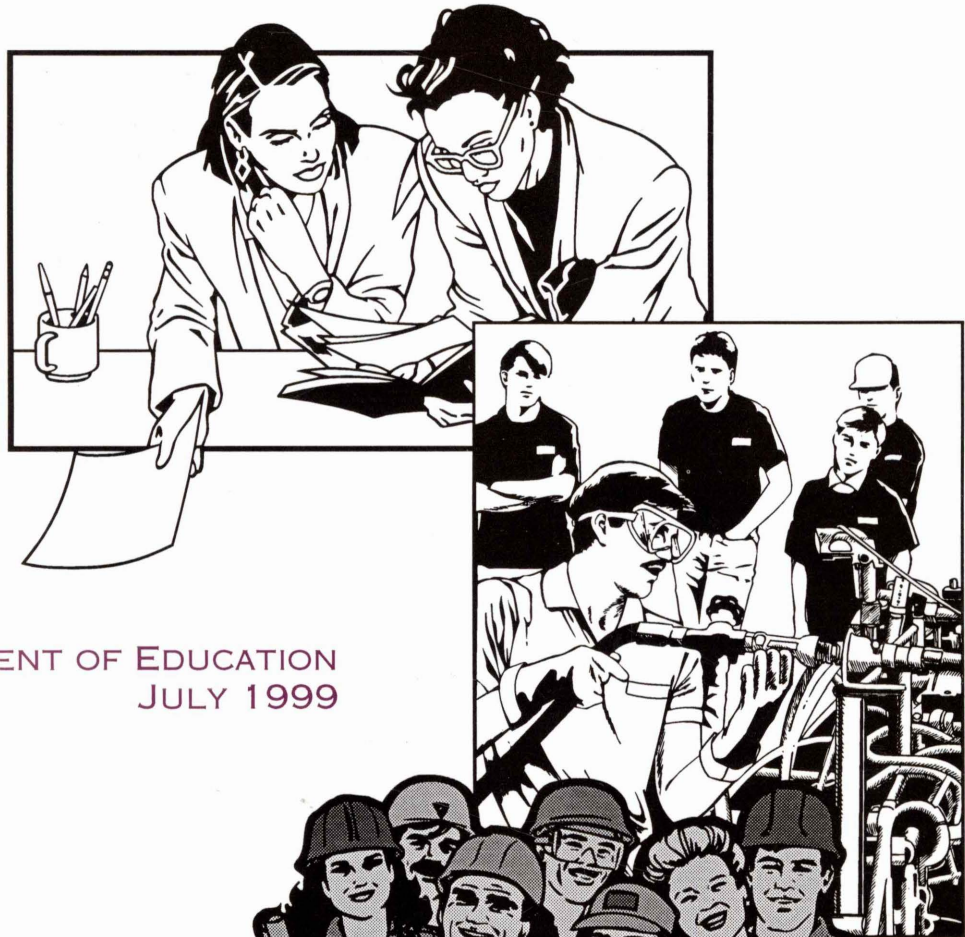


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IOWA'S STATE PLAN FOR ADULT BASIC EDUCATION: FISCAL YEARS 2000-2004



IOWA DEPARTMENT OF EDUCATION
JULY 1999

**IOWA'S STATE PLAN FOR
ADULT BASIC EDUCATION:
Fiscal Years 2000-2004**

IOWA DEPARTMENT OF EDUCATION
July 1999

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

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PREFACE

The passage of the Workforce Investment Act of 1998 (WIA) [Public Law 105-220] by the 105th Congress has ushered in a new era of collaboration, coordination, cooperation and accountability. The overall goal of the Act is "to increase the employment, retention, and earnings of participants, and increase occupational skill attainment by participants, and, as a result improve the quality of the workforce, reduce welfare dependency, and enhance the productivity and competitiveness of the Nation." The key principles inculcated in the Act are:

- streamlining services;
- empowering individuals;
- universal access;
- increased accountability;
- new roles for local boards;
- state and local flexibility;
- improved youth programs.

