career Readiness Standards as well as the Iowa Core 21st Century Skills to indicate what adult students should know and be able to do. These can include indicators, and examples.

4. Standards are addressed by a <i>coherent progression</i> of learning. (Standard 5)	1	2	3	4	5	6	7	8	9	10	Total Es	Prevalence Percent
a. Instructor explicitly links lesson content to previous lessons or what students already know.												
b. Students have prerequisite knowledge/skills to understand lesson content.												
c. Instructor incorporates standards in a lesson in a manner that builds on their natural connections.												
d. Instructor closes lesson by: reviewing lesson objectives; summarizing student learning; and previewing how the next lesson builds on that learning												
5. Students' level of understanding is <i>assessed</i> during the lesson and instruction is adjusted accordingly. (Standard 3)	1	2	3	4	5	6	7	8	9	10	Total Es	Prevalence Percent
a. Instructor regularly checks whether students are mastering standards-based lesson content (e.g., circulates to check on students' work, monitors verbal responses).												
b. Instructor provides students with prompt, specific feedback to correct misunderstandings and reinforce learning.												
c. Students signal understanding of lesson content before instructor introduces new ideas.												
d. Instructor provides supplemental instruction for students who show they need it (e.g., individualized or peer tutoring, re-teaching, review of basic skills).												
e. Instructor provides extension activities for students who complete classwork, instead of leaving them idle or unchallenged.												
f. Students evaluate and reflect on their own learning.												

Summary of Observation Data Form

	E = Evident NFE = Not Fully Evident	
1. Curriculum <i>content</i> of the lessons is aligned to the demands of standards. ² (Standards 2 and 5)	Total Es	Prevalence Percent
a. Instructor presents lesson clearly reflecting the concepts/skills of one or more of the standards.		
b. Instructor outlines a well-defined standards-based lesson objective stated in terms of the desired student learning outcomes.		
c. Students use resources directly related to the targeted standards.		
2. <i>Cognitive level</i> of learning activities is aligned to the demands of the standards. (Standards 2 and 5)	Total Es	Prevalence Percent
a. Instructor poses questions that stimulate student thinking beyond recall.		
b. Instructor allows appropriate wait-time (3 or more seconds) after posing questions.		
c. Instructor asks students to elaborate on and justify their answers.		
d. Instructor activates students' metacognitive skills (e.g., models strategies, inquires about students' strategies).		
e. Students work on assignments reflecting the highest demands posed by the standards targeted by the lesson.		
3. Standards are translated into lesson content <i>relevant</i> to adult students. (Standards 2, 5 and 6)	Total Es	Prevalence Percent
a. Instructor ties standards-based lesson to students' goals, interests, or needs.		
b. Students actively participate in the lesson through class discussions, group projects, etc., instead of doing solitary seatwork or listening to extended lectures.		
c. Students have varied opportunities (beyond worksheets) to apply new learning in authentic or practical adult-oriented contexts.		
d. Students have access to technology in learning or for use in application in adult-		
² For the purpose of "standards", it is defined as the most specific level of outcome used by Iowa's Adult Education and Literacy programs as adopted by the College and Career Readiness Standards as well as the Iowa Core 21st Century Skills to indicate what adult students should know and be able to do. These can include indicators, and examples.		

4. Standards are addressed by a <i>coherent progression</i> of learning. (Standard 5)	Total Es	Prevalence Percent
a. Instructor explicitly links lesson content to previous lessons or what students already know.		
b. Students have prerequisite knowledge/skills to understand lesson content.		
c. Instructor incorporates standards in a lesson in a manner that builds on their natural connections.		
d. Instructor closes lesson by: reviewing lesson objectives; summarizing student learning; and previewing how the next lesson builds on that learning		
5. Students' level of understanding is <i>assessed</i> during the lesson and instruction is adjusted accordingly. (Standard 3)	Total Es	Prevalence Percent
a. Instructor regularly checks whether students are mastering standards-based lesson content (e.g., circulates to check on students' work, monitors verbal responses).		
b. Instructor provides students with prompt, specific feedback to correct misunderstandings and reinforce learning.		
c. Students signal understanding of lesson content before instructor introduces new ideas.		
d. Instructor provides supplemental instruction for students who show that they need it (e.g., individualized or peer tutoring, re-teaching, review of basic skills).		
e. Instructor provides extension activities for students who complete classwork, instead of leaving them idle or unchallenged.		
f. Students evaluate and reflect on their own learning.		

