

# Adult Education and Literacy Coordinator Handbook

Program Year 2022-2023



IOWA  
**WORKFORCE**  
DEVELOPMENT

*Note: On July 1, 2023, Iowa's Adult Education and Literacy Programs began transitioning to Iowa Workforce Development as part of a consolidation of programs primarily focused on workforce development and employment. Iowans can expect the same quality services from these programs, in addition to greater access to overall job services. The following content was originally prepared by the Department of Education, but these documents will continue to be updated as the transition continues.*

## **Adult Education and Literacy Coordinator Handbook 2022-23**

An educator handbook for establishing and maintaining a high-quality adult education and literacy program as funded by Workforce Innovation and Opportunity Act and Iowa Skilled Worker and Job Creation Funds.

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## How to Read this Guide

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.

The Adult Education and Literacy Coordinator Handbook (Handbook) is a one of several resources that AEL Providers (Providers), Partners, and other stakeholders can use to understand the structure, policies, procedures, and best practices in adult education. Other resources are essential to a full understanding of adult education in Iowa. The following are referenced throughout the document:

- [Iowa Adult Education and Literacy Assessment Policy Guidelines \(APG\)](#)
- [OCTAE Memos and DOL TEGLs](#)
- [Chapter 23: Adult Education and Literacy](#)
- [Chapter 32: High School Equivalency Diploma](#)
- [Workforce Innovation and Opportunity Act: Joint Rule for Unified and Combined State Plans, Performance Accountability, and the One-Stop System Joint Provisions - Final Rule](#) (Effective Date: October 18, 2016).
- [Programs and Activities Authorized by the Adult Education and Family Literacy Act](#) (Title II of the Workforce Innovation and Opportunity Act) - Final Rule (Effective Date: September 19, 2016, with the exception of subparts H, I, and J of part 463, which become effective October 18, 2016).

## Section I: Program Authority and Funding

### Major Policy Points

- » The State Education Agency (SEA) authorized to provide oversight to Title II is the Iowa Department of Education (Department). (*State Policy*)
- » Eligibility and services for adult education is described in legislation and by the Department. (*Federal and State Policy*)
- » There are four sources of funds for Adult Education and Literacy provided through the Department. Each funding source has statutory regulations, policies and guidelines. (*Federal and State Policy*)

### Overview

In fiscal year 2020-21, AEL providers enrolled 7,501 participants with 7,645 periods of participation. Of these periods of participation, 44.4% measurable skills gains were achieved and reported in the National Reporting System.

Adult basic education (ABE Levels 1-6) instruction had the most enrollees in 2020-21 with 4,942 participants; 65.9 percent of the total enrollment. English as a second language (ESL Levels 1-6) included 42,559 participants (34.1 percent).

Of those who were enrolled in 2020-21 and federally reported, 4,066 (54.2%) participants were male. Thirty-seven percent (37.1%) self-identified as white. Twenty-eight percent (28.3%) of participants identified themselves as Hispanic or Latino, 24.7 percent as black or African American, and 5.6 percent as Asian. The remaining three categories (Native American, Hawaiian or Pacific Islander, and two or more races) combine to about two percent 4.3 percent of the participants.

The largest age group served by AEL programs ranged between 25–44 years of age, with 3,776 (50.3%) participants in this category. The next largest group, 19–24, accounted for 25.7 percent. The 16-18 age group had 917 participants, which was slightly higher than the 45–59 age group with 763 participants.

### Vision, Mission and Goals

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 respective 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 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.



### **OUR MISSION**

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

### **OUR GOALS**

Goals of the local AEL program 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.



## Iowa's AEL Strategic Plan

During the spring of 2022, the state AEL team participated in a series of meetings to discuss continuous improvement for adult education and literacy services with a lens of equity, diversity and inclusion and in preparation for the reauthorization of WIOA. The effectiveness of technical assistance along with the expansion of remote learning strategies were used to guide the strategic planning for the adult education and literacy system through 2024. Those areas of State Leadership as outlined in WIOA Section 223, 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 four areas, goal were defined and timelines for activities were established in the following:

- Aligning core programs
- High quality PD
- Technical assistance
- Program quality

The strategic plan considered the implementation of Iowa Distance Education Adult Literacy initiative as a core activity across several of the focus areas.

## IowaWorks

Iowa's AEL programs in partnership with Vocational Rehabilitation Services, Iowa Department for the Blind, and Iowa Workforce Development along with the local workforce development boards form a comprehensive one-stop delivery system, the IowaWorks.

IowaWorks provides workforce development tools that help workers find and keep good jobs and help employers hire the skilled workers they need to develop their businesses. Through IowaWorks offices across the state and in collaboration with community colleges, economic development groups, and other agencies, the system provides services that support employers and workers. Collaboration across these agencies and local entities is critical to the success of the one-stop delivery system.

Through the integrated one-stop system, several federal programs, are identified as core partners

## FRAMEWORK AND ACCOUNTABILITY MEASURES QUESTIONS THAT GUIDE STRATEGIC PLANNING

The following State Leadership activities served as the framework for identifying key indicators to help monitor progress toward goals.

1.	<b>Align activities with core programs</b> <ul style="list-style-type: none"><li>- Strengthen core partnerships</li><li>- Work Readiness Skills</li><li>- Expand IET activities</li></ul>
2.	<b>High quality PD</b> <ul style="list-style-type: none"><li>- Review Iowa's PD System</li><li>- Map out PD events and new instructor orientation</li><li>- Research best practices for AEL</li><li>- Strengthen Iowa's AEL Association</li></ul>
3.	<b>Technical Assistance to Improve Effectiveness</b> <ul style="list-style-type: none"><li>- Targeted and universal TA</li><li>- Data driven performance reviews</li><li>- Core partner recruitment strategies</li></ul>
4.	<b>Program Quality</b> <ul style="list-style-type: none"><li>- Finalize improvement plan</li><li>- Review monitoring schedule</li><li>- Update compliance processes</li><li>- Update risk assessment and monitor efficacy tool (survey &amp; status report</li></ul>

under the Workforce Innovation and Opportunity Act (WIOA), as follows:

- Title I Adult program
- Title I Dislocated Worker program
- Title I Youth program
- Title II Adult Education and Family Literacy Act program
- Employment Service program, authorized under the Wagner-Peyser Act, as amended by Title III of the Workforce Innovation and Opportunity Act (WIOA)
- Vocational Rehabilitation program, authorized under Title I of the Rehabilitation Act of 1973, as amended by WIOA Title I

Other federal and state programs include the following:

- The Senior Community Service Employment Program
- Choices, the employment program for recipients of Temporary Assistance for Needy Families (TANF)
- Supplemental Nutrition Assistance Program Employment and Training (SNAP E&T)
- Child Care and Development Block Grant Funds/Child Care Development Funds programs
- Trade Adjustment Assistance (TAA) program
- Apprenticeship program

### Performance Accountability

WIOA, related to the implementation and operation of the performance accountability system under Section §116 of WIOA and the joint regulations in 20 CFR part 677 and 34 CFR parts 361 and 463 details six primary indicators of performance:

- Employment Rate – 2nd Quarter After Exit: The percentage of participants who are in unsubsidized employment during the second quarter after exit from the program (for title I Youth, the indicator is the percentage of participants in education or training activities, or in unsubsidized employment during the second quarter after exit);
- Employment Rate – 4th Quarter After Exit: The percentage of participants who are in unsubsidized employment during the fourth quarter after exit from the program (for title I Youth, the indicator is the percentage of participants in education or training activities, or in unsubsidized employment during the fourth quarter after exit);
- Median Earnings – 2nd Quarter After Exit: The median earnings of participants who are in unsubsidized employment during the second quarter after exit from the program;
- Credential Attainment: The percentage of those participants enrolled in an education or training program (excluding those in on-the-job training (OJT) and customized training) who attain a recognized postsecondary credential or a secondary school diploma, or its recognized equivalent, during participation in or within one year after exit from the program. A participant who has attained a secondary school diploma or its recognized equivalent is included in the percentage of participants who have attained a secondary school diploma or its recognized equivalent only if the participant also is employed or is enrolled in an education or training program leading to a recognized postsecondary credential within one year after exit from the program;
- Measurable Skill Gains: 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, defined as documented academic, technical, occupational, or other forms of progress, towards such a credential or employment. Depending on the type of education or training program, documented progress is defined as one of the following:
  - ◊ Documented achievement of at least one educational functioning level of a participant who is receiving instruction below the postsecondary education level – this can be demonstrated in one of three ways:
    - » Comparing a participant’s pretest with the participant’s posttest, using a test approved for use in the NRS

- » Awarding Carnegie Units or credits in an adult high school program (enough to move to 11th- or 12th-grade status according to State rule)
- » Enrollment in postsecondary education or training after exit; or
- ◇ Documented attainment of a secondary school diploma or its recognized equivalent;
- Effectiveness in Serving Employers: WIOA Sec. §116(b)(2)(A)(i)(VI) requires the State to establish a primary indicator of performance for effectiveness in serving employers in their Unified State Plan. Iowa has selected the following indicators:
  - ◇ Retention with the same employer – addresses the programs’ efforts to provide employers with skilled workers; and
  - ◇ Repeat Business Customers – addresses the programs’ efforts to provide quality engagement and services to employers and sectors and establish productive relationships with employers and sectors over extended periods of time.

The National Reporting System (NRS) is the accountability system for the federally funded, State-administered adult education program. It embodies the accountability requirements of WIOA for Title II. The [Technical Assistance Guide](#) documents the methodologies for collecting the measures and details the reporting tables, including the WIOA joint information collection request (ICR) instructions and forms. Refer to Section V: System Accountability for more details.

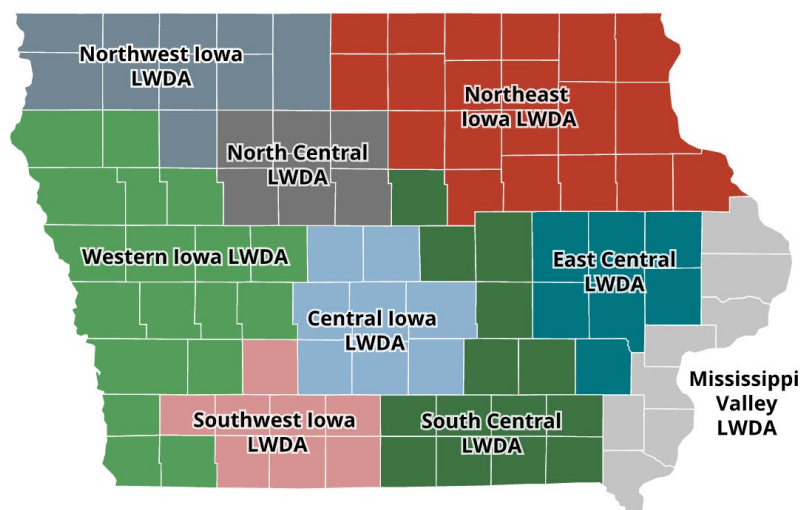
### Service Areas

Iowa has Local Workforce Development Boards (LWDB) by which it coordinates the Workforce Innovation and Opportunity Act (WIOA). The workforce boards are geographic designations that are developed to deliver integrated workforce development services.

Adult education and literacy statewide grants are allocated and might be included in one or multiple workforce board service areas. Areas with multiple AEL providers must designate a lead provider to serve on the board. All providers in the service area are still expected to contribute toward shared services as negotiated in their Memorandum of Understanding.

This collaboration supports integrated service delivery and performance accountability. By law, Workforce Boards must be composed of more than one contiguous unit of general local government, including at least one county, and the area must be of sufficient size to have the administrative resources necessary to effectively plan, manage, and deliver workforce development services. Other factors used in developing the workforce areas are each area’s economic- development needs, analyses of local labor markets, the commuting patterns of its residents, and its community needs, including those of employers seeking skilled workers and individuals seeking jobs and skills-training.

**Local Workforce Area Map - 9 Areas**



## Primary Authority

### Workforce Innovation and Opportunity Act

WIOA guidelines support an alignment of program services and associated accountability measures to support new opportunities and increase participant success in relation to college and career readiness and advancement.

Under WIOA, the key purpose of AEFLA has been retained and expanded to include (Sec. §202):

- 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 that are necessary to becoming full partners in the educational development of their children and lead to sustainable improvements in the economic opportunities for their family;
- Assist adults in attaining a secondary school diploma and in the transition to postsecondary education and training, including through career pathways; and
- Assist immigrants and other individuals who are English language learners in improving their reading, writing, speaking and comprehension skills in English; and mathematics skills; and acquiring an understanding of the American system of Government, individual freedom and the responsibilities of citizenship.

The law authorizes the use of funding for adult education and literacy activities which could include adult education, literacy, workplace adult education and literacy activities, family literacy activities, English language acquisition activities, integrated English literacy and civics education (IELCE), workforce preparation activities, and integrated education and training (IET). IET and IELC program models that require contextualized basic academic skills and workplace readiness skills that are integrated with workforce training, including career and technical education programs leading to workforce certificates of value in the regional and state labor markets. To provide a framework for these service-delivery enhancements, WIOA requires states to align adult education and literacy content standards to the state-adopted academic standards of College and Readiness and 21st Century Skills.

### Iowa Administrative Rules – Chapter 23, Adult Education and Literacy Programs

Effective January 14, 2015 the State Board of Education adopts after analysis and public comment updated rules aligned to the definitions and services prescribed in WIOA, the state assessment policy guidelines, and AEL standards with state specific mandates.

These mandates include:

- The use of state funds allocated for adult education and literacy services.
- The minimum qualifications of professional staff providing instruction in an adult education and literacy program.
- The minimum requirements for an individual professional development (PD) plan and annual PD for all professional staff.

### Iowa Administrative Rules – Chapter 32, High School Equivalency Diploma

Effective July 1, 2018 the State Board of Education adopts after House File 473 granted the Iowa Department of Education authority to establish frameworks for additional pathways for completion of a high school equivalency diploma.

These options include:

- The passing of a state approved assessment.
- The completion of an approved program consisting of at least 36 credits.
- The completion of an associate's degree or higher awarded by a regionally accredited institution.

- The completion of an associate’s degree or higher awarded by a foreign accredited institution. Additionally, the adopted rule provides for state specific mandates, which include:
- The eligibility requirements to participate in any of the approved pathways.
- The cost of initial and replacement documentation including diploma, transcript and verification.

### Ability to Benefit

To augment WIOA support for college readiness and credential attainment for underprepared participants, the US Department of Education has published [guidance](#) allowing for the partial reinstatement of Ability to Benefit in the Federal Pell Grant Program. This allows participants without a high school diploma or recognized equivalent to enter postsecondary education in a career pathway program (defined by WIOA) and become eligible to receive federal financial aid. Iowa’s adult education and literacy is supportive of the statewide expansion of career pathways and take advantage of these opportunities to increase participant success.

### Iowa’s Unified State Plan

The state plan was updated pursuant to section 102(c)(3)(A) of WIOA and approved by the U.S. Departments of Labor and Education to take effect July 1, 2022. The 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.
- 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

## Funding

Pursuant to Iowa Code section 260C, Chapter 23.2(3) the department shall be responsible for the allocation and distribution of state and federal funds for adult education and literacy programs. Funds are allocated annually and the fiscal year is based on July 1 to June 30.

### Allocation

The US Department of Education releases funding estimates in late spring for the upcoming fiscal year. Once the estimates are released, the department approves local allocations as determined by need and performance. Additional allocations may be awarded which can include State Leadership Funds §223 (refer to Performance/Incentive Funding).

### Funding Types

WIOA Title II funds can be used for activities assisting eligible adults (16 years and older) with obtaining postsecondary education, training, or employment. Specifically, the funds serve people with barriers to employment, including English language learners, low-income individuals, and immigrants. Federal funds may be used to carry out all adult education and literacy activities. Title II seeks to ensure that state and local service providers offer adult education and skills development programs that accelerate achievement of diplomas and credentials among American workers, including immigrants and individuals with limited English language skills.

Through WIOA, AEFLA now formalizes the role that adult education has played for decades related to assisting immigrants and English language learners through code with dedicated funds. As part of the IELCE program requirements, each provider that receives funding under Section §243 must be designed to “(1) prepare adults who are English language learners for, and place such adults in, unsubsidized employment in in-demand industries and occupations that lead to economic self-sufficiency; and (2) integrate with the local workforce development system and its functions to carry out the activities of the program.”

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.

The funds aim for:

- increased and improved services to adult learners and their families through the coordination of funding streams and programs; and
- 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 Adult Education and Family Literacy Act (AEFLA §231)*

The department allots at least 82.5 percent of the federal funds, constituting the total state award of AEFLA state grants, to awarded providers. Award amounts will be held steady for two years, after which time the performance of the provider may also be included in the funding formula. “Held Steady” means that a service provider will be funded at approximately the same level for program years 17/18 and 18/19, proportionate to the projected participant enrollment and amount of funding available for allocation. The department allocates these amounts using the following federal formula:

- Eighty-five percent (85%) of the funds available shall be allocated based on needs: institutional grant, target AEFLA population, and number of enrolled participants served, of which 20 percent or less can be used for Correctional and Institutionalized services; and
- Fifteen percent (15%) of the funds available shall be allocated based on performance, including

funding for the number of participants served through Integrated Education and Training programs, participants served with multiple barriers to employment and those co-enrolled. Additionally, each eligible provider's contribution to the targeted percentages for Iowa's Measurable Skill Gains and performance outcome will be used in future years' funding.

Providers must ensure that no more than 5 percent of the funds expended are used for administrative costs, as defined by AEFLA, provided, that the special rule outlined in AEFLA §233(b) shall apply with effective justification, as appropriate.

### *Integrated English Literacy and Civics Education (IELCE) (AEFLA §243)*

The Federal funds made available for IELCE in section 211(a)(2) are awarded to be used by states pursuant to §243. Section 243 does not contain an administrative expenses limit, nor does it contain set- asides for State leadership or other purposes. Because there is no administrative expenses limit, and consistent with the cost principles in the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards at 2 CFR part 200, the department has determined that twelve (12) percent represents a reasonable and necessary amount of the funds for state administrative expenses. Therefore, the department allots at least 88 percent of the funds to awarded providers. Based on these expectations and federal definitions the department will provide funding under §243 for programs that are designed to:

- prepare adults who are English language learners for, and place such adults in, unsubsidized employment for in-demand industries and occupations that lead to economic self-sufficiency; and
- integrate with the local workforce development system and its functions to carry out the activities of the program.

The four required components for an IELCE program must be evident for each activity funded by §243:

- instruction in literacy;
- instruction in English language acquisition; and
- instruction on the rights and responsibilities of citizenship and civic participation; and in combination with integrated education and training (IET).

Award amounts have been based on proposed enrollment, after which time the funds may be reviewed for actual enrollment and performance outcomes. The future IELCE allocation is based on a similar funding formula to the AEFLA grant allocation. By incorporating a performance-based funding focus for IELCE, Iowa is encouraging local programs to maintain accountability of participants served by the grant. The needs- based element of the funding formula will include IELCE enrollment.

### *Iowa Skilled Workforce and Job Creation Fund – Adult Basic Education (House File 604)*

Adult education and literacy state funds are distributed based upon the state general aid (SGA) formula and are directly awarded to Iowa's Community Colleges as providers of adult education and literacy activities. These funds are meant to expand upon the services provided under WIOA and are to be used as primary funding with federal funds, if received, to serve as supplement.

### *Iowa Skilled Workforce and Job Creation Fund – English as a Second Language (House File 604)*

State funds appropriated under House File 604, designated for English as a Second Language (ESL) are jointly distributed by the department and Iowa's Community Colleges based on the need for instruction in the region as determined by census survey and local outreach efforts. In addition to a funding formula there is an application process by which only Iowa's Community Colleges are eligible to apply, however funding is not guaranteed.

## Corrections and State Leadership Funds

An applicant must be awarded a base federal allocation from Title II §231, in order to be eligible to use funds under §225 for the purpose of serving incarcerated and institutionalized individuals. Programs must complete the appropriate application components and define in the budget the purpose and services that will be offered in qualifying locations.

From time to time the department may issue funding applications to AEL providers a portion of the State Leadership funds that is authorized by WIOA for the state education agency to use for required and recommended activities under §223. These funds will be aligned with the allowable activities equitably available to all providers through a request for application (RFA). Often these funds have a specific targeted use with additional measures and associated expectations derived from State Leadership activities.

## De-obligation and Reallocation

When findings arise, the department will implement a series of corrective actions. This may include further technical assistance or training to help providers achieve the stated objectives. If the actions do not result in the provider's compliance, the department may need to conduct audits and impose appropriate sanctions.

The federal guidelines for sanctions are defined in the Office of Management and Budget's Uniform Guidance. Actions may include the following:

- temporarily withholding payment until the provider complies with the requirement
- disallowing costs
- adding new terms and conditions to the grant agreement (for example, for a high-risk provider)
- refusing to continue a grant under a noncompetitive renewal
- suspending grant funds, pending corrective action or decision to terminate the award
- voiding or terminating the award



## Section II: Awarding Adult Education and Literacy Funds

### Major Policy Points

- » WIOA Title II funds must be competitively procured. (*Federal and State Policy*)
- » State ESL funds must be annually applied and are limited to Community Colleges. (*State Policy*)
- » In addition to 13 specific considerations, eligible providers must demonstrate effectiveness in serving participants, and be reviewed for alignment with local workforce development plans. (*Federal Policy*)

The Iowa Department of Education provides a statewide adult education and literacy program delivery-system that provides coordinated services in each workforce area. In each of the workforce areas, there is at least one, and possibly multiple providers of adult education and literacy services.

During grant year 2019-20, the department held a competition for grant awards, under WIOA. Contracts were awarded for five years (July 1, 2020 through June 30, 2025) based on the ability of awardees to meet the requirements.

