

Integrated English Literacy and Civics Education (IELCE)

Workforce Innovation and Opportunity
Act (WIOA) Section 243 Funds

Competitive Grant Application Package



**COMMUNITY COLLEGES &
WORKFORCE PREPARATION**

PROSPERITY THROUGH EDUCATION

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PURPOSE [FEDERAL REQUIREMENT]

The Iowa Department of Education (IDOE), Division of Community Colleges and Workforce Preparation is committed to providing outstanding adult education services that help ALL Iowans acquire the knowledge, skills, and abilities required for employment, careers, and post-secondary education. In accordance with the *Adult Education and Family Literacy Act (AEFLA)*, Title II of the *Workforce Innovation and Opportunity Act of 2014 (WIOA)*, the Integrated English Literacy and Civics Education (IELCE) program funded through Section 243 supports education services to eligible individuals who are adult English language learners (ELL), including professionals with degrees and credentials in their native countries. These services will enable such adults to achieve competency in the English language through standards-based instruction and acquire the basic and more advanced skills needed to function effectively as parents, citizens, and workers in the United States.

INTEGRATED ENGLISH LITERACY AND CIVICS EDUCATION (IELCE) [FEDERAL AND STATE REQUIREMENTS]

WIOA Title II [§203(12)] authorizes the funding of programs providing adult education and literacy activities to English language learners, including professionals with degrees and credentials in their native countries, that enables such adults to achieve competency in the English language and to acquire both the basic and more advanced skills necessary to function effectively as parents, workers, and citizens of the United States. The specific purpose of this grant application is to fund programs that can **demonstrate effectiveness** in:

- academic instruction in literacy and English language acquisition—reading, writing, speaking, and comprehending;
- instruction on the rights and responsibilities of U.S. citizenship and civic participation; and
- workforce training.

For a program to receive funding for IELCE under WIOA [§243] it must:

1. Prepare adults who are English Language Learners (ELLs) for unsubsidized employment in in-demand occupations or career pathways, which lead to economic self-sufficiency;
2. Assist English Language Learners in achieving competency in English reading, writing, speaking, and comprehension;
3. Lead to a secondary school diploma (HSD – high school diploma) or its equivalent (HSE – high school equivalency);
4. Lead to ELLs entering postsecondary education or training; and
5. Offer adult education instruction in combination with integrated education and training (IET).

Adult Education and Literacy Activities WIOA Title II [§201.203] defines adult education and literacy activities as:

- a) Programs, activities, and services that include adult education, literacy activities, family literacy activities, English language acquisition activities, integrated English literacy and civics education, workforce preparation activities, or integrated education and training.

Integrate Education and Training (IET) WIOA [§134(C)(3)(D)] defines integrated education and training as:

- a) A service approach which provides adult education and literacy activities simultaneously and contextually with workforce preparation activities and workforce training for a specific occupational cluster.

Based on these expectations and federal definitions the IDOE will provide funding under Section 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 Section 243:

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

ELIGIBLE APPLICANTS [FEDERAL REQUIREMENT]

Each applicant must be considered an eligible provider under 34 CFR Part 463.23 of the Workforce Innovation and Opportunity Act to receive funding. An “eligible provider” means an organization that has demonstrated effectiveness in providing adult education and literacy activities and may include

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

INQUIRIES

Applicants may write or email inquiries concerning this grant to obtain clarification of requirements. No written inquiries will be accepted after the date and time indicated in the Application Schedule of Activities. Email inquiries must be sent to the contacts listed below with the subject line “**RFP #198665**”. The mailing address is: Iowa Department of Education, Grimes Office Building, 400 East 14th Street, Des Moines, IA 50319.

A summary of all applicant written inquiries and IDOE responses will be posted to the IDOE’s Adult Education and Literacy webpage. Applicants may not rely on any other statements, either of a written or oral nature, that alter any specifications or other term or condition of this request. Applicants will be notified in the same manner as indicated above regarding any modifications to this grant.

Contact Information

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GRANT REQUIREMENTS [FEDERAL AND STATE REQUIREMENTS]

Federal statute authorizes the IDOE, as the state fiscal agent, to ensure grantee compliance with all WIOA, Title II: AEFLA fiscal and legal requirements.

1. Supplement Not Supplant [FEDERAL REQUIREMENT]

Funds for this program must be used to supplement (increase the level of services) and not supplant (replace) funds from non-federal sources:

- Any program activity required by state law, State Administrative rules, or local board policy may not be paid with WIOA, Title II: AEFLA funds.
- State or local funds may not be decreased or diverted for other uses merely because of the availability of WIOA, Title II: AEFLA funds.
- Grantees must maintain documentation that clearly demonstrates the supplementary nature of WIOA, Title II: AEFLA funds.

2. Maintenance of Effort [FEDERAL REQUIREMENT; STATE-IMPOSED]

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 IDOE the non-federal contribution used to meet the MOE requirement. The non-federal contribution can be cash or in-kind, fairly valued, and must include only non-federal funds used for adult education and literacy activities consistent with the WIOA, Title II: AEFLA.

3. Required Match [FEDERAL REQUIREMENT; STATE-IMPOSED]

All grantees must provide at least a 25 percent match of their grant award in non-federal funds. The non-federal match may be in the form of state funds allotted for programs within the WIOA, Title II: AEFLA, cash, and/or in-kind contributions. Whether or not the in-kind contributions are for costs allowable under the WIOA, Title II: AEFLA and have been fairly valued are for the IDOE and ultimately the auditors to determine. Amounts reported for acceptable matching include the following:

- Must be properly documented and verifiable from recipient records (recorded in the general ledger);
- Must be necessary and reasonable to accomplish program objectives;
- Must be allowable under the applicable cost principles;
- Must not be included as contribution for other federally assisted programs; and
- Must have the value supported by appropriate documentation of fair market value.

4. Program Fees [FEDERAL AND STATE REQUIREMENTS]

Local programs that charge tuition or other fees for participation in AEFLA-funded services will submit an agency policy governing the collection, accounting, and use of tuition and other fees. 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. Such fees, if not refunded

through the course of the program year, are regarded as program income (2 CFR Sec. 200.307). The policy will include the following:

- Details on how the fee is reasonable and necessary – fee structure that identifies the client (e.g., enrolled participant, employer/business), type(s) of fee, fee rate and fee schedule;
- Details on how the fee is equitably administered and not reaching levels that have an adverse effect on the participation of economically disadvantaged participants;
- Description of how the program will account for this income separately from other non-AEFLA related income;
- A budget indicating the income collected and expenditures for costs allowable under AEFLA at the end of the program year with no carryover funds.

5. Responsiveness to Technical Assistance and Monitoring [FEDERAL AND STATE REQUIREMENTS]

It is the legal and fiduciary responsibility of the IDOE to provide technical assistance and compliance monitoring of the WIOA, Title II: AEFLA grant. Grantees are expected to be responsive to IDOE's technical assistance efforts, which may include meetings, workshops, and trainings. As recommendations arise from technical assistance, grantees are expected to implement and follow through on them in a timely manner.

As indicated, the IDOE conducts compliance monitoring of all implementation activities. The compliance monitoring includes but is not limited to, fiscal budgets and expenditures, programmatic outcomes, partnerships, data security and integrity, and operational effectiveness. Monitoring takes place online (desktop) and onsite.

6. Corrective Action and Sanctions [FEDERAL REQUIREMENTS]

When findings arise, the IDOE will implement a series of corrective actions. This may include further technical assistance or training to help agencies achieve the stated objectives. If the actions do not result in grantee compliance, the IDOE 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 grantee complies with the requirement
- Disallowing costs
- Adding new terms and conditions to the grant agreement (for example, for a high-risk grantee)
- 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
- Pursuing recovery of funds

7. Data Privacy Requirement [FEDERAL REQUIREMENT]

All grantees must comply with the [Family Educational Rights and Privacy Act \(FERPA\)](#) (20 U.S.C. 1232g), a federal privacy law administered by the U.S. Department of Education. FERPA and its implementing regulations (34 Code of Federal Regulations [CFR] part 99) protect the privacy of enrolled participants' education records and afford parents and eligible individuals certain rights to inspect and review education records, to seek to amend these records, and to consent to the disclosure of personal identifiable information (PII) from education records. The general rule under FERPA is that

PII from education records cannot be disclosed without written consent. Individuals applying for or receiving services must be informed, in writing, that their personal and confidential information:

- will be shared only among the WIOA core program partner staff and subcontractors;
- will be used only for the purpose of conducting an employment data match and that further disclosure of personal confidential information or records is prohibited; and
- will not be shared among WIOA core partners if the individual declines to share personal confidential information or records and that declining to share will not impact eligibility for services.

8. Memorandum of Understanding with the Local Workforce Development Board [FEDERAL REQUIREMENT]

To assure that the applicant will comply with the new requirements governing (1) the Memorandum of Understanding with the LWDB and (2) the local one-stop infrastructure costs of the WIOA and its implementing regulations, the signed assurances and certifications include the following statements:

“The duly authorized agent of the grantee agrees to satisfy the requirements of 34 CFR 361.505 and 34 CFR 361.720. Specifically, the grantee agrees that if funded, the organization will enter into either an umbrella Memorandum of Understanding or separate Memorandum of Understanding relating to the operation of the one-stop delivery system in the area served by the Local Workforce Development Board.”

EVALUATION CRITERIA [FEDERAL AND STATE REQUIREMENTS]

IDOE will select awardees based on several factors, which may include the following:

- selection Committee’s scoring and recommendations (scoring rubrics will be published on the AEL program website: https://www.educateiowa.gov/adult-career-and-community-college/adult-education-and-literacy/laws-policies-and-state-plan#Grant_Opportunity);
- alignment of proposed applicant activities with needs for services in the intended service area;
- evaluation of cost of service relative to need and cost efficiency;
- evaluation of historic program data provided by the applicant; and
- evaluation of financial internal controls provided by applicant.

In addition, IDOE may contact employees, board members, partners or business associates of applicant organizations to clarify or verify information and responses provided by applicants.

Each application will be evaluated solely on the criteria identified in this document. Receipt of a grant award in a previous competition is not, and should not be regarded as, a guarantee of funding in the current competition. Applicants not funded in previous competitions are not precluded and may apply for funding in the current competition. Once all of the applications have been evaluated, the review panel will submit to IDOE its recommendations. Final funding decisions will be made by IDOE and is considered final.

All lead applicants of this grant will be notified in writing whether their application(s) will be approved for funding. Applicants that do not meet the qualifications may reapply for future grant opportunities. IDOE is required by federal law to provide an opportunity for a hearing for applicants that are not approved for funding. The applicant must request the hearing within 30 days of notification of not being awarded. The hearing will be a conference call with a panel of reviewers. No later than 10 days after the hearing, IDOE will issue its written ruling, including findings of fact and reasons for the ruling.

AWARD AMOUNTS [FEDERAL AND STATE REQUIREMENTS]

Multiple grants will be awarded. Award amounts will depend upon available funding and demonstrated need. The individual grant amounts will be determined on a cost per participant equitably. These funds will be competitively awarded. Award amounts will be based on proposed enrollment for the first two years, after which time the funds will be reviewed for actual enrollment and performance outcomes. Funds available for Iowa under Section 243 is approximately \$200,000 to \$250,000. The recipient of funds will cost reimburse IDOE according to negotiated and agreed upon terms.

Table: Range of IELCE Award Funding

Projected Annual IELCE NRS Enrollment	Qualifying Award (Estimate)
10-25	\$15,000
26-40	\$30,000
41 or more	\$40,000

The IDOE reserves the right to fund any application in full or in part, to request additional information to assist in the review process, to require new applications from interested parties, to reject any or all applications responding to this announcement, or to re-issue the announcement if it is determined that it is in the best interests of the State of Iowa. Issuing this announcement does not bind the State to making an award. The IDOE reserves the right to adjust the dates for this announcement for whatever reasons are deemed appropriate.

GRANT PERIOD [FEDERAL AND STATE REQUIREMENTS]

IDOE will award multi-year grants on a competitive basis beginning with an initial one year grant PY 2018 (July 1, 2017 through June 30, 2018). Following the first one year grant, IDOE retains the right to fund the grant recipient for up to two (2) consecutive program years 2018-2019, and 2019-2020. The exercise of grant renewals after the first year of funding will be made on a program by program basis. Renewals will be contingent on the grant recipient's ability to successfully implement the terms of the grant, to meet performance expectations, and to provide value to the community.

After this multi-year award cycle recipients may have the option of applying for a grant extension. This grant extension can be renewed in subsequent years until the IDOE determines that a new multi-year competition for the grant needs to occur.

GUIDING PRINCIPLES [STATE REQUIREMENT]

Adult education programs are and will be evaluated annually based on the following established principles of program quality. Benchmarks for each principle serve as guides for continuous program improvement and progress.

1. Learner Progress – Program provides an interactive intake procedure with information presented using adult education principles and is accessible to ALL learners. Informal and formal assessment and collaborative goal development are used to gauge learner progress, guide instruction, advising and other services that support a “successful” transition and demonstrate gains in abilities.

2. Curriculum, Instruction and Professional Development – Curriculum development and instruction meets learners’ needs and learning styles, is embedded in real-life contexts while anchored in standards (CCRS and Employability). The program provides opportunities for all instructors to participate in on-going professional development with support in integrating new evidence-based strategies into instruction through practice, feedback, reflection, and observation to improve instructional practice.
3. Program Design and Leadership – Program serves the adult education needs of the community. Program leader provides vision, direction, resources, evaluation and support for all program operations and staff that is effective and equitable in the provision of adult teaching and learning.
4. Accountability – Program implements processes for fiscal and data management that ensures accuracy in reports, validity, reliability, privacy and security. Sufficient resources and training is allocated to implement the processes for financial and data management with clearly defined procedures and the ability to monitor program efficiency and effectiveness.
5. Community Interaction and Outreach – Program establishes a visible and valued presence in the community through outreach and local partnerships. Program recruits and coordinates with partners and local resources to ensure the continuation of services to adult learners in the community.
6. One-Stop System Integration – Program addresses design principles that support the alignment of core and required WIOA partners to ensure seamless integrated services that are accessible to all jobseekers, workers and businesses through unified strategic planning and shared governance.

APPLICATION COMPONENTS [FEDERAL AND STATE REQUIREMENTS]

This is an open competition for all eligible providers of Adult Education and Literacy services as defined by the Workforce Innovation and Opportunity Act (WIOA) Sec. 202. Eligible applicants must submit by the established deadline a complete application in order to be considered for funding. The following application criteria are included in this document:

- Contact Information
- Assurance and Certifications
- Minority Impact Statement
- Narrative of Services (Sec.243)
 - Learner Progress
 - Program Design and Leadership
 - Curriculum, Instruction and Professional Development
 - Accountability
 - Community Interaction and Outreach
 - One-Stop Integration
- IELCE Budget Summary
- Local Workforce Development Board (LWDB) Alignment Review

PERFORMANCE DELIVERABLES [FEDERAL AND STATE REQUIREMENTS]

The applicant understands that if accepted by the IDOE the applicant shall enter into a contract with the State. The applicant agrees to comply with all applicable federal, state, and local laws in the conduct of the work hereunder. The following deliverables are specific to providing an Integrated English Language and Civics Education (IELCE) program and will include but is not limited to the following:

1. Promotion of regional based IELCE services that result in industry recognized credential, on-the job training, apprenticeship or other approved training elements;
2. Education to Workforce Regions and all key stakeholders (local and statewide as applicable) on available services and certifications available via IELCE;
3. Work with regional core partners on identifying key stakeholders as it pertains to the IELCE program;
4. The provision of student support services such as:
 - a) Transportation;
 - b) Childcare;
 - c) Education and career coaching and mentoring
 - d) Utilizing participants to serve in an advisory capacity to:
 - i) Develop an alumni program
 - ii) Give feedback on the program
 - iii) Give testimonials for the program
 - iv) Speak to potential enrolled participants/employers
 - e) The provision of employer support to identify and cultivate relationships with industry partners who are:
 - i) Willing to provide input into the development of training program content, identifying relevant competencies and credentials that are important for the regional sector.
 - ii) Willing to commit to interview and hire participants who complete the IET services.
5. Participation of ALL eligible individuals with specific consideration toward those of low literacy and multiple barriers to employment;
6. Partnering with Core Partners and the appropriate leveraging of other educational providers to share referral process or educational services as outlined by a Memorandum of Understanding to provide core and universal elements of IELCE, as appropriate;
7. Electronic and three (3) paper copies of the complete IELCE curriculum will be shared with IDOE. Electronic copies must be in Microsoft Word, Excel, Publisher, etc. and not PDF files, so they can be adapted as necessary to meet future local needs. This can include the development of new IELCE curriculum or the adaptation of existing IELCE curriculum to meet local needs.
8. Quarterly reports on outcomes and progress on industry and stakeholder partnerships;
9. Targeted Benchmarks:
 - 80% post-test rate of IELCE funded participants;
 - 70% of IELCE funded participants achieving a Measurable Skill Gain with each period of participation;
 - 80% of IELCE funded participants, who complete the IET services will receive an interview with an identified employer/industry partner; and

- 60% placement rate for IELCE funded participants who complete the IET services, will be placed in employment or continue with post-secondary training after exiting Title II activities.

