

# IOWA ADULT EDUCATION AND LITERACY

STATE PLAN EXTENSION/  
REVISION

PROGRAM YEAR 2015



COMMUNITY COLLEGES

State of Iowa  
Department of Education  
Grimes State Office Building  
Des Moines, Iowa  
50319-0146

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## Preface

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

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

The major purposes of Iowa's Adult Literacy Program State Plan Extension for Program Year 2015 (July 2014--June 2015) are to:

- Diligently monitor the adult education and literacy data at the state and local level to implement effective strategies for continuous program improvement.
- Continue to track state leadership funds allocated to programs for professional development activities. Expand Student Achievement in Reading (STAR) and Standards in Action activities through state leadership funds aimed at improving the educational gains of Iowa's adult learners through teacher quality.
- Increase the number of participants served by effectively braiding the newly awarded state funds for adult education and literacy and English language learners with federal dollars.
- Build bridges within the adult education and literacy programs that link with career pathway programs funded from the Iowa Skilled Worker and Job Creation Fund. Participate with community, businesses and sector boards to provide basic literacy and numeracy skills for college and career readiness.

The plan extension is designed to update the 2014 Iowa's Adult Literacy State Plan in line with the guidelines provided by the United States Department of Education: Division of Adult Education and Literacy (USDE:DAEL). This one-year extension plan includes assurances to the federal government and to the citizens of the state of Iowa, and establishes procedures, criteria, and priorities for use in approving local agency programs of adult education, English literacy, civics, and family literacy in all areas of the state.

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

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

The Iowa Department of Education (State Agency) of the State of Iowa hereby submits its revised State plan extension to be effective until June 30, 2015. The eligible agency also assures that this plan, which serves as an agreement between State and Federal Governments under the Adult Education and Family Literacy Act, will be administered in accordance with applicable Federal laws and regulations, including the following certifications and assurances.

**CERTIFICATIONS**

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

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

**ASSURANCES****WORKFORCE INVESTMENT ACT OF 1998  
(Public Law 105-220)****Section 224 (b)(5), (6), and (8)**

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

**Section 241 Administrative Provisions**

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

per student and the aggregate expenditures of an eligible agency required in order to avoid a reduction under paragraph (1)(B) shall be decreased by the same percentage as the percentage decrease in the amount so made available.

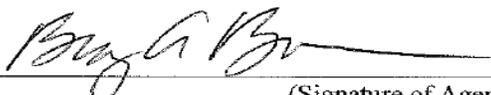
- (4) Waiver.—The Secretary may waive the requirements of this subsection for 1 fiscal year only, if the Secretary determines that a waiver would be equitable due to exceptional or uncontrollable circumstances, such as a natural disaster or an unforeseen and precipitous decline in the financial resources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

Iowa Department of Education  
(State Agency)

Grimes State Office Building

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

Des Moines, Iowa 50319-0146  
(Address)

By:   
(Signature of Agency Head)

Director  
(Title)

3/20/14  
(Date)

OMB Approval No. 0348-0040

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

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

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

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

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL 	TITLE <i>Director</i>
APPLICANT ORGANIZATION Iowa Department of Education	DATE SUBMITTED <i>3/20/14</i>

**CERTIFICATION REGARDING LOBBYING**

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

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

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

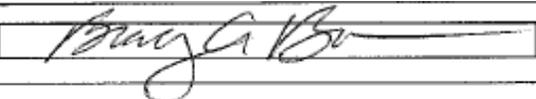
(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this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