- A. In 50 percent or more of these classes, the following practices/indicators were observed: List practices/indicators and sample relevant evidence for each.
- B. In 50 percent or less of these classes, the following practices/indicators were observed: List practices/indicators and sample relevant evidence for each.
- C. List priorities for professional development generated by the discussion with instructional staff.

Special Needs Form

SPECIAL NEEDS FORM

Program: _____ Date Completed: _____
 AEL staff: _____ Social Security #: _____
 Class: _____ HiSET® ID #: _____

Name: Last _____ First _____ ML _____ Maiden or other former name _____ Student ID _____

REFERRAL AND DIAGNOSIS

Information about assessment of:	Offered	Given	Refused ³	Date
Learning disability	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Hearing	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Vision	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	

SCREENING

Screening:	Offered	Conducted ¹	Refused ²	Date
Learning disability	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Hearing	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Vision	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	

Results of referral/diagnostic evaluation:

No evidence of learning disability, hearing, or vision problem

Specific learning disability

Reading Receptive/expressive language
 Math Phonological
 Written expressive Not otherwise specified

Hearing problem Hearing aids recommended received

Vision problem Vision problem recommended received

Glasses or contacts recommended received

³ Student signed Waiver* of Referral Information: Yes No
 *only necessary if referral services are refused

Learning disability instrument given:

ALDS Cooper Destination Literacy

Payne Inventory PowerPath STALD

Washington 13

Screening results indicate probability of LD: Yes No

¹ Student signed Screening Consent Form: Yes No N/A

² Student signed Waiver* of Consent Form: Yes No

*only necessary if screening services are refused

INFORMATION RELEASED TO OTHER AGENCIES

Student signed Release of Information Form: Yes No
 (only necessary if information is released to others)

COMMENTS/ADDITIONAL INFORMATION

(include any diagnosis, not listed above, for which an accommodation was provided)

EDUCATIONAL ACCOMMODATIONS
 (FOR DIAGNOSED STUDENTS ONLY)

Accommodations recommended:

Colored overlays Audio

Ear plugs Braille*

Graph paper for math Extended time*

Large print Private room*

Magnifying strip Scribe*

Seating near natural light Supervised frequent breaks*

Straight edge Talking calculator*

Other: _____

* Prior approval needed for HiSET®

HiSET® accommodations form completed? Yes No

Student Release Form (English)

Adult Education and Family Literacy Act
FERPA CONSENT FORM

- I, as a participant at a postsecondary educational institution or age 18 years or older, consent to the release of personally identifiable information from my education records; or
- I, parent or guardian of a participant at a secondary educational institution under the age of 18, consent to the release of personally identifiable information from the education records of my son/daughter.

I understand that the records to be disclosed include my social security number and other personally identifiable information from my education records. I acknowledge that the purpose of the disclosure is to assist the Iowa Department of Education in obtaining and reporting information concerning the placement and retention of participants in employment as required by section 212 of Title II of the Workforce Innovation and Opportunity Act (WIOA). I understand that the personally identifiable information will be disclosed by the educational institution to other WIOA partners (including but not limited to Iowa Workforce Development, Iowa Vocational Rehabilitation Services, and the Iowa Department for the Blind) and the National Student Clearinghouse. This information may not be re-disclosed to others and will be destroyed as soon as all statistical analysis has been performed, or when the information is no longer needed, whichever date comes first.

Signature of Parent or Participant

Date

First and Last Name (Printed)

Student Release Form (Spanish)

Ley de Educación de Educación de Adultos y Familia
FORMULARIO DE CONSENTIMIENTO FERPA
Adult Education and Family Literacy Act
FERPA CONSENT FORM

Apellido _____ Nombre _____

Nombre Impreso

- Yo, un participante asistiendo una institución de educación post-secundaria y mayor de 18 años, otorgo mi consentimiento para la divulgación de información de identificación personal identificable de mi expediente de educación; o
- Yo, un padre o tutor de un participante asistiendo una institución de educación post-secundaria menor de 18 años, otorgo mi consentimiento para la divulgación de información de identificación personal identificable del expediente de mi hijo/ hija.