### Process for Awarding Title II Funds

In conducting the competitive grant program, the department ensured all eligible providers had:

- direct and equitable access to apply and compete for grants or contracts; and
- the same grant/contract announcement and application processes.

With the separation of English Literacy and Civics Education as its own funding (Section 243), the department conducted two competitive grant programs. Notice of the release of the application was published on the State of Iowa Grant Management site. The standard for each grant was based on the following required elements: federally required considerations; demonstrated effectiveness; and alignment with the local area plan(s). The entire application was reviewed by a panel and scored according to a point-based scoring rubric weighting each of the elements. Applications that did not provide sufficient evidence for any required element was not considered for funding. Funded entities will be monitored and required to demonstrate continuous quality improvement. Funds will be allocated and then dispersed on a cost reimbursement basis.

### Considerations

WIOA, Title II, Section §231(e) describes 13 considerations that states must take into account when making awards to eligible providers. Eligible providers must provide narrative details to demonstrate how they will meet each consideration. The review of proposals will include rating responses to each of the 13 considerations. The considerations are as follows:

1. The degree to which the eligible provider would be responsive to—
  - A. Regional needs as identified in the local workforce development plan; 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 who—
    - i. Have low levels of literacy skills; or
    - ii. Are English Language Learners;
2. The ability of the eligible provider to serve eligible individuals with disabilities, including eligible individuals with learning disabilities;
3. The past effectiveness of the eligible provider in improving the literacy of eligible individuals, especially those individuals who have low levels of literacy, and the degree to which those improvements contribute to the eligible agency meeting its State adjusted levels of performance for the primary indicators of performance described in WIOA §677.155;

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 §108 of the Act, 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 whether reading, writing, speaking, mathematics, and English as a Second Language instruction delivered by the eligible provider, are based on the best practices derived from the most rigorous research available, including scientifically valid research and effective educational practice;
7. Whether the eligible provider's activities effectively use technology, services and delivery systems, including Distance Learning, 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 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 coordinates 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, [Boards], one-stop centers, job training programs, and social service agencies, business, industry, labor organizations, community-based organizations, nonprofit organizations, and intermediaries, in the development of career pathways;
11. Whether the eligible provider's activities offer the 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 WIOA §116) and to monitor program performance; and
13. Whether the local area in which the eligible provider is located has a demonstrated need for additional English language acquisition programs and civics education programs. (Authority: 29 U.S.C. 3321)

### Demonstrated Effectiveness

Eligible providers are required to demonstrate effectiveness, pursuant to 34 Code of Federal Regulations (CFR) §463.24, by providing data on improving the skills of eligible individuals, particularly eligible individuals who have low levels of literacy, in the content domains of reading, writing, mathematics, and English language acquisition. Previous Grantees are required under WIOA §116 to provide data demonstrating past effectiveness, as supported by data from Iowa's data management system, to show the extent to which they met state-negotiated performance targets for federal performance measures.

Eligible providers that have not been previously funded under WIOA Title II must provide data that demonstrate effectiveness in serving basic-skills-deficient eligible individuals, including those with low levels of literacy in the domains of reading, writing, mathematics, and English language acquisition. The providers must also demonstrate how they have used objective performance criteria in achieving outcomes listed under WIOA §116.

Eligible providers also must provide participant-outcome information that is related to employment, attainment of secondary school diploma or its recognized equivalent, and transition to postsecondary education and training.

Proposal review criteria for all proposals include evaluation and scoring based on a standard of demonstrated effectiveness.

### Local Workforce Area Alignment

Eligible providers were required to have their application reviewed by the local workforce board in the area(s) in which service will be provided, pursuant to CFR §463.20. Once the application has been received by the department and reviewed for eligibility, a request to the appropriate workforce areas was sent. The review will include an opportunity for the local area to make recommendations to the department to promote alignment with the local state approved plan. Only appointed board members who do not have a conflict of interest as defined in WIOA §107(h) are allowed to participate in the review of an eligible provider application.

The department will consider the results of the local board review in context with the other required considerations when scoring and awarding the grant.

### Process of Awarding State Funds

State funds appropriated under House File 604, designated for English as a Second Language (ESL) pursuant to Administrative rule §281-23.3(6)(a) requires an application process. The narrative details the need of the local area being served which includes any significant growth in the number of limited English proficient adults; a large concentration of adults in un-served or underserved language groups; or limited accessibility to nontraditional class schedules and locations. As the purpose of the funds is to expand services for eligible participants as defined by WIOA, the use of the funds must align with activities and performance measures detailed by Title II. The narrative includes alignment with Title II, Section §231(e) 13 considerations.

The application will be issued annually. The application will include opportunities to detail the intensity, duration, and delivery of ESL instruction. Applications will be reviewed and scored on WIOA aligned performance measures including enrollment, measurable skill gains, employment and transition post-secondary education and training programs.

**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 education agency;
- b. A community-based organization or faith-based organization;
- c. An institution of higher education;
- d. A public or private nonprofit agency;
- e. A library;
- f. A public housing authority
- g. A nonprofit institution that is not described in items (a) through (f) 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 (h).

## Method of Application

Iowagrants is an online grant management system designed to store basic information about grant projects and track the status of grants (federal or state) 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.

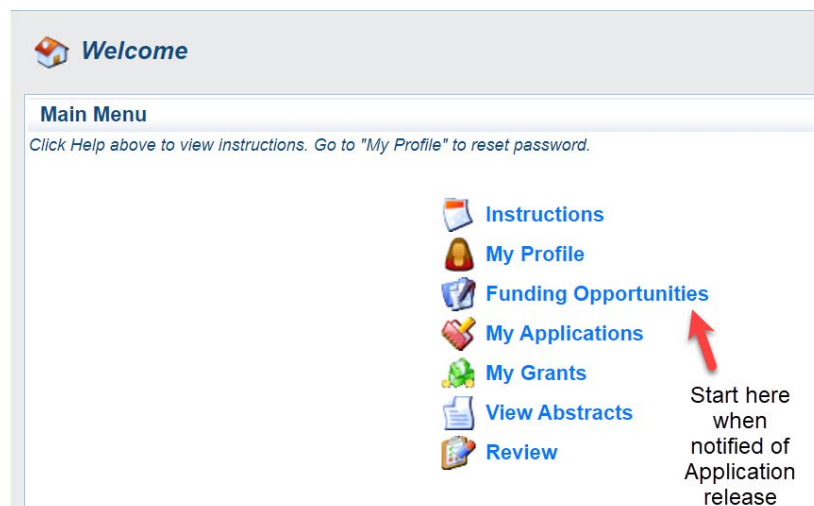
The online application uses data fields (i.e., text boxes, dropdown boxes, and check boxes) to collect information and let grantees upload files.

To access IowaGrants, [click here](#).

**Note: Online forms can “time out” unexpectedly, leading to the loss of significant time and data. Save forms frequently.**

Specifics on the planning, writing, and submission of applications are outlined in the Grant Application Packet. Each funding opportunity has an updated packet, this information should be reviewed in conjunction with the application to better understand the requirements of submission.

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.



## Notification of Grant Award and Grant Updates

Once a grant is approved for funding, the status of the application will be updated in Iowagrants as Underway. Additionally, an official allocation letter will be issued to the provider. These steps signal that the grant is now eligible for grant management, including paying on claims, submitting amendments and providing status and end of year reports.

Grantees must ensure regular oversight of their own activities as it relates to what was detailed in their grant application. As a recipient of public funds administered by the department, a periodic review and update of a multi-year grant is necessary. These status updates are done annually to indicate progress toward benchmarks, adjustments to initiatives and continuous improvement toward the Iowa performance indicators.

In addition to program activities, state and federal requirements include a fiscal accounting of expenditure. For federal funds, detailed in Section VI: Financial Management, the department is required to adhere to the requirements outlined in WIOA Title II, WIOA Joint Rules, Education Department General Administrative Regulations (EDGAR) and 2 CFR Part 200 Uniform Grant Guidance. Pursuant to Uniform Guidance 2 CFR Section §200.306, 1:1 match requirements and maintenance of effort for federal funds received must be annually reported.

## Section III: Program Operations

### Major Policy Points

- » Managed enrollment supports explicit and contextualized instruction. (*State Policy*)
- » Providers are required to provide comprehensive services to reduce personal barriers and accelerate smooth transitions within and between educational/training providers and into the workforce. (*Federal and State Policy*)
- » Providers must ensure they are only serving eligible participants. (*Federal and State Policy*)
- » Program standards serve as indicators of quality by which providers are funded, evaluated and measured. (*State Policy*)

Adult education and literacy services are critical to developing a competitive workforce, strong communities, and well-educated children and to ensuring the strength and durability of the local economy and workforce.

Under WIOA Title II, also known as the Adult Education and Family Literacy Act, or AEFLA, the purpose of adult education is to:

- 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 that:
  - ◊ are necessary to becoming full partners in the educational development of their children; and
  - ◊ lead to sustainable improvements in the economic opportunities for their family;
- assist adults in attaining a secondary school diploma and, in the transition to postsecondary education and training, include career pathways
- assist immigrants and other individuals who are English language learners in
  - ◊ improving their:
    - » reading, writing, speaking and comprehension skills in English and
    - » mathematics skills
  - ◊ acquiring and understanding the American system of government, individual freedom, and the responsibilities of citizenship

The following section describes how these services can be structured to serve and transition participants toward their goals and objectives. The section aligns WIOA Title II operations with the required elements of Career Services and Training Services and introduces a new organizational principle for service delivery, the Career Academy model.

### Program Delivery

In the delivery of services to meet the program's purpose, the provider must ensure high-quality instruction while integrating the following delivery elements:

- sufficient intensity and duration of services;
- a structured service delivery;
- high-quality learning environment; and
- alignment with boards, employers, and partners

### Program Duration and Intensity

How a program structures the delivery of services is an important variable impacting participant successes and demonstrating program effectiveness. Structuring features affecting the success of participants include:

- Duration of the services (how many weeks/months per program year the class is open); and
- Intensity of the services (how many hours/weeks of instruction are available).

The class schedule should reflect the results of the needs of the service area through outreach assessment, participatory planning, and committee input. The more intensive the classes (more contact hours per week), the higher the probability that participants 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.

In order for participants 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 participants.

### Managed Enrollment

During the last two decades of almost universal open entry policy in the adult education and literacy services, programs have devised ingenious methods for accommodating, managing, and teaching the unpredictable flow of participants in and out of their classrooms. Even with this renowned resourcefulness, many adult education classrooms are still chaotic environments where the arrival of new participants - and the departure of others - on any given day makes curriculum planning and teaching very challenging, and learning advancement difficult.

Since 2013, Iowa's adult education and literacy service delivery has moved away from an open entry/open exit drop in delivery structure toward a managed enrollment approach. As noted in the recent competition for federal funds, applicants were required to detail the percentage of courses that are offered as managed enrollment (pg.14 WIOA Section §231 Competitive Grant Application Package). These approaches have centered on data driven decision based on structured time frames for enrollment that reflect participant attendance patterns. The most successful managed enrollment approaches have included these core elements:

- An enrollment deadline;
- Restrictions on the number of classes missed;
- A predetermined length of time; and
- Explicit and systematic instruction

Providers must collect and review at their participant demographic, attendance and retention data before crafting and trying out managed enrollment policy. Adopting a design which provides more structured time frames for enrollment has far reaching benefits. Some benefits from the implementation of managed enrollment has been noted from providers, instructors and participants to include:

- increased sense of practitioner professionalism due to the increased ability to finish lesson plans and curriculum units
- increased time dedicated to curriculum planning and teacher sharing
- increased teaching and learning time
- increased ease and efficiency of administration of required assessments
- increased sense of community and cohesiveness among learner cohorts
- enhanced utilization and management of staff time
- improved participant retention and learning gains
- improved job satisfaction

**Note: All managed classes must meet for a minimum of 8 hours a week.**

Additionally, without the turbulence of class management, instruction has become explicit and contextualized in nature (refer to Section IV: Program Services). However, enrollment policies are only as effective as the provider that implements them. There is no substitute for engaging, learner-centered curricula, sound education and administration practices, thoughtful and caring instructors and an organizational culture which is both welcoming and professional.

Here are some tips for implementing a managed enrollment system, while at the same time providing your participants and reportable individuals with high quality services.

1. Develop your curriculum for a semester, quarter, or session consisting of fewer weeks but more hours per week. For example, instead of a 15-week semester where participants attend class 5 hours a week, have a 12-week semester with face to face and remote learning where participants attend class for 8 hours a week.
2. Start a transitions or “wait-list” class for participants to come and study with a volunteer or volunteers (if your budget doesn’t allow the hiring of an additional teacher) until they can register for the following semester.

### Structured Service Delivery

Providers have adopted various scheduling, intake, and delivery models for their classes. These services are being defined by WIOA Section §134(c)(2) as Career Services - basic, intensive and follow-up. Some delivery structure models are more effective than others for attracting and retaining participants. Retention is crucial to participant success; therefore, it is imperative that programs incorporate structure, evidence-based strategies and practices that encourage participant motivation, persistence, and achievement. The development of a service delivery structure that is participant centered is designed to:

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

### Participant Experience Model

The “Participant Experience Model” represents good practices employed by AEL programs. It delineates the sequence of events that a participant encounters as he/she goes through the educational process. Variations in the model exist based upon program structure and participant needs. Intervention and referral to other services may occur at any time during the participant’s experience in an adult education and literacy program. The model describes more than just the intake process by tracking the participant’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 participant 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.

### Career Academy Models

Adult education and literacy participants thrive when service delivery is well-structured and easy to understand. Participants want to know how the program is going to help them accomplish their goals. WIOA encourages a delivery of structured services around participants’ objectives, including careers and training in specific sectors (for example, health services, construction, and manufacturing) or life goals (for example, family literacy and life skills). A career academy is a type of school-within-a-school or small learning community (SLC) that provides a college-preparatory curriculum with a career-related theme. Iowa’s Administrative rule §281-47 defines career academy as “a program of study that is non-duplicative, sequential, and ensures that the course of study is skill standards-based, integrates academic and technical instruction, utilizes work-based and work site learning where appropriate and available, utilizes an individual career planning process...”

The Career Academy model is supported under WIOA with the addition of integrated education and training activities as well as with the recent addition of Iowa's high school equivalency completion through secondary or postsecondary credits. This model ensures that participants can more directly identify a program of study within services that addresses their objectives. The Career Academy model helps participants of AEL to meet the career, higher education, personal, and familial goals that bring them to receive services.

Historically the system has organized service delivery around the competency levels of participants (for example, "ESL 4") and not the objectives that bring those participants back to education. In college, participants declare a major; research shows that declaring a major early dramatically increases completion rates, because participants have a goal. AEL has lacked an objective-based organizational principle to guide participants toward goals and objectives.

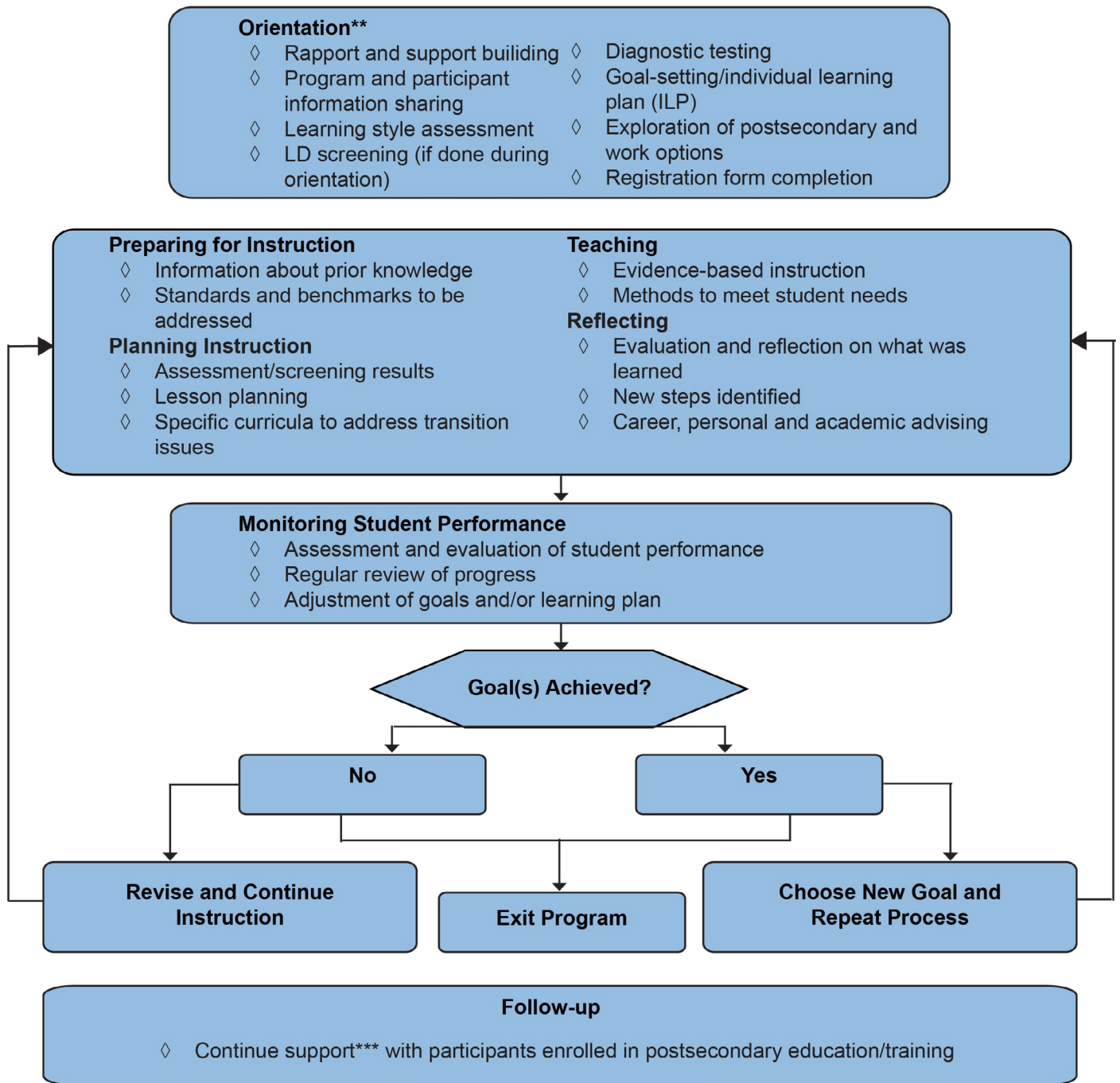
AEL providers have the flexibility to use the Career Academy model to align recruitment, assessment, orientation, and instructional services in ways that match participants' areas of interest with programs of study and other services, including services provided by core partners. The Career Academy structure is not new to some Iowa colleges and high schools, which have used similar models to organize and brand programs through partnerships with school districts.

Career academies should be structural models that can be applied to both Career Pathways and workplace skills. AEL providers, working with Boards and other community stakeholders, are encouraged to develop Career Academy models in specific areas, including those areas that are identified in existing and emerging in-demand industry sectors (for example, health services, construction, manufacturing), and workplace skills and community (for example, an Employment and Civics Academy).

Additionally, career academies should be designed at multiple levels so that all participants are engaged in objective-based education. Participants at all levels should have objective-based services that meet their expectations of returning to education.



## Participant Experience Model\*



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

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

\*\*\*Support—defined as academic intervention, per the concurrent enrollment policy

## High-Quality Learning Environment

Providers must ensure that they provide safe and convenient instructional facilities that are accessible in accordance with the Americans with Disabilities Act, 42 USC §12101 et seq., as amended. Additionally, facilities must meet the following requirements:

- Be near public transportation
- Provide free, easy access parking
- Provide an environment that is conducive to learning, including furniture appropriate to adults, proper lighting, comfortable room temperature, reduction in noise and other distractions, and a visible clock
- Ensure that security or restricted access is provided at all times

Providers must ensure equitable access to, and participation in, its Federally- assisted program for participants, and other program beneficiaries with special needs to meet the requirements of Section §427 of the General Education Provisions Act (GEPA). In addition to considerations for accessibility, locations and use of technology for instruction should reflect a needs assessment of the service area. Suitable sites could include one-stop centers and other partner locations. The provider and participating site should enter into a service contract agreement detailing the arrangements. 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. Providers should expect to invest time on an ongoing basis with each participating site. Things to consider when co-locating or integrating include:

- Safety and security – the facility is housed in a safe, physical environment with access to securely store participant personal information and testing materials;
- Costs – the cost of rent is a fair market value for the relative space being used;
- Technology – the facility has adequate access to compatible software, hardware and broadband for assessment and instruction to allow integration of technology in the classroom; and
- Adequate space – there is sufficient space for advising, conducting intake and providing a managed enrolled class that is conducive of an adult learning environment with little to no interruption of access.

It is recommended that providers regularly meet with representatives of their sites (principals, librarians) and partners with annual or semi-annual updates of the size, scope, and schedule of the classes at that site.

## Alignment with Boards, Employers and Partners

To fully support and implement local integration, AEL providers must collaborate in ways that produce results and create an

**Program success is dependent upon strong partnership 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.

environment that fosters and drives meaningful partnerships. As a core partner under WIOA Title II Adult Education is required to participate as a full member of the Local Workforce Development Board (LWDB) and is a required partner in the Comprehensive One-Stop Delivery System, and as such is required to provide career services and contribute to infrastructure and shared systems costs as described later in this handbook.

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 heightened emphasis on coordination and collaboration at the local levels to ensure a streamlined and coordinated service delivery system for job seekers (including those with disabilities) and employers.

The functions of the LWDB is detailed in WIOA §107(d) and includes the requirement for the board to “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)”.