SUBMISSION GUIDELINES [FEDERAL AND STATE REQUIREMENTS]

The **Instructions** for each of the above components on Iowagrants.gov describes how to fill out the form. Following the **Instructions** within each section are criteria that describe the intent and content to be included in the narrative. These criteria will also be used by the reviewers to assess and score each narrative component. Applications must at least score 70 percent of the points available. These questions incorporate the seven requirements and thirteen considerations federally mandated by WIOA (see Appendix A).

LEARNER PROGRESS (Assigned/50 Points)

Programs will describe their intake procedures for serving all eligible individuals with special attention to those with multiple barriers to employment using adult education principles and in an accessible manner for ALL learners. Informal and formal assessment and collaborative goal development will be described as learners' progress and programs guide instruction, advising and other services that support a "successful" transition while demonstrating gains in abilities.

PARTICIPANT EXPERIENCE

- ***Describe how your program will monitor learner progress and provide services in a manner that meets the needs of eligible individuals. Elements might include intake, orientation, assessment, counseling, goal setting, and retention efforts.***
- ***Describe how your program will monitor learner progress through the concurrent activities and provide services in a manner that meets the needs of IELCE eligible individuals.***
- ***Describe how your program will provide instruction based on the results of the learners' diagnostic and formative assessment and measure the success of instructional practices for an individual learner.***
- ***Describe the approved assessments that the program will use for pre- and post-testing in order to document scores showing educational functioning level gains.***
- ***Describe how the three required components of integrated education and training will occur simultaneously for the individual learner with academic instruction in literacy and English language acquisition and instruction on the rights and responsibilities of U.S. citizenship and civic participation.***
- ***Describe how the program's activities provide learning in context, including Integrated Education and Training (IET) for the individual learner, so that an IELCE eligible participant 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.***

ACCESSIBILITY TO SERVICES

- Describe (as applicable) your current and future innovative approaches for serving eligible individuals with barriers to employment such as, low literacy, homeless, single parents, individuals with disability, displaced homemaker, incarcerated, and/or previously incarcerated.
- Describe how the IELCE program will be made available to ALL eligible ELA participants in the region served (inclusive of the lowest levels as well as those with professional foreign degrees).
- Describe how occupationally relevant materials will be made accessible to IELCE eligible participants.

PROGRAM DESIGN AND LEADERSHIP (Assigned/100 Points)

Programs will detail which services and how those services are administered to meet the needs of the adult education population including those with barriers to employment in the community. Program leader provides vision, direction, resources, evaluation and support for all program operations and staff that is effective and equitable in the provision of adult teaching and learning.

PROGRAM INTENSITY AND QUALITY

- Describe experience with managed enrollment and 3 recent examples with classes or programs structured for managed enrollment. Include the number of participants enrolled, expectations for and attendance (for example, number of hours, weeks, semester).
- Describe how the program design is of sufficient intensity and quality, and based on the most rigorous research available so that participants achieve substantial learning gains.

INTEGRATED ENGLISH LITERACY AND CIVICS EDUCATION PROGRAM – REQUIRED

- Eligible providers are required to offer all of these activities, per the Iowa WIOA Unified State Plan. Please complete the following elements for each required activity.

<i>IELCE Activity Title</i>	<i>AEL and EL/Civics instruction</i>	<i>Workplace Education Activity</i>	<i>IET Activity</i>	<i>Timetable of concurrent services</i>	<i>Single set of objectives, curricula and lesson plans</i>

ENROLLMENT

- Set a PY17 enrollment target for IELCE participants that will be served with Sec. 243 funds.

CONTINUOUS IMPROVEMENT PLANNING

- Describe your program’s policy on evaluating the effectiveness of your program.
- Include three goals, with SMART objectives and method(s) of evaluation that the program will work toward for continuous improvement in 2017-2018, 2018-2019, and 2019-2020. Be certain to address how English language learners will be prepared for, and placed in, unsubsidized employment for in-demand industries and occupations through partnerships that lead to economic self-sufficiency.

CURRICULUM, INSTRUCTION AND PROFESSIONAL DEVELOPMENT

(Assigned/150 Points)

Programs will describe their process for development and/or approval of curriculum and evidence of how instruction meets learners' needs and learning styles, while embedded in real-life contexts anchored in Iowa's Adult Education and Literacy standards ([College and Career Readiness Standards](#), [21st Century Skills](#) and [English Language Proficiency Standards](#)). The program will detail their practice for ensuring high quality instructors are engaged in on-going professional development with support in integrating new evidence-based strategies into instruction through practice, feedback, reflection, and observation to improve instructional practice.

PROGRAM INTENSITY AND DURATION

- *Describe how your programs uses instructional practices that include essential components of reading instruction to serve the IELCE participants.*
- *Describe how English language instruction, including reading, writing, and comprehension skills in English, mathematics, and civics education are based on the best practices derived from the most rigorous research available and are aligned with the English Language Proficiency Standards for Adult Education. In this response, specifically outline how the program will implement standards-based instruction over the next three years, having full implementation in each class by January 2019.*
- *Describe how your program will ensure that lesson plans are developed, aligned and administered with the instructional standards, while accounting for the diverse needs of enrolled IELCE participants.*
- *Describe how the program effectively uses technology, services and delivery systems, including distance education, in a manner sufficient to increase the effect and quality of learning, and how such technology, services, and systems lead to improved performance.*
- *Describe how your program will incorporate instruction and activities, such as workforce preparation and digital literacy, to enhance the development of skills needed to enter the workforce and transition to postsecondary education.*

PROGRAM'S SITE AND SCHEDULE OF SERVICES

○ <i>Site Location (i.e., Lincoln Elementary School, 123 Main Street, City, County)</i>
○ <i>Local Workforce Development Region serving IELCE participants</i>
○ <i>Days of Operation (i.e., M, T, F or M-F every other Saturday)</i>
○ <i># Hours a Week the Location is Open to Eligible Individuals</i>

QUALITY OF STAFF AND PROFESSIONAL DEVELOPMENT

- *Describe the qualifications of the IELCE adult education staff, including instructors, counselors, and administrators, to ensure that they meet minimum qualifications established by the state, and who have access to high-quality professional development, including through electronic means. Include a three-year professional development plan for the IELCE staff.*
- *Describe how your program will provide and disseminate high quality professional development to its professional and volunteer staff (if applicable) that is based on the most rigorous and*

scientifically valid research available.

- *Describe your program's plans to implement the state's professional development management system, My Learning Plan. Include the tracking of professional development hours, classroom observation, individual professional development plans, registering for state and local events, as well as your program's plans to link individual and professional goals to professional development.*
- *Describe how your program will ensure that professional development is being implemented in the classroom. Include frequency of classroom observations, peer mentoring and/or critical friends groups.*
- *Program's proposed staffing - this table will capture information from the local program on proposed staffing. The information collected is to reflect the scale of delivering the services and support the intensity and quality of program instruction. Information shared here will be projections for the start of July 1, 2017 and supported by the budget and enrollment projections.*

PROGRAMS' PROPOSED STAFFING - IELCE

<i>Position Title (i.e. Coordinator, Lead Instructor, HSED Math Instructor)</i>	<i>Total Number Employed</i>	<i>Full-time (40-36 hours)</i>	<i>Part-time (35 hours or less)</i>	<i>Resume for Full-time employee</i>

ACCOUNTABILITY (Assigned/100 Points)

The program will detail processes for fiscal and data management that ensures accuracy in reports, validity, reliability, privacy and security. Programs will ensure that sufficient resources and training is allocated to implement the processes for financial and data management with clearly defined procedures and the ability to monitor program efficiency and effectiveness. Programs will set targets for enrollment and detail strategies for achievement of post-test rates and measurable skill gains along with co-enrollment.

PROGRAM COMPETENCY

- *Describe your program's capacity to manage a federal grant and any unique aspects of your program which would facilitate the delivery of an effective IELCE program.*

- *Complete either Table, Option 1 or Option 2 to demonstrate past service and effectiveness in serving IELCE eligible individuals.*

Past Performance Data Table – Option 1						
Performance Outcomes	Number Enrolled		Number Completing Level		Percentage Completing Level	
	2014–15	2015–16	2014–15	2015–16	2014–15	2015–16
<i>Educational Functioning Level (or Grade Level Equivalent)</i>						
<i>ESL 1 (0–1)</i>						
<i>ESL 2 (2)</i>						
<i>ESL 3 (3)</i>						
<i>ESL 4 (4)</i>						
<i>ESL 5 (5)</i>						
<i>ESL 6 (6–8)</i>						
<i>TOTAL (ESL)</i>						
High School Outcomes	Number Enrolled		Number Earning Certificate		Percentage Earning Certificate	
	2014–15	2015–16	2014–15	2015–16	2014–15	2015–16
<i>High School Equivalency Diploma</i>						

Past Performance Data Table – Option 2						
Performance Outcome for the Target Population	Provide three years of outcomes			Population Served and Data Source for Each Outcome Measure		
	2014	2015	2016			
Improved Reading Skills						
Improved Writing Skills						
English Language Acquisition						
Secondary Diploma Attainment						

- *Describe your program’s past effectiveness in improving the literacy of eligible IELCE individuals especially with respect to eligible individuals who have low levels of literacy.*

- *The state has set the expectation for each IELCE program to meet state-adjusted performance benchmarks. Describe how the program meet or exceed that expectation.*

STATE EXPECTATIONS FOR IELCE BENCHMARKS – SECTION 243 FUNDS	
ALL IELCE Enrolled Participants	
Post-test rate	80%
Measurable Skill Gain rate	70%
ALL IELCE Enrolled Participants that Complete IET Activities	
Interview with an identified employer/industry partner	80%
Placement rate for unsubsidized employment or post-secondary training	60%

- *Describe your program’s previous experiences, past successes, and unique qualifications to serve the eligible adults with references to the specific population being proposed for services.*

MANAGEMENT INFORMATION SYSTEMS AND MEASURABLE OUTCOMES

- *Describe your program’s management information system, including data collection, data entry, data management, and data privacy.*
- *Describe how your program’s professional staff are assigned with clear responsibilities for data collection, data entry, attestation, and correcting errors and resolving issues.*
- *Describe how your program will use data to improve performance as well as to increase recruitment and retention efforts.*

COMMUNITY INTERACTION AND OUTREACH

(Assigned/50 Points)

Programs establish a visible and valued presence in the community through outreach and local partnerships. Program recruits and coordinates with partners and local resources to ensure the continuation of services to adult learners in the community.

INDICATORS OF REGIONAL NEED

- *Describe the degree to which the organization will be responsive to the regional needs of English language learners as identified in the local workforce development board plan under section 108 of Title I of WIOA in order to serve eligible individuals. Provide a needs statement that describes the current adult English language learner population needing IELCE services in the identified area, including professionals with degrees and credentials in their native countries. The data and research that is included to support the assertion of need should be no more than five years old.*
- *Describe how your program will recruit and retain eligible participants. Name specific methods and tools. Also describe if there are additional local eligibility requirements that will be imposed on IELCE eligible participants.*

LINKAGES TO OTHER RESOURCES AND PARTNERS – IELCE

- *Name of Agency*
- *Type of Agency*
- *Type of Services Offered*
- *Formal Agreement*
- *New Partner*

PARTNERSHIPS AND SUPPORT SERVICES

- ***Describe your program's coordination with support services (for example, child care, transportation, mental health services, and career planning) to reduce barriers for adults, including individuals with disabilities or other special needs, to access educational services and to support their academic advancement and transition to postsecondary courses or career training.***
- ***Describe how your program will coordinate with local businesses and industry.***
- ***Describe new innovations that are being planned to strengthen collaborations in the region in the next three years.***
- ***Describe current and future intended strategies for providing career pathway activities.***

ONE-STOP INTEGRATION (Assigned/50 Points)

Programs address design principles that support the alignment of core and required WIOA partners to ensure seamless integrated services that are accessible to all jobseekers, workers and business through unified strategic planning and shared governance.

ALIGNMENT WITH LOCAL WORKFORCE PLAN

- ***Describe how your program will provide access through the one-stop delivery system to the IELCE program.***
- ***Describe how the planned activities for this three-year grant align with the local workforce development board plan, including how concurrent enrollment in programs and activities will be promoted to help students progress through identified career pathways.***
- ***Does your program have a current local memorandum of understanding with the local workforce development board relating to a service agreement for IELCE services under Section 243. If not, please describe your willingness and steps taken to comply with this requirement.***
- ***Describe how the IELCE program will be integrated with the local workforce development system. What new innovations are planned to strengthen collaborations in the region in the next three years for IELCE services.***

CONTACT INFORMATION

Eligible Provider _____
Proposed Service Area (County or Region) _____
Local Workforce Development Board Region _____
Contact _____
Email address _____ Phone _____

Eligible Provider (check one):

- a local education agency
 - a community-based literacy organization or faith-based organization
 - a volunteer literacy organization
 - an institution of higher education
 - a public or private nonprofit agency
 - a library
 - a public housing authority
 - a nonprofit institution that is not described previously and has the ability to provide literacy services to eligible individuals
 - a consortium or coalition of agencies, organizations, institutions, libraries, or authorities described previously
 - a partnership between an employer and an entity described above
-

Grant Application for Sec. 243 Funds:

____ Integrated Education and Training (IET)

_____ **Amount Requested**

Contact Information – Authorized Contact and Program Coordinator

Signature Page

It is the policy of the Iowa Department of Education not to discriminate on the basis of race, creed, color, sexual orientation, gender identity, national origin, sex, disability, religion, age, political party affiliation, or actual or potential parental, family or marital status in its programs, activities, or employment practices as required by the Iowa Code sections 216.9 and 256.10(2), Titles VI and VII of the Civil Rights Act of 1964 (42 U.S.C. § 2000d and 2000e), the Equal Pay Act of 1973 (29 U.S.C. § 206, et seq.), Title IX (Educational Amendments, 20 U.S.C. §§ 1681 – 1688), Section 504 (Rehabilitation Act of 1973, 29 U.S.C. § 794), and the Americans with Disabilities Act (42 U.S.C. § 12101, et seq.). If you have questions or complaints related to compliance with this policy by the Iowa Department of Education, please contact the legal counsel for the Iowa Department of Education, Grimes State Office Building, 400 E. 14th Street, Des Moines, IA 50319-0146, telephone number: 515-281-5295, or the Director of the Office for Civil Rights, U.S. Department of Education, Citigroup Center, 500 W. Madison Street, Suite 1475, Chicago, IL 60661-4544, telephone number: 312-730-1560, FAX number: 312-730-1576, TDD number: 877-521-2172, email: OCR.Chicago@ed.gov

ASSURANCES AND CERTIFICATIONS

The applicant understands that if its application is accepted by the IDOE the applicant shall enter into a contract with the State. The applicant agrees to comply with all applicable federal, state, and local laws in the conduct of the work hereunder. To receive funds through the Adult Education and Family Literacy Act (AEFLA), Title II of the Workforce Innovation and Opportunity Act (WIOA) of 2014, the authorized contact of the eligible provider must agree to the general State and Federal assurances associated with receiving federal funds on behalf of the local program to certify commitment to abide by the requirements throughout the period of this grant award. Additional assurance are throughout the grant award specific to such elements as data management and fiscal controls.

Examples of the assurances include but is not limited to:

- The applicant will comply with Title VI of the Civil Rights Act of 1964 (45 USC 2000d through 2000d-4) and its implementing regulations (34 CFR Part 100), and in accordance therewith, no person shall, on the grounds of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the applicant received federal financial assistance.
- The applicant will comply with Section 504 of the Rehabilitation Act of 1973, as amended, 29 USC 794, and its implementing regulations (34 CFR Part 104), which prohibits discrimination based on disability in programs and activities receiving federal financial assistance.
- The applicant will comply with Title II of the Americans with Disabilities Act, (42 USC 12134), et seq. and its implementing regulations (28 CFR Part 35), which prohibit discrimination on the basis of disability to public entities, or it will comply with Title III, (42 USC 12181) et seq., and its implementing regulations (28 CFR part 36), which prohibit discrimination on the basis of disability in public accommodations, whichever is applicable.
- The applicant will comply with Title IX of the Education Amendments of 1972, as amended, (20 USC 1681-1683), and its implementing regulations (34 CFR Part 106), which prohibit discrimination on the basis of sex in education programs and activities receiving federal financial assistance.
- The applicant will comply with the Discrimination Act of 1975, as amended, (42 USC 6101) et seq., and its Implementing regulations (45 CFR Part 90), which prohibit discrimination on the basis of age in programs or activities receiving federal financial assistance.
- The applicant will administer each program in accordance with all statutes, regulations, program plans, policies and applications applicable to that program.
- The applicant will adopt and use proper methods of administering each program, including:
 - the enforcement of any obligations imposed by law on agencies, institutions, organizations, and other recipients responsible for carrying out each program; and
 - the correction of deficiencies in program operations that are identified through audits, monitoring, or evaluation.
- The applicant will cooperate in carrying out any evaluation of each program conducted by or for the Iowa Department of Education, the United States Secretary of Education or other federal officials.
- The applicant has adopted appropriate procedures to implement the terms of the Family Educational Rights and Privacy Act of 1974, (20 USC 123g) and its regulations (34 CFR Part 99).
- To the extent authorized by law, the applicant shall indemnify, save, and hold harmless the State, its employees and agents, against any and all claims, damages, liability and court awards including costs, expenses and attorney fees incurred as a result of any act or omission by it, or its employees, agents, subcontractors or assignees in its operation of the programs.
- The applicant has the necessary legal authority to apply for and receive the proposed grant.