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

**Statement for Loan Guarantees and Loan Insurance**

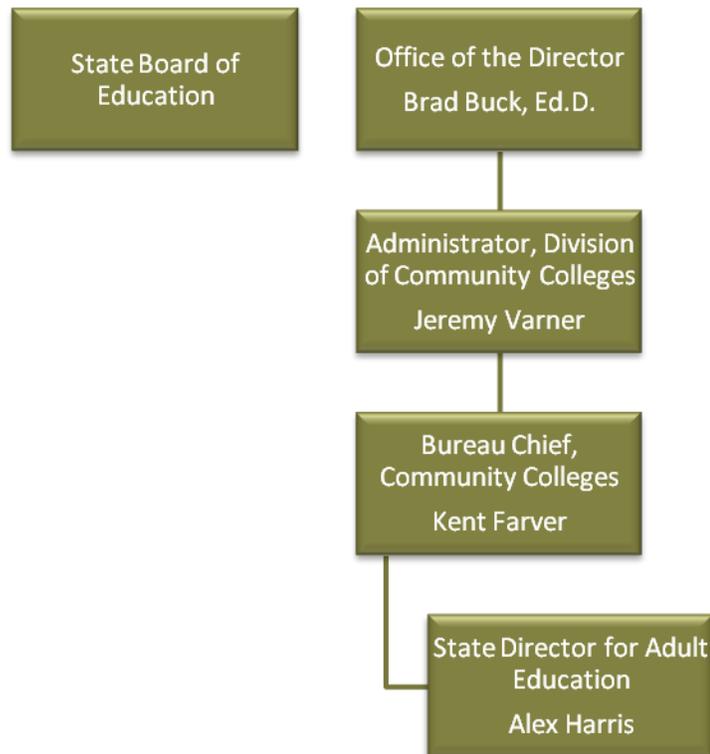
The undersigned states, to the best of his or her knowledge and belief, that:

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

* APPLICANT'S ORGANIZATION			
Iowa Department of Education			
* PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE			
Prefix:	Dr.	* First Name:	Brad
		Middle Name:	A.
* Last Name:	Buck	Suffix:	
* Title:	Director and Executive Officer of the State Board of Education		
* SIGNATURE:			* DATE:
			3/20/14

**2.0 NEEDS ASSESSMENT (SEC. 224(b)(2))****(Not Revised)****3.0 DESCRIPTION OF ADULT EDUCATION AND LITERACY ACTIVITIES (SEC. 224(b)(2))****3.3 DESCRIPTION OF NEW ORGANIZATIONAL ARRANGEMENTS AND CHANGES**

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

**Chart 3.3— Adult Education and Literacy Organizational Chart**

#### **4.0 ANNUAL EVALUATION OF ADULT EDUCATION AND LITERACY ACTIVITIES (SEC. 224(b)(3))**

##### **4.1 ANNUAL EVALUATIONS**

Each local program implemented under the provisions of the act will be evaluated by using formative and summative methods, monitored, and reviewed by the IDOE Adult Education and Literacy staff from the Bureau of Community Colleges. Monitoring tools include five sections:

- A. Financial Monitoring
- B. Program Management Monitoring
- C. Data Integrity and Implementation Monitoring
- D. Teacher Quality Monitoring
  - i. Classroom Observation; and
  - ii. Student survey

Twenty percent of the programs have an on-site audit conducted requiring formative and summative performance data, copies of program and fiscal policies, and interviews with staff and students to verify compliance with all federal/state mandates and requirements. The remaining 80 percent of the program have a desktop audit which includes Financial, Program Management, and Data Integrity Monitoring (A-C). As Iowa has benefited from a state monitoring review conducted February 11-14, 2013 increased attention to data monitoring has been incorporated to ensure local program compliance with AEFLA (Sec. 212). In addition to the monitoring tool, the updated PY14 *Iowa Adult Literacy Assessment Policy Guidelines* has established the following data requirements:

- Monthly entry of hours of instruction;
- Monthly exiting students absent from the program for 90 days with no scheduled services;
- Assignment of a college issued identification number;
- Uniform procedures for the collection of student social security number;
- Monthly review of data integrity reports to implement strategies for program improvement.

Monitoring reports are being tied to continuous improvement plans with required corrective action plans for any findings. The reports also highlights the commendations for best practices and recommendations for improvement or initiatives that demonstrate promise.

Through the grant management system, Iowagrants, the State Adult Education and Literacy staff conducts ongoing desktop expenditure compliance review and has an status update form that program's submit reporting on their progress and performance based on their Local Extension Plan.

#### **5.0 PERFORMANCE MEASURE (SEC. 224(b)(4))**

##### **5.1 ELIGIBLE AGENCY PERFORMANCE MEASURES (SEC. 212)**

To ensure optimization of the investment of federal funds in adult education and literacy activities, the State Adult Education and Literacy staff will assess the effectiveness of eligible providers' performance based on the negotiated targets with the Office of Career, Technical and Adult Education. Each state benchmark for educational functioning levels and core measures for adult education that has been negotiated is an expectation for each eligible agency that is funded.