Participation on boards, sector partnerships, and standing committees support local providers in delivering activities such as literacy education, workforce preparation, integrated education and training, and in the development of career pathways. These partnerships 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.

As discussed later in this section, program standards require 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 system that seamlessly provides integrated services to all job seekers, workers and businesses.

In addition to being a representative on the LWDB, AEL providers are required to participate in the provision of services and operation of the one-stop system as agreed upon in the negotiated Memorandum of Understanding (MOU) developed by each LWDB. The specifics about the contents and requirements of the MOU can be found in WIOA §121(c).

The MOU governs the operation of the comprehensive one-stop system and includes provisions describing:

- The services to be provided through the one-stop delivery system including the manner in which the services will be coordinated and delivered (WIOA §121(c)(2)(A)(i));
- How the costs of such services and the operating costs of the system will be funded;
- Methods of referral of individuals between the one-stop operator and partners (WIOA § 121(c)(2)(A)(iii));
- Methods of ensuring accessibility and availability to necessary and appropriate services to all individuals including individuals with disabilities, those with barriers to employment, and youth (WIOA §121(c)(2)(A)(iv));
- The duration of and procedures for amending the MOU; and
- Any other provisions consistent with the requirements of WIOA Title I as deemed appropriate by the parties to the agreement (WIOA §121(c)(2)(B)).

An Infrastructure Funding Agreement (IFA) is a MANDATORY component of the MOU, and is not to be considered as a separate agreement. Any changes in the one-stop partners or an appeal by a one-stop

partner regarding their infrastructure cost contributions will require a modification to and resigning of the MOU.

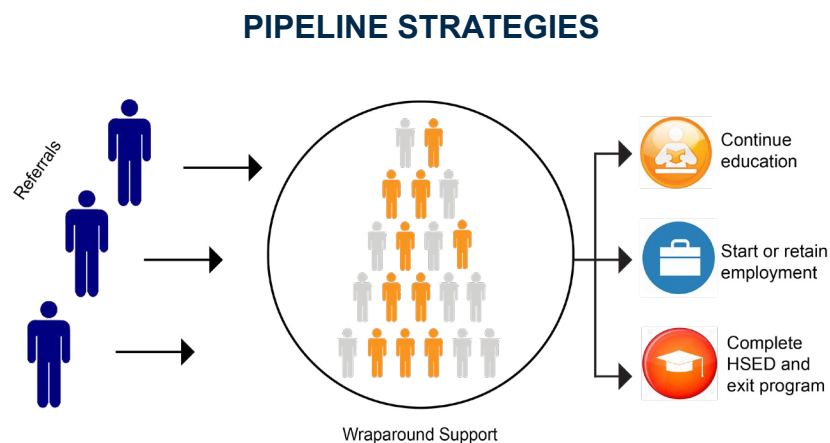
An IFA must contain a number of elements:

- It must specify the effective time period, which may be different from that of the duration of the MOU;
- It must specify both an infrastructure and shared services budget;
- It must identify all of the One-Stop partners, the chief elected officials, and the LWDB participating in the IFA; and
- It must contain a description of the periodic review and reconciliation process to ensure equitable benefit among partners.

There are five goals that partnerships through the MOU are to fulfill:

1. Increased access to and 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.

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



**Co-enrollment** with partner agencies and concurrent enrollment with education and training providers, which occurs when an AEL participant is enrolled in two educational institutions at the same time, is encouraged through WIOA. These services may include courses, support services, facilities and equipment or other services necessary to succeed within the continuum of workforce delivery.

## Comprehensive Assessment and Orientation

A comprehensive assessment and orientation is part of the entry phase of service delivery regardless of the model or scheduling of courses and it is a critical part of successful program operation. The term “Comprehensive Assessment and Orientation” implies that the process consists of more than the required eligibility testing. A comprehensive assessment and orientation not only determines the eligibility of the participant but also identifies his or her goals, educational and employment background and potential barriers with which support may be needed to ensure retention and completion; it also includes disability accommodation needs, if applicable.

All providers must ensure that they have a written procedure for a comprehensive assessment and orientation that, at minimum, includes the following basic career service components:

- Determination of eligibility
- Initial assessment of basic skill level
- Outreach, intake and orientation to information and services
- Information relating to the availability of supportive services or assistance
- Referrals to and coordination of activities with other programs and services
- Local or regional information on in-demand industry sectors and occupations

The purpose of a comprehensive assessment and orientation is to ensure that all prospective participants are provided with the information and assistance they need to make informed decisions about their involvement in AEL services.

Providers may determine the order of required comprehensive assessment and orientation activities and may find it beneficial to combine some of the activities. In addition to building rapport, confidence and motivation with potential participants the following comprehensive assessment and orientation features are expected:

- The activities are accessible by all persons interested in participating in an adult education and literacy program;
- The activities are facilitated by qualified, knowledgeable professional staff;
- The activities are offered at scheduled intervals to support timely enrollment in instructional services; and
- The length of the activities to reflect the goals of the provider and the needs of the participants.

### Determination of Eligibility

As defined by the Workforce Innovation and Opportunity Act (WIOA), Title II, Adult Education and Family Literacy Act, adult education and literacy includes services or instruction below the postsecondary level for participants who:

1. have attained sixteen years of age;
2. are not enrolled or required to be enrolled in secondary school under state law; and
3. who –
  - A. is basic skills deficient;
  - B. does not have a secondary school diploma or its recognized equivalent, and has not achieved an equivalent level of education; or
  - C. are unable to speak, read, or write the English language.

In Iowa, the eligibility of an adult education and literacy participant has been further defined by administrative code, §281—23.5(260C) for basic skill deficiency to include “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.”

AEL providers must ensure that eligibility screening is performed before a participant is enrolled in a class. One way to ensure that all necessary documents have been received is to create a checklist for use during the intake process to ensure that each participant is eligible for the Orientation process. Checklist items should include, at a minimum, the following:

- Enrollment form—includes all required elements as outlined in the Assessment Guide, locally designed, fully completed, and signed and dated as required; and
- Release of information—one release form that incorporates all the language required to share participant data and acknowledges consent.

AEL providers must ensure that all persons 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. Within the signed assurances, each AEL provider guarantees non-discriminate in admission to its programs, services or activities; including access to them; and in treatment of individuals.

In addition, WIOA, Title II does not specify the need to prove citizenship or ability to work as a condition for eligibility. Therefore, it is not a requirement to collect documentation such as visas, work permits, or social security cards to prove legal status. However, participants with F-1 or J-1 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) participants who have completed post-secondary education in another country, but lacks basic English language skills may enroll in AEL programs (as long as they do not have an F-1 or J-1 visa).

### Enrollment Form

All participants are required to complete one enrollment form per program year. This should be completed when the participant enters the program and the form must contain, at a minimum, specific and prescribed elements as outlined by the National Reporting System (NRS).

To facilitate the intake process and meet the requirements for maintaining participant data, an enrollment form must be completed for each participant.

- A provider can use any locally developed enrollment form as long as the form includes the WIOA required elements. If designing a local intake form, it is strongly recommended that the form layout be consistent with the approved data system screen to assist with data entry requirements.
- Accurately recording information from the Enrollment Form in the approved data system is essential because it becomes the criteria used to measure participant success and examine program characteristics.

All required information collected on the enrollment form, along with hours of attendance according to the Assessment Policy Guidelines, must be entered into TE®. Any participant completing less than 12 contact hours is considered a “reportable individual” under WIOA. These participants are reported but do not count toward accountability measures.

Required Documentation for AEL Participants Age 16-18	
Age	Required Documentation
16	Court Order from Judicial Services
17	Evidence of non-enrollment; and Parent permission; <i>or</i> Court order; <i>or</i> Evidence of separation from parent/guardian; <i>or</i> Attestation of homelessness.
18	Evidence of non-enrollment; and Parent permission; <i>or</i> Court order; <i>or</i> Evidence of separation from parent/guardian; <i>or</i> Attestation of homelessness.

Services and instruction may be provided to individuals sixteen, seventeen, and eighteen years who meet the eligibility requirements above. However, the participant must:

- Provide evidence official withdrawal from school; or
- 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 participant records (i.e., standardized assessment and other test records).

### *Release of Information*

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

Under the Family Educational Rights and Privacy Act of 1974 (FERPA) AEL providers must protect the privacy of their participant’s educational records. If the participant, or his/her parent, has provided prior written consent for the disclosure of information, data matching for the purpose of performance measure reporting, as required by WIOA, may be conducted. Prior written consent is established when a reportable individual or parent signs and dates a statement that specifies the records that may be disclosed; states the purpose of the disclosure; and identifies the party to whom disclosure may be made. Locally developed documents must contain these requirements. An example Release of Information has been included in the annual assessment policy guideline’s (APG) appendix.

### *Initial Assessment of Basic Skill Level*

Federal guidelines have stated that assessment procedures to fulfill the accountability requirements of WIOA must be valid, reliable, and appropriate. As noted in Administrative rule §281-23.8(a) “Adult education and literacy programs shall adhere to the policies and procedures outlined in the state assessment policy.”

Providers should administer instruments for the purpose of determining the participant’s estimated skill level and the appropriate diagnostic testing level for the entering participant. (Refer to the current [Assessment Policy Guidelines](#) (APG) for exceptions and further information.) This should also pertain to any assessments accepted from partner programs to ensure a valid placement level as well as a pre and progress assessment match.

AEL providers should defer to the APG and associated training and guidance for official policy. A summary of these requirements is as follows:

- Iowa requires that participants be assessed before they can be enrolled in a class.
- The testing process must be transparent and explained in advance to participants. Before testing, participants must be told why they will be tested and what the test results will be used for. As soon as possible after testing, participants must be informed of the test results with a thorough explanation of the results and the associated performance levels. Providers must ensure that a participant’s test results are used to inform other Comprehensive Assessment activities, such as goal setting.

See the APG for basic practices in orienting participants to the testing process.

## Outreach, Intake and Orientation

Providers must have a procedure in place for orienting participants to the program and assisting them in selecting personal goals for instruction and services. The provider should also explain the commitment necessary for the participant to be successful in the program. The proper time for this process to occur is when the participant first enters the program. It is recommended that this orientation occur prior to a participant attending the first class session and that procedures be implemented to regularly address participant questions and concerns to assist with retention.

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

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 participants.

## Goal Setting

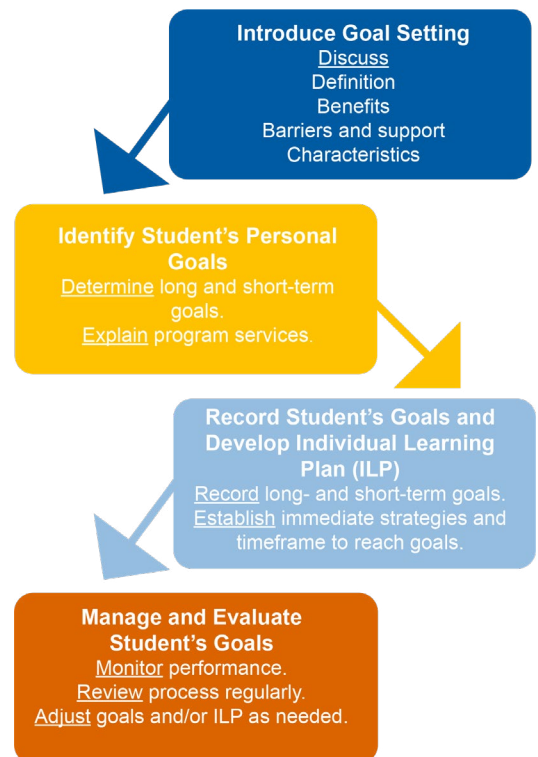
Goal setting, is one of the most important processes of any learning experience, and should begin during orientation, extend into the establishment of an individual learning plan, and continue in follow up services.

- If participant has 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 participants measure progress/level completion and take pride in their achievements.

The goal setting process usually occurs during an interview phase with the participant. Meeting with a case manager or navigator provides an opportunity to help participants translate their personal goals into goals that can be achieved through adult education and literacy. Every effort should be made to:

- Determine participants’ long-term goals beyond their involvement in AEL;
- Inform participant of their options including available program and community services; and
- Establish S.M.A.R.T. goals that can be measured and documented. These goals should have a time frame established after diagnostic testing has occurred.

## GOAL SETTING PROCESS



## Supportive Services or Assistance

In order to provide the best possible services, AEL providers should identify individual differences through appropriate screenings and assessment, then find and implement the appropriate adaptations, accommodations, and instructional strategies to help participants progress.

## Learning Style Inventory

An inventory is to be administered that identifies the participant’s preferred style of processing information. For special populations such as English language learners or participants with special needs, it may be more appropriate to administer the inventory at a time other than during orientation. The provider may choose



the learning style inventory most appropriate to the population being served. The learning style inventory can also be tied to a career interest or aptitude.

### Special Needs

Participants 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 access to services may include, but are not limited to:

- Private settings;
- Frequent breaks or change of activity;
- Note-takers, scribes or interpreters; and/or
- Furniture or room modifications.

Some providers may choose to conduct a screening for possible special needs during orientation. The results from the screening can be used to decide whether the participant should be referred for further assistance. Screening instruments cannot diagnose a disability.

Providers offering screening must have a formal policy detailing their processes including but not limited to: which participants are screened; how selection is determined; type of screening; and how it is administered.

Only, if a provider is selective in their screening process will a specific consent form for each participant need to be completed before legally proceeding. The consent form should contain the following:

- Name of the screening test(s);
- How long the results of the screening are valid;
- Purpose of the screening and how the results will be used;
- Who will have access to the results; and
- Participant or parent/guardian signature

**NOTE: Disability related information should be maintained to protect the confidentiality of the participant.**

The participant should be given a copy of the informed consent and the provider should keep the original. An example of a consent form is included in the appendix.

### Referrals to and Coordination with Other Programs

AEL providers must have strong referral systems to ensure that a participant's needs are met by another organization when necessary. This includes the following:

- A referral system for adults who are not eligible for adult education and literacy services or who will benefit more from other services.
- Identification of participant areas that require further assessment and review, including, but not limited to:
  - ◇ Homelessness;
  - ◇ substance abuse;
  - ◇ counseling needs;
  - ◇ identified or suspected disabilities; and/or
  - ◇ eligibility for post secondary or employment services.

To assist participants in solving situational and dispositional needs, it may be necessary for the AEL program to refer to external agencies, including WIOA core partners (Iowa Workforce Development, Promise Jobs, and Iowa Division of Vocational Rehabilitation Services, Department for the Blind). Participants may be candidates for several different state-sponsored programs including the GAP program that can offer support towards employment success. An example referral form is included in the appendix.

Before AEL providers serve the same participant through concurrent or co-enrollment and exchange written or spoken educational records or confidential information there must be authorization or a signed release of information from the participant. When coordinating service with other external agencies, ensure that a reciprocal release form is in place with the appropriate external agency before discussing any participant with someone from that agency.

**NOTE: Identify duplication of services and assign the services and the provider that best can address the need of the participant.**

### Local or Regional Information

During the intake and orientation process, it is appropriate to share with participants' local area labor market information. This information should be used to assist in identifying goals and educational attainment needs based on relevant data for in demand industry sectors and occupations. Additionally, information related to success and completion rates as well as the duration and cost of the education and training opportunities should be reviewed. These discussions fit with the role of adult education and literacy as an education partner in the development and implementation of career pathways.

### Program Standards

Program standards describe the design, delivery, and management of adult education and literacy programs and services. These standards serve as indicators of quality by which providers are funded, evaluated and measured. The standards can be used by providers to assess their own performance in providing quality services to participants and the local service area. The standards consists of three components:

- Standards are broad descriptors of knowledge, skills, and abilities related to effective adult education instruction;
- A series of indicators are sample concepts for implementing a standard; and
- Criteria are practices that demonstrate the principle or application of a standard.

The standards are meant to establish benchmarks for making informed decisions regarding resource allocation, professional development activities, and program capacity. These standards set clear expectations to ensure providers are meeting the expectation of the federal and state award. A self-assessment is a non-threatening way for a provider to evaluate their current capabilities to meet these standards. Additionally, the results should be used to complete a continuous improvement plan, provide focus for the application plan, and to update the local area plan with their WIOA partners.

The program standards were used in the development of Iowa's Request for Proposals (RFPs) for Adult Education and Family Literacy Act (AEFLA), WIOA Title II, funds. Additionally, the standards have been incorporated into the monitoring process by which the department reviews compliance with federal and state requirements. The program standards are posted on the department's website.

The program standards are divided into two categories:

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

<b>Learner Success</b>	Standard 1: Learner Progress Learners demonstrate progress by 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 and 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.
<b>Organizational Capacity</b>	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 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.

## Career Pathways

The career pathway approach is important for adult education and literacy participants, 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 adults obtain post-secondary credentials and good jobs.

The career pathway approach also incorporates sector strategy principles by developing a genuine and purposeful engagement with employers to increase the relevancy and labor market value of participants' skills and credentials, which in turn improves participants' employment prospects.

Fully integrating adult education and literacy services with WIOA outcome performance measures and the skills valued by employers ensures that providers are developing programs that meet both the foundational skills, as well as technical and workforce preparation skills to help ensure that AEL participants can compete in today's economy.

WIOA requires local workforce development boards to convene their education partners to develop and implement career pathways. WIOA §3(7) includes the first-ever federal definition of the set of core activities that are required in career pathways. They include a combination of rigorous and high-quality education, training and other services that:

1. Aligns with the skill needs of industries in the economy of the State or regional economy involved;
2. Prepares an individual to be successful in any of a full range of secondary or postsecondary education options, including apprenticeships...;
3. Includes counseling to support an individual in achieving the individual's education and career goals;
4. Includes, as appropriate, education offered concurrently with and in the same context as workforce preparation activities and training for a specific occupation or occupational cluster;

5. Organizes education, training, and other services to meet the particular needs of an individual in a manner that accelerates the educational and career advancement of the individual to the extent practicable;
6. Enables an individual to attain a secondary school diploma or its recognized equivalent, and at least 1 recognized postsecondary credential; and
7. Helps an individual enter or advance within a specific occupation or occupational cluster. [WIOA § 3(7)]

Under Title II, Integrated Education and Training (IET) is the instructional strategy for career pathways, and elements “D” and “E” from the WIOA definition of a career pathway align with the IET elements of concurrent activity and contextualization as acceleration strategies. Developing skills needed for post-secondary education or training is relevant to all participants—not just those who seek services with defined career and higher education goals; or who have previous work experience; or who may be functioning at higher levels and need targeted remedial instruction. Many participants functioning at lower education and literacy levels are already working in low-wage, low-skill jobs and often enter AEL services to gain the skills or English fluency needed to advance in the workforce.

AEL providers must develop and deliver program designs and operations for better post-secondary education and training outcomes for all participants, including individuals with multiple barriers to employment or who have minimal literacy skills or English proficiency.

### CAREER PATHWAY SYSTEM



## Section IV: Program Activities

### Major Policy Points

- » Providers are required to provide services in at least one instructional category including adult education, English language acquisition, literacy and workforce preparation. (*Federal and State Policy*)
- » Providers are required to incorporate College and Career Readiness Standards into curricula and as applicable, evidence-based reading strategies into instruction. (*Federal and State Policy*)
- » At a minimum, instruction should be grounded in research, contextualized and technology-rich (*Federal and State Policy*)

### Program Activities

Providers will be required to be a full-service adult education program providing instruction at ALL educational functioning levels (EFL) (six Adult Basic Education (ABE) and Adult Secondary Education (ASE) plus all six English as a Second Language (ESL)), based on identified needs of the region.

Providers must also prepare AEL participants for and support them in achieving successful transition to post-secondary education and training or employment. Eligible providers are required to offer these activities, per the Iowa WIOA Unified State Plan:

- Adult Education;
- English language acquisition activities; and
- Workforce preparation activities.

Providers may also offer any of the following, as needed, per 34 CFR Part 463.30, Subpart D:

- Integrated English literacy and civics education;
- Workplace adult education and literacy activities;
- Family literacy activities; or
- Integrated education and training.

Providers may also offer up to twenty percent (20%) of their allocation to serve Corrections or other Institutionalized Individuals the following, as needed, per 34 CFR Part 463, Subpart F:

- Adult education and literacy activities;
- Integrated education and training.

Title II is designed to prepare participants for success in their next steps in education and training, at work, and in the community. To achieve this purpose, instruction falls into two primary areas that the National Reporting System defines into various functioning levels.

#### Adult Education

Adult education has been categorized by recent changes to the NRS tables as Adult Basic Education (ABE) as a program of instruction designed for adults functioning below a 12.9 grade level who need further education to improve their reading, writing, speaking, problem solving, or computation skills. ABE activities and instruction are provided across a continuum, from pre- and basic literacy through elementary levels, culminating with competencies equivalent to the secondary high school and college developmental. Instruction includes reading, mathematics, communication skills, social studies, physical sciences, health, digital literacy, and career and college readiness competencies. Participants include those that are preparing to transition to postsecondary education or employment and/or are receiving instruction to complete their Iowa High School Equivalency Diploma (HSED). Some courses may be structured to offer Carnegie Units

or high school credits to assist participants that are pursuing their HSED by satisfactory completion of the requirements outlined in Iowa administrative rule §281-32.8. Based on placement assessment results administered in accordance with the Iowa Assessment Policy Guidelines, participants will fall into one of six ABE levels.

### English Language Acquisition (ELA)

English Language Acquisition (ELA) is a program of instruction designed to help limited English proficient adults achieve competence in speaking, reading, listening, and writing the English language as well as other related basic skills. A major purpose of Title II is to help participants learn the English language. WIOA §203(6) broadens the focus of English language services to ensure inclusion of those 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.