- The applicant's governing body, and the undersigned official, has been duly authorized to file this application from and on behalf of said applicant, and otherwise to act as the authorized representative of the applicant in connection with this application.

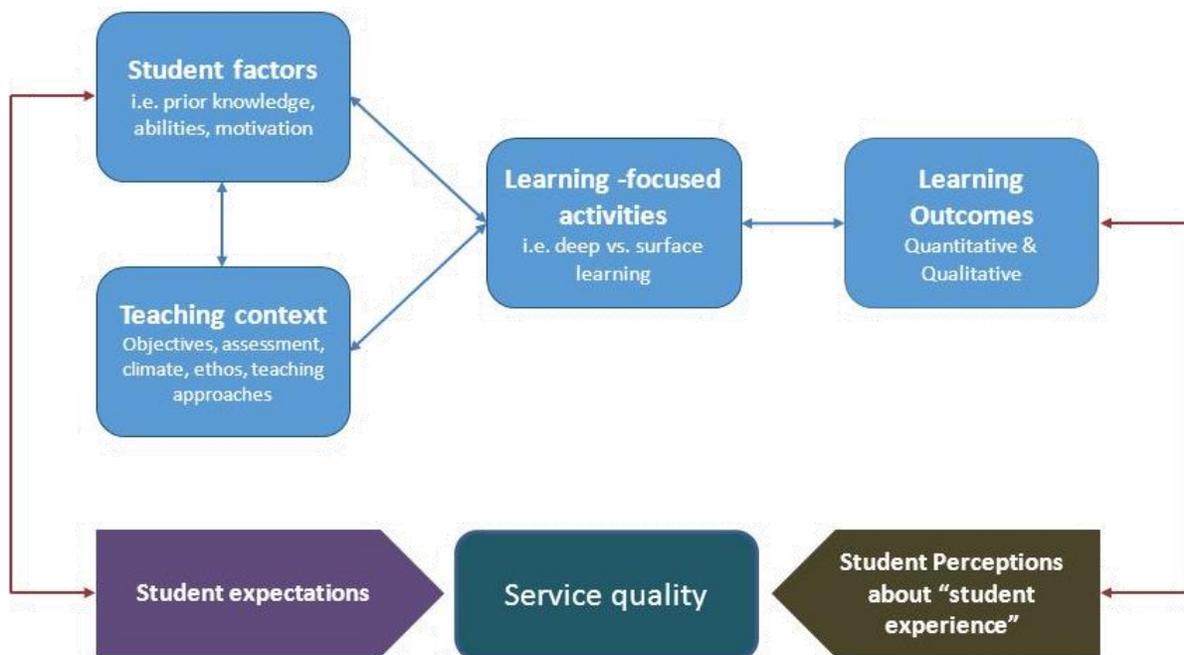
FISCAL ASSURANCES

- None of the funds expended under any programs will be used to acquire equipment (including computer software) in any instance in which such acquisition results in a direct financial benefit to any organization representing the interests of the purchasing entity or its employees or any affiliate of such an organization.
- The applicant shall repay all funds determined to be due to the federal government because of a disallowance decision in a manner deemed reasonable by the state or the federal government.
- The applicant will retain all records relating to a program for which federal funds are received for a period of five years after the completion of the activity for which the funds are used or until such time greater than five years as all pending reviews or audits have been completed and resolved.
- Fiscal control and accounting procedures will be used to ensure proper disbursement of all funds awarded.
- The applicant will submit a status report mid-year and any data or financial report as specified, to the Iowa Department of Education, including information relating to the project records and access thereto as the Iowa Department of Education may find necessary.
- The Iowa Department of Education reserves the exclusive right to use and grant the right to use and/or publish any part or parts of any summaries, abstracts, reports, publications, records and materials resulting from this project and this grant.
- The applicant will protect and save harmless the Iowa Department of Education from financial loss and expense, including legal fees and costs, if any, arising out of any breach of the duties, in whole or part, described in the application for the continuing grant.
- The applicant shall develop and maintain adequate documentation, in a manner prescribed by the Iowa Department of Education, of its good faith efforts.
- The applicant agrees to comply with the regulations referred to in this section as they exist on the date of this contract and as they may be adopted or amended from time to time during the term of this contract and any amendments thereto.

LEARNER PROGRESS

Operating an AEL program requires the coordination of a number of elements but at the center is the participant. Incorporation of these elements will facilitate achievement for the AEL program and more importantly the continuous improvement to services for eligible individuals and participants especially those with multiple barriers to employment. An organization that receives an AEL grant must be able to detail the process of services for individuals throughout their involvement with AEL. The "[Student Experience Model](#)" (Coordinator Handbook PY 2017, pg. 64) 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 individual needs. Intervention and referral to other services may occur at any time during the student's experience in an adult education and literacy program. The model describes more than just the intake process by tracking the participant's progress, revised learning plan, and exit from the program. Based on the variety of individual 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.

Service and educational quality are closely linked



SERVING THOSE WITH BARRIERS TO EMPLOYMENT

The Iowa Adult Education and Literacy program requires that all persons shall have equal access to its programs, facilities and services without regard to race, color, creed, religion, national origin, sex, age, marital status, disability or sexual orientation. It does not discriminate in admission to its programs, services or activities; in treatment of individuals with disabilities; or in any aspect of operations. Iowa' Adult Education and Literacy programs do not discriminate in:

- admission and access to its programs, services, locations, or activities,
- treatment of individuals with disabilities, or
- any aspect of their operations.

The universal design principles apply in both learning and throughout orientation, assessment, counseling and through retention strategies which includes but is not limited to:

- **Using multiple strategies to present content.** Enhance participation and engagement through every stage of the adult education and literacy program experience by incorporating the use of case studies, role play, cooperative learning, hands-on activities, guest speakers, and Web-based communications.
- **Using a variety of materials.** To present, illustrate, and reinforce information use materials such as online resources, videos, podcasts, PowerPoint presentations.
- **Providing cognitive supports.** Present background information for new information concepts using pictures, artifacts, videos, and other materials that are not lecture-based. Scaffold the information to reduce the complexity of a task.
- **Presenting to a variety of learning styles.** Give information both orally and in writing to engage eligible individuals auditorily and visually. Consider using large accessible visual aids for slides, graphics, and charts.
- **Provide flexible opportunities for assessment.** Allow eligible individuals to demonstrate their prior experience in multiple ways that include visual and oral presentation, rather than only written assessment.

CURRICULUM, INSTRUCTION AND PROFESSIONAL DEVELOPMENT

DEVELOPMENT

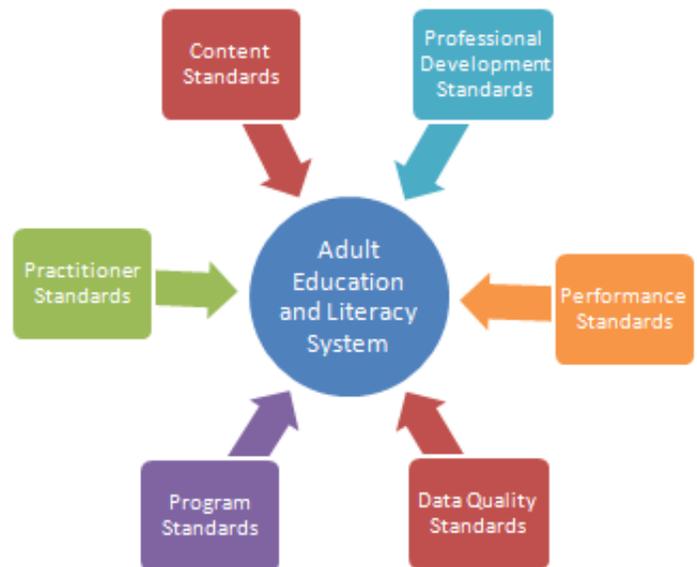
EXPECTATIONS BASED ON STANDARDS

Setting high expectations and clearly stating the criteria needed for success are essential in creating a responsive and effective educational system. Clearly and commonly defined standards serve multiple purposes:

- practitioner standards define what instructors, administrators, and support staff need to know and be able to do in order to provide quality services;
- professional development standards define the essential elements of meaningful professional growth activities;
- program standards define the characteristics that exemplary local programs should demonstrate;
- Content standards clarify the skills and knowledge that adult learners need to know and be able to do in their roles as workers, parents and community members;
- data quality standards ensure that reliable and valid data are available to make informed decisions and guide program management; and

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

The role of Iowa's Adult Education and Literacy system is to connect standards of practice into a coherent, interrelated system of quality services to adult learners. At the foundation of the professional development system are practitioner and professional development standards which will be used to assess all funded programs for performance and monitoring. The [instructor standards](#) provide a pathway for professional growth and guide the development of high quality activities that reflect the [professional development standards](#). Through responsive professional development, practitioners gain a better understanding of how to implement continuous quality improvements that lead to effective teaching, learning, administration and support. Professional development provides the tools and processes to help practitioners use the content standards ([College and Career Readiness Standards](#), [21st Century Skills Standards](#), and [English Language Proficiency Standards](#)) to help adult learners gain the skills and knowledge they need to reach their educational and personal goals. Through effective professional development, programs learn how to implement reliable and valid data that can be used to analyze progress and make necessary adjustments for continuous improvement.



When these five sets of standards are being fully implemented, the result is a high quality delivery system that leads to strong participant outcomes and meeting and exceeding the performance standards.

ESSENTIAL COMPONENTS OF READING INSTRUCTION

The Workforce Innovation and Opportunity Act (WIOA) focuses on the important role that strong basic skills play in adults' ability to attain a secondary school diploma, transition to postsecondary education and training, and secure employment. To this end, the law specifies that "the essential components of reading instruction" be incorporated into instruction. The term "essential components of reading instruction" (WIOA Sec. 203(8)) means explicit and systematic instruction in—

- a) phonemic awareness;
- b) phonics;
- c) vocabulary development;
- d) reading fluency, including oral reading skills; and
- e) reading comprehension strategies.

Since 2012, Iowa's Adult Education and Literacy has been supporting STARS – Student Achievement in Reading, a national evidence-based professional development offering based on a body of research summarized in a report published by the Partnership for Reading – [*Research-based Principles for Adult Basic Education Reading Instruction*](#) written by John Kruidenier. STAR uses the Adult Reading Components (ARCS) to identify learner profiles for intermediate-level readers in adult basic education and English language acquisition programs. ***Every funded program is required to work with IDOE to ensure that this training has been provided and is maintained at the local level to support instructors and coordinators to successfully implement evidence based reading instruction in their classrooms.*** State trainers can offer explicit instruction in new skills and concepts, including tips on utilizing reading diagnostic assessments.

CURRICULA

Grant recipients are required to document and use unified, standards-aligned curricula for all levels of adult education and literacy and English language acquisition that is deemed of high quality by IDOE. At a minimum, programs must have unified curricula that include:

1. A brief program overview and guidance for the instructor in the introduction to the scope and sequence,
2. A scope and sequence covering all levels that provides a big-picture view of the curriculum and describes the units to be taught, and into which units history/social studies (civics education), science, and employability skills will be integrated;
3. A series of instructional units reflective of the scope and sequence, and
4. One fully-developed lesson plan per unit at each level.

The format of templates for developing a scope and sequence, units, and lesson plans may be adapted as long as all of the components of the templates are addressed. Individual teachers are responsible for creating lessons that are aligned to the instructional units of the curriculum. These lessons must reflect the curriculum. ***Program coordinators are responsible for ensuring that all instructors use the program's curriculum and units as the basis of instruction.*** The curriculum must be reviewed on a regular basis (at

least annually) by the program to ensure that curriculum, instruction, and formative assessment are standards-based and meet the needs of enrolled participants. IDOE expects to observe that progress is made each year in the development of curriculum, as well as in the use of curriculum to guide instruction.

Program staff must be able to demonstrate that the curricula and instruction is:

- aligned with the appropriate standards and level-specific standards and reflects the instructional shifts for the program's lowest-level students (e.g., Levels A–C), and extends through Level D–E;
- based on thematic instructional units;
- informed by participants' needs and goals;
- preparing participants for college or further education and careers, and
- developing students' digital literacy, academic, and metacognitive skills.

INSTRUCTIONAL PLANS

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

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

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

Explicit instruction can be viewed as providing a series of instructional supports or scaffolds—first through the logical selection and sequencing of content and then by breaking down that content into manageable instructional units based on students' cognitive capabilities. Instructional delivery is characterized by clear descriptions and demonstrations of a skill, followed by supported practice and timely feedback. The sixteen elements of an explicit classroom is included in the [Coordinator Handbook](#).

Funded providers must plan lessons and produce lesson plans that help eligible individuals achieve their goals. Lesson plans can take many forms. At a minimum, a lesson plan should include:

- expected outcomes of the activity;
- content standards, such as the college and career readiness standards, English Proficiency standards and/or 21st Century Skill being addressed;
- activities, materials, and resources that will be used to teach the processes and content being addressed;
- methods and/or materials that will be used to assess learning gains; and
- an estimated timeline for completing the instruction.

Programs will be monitored on their lesson plan development and delivery through evaluative classroom observations aimed at identifying key instructor standards, content standards along with diversity in their approach.

HIGH QUALITY PROFESSIONAL DEVELOPMENT

Effective and quality instruction is an essential part of providing an exemplary educational program. Research shows that instructors are by far the most important factor in determining whether students succeed. So, where there are highly effective instructors, quality instruction follows.

System Components That Support The Work

Self-Assessments • Program Monitoring • Classroom Observation

Continuous Quality Improvement Plans • Incentives to Support Participation

Individual Professional Development Plans • Flexible Professional Development Delivery

Evidence-Based Content • Orientation for New Staff • Quality Handbooks

These components are supported by the educators are passionate about actively engaging students and meeting them wherever they are on their learning journey. While the art and science of quality instruction may be more than the sum of its parts, some instructional building blocks are essential for it to occur. This document is designed to provide standards for Iowa’s adult education and literacy instructors as guidance to promote adult students’ success along their path toward college and career readiness.

As an adult education and literacy instructor you will:

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

On January 2015, [Chapter 23](#) “Adult Education and Literacy Programs”, was amended by the State Board of Education to provide statewide standards and guidance for the adult education and literacy programs while defining the requirements for the qualifications of staff, professional development, and performance and accountability. A major component of the administrative rules includes the responsibility of the program to include the tracking of professional development hours for all staff including additional hours for new instructors (23.7(4)); the requirement of developing and maintaining for all professional staff an individual professional development plan (23.7(5)); and the process of formal/informal assisting of professional and volunteer staff in their “application to improve the effectiveness of current practice and lead to professional growth” (23.7(2)) through classroom observations.

PROFESSIONAL DEVELOPMENT MANAGEMENT SYSTEM

On November 2015, the State entered into a contract with a third-party vendor to provide the ability for the local AEFLA funded programs to efficiently and effectively meet the requirements detailed in the administrative rules Chapter 23. *Grant recipients are required to maintain their catalog of professional development activities for their program, track the attendance and enrollment of professional staff in local, state or national professional development offerings to ensure that the required hours are achieved for the applicable staff. Programs will assure that the required staff have full and complete profiles (which includes the addition of uploading teaching certificates and relevant credentials) and annually develop an Individual Professional Development Plan (IPDP) that is used to guide professional development needs and enrollment. Additionally, programs will complete annually sufficient classroom observations to assist staff in their application of professional development activities in context.* The system allows for the local program and the State to review progress on their performance and compliance with Chapter 23.

PERSONNEL AND ROLES

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

RESOURCES

Literacy Information and Communication System (LINCS)

<https://lincs.ed.gov>

Professional learning platform for adult educators funded by the U.S. Department of Education that includes resources on a variety of topics relevant to adult education programs.

Employability Skills Framework:

<http://cte.ed.gov/employabilityskills/>

National Coalition for Literacy

<http://national-coalition-literacy.org/>

Coalition of national organizations and other advocates dedicated to advancing adult education, family literacy and English language acquisition in the U.S.

National Center for Families Learning

www.familieslearning.org

Resources for educators on family engagement and adult education.

Center for Adult English Language Acquisition (CAELA)

<http://www.cal.org/caela/>

Includes research-based resources and promising practices.

Iowa Adult Education and Literacy Professional Development

<https://www.educateiowa.gov/adult-career-and-community-college/adult-education-and-literacy/professional-development>

Includes specific information on Iowa's policies and practices along with a variety of resources including curriculum and instruction.