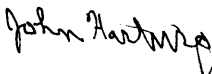
The purpose of Title II, The Adult Education and Family Literacy Act (AEFLA) of the Workforce Investment Act of 1998, is to create a partnership among the federal government, states, and localities to provide, on a voluntary basis, adult education and literacy services in order to:

- assist adults to become literate and obtain the knowledge and skills necessary for employment and self-sufficiency;
- assist adults who are parents 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.

The major purposes of the Iowa Adult Basic Education Plan for state fiscal years 2000-2004 are:

- provide a comprehensive blue print for implementation of Title II of the Act;
- serve as a basis for both immediate and long-range planning and continuous, systematic evaluation of program effectiveness;
- provide basis for common understanding among Iowa's literacy partners, other interested entities and the U.S. Department of Education.

The Plan was developed around the concepts of: 1) proactiveness, 2) accountability, 3) planning, 4) evaluation, 5) research, 6) utilization and dissemination of research and evaluation results. The Plan is designed to be comprehensive in scope and descriptive in the totality of adult basic education programs and services in Iowa. The Plan represents creativity and innovativeness in the implementation of Title II of the Act. The Plan also provides a comprehensive blue print for the transition into the twenty-first century.



John Hartwig, Ph.D.
Iowa State Director of Adult Education
Division of Community Colleges and Workforce Preparation
Iowa Department of Education
July 1999



1.0 CERTIFICATIONS, ASSURANCES, PURPOSES AND VISION

UNITED STATES DEPARTMENT OF EDUCATION
Office of Vocational and Adult Education

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

The Iowa Department of Education of the State of Iowa hereby submits its five year State Plan to be effective until June 30, 2004. The eligible agency also assures that this plan, which serves as an agreement between State and Federal Governments under the Adult Education and Family Literacy Act, will be administered in accordance with applicable Federal laws and regulations, including the following certifications and assurances:

1.1 Certifications

EDUCATION DEPARTMENT GENERAL
ADMINISTRATIVE REGULATIONS
(34 CFR PART 76.104)

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

1.2 Assurances

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

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

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

SEC. 241 ADMINISTRATIVE PROVISIONS.

(a) Supplement Not Supplant.—Funds made available for adult education and literacy activities under this subtitle shall supplement and not supplant other State or local public funds expended for adult education and literacy activities.

(b) Maintenance of Effort.—

(1) In general.—

(A) Determination.—An eligible agency may receive funds under this subtitle for any fiscal year if the Secretary finds that the fiscal effort per student or the aggregate expenditures of such eligible agency for adult education and literacy activities, in the second preceding fiscal year, was not less than 90 percent of the fiscal effort per student or the aggregate expenditures of such eligible agency for adult education and literacy activities, in the third preceding fiscal year.

(B) Proportionate reduction.—Subject to paragraphs (2), (3), and (4), for any fiscal year with respect to which the Secretary determines under subparagraph (A) that the fiscal effort or the aggregate expenditures of an eligible agency for the preceding program year were less than such effort or expenditures for the second preceding program year, the Secretary—

(i) shall determine the percentage decreases in such effort or in such expenditures; and


(ii) shall decrease the payment made under this subtitle for such program year to the agency for adult education and literacy activities by the lesser of such percentages.

(2) Computation.—In computing the fiscal effort and aggregate expenditures under paragraph (1), the Secretary shall exclude capital expenditures and special one-time project costs.

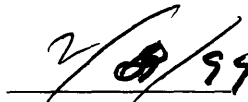
(3) Decrease in federal support.—If the amount made available for adult education and literacy activities under this subtitle for a fiscal year is less than the amount made available for adult education and literacy activities under this subtitle for the preceding fiscal year, then the fiscal effort per student and the aggregate expenditures of an eligible agency required in order to avoid a reduction under paragraph (1)(B) shall be decreased by the same percentage as the percentage decrease in the amount so made available.

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

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



Ted Stilwill, Director
Iowa Department of Education



(date)

1.3 Purpose of the Iowa Adult Education and Family Literacy Act

The purpose of Title II, The Adult Education and Family Literacy Act, of the Workforce Investment Act (WIA) of 1998 is to create a partnership among the federal government, states, and localities to provide, on a voluntary basis, adult education and literacy services in order to:

- assist adults become literate and obtain the knowledge and skills necessary for employment and self-sufficiency;
- assist adults who are parents 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.