Federal funds allow providers to provide instruction in English only. However, bilingual education may be used to instruct English language learners whenever it is appropriate for those participants' optimum development.

AEL providers supporting participants toward Spanish-language high school equivalency completion must also ensure that English Language Learners are assessed according to the Iowa Assessment Policy Guidelines. Gaining competency in English is an important goal for English language learners, but high school equivalency is often an equally important goal for participants, as it opens access to jobs, career lift, postsecondary education, training, and financial aid. While bilingual instruction is allowable the ABE and ELA instruction must be concurrently offered. Federal performance accountability does not include Spanish- language tests; thus, English Language Learners must be assessed using the options approved by Iowa. Based on placement assessment results, participants will fall into one of six ELA levels.

### Literacy

Literacy is instruction and support in the basic reading components necessary to develop beginning readers' ability to deconstruct, interpret, and use text. Reading develops according to identifiable stages— acquiring alphabets (learning to read), fluency (smooth expressive reading), and reading to learn (the ability to use reading to acquire new information). The reading process, often facilitated through one-on- one instruction, includes word recognition, spelling, word meaning, silent reading comprehension, and oral reading rate.

### Workforce Preparation Activities

Activities, programs, or services designed to help an individual acquire a combination of academic, critical thinking, digital literacy, and self- management skills, including competencies in utilizing resources and information, working with others, understanding systems, and obtaining skills necessary for successful transition into (and completion of) postsecondary education and training, or employment. WIOA has allowed greater flexibility in program design as well as the opportunity to offer increasingly diverse services, such as curriculum for college knowledge, and job-search assistance, through Workforce Preparation Activities.

### Employability Skills Framework

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. Employability Skill Standards are captured in the Iowa Core—21st Century Skills. 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 participants 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 participant’s educational career.
- Emphasizing various employability skills in classroom activities but understanding that all skills cannot be addressed in every class.



### Integrated English Literacy and Civics Education (IELCE)

Integrated English Literacy and Civics Education (IELCE) is an activity and a program, designated under WIOA §243 for adult English language learners (ELL). The program enables ELLs to achieve competency in English and acquire the basic and more advanced skills needed to function effectively as parents, workers, and citizens in the United States.

IELCE services must include instruction in literacy, ESL, and the rights and responsibilities of citizenship and civic participation. It includes Workforce Training when combined with Integrated Education and Training (IET) for participants for whom IET services are appropriate. Additionally, the IELCE program must:

- be designed to prepare adult ELLs for, and place them in, unsubsidized employment in existing and emerging in-demand industry sectors or targeted occupations that lead to economic self-sufficiency; and
- integrate with Board and Workforce Solutions Office functions to carry out program activities

### Workplace Adult Education and Literacy Activities

Workplace AEL Activities are provided by adult education and literacy providers in collaboration with an employer or employee organization at a workplace or an off-site location and are designed to improve the productivity of the workforce. In Workplace AEL programs, providers should understand and respond to the demands that drive business needs, employee safety, productivity, and advancement. Activities may be documented for potential measurable skill gains under the newly approved state and federal guidelines.

### Family Literacy Activities

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

- Parent or family adult education and literacy activities that lead to readiness for postsecondary education or training, career advancement, and economic self-sufficiency;
- Interactive literacy activities between parents or family members and their children;
- Training for parents or family members regarding how to be the primary teachers for their children and full partners in their children’s education; and
- An age-appropriate education that prepares children for success in school and life experiences

## Bridge and Transition Activities

Providers often provide a more intensive type of service activity for participants entering IET or IELCE to ensure that participants are academically prepared for the rigor and duration of these models and are making the best career choices. This type of service is often called an On-Ramp to Postsecondary Education or Training (On-ramp Program), bridge, or transition class and may be delivered in an intensive but short-term design with topics, content, and activities over several days or weeks, or of longer duration as an adult education activity including:

- Preparation for a college or workforce training, including the development of college knowledge in the areas of note-taking, academic advising, time management, study habits, and Digital Literacy;
- Career development that includes career exploration, career planning, and employment expectations and work culture for an occupation or sector;
- Meeting with career navigators or others to expand and customize an education/employment Plan;
- Guest lectures from employers, former participants, and faculty;
- Referrals to individual supportive services (for example, transportation, child care, housing assistance); and
- Intensive academic readiness and remediation for participant success to support transition to post-secondary education and training.

This activity supports provider's success by ensuring that participants understand and are committed to the duration and intensity of the program, have made arrangements to mitigate work and personal obligations that might impede completion and are well informed about the resulting employment options and expectations to support success.

## Integrated Education and Training (IET)

WIOA defines and encourages the use of new models, such as Integrated Education and Training (IET) §203(11) 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.

The required components for IET has been identified as:

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

To be considered "concurrently and contextually" within the overall scope of a particular IET program, the adult education and literacy activities, workforce prep activities, and workforce training activities must:

- be instructionally balanced proportionally across the three components, particularly with respect to improving reading, writing, mathematics, and English proficiency of eligible individuals;
- occur simultaneously;
- use occupationally relevant instructional materials; and
- use a single set of learning objectives that identifies specific adult education content, workforce prep activities, and workforce training competencies, with the program activities organized to function cooperatively.

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

- the adult education component is aligned with the College and Career Readiness Standards; and
- the IET is part of a career pathway.

Monitoring of the components to meet the identified requirements for an IET program will be done by the



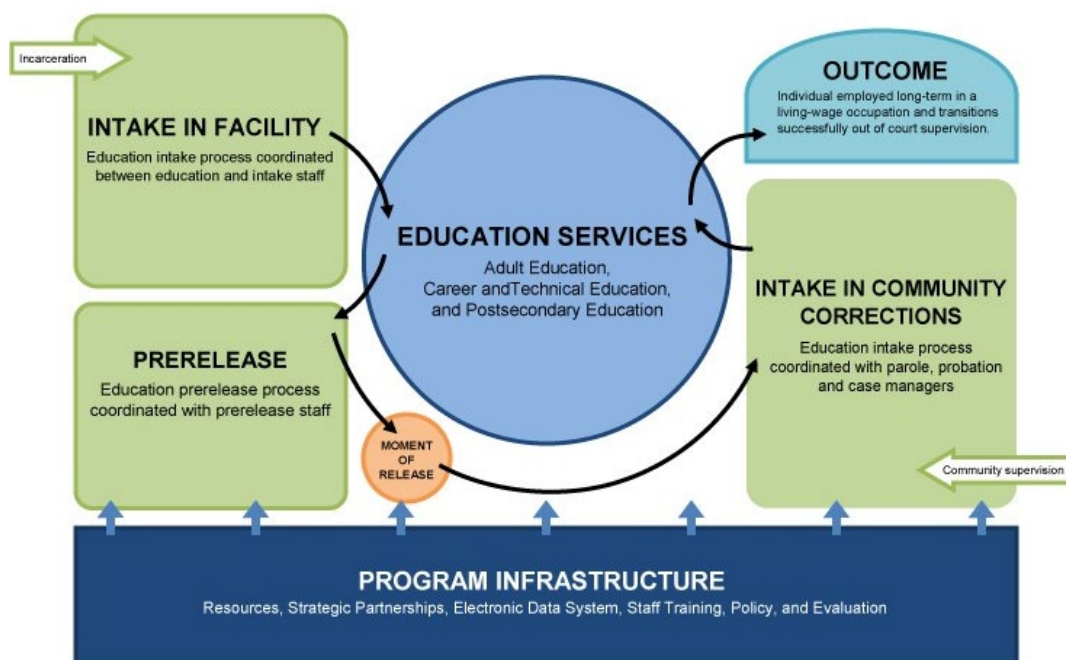
state using the IET and IELCE Checklist provided in the appendix. Additionally, efforts through planning and implementation grants are designed to assist and support the delivery and scaling of IET programs. Additionally, as part of the grant agreement all providers will have an approved IET by July 1, 2022.

## Correction Education

Authorized under WIOA §225, programs for Corrections Education and other Institutionalized Individuals require providers to carry out specific activities for individuals who are institutionalized or incarcerated, including AEL activities, IET, and transition to re-entry and post-release services with the goal of reducing recidivism.

The addition of transition to re-entry and post-release services help ensure that incarcerated individuals and those under community supervision become productive members of society. Although there is no one approach, a growing body of evidence shows that providing offenders with access to specific services helps reduce their likelihood of recidivating. The US Department of Education has supported the development of correctional education re-entry model illustrating an education continuum to bridge the gap between prison and community-based education and training programs and services. The model focuses on:

- Strengthening and aligning education services provided in correctional institutions and the community to support successful movement between the two;
- Establishing a strong program infrastructure to support and improve education services. Ensuring education is well integrated into the corrections system by making it a critical component of intake and prerelease processes and closely linking it to support and employment services; and
- Encouraging individuals to identify and achieve education and career goals, while recognizing that their education path is not linear or uniform.



Each step on the continuum requires the correctional institutions, providers and their partners to collaborate, communicate, and work toward the shared vision of helping those who are incarcerated and under community supervision move out of the corrections system and become productive members of society.

AEL providers must give priority of corrections funding to programs that serve individuals who are likely to leave the correctional institution within five years of participation in the program.

## Principles of Effective Instruction

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 the participant. Instructional delivery is characterized by clear descriptions and demonstrations of a skill, followed by supported practice and timely feedback. Instruction is the “practice” part of program services. When planning and implementing instruction, AEL providers should remember that learning situations for all participants should:

- Be purposeful, by providing activities that will help participants achieve their goals;
- Be transparent, by offering participants 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; and
- Build upon participants’ expertise, by utilizing prior knowledge and experience.

To meet the instructional needs of program activities in the Iowa AEL program, it is important to recognize the requirements of federal and state policy.

### Standards Based

Programs are required to incorporate the adult education content standards into curricula and instruction through the use of standards proficient instructions. Instruction based upon standards assures program services are held to the same high standards and prepares participants to make smooth transition to careers, post-secondary education, and to employment. All providers are required to develop instruction based upon the appropriate content standards. Standards are available for adult education and literacy activities, workforce preparation, as well as English language acquisition. The standards were developed by adult educators with expertise in the instructional areas. Standards do not tell instructors how to teach, but they do help determine the knowledge and skills participants should have so that they can build the best lessons and learning environments for their classrooms.

### *College and Career Readiness Standards (CCRS)*

In April of 2013, the Office of Career, Technical 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, post-secondary 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. Iowa administrative rule §281-23.7(1)(c) adopted the content standards.

### *English Language Proficiency Standards (ELPS)*

The [English Language Proficiency Standards](#) are companion standards that assist English language acquisition programs to align with the College and Career Readiness Standards. The standards may be used to assist programs and teachers in selecting appropriate instructional materials, instructional techniques, and assessment strategies. These standards should serve as the main basis for curriculum development and provide a common language among English as a Second Language levels and programs.

### *Iowa’s 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 participants from the core academic areas to real life application and aligns with WIOA definitions.

While the Employability Framework details the content, the 21st Century Skills provides the standards

to be incorporated into the delivery of instruction. Workforce preparation activities are 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.

### Evidence Based Reading Instruction (EBRI)

Providers are required to incorporate evidence-based reading strategies into instruction. EBRI practices integrate findings from the best available reading research to maximize reading gains for adults. EBRI focuses on four components of reading instruction including Alphabetics, Vocabulary, Fluency and Comprehension. The only Iowa approved professional development used in assisting programs in the implementation of the EBRI is the Student Achievement in Reading (STAR). This training provides instructors and providers with strategies to unlock barriers to successful readers through the use of diagnostic assessments and explicit learning. This training examines data, classroom structures and leveled teaching to help participants become good readers. Annual training opportunities will be provided by the department.

### Contextual, Explicit and Technology-Rich

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 the participants' cognitive capabilities. Contextualized instruction is aimed directly at developing the skills and knowledge that participants need to deal with specific situations or perform specific tasks, and that they have identified as important and meaningful to themselves “right now” in their everyday lives.

In addition, rather than focus only on the possession of basic skills and knowledge, contextualized instruction focuses on the active application of those skills and that knowledge “in a context”. This context should be based on “real-world” experiences. Contextualized instruction lends itself well to project-based learning and other participant-centered practices. Providers should strive to ensure that all program services offer learning in context (for IET it is required), so that a participant acquires the skills needed to transition to and complete post-secondary



### 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

Within workforce preparation activities are the common strands of:

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

education and training, obtain and advance in employment, and exercise the rights and responsibilities of citizenship.

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 a participant’s success is evident, the instructor’s support is systematically withdrawn, and the participants move toward independent performance. The concept of “I do, we do, you do” describes the framework of explicit instruction.

<b>Sixteen Elements of Explicit Instruction</b>			
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 participant 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 participants organize knowledge.
8.	Use clear and concise language.	16.	Provide distributed and cumulative practice.

Providers of program services 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 the instructor and participant.

AEL providers are required to incorporate digital literacy into instruction. Digital literacy means the skills associated with using technology to enable users to find, evaluate, organize, create, and communicate information. There are four components of digital literacy. They are basic digital literacy skills, skills to create and communicate information, skills needed to find and evaluate information online, and skills necessary to solve problems in technology-rich environments. All providers should strive to ensure that participants have access to computers and/or other digital devices. Instruction should integrate digital activities in the classroom in a wide range of topic-, project- or problem-based approaches. As part of workforce preparation activities, providers may now offer and integrate computer literacy classes into a participant’s program of study.

### Distance Education

Distance education is a formal learning activity in which participants and instructors are separated by geography, time, or both for most of the instructional period. Distance Education includes “non-classroom or hybrid based” instructional models in which participants have access to online instruction using state-

approved software programs, if counting proxy hours. Distance education materials come in a variety of media, including, but not limited to, web-based programs, print, audio recordings, videos, broadcasts, computer software, and other online technology. Providers support distance participants through various methods, including, but not limited to, communication by mail, telephone, e-mail, online technologies and software, and face-to-face instruction.

Requirements for implementing Distance Education can be found in Iowa's Assessment Policy Guidelines. Distance Education participants must adhere to the same requirements as all other adult education participants as part of the National Reporting System (NRS) which includes the administration of pre- and post-test assessments used to measure educational gain in-person at a proctored program site.

### *Iowa Distance Education Adult Literacy (IDEAL)*

The IDEAL initiative is about building an intentional path to online adult learning through strategic planning, instructor feedback, and careful evaluation of student needs. The IDEAL initiative includes a single LMS (Canvas) for all providers; an online enrollment and registration system (Connectable); and high-quality, standards-driven, state master courses that can be delivered entirely online and customized to address regional demands and the needs of the participants.



IDEAL master courses are approved distance education courses. They can be delivered entirely online and customized to add area-specific content to address regional demands and the needs of the participants. IDEAL courses expand services while providing accessibility for participants who may struggle with attending in-person classes. Access to the IDEAL courses is available to programs Canvas Process Guide available from the Department of Education.

### *Blended Hybrid Learning*

Instruction provided through a blended delivery model integrates face to face delivery with distance learning activities. An example of a blended delivery model is a flipped classroom. In a flipped classroom participants engage in a set number of hours of instruction per week. At least 50% of instruction will be online, asynchronous and completed as pre-work. Online pre-work consists of learning activities, reading, assessments and assignments. Face to face class time is used to expand students' learning and facilitate collaborative learning.

## **Instructional Materials and Resources**

AEL 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 participants, including those with learning differences. Among best practices related to instruction, research suggests the following:

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

To meet the curricula needs of participants 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 participant progress in their identified goal area(s).

The [Educational Functioning Level Descriptor](#) provides global descriptions of participants' abilities in reading/writing, numeracy (math), listening/speaking and/or functional workplace skills. The levels make it possible for instructors to place AEL and ESL participants into a leveled class.

To enhance the learning opportunities of participants with varying learning styles, good instructional practice dictates utilizing a variety of instructional materials from standard texts and workbooks to contextualize instruction to real life situations. Activities that require multisensory involvement are particularly advised for participants who have, or might need accommodations. Instructors should consider a universal design approach or at the minimum provide instructional adaptations and accommodations to assist participants who would benefit from them.

## Lesson Plans

Adult education and literacy programs must plan lessons and produce lesson plans that help participants achieve their goals. Lesson plans can take many forms. At a minimum, a lesson plan should include:

- expected outcomes of the activity;
- the standard 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.

**NOTE: A great resource for evidence-based materials for curriculum and instruction is LINCS (Literacy Information and Communications System). Visit the [website here](#).**

The following is a brief exploration of the steps involved in creating a standards-based, contextual and explicit 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?”

### *What to teach?*

The standards-based lesson planning process begins with an assessment of learners’ needs and goals. This direct involvement of participants in the instructional planning process reflects the relationship between the participant, 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 participants should know and be able to do as a result of instruction within the specific content area. This outline of skills (benchmarks) participant need to master the level gives the instructor a clear instructional path.

### *How to teach it?*

The following are five steps of a standards-based lesson plan:

- **Introduce the lesson:** Create interest in the lesson. Some possible ways to do this are reviewing previously learned material or by exploring what the participants know about the skill that will be taught.
- **Teach the lesson:** After outlining the benchmarks to identify necessary skills (the nouns and verbs), develop learning activities to teach the skills. Be sure they are meaningfully linked to the participants’ goals and needs.
- **Practice the lesson:** Emphasizing practice over presentation results in a more effective lesson. Practice should be included throughout the learning activities so participants can monitor their own progress.
- **Assess the lesson:** The assessment should be observable and should specifically measure whether the objective(s) were reached. The benchmark examples of proficient performance can be used.
- **Apply the lesson to the real world:** Design an activity that bridges the lesson to the participants’ lives outside of the classroom.

### How to know if it's effective?

Instructors and participants benefit from thoughtful lesson planning. It provides a framework for instruction, and it guides implementation of standards-based, contextualized, explicit education. Lesson planning establishes a road map for instructors of what has been taught and what needs to be taught. It allows them to focus on one objective at a time and communicate to participants what they will learn in each lesson.

Lesson plans should incorporate ongoing assessments that determine how well participants understand concepts and skills allowing instructors to make course changes in instructional procedures or provide additional support to learners based upon their learning. Additionally, the practice and application components of the lesson help participants use the new skills and knowledge in educational and other settings, thus promoting generalization and relevance.

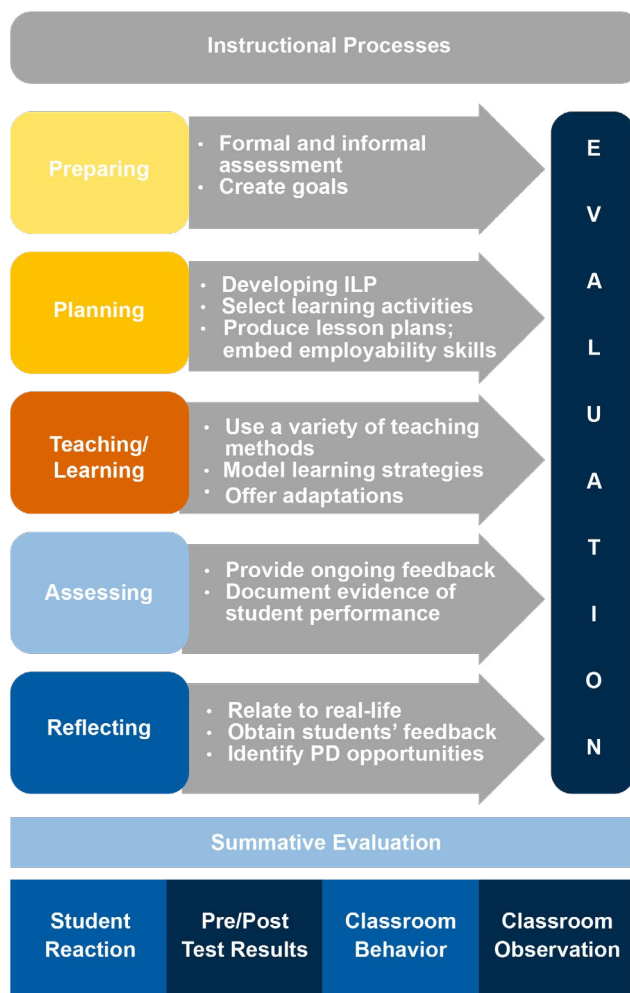
### Units of Instruction

Identifying lead standards helps instructors to concentrate on key concepts and ideas so that participant learning is focused and in-depth. Underlying the lead-standards approach is a belief that, while all standards are crucial learning outcomes, not all standards are created equal. Some—the lead standards—are useful guideposts for organizing instruction.

After identifying a set of lead standards, the next action step is to group related standards together into coherent units of instruction—to translate standards into curriculum. Lead standards become the organizing tool around which curricula are built. As instructors design units of instruction, they bundle lead standards with other standards from that content area to connect ideas that support and reinforce the teaching and learning of the lead standards. Organizing standards into curriculum units helps instructors avoid the pitfall of simply moving down the list of standards one-by-one or dividing the standards among the number of instructional days, without regard to the varying learning demands of each standard. Iowa's standards and performance measures define the desired outcomes for instruction. Therefore, curricula and learning activities should be selected that lead participants to the achievement of the knowledge and skills in consideration of participants' 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 participant persistence and achievement of goals.

It is up to instructors to select appropriate curricula and learning activities that will help lead participants 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 unit of instruction 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 participants' learning to inform and to adjust instruction.)

Instructors who adopt the lead-standards approach find that it lends greater coherence and depth to their teaching. It provides clear, consistent priorities and focus while ensuring that all standards in a content area at a particular level of adult education are covered in a logical and effective manner.

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. Publishers of resource series often provide "alignment reports" that claim comprehensive coverage of a set of standards, but their financial interest can obscure objective judgment. Instructors who know the standards and whose judgment is unencumbered by any monetary interests are best able to assess textbooks and other materials through independent "resources-to-standard alignment analyses." Instructors and providers need to know where the gaps are in their current materials so they can fill them appropriately with other resources.