To assist the achievement of the benchmarks, Iowa's Assessment Policy identifies the annual pre and post test match percentage. This percentage is set to be an indicator for programs. In PY14 and for PY15 this has been set at 50 percent. This rate is monitored by the state on a quarterly basis and reviewed by the eligible funded agencies during the status update.

In addition to the pre and post test match rate as an indicator of performance measures, programs have been committed to tracking their post tested participants by reviewing their percentage completing a level gain (Federal Table 4b (H)). Each educational functioning level should be targeting a 70 percent as to performance measure of quality education , intensity and sufficient duration of instruction.

In 2014 all programs had either implemented prior written consent forms from all students or to ensure that the English language learners participating were protected, annual staff confidentiality forms were signed and kept on file. This practice will continue. In addition, the data management system is able to mask the entry of key data elements and run them in the background of the program while relying on student identification numbers issued by the college as the principal searchable data element.

English literacy and civics programs will continue to focus on the state's performance as driven by the negotiated benchmarks for EFL gains and core measures. The focus on these performance measures will help the Adult Education and Literacy staff to determine program performance and to develop professional development for achieving student improvement within the state.

## **5.2 ADDITIONAL INDICATORS**

During the past legislative session, the Iowa legislature made an historic investment in a portfolio of education, workforce development, job training and adult education programs designed to address Iowa's growing shortage of skilled workers. During the past year, IDOE in partnership with the Iowa College Student Aid Commission have been working to develop program performance metrics, outcomes and reporting formats for these funds. Extensive program briefing sessions were conducted at each AEFLA funded program with key leadership teams to ensure a common understanding of the program and the performance expectations. The Workforce and Economic Development Committee of the Iowa Association of Community Colleges is assisting to provide leadership and coordination.

In addition, the IDOE has established an advisory group to provide feedback and assistance in establishing administrative language for adult education and literacy programs that will support the indicators and performance metrics. Specific student participation targets are yet to be set, but they will reflect two important students cohorts. The first will be to increase the number of participants in adult education and literacy by extending services while focusing on the intensity of the instruction through adopting classroom settings and managed enrollment. The second focus will be targeting an increase in the number of successful completers who enter the program and demonstrate an educational functioning level gain by post testing with 70 to 100 hours of instruction.

## **5.3 LEVELS OF PERFORMANCE**

As prescribed by the United States Department of Education, Division of Adult Education and Literacy, Office of Vocational and Adult Education, the following performance levels have been recommended for approval by Iowa's Department of Education adult education and literacy team for program year 2015. The goal for each level was developed on the basis of the state's performance by levels during program year 2013 and on the following:

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

The performance targets for Iowa were negotiated as illustrated in Table 1: Iowa's Adult Literacy Program Benchmark Projections for program year 2015.

**Table 1: Iowa’s Adult Education and Literacy Program Benchmark Projections  
Program Year 2015 (July 1, 2014—June 30, 2015)**

FEDERAL BENCH- MARKS	Program Year 2013 Performance	Program Year 2014 Target	Program Year 2015 Proposed Targets	Program Year 2015 Final Targets
ABE Beginning	26%	34%	34%	
ABE Beginning	28%	33%	33%	
ABE Low Intermediate	28%	32%	35%	
ABE High Intermediate	24%	26%	26%	
ASE Low	27%	26%	35%	
ESL Beginning Literacy	37%	38%	38%	
ESL Low Beginning Literacy	47%	47%	47%	
ESL High Beginning Literacy	34%	42%	42%	
ESL Low Intermediate	33%	37%	37%	
ESL High Intermediate	28%	32%	32%	
ESL Advanced	13%	20%	20%	
Follow-up Core Measures - NRS				
Entered Employment	60%	48%	50%	
Retained Employment	71%	66%	68%	
Earned GED or HS	85%	68%	75%	
Entered Postsecondary	43%	50%	50%	