NAEPDC State Resource Library

<http://naepdc.org/>

Includes a variety of resource collections including Curriculum & Instruction; Marketing & Student Recruitment; and Professional Development.

National College Transition Network

<http://www.collegetransition.org/>

Includes promising practices and research.

US Department of Education, Office of Vocational and Adult Education (OVAE) Adult Education

<http://www2.ed.gov/about/offices/list/ovae/index.html>

Topics include professional development, transitions to postsecondary education, and a wide variety of other relevant resources.

PROGRAM DESIGN AND LEADERSHIP

INSTRUCTIONAL MODELS

Programs have adopted various scheduling, intake, and delivery models for their classes. Some models are more effective than others for attracting and retaining students. Three instructional models are recognized by IDOE: (1) Managed, (2) Open Entry/Open Exit, and (3) Tutoring. For the purpose of IELCE, programs should ensure that a managed enrollment approach is utilized to provide direct and explicit instruction. This approach supports the best practice model through student and instructor surveys, as well as program performance.

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

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

Managed classes have an established cycle with both a start and an end date. It is expected that student attendance policies will be in place, explained to students, and enforced; for example, students may miss no more than a specific number of classes and must re-enroll if they exceed the allowed number of absences. Classes that use the managed structure offer scheduled registration and assessment at regular intervals. New applicants are asked to come for registration at those appointed times. Managed enrollment classes should provide instruction in the contexts of community, worker, and family. Learning is contextualized when instructional content, methods, and materials are related to the learner experiences and environment. Learning occurs best when context is embedded in instruction, when the skills or knowledge can be quickly applied in daily life, and when learners can construct personal meaning. For further information refer to *Managed Enrollment: An Opportunity to Reinvigorate the Adult Basic Education Experience* available at <http://www.mcae.net/documents/ManagedEnrollment.pdf>

DISTANCE EDUCATION

Structured, monitored distance education can provide an instructional option for students who have difficulty attending classes due to work schedules, family obligations, or other situations that prohibit their regular class attendance. Instructors enrich teaching and learning in traditional classroom through distance education and hybrid learning environments by identifying, using or adapting, and assessing with appropriate and high-quality state approved distant education curriculum. Refer to the [Assessment Policy](#) for a full listing of state approved programs along with how to request consideration for additional standards aligned distant education curriculum.

IDOE encourages and support the integration of digital literacy skills into all adult education and literacy activities. Professional development explicitly addresses the teaching and assessment of digital literacy skills integrated appropriately into instruction in all content domains. Iowa's adult education and literacy funded programs should ensure that staff can assist all learners in maximizing access to technology.

Knowledge of appropriate use of technology in the classroom is critical to enrolled participants achieving success.

ADULT EDUCATION AND LITERACY ACTIVITIES [FEDERAL AND STATE REQUIRED]

There are eight adult education and literacy activities detailed in 34 CFR Subpart d. Detailed definitions for each are provided in Appendix A. The IDOE is requiring for base funding that at least four of those activities be provided by an eligible provider:

- Adult education.
- Literacy;
- English language acquisition; and
- Workforce preparation activities.

The remaining four activities can be funded with the base grant allocation and should be reflective of the regional and individual needs of the workforce development area and enrolled participants. These activities include:

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

More information on each activity is provided in the [Coordinator Handbook](#) and through the posted [webinars on WIOA](#) by the IDOE.

ENROLLMENT

Enrollment for Iowa's Adult Education and Literacy programs are tracked both as eligible individuals (less than 12 hours of instruction) as defined by WIOA and as enrolled participants (see Appendix D). Goals for serving each of these populations will be used for allocating funds. Iowa's focus for Adult Education and Literacy programs is to increase the number of enrolled participants so a greater effort toward retaining past 12 hours of instruction has been expected. For program year 2014, a state goal of serving five percent (5%) of the total state population without a high school degree, 18 years and older, was started. This represents a 12 percent (12%) *increase in enrollment* in AEL programs since last year. Enrollment trend data is available from the department [here](#) also see Appendix F for 3 year average enrollment by county. For applicants that propose to serve less than 100 enrolled participants a consortium proposal should be considered.

LEADERSHIP VISION

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

Coordinators also assist by participating in committees designed to study and to research relevant adult education and literacy issues in Iowa and by serving as members of the Coordinator Group. This group meets either virtually or face-to-face on a monthly basis, typically on the third Thursday. The coordinator

leadership roles are critical for the management of the grant (see Appendix H) and should be considered full time if the grant recipient is serving more than 300

PROGRAM SELF- EVALUATION

Funded programs must plan to conduct ongoing evaluations of their activities using the most rigorous analytical and statistical methods that are reasonably feasible to promote efficiency and effectiveness of their services within the workforce development system. These results are used to affect continuous quality improvement that reflects optimal outcomes for enrolled participants. Evaluations should fully engage partner programs (when applicable) and include participation feedback. Data driven decisions based on performance indicators should be used to assess the effectiveness and support research and evaluative activities. Data about specific subpopulations of participants, such as individuals with barriers to employment, are disaggregated to determine the extent to which the workforce development system is effectively providing opportunity to vulnerable populations. Evaluations should be conducted in a transparent and open manner.

ACCOUNTABILITY

Accountability and reporting for Iowa’s adult education and literacy funding addresses two sets of reporting criteria. One set represents the federal accountability measures, identified in Section 116 of the Workforce Innovation and Opportunity Act (WIOA) as the “[primary indicators of performance](#).” The other represents state reporting criteria, which are focused primarily on state priorities such as industry-recognized and high school equivalency credential attainment. Both criteria are described below.

DEMONSTRATED EFFECTIVENESS [FEDERAL REQUIREMENT]

To determine if an applicant has demonstrated effectiveness, all applicants will be required to provide data demonstrating their ability to improve the skills of eligible individuals (specifically in regards to individuals who have low levels of literacy in the content domains of reading, writing, mathematics, English language acquisition, and other subject areas relevant to the services contained in the Department application). All organizations will be provided the following forms to show enrollment and demonstrated student learning gain for the target population served. Each application will be reviewed to determine whether it meets the standard of demonstrated effectiveness.

Applications that do not provide sufficient evidence of demonstrated effectiveness will be eliminated from the competition. Two options for demonstrating effectiveness has been provided in a table form – Option 1 includes the breakout by educational functioning level; Option 2 includes the subject area targeted for instruction. Funded entities will be monitored and required to demonstrate continuous quality improvement.

FEDERAL ACCOUNTABILITY [FEDERAL REQUIREMENT]

An innovation of WIOA is that state and local workforce agencies must provide workforce services to eligible individuals through a single, coordinated service-delivery system. Likewise, the law establishes a coordinated system for measuring program accountability and reporting performance outcomes. This coordinated system involves six common performance measures (provided below) that all core workforce program agencies must address in their federal reporting. As a WIOA core program, the IDOE is required to collect data that describe local adult education and literacy activities authorized under Title II of WIOA and use the data to report on the primary performance indicators.

1. The percentage of program participants who are in unsubsidized employment during the second quarter after exit from the program;
2. The percentage of program participants who are in unsubsidized employment during the fourth quarter after exit from the program;
3. The median earnings of program participants who are in unsubsidized employment during the second quarter after exit from the program;
4. The percentage of program participants who obtain a recognized postsecondary credential, or a secondary school diploma or its recognized equivalent,³ during participation in or within one year after exit from the program;
5. 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 towards such a credential or employment; and
6. The indicators of effectiveness in serving employers established pursuant to number 4 above.

The two federal WIOA agencies, the U.S. Departments of Education and Labor, have determined the types of data for evaluating the primary performance indicators and issued guidance for collecting and reporting

the data. The state office will develop and implement the necessary updates to the state management information system for collecting and reporting the data as well as develop the rules for local reporting. Once the updates have been implemented and the rules for local reporting developed, training on the policies and procedures for entering adult education and literacy data will be provided to eligible providers. Included in the training will be any Title II performance expectations established by the U.S. Department of Education.

STATE ACCOUNTABILITY [STATE REQUIREMENT]

The state adult education office is required to report data used to evaluate agency performance in addressing state priorities such as credential attainment through the Future Ready Iowa initiative and local agency contributions to one-stop activities. The Iowa Core Partners are developing One-Stop Credentials and Standards along with reporting requirements that each partner will be responsible for addressing. Once these are final, training on the reporting requirements will be provided to eligible providers. Included in the training will be any additional state performance expectations established by the IDOE.

IDOE will require reporting on the professional development management system to access compliance with administrative rules for tracking of professional development hours, classroom observation, individual professional development plans, registering for state and local events, complete profiles with attached credentials and licenses (where applicable) as well as your program's plans to link individual and professional goals to professional development. Activity specific reporting requirements for Integrated Education and Training incentive funds and serving Corrections and Institutionalized individuals will be as applicable and be used in conjunction with evaluating eligible provider risk (see "Risk Assessment" under Monitoring and Evaluation). These expectations will be incorporated in the state monitoring and evaluation system.

MONITORING AND EVALUATION [STATE AND FEDERAL REQUIREMENT]

The system for monitoring and evaluating adult education service delivery focuses on four areas:

1. Regulatory Compliance
2. Risk Assessment
3. Provider Effectiveness
4. Program Improvement

1. Regulatory Compliance

As the WIOA Title II administrator, IDOE must ensure that adult education programs receiving federal adult education funding comply with applicable federal and state rules and regulations. While many focus on financial management, there are rules and regulations in other areas with which providers must comply, such as ensuring equitable access, administering assessments, data collection and reporting, and securing personal information.

2. Risk Assessment

According to the [Uniform Guidance](#) (2 CFR Part 200), which replaces the Education Department General Administrative Regulations (EDGAR), an important responsibility of IDOE is to assess provider risk as part of their monitoring activities. A risk assessment evaluates the potential of an eligible provider to not fulfill its responsibility as a Title II provider. The risk assessment includes evaluating such risk factors as financial stability, quality of management systems (such as financial management, data management, assessment management), and performance history. Specific risk assessment and monitoring requirements are identified in the Uniform Guidance under 2 CFR § 200.331. In addition to the risk and monitoring criteria listed under 2 CFR § 200.331, the IDOE will develop an instrument to evaluate provider risk in

accordance with WIOA, which identify federal criteria for determining state risk and additional specific conditions for issuing awards.

3. Provider Effectiveness

Providers are responsible for collecting data that will be used to evaluate their effectiveness in enabling enrolled participants to make educational gains, earn workforce credentials, and obtain and retain employment. Providers will be expected to meet federal and state performance targets.

IA 2017-2018 PROPOSED TARGETS	
ESL 1	48%
ESL 2	49%
ESL 3	49%
ESL 4	43%
ESL 5	46%
ESL 6	26%

4. Program Improvement

The state system for monitoring and evaluating eligible providers is to determine the level of an eligible provider's regulatory compliance, potential for risk, and effectiveness in delivering instructional and career services. Monitoring and evaluating these three crucial areas support the state's effort to provide quality adult education and literacy services. Not only does the state have a system for reinforcing successful practices, but the system is also able to identify areas in need of improvement.

The monitoring and evaluation system is based on three major activities conducted throughout the grant cycle:

1. A data quality check of data and information entered by each funded provider in the state management information system, TE@;
2. The review of annual performance for each funded provider, and
3. A monitoring on-site review of funded provider based on a risk review and if necessary, a correction action plan with scheduled follow-up.

After awards have been issued, IDOE will provide technical assistance to funded providers.

RESOURCES (DEFINITIONS, REPORTING, ASSESSMENT AND DATA)

National Reporting System (NRS)

<http://www.nrsweb.org/>

Includes latest *NRS Implementation Guidelines*.

CASAS

<https://www.casas.org>

CASAS assessment product overviews, National External Diploma Program information.

TABE

www.datarecognitioncorp.com

TABE 9 & 10 and TABE CLAS E assessment information.

Iowa Adult Education and Literacy

<https://www.educateiowa.gov/adult-career-and-community-college/adult-education-and-literacy/assessment-guidelines>

- Iowa Assessment Policy

- Iowa Data Dictionary
- Iowa Benchmark Projects
- Security and Confidentiality Policy

<https://www.educateiowa.gov/adult-career-and-community-college/adult-education-and-literacy/monitoring-program-performance>

- Enrollment Progress
- AEL Results

COMMUNITY INTERACTION AND OUTREACH

The Workforce Innovation and Opportunity Act (WIOA) requires local areas to enhance coordination and partnerships with local entities and supportive service agencies for strengthened service delivery. Local areas and leaders are encouraged to engage in strategic planning and find new ways to align core partners, required and optional partners under WIOA. It is vital to assess whether the right partners are at the table, and that they are participating fully as equal partners in the design and coordination of the programs and services within the local workforce development system.

IDOE encourage and support ongoing engagement with employers and workforce development system partners in the design, delivery, and evaluation of adult education and literacy activities, integrated education and training, and workforce preparation activities that are responsive to regional and local labor market demands. These activities need to reflect the skill needs of high-demand jobs within the regional or local economy. Employers play a critical role in partnering with funded providers to not only serve in advisory capacities but also provide externships (instructor learning experiences), internships and clearly and consistently articulate the value-added of adult education services.

Other partnerships can help efforts to expand services to difficult to reach eligible individuals with barriers to employment by partnering with libraries, and support parental engagement in children's education. For example, partnerships with health and human service agencies can continue to expand the system's capacity to provide support services to enrolled participants.

REGIONAL DATA

Department of Homeland Security (DHS) Office of Immigration Statistics
Includes Yearbook of Immigration Statistics and maps of immigration data.

<https://www.dhs.gov/data-statistics>

Iowa Workforce Development – Labor Market Information

<https://www.iowaworkforcedevelopment.gov/labor-market-information-division>

Includes current employment, forecasts, occupations and education outcomes for regions.

Migration Policy Institute

<http://www.migrationpolicy.org/programs/data-hub/state-immigration-data-profiles?CFID=25447986&CFTOKEN=65203615>

U.S. Immigrant Population by State and County 2010-2014

State Immigration Data Profiles

National Center for Education Statistics

<http://nces.ed.gov/naal/>

Includes indirect County and State Estimates of the Percentage of Adults at the Lowest Literacy Level for 1992 and 2003, as well as NAAL reports.

US Bureau of Labor Statistics

<http://www.bls.gov/>

Provides the latest numbers on US unemployment, average hourly earnings, etc.

US Census

<http://www.census.gov/>

Some census features that might be of interest:

American Community Survey (ACS)

<http://www.census.gov/programs-surveys/acs/>

An on-going survey, sent to a sample of the population to tell us what the population looks like and how it lives. Includes the report, *The Foreign-Born Labor Force in the United States: 2007*.

American FactFinder

<http://factfinder.census.gov/>

Includes Community Census Fact Sheets.

QuickFacts

<https://www.census.gov/quickfacts/table/PST045216/00>

Includes data for all states and counties, and for cities and towns of 5,000 or more.

State Population Estimates

<https://www.census.gov/programs-surveys/popest.html>

United States Foreign-Born Population

<https://census.gov/topics/population/foreign-born.html>

COMMON IDENTIFIER [FEDERAL AND STATE REQUIREMENT]

The U.S. Department of Labor Employment and Training Administration (ETA), in coordination with the Department of Education, has established the **American Job Center network**, a unifying name and brand that identifies online and in-person workforce development services as part of a single network. In connection with this activity, ETA established trademark ownership of the following logos: 1) “American Job Center network”; and 2) “a proud partner of the American Job Center network” (“Logos”) for use in the public workforce system.

WIOA sec. 121(e)(4) requires each one-stop delivery system to include in the identification of products, programs, activities, services, facilities, and related property and materials, a common one-stop delivery system identifier, in addition to using the state logo described below, “Your Future Starts Here”.

The WIOA Final Rule at 20 CFR § 678.900 ([81 Fed. Reg. 55791](#)) (Aug. 19, 2016)) provides more specific requirements of the common identifier, specifically, that AEFLA funded programs must use the state logo in partnership with tag line phrase “a proud partner of the American Job Center network.” Examples of the logo have been supplied on a Dropbox that grant recipients will have access to for the duration of the grant cycle.

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

Additionally, a toll-free hotline was established that routes all callers by zip code to their closest AEL funded program. Grant recipients must keep their information current and be responsive to calls and messages from inquiries. 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.

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



A proud partner of the  American Job Center® network

ONE-STOP SYSTEM INTEGRATION

Eligible providers that receive grants under the Adult Education and Family Literacy Act Grant Program will be designated as a core partner, or a one-stop center partner, and are required to align and contribute to the one-stop delivery systems in their respective Local Workforce Development Areas. Specifically, one-stop partners are required to:

- Provide access through the one-stop delivery system to such program or activities carried out by the entity, including making the career services that are applicable to the program or activities available at the one-stop centers (in addition to any other appropriate locations);
- Use a portion of the funds available for the program and activities to maintain the one-stop delivery system, including payment of the infrastructure costs of one-stop centers;
- Enter into a local memorandum of understanding with the local board, relating to the operation of the one-stop system; and
- Participate in the operation of the one-stop system consistent with the terms of the memorandum of understanding, the requirements of WIOA Title I, and the requirements of the Federal laws authorizing the program or activities.