LINCS' Standards-in-Action training provides curriculum alignment activities to illustrate linking standards to activities and outcomes and is available here: <https://lincs.ed.gov/state-resources/federal-initiatives/college-career-readiness>. Involving instructional staff in the production of curriculum alignments is one way to ensure familiarity with Iowa's standards and the texts, materials, and other activities that will help participants succeed.

### *Copyright Materials*

Current copyright law protects nearly all text, images, audio-visual recordings, and other materials, even if the original works do not include any 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:

- Securing permission from the copyright owner;
- Linking to materials on other sites, rather than copying and posting;
- Using 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; or
- Lawfully using protected materials after a "fair use" evaluation, including finding public domain sources and analyzing for fair use.

### *Open Educational Resources*

Open Educational Resources (OER) are teaching and learning resources that reside in the public domain or have been released under an intellectual property license that permits their free use and re-purposing by others. OER give instructors the ability to adapt instructional resources to the needs of the adult student and ensures that cost is not a barrier to accessing high-quality standards aligned resources. To distinguish if a resource is OER, ensure that the materials are clearly tagged or marked as being in the public domain or having an open license. Programs should explore utilizing OER to support equity and flexibility. In sharing teaching tools and strategies, educators can network their strengths and improve the quality of education for the participants. A few examples of OER are:

- OER Commons - a vast array of OER content searchable by topic areas and material types.
- Hippo Campus - a free core academic website with multimedia content resources.
- Canvas Commons - a learning object repository that enables educators to find, import, and share resources.



## Section V: Performance and Accountability

### Major Policy Points

- » The National Reporting System establishes assessment guidelines, common definitions, and standard data collection protocol in addition to criteria for measuring Federal performance measures. (*Federal and State Policy*)
- » Providers must submit an annual budget, quarterly expenditure and final expenditure reports. Signed certifications of accuracy must accompany reporting statements. (*Federal and State Policy*)
- » Providers must adhere to the policies outlined by legislation, to the grant agreement and to Program Standards and will be reviewed throughout the year for continuous improvement. (*Federal and State Policy*)

The National Reporting System (NRS) is an outcome-based reporting system for state administered, federally funded adult education programs. Iowa must report prescribed data and outcomes information to the Office of Career, Technical and Adult Education (OCTAE) through the NRS. This is based on data collected through participant and program level records.

The NRS provides public accountability of the adult education program by documenting its ability to meet federal policy and programmatic goals. The collection of state outcomes enables states to correlate practices and programs with successful outcomes and also assists the department and AEL providers in assessing progress in meeting adult education goals.

### Performance Indicators and Outcome Measures

NRS participants are a subset of the provider's entire population. In order to be reported to the NRS, individuals must meet certain criteria.

- An individual must have a minimum of 12 attendance hours from a claimable activity;
- For the purposes of reporting measurable skills gains, each entry per participant during the reporting period is considered a period of participation for the purposes of reporting on measurable skill gains, employment the 2nd and 4th quarter after exit, median earnings and credential indicators. A new period of participation (PoP) is counted each time a participant exits and reenters again even if it occurs during the same program year;
- An individual must be assessed with an appropriate and approved assessment based on their instructional enrollment and the assessment must be recorded in the approved data collection system; and
- All necessary and required data must be collected and reported within the approved data collection system.

For individuals meeting these criteria, NRS requires tracking of participation measures (i.e., hours of attendance, and instructional service type) and descriptive measures (i.e., demographics, barriers, and, and goals selected).

Since the NRS is an outcome-based reporting system, certain core measures are examined to determine participant progress in adult education.

#### Measurable Skill Gains (MSG)

The MSG indicator reflects one purpose of the adult basic education program: to improve the basic literacy skills of participants. This goal is the reason that all participants reported to the NRS are counted in the educational gain measure. This participant group is comprised of 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 skills gains defined as academic, technical, occupational, or other forms of progress towards such a credential or employment.

For AEL providers, there are three types of MSG: awarding of a High School Equivalency Diploma, completion of a Carnegie Unit, and an educational functioning level gain (determined by a pre- post test match). In addition, IET participants can earn an MSG by making progress toward a milestone, a post-secondary transcript, or passing a technical or occupational skills exam. Only one MSG is counted per PoP per fiscal year. If there are multiple MSGs, the most recent one is counted.

### **Core Follow-Up Outcome Measures**

For the follow-up measures, participants must meet the criteria to be included in NRS and must also exit (or separate) from the program in order to be included in the core outcome measures (WIOA Section 116(b)(2)(i-vi). An individual participant may end up in multiple cohorts as long as the participant meets the criteria outlined below for each measure. For all of these measures, success is determined through a data matching process with the exception of high school diplomas which are self-reported by the program.

#### ***Employment Second Quarter After Exit***

This cohort includes the total number of participants who exited during the program year excluding incarcerated individuals under WIOA §225 who exited the AEFLA program but are still incarcerated.

#### ***Employment Fourth Quarter After Exit***

This cohort includes the total number of participants who exited during the program year excluding incarcerated individuals under WIOA §225 who exited the AEFLA program but are still incarcerated.

#### ***Median Earnings Second Quarter After Exit***

This cohort includes the total number of participants who exited during the program year and who were employed in the second quarter after program exit excluding incarcerated individuals under WIOA §225 who exited the AEFLA program but are still incarcerated.

#### ***Attained a High School Equivalency (HSED) and Employed Within One Year of Exit***

This cohort includes the total number of participants who exited during the program year who were at the ninth-grade equivalent educational functioning level or higher upon entry as measured by a pretesting process with an approved NRS test excluding incarcerated individuals under WIOA §225 who exited the AEFLA program who are still incarcerated.

#### ***Effectiveness of Serving Employers***

WIOA Sec. §116(b)(2)(A)(i)(VI) requires the State to establish a primary indicator of performance for effectiveness in serving employers in their Unified State Plan. Iowa has selected the following indicators:

- Retention with the same employer – addresses the programs’ efforts to provide employers with skilled workers; and
- Repeat Business Customers – addresses the programs’ efforts to provide quality engagement and services to employers and sectors and establish productive relationships with employers and sectors over extended periods of time.

### **Exiting Participants from AEL Services**

Per NRS guidelines, follow-up core outcomes are only measured for participants that are separated from services. According to the federal NRS for Adult Education, participants should be coded as separating when:

- A participant has not received instruction for 90 calendar days and is not scheduled to receive further instruction;

- Instruction ends and the participant indicates that he/she will not be returning; or
- The participant terminates.

Separations are based on the attendance hours entered for the participants. Participants are separated after completing the program or after 90 days of inactivity with no additional services planned. The state data management system will automatically exit participants and assign the last date with hours of attendance as the “exit” date. If a participant has planned services beyond 90 days, this will need to be coded to keep the participant enrolled. Additionally, if a participant has been separated but returns to the program, the participant is enrolled and a new period of participation begins.

## Data Management Procedures

AEL providers must have written Standard Operating Procedures (SOP) for data management and documentation as outlined in the Iowa Assessment Policy Guidelines as well as the requirements in the following areas:

- Recruitment and advertising
- Intake and screening
- Assessment, testing,

Providers must also disseminate and train project and partner staff on their procedures and monitor compliance.

### Standard Forms for Collecting Data

Staff must collect, record, and secure information on locally developed intake and other data collection forms and ensure that the information is noted in the state data management system in a timely manner, as required in the Assessment Policy Guidelines (APG). All collected forms must be available for monitoring.

**Required data elements are listed in the [APG](#).**

Class sign-in sheets must document the following:

- Class number
- Class name
- Date
- Class location
- Teacher name and signature
- Participant names and signatures
- Time in and time out

### Error Checking and Quality Control

AEL providers must have procedures for checking data for completeness and accuracy following a prescribed schedule with clear deadlines. An appropriate number of staff members should be assigned to perform these data-checking functions. Providers may have a data coordinator to fulfill this duty. Staff assigned to review data must review all data forms as soon as possible for completeness and accuracy and obtain error reports from the database to review immediately after data entry. Data entry procedures must also include a prompt, organized way to identify and resolve errors.

For compliance monitoring and continuous improvement purposes, AEL providers must review participant data and outcomes, including such variables as number of instructional hours received, length of enrollment, the instructors and classes enrolled, participant educational functioning level, and post test rate. This type of analysis is available in the state data management system through a variety of reports.

### *Social Security Numbers*

While social security numbers (SSN) are not a requirement of participation in WIOA Title II, adult education providers must attempt to gather Social Security information. A participant 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 participant's core outcome measures difficult to match for reporting. AEL providers must indicate to participants:

- The purpose(s) for requesting an SSN;
- The fact that this data is kept confidential;
- Participant names and other personal identifiers are not disclosed in the federal reporting process.; and
- The need to have accurate data for outcome reporting for Federal support for AEL services.

### *Timely Data Entry*

AEL providers must specify at least one individual whose job it is to enter participant and class information into the state data management system. All staff members should know this individual's role, and he/she should have the authority to request clarification or resolution of errors.

Contact hours must be validated monthly. Iowa's administrative rules §281-23.8(2) indicates that, "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."

### *Staff Member Roles in Data Collection*

Collecting, managing, and using participant assessment information and associated data involves every staff member in a program, and programs must provide professional development with respect to standard operational procedures for data management and documentation to ensure that all staff members understand their roles and responsibilities. All staff members also must understand the kinds of data collected, how they are collected, how they are used, and how the data must be secured and transported to comply with PII security requirements. For each data item, local procedures must include a precise, written definition that is compatible with state definitions.

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.

### *Statewide Management Information System*

In Iowa, providers are required to track data in the statewide management information system. For this fiscal year providers will be reporting in TopsEnterprise®. To support program performance, providers will designate access rights to staff who do and do not perform data entry. Providers must also ensure that all staff has initial and ongoing training in using the statewide data management information system. All data entry users must have training before using the system. **Additionally, meetings are provided every other month for the benefit of the provider covering specific training and updates. If needed, meetings will be provided more frequently.** Attendance is monitored but not required, however critical updates and information is covered pertaining to deadlines and entry requirements.

### *Managing Personally Identifiable Information*

Pursuant to the Federal Education Rights and Privacy Act (FERPA) and other applicable state and federal

laws, confidentiality of the adult education and literacy participant 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 participant record. However, FERPA allows education agencies to disclose appropriately designated “directory information” without written consent, unless the participant has advised the agency to the contrary in accordance with agency procedures.*

PII is information that can be used to distinguish or trace an individual’s identity, either alone or when combined with other personal or identifying information that is linked or linkable to that individual.

- **Collect sensitive PII only as authorized** - All local AEL programs are responsible for ensuring that 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 [Personal Confidentiality Statement](#) on file for every staff or faculty member who has access to confidential information.
- **Classify data** - Secure (encrypted) transmission methods must be used when transmitting participant 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.
- **Limit use of sensitive PII** - Advise personnel who have access to sensitive, confidential, proprietary, or private data of the confidential nature of the information, the safeguards required to protect the information, and the civil and criminal sanctions for noncompliance with such safeguards in federal and state law.
- **Minimize proliferation of sensitive PII** - Strictly confidential information regarding a participant cannot be discussed nor can any record be shared without a written release of information. If a participant discloses any of the following types of information (verbally or in writing), legally that information is to be considered strictly confidential and therefore “private.”
- **Secure sensitive PII** - Appropriate measures must be taken to ensure participant records are protected from loss, theft, or other compromise. Participant records may be transported to approved AEL provider sites, ensuring confidentiality and safety at all times. Participant 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](#). Filing cabinets or drawers containing strictly confidential information must be labeled as “Confidential.” These files must not be accessible to participants, staff, or faculty, and a log should be maintained to record when confidential files are accessed. Strictly confidential information files should be maintained at the local program level for a period of not less than five years and must be shredded when discarded. Refer to the [APG](#) for additional information.
- **Report suspected and known violations or breaches of PII** - A loss of control, compromise, unauthorized disclosure, unauthorized acquisition, unauthorized access, or any similar term referring to situations where persons other than authorized users and for other than authorized purpose have access or potential access to personally identifiable information, whether physical or electronic. This includes, but it not limited to, posting PII on public-facing websites; sending via e-mail to unauthorized recipients; providing hard copies to individuals without a need to know; loss of electronic devices or media storing PII (for example, laptops, thumb drives, compact discs, etc.); use by employees for unofficial business; and all other unauthorized access to PII. Upon discovery, the AEL provider must take immediate actions to prevent further disclosure of PII and if the breach is part of the state data management system then immediately report the breach to the department.

**NOTE: Sensitive PII includes last name, first name with one or more of the following:**

- SSN
- Driver’s license number
- Citizenship status
- Medical information
- Full date of birth

## Monitoring and Continuous Improvement

AEL providers are monitored throughout the year. The department undertakes regular oversight activities to determine program effectiveness and improvement; assess compliance with department, state, and federal policies, guidelines, and grant terms and conditions; and to identify information needed for strategic planning. Sources of authority for compliance monitoring include:

[WIOA Title II Adult Education and Family Literacy Act](#);

[34 CFR 76 Education Department General Administrative Regulations \(EDGAR\) - State-Administered Programs](#);

[34 CFR 462 Measuring Educational Gain in the National Reporting System for Adult Education](#);

[34 CFR 463 Adult Education and Family Literacy Act](#);

[2 CFR 200 Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards](#);

[Iowa Administrative Code, Chapter 23 AEL Programs](#).

The following monitoring and continuous improvement activities help ensure that local programs achieve intended results and that resources are efficiently and effectively used for authorized purposes.

Monthly performance reviews of data;  
Quarterly financial reviews;  
Program reviews;  
Reports;  
Improvement plans; and  
Technical assistance.

### Compliance Monitoring

Monitoring activities must assess a provider's compliance with applicable laws, regulations, provisions of contracts, and official directives and circulars in order to:

- determine that expenditures have been charged to the cost categories and within the cost limitations specified in the applicable laws and regulations;
- determine whether there is compliance with other provisions of applicable laws and regulations; and
- provide technical assistance as necessary and appropriate.

The department's monitoring process includes:

- a risk analysis;
- a monitoring tool; and
- reporting and resolution processes.

### Monthly Performance Review

Conducting data integrity reports and monthly reporting of participant records are requirements of Iowa's assessment policy. This data is pulled from the online data management system and reviewed for validity. The department reviews key data elements, such as post-testing and educational functioning level (EFL) gains, monthly and sends quarterly reports to providers.

Key data elements are posted on the department's website for tracking local entities' progress toward targets. Participant data is available to providers at any time through the data management system.

Continuous improvement plans may be initiated by the department as a result of monthly performance reviews. Local programs that do not report their data, for example, are not in compliance with Iowa's

assessment policy. Programs are allocated funds based on performance and lack of data limits the ability of the state to make data driven decisions. The department may provide technical assistance on reporting, NRS guidelines and the implementation of Iowa’s assessment policies, as well as best practices and recommendations to assist such programs in developing improvement plans.

### *Quarterly Financial Reviews*

The department reviews quarterly claims AEL providers submit through the grant management system for the allowable and allocable use of Title II funds. This review includes documentation for each expenditure and monitoring overall expenditures against the budget and allocation for each provider. There are two levels of approval for each claim.

Non-compliant financial reviews are negotiated back for editing. These negotiations include outreach for technical assistance to the program coordinator and fiscal agent, if necessary. Clarification on expectations is offered along with recommended 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 corrections education 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 track timeliness of responses and processing.

### *Program Reviews*

Monitoring of local programs align with state standards that address WIOA implementation along with quality assurances related to ensure learner’s progress, financial accountability, program quality, and regulatory compliance.

This component of the quality assurance system is risk-based. The department conducts an annual risk analysis to determine the strategy appropriate for each local entity, including virtual monitoring, improvement plans, or participating in the dissemination of noteworthy practices. All providers will receive an on-site monitoring review during the five-year federal grant cycle (PY21-25) regardless of risk. While on-site reviews address all program standards, virtual monitoring involves a targeted review of select standards. Providers will be contacted by the department to schedule virtual and on-site reviews. Department and provider policies related to travel and in-person meetings will be consulted to determine whether on-site monitoring meetings will need to be conducted in a virtual format.

<b>PY2021-PY2025 Iowa AEL Site Visit Schedule</b>	
PY2021	<ul style="list-style-type: none"> <li>• Hawkeye Community College</li> <li>• Iowa Central Community College</li> <li>• Southwestern Community College</li> </ul>
PY2022	<ul style="list-style-type: none"> <li>• Iowa Valley Community College District</li> <li>• Western Iowa Tech Community College</li> <li>• Southeastern Community College</li> </ul>
PY2023	<ul style="list-style-type: none"> <li>• Iowa Lakes Community College</li> <li>• Des Moines Area Community College</li> <li>• Northeast Iowa Community College</li> </ul>
PY2024	<ul style="list-style-type: none"> <li>• Kirkwood Community College</li> <li>• Eastern Iowa Community College</li> <li>• Indian Hills Community College</li> </ul>
PY2025	<ul style="list-style-type: none"> <li>• North Iowa Area Community College</li> <li>• Northwest Iowa Community College</li> <li>• Iowa Western Community College</li> </ul>

## Risk Analysis

A program's risk of non-compliance is determined through analysis of data from multiple sources over the previous three years, including:

### Performance Data (2-3 years)

- Post-Test Rate
- Measurable Skills Gains (MSGs)
- Enrollment (12+ hours of instruction & pre-tests)
- Change in Enrollment

### Grant Services (1-2 years)

- Grant review scores
- Monitoring reports (findings & recommendations re written policies)
- Change in activities
- Change in key personnel (coordinator, data specialist, instructors)

### Financial Data (1-2 years)

- Claims
- Carryover funds (All federal, state ESL, state ABE)
- Cost per participant

### Assessment Policy (1 year)

- Pre-test before 12 hours of instruction
- Pre-/post-test pair before 40 hours of instruction

### Data Quality (1 year: 3-4 quarters)

- HSED match (TE and Diploma Sender)
- Errors corrected
- Core Performance Wizard

### Integrated Education and Training

- IET enrollment target met
- Program approval form submitted in Iowa Grants and approved

A copy of the risk analysis tool is available on the Iowa AEL "Monitoring Program Performance" webpage for programs to use as a self assessment.

After completing the annual risk analysis, the Department divides programs into three groups based on risk levels that determine the strategy that will be implemented in the new program year. The table below describes these tiers, including risk level and strategy. The Department will notify providers of the risk analysis outcomes and next steps during the second quarter of the program year.

<b>High Risk</b>
<ul style="list-style-type: none"> <li>• Risk analysis indicates a need for improvement in program performance, design, and/or operations; and a need for targeted technical assistance.</li> <li>• Strategy: In consultation with the DE and risk analysis data, the provider will develop and implement a plan to address one or two areas in need of improvement with the support of targeted technical assistance.             <ul style="list-style-type: none"> <li>◊ This process may include elements of a desk/virtual review to examine current practices related to the areas in need of improvement.</li> </ul> </li> </ul>
<b>Moderate Risk</b>
<ul style="list-style-type: none"> <li>• Risk analysis indicates a need for improvement in program performance, design, and/or operations.</li> <li>• Strategy: In consultation with the provider and risk analysis data, the DE will conduct a targeted desk/virtual review of one or two program standards with the goal of identifying strategies to address one or two areas in need of improvement.</li> </ul>



### Low Risk

- Risk analysis indicates the program:
  - ◊ Is at low risk for non-compliance or is operating effectively to manage risks.
- Strategy: In consultation with the DE, the provider will identify a proven or promising practice and develop a plan to disseminate information about the practice or model.

*Note: Providers should strive to address all areas of need identified by the risk analysis, regardless of the targeted DE support indicated above.*

### Monitoring Tool

The department employs a monitoring tool to guide the program review process that outlines an examination of documents and data that reflect compliance with specified standards. The Department may contact providers after documents have been submitted for clarification or collection of additional information on program performance before an on-site or virtual monitoring meeting. Each section consists of content areas aligned to the program standards: Learner Success and Organizational Capacity. Programs are provided with an updated tool when the monitoring process is initiated annually.

The goal of standards-based monitoring is to generate useful information for program improvement. The monitoring should be conducted from an objective point of view, with accuracy as the guiding principle. Accuracy is assured only if the standards and criteria are impartially evaluated and recorded. An honest appraisal and reflection process allows the review process to do its job: provide a baseline measurement of the degree to which the program meets each standard so that program leadership can identify and prioritize actual program needs. Each standard includes up to 10 criteria that describe characteristics or best practices of exemplary adult education and literacy activities. reviews evidence to determine whether providers have met criteria and whether additional documentation is needed.

The approach taken in this review process relies on multiple sources of evidence to compose a comprehensive picture of an exemplary adult education program. Programs may submit a variety of evidence collected through:

- Direct observation: classroom observation form to document an activity, use of materials and technology, physical objects, learner and instructor behavior
  - Records and documents: narrative reports, policy documents, lesson plans, handbooks, enrollment records, meeting notes, assessment records, learner records and folders, forms, notes from observations
  - Data: attendance data, NRS reporting tables, demographic data, financial spreadsheets, etc.
  - Physical artifacts: learner work, technology, photographs with relevant descriptions, instructional materials, promotional flyers
  - Information from administrators, core partners, staff, instructors, and learners: surveys, interviews
- Ideally, a combination of methods can provide greater confidence in the evidence being collected.

A summary of acceptable evidence by standards and criteria is posted on the department's AEL program performance webpage to guide providers' documentation of services and compliance with the monitoring process.