## **6.0 PROCEDURES FOR FUNDING ELIGIBLE PROVIDERS (SEC. 224(b)(7))**

### **6.1 APPLICATIONS**

Iowa will extend current grants for one year in program year 2015. Section 232 of The Adult Education and Family Literacy Act (AEFLA) requires that eligible providers desiring a grant or contract shall submit an application to the Iowa Department of Education (IDOE) containing information and assurances, including a description of:

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

#### **6.1.1 ALLOCATION OF FUNDS**

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

- (1) Ninety percent (90 percent) of the funds available shall be allocated based on needs: institutional grant; target AEFLA population; and number of enrolled students served.
- (2) Ten percent (10 percent) of the funds available shall be allocated based on performance. This year will bring a stronger focus for the state of Iowa on federal benchmarks and core measures. Iowa will be basing the allocation on program year 2013's outcomes and each eligible provider's contribution to the targeted percentages.

Allocation amounts are generated as soon as the amount of available federal funds is known. Annual funding of adult education is subject to availability of funds from the federal government. The IDOE requires each applicant to provide at least 25 percent of eligible matching funds, cash or in-kind, to be used in providing activities allowable under the Title II of the Workforce Investment Act (WIA) Adult Education and Family Literacy Act (AEFLA). A delay in the receipt of the federal allocation for Iowa may delay the issuance of a contract. These funds are not an entitlement to the eligible provider, but belong to the communities.

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

In addition, state leadership funds will be released to eligible funded AEFLA programs to support professional development efforts for the course of the program year. These state leadership funds were previously incorporated into the local plan extension. However, a pilot grant project was done to assist the state to better identify the purpose, intent and impact of the funds used at the local level. While managed through Iowagrants, the process will evolve in PY 2015 to help make the application and review process manageable.

For state leadership funds specified as targeting program initiatives such as Student Achievement in Reading (STAR) and College and Career Readiness Standards (CCR) and with available carry-over funds, Iowa will offer open requests for applications (RFAs) available to AEFLA-funded programs. There might be requirements as specified in the program initiatives, such as managed enrollment, lesson plan development and strategies for explicit instruction. The review process is outlined in section 6.4.

## **6.2 ELIGIBLE PROVIDERS (SEC. 203(5))**

Eligible providers for the continuation grant and state leadership funds for initiative funding will consist of previously funded AEFLA programs. While the intent was to provide a competitive process to fund the EL/Civics grant in PY 2015 this process has been delayed. Discussion will continue within the IDOE and eligible providers for establishing a launch date for the competitive process. The EL/Civics grant will be open to: (1) a local educational agency; (2) a community-based organization of demonstrated effectiveness; (3) a volunteer literacy organization of demonstrated effectiveness; (4) an institution of higher education; (5) a public or private nonprofit agency; (6) a library; (7) a public housing authority; (8) a nonprofit institution that is not described in any of these subparagraphs and has the ability to provide literacy services to adults and families; and (9) a consortium of the agencies, organizations, institutions, libraries, or authorities described in (1) through (8) (Sec. 203)(5)).

## **6.3 NOTICE OF AVAILABILITY**

**(Not Revised)**

## **6.4 PROCESS**

Adult education eligible providers for the continuation grant will submit local plan extensions through the grant management system, Iowagrants. The applications are based on standard procedures and instructions. Included in the extension are budget, needs assessment, program description, evaluation, staff qualifications, instruction schedules, and assurances.

State leadership funds for funded AEFLA programs to be used for professional development will be reviewed by IDOE adult education and literacy staff. Professional development requests that are for significant funds or for out of state travel will be reviewed by multiple reviewers.

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

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

- A review committee will determine which application will be funded. The review committee for initiative and continuation grants will consist of staff from the IDOE. Competitive grants once established will be reviewed by a combination of partners and community based individuals such as those that voluntarily serve on the Iowa Literacy Council, convened under Executive Order 12. Issues of conflict of interest will be addressed as committees are formed. Notification and scoring of applications will be shared on Iowagrants and for transparency can be reviewed by the applicant.
- The IDOE adult education and literacy staff will provide a workshop to address the review procedure for new review committee members. New review committee members must participate in the workshop training. This workshop will provide committee members with an overview of AEFLA and an emphasis on the elements that the reviewers must consider when determining successful applicants. The workshop will include a review of the scoring rubric.