Core partners, along with required partners continually assess the one-stop system and determine what is needed to achieve seamless service delivery that places the eligible individual as the center of program design and delivery. To assist with the purpose, WIOA requires a memorandum of understanding between the local board and the one-stop partners to address service agreements, sharing of resources, elimination of duplicative practices, one-stop center infrastructure funding, physical and programmatic accessibility requirements, the implementation of the local plan, and the attainment of state established goals, among other issues. Title II funded providers should consider how adult education can provide applicable career services, such as initial assessment of skill levels through the one-stop delivery system, as well as how enrolled participants will benefit from a more integrated one-stop system.

COMPREHENSIVE ONE-STOP

A comprehensive American Job Center, as described in 20 CFR 678.305, 34 CFR 361.305, and 34 CFR 463.305, is a physical location where job seekers and employer customers can access the programs, services, and activities of all required one-stop partners (section 121(b)(1)(B) of WIOA), along with any additional partners as determined by the Local Workforce Development Board (LWDB). The one-stop delivery system must include at least one comprehensive physical center in each local area. The comprehensive one-stop should reflect and exemplify the characteristics of a high quality American Job Center as described in DOL's TEGE No. 4-15, and ED's RSA-TAC-15-01 and [OCTAE Program Memorandum 15-3](#), entitled Vision for the One-Stop Delivery System under the Workforce Innovation and Opportunity Act.

Comprehensive one-stop centers should reflect a welcoming environment to all customer groups who are served by the American Job Centers. All American Job Center staff should be courteous and helpful to all job seekers, businesses, and others who interact with the American Job Centers, in person, by telephone, or online. A comprehensive American Job Center must have:

- 1) At least one WIOA title I staff person physically present, and the Center must provide the career services listed in 20 CFR 678.430, 34 CFR 361.430, and 34 CFR 463.430;
- 2) Access to training services described in 20 CFR 680.200;
- 3) Access to any employment and training activities carried out under section 134(d) of WIOA;
- 4) Access to programs and activities carried out by one-stop partners listed in [20 CFR 678.400](#); and
- 5) Workforce and labor market information.

Customers must have access to these programs, services, and activities during regular business days at a comprehensive one-stop center [20 CFR 678.305\(c\)](#), [OCTAE Program Memorandum 17-4](#)). The one-stop may establish other service hours to accommodate schedules of individuals who work on regular business days or who, because of life circumstances, are not able to access the American Job Centers during regular business hours. IDOE encourage access to services outside of regular business hours (i.e., nights and weekends) when doing so is possible and best serves the needs of the eligible individuals. One-stops not open outside of the regular business hours should have a plan for how they will provide services to individuals who cannot visit during regular business hours.

ACCESSING SERVICES

Access to one-stop partner programs and activities, including adult education and literacy activities may be delivered in one of three ways:

- 1) Having a program staff member physically present at the one-stop center;
- 2) Having a staff member from a different partner program physically present at the one-stop center and appropriately trained to provide information to eligible individuals about the programs, services, and activities available through all partner programs; or
- 3) Making available a direct linkage through technology to a program staff member who can provide meaningful information or services.

The flexibility provided through the three optional methods for assuring eligible individuals access to required one-stop partner services and activities at the comprehensive centers, ensures that programs that are not co-located remain accessible through the one-stop center network. The LWDB, in conjunction with the partners and the one-stop operator(s), must establish the method or means of providing access to services and document such means or methods in their Memoranda of Understanding (MOUs).

All comprehensive one-stop centers must be physically and programmatically accessible to individuals with disabilities, as described in section 188 of WIOA and its implementing regulations at [81 FR 87130](#). To ensure meaningful access to all eligible individuals, centers should incorporate the principles of universal and human-centered design. These principles include, for example, flexibility in space usage; the use of pictorial, written, verbal, and tactile modes to present information for customers with disabilities or English language learners; providing clear lines of sight to information for seated or standing users; providing necessary accommodations; and providing adequate space for the use of assistive devices or personal assistants.

ONE-STOP OPERATOR

As identified in WIOA legislation, the One-Stop Operator should be the entity best suited to implementing a potentially redesigned service delivery system. The operator is charged with coordinating the service delivery among partners in one-stop centers. Duties include but are not limited to:

- Managing daily operations in coordination with WIOA fiscal agent for the lease, utilities and other activities to support the center;
- Managing partner responsibilities defined in the Memorandum of Understanding (MOU) among partners;
- Managing hours of operation and services for individuals and businesses;
- Ensure that basic services such are available (orientations and labor market information);
- Implementing LWDB Policy and adhering to all federal and state regulations and policies; and
- Reporting to the LWDB on operations, performance and continuous improvement recommendations.

More details are available in the ETA [TEGL 15-16](#).

CO-ENROLLMENT WITH CORE PARTNERS

Individuals who meet the respective program eligibility requirements may participate in multiple core partner programs concurrently. Such individuals must be eligible respectively under the eligibility criteria applicable to the services received. Local service providers may determine, for these individuals, the appropriate level and balance of services through their negotiated service agreement. Local service providers must identify and track the funding streams which pay the costs of services provided to individuals who are participating in concurrent programs, and ensure no duplication of services. Individuals who meet the respective program eligibility requirements for WIOA youth title I and title II may participate in title I youth and title II concurrently. ([20 CFR 681.430](#)) When determining in which program(s) to enroll a participant, the decision must be based on the service needs of the participant, and if they are career ready based on an objective assessment of their occupational skills, prior work experience, employability and needs as required in WIOA Sec. 129 (c) (1) (A). Co-enrollment removes the barriers created by categorical participant eligibility requirements and partners are able to serve just about any individual because most are enrolled into multiple programs.

LOCAL WORKFORCE DEVELOPMENT BOARD ALIGNMENT REVIEW

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 WIOA Title II, the Iowa AEFLA grant application requires Local Boards to review all AEFLA applications submitted to the IDOE from eligible providers within the Local Area to determine whether the applications are consistent with their Local Plans. Upon completing this review, the Local Board must submit a recommendation to the IDOE that promotes alignment with the Local Plan.

There are 13 considerations that Title II eligible providers must respond to in the AEFLA application. Local Boards are encouraged to review each eligible provider's entire application. However, the following considerations are most relevant to local plan alignment:

- Consideration 1 – Needs Assessment
- Consideration 4 – Alignment with the Local Workforce Development Board Plan under section 108 and alignment with services of the one-stop partners

ALIGNMENT PROCESS FOR LOCAL BOARDS [FEDERAL AND STATE REQUIREMENT]

The IDOE developed the following four-step process for the Local Board review of WIOA, Title II AEFLA applications:

1. Eligible providers will submit their AEFLA applications to the IDOE through the Iowagrants system.
2. The IDOE will provide the LWDB point of contact access to the online AEFLA applications with a rubric review form for an alignment review with local plans.
3. The LWDB point of contact with the assistance of a committee must complete and submit the review and any recommendations for promoting alignment with the local plan through the Iowagrants system. The review and recommendation process begins on May 3, 2017, and ends on May 12, 2017.
4. The IDOE will consider the results of the review by Local Boards in making awards.

The LWDBs are responsible for evaluating the extent to which the eligible applicant's grant activities are aligned with the education and training activities identified in the LWDB's local plan (as identified in Title I, Section 107(d)(11)(A)).

All Title II adult education applications (i.e., AEFLA and IELCE) are required to be aligned with the WIOA LWDB plans within the adult education proposed region of service. ***If more than one LWDB is located within an adult education region, the adult education plan will be reviewed by all relative LWDBs in the region.*** The LWDB will review the adult education's application to ascertain the extent to which their application addresses the adult education and literacy needs identified in the LWDB plans. A rating based on a rubric will be assigned by the LWDB indicating the extent to which the applicant addresses the adult education and literacy needs along with pertinent recommendations. The rating assigned by the LWDB will be added to the final score on the grant review panel's rubric.

IELCE BUDGET SUMMARY

ADULT EDUCATION PROVIDER ADMINISTRATIVE STRUCTURE [STATE REQUIREMENT]

Applications must identify the entity that will act as the fiscal agency for the grant funds. The fiscal agency will be the single point of contact for all fiscal matters. The fiscal agency is expected to oversee the implementation of all aspects of the fiscal management throughout the period of the grant. Funding allocations to the fiscal agency will be awarded on a reimbursement basis. Grant reimbursements are contingent upon satisfactory completion and submittal of all program deliverables on a quarterly basis. Grant payments to providers with delinquent deliverables will be delayed until all submissions are up-to-date.

The applicant will need to detail their fiscal capacity, including evidence of internal controls, financial records, fiscal solvency, and a sound fiscal accounting system with auditable cost allocations and any relevant experience with receiving federal funds. The Uniform Guidance places emphasis on strong internal controls. In accordance with 2 CFR 200.302, all grant recipients must have financial management systems that include written procedures for ensuring all expenditures conform to the terms and conditions of the grant as well as the Uniform Guidance Cost Principles.

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

Applicants will abide by the associated fiscal assurances which include the agreement to repay any funds that have been finally determined through federal or state audit resolution processes to have been questioned, disallowed costs or otherwise not properly accounted for. Additionally, the applicant shall retain all records of financial transactions and accounts relating to this grant for a period of five (5) years and shall make such records available for inspection and audit by the IDOE. Refer to 2 CFR Sec. 200.333 for further guidance on record retention.

PASS THROUGH FUNDING [STATE REQUIREMENT]

IDOE will allow the use of sub-grantees. Applicants with sub-grantees should familiarize themselves with WIOA Title II [§116 and the Uniform Guidance²]. The grantee will assume all responsibility for the performance of the sub-grantees. This includes, but is not limited to ensuring that sub-grantees follow IDOE policies and that sub-grantees are in compliance with applicable state and federal law. Grantees that pass funding to sub-grantees will also be responsible for the monitoring of sub-grantee performance and data. (Refer to Section VI Coordinator Handbook.)

ADMINISTRATIVE COSTS [FEDERAL REQUIREMENT]

In accordance with WIOA Title II [§233] no more than five percent (5%) of the total amount awarded to local providers shall be used for administrative costs and non-instructional purposes, direct and indirect (see below for more information). For approval to budget an amount *greater than five percent*

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

BUDGET GUIDELINES AND REQUIREMENTS [FEDERAL AND STATE REQUIREMENT]

Eligible applicants are responsible for developing budgets that accurately reflect the planned activities for the grant period. Only expenditures that support approved AEFLA activities may be budgeted. All approved applicants will receive an official award notification, which will include the approved funding amount. Adjustments to the budgets will be made at that time. Budgets must be developed using standard state object codes.

1. DUNS Number

The Federal Government requires that all applicants for Federal grants have a Dun and Bradstreet Data Universal Numbering System (DUNS) number, and that the registration be renewed annually. A currently registered DUNS number is required in order to submit a grant application, and also in order to submit a reimbursement request for payment of any grant funds.

- To obtain a DUNS number, go to <http://fedgov.dnb.com/webform/>

2. Budget Object Codes

All budget items must fall within the 100 through 600 Object Code categories in accordance with the standard state object codes (see Appendix G).

101 Personnel Services (Salaries and Wages—Administration)

101 Personnel Services (Salaries and Wages—Instructional)

202 In State Travel (Meals, Lodging, and Registration)

205 Out of State Travel (Meals, Lodging and Registration)

301 Office Supplies and Materials (Curriculum and Training Materials)

405 Professional Development Contracts (Fees, Travel Expenses, Training Materials)

406 Contracts (Funds paid for services or pass through to other providers/partners)

505 Data Processing Non Inventory (Desktop Software License fees)

602 Other Expenses & Obligations

3. Administrative Costs, Direct and/or Indirect

Administrative costs are those charges to the program that are not directly related or can be allocated to the instructional costs of the program. Direct charges are those that can be fully attributed to a person or service whereas indirect costs are costs that can be rationally attributed to the running of a program but cannot be reasonably assigned a direct cost. Additionally, for indirect costs, if a cost benefits two or more projects or activities, the cost should be allocated to the projects based on the proportional benefit. If a cost benefits two or more projects or activities in proportions that cannot be determined because of the interrelationship of the work involved, the costs may be allocated on any reasonable documented basis. For further guidance, refer to 2 CFR 200.405(c) and (d).

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

from the direct costs.

4. Instructional Costs:

The IDOE and the federal government expect grant recipients to expend 95 percent of the grant award for adult education instructional and/or support activities. Instructional costs may include, but are not limited to:

- Salaries and benefits for teachers and instructional assistants directly involved in instructional delivery of education activities
- Textbooks and technology used for direct instruction
- Appropriate professional development, conference, and other travel expenses for staff directly involved in instructional delivery of education activities
- Repair, maintenance, and replacement of instructional supplies used in the program
- Other direct student support costs which may include, at the same percentage that the grant represents of the entire adult education budget:
 - Maintenance and operational expenses
 - Rents or leases of non-agency owned facilities
 - Childcare support services while adult students are attending classes
 - Transportation to/from classes for adult education students
- Funds cannot be used to purchase computer hardware and/or software that will be used only partly to serve AEFLA students.
- Childcare costs for children of AEFLA students are only allowable when other sources of funding have been depleted.
- Food (coffee, juice, donuts, etc.) to entice prospective students, or as an incentive to get or keep them coming after they are enrolled, is not an allowable expenditure.

The grant recipient should contact the IDOE about any questionable expenditure. In the event that a claim for reimbursement contains these or other unallowable items, the applicant will be contacted with the intent to bring the application into compliance.

Time and Effort Reporting

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

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

5. Budget and Expenditure Claim Report:

Providers will enter expended amounts into appropriate categories for reimbursement. Each claim for reimbursement must be supported by adequate documentation. The list below describes the

information the supporting documentation must provide:

- For purchases, name of the vendor, date of purchase, and amount of expense must accompany all requests for reimbursement or payment.
- For salaries and wages, the name of the person paid, the person's job classification, the amount paid, and the time period paid for.
- 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, documentation must include evidence that the activity occurred, and be tied back to the plan submitted in the grant application. Evidence could include the agenda of the meetings, and/or sign in sheets. Information should include the what, where, how, and who for implementation. Documentation for uses of food must include rationale as described in Appendix J. For example, was this a working lunch/meal; did this allow for Q/A time with a national presenter; explain why funds were necessary, as opposed to a brown-bag event or allowing time off-site to eat and return.
- Please note that pursuant to 2 CFR 200.415 of the Uniform Grant Guidance, upon submitting each reimbursement request, the grantee is required to certify the following:

“By signing this report, I certify to the best of my knowledge and belief that the report is true, complete, and accurate, and the expenditures, disbursements and cash receipts are for the purposes and objectives set forth in the terms and conditions of the Federal award. I am aware that any false, fictitious, or fraudulent information or the omission of any material fact, may subject me to criminal, civil or administrative penalties for fraud, false statements, false claims or otherwise. (U.S. Code Title 18, Section 1001 and Title 31, Sections 3729-3730 and 3801- 3812).”

The transfer of funds across budgets is not allowed. All amendments are processed and approved by the IDOE before claims are approved.

1. Moving funds within the same budget is allowed (e.g. 301 Data Processing to 101 Personnel Services). Moving of fund to different budgets is not allowed (e.g. AEFLA Grant to Integrated Education and Training Incentive). Multiple changes to budgets may be submitted at one time.
2. All budget changes require approval by IDOE, please submit a rationale on Iowagrants briefly explaining the changes and why they are necessary. With the rationale, include a revised budget.

6. Carryover of Funds

Any funds not obligated and expended during the period for which they were awarded becomes carryover funds. Carryover funds may be reallocated to budget categories other than those categories specified in the original application, providing the funds are expended on approved activities in accordance with program guidelines in effect during the carryover period. The carryover period is June 30 to December 31 of the subsequent funding year and are expended consistent with FIFO accounting principles (First In, First Out). If the carryover funds are not expended by the grantee by the end of the carryover project period, the unused carryover funds must be released. As specified in section 412(b)(2) of GEPA and §76.710 of EDGAR, any such carryover funds must be obligated and expended in accordance with the Federal statutes and regulations and as described in the local plan application as applicable to the program and are in

effect for the carryover period. *In the event of a competition year or Sunset of grant funding, all carryover funds must be expended by September 30 to meet federal obligations and closeout deadlines.*

7. Equipment Inventory and Disposition (2CFR 200.313)

The grantee must maintain a specific inventory of any item purchased with federal grant funds until transfer, replacement, or disposition takes place. The grantee that cannot produce a piece of equipment purchased with federal funds during an audit review risks an audit finding, even if the purchase was allowable under the relevant federal grant program. This inventory must, at a minimum, include the following information, as set forth in 2 CFR 200.313(d):

- Acquisition date, cost (including funding source), and brief description of the item/property;
- Serial number, model number, or other identification number (bar code or local identifying number);
- Records showing maintenance procedures to keep item/property in good condition;
- Percentage of cost share, if applicable;
- Location, use, and condition of the item/property, and date information was reported; and
- All pertinent information on the ultimate transfer, replacement or disposition (including date of disposal and the sale of the item/property, if applicable) when the item/property is retired from service.