### Reports

AEL providers must submit an annual status report in non-competing years, quarterly expenditure and

final expenditure reports and other reports as necessary. All reports are submitted through the online grants management system and signed certifications of accuracy must accompany claims, annual reports, and final fiscal reports. Further, all reports must be submitted in the format provided by the department. The department disseminates instructions for submitting reports through emails, the grant management system, and other guidance.

Providers are also responsible for ensuring that contact information, as required in the Title II application, is current. Changes in key personnel, email, phone number or addresses should be reported to the department in a timely manner.

### *Status Report*

For each continuing year after a competition, AEL providers are responsible for reporting in Iowagrants the strategies implemented during the previous year and how goal and performance areas requiring continuous improvement will be addressed in the upcoming fiscal year. Documented evidence of implementation for the previous year is required and can include qualitative and quantitative examples.

Key steps in the status update report include:

- Assess program needs/strengths (The process looks at each component and the interrelationship of components within the program; e.g., intake, orientation, curriculum development, instruction, assessment, counseling, instruction, follow-up, etc.)
- Define and prioritize goals for program improvement, based on needs.
- Develop a continuous improvement (action/work) plan to meet goal(s) that incorporate individual staff development plans.
- Engage in activities to implement the plan in order to meet those goals and document these efforts.
- Evaluate efforts and progress (e.g., the effectiveness of the plan, making revisions as needed).
- Set specific targets, including enrollment, post-testing rates, educational functioning level gains, transition services and integrated education and training participation.
- Update the budget for the new fiscal year by allocation and line item.

The activities listed above constitute a cycle of planning that guides the process of continuous improvement from one year to the next. Status updates that fail to include enough documentation or continuous improvement will be negotiated back through the grant management system for additional information. Technical assistance is provided for each provider that has an update negotiated back for revisions. Assistance could include goal-setting strategies, examples of documentation, or clarifying definitions.

### *End of Year Fiscal Report*

An annual update on financial expenses, program generated income and match funds is due in September. This report will be submitted on Iowagrants for both the AEL and IELCE grant funds. The required match is based on meeting the maintenance of effort (MOE) as previously reported by the provider.

### *State Funding Report*

This report details the expenditure of state AEL and ESL funds awarded to providers by quarter and line item, including administrative, professional development, instruction and expenses for the administration of the High School Equivalency Diploma not covered by federal Title II funds and not counted toward match. As stated in Iowa administrative rule §23.3(5)(C) “a year-end report shall be submitted to the department no later than October 1.” The data from this report is used for an annual legislative update on the Iowa Skilled Workforce and Job Creation Fund, provides state support for adult education and literacy. A copy of the latest report is [posted here](#).

## Continuous Improvement

WIOA requires Iowa to promote continuous improvement on performance accountability measures and ensure optimal return on the investment of federal funds. Compliance monitoring activities provide a means to identify areas in need of improvement. Reports programs monitoring reviews, for example, detail instances of noncompliance with federal and state laws and regulations and provide recommendations for corrective action and program improvements. If noncompliance findings are identified, a corrective action plan is implemented.

The plan must identify the findings and specific strategies the local entity will implement to ensure that findings are resolved within a timely manner. The department will provide supportive technical assistance to the provider, staff and partners to assist in the process of improvement. Improvement plans and technical assistance may also be initiated, as needed, outside of program monitoring reviews to support and advance program quality.



## Section VI: Financial Management

### Major Policy Points

- » AEL expenditure must comply with “uniform guidance” and be considered allowable, reasonable and allocable. (*Federal and State Policy*)
- » Administrative costs are non-instructional in nature and cannot exceed 5%, or the annual negotiated rate, of the Federal allocation. (*Federal and State Policy*)
- » Providers are required to afford a minimum of 25 percent match against their federal funds or match at the level of their previous years’ contributions, whichever is greater. (*Federal Policy*)

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 ([2 CFR 200](#)).

### Grant Governance and Administration

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 described in the application. All items requested must be allowable expenditures under the authorizing program statutes, regulations, and rules and must be appropriately allocated.

#### Internal Control ([2 CFR §Sec. 200.303](#))

The Uniform Guidance places emphasis on strong internal controls. In accordance with [2 CFR 200.302](#), all providers 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 provider’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. Providers must maintain accountability over assets and demonstrate compliance with Federal statutes, regulations, and the terms and conditions of the Federal award.

#### 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; and*
- *Expenses associated with technology to access instruction, such as hotspots, are allowable under AEFLA.*

### **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 participants 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?
- 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 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.

### **Classification of Costs (2 CFR §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.

### **Administrative/Indirect costs (2 CFR §Sec. 200.414)**

These costs are non-instructional in nature and cannot exceed 5% of the Federal allocation. They can include:

- Administrative costs (An eligible provider receiving a grant or contract under this part may consider costs incurred in connection with the following activities to be administrative costs: a)

planning; b) administration, including carrying out performance accountability; c) professional development; d) providing adult education and literacy services in alignment with local workforce plans, including promoting co-enrollment in programs and activities, as appropriate, and e) carrying out the one-stop partner responsibilities described in Uniform Guidance 678.420 including contributing to the infrastructure costs of the one-stop delivery system, per federal regulations 34 CFR 463.26.)

- Indirect costs (e.g. rent and utilities, accounting expenses, expenses shared by other parts of the program)

A provider may request to negotiate an increase in the 5% cap. This request must be in writing with a detailed rationale explaining why the additional administrative cost is necessary and how the additional administrative funds shall be spent and uploaded on Iowagrants. The request may or may be approved.

Iowa administrative rule §23.3(5)(2)(b) allows additional use of state funds for administrative costs, however all expended funds are included in the State Funding Report published annually.

### Infrastructure Costs

Each WIOA partner program must use a portion of the funds available to it to maintain the one-stop delivery system, including the payment of the infrastructure costs of one-stop centers. Jointly funding infrastructure remains a necessary foundation for an integrated service delivery system and is critical to achieving the vision of WIOA. The requirements governing infrastructure may be found in WIOA sec. 121(h), the Joint Rule at 20 CFR 678.700 to 678.760, and in the Federal Cost Principles of the Uniform Guidance at 2 CFR part 200. Infrastructure costs that are charged to each partner must be based on partners' proportionate use of the one-stop center and the relative benefit received by each partner from the use of the one-stop center.

Infrastructure costs of one-stop centers are defined as non-personnel costs that are necessary for the general operation of the one-stop center and qualify as administrative or in-direct costs which can include: rental of the facilities; utilities and maintenance; equipment (including assessment-related and assistive technology for individuals with disabilities); and technology to facilitate access to the one-stop center, including technology used for the center's planning and outreach activities (WIOA sec. 121(h)(4) and 20 CFR 678.700). Additionally, the costs associated with development and use of the [common identifier \(American Job Center\)](#) may be considered infrastructure costs. The US Departments of Education and Labor response to public comments published in the Joint WIOA Final Rule provided examples of common identifier costs, such as new signage, changing material templates, and changing electronic resources, but noted it would not include any sort of advertising campaign promoting the one-stop center under the new common identifier.

Funding for infrastructure costs may be in the form of cash, non-cash, and third-party in-kind contributions and include any funding from philanthropic organizations or other private entities, or through other alternative financing options, as described in WIOA section 121(c)(2)(A)(ii) and 20 CFR 678.715.

### *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 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 federally funded program.

## Shared One-Stop Operating Costs

One stop operating costs can also include direct costs associated with the operation of the local delivery system. These costs must include applicable career services and may include shared services. Shared services costs may include initial intake, assessment of needs, appraisal of basic skills, identification of appropriate services to meet such needs, referrals to other one-stop partners, and business services.

Jointly funded one stop operating costs must always be consistent with the laws and regulations governing the partner's program and must be consistent with the Federal Cost principles contained in the Uniform Guidance requiring that costs are allowable, reasonable, necessary and allocable. Funding for shared costs may be in the form of cash, non-cash, and third-party in-kind contributions and include any funding from philanthropic organizations or other private entities, or through other alternative financing options, as described in WIOA section 121(c)(2)(A)(ii) and 20 CFR 678.715.

## Match Funds or Maintenance of Effort (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.

Providers are required to provide at least a 1:1 match against their federal funds or match at the level of their previous years' contributions, through maintenance of effort, whichever is greater. Maintenance of Effort (MOE) is the aggregate expenditures based on state and/or local non-federal expenditures for adult education and literacy activities. All providers must report to the department the non-federal contribution used to meet the MOE requirement. **There are no matching requirements for the State allocation.** State funds may be considered acceptable as match, as long as an item satisfies **all** of the following criteria:

- Be documented and readily identifiable in the Program's accounting system;
- Not be used as cost sharing for any other grant;
- Be necessary and reasonable for accomplishment of the program objectives;
- Be allocable as a cost of the program;
- Be allowable under the applicable cost principles, OMB Guidance, and/ or applicable sponsor/ award requirements;
- Be itemized in the approved grant budget; and
- Be incurred during the effective dates of the grant.

**NOTE: If a cost is not allowable under the grant's spending guidelines, it is not allowed as a cost share.**

## Types of Match

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

- Direct costs for the project but were not charged to the grant (i.e., Salary or travel costs).
- 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.
- 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."

## 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.

#### Supplement – Not Supplant

State and other non-Federal funding sources should not be replaced by Title II federal funding. The federal funds should be used to supplement and increase the level of funds made available to adult education programs. Federal funds may not be used to pay for services, staff, programs, or materials that would otherwise be paid with State or local funds. State appropriations received and authorized for expenditure by Iowa administrative rule §23.3(5)(a) shall be used pursuant to Title II allowable uses and any subsequent federal workforce training and adult education legislation. Further, as per the application requirements state or local funds may not be decreased or diverted for other non-AEL uses merely because of the availability of Title II funds.



## Expenditure Reports and Fiscal Monitoring

Eligible expenditures for actual program expenses may include wages, salaries, and fringe benefits; books, materials, and supplies; clerical services; rental of facilities that are not owned by the provider; rental of equipment not owned by the provider; training of volunteers and tutors; participant support services; outreach and recruitment activities; curriculum and distance education services; and administrative costs. The following limitations are reviewed for expenditure reports:

- No more than 20 percent of the allocation shall be used to provide education to institutionalized adults;
- Any state funds used for High School Equivalency Diploma testing-related activities including, but not limited to: testing, retesting, graduation ceremonies, testing staff (travel and salaries) including proctors and supervisors, testing vouchers, and scholarships are not charged to the federal funds or counted for match funds;
- The 5% or negotiated administrative cap is not exceeded.

The grant management system, IowaGrants, allows the submission of quarterly claims from each AEL provider. These expenditure reports are reviewed by the department for the allowable, allocable and reasonable use of Title II federal funds. This review includes documentation for each expenditure against the budget and allocation for each provider. There is some documentation that is maintained by the provider in the event of an audit or fiscal monitoring, which includes time and effort reporting, equipment/inventory reports and sub-grantee agreements.

### Claims – Quarterly Financial Reviews

While state funds will be fully dispersed in the first quarter of the program year, federal funds will be on a cost-reimbursement basis. All claims submitted for reimbursement conform with the procedures outlined in IowaGrants. In addition, each claim must be supported with documentation that, at a minimum, reflects the amount requested for each line item. The documentation will be reviewed by the department to help ensure the expense claimed is an allowable use.

Grantees must submit reimbursement claims on a quarterly basis:

- July 1 – September 30; due October 30
- October 1 – December 31; due January 30
- January 1 – March 31; due April 30
- April 1 – June 30; due July 15 (final reimbursement request)

Once submitted, the claim form will be reviewed and if approved, processed for payment.

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

**Grant Tracking**

1. Click "Add" to create a claim.

**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

Claim Status:\* Editing

Report Period: [From Date] [To Date]

2. Indicate quarter reporting, then "Save".

The list below describes information the supporting documentation should provide:

- **For purchases:** name of the vendor, date of purchase item(s) purchased, and amount of expense must accompany all requests for reimbursement or payment.
- **For salaries and wages:** the name of the person paid, the person's job classification, the amount

- **For travel reimbursement:** a description of what the expense was for, who it was for, and the amount.
- **For any other payments:** the information provided needs to describe where the money went, what it was for, and when it was spent.
- **For Professional Development:** the documentation must include evidence that the activity occurred, which could include the agenda and sign in sheets. Documentation for uses of food must include rationale as described in the FAQ Federal Funds for Conference and Meetings.

### Time and Effort

Time and effort reports show how salary and wages are charged to AEL allocations. Therefore, all providers that receive federal funds must keep documentation on-site that:

- Documents the employee's time in writing
- Reflects the actual time spent by the employee on activities of the Federal program(s) being charged.
- Covers not more than one month.
- Accounts for all the employee's time for the period covered.
- Be signed by the employee and supervisory official having firsthand knowledge of the
- Work performed by the employee.
- Information kept and maintained on-site is used to prepare time and effort reports.
- Should document activities performed "after-the-fact."

Time and Effort reports should be prepared for any employee (full or part time) with salary and wages that are charged:

- directly to a federal allocation;
- directly to multiple federal allocations; or,
- directly to any combination of federal, state or local fund sources that are being used as match funds.

	<b>Semi-annual Time and Effort</b>	<b>Monthly Time and Effort</b>
<b>Factors</b>	Salary and wages are charged directly to a single Federal award (grant) OR to a single cost objective (e.g., work on a single program or on a single type of activity such as teaching or curriculum development).	Salary and wages are paid from multiple Federal awards or multiple cost objectives; employee works on more than one Federal award, a Federal award and a non-Federal funds, or two or more activities paid out of one or more Federal Grant awards.  Suitable documentation should be maintained to support a personal activity report, such as a weekly schedule, contract, or time sheet used for budgeting , salary, and wage payments. A PAR must be submitted that: <ul style="list-style-type: none"> <li>• Reflects an after-the-fact distribution of the actual activity of the employee.</li> <li>• Accounts for the total activity for which each employee is compensated from Federal and non- federal funding sources.</li> <li>• Be prepared at least monthly and coincide with one or more pay periods.</li> <li>• Be signed by the employee and immediate supervisor.</li> </ul>
<b>Example</b>	Single Award example:  An instructor teaches a math Adult Basic Education (ABE) class, coordinates English Language Acquisition (ELA) classes, and develops curriculum for ABE. This employee’s salary is paid completely from a single grant either Sec. 231 or state AEL funds.	Multiple award example:  An instructor spends 80% of the time teaching ASE level classes and 20% of the time teaching IELCE, workforce preparation. This employee needs to fill out the monthly form to indicate the hours and percent of time both assigned and actually spent on each funding source.

**Equipment/Inventory Report**

All providers must maintain an Equipment/Inventory Report. This report must include all non-consumable items purchased with Title II federal funds and any items with a cost of \$5,000 or more purchased with state funds. Programs must submit an annual report, if requested for monitoring, reflecting items with a single unit purchase price of \$5,000 or more. The Equipment/Inventory Report should include the following:

- Provider Name
- Item Number: The serial number or a local cataloging or reference number

- Item Description
- Acquisition Date
- Purchase Price
- Source(s) of funds used to pay for the item: Indicate whether specific or combined funds were used (i.e. Federal AEL (Federal Basic or Federal IELCE), State AEL (State AEL or State ESL) or Institutional/Other funds)
- Location: The current location of the item (i.e., street address, bldg. name)
- Date of Disposal
- Method of Disposal

### Sub-Award Agreements

Providers may award sub-grants (formally subcontracts) for the provision of services. In a sub-grant arrangement, all stipulations regarding the grant agreement are the responsibility of the AEL provider. The provider is responsible for ensuring all sub-grantees follow Title II program policies and procedures, stipulations in the grant agreement, and the guidelines in EDGAR. Any proposed sub-grantee must be an entity of demonstrated effectiveness and is subject to approval by the department.

A written agreement must be developed between the sub-granting agency and the sub-grantee and should include the following:

- Name(s), address(es), telephone number(s) and e-mail address(es) of sub-grantee(s)
- Time frame of agreement
- Proposed services provided by sub-grantee(s)
- Projected number of participants to be served by sub-grantee(s)
- Costs to be paid under sub-grant
- Payment schedule
- Conditions for amending the agreement
- Terms/Conditions for dissolution of the agreement

The sub-granting agency must maintain appropriate records (including fiscal) relating to sub-grantee selection process and evaluation as well as sub-grantee qualifications. The department reserves the right to review and to approve all sub-grant agreements using Title II funds. Additionally all sub-grantee records are subject to audit and monitoring/evaluation.

### Sub-recipient and Contractor Determinations (2 CFR §Sec. 200.330)

The following are the roles of sub-recipients and contractors so that Programs can determine the relationship and the applicable requirements. See the chart, “Roles of Sub-recipients and Contractors”.

<b>Roles of Sub-recipients and Contractors</b>	
<b>Sub-recipient</b>	<b>Contractor</b>
Purpose is to carry out a portion of a federal grant award and create a federal assistance relationship	Purpose is to obtain goods and services for the non-federal entity’s own use and creates a procurement relationship
Determines who is eligible to receive federal assistance	Provides goods and services within normal business operations
Has performance measured in relation to whether objectives of a federal program were met;	Provides similar goods and services to many different purchasers;
Has responsibility for programmatic decision making;	Normally operates in a competitive environment;

<b>Roles of Sub-recipients and Contractors</b>	
Is responsible for adherence to applicable federal program requirements specified in the award; and	Provides goods and services that are ancillary to the operation of the federal program; and
In accordance with its agreement, uses the federal funds to carry out a program for a public purpose specified in authorizing stature, as opposed to providing goods and services for the benefit of a pass-through entity.	Is not subject to compliance requirements of the federal program as a result of the agreement, though similar requirements may apply for other reasons.

***Sub-recipient 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 sub-recipients 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:

- Providers must have a written agreement in place with the subcontracting agency that includes a formal budget;
- Providers are responsible for providing subcontractor(s) with all pertinent adult education and literacy information;
- Providers 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
- Providers are responsible for the performance of, and any violations of guidelines and policies by the subcontractor(s).

***Retention of Records (2 CFR §Sec. 200.333)***

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 three 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.

## Section VII: Professional Development

### Major Policy Points

- » Providers are required to ensure that all professional staff providing direct participant instruction meet minimum qualifications for AEL. (*State Policy*)
- » Providers are required to plan, track and evaluate the professional development needs of all professional and volunteer staff providing AEL services. (*State Policy*)
- » Professional development should be driven by data, observation and identified need. (*Federal and State Policy*)

### Overview and Objectives

This section outlines the requirements and resources for Professional Development (PD) for AEL providers. Iowa's PD multifaceted efforts address the following objectives:

- Ensuring that participants get the most value out of their experience by ensuring that the provider's staff understands and responds to participant objectives and needs;
- Improving participant performance related to academic, personal, and professional goals and objectives;
- Improving program operations through structured and interactive capacity-building efforts;
- Improving data integrity and the strategic use of data at the instructional level to increase academic performance;
- Increasing and simplifying the provision of support services through workforce and community collaborations; and
- Increasing the application and transfer of learning through Distance Education.

Providers have a contractual responsibility to deliver local day-to-day PD training and to continue improving strategies. Additionally, providers are responsible for providing training based on a local analysis of performance and staffing needs that support Iowa's AEL strategic priorities.

As per Iowa administrative rule §23.7(5), AEL providers shall develop and maintain a plan for hiring and developing quality professional staff that includes all of the following:

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

### Staff Qualifications and Training Requirements

Staff qualifications and training requirements are governed by [Iowa administrative rule §23.6](#) and [§23.7](#).

Test administrators for the Iowa approved High School Equivalency Diploma, CASAS or TABE assessments and certain key staff that use distance education and the state data management system have specific training requirements. These requirements are outlined in the Test Administrator Manual and the Assessment Policy Guidelines.

Staff qualifications have a limited scope, which includes professional staff providing instruction in an adult education and literacy program to participants must possess at minimum a bachelor's degree. Volunteer staff are required to have at minimum a high school diploma or equivalency. Additional qualifications above the minimum may be applied.

Training requirements, as detailed by Iowa administrative rule §23.7(4)(a-c), have a broader scope, which includes all professional staff, all staff that are engaged in providing services, including instruction and data entry (§23.1), shall receive at least 12 clock hours of PD annually. Additionally, new professional staff shall receive 6 clock hours of preservice. Finally, volunteer staff shall receive 50 percent of both requirements.

Providers should make every effort to ensure all instructors receive the necessary PD. The state expects that, at a minimum, 90% of instructors will meet the minimum PD requirement annually.

Twelve hours is a minimum requirement. Additional PD may be necessary and required by the provider or institution for those specializing in specific areas. Face-to-face, online, and blended models of professional development can be included in meeting the minimum requirements. A listing of state sponsored PD opportunities is available through Frontline Professional Growth ®.

Individuals are responsible for reporting their professional development to the provider and are strongly encouraged to keep track of their activities. The reports should include certificates of completion and other documentation as relevant.

### Exceptions and Waivers to Hiring and Professional Development Requirements

The requirements for the minimum qualifications for all professional staff providing instruction applied to all hired after July 1, 2015.

Professional staff who possess a valid Iowa teacher certificate are exempt from the requirement for 12 clock hours of PD annually as long as the licensure is current.

On a case-by-case basis, the requirement for professional development may be reduced by the AEL provider where exceptional circumstances prevent staff from completing the required hours of PD. Exceptional circumstances may include a medical leave of absence or emergency familial responsibilities that prevent the completion of the required hours of PD for the program year. 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.

*The following is an example of an exceptional circumstance:*

Jane Doe was hired in November, but because of an unexpected medical leave of absence, she received only four hours of professional development (PD) before June 30. Upon returning to work in August the following program year, her employer (Provider) must submit a staff exemption for PD to waive her PD requirements that went unmet while on medical leave.

### Professional Staff

Individual hiring and staffing decisions are made at the local level. 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 coordinator 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.