- Once chosen, if all requirements are addressed satisfactorily, then notification from the IDOE will be sent to the contact person. All funded grants will need to provide a detailed budget, needs assessment, program description, evaluation, staff qualifications, instruction schedules, and assurances.

### **6.5 EVALUATION OF APPLICATIONS (SEC. 231 (E)) (Not Revised)**

## **7.0 PUBLIC PARTICIPATION AND COMMENT**

### **7.2 GOVERNOR’S COMMENTS**

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

## **8.0 DESCRIPTION OF PROGRAM STRATEGIES FOR POPULATIONS (SEC.224(b)(10))**

Section 224(b)(10)(A-D) of the Act mandates that a State shall include in the Plan "a description of how the eligible agency [Iowa Department of Education] will develop program strategies for populations that include, at a minimum: 1) low-income adults, 2) individuals with disabilities, 3) single parents and displaced homemakers, 4) individuals with multiple barriers to educational enhancement, including individuals with limited English proficiency:"

### **8.1 STRATEGIES**

The purpose of Iowa’s adult education and literacy program is to increase the literacy education and workforce readiness among adults in Iowa. Basic educational skills are considered requisite to effective citizenship, productive employment and successful transition to post secondary education. To this end, the state will use its federal assistance to enhance, improve and expand the delivery system for education services to undereducated adults ages 16 and over. In support of AEFLA, the state will encourage the establishment of adult education programs as follows:

- Provide educational services to adults who are functioning at the fifth grade level and below.
- Provide English-language courses for adults whose native language is other than English.
- Provide secondary level courses including pre-High School Equivalency Diploma preparatory courses and programs offering adult students alternative methods of earning a high school diploma.
- Provide educational services to enable adults with a high school diploma to compute and solve problems at levels of proficiency necessary to maintain employment, to achieve career goals or higher academic attainment, and develop knowledge and potential to function as a citizen and compete in a global society.
- Improve family literacy through adult/child learning.
- Dissemination of exemplary programs in adult education and family literacy.

**8.1.1 DISADVANTAGED ADULTS**

The IDOE will promote participation in adult education and family literacy programs through campaigns which include but are not limited to initiatives including workplace programs, career pathway development programs by promoting research-based practices and public and private sector partnerships to inform the public about adult education, literacy, and family literacy services. The One-Stop Centers 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 become literate and economically self-sufficient.

**8.1.2 ADULTS WITH LIMITED ENGLISH PROFICIENCY**

A statewide group of CAELA (Center for Adult English Language Acquisition) trainers, perform as Iowa's ESL regional specialists and routinely present strategies and best practices in the areas of ESL standards, instruction, assessment, and professional development. Specific state funds were dedicated for increasing ESL efforts in Iowa in the last legislative session.

- The funding will be distributed as grants to community colleges for the purpose of adult basic education programs for students requiring instruction in English as a second language.
- The Department of Education is directed to establish an application process and criteria to award grants pursuant to this subparagraph to community colleges. The criteria shall be based on need for instruction in English as a second language in the region served by each Community College as determined by factors including data from the latest federal decennial census and outreach efforts to determine regional needs.

A statewide advisory committee has assisted in the review of the application and funding formula for the state grant with policies and procedures that maintain the effectiveness and integrity of Iowa's adult's educational gains and improving the statewide accountability of student performance in these programs and courses of study.

**8.1.3 INCARCERATED ADULTS**

The Iowa Department of Corrections has a population that is increasing rather than decreasing each year. One of the Departments' major objectives is to provide educational and career and technical training to these incarcerated youth and adults. Priority shall be given to serving individuals who are likely to leave the correctional institution within five years of participation in the program. Hopefully, when they return to society, each will have earned a high school equivalency and/or gained knowledge and skills that will enable them to become productive and responsible members of society. The IDOE will continue to work collaboratively with the Department of Corrections (DOC) in aligning their curriculum and student performance standards, data accountability system, and teacher training with the state-administered Adult Education and Family Literacy Program. The IDOE will continue to encourage and support the delivery of academic programs for basic and functional literacy, and for limited English proficient adults, workforce readiness skills, high school completion, special education, and family literacy programs to this targeted population.