A physical inventory of equipment item/property must be taken and the results reconciled with the inventory property records at least once every two (2) years to: 1) confirm the equipment item/property was found at the location indicated; 2) assess condition of the equipment item/property; and 3) verify equipment item/property is located in a secure environment that can be locked when not in use.

An inventory control system and records showing maintenance procedures must be developed and implemented to ensure adequate safeguards to prevent loss, damage or theft of the item/property. Any loss, damage, or theft must be investigated and fully documented by local law enforcement officials. This specific inventory information must be updated as equipment item/property is purged or new purchases are made.

Disposition of equipment acquired with federal grant funds, but that is no longer needed for the original project or program or for other activities currently or previously supported by federal funds, must be in accordance with the grant requirements. In the absence of specific instructions of the federal grant, equipment valued at \$5,000 or less may be retained, sold or otherwise disposed of with no further federal obligation. Please refer to 2 CFR 200.313(e),

8. Final Expenditure Reports (FERs)

Pursuant to 2 CFR 200.343, IDOE is responsible to ensure that all federal grants are closed out with a timely annual final reporting of grant program expenditures for the approved program objectives and activities. The FERs are available to grantees in Iowagrants on or about October 1st. FERs must be completed and submitted to IDOE no later than October 15th. The final expenditure report for each grantee must provide the budget expenditures, match requirement, program fees, and sub-grantee details.

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APPENDIX A

SEVEN REQUIREMENTS [FEDERAL REQUIREMENT]

- 1) A description of how funds awarded under this title will be spent consistent with the requirements of Title II of AEFLA;
- 2) A description of any cooperative arrangements the eligible provider has with other agencies, institutions, or organizations for the delivery of adult education and literacy activities;
- 3) A description of how the eligible provider will provide services in alignment with the local workforce development plan, including how such provider will promote [concurrent enrollment](#) in programs and activities under title I, as appropriate;
- 4) A description of how the eligible provider will meet the state-adjusted levels of performance for the primary indicators of performance identified in the State's Unified or Combined State Plan, including how such provider will collect data to report on such performance indicators;
- 5) A description of how the eligible provider will fulfill, as appropriate, required one-stop partner responsibilities to
 - a. Provide access through the one-stop delivery system to adult education and literacy activities;
 - b. Use a portion of the funds made available under the Act to maintain the one-stop delivery system, including payment of the infrastructure costs for the One-Stop Centers, in accordance with the methods agreed upon by the local board and described in the memorandum of understanding or the determination of the governor regarding state one-stop infrastructure funding;
 - c. Enter into a local memorandum of understanding with the local board, relating to the operations of the one-stop system;
 - d. Participate in the operation of the one-stop system consistent with the terms of the memorandum of understanding, and the requirements of the Act; and
 - e. Provide representation to the state board;
- 6) A description of how the eligible provider will provide services in a manner that meets the needs of [eligible individuals](#);
- 7) Information that addresses the following 13 considerations.

THIRTEEN CONSIDERATIONS [FEDERAL REQUIREMENT]

- 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

APPENDIX A

improvements contribute to the eligible agency meeting its state-adjusted levels of performance for the primary indicators of performance

- 4) The extent to which the eligible provider demonstrates alignment between proposed activities and services and the strategy and goals of the local plan under section 108 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 language acquisition 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 education, in a manner sufficient to increase the amount and quality of learning, and how such technology, services, and systems lead to improved performance;
- 8) Whether the eligible provider's activities provide learning in context, including through integrated education and training, so that an individual acquires the skills needed to transition to and complete postsecondary education and training programs, obtain and advance in employment leading to economic self-sufficiency, and to exercise the rights and responsibilities of citizenship;
- 9) Whether the eligible provider's activities are delivered by 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, Local WDBs, 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 section 666.100) 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.

APPENDIX B

IOWA'S PROFESSIONAL DEVELOPMENT MANAGEMENT SYSTEM



Professional Learning Management

Save time with a dynamic online catalog of targeted learning opportunities and streamlined workflows.



Reporting

Gain insights into employee growth and stay in compliance by easily compiling and reporting state-required data.



Growth-Focused Evaluations

Employee observation and appraisal tools free you from the pile of forms so you can spend your time supporting educators' professional growth.



Learning Loop

Recommend targeted professional learning based on evaluation results, and equip educators to engage in self-reflection and peer collaboration.



Observer Calibration

Simulate the entire evaluation process online to train and calibrate observers.

While it may be easier to count hours and track credits, simply offering a catalog of professional development is no longer enough. At the heart of it, the focus needs to be on empowering teachers to guide their own learning. This should be based on identified student needs and should take place in job-embedded, ongoing, collaborative settings. And reflection is needed to identify what was effective (and what wasn't).

Flexible, practical and reportable online tools enable teachers to:



Provide teachers with self-service tools to drive their own learning, in order to create a direct connection between professional learning and practice changes in the classroom.



APPENDIX C

EDUCATIONAL FUNCTIONING LEVELS, TEST BENCHMARKS, AND FUNCTIONAL DESCRIPTORS

Outcome Measures Definitions			
EDUCATIONAL FUNCTIONING LEVEL DESCRIPTORS—ENGLISH AS A SECOND LANGUAGE LEVELS			
Literacy Level	Listening and Speaking	Basic Reading and Writing	Functional and Workplace Skills
<p>ESL Level 1 Beginning ESL Literacy</p> <p>Test Benchmark: CASAS scale scores: Reading: 180 and below L&W Listening: 162-180 and below</p> <p>BEST Plus: 400 and below (SPL 0–1) BEST Literacy: 0–20 (SPL 0–2)</p> <p>TABE CLAS-E scale scores: * Total Reading and Writing: 225-394 Total Listening and Speaking: 230-407</p>	<p>Individual cannot speak or understand English, or understands only isolated words or phrases.</p>	<p>Individual has no or minimal reading or writing skills in any language. May have little or no comprehension of how print corresponds to spoken language and may have difficulty using a writing instrument.</p>	<p>Individual functions minimally or not at all in English and can communicate only through gestures or a few isolated words, such as name and other personal information; may recognize only common signs or symbols (e.g., stop sign, product logos); can handle only very routine entry-level jobs that do not require oral or written communication in English. There is no knowledge or use of computers or technology.</p>
<p>ESL Level 2 Low Beginning ESL</p> <p>Test benchmark: CASAS scale scores Reading: 181–190 L&W Listening: 181–189</p> <p>BEST Plus: 401–417 (SPL 2) BEST Literacy: 21-52 (SPL 2-3)</p> <p>TABE CLAS-E scale scores: * Total Reading and Writing: 395-441 Total Listening and Speaking: 408-449</p>	<p>Individual can understand basic greetings, simple phrases and commands. Can understand simple questions related to personal information, spoken slowly and with repetition. Understands a limited number of words related to immediate needs and can respond with simple learned phrases to some common questions related to routine survival situations. Speaks slowly and with difficulty. Demonstrates little or no control over grammar.</p>	<p>Individual can read numbers and letters and some common sight words. May be able to sound out simple words. Can read and write some familiar words and phrases, but has a limited understanding of connected prose in English. Can write basic personal information (e.g., name, address, telephone number) and can complete simple forms that elicit this information.</p>	<p>Individual functions with difficulty in social situations and in situations related to immediate needs. Can provide limited personal information on simple forms, and can read very simple common forms of print found in the home and environment, such as product names. Can handle routine entry level jobs that require very simple written or oral English communication and in which job tasks can be demonstrated. May have limited knowledge and experience with computers.</p>

Note: The descriptors are *entry-level* descriptors and are illustrative of what a typical student functioning at that level should be able to do. They are not a full description of skills for the level.

CASAS = Comprehensive Adult Student Assessment System • BEST= Basic English Skills Test • TABE CLAS-E = Test of Adult Basic Education Complete Language Assessment System—English

* Refer to the TABE CLAS-E Technical Manual for score ranges for individual reading, writing, listening and speaking tests. Table shows total scores.

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EDUCATIONAL FUNCTIONING LEVELS, TEST BENCHMARKS, AND FUNCTIONAL DESCRIPTORS

Outcome Measures Definitions

EDUCATIONAL FUNCTIONING LEVEL DESCRIPTORS—ENGLISH AS A SECOND LANGUAGE LEVELS

Literacy Level	Listening and Speaking	Basic Reading and Writing	Functional and Workplace Skills
<p>ESL Level 3 High Beginning ESL</p> <p>Test benchmark: CASAS scale scores Reading: 191–200 L&W Listening: 190–199</p> <p>BEST Plus: 418–438 (SPL 3) BEST Literacy: 53–63 (SPL 3-4)</p> <p>TABE CLAS-E scale scores:* Total Reading and Writing: 442-482 Total Listening and Speaking: 450-485</p>	<p>Individual can understand common words, simple phrases, and sentences containing familiar vocabulary, spoken slowly with some repetition. Individual can respond to simple questions about personal everyday activities, and can express immediate needs, using simple learned phrases or short sentences. Shows limited control of grammar.</p>	<p>Individual can read most sight words, and many other common words. Can read familiar phrases and simple sentences but has a limited understanding of connected prose and may need frequent re-reading.</p> <p>Individual can write some simple sentences with limited vocabulary. Meaning may be unclear. Writing shows very little control of basic grammar, capitalization and punctuation and has many spelling errors.</p>	<p>Individual can function in some situations related to immediate needs and in familiar social situations. Can provide basic personal information on simple forms and recognizes simple common forms of print found in the home, workplace and community. Can handle routine entry level jobs requiring basic written or oral English communication and in which job tasks can be demonstrated. May have limited knowledge or experience using computers.</p>
<p>ESL Level 4 Low Intermediate ESL</p> <p>Test Benchmark: CASAS scale scores: Reading: 201–210 L&W Listening: 200–209</p> <p>BEST Plus: 439–472 (SPL 4) BEST Literacy: 64– 67 (SPL 4-5)</p> <p>TABE CLAS-E scale scores:* Total Reading and Writing: 483-514 Total Listening and Speaking: 486-525</p>	<p>Individual can understand simple learned phrases and limited new phrases containing familiar vocabulary spoken slowly with frequent repetition; can ask and respond to questions using such phrases; can express basic survival needs and participate in some routine social conversations, although with some difficulty; and has some control of basic grammar.</p>	<p>Individual can read simple material on familiar subjects and comprehend simple and compound sentences in single or linked paragraphs containing a familiar vocabulary; can write simple notes and messages on familiar situations but lacks clarity and focus. Sentence structure lacks variety but shows some control of basic grammar (e.g., present and past tense) and consistent use of punctuation (e.g., periods, capitalization).</p>	<p>Individual can interpret simple directions and schedules, signs, and maps; can fill out simple forms but needs support on some documents that are not simplified; and can handle routine entry level jobs that involve some written or oral English communication but in which job tasks can be demonstrated. Individual can use simple computer programs and can perform a sequence of routine tasks given directions using technology (e.g., fax machine, computer).</p>

Note: The descriptors are *entry-level* descriptors and are illustrative of what a typical student functioning at that level should be able to do. They are not a full description of skills for the level.

CASAS = Comprehensive Adult Student Assessment System • BEST= Basic English Skills Test • TABE CLAS-E = Test of Adult Basic Education Complete Language Assessment System—English

* Refer to the TABE CLAS-E Technical Manual for score ranges for individual reading, writing, listening and speaking tests. Table shows total scores.

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EDUCATIONAL FUNCTIONING LEVELS, TEST BENCHMARKS, AND FUNCTIONAL DESCRIPTORS

Outcome Measures Definitions			
EDUCATIONAL FUNCTIONING LEVEL DESCRIPTORS—ENGLISH AS A SECOND LANGUAGE LEVELS			
Literacy Level	Listening and Speaking	Basic Reading and Writing	Functional and Workplace Skills
<p>ESL Level 5 High Intermediate ESL</p> <p>Test Benchmark: CASAS scale scores: Reading: 211–220 L&W Listening: 210–218 BEST Plus: 473–506 (SPL 5) BEST Literacy: 68-75 (SPL 5-7)</p> <p>TABE CLAS-E scale scores:* Total Reading and Writing: 515-556 Total Listening and Speaking: 526-558</p>	<p>Individual can understand learned phrases and short new phrases containing familiar vocabulary spoken slowly and with some repetition; can communicate basic survival needs with some help; can participate in conversation in limited social situations and use new phrases with hesitation; and relies on description and concrete terms. There is inconsistent control of more complex grammar.</p>	<p>Individual can read text on familiar subjects that have a simple and clear underlying structure (e.g., clear main idea, chronological order); can use context to determine meaning; can interpret actions required in specific written directions; can write simple paragraphs with main idea and supporting details on familiar topics (e.g., daily activities, personal issues) by recombining learned vocabulary and structures; and can self and peer edit for spelling and punctuation errors.</p>	<p>Individual can meet basic survival and social needs, can follow some simple oral and written instruction, and has some ability to communicate on the telephone on familiar subjects; can write messages and notes related to basic needs; can complete basic medical forms and job applications; and can handle jobs that involve basic oral instructions and written communication in tasks that can be clarified orally. Individual can work with or learn basic computer software, such as word processing, and can follow simple instructions for using technology.</p>
<p>ESL Level 6 Advanced ESL</p> <p>Test Benchmark: CASAS scale scores: Reading: 221–235 L&W Listening: 219–227 BEST Plus: 507–540 (SPL 6) BEST Literacy: 76-78 (SPL 7-8) **</p> <p>TABE CLAS-E scale scores:* Total Reading and Writing: 557-600 Total Listening and Speaking: 559-600</p>	<p>Individual can understand and communicate in a variety of contexts related to daily life and work. Can understand and participate in conversation on a variety of everyday subjects, including some unfamiliar vocabulary, but may need repetition or rewording. Can clarify own or others' meaning by rewording. Can understand the main points of simple discussions and informational communication in familiar contexts. Shows some ability to go beyond learned patterns and construct new sentences. Shows control of basic grammar but has difficulty using more complex structures. Has some basic fluency of speech.</p>	<p>Individual can read moderately complex text related to life roles and descriptions and narratives from authentic materials on familiar subjects. Uses context and word analysis skills to understand vocabulary, and uses multiple strategies to understand unfamiliar texts. Can make inferences, predictions, and compare and contrast information in familiar texts. Individual can write multi-paragraph text (e.g., organizes and develops ideas with clear introduction, body, and conclusion), using some complex grammar and a variety of sentence structures. Makes some grammar and spelling errors. Uses a range of vocabulary.</p>	<p>Individual can function independently to meet most survival needs and to use English in routine social and work situations. Can communicate on the telephone on familiar subjects. Understands radio and television on familiar topics. Can interpret routine charts, tables and graphs and can complete forms and handle work demands that require non-technical oral and written instructions and routine interaction with the public. Individual can use common software, learn new basic applications, and select the correct basic technology in familiar situations.</p>

Note: The descriptors are *entry-level* descriptors and are illustrative of what a typical student functioning at that level should be able to do. They are not a full description of skills for the level.

CASAS = Comprehensive Adult Student Assessment System • BEST= Basic English Skills Test • TABE CLAS-E = Test of Adult Basic Education Complete Language Assessment System—English

* Refer to the TABE CLAS-E Technical Manual for score ranges for individual reading, writing, listening and speaking tests. Table shows only total scores

** Students can be placed into advanced ESL using BEST Literacy but the test does not assess skills beyond this level so students cannot exit Advanced ESL with this test. Retesting of students who enter this level with another assessment is recommended.

APPENDIX D**WIOA AND AEFLA, TITLE II FINAL REGULATIONS – DEFINITIONS**

Adult Basic Education (ABE) — Instructional programs that provide basic skills for adults who are performing below the ninth-grade level in reading, writing, mathematics, and other basic skills. Many of these activities include pre-high school equivalency preparatory components or transition from English language acquisition to ABE instructional programs.

Adult education — Academic instruction and education services below the postsecondary level that increase an individual’s ability to

- read, write, and speak English and perform mathematics or other activities necessary for the attainment of a secondary school diploma or its recognized equivalent;
- transition to postsecondary education and training; and
- obtain employment.

Adult education and literacy activities — Programs, activities, and services that include:

- (a) adult education;
- (b) literacy;
- (c) workplace adult education and literacy activities;
- (d) family literacy activities;
- (e) English language acquisition activities;
- (f) integrated English literacy and civics education;
- (g) workforce preparation activities; or
- (h) integrated education and training.

Adult Secondary Education (ASE) — Instructional programs to serve learners performing between the ninth-grade and twelfth-grade-and-nine-months levels.

Basic skills deficient — An individual who

- is a youth whose English reading, writing, or computing skills are at or below the eighth-grade level on a generally accepted standardized test; or
- is a youth or adult who is unable to compute or solve problems, or read, write, or speak English at a level necessary to function on the job, in the individual’s family, or in society.

Bridge program - Bridge programs prepare adults with limited academic or limited English skills to enter and succeed in credit-bearing postsecondary education and training leading to career-path employment in high-demand, middle- and high-skilled occupations.