### *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.

### *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 participant placement, if needed, and coordinating with intake specialist and case manager.

### *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.

### *Distance Education Liaison*

Programs that refer participants 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 participant in case the participant requires additional instructional or support services and coordinating participant post-testing according to the Assessment Policy Guidelines.

### *Lead Instructor*

The lead instructor works with program administrative staff to assist with the development and implementation of standard aligned curriculum, providing staff professional development, supporting part-time instructors and providing instruction. Duties include, but are not limited to, coordinating professional development activities within the program, supporting staff in implementing new skills and knowledge, and working closely with the program coordinator around instructional quality.

### *Canvas Designee*

The canvas designee will work with programs to assist in the implementation of the Iowa Distance Education Adult Literacy and serve as a point of contact for program staff. A person in this role will facilitate the program's account creation, course creation and course enrollment process as detailed in the Canvas Process Guide.



### *Career Navigator/ Advisor*

Career navigators provide employment, training and educational related services and activities to eligible participants. Duties may include conducting assessment testing; serving as a liaison to community partners, employers and postsecondary institutions; providing emotional support, encouragement to participants of various cultural, social, age, gender, and economic backgrounds; co-teach integrated and education training classes; and assisting participants with job readiness activities and transitioning to postsecondary classes.

### *Volunteer Coordinator*

Volunteer 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-participant pairs and/or groups, providing ongoing supervision of tutoring staff, and working with the professional development specialist to coordinate tutor professional development.

### *Instructor Standards*

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 AEL participants succeed. In June, 2015 the AEL Instructor Standards were released to AEL providers and are designed to provide standards for Iowa’s adult education and literacy instructors as guidance to promote adult participants’ success along their path toward college and career readiness.

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

### *Payment for Non-Teaching Hours*

Instructors may be paid for non-teaching duties such as attending meetings or professional development if those duties and designated times for performing them are identified in their contracts. The duties listed should be specific, such as meeting with employers or curriculum development and provide a direct benefit or service to participants, or in other words cannot be administrative in nature.

### *Volunteer Staff*

Volunteer classroom aides provide supplemental instruction to a learner or learners enrolled in a class or group. 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. The volunteer classroom aide position does not require a four-year degree and has no minimum hours per week.

## NRS Reporting of Title II Personnel

Title II providers must maintain personnel data needed for federal reporting. This includes data on the number of full-time and part-time administrative positions, counselors/advisors, paraprofessionals, instructors as well as unpaid volunteers. Additional information is required annually for instructors including the number of years of experience in adult education and the nature of their teaching certification. The provider should have a process to update this information and report in the state data management system.

## Professional Development Requirements

Providers are charged with building a strong foundation of research and effective educational practice and will effectively employ advances in technology, as appropriate. Providers will seek out qualified and trained practitioners motivated in teaching and retaining adult learners and using data to guide program management. Instructors will be trained in using proven practices such as phonemic awareness, systematic phonics, fluency, and reading comprehension that research has proven to be effective in teaching individuals to read, write, problem solve, and practice numeracy. Instructors will provide learning in real life contexts to ensure that an individual has the skills needed to compete in the workplace and exercise the rights and responsibilities of citizenship.

The goal of professional development is quality programming and improved services to participants. Effective professional development involves ongoing commitment to keeping knowledge, skills, and abilities relevant and up to date. Informed by research, professional wisdom, and data, participants realize the potential of learning communities while focusing on teaching and learning. Effective professional development is ongoing, job-embedded, integrated into organizational goals, and supported by the organizational structure. 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 AEL participants succeed. AEL providers shall be responsible for providing professional development opportunities for professional and volunteer staff, including:

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

Highly effective instructors are passionate about actively engaging participants and meeting them wherever they are on their learning journey.

As per Iowa administrative rule 281—§23.7(2) Professional development shall include formal and informal means of assisting professional and volunteer staff to:

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

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.

**NOTE: 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, USDOE).**

### Professional Development Standards

AEL providers are responsible for ensuring that all professional development follows the state adopted standards, effective November 1, 2012. 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](#):

- Strengthens professional and volunteer staff knowledge and application of content areas, instructional strategies, and assessment strategies based on research;
- Prepares and supports professional and volunteer staff in creating supportive environments that help adult learners reach realistic goals;
- Uses data to drive professional development priorities, analyze effectiveness, and help sustain continuous improvement for adult education and literacy programs and learners;
- Uses a variety of strategies to guide adult education and literacy program improvement and initiatives;
- Enhances abilities of professional and volunteer staff to evaluate and apply current research, theory, evidence-based practices, and professional wisdom;
- Models or incorporates theories of adult learning and development; and
- Fosters adult education and literacy program, community, and state level collaboration.

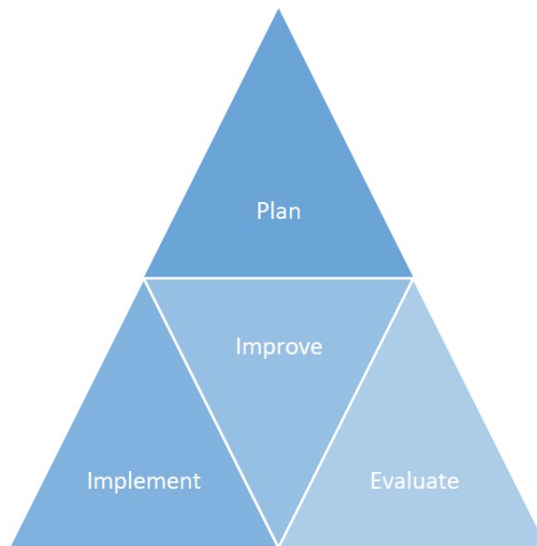
### New Teacher Orientation

Specific to Iowa administrative rule 281—§23.7(4)(b) is the requirement for all new staff to adult education and literacy services receive preservice training relevant to their role and responsibilities. New staff orientation is an opportunity for the AEL provider to orientate staff on the regional needs, specific cultural needs and barriers addressed by the program for participants

### Professional Development Process

The professional development process includes planning, implementing, and evaluating professional development. This cyclical process helps to ensure that professional development opportunities respond to practitioners' needs and that experience and feedback guide the design and planning of subsequent activities. Planning professional development involves deciding who will be involved in professional development activities, the content and skills to focus on, and the schedule. The department and AEL providers are partners in identifying the needs and addressing the content and skills required to continually improve.

The department has provided a platform, Frontline Professional Growth (sometimes referred to as My Learning Plan or MLP, a professional development management system, which has been customized to include the key elements of the PD process: plan, implement and evaluate. By using the professional development management system, providers will ensure compliance with Iowa administrative rule 281-§23.7



### *Planning*

Pursuant to Iowa administrative rule 281-§23.7(5) creating a plan for individual professional development is a way to link program's performance to quality instruction. Individual professional development plans (IPDPs) are integrated into the professional development management system and an annual plan should be maintained by each professional staff member. The provider is responsible for ensuring activities a staff member participates in are appropriate professional development and leads to the accomplishments of individual and program priorities. Collectively, the IPDPs should be referred to when deciding on local PD needs and which PD events are priorities.

Providers are to ensure appropriate participation in Iowa's Professional Development Planning Project which concentrates on using State Leadership funds to support local program professional development through development of local PD plans that target continuous program improvement and professional growth. The local professional development plan outlines the anticipated goals and activities for the year. The plan should be based on program and individual professional development plans, program improvement needs, needs assessments, current research, and evidence-based practice. This plan is part of the application and status update and should be reviewed as personnel needs and positions change. Example of an IPDP and a local PD plan are included in the appendix.

### *Implementing*

Professional development plans and activities are funded to meet required and allowable activities under WIOA Title II, Section §223 by the department, which maintains less than 12.5 percent of federal funds to develop or enhance the system. The following required and/or permissible are defined under §223(a)-(c):

**Section §223 State Leadership Activities**

Required	Permissible
<p>The alignment of adult education and literacy activities with other core programs and one-stop partners, including eligible providers, to implement the strategy identified in the unified State plan under section 102 or the combined State plan under section 103, including the development of career pathways to provide access to employment and training services for individuals in adult education and literacy activities.</p>	The support of State or regional networks of literacy resource centers.
	The development and implementation of technology applications, translation technology, or distance education, including professional development to support the use of instructional technology.
	Developing and disseminating curricula, including curricula incorporating the essential components of reading instruction as such components relate to adults.
<p>The establishment or operation of high quality professional development programs 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 learners, instruction provided by volunteers or by personnel of a State or outlying area, and dissemination of information about models and promising practices related to such programs.</p>	Developing content and models for integrated education and training and career pathways.
	The provision of assistance to eligible providers in developing and implementing programs that achieve the objectives of this title and in measuring the progress of those programs in achieving such objectives, including meeting the State adjusted levels of performance described in section 116(b)(3).
	The development and implementation of a system to assist in the transition from adult education to postsecondary education, including linkages with postsecondary educational institutions or institutions of higher education.
<p>The provision of technical assistance to eligible providers of adult education and literacy activities receiving funds under this title, including--</p> <ul style="list-style-type: none"> <li>i. (the development and dissemination of instructional and programmatic practices based on the most rigorous or scientifically valid research available and appropriate, in reading, writing, speaking, mathematics, English language acquisition programs, distance education, and staff training;</li> <li>ii. the role of eligible providers as a one-stop partner to provide access to employment, education, and training services; and</li> <li>iii. (assistance in the use of technology, including for staff training, to eligible providers, especially the use of technology to improve system efficiencies.</li> </ul>	Integration of literacy and English language instruction with occupational skill training, including promoting linkages with employers.
	Activities to promote workplace adult education and literacy activities.
	<p>Identifying curriculum frameworks and aligning rigorous content standards that--</p> <ul style="list-style-type: none"> <li>i. (specify what adult learners should know and be able to do in the areas of reading and language arts, mathematics, and English language acquisition; and</li> <li>ii. take into consideration the following:                             <ul style="list-style-type: none"> <li>a. State adopted academic standards.</li> <li>b. The current adult skills and literacy assessments used in the State or outlying area.</li> <li>c. The primary indicators of performance described in section 116.</li> </ul> </li> </ul>

**Section §223 State Leadership Activities**

Required	Permissible
	<ul style="list-style-type: none"> <li>d. State adopted academic standards.</li> <li>e. The current adult skills and literacy assessments used in the State or outlying area.</li> <li>f. The primary indicators of performance described in section 116.</li> </ul>
The monitoring and evaluation of the quality of, and the improvement in, adult education and literacy activities and the dissemination of information about models and proven or promising practices within the State.	Developing and piloting of strategies for improving teacher quality and retention.
	The development and implementation of programs and services to meet the needs of adult learners with learning disabilities or English language learners, which may include new and promising assessment tools and strategies that are based on scientifically valid research, where appropriate, and identify the needs and capture the gains of such participants at the lowest achievement levels.
	Outreach to instructors, participants and employers.
	Other activities of statewide significance that promote the purpose of this title.

State approved activities are listed in the online calendar in the professional development management system and are promoted by the department for all professional staff that have identified a need with an aligned plan and in collaboration with the AEL provider. Funds from State Leadership are allocated to each provider in addition to their state funds which can be used to support local professional development needs. PD expenditures are tracked in the State Funding Report as a percentage of the overall expenses.

The registration for PD in MLP allows the tracking of professional development hours to ensure that professional staff are receiving relevant training and development associated with their duties. It is the responsibility of each provider to track and report their professional staff receiving the minimum hours of PD annually (July 1 to June 30) including any exceptions or waivers granted.

Examples of professional development activities include single- or multi-sessions, face-to-face or distance learning trainings, peer coaching, research study circles, teacher research, and visits to other programs to learn new practices. Local providers 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, status update and/or IPDP.

The trainer responsible for the professional development will be listed as the contact in the professional development management system to address any questions or concerns for those registered. Minimum attendance requirements should be clearly stated and cancellations should occur at least 72 hours prior to the event. Each professional development event will include an evaluation form to help capture feedback, as required by the PD standards.

## Evaluating

Providers are required to evaluate the transference of learning from professional development into practice. The successful development of a PD plan requires evaluation and ongoing monitoring to ensure that needs are being met. This includes reviewing the evaluations from the PD and having a strategic approach to ensuring that professional development is transferred into classroom instruction.

With the implementation of College and Career Readiness Standards (CCRS) in the classroom, it is important for instructors to assess their own performance in providing quality instruction and services to adult learners. The use of a [classroom observation tool](#) that is aligned to content standards, technology, and instructor standards has been developed in the professional development management system, a copy is provided in the appendix. This tool will provide 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. Regardless of a self-assessment, a provider should ensure that instructional staff complete an observation annually and identify alignment of needs with their individual professional development plan. This process will aid in professional development decisions and help to ensure professional staff are capable of meeting the diverse needs of adult education and literacy services.

**NOTE: The classroom observation is not intended to be a formative evaluation for instructors.**

If any provider is using a system other than the Iowa Department of Education approve professional development management system for the purpose of maintaining individualized professional development plans, tracking PD hours and/or performing classroom observations, then records shall be maintained for five (5) years, and shall be made available to the department monitoring upon request.

## Requests and Resources

In addition to the scheduled professional development, local providers may request technical assistance or training by completing the “Suggest Professional Development to the State” form located on MLP, a copy is included in the appendix. There is little or no cost if the department provides the training. If the professional development requires a subject matter expert, a cost sharing agreement might be negotiated with additional providers with shared needs.

Previous professional development and resources are available on the department’s website, AEL Google site, national professional development resources, and links.

LINCS: Community, Courses, and Resources for Adult Education

The Literacy Information and Communication System (LINCS) (<https://lincs.ed.gov/>) offers a variety of professional development resources including searchable resources, Community of Practice, and self- paced online courses.

- The LINCS Resource Collection provides high-quality multimedia instructional resources for use by adult educators. These resources have been reviewed by subject matter experts and recommended and approved by the U.S. Department of Education, Office of Career, Technical, and Adult Education, Division of Adult Education and Literacy. There are 15 different topic areas which include assessment, career pathways, adult learners, college and career standards, correctional and reentry education, program management, technology and learning, and many other relevant topics to adult education. You can search the collection by category, keyword, date and more.
- The LINCS Community is an interactive online social learning space (a community of practice) for conversation, networking, and professional development, which works in tandem with the LINCS Resource Collection and the LINCS Learning Portal to improve evidence-based practice in adult education. The community, supported by leaders in the field, facilitates increased knowledge sharing and collaboration among adult education leadership, professional developers, administrative staff, and practitioners across the country. Community groups are based on the topic areas in the LINCS Resource Collection. The LINCS Community provides members with discussion forums, news, events, shared resources, professional development opportunities, and more. The LINCS Community inspires adult education professionals to discuss and refine evidence-based practices, motivating one another to continue to improve not only their practice but also participants' education and employment outcomes.
- LINCS Learning Portal offers self-paced online courses for adult education practitioners. These courses are available for use anytime, anywhere on the LINCS Learning Portal. Be sure to create a LINCS account to receive announcements on new professional development opportunities.
  - ◇ Career Pathways
  - ◇ Disabilities and Equitable Outcomes
  - ◇ English Language Acquisition
  - ◇ Integrating Technology
  - ◇ Science
  - ◇ Teaching and Learning
    - » Content Standards for English Language Learners
    - » Differentiated Instruction
    - » Teacher Effectiveness
    - » Teaching Adults to Read

### COABE: "Inspiring educators so adults succeed and communities thrive"

The Coalition on Adult Basic Education (COABE) (<https://www.coabe.org/>) offers a variety of professional development resources including searchable resources, live and downloadable webinars through a statewide membership. COABE is the leading national organization representing the U.S. system of adult education. The purpose of COABE is to provide leadership, professional development, advocacy, and communication services that encourage greater consciousness and cultural competency. COABE is committed to using their platform and influence to celebrate, engage with, and listen to all adult education communities and diverse voices in the field.

Professional staff can use their membership number to access all membership benefits, including:

- discounted national conference registration
- participation in awards, incentive grants and scholarships
- opportunity to access and contribute to the COABE Journal
- access to more than 50 professional development webinars annually
- participation in the nomination and election process for COABE leadership



The Iowa Literacy Council manages Iowa's COABE membership. Please contact the ILC Executive Director at [ilcexecutivedirector@iowa.gov](mailto:ilcexecutivedirector@iowa.gov) if you have any questions about your membership. If you have any additional questions about your membership, please contact [membership@coabe.org](mailto:membership@coabe.org) or call 888-442-6223.

# Section VIII: Public Awareness, Outreach and Communication

## Major Policy Points

- » AEL providers are part of the American Job Center network. (*Federal Policy*)
- » The state has a common identifier for AEL providers. (*State Policy*)
- » Outreach and collaboration is a core function of WIOA. (*Federal and State Policy*)

## Public Awareness

Part of the 2015 campaign addressed the need to centralize information for participants 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, [www.yourfuturestartshereiowa.org](http://www.yourfuturestartshereiowa.org), for participants to access “universal” information on Iowa’s AEL services. These services include information on digital literacy, the high school equivalency testing and how to locate the closest service provider. The website also serves as the hosting site for the Iowa Literacy Council. Areas of expansion will include resources for professional development and volunteer opportunities.

Maintaining public awareness is a shared responsibility between the department and the providers to ensure that the most correct and up to date information is used. If any services related to a local provider or service location changes, the department will need to be notified.





### Terms of Use for American Job Center Logo

The American Job Center Network is a unifying name and brand that identifies online and in-person workforce development services as part of a single network. The department request that AEL providers use the identifier ‘a proud partner of the American Job Center network’ on all primary electronic resources and on any newly printed, purchased, or created materials, in relation to public awareness for Title II adult education and literacy activities. As a partner, either the plain text or one of the logos may be used. If a logo is used, it must be used in accordance with the guidelines contained in the [Graphics Style Guide for Partners](#).

### State Logo

The AEL logo, 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. With a brand that represents the values, services, ideas and



	cmyk rgb hex #	8 : 0 : 79 : 0 242 : 238 : 83 F2EE53
	cmyk rgb hex #	73 : 1 : 27 : 0 0 : 185 : 194 00B9C2
	cmyk rgb hex #	84 : 35 : 51 : 11 31 : 122 : 122 1F7A7A
	cmyk rgb hex #	43 : 0 : 62 : 26 107 : 188 : 71 6BBC47

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 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 and signed public releases should be maintained for at least five (5) years.

### Promotional Materials

Vertical and horizontal ads have been created for providers 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 a shared google drive. Videos have also been posted to the YourFutureStartsHereIowa website and is available for providers to download. The videos are available in segmented vignettes that highlight each participant. Videos are meant to relate to a wide audience, from potential participants to stakeholders and legislators and should be used appropriately, with limited editing.

### Outreach, Proactive and Strategic

While participant outreach and recruitment are critical activities to support performance outcomes for meeting the economic needs of the communities, these activities are some of the most underdeveloped or overlooked areas of service. A model of developing services and waiting for participants to arrive has proven to be unsuccessful in growing a program to meet the needs of the community and fails to provide options for participants with barriers.

Increasingly, adult education and literacy programs in Iowa are being asked to focus on meeting outcomes related to college and career preparation and transition. Programs are expected to use a variety of community outreach and recruitment strategies to ensure that adults, including those most in need of literacy, are aware of program services.

### Community Engagement

Providers should realize that a community might not be aware of the diversity of programs available to them. Providers that have long been established in neighborhoods or centers may be known for providing only ESL instruction, high school equivalency preparation, and/or family literacy services. Community members might not know that providers across the state now offer job training through IET, access to vocational rehabilitation services, and integration with Iowa Works services.

Providers must take extra steps to ensure that the community member knows about the services that are available. Providers can update promotional materials and signage, host open-house events, collaborate with community partners, and expand the program message to reflect the array of AEL services being offered. When evaluating program promotion, AEL providers must consider whether their advertising publicizes the new service delivery options available. Some AEL providers, have shifted from generic course names like “ESL Level 2” and “HSED” to names that reflect the aspirations and goals of participants, such as “High School Equivalency to Careers Academy” or health-focused ESL “Health Services Academy” programs.

Newsletter	Heading 1	Calibri Uppercase & 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	Ft. Article Title	Calibri Uppercase & Lowercase	16 pt	Bold
	Article Title	Calibri Uppercase & Lowercase	14 pt	Bold
	Body Text	Helvetica Sentence Case	12 pt	
	Footer	Helvetica Uppercase & Lowercase	12 pt	
Website	Header 1	Helvetica Uppercase & Lowercase	38 pt	Light
	Header 2	Helvetica Uppercase & Lowercase	24 pt	Bold
	Body Text	Helvetica Sentence Case	16 pt	

### *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. The 501(c)(3) status of the Council is intended to help initiate statewide efforts which include the development of a credential for volunteers to assist in the instruction of basic education and English language acquisition for community and faith-based organizations.

### *Recruitment through Partner Integration*

It is important for providers to understand the participant populations in ways that go beyond their educational levels. If a provider serves a large population of participants who are not in the workforce or are casually attending class for social integration and only a small number of participants who are there for college and career transitions, that information is useful when developing a strategy for recruitment. While participants who do not have career or college objectives continue to receive services, providers will achieve better performance results if they expand outreach beyond these populations.

A providers' recruitment strategy that reaches a diverse customer base depends on the depth and diversity of their partnerships.

Employers make powerful allies and provide opportunities to reach participants who are working and need services to progress in their careers. Additionally, most communities—urban, rural, large, or small—have multiple organizations serving similar populations. Rather than providers using passive recruitment methods, or none at all, to recruit participants directly, providers should form strategic partnerships that include cross-referrals from workforce, Vocational Rehabilitation Services, social services agencies, and college developmental education departments. Tracking referrals and participants that are being served by core partners will help to demonstrate the success of those strategic partnerships.