**8.1.4 ADULTS WITH DISABILITIES**

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

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

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

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

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

- Extended time for learning and testing,
- Private settings free of interruptions and distractions for learning and testing,
- Frequent breaks or change of activity,
- Calculators,
- Spell checkers,
- Word processors,
- Audiotapes of presentations, texts, and tests,
- Enlarged print,
- Braille texts,
- Readers,
- Note-takers or scribes for learning and testing,
- Sign language interpreters,
- Assistive listening devices, and/or
- Furniture or room modifications to accommodate wheelchairs, etc.

#### **8.1.5 SINGLE PARENTS AND DISPLACED HOMEMAKERS**

The IDOE has developed a workforce readiness program to give support to adults who lack basic skills to improve their employability competencies. Further, local providers of Adult Education programs are encouraged to expand workplace readiness and workplace literacy programs through collaborative linkages with business and industry partners as well as with literacy volunteer organizations. In serving this population, counseling services are very crucial to the success of participants. Therefore, through these funds, local providers will be encouraged to incorporate into their projects support services including counseling.

#### **8.1.6 HOMELESS**

The homeless population is changing. A composite of the Iowa homeless population would include children, intact families, disintegrated families, the mentally ill, the elderly, new homeless, chronic homeless, victims of domestic violence, displaced homemakers, runaway youth, refugees, migrants, immigrants, and youth aging out of foster care who may be at risk. Program strategies to assist adult homeless basic and functional literacy training and family literacy include, but are not limited to:

- Diagnostic assessment screening
- Enrollment/placement
- Literacy training and basic skills redemption/instruction
- Tracking of student progress; credential becomes more effective in the role of parent, wage-earner and citizen
- Referrals to cooperating agencies for non-educational related support services
- Program orientation
- Child care services/information
- Transportation services and information
- Academic and or career counseling
- Retention activities for participants

## **8.2 AN INNOVATIVE APPROACH TO SERVING ELIGIBLE LITERACY POPULATION COHORTS**

Iowa has benefited from the use of the Iowa Communications Network (ICN) for a number of years to provide distant learning opportunities to populations who do not have access to established traditional literacy classes. The annually updated *Iowa Distance Education Policy* for adult education and literacy programs lists the currently approved distance education curriculum.

Through the implementation of distance education, adult literacy programs will be able to reach the under-skilled employed and unemployed by offering flexible hours and instruction through various types of media. With a variety of instructional strategies available through distance learning, instructors will be able to engage students previously not attracted to the traditional classroom delivery. Students enrolled in distance education will have the same opportunity as the traditional students to receive quality instruction through a new delivery system. The policy defines distance learners, identify the methods to be used for assigning contact hours and proxy hours, define curricula and materials that may be used at a distance, and specifies assessment requirements for distance learners.

Each distance education curricula approved for use by IDOE must be produced by a reputable educational publisher, be appropriate for specific adult education populations, provide accommodations for learners with disabilities, and have some research-based evidence of both reliability and validity.

## **9.0 INTEGRATION WITH OTHER ADULT EDUCATION AND TRAINING (SEC.224(b)(11))**

Section 224(b)(11) of the Act states that the Plan will contain “a description of how adult education and literacy services funded under this subtitle will be integrated with other adult education, career development, and employment training activities in the State or outlying area served by the eligible agency.” The following sections describe Iowa’s community college comprehensive, and continuing education delivery system along with workforce delivery services.

### **9.1 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 Division of Vocational Rehabilitation, Iowa Department of Human Services, Iowa Department of Employment Services, adult and juvenile court officials, and other service agencies.

With the increased awareness of 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 perform:

- assessment,
- provide basic academic skills,
- English literacy programs,
- workplace literacy,
- job seeking and retention skills, and
- communication skills.

### 9.1.1 COMMUNITY COLLEGES

The mission of Iowa's community colleges includes economic and workforce development through lifelong learning programs and customized training. With increasing international competition, Iowa's business and industry have perceived the community colleges as the resource to develop programs that increase the skill level of Iowa's workforce.

The community colleges are committed to meeting the postsecondary educational, economic, cultural, and social mobility needs of their constituents. They are charged with being accessible, comprehensive, community centered, and flexible in such areas as planning, programming, funding, teaching, and administration. They are responsive to the changing needs of business and industry by being willing to extend their educational capabilities beyond the traditional classroom in a partnership with business and industry to provide needed training and retraining.