Managed enrollment - Managed enrollment is defined as classes where an eligible individual may enter an instructional program only during specific enrollment periods, attend a specific class for the duration of the class term, continue in the same class for subsequent terms only by re-enrolling, and miss no more than a prescribed number of class sessions within a term.

APPENDIX D

Career pathway — A combination of rigorous and high-quality education, training, and other services that

- aligns with the skill needs of industries in the economy of the state or regional economy involved;
- prepares an individual to be successful in any of a full range of secondary or postsecondary education options, including apprenticeships registered under the Act of August 16, 1937, (commonly known as the “National Apprenticeship Act,” 50 Stat. 664, chapter 663; 29 U.S.C. 50 et seq.) (referred to individually in this Act as an “apprenticeship,” except in section 3226 of this title);
- includes counseling to support an individual in achieving the individual’s education and career goals;
- 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;
- 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;
- enables an individual to attain a secondary school diploma or its recognized equivalent, and at least one recognized postsecondary credential; and
- helps an individual enter or advance within a specific occupation or occupational cluster.

Civics education — Instruction on the rights and responsibilities of citizenship and civic participation.

Concurrent — Refers to an eligible individual’s participation or enrollment in multiple activities or programs that occur simultaneously, not sequentially, for the purpose of accelerating the attainment of educational and training outcomes.

Correctional institution — Any prison; jail; reformatory; work farm; detention center; or halfway house, community-based rehabilitation center, or any other similar institution designed for the confinement or rehabilitation of criminal offenders.

Criminal offender — Any individual who is charged with or convicted of any criminal offense.

Demonstrated effectiveness — An eligible provider must demonstrate past effectiveness by providing performance data on its record of improving the skills of eligible individuals, particularly eligible individuals who have low levels of literacy, in the content domains of reading, writing, mathematics, English language acquisition, and other subject areas relevant to the services contained in the state’s application for funds. An eligible provider must also provide information regarding its outcomes for participants related to employment, attainment of secondary school diploma or its recognized equivalent, and transition to postsecondary education and training.

There are two ways in which an eligible provider may meet the requirements:

- (1) An eligible provider that has been funded under title II of the Act must provide performance data required under section 116 to demonstrate past effectiveness.
- (2) An eligible provider that has not been previously funded under title II of the Act must provide performance data to demonstrate its past effectiveness in serving basic skills-deficient eligible individuals, including evidence of its success in achieving outcomes listed above.

APPENDIX D

Digital literacy and use of technology — Skills associated with using technology to enable users to find, evaluate, organize, create, and communicate information. Technology should be used to enhance teaching and learning, including the use of effective distance education technology and instructional software.

Educational Functioning Levels (EFL) — A set of skills and competencies that students demonstrate in the National Reporting System (NRS) skill areas. Levels included are Adult Basic Education (ABE), Adult Secondary Education (ASE), and English as a Second Language (ESL) literacy levels.

Eligible individual — A learner—

- who has attained 16 years of age, is not enrolled or required to be enrolled in secondary school under state law; and
- who is basic skills deficient, does not have a secondary school diploma or its recognized equivalent, and has not achieved an equivalent level of education; or is an English language learner.

Eligible provider — An organization that has demonstrated effectiveness in providing adult education and literacy activities is eligible to apply for a grant or contract. These organizations may include, but are not limited to:

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

English as a Second Language (ESL) — Instruction designed for an adult whose educational functioning level is equivalent to a particular ESL English language proficiency level listed in the NRS educational functioning level table. (The acronym ESL is used only for NRS educational functioning levels.)

English Language Acquisition (ELA) program — A program of instruction that is designed to help eligible individuals who are English language learners achieve competence in reading, writing, speaking, and comprehension of the English language; and that leads to the attainment of a secondary school diploma or its recognized equivalent; and transition to postsecondary education and training; or employment.

English Language Learner (ELL) — An eligible individual who has limited ability in reading, writing, speaking, or comprehending the English language, and

- whose native language is a language other than English; or
- who lives in a family or community environment where a language other than English is the dominant language.

APPENDIX D

Family literacy activities — Activities of sufficient intensity and quality to make sustainable improvements in the economic prospects for a family and that better enable parents or family members to support their children’s learning needs, and that integrate all of 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 teacher for their children and full partners in the education of their children; and
- an age-appropriate education to prepare children for success in school and life experiences.

Incumbent worker — An individual who has an established employment history with the employer for six months or more.

Incumbent worker training — Training by an employer or a training provider in close partnership with an employer that is provided to a paid participant while engaged in productive work in a job that:

- provides the knowledge or skills essential to the full and adequate performance of the occupation;
- provides reimbursement to the employer for the costs of providing the training and additional supervision related to the training;
- is limited in duration as appropriate to the occupation for which the participant is being trained;
- is intended to meet the requirements of an employer or group of employers to retain a skilled workforce or avert layoffs of employees by assisting the workers in obtaining the skills necessary to retain employment.

Integrated Education and Training (IET) — 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. As a part of a career pathway, the design of an IET program should support the local workforce development board plans. Refer to other definitions, on pages 9 through 15, as needed.

The IET program must include three components:

- (a) adult education and literacy activities
- (b) workforce preparation activities
- (c) workforce training for a specific occupation or occupational cluster

In order to meet the required three components, services must be provided concurrently and contextually such that:

- (a) within the overall scope of a particular integrated education and training program, the adult education and literacy activities, workforce preparation activities, and workforce training:
 - (1) are each of sufficient intensity and quality, and based on the most rigorous research available, particularly with respect to improving reading, writing, mathematics, and English proficiency of eligible individuals;
 - (2) occur simultaneously; and
 - (3) use occupationally relevant instructional materials.
- (b) the integrated education and training program has a single set of learning objectives that identifies specific adult education content, workforce preparation activities, and workforce training competencies, and the program activities are organized to function cooperatively.

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A provider meets the requirement that the integrated education and training program provided is for the purpose of educational and career advancement if:

- (a) the adult education component of the program is aligned with the College and Career Readiness Standards for adult education as described in the Combined State Plan and
- (b) the integrated education and training program is part of a career pathway.

There are two options for a local provider in offering IET:

- (a) co-enrolling participants in an IET program provided through a local or regional workforce development partner
- (b) using section 243 funds to establish the IET program.

Integrated English Literacy and Civics Education (IELCE)

- ***IELCE Activities:*** Education services provided to English language learners **under section 231** of the Act who are adults, including professionals with degrees and 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.

Such services shall include:

- (1) instruction in literacy and English language acquisition,
- (2) instruction on the rights and responsibilities of citizenship and civic participation, and
- (3) **may** include workforce training.

- ***IELCE Program:*** Education services for English language learners **under section 243** of the Act who are adults, including professionals with degrees and 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.

Programs are 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.

Such services shall include instruction in:

- (1) literacy and English language acquisition,
- (2) instruction on the rights and responsibilities of citizenship and civic participation, and
- (3) **must** include Integrated Education and Training (see definition).

Literacy — An individual's ability to read, write, and speak in English, compute, and solve problems, at levels of proficiency necessary to function on the job, in the family of the individual, and in society.

Postsecondary educational institution —

- An institution of higher education that provides not less than a two-year program of instruction that is acceptable for credit toward a bachelor's degree;
- a tribally controlled college or university; or
- a nonprofit educational institution offering certificate or apprenticeship programs at the postsecondary level.

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Recidivism — It refers to a person's relapse into criminal behavior that results in re-arrest, reconviction, or return to prison with or without a new sentence during a three-year period following the prisoner's release.

SMART Objectives — The concrete criteria used to measure the outcome of an activity. Objectives are **S**pecific, **M**easurable, **A**ttainable, **R**ealistic, and **T**imely.

Unsubsidized employment — Unsubsidized employment is work with earnings provided by an employer who does not receive a subsidy for the creation and maintenance of the employment position.

Workplace adult education and literacy activities — Adult education and literacy activities offered by an eligible provider in collaboration with an employer or employee organization at a workplace or an off-site location that is designed to improve the productivity of the workforce.

Workforce preparation activities — Activities, programs, or services designed to help an individual acquire a combination of basic academic skills, critical-thinking skills, digital literacy skills, and self-management skills, including competencies in utilizing resources, using information, working with others, understanding systems, and obtaining skills necessary for successful transition into and completion of postsecondary education or training, or employment.

Workforce training — Services may include:

1. occupational skills training, including training for nontraditional employment;
2. on-the-job training;
3. incumbent worker training (see definition);
4. programs that combine workplace training with related instruction, which may include cooperative education programs;
5. training programs operated by the private sector;
6. skill upgrading and retraining;
7. entrepreneurial training;
8. transitional jobs;
9. job readiness training provided in combination with services described in any of the items 1-8 above;
10. adult education and literacy activities, including activities of English language acquisition and integrated education and training programs, provided concurrently or in combination with services described in 1-7 above; and
11. customized training conducted with a commitment by an employer or group of employers to employ an individual upon successful completion of the training.

APPENDIX E

OBJECT CODES

Code	Description
101	Personnel Services—Salaries and Wages (Administrative/Instructional). Amounts paid to both permanent and temporary employees, including personnel substituting for those in permanent positions. This includes gross salary for personal services rendered while on the payroll as well as the amounts paid on behalf of employees (amounts not included in gross salary but in addition to that amount). Such payments are fringe benefit payments and, although not paid directly to employees, nevertheless are part of the cost of personal services. If administrative costs can be directly billed for personnel use this budget code
202	In State Travel (Meals, Lodging and Registration). Expenditures for transportation, meals, hotel, and other expenditure/expenses associated with AEL staff travel within the state. Payments are for actual expenses not for per diem. Reimbursement of mileage is at the state rate of \$0.39.
205	Out of State Travel (Meals, Lodging and Registration). Expenditures for transportation, meals, hotel, and other expenditure/expenses associated with AEL staff travel outside of Iowa. Payments are for actual expenses not for per diem.
301	Office Supplies and Materials (Curriculum and Training Materials). Amounts paid for items that are consumed, are worn out, or have deteriorated through use or items that lose their identity through fabrication or incorporation into different or more complex units or substances. Expenditures for all supplies (other than those listed below) for the operation of a school district, including freight and cartage. Expenditures for printing, copying and binding, usually according to specifications of the school district. Textbooks, loose-leaf or bound manuals, systems of reusable instructional materials or combinations of books and supplementary instructional materials which convey information to the program participant or otherwise contribute to the learning process.
405	Professional Development Contracts (Fees, Travel Expenses, Training Materials). Services that by their nature can be performed only by persons or firms with specialized skills and knowledge. Although a product may or may not result from the contract, the primary reason for the purchase is the service provided. Included are the charges from external vendors to conduct training courses (at either the AEL site or off-site), and other expenditures associated with training or professional development by third-party vendors. All expenditures should be captured in this account regardless of the type or intent of the training course or professional development activity.
406	Contracts. (Funds paid for services or pass through to other providers/partners). Services supporting the instructional program. Included are child care, transportation and training services that can be directly billed for participants and activities but provided by a third party through a cost sharing agreement, MOU or invoice. These services could include for additional assessment, counseling and guidance services related to Integrated Education and Training.

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- 505 **Data Processing Non Inventory (Desktop Software License Fees).** Electronic licenses or assessments, include but are not limited to computer software, applications using computer-assisted instruction and other computer courseware which convey information to the student or otherwise contribute to the learning process. Technology-related supplies include supplies that are typically used in conjunction with technology-related hardware or software under the amount of \$5,000.
- 602 **Other Expenses and Obligations.** Any indirect administrative expense would be in this budget code including but not limited to expenditures incurred for the common benefit of more than one direct activity, and therefore are not easily or specifically identifiable with any particular activity. Examples include expenditures for utilities, insurance coverage, and administrative services, such as the Financial Services Office, Purchasing, Personnel, Payroll, Institutional Finance, Management Analysis and Research.

APPENDIX F**EXAMPLE JOB DESCRIPTIONS FOR
STATE REQUIRED KEY STAFF****PROGRAM COORDINATOR (PROJECT DIRECTOR)****Primary Purpose of Position:**

This position serves as the leader for an adult education and literacy program and is responsible for ensuring that the program structures and procedures are in place for effective operation. The Program Coordinator (Project Director) needs to provide leadership which supports instructional excellence, grant fiscal management, professional development, resource development, community collaborations, and continuous improvement through program accountability.

Required Knowledge:

- ❖ Knowledge of adult learning theory
- ❖ Knowledge of assessment, curriculum design and development and instructional processes and strategies based on research in adult learning and development
- ❖ Knowledge of all TE® data elements and oversight of local Intake and Update processes
- ❖ Knowledge of professional development and training procedures
- ❖ Knowledge of budget management and fiscal reporting
- ❖ Knowledge of monitoring and evaluating procedures
- ❖ Knowledge of participatory management
- ❖ Knowledge of data driven program planning

Local Program Duties Include:

- ❖ Working as a team leader with the Lead Instructor and the Data Specialist and Intake/Assessment Specialist (as size of program requires) to initiate and facilitate continuous program improvement
- ❖ Promoting the program philosophy, goals, and objectives
- ❖ Ensuring the program is inclusive and suitable for students with cultural differences and special language and learning needs
- ❖ Providing instructional leadership and overseeing the processes for intake, assessment and placement, curriculum development, professional development, and instruction
- ❖ Assuring adequate intensity of instruction, schedule flexibility, teacher/learner ratios, and support services to help learners reach their goals
- ❖ Ensuring that the instructional program is serving the needs of the learners and the broader community
- ❖ Using various needs assessments and other approaches to gather information and subsequently using the results for program planning
- ❖ Implementing and supporting instructional processes and strategies based on current research
- ❖ Monitoring and evaluating staff, learner, and program progress, data quality, and program design through the analysis of observations, data, and other program outcomes
- ❖ Monitoring expenditures and fiscal reporting on a regular basis
- ❖ Ensuring data is accessible to stakeholders in a timely manner
- ❖ Fulfilling legal and program requirements for compliance
- ❖ Collaborating with the larger community to improve the delivery of services, to increase resources, to provide services to learners, and to advocate for the adult learner
- ❖ Managing available resources and seeking additional resources to keep the program running effectively and efficiently
- ❖ Ensuring that the processes for recruiting, hiring, training, evaluating, and terminating staff are clearly documented and equitably implemented
- ❖ Modeling lifelong learning practices and promoting continuous professional development for staff

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- ❖ Assuring staff receive written information related to the rights and responsibilities, legal requirements related to compliance, emergency contact information, etc.
- ❖ Guiding, providing, and supporting staff in outlining professional development plans based on strengths and weaknesses and on program goals and initiatives
- ❖ Assisting with the development and execution of the program's *Data Quality Plan*
- ❖ Performing other duties as assigned based upon program demographics, enrollment trends, and the needs of target populations

State Level Duties Include:

- ❖ Attending state administrative meetings and participating in monthly conference calls
- ❖ Complying with all grant requirements
- ❖ Meeting all grant management requirements and deadlines established by the state funding agency
- ❖ Communicating/implementing pertinent information to appropriate local program staff and state adult education program monitors
- ❖ Attending state professional development activities and applying them at the local level

Qualifications:

- ❖ Bachelor's degree required; Master's degree preferred
- ❖ Adult education teaching experience required
- ❖ Instructional leadership experience required
- ❖ Budget management experience required
- ❖ Grant management experience preferred

Employment Terms:

- ❖ Full-time, as defined by the grantee organization
- ❖ Attendance at state required meetings and trainings must be included in weekly paid hours

APPENDIX G**FAQ TO USE FEDERAL FUNDS FOR CONFERENCES AND MEETINGS****1. May Federal grant funds be used to host a meeting or conference?**

Yes. Federal grant funds may be used to host a meeting or conference if doing so is:

- a. Consistent with its approved application or plan;
- b. For purposes that are directly relevant to the program and the operation of the grant, such as for conveying technical information related to the objectives of the grant; and
- c. Reasonable and necessary to achieve the goals and objectives of the approved grant.

2. What factors should a grantee consider when deciding whether to host a meeting or conference?

Grantees should consider whether a face-to-face meeting or conference is the most effective or efficient way to achieve the desired result and whether there are alternatives, such as webinars or video conferences, that would be equally or similarly effective and more efficient in terms of time and costs than a face-to-face meeting. In addition, grantees should consider how the meeting or conference will be perceived by the public; for example, will the meeting or conference be perceived as a good use of taxpayer dollars?

3. May a grantee use Federal grant funds to pay for food, beverages, or snacks?

Generally, there is a very high burden of proof to show that paying for food and beverages with Federal funds is necessary to meet the goals and objectives of a Federal grant. When a grantee is hosting a meeting, the grantee should structure the agenda for the meeting so that there is time for participants to purchase their own food, beverages, and snacks. In addition, when planning a meeting, grantees may want to consider a location in which participants have easy access to food and beverages.

While these determinations will be made on a case-by-case basis, and there may be some circumstances where the cost would be permissible, it is likely that those circumstances will be rare. Grantees, therefore, will have to make a compelling case that the unique circumstances they have identified would justify these costs as reasonable and necessary.