### *Local Workforce Development Boards and Standing Committees*

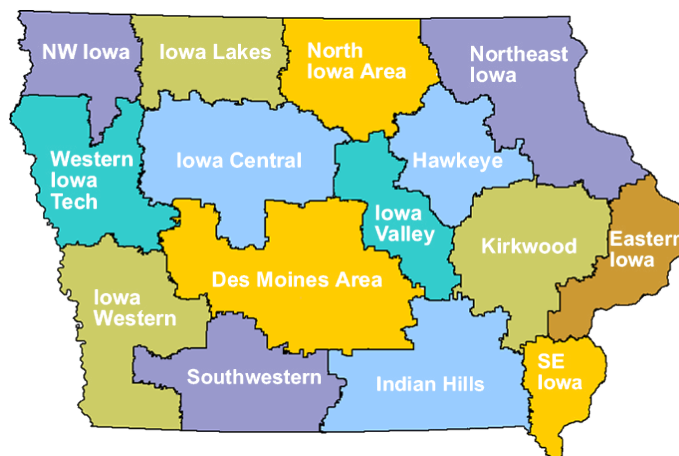
The WIOA mandates Local Boards to coordinate activities with education and training providers within the Local Workforce Development Board (LWDB) area [WIOA Section 107(11)(d) and Title 20 Code of Federal Regulations 679.370(n)]. In accordance with Title II, the department requires AEL providers to participate in the development of the local and regional plan as well as period alignment of activities and services consistent with those plans. In addition to board representation, AEL providers are encouraged to be active participants in standing committees, including but not limited to disability access, youth and sector committees.

## Communication

Communication between the department and providers is critical. The department offers leadership, technical assistance and oversight to local providers to support their integration in the workforce system to better serve all eligible participants. Educational Consultants at the department specialize in areas of focus and with subject specific questions might be able to better handle responses based on those areas of responsibility.

### Email

Email will remain the primary method of communicating initial announcements to the local programs. Often times this email might be time sensitive and will require action. Programs should ensure that they mailboxes are set to receive messages with sufficient space to reduce undeliverable messages. Programs that have emailed with a consultant and has not received a response back, be sure to email a follow up and copy the state director for follow up.



### Coordinator Meetings

Coordinators meetings are monthly and are designed to provide a platform for critical updates, best practices and pending events related to Title II services. Topics include national, state and regional needs driven by WIOA, other federal and state policies, including funding, and questions from the field. Agenda items are requested and participation by a representative from each funded provided is expected – attendance is monitored. This group meets primarily virtually, with strategic face-to-face meetings as requested, on the third Thursday. The coordinator leadership roles have been assigned through program year 2020.

Program Year	Chair	Vice Chair	Secretary
PY2023	Area VII	Area VI	Area V
PY2024	Area VI	Area V	Area IV
PY2025	Area V	Area IV	Area III

Each role contributes toward the meetings purpose and has generally been defined as:

- **Chair**—Organizes the agenda; schedules any presenters for the meeting; plan face to face meetings as needed; facilitates the virtual or face to face meeting; ensures notes and/or recordings are done and distributed timely; communicates with the group as frequently as needed—emails, zoom or conference calls.
- **Vice Chair**—Serves as liaison in the Iowa Literacy Council and as a planning member for the AEL conferences; serves as assigned by the chair on other associated committees; assumes the responsibilities of the Chair if the Chair is absent.
- **Secretary**—During the meeting, performs roll call, takes notes and distributes notes, recordings and relative information in a timely manner to the Group; communicates with the Group as directed by the Chair to share relevant information as needed—emails, zoom, or conference calls.

### Taskforces/Committees

Provider input 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, through ad hoc taskforces or committee work designed to study and to research relevant adult education and literacy issues in Iowa would be a benefit to both the provider and to the state.

## *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 in a concise manner while allowing screen sharing, chat and recording features there are limitations. Zoom has been the selected product of the state to use for web conferencing, providers must ensure that the software is downloaded (<https://www.zoom.us/>) and suitable headphones or access to a phone is provided. Participation is needed to make this channel of communication effective. Zoom meetings will be used to address technical assistance issues where screen sharing and the ability to walk through the issue is provided. Recordings should be shared with the appropriate professional staff to ensure information is appropriately disseminated.

## *Newsletters*

Periodically, a newsletter or fact sheet utilizing the Iowa's adult education program details released by the department or by the state association, Iowa Literacy Council. Providers are encouraged to submit success stories, share best practices and include partners in the distribution of the information. This channel of communication will be used to highlight adult education and literacy services in Iowa with other providers and our stakeholders. The newsletter will typically be electronically distributed with an intent to:

- Keep the public informed.
- Educate all readers about issues and ideas.
- Build cohesion and a sense of pride.
- Spark new interest in, and increase recognition of services and best practices.
- Offer a format for information exchange that doesn't currently exist.
- Maximize information sharing.

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## Annual Timeline

### July – August

- Award Letters State and Federal Summer Conference
- ESL State Grant Application Due

### September – October

- State and Federal Financial Reports – September 15
- Federal Data Report Due - October 1
- Risk Assessment Completed
- New Coordinator/New Instructor Training
- 1st Quarter Reimbursement Claims – October 31

### November – December

- Applications for Distance Education curriculum approval – November 1
- Site and Desktop Monitoring Scheduled
- HiSET® return secure testing materials – December 31
- Annual Federal Report (Financial, Narrative, and APG) – December 31

### January – February

- HiSET® Test Launches – January 1
- 2nd Quarter Reimbursements Claims – January 30
- Annual AEL Fiscal Report Released

### March – April

- State and Local Workforce Plans
- Review MOUs and Infrastructure Funding Agreements
- Funding Formulas Updated
- 3rd Quarter Reimbursements Claims – April 30

### May – June

- Status Update Due – non-competing year
- Grant Application Due – competing year
- End of Program Year Data Submission – June 30

### July

- 4th Quarter Reimbursements Claims – July 15



## WIOA Acronyms and Abbreviations

AEFLA	Adult Education and Family Literacy Act	PY	Program year
CBO	Community-based organization	RFP	Request for Proposals
CEO	Chief elected official	sec.	Section of a Public Law or the United States Code
CFR	Code of Federal Regulations	SNAP	Supplemental Nutrition Assistance Program
CSBG	Community Services Block Grant	SSA	Social Security Administration
DOL	U.S. Department of Labor	TANF	Temporary Assistance for Needy Families
ED	U.S. Department of Education	TEGL	Training and Employment Guidance Letter
E.O.	Executive Order	UC	Unemployment compensation
ESL	English-as-a-second-language	UI	Unemployment insurance
ETA	Employment and Training Administration	VETS	Veterans' Employment and Training Service
ETP	Eligible training provider	VR	Vocational rehabilitation
FEIN	Federal employer identification number	WDB	Workforce Development Board
FR	Federal Register	WIA	Workforce Investment Act of 1998
IPE	Individualized Plan for Employment	WIOA	Workforce Innovation and Opportunity Act
LMI	Labor market information	WRIS	Wage Record Interchange System
MOU	Memorandum of Understanding		
NACTP	Native American Career and Technical Education Program		
NPRM	Notice of Proposed Rulemaking		
OJT	On-the-job training		
OMB	Office of Management and Budget		

## AEL Providers - Coordinator Contact Information

1	Gisella Aitken-Shadle	Northeast Iowa Community College Dubuque Center for Education 700 Main Street Dubuque, IA 52001	(563) 557-8271 x108	aitken-shadleg@nicc.edu
2	Molly Anderegg	North Iowa Area Community College 500 College Drive Mason City, IA 50401	(641) 422-4176	Molly.Anderegg@niacc.edu
3	Eric Waldstein	Iowa Lakes Community College 300 South 18th Estherville, IA 51334	(712) 632-6844	ewaldstein@iowalakes.edu
4	Sandi Altena	Northwest Iowa Community College 603 West Park Street Sheldon, IA 51201-1046	(800) 352-4907 x137	saltena@nwicc.edu
5	Abby Underberg	Iowa Central Community College One Triton Circle Fort Dodge, IA 50501	(515) 574-1959 x2319	abby.underberg@iowa.gov; underberg@iowacentral.edu
6	Patty Mendoza	Marshalltown Community College Iowa Valley Continuing Education 3702 S. Center Street Marshalltown, IA 50158	(641) 754-1348	patty.mendoza@iavalley.edu
7	Laura Hidlebaugh	Hawkeye Community College 120 Jefferson Street Waterloo, IA 50701	(319) 296-4278	laura.hidlebaugh@hawkeyecollege.edu
9	Scott Schneider	Eastern Iowa Community Colleges West Davenport Center 2950 North Fairmount Street Davenport, IA 52804	(563) 328-7682	sjschneider@eicc.edu
10	Carla Andorf Terry Rhinehart	Kirkwood Community College 6301 Kirkwood Blvd. SW Cedar Rapids, IA 52402	(319) 365-9474 (319) 784-1513	carla.andorf@iwd.iowa.gov terry.rhinehart@kirkwood.edu
11	Abby Zegers Eric Sundermeyer	DMACC Urban Campus 1100 7th Street Des Moines, IA 50314	(515) 248-7209 (515) 287-8701	adzegers@dmacc.edu esundermeyer@dmacc.edu
12	Pam Woolridge	Western Iowa Tech Community College 4647 Stone Avenue Sioux City, IA 51106	(712) 274-8733 x1854	Pamela.Woolridge@witcc.edu
13	Libby Woods	IWCC Adult Education & Literacy 2700 College Road, Kinney Hall Council Bluffs, IA 51503	(712) 256-7088	lwoods@iwcc.edu
14	Darla Helm	Southwestern Community College 1501 W Townline Street Creston, IA 50801	(641) 782-1497	dhelm@swcciowa.edu
15	Ashleigh Richmond	Indian Hills Community College Community Education 525 Grandview Avenue Ottumwa, IA 52501	(641) 683-5189 (641) 683-5181	Ashleigh.richmond@indianhills.edu
16	Martha Bell	Southeastern Community College 1500 W. Agency Road West Burlington, IA 52655	(319) 208-5254	mbell@sccciowa.edu

## Reference Materials for Adult Education and Literacy Providers

Coordinator Handbook, 2022-2023

Assessment Policy Guidelines, 2022

Data Dictionary, 2020

Data Specialist Handbook, 2019

OMB Uniform Guidance, 2015

AEL Performance

Competitive Grant Application Package(s) Sec. 231 and 243

IET Guide

Iowa Unified State Plan, 2022

Chapter 32 Implementation Guide, 2018

HiSET Test Administration Manual, 2017

Annual Report, 2021

AEFLA Resource Guide, 2017

Iowa Administrative Rules - Chapter 23 Adult Education and Literacy Programs (Effective January 14, 2015)

Iowa Administrative Rule - Chapter 32, High School Equivalency Diploma (Effective July 1, 2018)

Professional Development Standards - 2012

Instructor Standards - 2015

Content Standards

College and Career Readiness Standards – 2013

21st Century Skills Standards – 2015

English Proficiency Standards – 2017

Program Standards – 2017

Monitoring, 2021

## Checklist for Comprehensive Intake

*Please make a copy and complete this checklist for use with new participants.*

- **Welcome Activity & Program Overview**
  - Program Purpose
  - Available Services
  - Program Components
  - Physical Layout
  - Class and Building Rules
  - Rights and Responsibilities
  - Code of Conduct/Dress Code
  - Attendance/Class Closing Policy
  - Daily Sign-In Sheet
  - Class Schedule/Holidays Observed
- **Registration Forms**
  - Participant demographic details
  - Release of Information
  - Media Release Form
  - Local Acceptable Use Agreement (Technology and Internet)
  - Participant Attendance Policy
- **Learning Needs/Barriers Screening**
  - Administer Barrier to Employment survey
  - Administer or obtain results of a Learning Needs Screening (use a signed release of information)
  - Document any disabilities and arrange for accommodations in collaboration with IVRS Case Manager.
- **Strengths Identification**
  - Administer learning styles inventory
  - Administer CASAS/TABE Locator to determine correct pre-test
  - Participants with obvious reading or English language needs should not take locators/appraisals
- **Standardized Entry Assessment**
  - Assess academic areas using appropriate standardized assessment (related to participant goals) and record in TE®
  - Maintain a hard copy of records in permanent folder
- **Goal and Career Exploration**
  - Distinguish between short-term and long-term goals
  - Aim participants toward thinking beyond high school equivalency and toward career readiness and employment
  - Administer career interest and aptitude assessments
  - Introduce participants to career pathways
- **Participant Interview**
  - Discuss learning styles inventory results
  - Discuss academic assessment results
  - Discuss and document identified barriers and special learning needs
  - Identify support services and assist in resolving barriers/needs
  - Establish timelines for future discussion of barriers
  - Discuss career interests and aptitudes and job market availability
  - Discuss personal, work-related, and further education goals
  - Identify career pathways steps
  - Provide information on local job providers/one-stop centers
  - Provide information on post-secondary training (CTE, apprenticeship, college, etc.)
  - Discuss referral; concurrent or co-enrollment
  - Record goals on an individual education/employment plan

## FERPA Facts

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

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

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

**Educational Records include Directory Information and Personally Identifiable Information.**

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

**Directory Information** is:

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

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

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

**Personally Identifiable Information** includes:

- Social Security Number
- 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.**

Additional FERPA information is available online at [Family Policy Compliance Office](#).

## Personal Confidentiality Statement (Example)

IOWA ADULT EDUCATION & 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 \_\_\_\_\_, which has entered into an Agreement for the Release of Confidential Information with the Chancellor. I understand that in the course of my employment I may have access to confidential information from participants that will be used by the Iowa Department of Education to perform data match as required by the Adult Education and Family Act, Title II of the Workforce Innovation and Opportunity Act (WIOA) of 2014. 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 ***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, 2019 – December 31, 2020).
- I will immediately notify the Iowa Department of Education of any suspected or actual violation of confidentiality.
- I will inform the Iowa Department of Education when I no longer need restricted access to data match information provided by participants.
- I have read the above-cited agreement and will comply with the terms, including but not limited to, the following: protecting the confidentiality of my personal access codes (e.g., username, password, etc.); securing computer equipment, memory devices and offices where confidential data may be kept; verifying that individuals requesting access to the data are authorized to receive them; and following procedures for the timely destruction of the data.
- I understand if I violate any confidentiality provisions, my access privileges may immediately be suspended or terminated.

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

**Signature:**\_\_\_\_\_

**Date:**\_\_\_\_\_

**Printed Name/Title:**\_\_\_\_\_

**Provider 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.

## 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.

### *Purpose of Use*

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



# Request for State Technical Assistance/Training

## PROGRAM INFORMATION

Program:  
Site:  
Coordinator:  
Point of Contact:  
Date:

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

- |   |  |
|---|--|
| <input type="checkbox"/> TE/DATA MANAGEMENT | <input type="checkbox"/> IET/IELCE         |
| <input type="checkbox"/> HISET™             | <input type="checkbox"/> FISCAL MANAGEMENT |
| <input type="checkbox"/> AEFLA/AEL          | <input type="checkbox"/> OTHER_____        |
| <input type="checkbox"/> WIOA               | _____                                      |

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

- |   |                                     |
|---|-------------------------------------|
| <input type="checkbox"/> CASAS TE ® REFRESHER | <input type="checkbox"/> IET/IELCE  |
| <input type="checkbox"/> ABE/HISET™           | <input type="checkbox"/> OTHER_____ |
| <input type="checkbox"/> ESL/CIVICS EDUCATION | _____                               |
| <input type="checkbox"/> COLLEGE TRANSITION   |                                     |

### PREFERRED DELIVERY:

- WEBINAR  
 FACE TO FACE  
 OTHER\_\_\_\_\_

### PREFERRED TIMELINE BY:

- SPRING  
 FALL  
 AEL CONFERENCE  
 COORDINATOR CALL  
 MONITORING VISIT

## Classroom Observation Tool Description

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.

**Observing is designed to be formative, non-threatening, and forward-looking—a system in which the observer is clearly invested in instructors’ 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:

1. 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, although 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.
2. 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.
3. Assume the role of researcher—collecting data on teaching practices—not evaluator.
4. Come to the lessons fresh—just as students do—without the benefit of any advance meeting or detailed information about what to expect.
5. 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.
6. Pay attention to instructor-student interactions, including the type of student engagement and how the instructor encourages engagement.
7. Pay attention to what the instructor says and does, as well as what he or she asks students to do.

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.

## Classroom Observation Tool

<b>Effective Teaching and Learning Practices</b>		
E = Evident      NFE = Not Fully Evident		
<b>1. Curriculum content of the lesson is aligned to the demands of the standards<sup>1</sup>. (Standards 2 and 5)</b>	<b>E/NFE</b>	<b>Evidence</b>
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.		
<b>2. Cognitive level of learning activities are aligned to the demands of the standards. (Standards 2 and 5)</b>	<b>E/NFE</b>	<b>Evidence</b>
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.		
<b>3. Standards are translated into lesson content relevant to adult students. (Standards 2, 5 and 6)</b>	<b>E/NFE</b>	<b>Evidence</b>
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.		
<b>4. Standards are addressed by a coherent progression of learning. (Standard 5)</b>	<b>E/NFE</b>	<b>Evidence</b>
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"> <li>□ Re-viewing lesson objectives;</li> <li>□ Summarizing student learning; and</li> <li>□ Previewing how the next lesson builds on that learning.</li> </ul>		
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.		

# Special Needs Form

## Special Needs Form

Program: _____ AEL staff: _____ Class: _____	<h3 style="margin: 0;">SPECIAL NEEDS FORM</h3>	Date Completed: _____ Social Security #: _____ HiSET® ID #: _____	
Name Last: _____ First: _____ ML: _____		Maiden or other former name: _____ Student ID: _____	
<b>SCREENING</b>			
<b>Screening:</b>	<b>Offered</b>	<b>Conducted<sup>1</sup></b>	<b>Refused<sup>2</sup></b>
Learning disability	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Hearing	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Vision	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Learning disability instrument given:</b> <input type="checkbox"/> ALDS <input type="checkbox"/> Cooper <input type="checkbox"/> Destination Literacy <input type="checkbox"/> Payne Inventory <input type="checkbox"/> PowerPath <input type="checkbox"/> STALD <input type="checkbox"/> Washington 13			
<b>Screening results indicate probability of LD:</b> <input type="checkbox"/> Yes <input type="checkbox"/> No			
<sup>1</sup> Student signed Screening Consent Form: <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <sup>2</sup> Student signed Waiver* of Consent Form: <input type="checkbox"/> Yes <input type="checkbox"/> No *only necessary if screening services are refused			
<b>INFORMATION RELEASED TO OTHER AGENCIES</b>			
<b>Student signed Release of Information Form:</b> <input type="checkbox"/> Yes <input type="checkbox"/> No (only necessary if information is released to others)			
<b>REFERRAL AND DIAGNOSIS</b>			
<b>Information about assessment of:</b>	<b>Offered</b>	<b>Given</b>	<b>Refused<sup>3</sup></b>
Learning disability	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Hearing	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Vision	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Results of referral/diagnostic evaluation:</b> <input type="checkbox"/> No evidence of learning disability, hearing, or vision problem <input type="checkbox"/> Specific learning disability <input type="checkbox"/> Reading <input type="checkbox"/> Receptive/expressive language <input type="checkbox"/> Math <input type="checkbox"/> Phonological <input type="checkbox"/> Written expressive <input type="checkbox"/> Not otherwise specified <input type="checkbox"/> Hearing problem <input type="checkbox"/> recommended <input type="checkbox"/> received Hearing aids <input type="checkbox"/> Vision problem <input type="checkbox"/> recommended <input type="checkbox"/> received Glasses or contacts <input type="checkbox"/> recommended <input type="checkbox"/> received			
<sup>3</sup> Student signed Waiver* of Referral Information: <input type="checkbox"/> Yes <input type="checkbox"/> No *only necessary if referral services are refused			
<b>EDUCATIONAL ACCOMMODATIONS</b>			
(FOR DIAGNOSED STUDENTS ONLY)			
<b>Accommodations recommended:</b> <input type="checkbox"/> Colored overlays <input type="checkbox"/> Audiocassette* <input type="checkbox"/> Ear plugs <input type="checkbox"/> Braille* <input type="checkbox"/> Graph paper for math <input type="checkbox"/> Extended time* <input type="checkbox"/> Large print <input type="checkbox"/> Private room* <input type="checkbox"/> Magnifying strip <input type="checkbox"/> Scribe* <input type="checkbox"/> Seating near natural light <input type="checkbox"/> Supervised frequent breaks* <input type="checkbox"/> Straight edge <input type="checkbox"/> Talking calculator* <input type="checkbox"/> Other: _____			
* Prior approval needed for HiSET® <b>HiSET® accommodations form completed?</b> <input type="checkbox"/> Yes <input type="checkbox"/> No			
<b>COMMENTS/ADDITIONAL INFORMATION</b>			
(include any diagnosis, not listed above, for which an accommodation was provided)			

## 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 participant/parent or guardian.

Signature of Participant/Parent or Guardian\*

Date

Signature of Program Representative

Date

\*Participants under the age of 18 must have this consent form signed by parent or guardian.

## Referral Form to AEL Services (Example)

### Referral Form to AEL Services (Example)

Participant 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 participant's plan (if applicable): \_\_\_\_\_

Date to Begin: \_\_\_\_\_

- Please provide a monthly progress/attendance report for this client.

Comments: \_\_\_\_\_

**Complete this box ONLY if information is to be shared between agencies!**

I \_\_\_\_\_ (participant 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 Participant (and parent if under 18 years of age)

\_\_\_\_\_  
Signature of AEL agent

\_\_\_\_\_  
Signature of Referring Agency agent

\_\_\_\_\_  
Date