Yo, entiendo que los registros divulgados incluyen mi número de seguro social y otra información personal de mis expedientes educativos. Reconozco que el propósito de la revelación es para ayudar al Departamento de Educación de Iowa en el proceso y presentación de información sobre la ubicación y retención de los estudiantes en el empleo como lo requiere la sección 212 Workforce Innovation and Opportunity Act (WIOA). Yo entiendo que la información de identificación personal será compartida con los socios principales de WIOA (Iowa Workforce Development, Iowa Vocational Rehabilitation Services, Iowa Adult Education and Literacy, Department for the Blind) y la National Student Clearinghouse. Esta información no podrá ser divulgada con otros socios y será destruida tan pronto como se haya realizado todos los análisis estadísticos, o cuando ya no se necesite la información, cual fecha ocurra primero.

Firma del estudiante o padre o participante

Fecha

Screening Consent or Waiver Form

Please complete the appropriate section(s) below:

I, (print name) _____

agree or

decline to be administered the (_____print name of instrument_____)

to determine the probability of a learning disability.

agree or

decline to be administered the (_____print name of instrument_____)

to determine the probability of ADD or ADHD.

agree or

decline to be administered a vision and/or hearing screening to provide information

about visual and/or auditory functions and processing

If I agree to screening (s), it (they) will take place on or about (date) _____ at (program name)

Results of the screening will be reviewed by one or more staff members of the above named program and will be utilized for the purpose of instructional planning. Results of the screening (s) will be maintained in a secure location at the above named program and will not be released to a third party without the consent of the student/parent or guardian.

Signature of Student/Parent or Guardian* _____ Date _____

Signature of Program Representative _____ Date _____

**Students under the age of 18 must have this consent form signed by the student's parent or guardian.*

Sample Referral Form to AEL Services

Client Name: _____

Address: _____

Telephone #: _____

Referring Agency: _____

Referring Contact Name: _____

Telephone #: _____ Email: _____

Referred to AEL for: (Check all that apply)

Digital Literacy Skills

Workplace Literacy Skills (e.g. Goal Setting, Employability, 21st Century Skills)

Basic Skills/Remediation (e.g. Math, Reading, Writing skills)

English as a Second Language Instruction

HSED Preparation

Other _____

No. of required AEL hours in customer's plan (if applicable): _____

Date to Begin: _____

Please provide a monthly progress/attendance report for this client.

Complete this box ONLY if information is to be shared between agencies!

I _____ (client name) authorize the _____ (referring agency) and the AEL Program to share information about me regarding AEL Services. I have been informed of the intended purpose and use of the information. I have also been informed that the information provided will not be further released without my consent except that which pertains to State or Federal regulations that govern the activities of _____ (referring agency) and AEL.

I have been informed of the meaning of this release and my signature on it amounts to a waiver of any claim I might assert against any individual or organization.

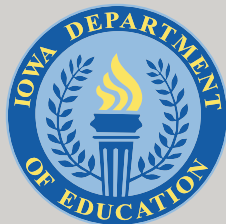
Signature of Client (and parent if under 18 years of age)

Signature of AEL agent

Signature of Referring Agency agent

Date

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COMMUNITY COLLEGES & WORKFORCE PREPARATION

PROSPERITY THROUGH EDUCATION

The Division of Community Colleges and Workforce Preparation, within the Iowa Department of Education, administers a variety of diverse programs that enhance Iowa's educational system and help to prepare a skilled and knowledgeable workforce. Divided between two bureaus — the Bureau of Community Colleges and the Bureau of Career and Technical Education — the division is committed to providing and supporting opportunities for lifelong learning. In addition to working with Iowa's 15 public community colleges on state accreditation, program approval, equity review and data reporting, guidance is also provided in the areas of career and technical education, workforce training and economic development, adult education and literacy, military education, the state-mandated OWI education program, the GAP Tuition and PACE programs, Senior Year PLUS, the National Crosswalk Service Center, and the Statewide Intermediary Network..