4. May indirect cost funds be used to pay for food and beverages?

The cost of food and beverages, because they are easily associated with a specific cost objective are properly treated as direct costs, rather than indirect costs. As noted above, Federal grant funds cannot be used to pay for food and beverages unless doing so is reasonable and necessary.

5. May a grantee use non-Federal resources (e.g., State or local resources) to pay for food or beverages at a meeting or conference that is being held to meet the goals and objectives of its grant?

Grantees should follow their own policies and procedures and State and local law for using non-Federal resources to pay for food or beverages, including its policies and procedures for accepting gifts or in-kind contributions from third parties. However, if non-Federal funds are used to pay for food at a grantee-sponsored meeting or conference, the grantee should make clear through a written disclaimer or announcement (e.g., a note on the agenda for the meeting) that Federal grant funds were not used to pay for the cost of the food or beverages. Grantees should also be sure that any food and beverages provided with non-Federal funds are appropriate for the grantee event, and do not detract from the event's purpose.

6. May grantees provide meeting participants with the option of paying for food and beverages (e.g., could a grantee have boxed lunches provided at cost for participants)?

Yes. Grantees may offer meeting participants the option of paying for food (such as lunch, breakfast, or snacks) and beverages, and arrange for these items to be available at the meeting.

7. May grantees use Federal grant funds to pay for the cost of attending a meeting or conference?

If attending a meeting or conference is necessary to achieve the goals and objectives of the grant, and if the expenses are reasonable (based on the grantee's own policies and procedures, and State and local

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laws), Federal grant funds may be used to pay for travel expenses of grantee employees, consultants, or experts to attend a meeting or conference. To determine whether a meeting or conference is “necessary,” grantees should consider whether the goals and objectives of the grant can be achieved without the meeting or conference and whether there is an equally effective and more efficient way (in terms of time and money) to achieve the goals and objectives of the grant.

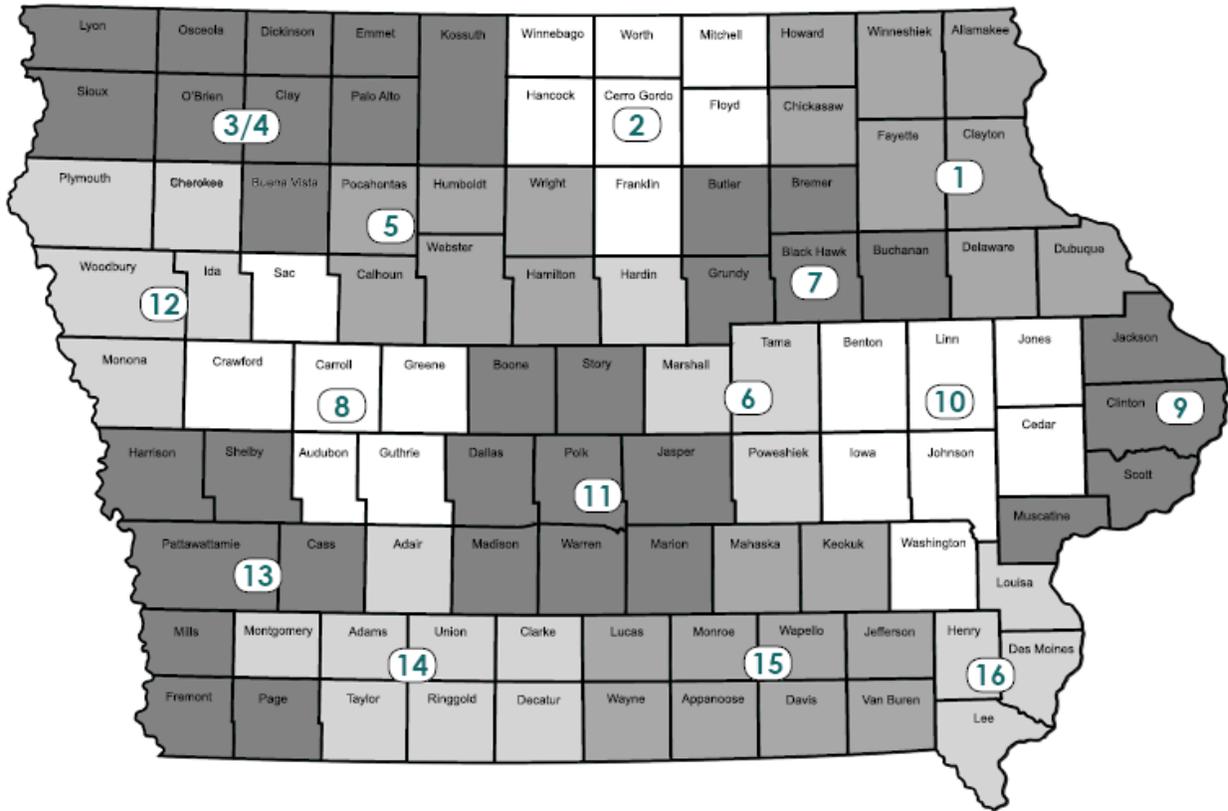
8. What are the consequences of using Federal grant funds on unallowable expenses?

IDOE will not reimburse expenses that are deemed unallowable. If it is discovered through an audit or through program monitoring, as having been used for unallowable costs, including unallowable conference expenses, IDOE may seek to recover any Federal grant funds identified.

APPENDIX H

ALIGNMENT REQUIREMENTS [FEDERAL AND STATE REQUIREMENT]

Iowa's Workforce Development Board Regions*



* <https://www.iowawdb.gov/>

APPENDIX I

INTEGRATED ENGLISH LANGUAGE AND CIVICS EDUCATION (IELCE) CHECKLIST

An IELCE program must meet the definition and requirements set forth in [WIOA law](#) and the final [regulations](#) as published by the Department of Education on August 19, 2016, in the Federal Register. This review form may be used for the development or review of an IELCE program as set forth in Subpart G of the regulations.

Note: This review form is designed specifically for the IELCE Program described in Subpart G.

IELCE provides education services to English language learners who are adults, including professionals with degrees and 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. Such services must include instruction in literacy and English language acquisition and instruction on the rights and responsibilities of citizenship and civic participation. The funds provided under section 243 of the Act must be used in combination with integrated education and training.

Instructions: Answer the Review Questions for each section.

<p>A. Eligible Participants §463.70</p> <p>The IELCE program must provide education services to English language learners who are adults, including professionals with degrees and credentials in their native countries.</p>	<p>Review Questions:</p> <p>A1. Describe the eligible individuals to be served in this IELCE program?</p> <p>A2. Are specific population subgroups targeted? If so, why?</p> <p>A3. Are professionals with degrees and credentials in their native countries included in the target population? Why (not)?</p> <p>A4. How were eligible individuals recruited?</p> <p>A5. What demographic or other data were used to determine the target population for this IELCE program?</p> <p>Note – Potential demographic data resources may include:</p> <ul style="list-style-type: none"> • U.S. Census American Factfinder Tool (For languages spoken at home with self-reporting English language proficiency) • Migration Policy Institute’s (MPI) State Immigration Data Profiles (For entire universe of limited English proficient individuals, including those in the labor force) • U.S. Department of Education’s Adult Education NRS (Individuals at all ESL educational functioning levels that have achieved measurable skills gains [Tables 3 & 4 but other tables as well]) • Other state, regional or local population data bases •
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<p>B. English Language Acquisition and Civics §463.70</p> <ol style="list-style-type: none"> 1. The IELCE program must include instruction in IELCE and must include instruction in literacy and English language acquisition as described under §463.33. 2. The IELCE program must include instruction on the rights and responsibilities of citizenship and civic participation as described under §463.33. 	<p>Review Questions:</p> <p>B1. Describe the literacy and English language instruction?</p> <p>B2. How is it aligned with the State’s content standards for adult education?</p> <p>B3. Describe the rights and responsibilities of citizenship and civic participation instruction-how is it offered in the IELCE program?</p>
<p>C. IET Component of an IELCE Program¹</p> <ol style="list-style-type: none"> 1. IELCE in Combination with IET - §463.74 specifies that an eligible provider that receives funds through the IELCE program may meet the requirement to use funds for integrated English literacy and civics education <i>in combination with</i> integrated education and training activities by: <ol style="list-style-type: none"> a. Co-enrolling participants in integrated education and training as described in subpart D that is provided within the local or regional workforce development area from sources other than section 243; or b. Using funds provided under section 243 to support integrated education and training activities as cited in subpart D. 	<p>Review Questions:</p> <p>C1. How is IELCE delivered in combination with the IET activities for participants?</p> <p>C2. If participants are co-enrolled in an IET program provided from sources other than WIOA Section 243 funding, describe how IELCE participants access and participate in the IET program?</p> <p>C3. If the IET program is provided using WIOA Section 243 funds, describe how IELCE participants access and participate in the IET program?</p>
<p>D. IELCE Funding and Program Delivery Strategy</p>	<p>D1. Which funding sources are being used to implement the IELCE program (e.g., AEFLA 243 or 231, Title 1, TANF, ETC.)?</p> <p>D2. If multiple funding sources are being use, which funding source is applied to which component/activity?</p>

¹For reviewing the IET required content of an IELCE program, use the *Integrated Education and Training Compliance Review Form*.

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	<p>D3. Who is doing what? That is, for each major component of the IELCE program, describe what person (job title) from which agency/institution is administering or implementing that specific component.</p> <p>D4. What is the program strategy for supporting program participants and ensuring learner retention? For example, what partnerships exist and what and personal and program support services are in place to support learners?</p> <p>D5. How was data used to shape program design?</p> <p>Note – Potential data resources that may impact program design may include:</p> <ul style="list-style-type: none"> • U.S. Department of Labor’s Career Pathways Toolkit (Comprehensive list of data sources for analyzing in-demand occupations and industries) • Bureau of Labor Statistics Occupational Employment Statistics (Employment by occupation and industry at national, state, and some metropolitan areas) • Bureau of Labor Statistics Current Employment Statistics (Employment projections by industry for states and some metropolitan areas) • U.S. Department of Labor’s Occupational Information Network- O*NET (Find occupations within industry and those with a bright future) • Other state, regional or local LMI or occupational data bases
<p>E. Eligible Provider Requirements §463.73</p> <p>Eligible providers receiving funds through the Integrated English Literacy and Civics Education program must provide services that are designed to:</p> <ol style="list-style-type: none"> 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. 	<p>Review Questions:</p> <p>E1. What is the strategy or design for preparing ELL participants for, and placing them in, unsubsidized employment in in-demand industries and occupations that lead to economic self-sufficiency?</p> <p>E2. How does this IELCE program integrate with the local workforce development system to carry out the activities of the program?</p>

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INTEGRATED EDUCATION AND TRAINING (IET) CHECKLIST

An IET program must meet the definition and requirements set forth in [WIOA law](#) and the final [regulations](#) as established by the Department of Education on 8/19/16. This review form may be used for the development or review of a WIOA compliant IET program.

General discussion – Integrated Education and Training is 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 (§463.35). An IET program must include the following three components: adult education and literacy activities, workforce preparation activities, and workforce training (§463.36). In addition, as part of a career pathway (§463.37), the design of an IET program should support the local and state workforce development board plans as required under WIOA.

Instructions: Answer the Review Questions for each section.

<p>A. Adult Education and Literacy Activities must include one or more of the following as described in rule §463.30:</p> <ol style="list-style-type: none"> 1. Adult education 2. Literacy 3. Workplace adult education and literacy activities 4. Family literacy activities 5. English language acquisition activities 6. Civics education 	<p>Review Questions:</p> <p>A1. Which activities are included in this IET program?</p> <p>A2. Which of the State’s content standards (CCRS, English Language Proficiency Standards) are reflected in these activities?</p>
<p>B. Workforce Preparation Activities as cited in §463.34 are required in an IET program and may include the following:</p> <ol style="list-style-type: none"> 1. Activities, programs, or services that are designed to help an individual acquire a combination of 21st Century skills, critical thinking, digital literacy, and self-management skills 2. Employability skills that address competencies in using resources and information, working with others, understanding systems, and obtaining skills necessary to successfully transition to and complete postsecondary education, training, and employment 3. Other employability skills that increase an individual’s preparation for the workforce 	<p>Review Question:</p> <p>B1. What specific workforce preparation activities are included in this IET program?</p> <p>B2. Which of the State’s content standards (21st Century Skills) are reflected in these activities?</p>
<p>C. Workforce Training must include at least one of the following as described in WIOA law section 134 (c) (3) (D):</p>	<p>Review Questions:</p> <p>C1. Which workforce training activities are included in this IET program?</p>

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<p>2. The integrated education and training program has a single set of learning objectives that identifies:</p> <ol style="list-style-type: none"> specific adult education content; workforce preparation activities; and workforce training competencies, and the program activities are organized to function cooperatively. 	<p>D6. How does the single set of IET learning objectives identify specific adult education content, workforce preparation activities, and workforce training competencies, and the program activities are organized to function cooperatively?</p>
<p>E. The phrase “for purposes of educational and career advancement” (§463.38) means:</p> <ol style="list-style-type: none"> The adult education component of the program is aligned with the State’s content standards for adult education as described in the State’s Unified or Combined State Plan; and The integrated education and training program is part of a career pathway. <p>WIOA Sec. 3(7) defines Career Pathways to mean a combination of rigorous and high-quality education, training, and other services that:</p> <ol style="list-style-type: none"> aligns with skill needs of industries in the state or regional economy prepares an individual to succeed in secondary or postsecondary education options includes counseling to support the individual’s education and career goals includes education offered concurrently and contextually with workforce preparation and training in specific occupation or occupational cluster organizes education, training and other services to support the particular needs of an individual to accelerate their educational and career advancement enables an individual to attain a secondary school diploma or its recognized equivalent helps an individual enter or advance within a specific occupation or occupational cluster 	<p>Review Questions:</p> <p>E1. How does the adult education component of the IET program align with the State’s content standards for adult education?</p> <p>E2. How does the IET program reflect the criteria of being a part of a career pathway?</p> <p>E3. What data are used for individuals (target population selection) and industry/occupations (LMI) as part of the career pathways and IET program development?</p> <p>Note – Potential demographic data resources may include:</p> <ul style="list-style-type: none"> • U.S. Census American Factfinder Tool (For languages spoken at home with self-reporting English language proficiency) • Migration Policy Institute’s (MPI) State Immigration Data Profiles (For entire universe of limited English proficient individuals, including those in the labor force) • U.S. Department of Education’s Adult Education NRS (Individuals at all ESL educational functioning levels that have achieved measurable skills gains [Tables 3 & 4 but other tables as well]) • Other state, regional or local population data bases <p>Note – Potential data resources that may impact IET program design may include:</p> <ul style="list-style-type: none"> • U.S. Department of Labor’s Career Pathways Toolkit (Comprehensive list of data sources for analyzing in-demand occupations and industries) • Bureau of Labor Statistics Occupational Employment Statistics (Employment by occupation and industry at national, state, and some metropolitan areas) • Bureau of Labor Statistics Current Employment Statistics (Employment projections by industry for states and some metropolitan areas)

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	<ul style="list-style-type: none"> • U.S. Department of Labor’s Occupational Information Network- O*NET (Find occupations within industry and those with a bright future) • Other state, regional or local LMI or occupational data bases
F. Funding and Program Delivery Strategy	<p>F1. Which funding sources are being used to implement the IET program (e.g., AEFLA 231, Title 1, TANF, ETC.)?</p> <p>F2. If multiple funding sources are being use, which funding source is applied to which component/activity?</p> <p>F3. Who is doing what? That is, for each major component of the IET program, describe what person (job title) from which agency/institution is administering or implementing that specific component.</p> <p>F4. What is the program strategy for supporting program participants and ensuring learner retention? For example, what partnerships exist and what and personal and program support services are in place to support learners?</p>
G. Local Workforce Plan Alignment Related to Career Pathways	<p>Review Questions:</p> <p>G1. Given the required alignment with local workforce plans, and specifically the requirement that local workforce plans must include objectives and strategies for addressing career pathway programming, how does this IET program align to the local workforce plans with regard to career pathways?</p> <p>G2. How does the data in E3 above align with the labor market analysis in the local workforce plan?</p> <p>G3. How do the IET support the local workforce plan’s strategic vision and goals? (see Sec. 108 (b)(1)(F))</p> <p>G4. How is local eligible provider’s IET addressing and aligning with how WIOA core programs will expand access to employment, education and other services for individuals with barriers to employment through career pathways (see Section 108(b)(3))?</p>



COMMUNITY COLLEGES & WORKFORCE PREPARATION

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The Division of Community Colleges and Workforce Preparation within the Iowa Department of Education administers a variety of diverse programs that enhance Iowa's educational system and help to prepare a skilled and knowledgeable workforce. Divided between two bureaus — the Bureau of Community Colleges and the Bureau of Career and Technical Education — the division is committed to providing and supporting opportunities for lifelong learning. In addition to working with Iowa's 15 public community colleges on state accreditation, program approval, equity review, and data reporting, guidance is also provided in the areas of career and technical education, workforce training and economic development, adult education and literacy, military education, the state mandated OWI education program, the GAP Tuition and PACE programs, Senior Year Plus, the National Crosswalk Service Center, and the Statewide Intermediary Network program.