1.3.1 Purpose of the Iowa Adult Basic Education State Plan

The Iowa Adult Basic Education State Plan for state fiscal years 2000-2004 is a standard requirement used in connection with cooperative Federal-State programs. The state plan provides:

- the legal basis on which the State of Iowa, through the Iowa Department of Education, will qualify to participate in the federal adult education State-administered basic grant program under the auspices of Title II of the Workforce Investment Act of 1998. The approval of the State Plan by the Secretary of Education allows Iowa to receive Federal allotments under Title II of the Act;
- a comprehensive statement of the Iowa Department of Education's goals, objectives, priorities, and methods under which the agency will administer the program;
- a basis for common understanding among the Iowa Department of Education, other participating entities, the U.S. Department of Education, program reviewers, and auditors;
- a basis for both immediate and long-range planning and for continuous, systematic evaluation;
- a means to facilitate communication and program support through the involvement of local adult education teachers and administrators, advisory or planning representatives, and other state and local decision makers in developing, reviewing, and administering the state plans.

The Plan was developed around the following concepts: 1) proactiveness, 2) accountability, 3) planning, 4) evaluation, 5) research, 6) utilization and dissemination of research and evaluation results.

The Plan is designed to be comprehensive in scope and descriptive of the totality of adult basic education programs and services in Iowa. The Plan represents creativity and innovativeness in the description of Iowa's statewide adult basic education program. The comprehensiveness of the plan is

a direct result of Iowa's comprehensive community college based adult basic education delivery system.

1.4 Selected Definitions

Act—The term “Act” refers to Title II of the Workforce Investment Act of 1998 which is the Adult Education and Family Literacy Act (Public Law 105-220).

Adult Education—The term “adult education” means services or instruction below the postsecondary level for individuals:

- A) who have attained 16 years of age;
- B) who are not enrolled or required to be enrolled in secondary school under state law; and
- C) who -
 - i) lack sufficient mastery of basic educational skills to enable the individuals to function effectively in society;
 - ii) do not have a secondary school diploma or its recognized equivalent, and have not achieved an equivalent level of education; or
 - iii) are unable to speak, read, or write the English language.

Adult Education and Literacy Services—The term “adult education and literacy services” includes:
a) workplace literacy services, b) family literacy services, and English literacy programs.

Basic Skills—The term “basic skills” means the necessary competencies required to measure an individual's ability to read, write, and speak in English and to compute and solve problems at levels of proficiency necessary to function on the job and in society, to achieve one's goals, and develop one's knowledge and potential. The term also includes the necessary competencies required to measure an individual's ability to use printed and written information to function in society, to achieve one's goals and develop one's knowledge and potential.

Basic Skills Deficient—The term “basic skills deficient” means, with respect to an individual, that the individual has English reading, writing, or computing skills at or below the 8th grade level on a generally accepted standardized test or comparable score on a criterion-referenced test. [Any person who functions at NALS Levels 1 or 2 or at CASAS Levels A or B is considered to be basic skills deficient.]

Benchmarks—The term “benchmarks” means quantitative indicators of progress to assess achievement or long-range strategic program goals.

Core Benchmarks—The term “core benchmarks” means performance indicators which describe the crucial program values designed to benefit the individual and society.

Correctional Institution—The term “correctional institution” means any: a) prison, b) jail, c) reformatory, d) work farm, e) detention center, or f) halfway house, community-based rehabilitation center, or any similar institution designed for the confinement or rehabilitation of criminal offenders.

Criminal Offender—The term "criminal offender" means any individual who is charged with or convicted of any criminal offense.