Iowa's community colleges have emerged as the major provider of workforce training programs which are required to maintain and extend the competitiveness of Iowa's business and industry. They provide training, retraining, and up-skilling of employees of business, industry, labor, and government as a logical extension of their career preparation, continuing education, and community service missions.

The Iowa statewide community college continuing education delivery system has been clearly established and accepted as an effective vehicle for reaching the adult population in locations across the state. It is the challenge of continuing education to maintain these high standards of excellence, quality, innovation, accountability and proactive to the training and retraining needs of Iowa's workforce.

Continuing education curriculum is designed to help Iowa's workers stay current in their profession or prepare for a career or career change. A wide variety of classes are offered in such areas as business management, office occupations, health care, automotive repair, computer programming, electronics, child care, and law enforcement.

Continuing education has among its major components:

- workforce training and retraining,
- workplace literacy, and
- community resource development.

All courses, programs, conferences, and activities provided to implement these components have as their objective imparting knowledge, developing skills, or clarifying values. The approach or delivery mode is one that enables citizens to access quality programs and needed competencies any time, any place, and in a format that blends education with work and family. Implementation is achieved through innovation and community collaboration in the broadest sense of community.

### 9.1.2 WORKFORCE DEVELOPMENT

The title "Workforce Development" speaks to education and training. If the workforce is to be developed, the key is the development of the people who make up the workforce; those entering the workforce, or those already in the workforce who are in need of lifelong learning to maintain, upgrade and learn new skills. These skills will contribute to the success of business and industry assisting the United States to enhance its position of leadership in the global economy. The vision and mission statements of the Iowa Workforce Development Council state:

**Vision:** *All Iowans will have the opportunity to achieve a high standard of living.*

**Mission:** *The Iowa Workforce Development Council will foster high performance workers and work places through a workforce development system that is customer-oriented, comprehensive, innovative, and built upon a strong public and private partnership."*

There are fifteen (15) approved and designated Workforce Development Regions in Iowa. All of the Regions have approved Memorandums of Understanding (MOU) between workforce development partners, including local AEL programs. These AEL programs often submit a copy of the completed MOU as documentation to their program extension plan. MOUs are updated and revised as required in each Region.

It is logical that Iowa's community college continuing education division and Iowa's Workforce Development Centers form a partnership for the development of this new concept of serving the workforce and potential workers.

### **9.1.3 ADVISORY GROUPS AND PARTICIPATORY PLANNING COMMITTEE MEMBERS**

From time to time the need for an advisory group will be formed to assist the state adult education and literacy program in statewide initiatives and review policy to determine need and implementation strategies. These advisory groups will be established by volunteers to serve as a representation of the programs and services and the students served. The groups will remain in effect until the issue has been resolved or for the duration of the term.

Each local program is required to have a participatory planning committee. Its membership is shared annually as part of the application process. These members are to assist the local program in addressing the needs, recruiting and referring participants, and serving the participants. In addition, local Workforce Investment Boards are encouraged to have qualified practitioners from career, adult education programs as active participants to assist in the decision-making process for program planning, development, and implementation of both federal and state mandates. These two processes helps to assure that needs are being met for the eligible participants as identified by the local program.

### **9.2 STATE UNIFIED PLAN**

Iowa submitted its Workforce Investment Act (WIA) plan to the U.S. Department of Labor in spring, 2000. The Plan was approved and implemented on July 1, 2000.

## **10.0 DESCRIPTION OF THE STEPS TO ENSURE DIRECT AND EQUITABLE ACCESS (SEC.224(b)(12))**

As part of the association with the community colleges each program must abide by Section 427 of the General Educational General Provisions Act (GEPA) states:

*Each eligible agency must develop and describe in its State Plan the steps the eligible agency will take to ensure equitable access to, and equitable participation in, the project or activity to be conducted with federal adult education assistance, by addressing the special needs of students, teachers and other program beneficiaries in order to overcome barriers to equitable participation, including barriers based on gender, race, color, national origin, disability and age.”*

The IDOE's adult education and literacy team has implemented the following steps to assure that the provisions specified for direct and equitable access is satisfactorily addressed:

- local providers must provide assurance in the local application that all students, faculty and other program beneficiaries have equal access to all educational services provided by the provider;
- all local providers must provide special accommodations to meet the special needs of students, faculty or other program beneficiaries; and
- site monitoring with local providers to insure that all programs are providing the necessary accommodations to meet the special needs of students, faculty and other program beneficiaries;

## **10.2 NOTICE OF AVAILABILITY**

**(Not Revised)**

## **11.0 PROGRAMS FOR CORRECTIONS EDUCATION AND OTHER INSTITUTIONALIZED INDIVIDUALS (SEC.225)**

**(Not Revised)**

## **12.0 STATE LEADERSHIP ACTIVITIES (SEC.223(a)(b))**

### **12.1 DESCRIPTION OF ACTIVITIES**

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

- statewide implementation, adoption, and diffusion into adult literacy instructional strategies, methodologies and curriculum infusion;
  - programs' participation on state leadership committee;
  - programs' alignment of professional development to Iowa's Adult Education and Literacy Professional Development Standards <http://bit.ly/IowaDepartmentofEducation>;
  - instructor professional development plans;
  - teacher effectiveness strategies, such as self-assessment, reflection/evaluations;
- long-term improvement in program outcomes measured by the state and local program's ability to continually meet negotiated benchmark levels; and
  - programs' Continuous Quality Improvement Plans for goals to meet benchmark levels (application on Iowagrants)
- adult learner assistance to effectively meet personal and program literacy goals.

The leadership committee, which consists of local program coordinators, adult education and literacy instructors and state staff, is designed to prioritize and coordinate state level staff development activities. This program year will see a number of changes to professional development as teacher effectiveness strategies are reviewed by the committee. Policy on professional development will help establish adult education and literacy expectations in the state. Professional Development standards will assist programs in providing state approved targeted training that is aimed at improving quality instruction to adult learners. The main targets for PY 2015 will be to:

- Refine in PY 2015 on Iowagrants a method for requesting state leadership funds for local programs to use year long and with flexibility to address aligned professional development needs; and
- Expand the use of the STAR reading program with additional local programs applying to begin staff trainings while supporting the current implementation with monitoring by the state trainer; and
- Continue the progress made with the Standards in Action training during PY 2014 with additional work toward incorporating the College and Career Readiness Standards in detailed lesson plans. Targeted funds will be dedicated to common core development in English language arts, listening, speaking and mathematics.

# APPENDIX A

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

Letter from Governor Branstad to  
Office of Career, Technical, and Adult Education



## STATE OF IOWA

TERRY BRANSTAD, GOVERNOR  
KIM REYNOLDS, LT. GOVERNOR

DEPARTMENT OF EDUCATION  
BRAD A. BUCK, DIRECTOR

March 14, 2014

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

Dear Governor Branstad and Lieutenant Governor Reynolds:

I am providing a copy of *Iowa's Adult Education and Literacy State Plan Extension: Program Year 2015* for your review.

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

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

I am proud to recommend this state plan extension for your approval and I am enthusiastic about its potential as part of a comprehensive plan to meet the learning needs of Iowans. I am requesting that your comments be forwarded to me by March 26, 2014.

Sincerely,

A handwritten signature in black ink that reads "Brad Buck".

Brad Buck  
Director

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

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[www.educateiowa.gov](http://www.educateiowa.gov)

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



Terry E. Branstad  
GOVERNOR

**OFFICE OF THE GOVERNOR**

Kim Reynolds  
LT. GOVERNOR

March 28, 2014

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

Dear Secretary Dann-Messier:

I am pleased to recommend *Iowa's Adult Literacy State Plan Extension: Program Year 2015* for your review. Lt. Governor Kim Reynolds and I are committed to improving education for all Iowans, from the youngest students through our adult learners. We are also committed to lifelong learning efforts in our state, including the important work of our community colleges in supporting adult literacy programs.

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

I am pleased to submit this state plan extension as part of our comprehensive effort to support the educational needs of all Iowans. Thank you very much for your consideration.

Sincerely,

A handwritten signature in blue ink that reads "Terry E. Branstad".

Terry E. Branstad  
Governor of Iowa



# COMMUNITY COLLEGES