Eligible Agency—The term "eligible agency" means the sole entity or agency in a state or an outlying area responsible for administering or supervising policy for adult education and literacy in the state or outlying area, respectively, consistent with the law of the state or outlying authority respectively. [The Iowa Department of Education is designated as the eligible agency responsible for administering or supervising policy for adult education and literacy in the state as referenced in Code of Iowa, Chapters 260C.(2)(2); 260C.(3); and 260.(4); 260C.(5). The Code of Iowa Chapter 260C.1(3)(4)(10)(12) includes, as part of the community college's statement of policy, the providing of literacy services to Iowa's eligible target populations.] (*See Appendix A for the Iowa Department of Education Table of Organization Chart.*)

Eligible Provider—The term "eligible provider" means-

- A) a local educational agency;
- B) a community-based organization of demonstrated effectiveness;
- C) a volunteer literacy organization of demonstrated effectiveness;
- 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 literacy services to adults and families; and
- I) a consortium of the agencies, organizations, institutions, libraries, or authorities described in any of subparagraphs (A) through (H).

English Literacy Program—The term "English literacy program" means a program of instruction designed to help individuals of limited English proficiency achieve competence in the English language. [This definition replaces the term "English-as-a-Second Language (ESL)."]

Family Literacy Services—The term "family literacy services" means services that are of sufficient intensity in terms of hours, and of sufficient duration, to make sustainable changes in a family, and that integrate all of the following activities:

- A) Interactive literacy activities between parents and their children.
- B) Training for parents regarding how to be the primary teacher for their children and full partners in the education of their children.
- C) Parent literacy training that leads to economic self-sufficiency.
- D) An age-appropriate education to prepare children for success in school and life experiences.

Individual with a Disability—

- A) In General - The term "individual with a disability" means an individual with any disability (as defined in section 3 of the Americans with Disabilities Act of 1990 (42 U.S.C. 12102)).
- B) Individuals with Disabilities - The term "individuals with disabilities" means more than one individual with a disability.

Individual of Limited English Proficiency—The term “individual of limited English proficiency” means an adult or out-of-school youth who has limited ability in speaking, reading, writing, or understanding the English language, and-

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

Literacy—The term “literacy” means 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.

Local Educational Agency—The term “local educational agency” has the meaning given the term in section 14101 of the Elementary and Secondary Education Act of 1965 (20 U.S.C. 8801).

Performance Measure—The term “performance measure” means a measure with a specific numeric criterion, qualitative statement or level of performance tied to it. A performance standard defines a level of acceptable performance or clarifies a process when a performance measure is viewed as qualitative.

Performance Standard—The term “performance standard” means the data or process used to determine the quantitative or qualitative level of program performance.

Plan—The term “Plan” refers to the *Iowa State Plan for Adult Basic Education: State Fiscal Years 2000-2004* (July 1, 1999 – June 30, 2004).

Postsecondary Educational Institution—The term “postsecondary educational institution” means-

- A) an institution of higher education that provides not less than a 2-year program of instruction that is acceptable for credit toward a bachelor’s degree;
- B) a tribally controlled community college; or
- C) a nonprofit educational institution offering certificates or apprenticeship programs at the postsecondary level.

Quality Indicator—The term “quality indicator” means a variable that reflects effective and efficient program performance.

Secretary—The term “Secretary” means the Secretary of Education.

Values—The term “values” means those ideals which are deemed important to a program.

Vision Statement—The term “vision statement” means a futuristic view of program direction and achievements.

Workplace Literacy Services—The term “workplace literacy services” means literacy services that are offered for the purpose of improving the productivity of the workforce through the improvement of literacy skills.

1.5 Accountability

Iowa's community college based adult basic education (ABE) program has always strived toward program accountability. The following characteristics define the nucleus of Iowa's statewide accountability system.

A Flexible Framework for Systemic Reform. A statewide accountability system is a mechanism for focusing on the results of investments in literacy and improving return on those investments. It is a powerful tool for systemic change—a guide for states just beginning the change process. It builds capacity in four specific areas within Iowa's statewide community college based adult basic education delivery system.

- a literacy accountability system focuses efforts to achieve national and state goals. A statewide literacy system that aims to enable adults to lead more productive lives must be aligned with larger state and federal human resource and economic development goals. Developing a statewide accountability system to measure progress toward these goals requires interagency cooperation, program collaboration, coordination service delivery strategies, and the integrated effort of all stakeholders in the system;
- it measures progress by measuring results, not process. Federal and state reporting systems have focused in the past on inputs such as the number of clients/students enrolled or the number of hours they attended classes. Such measures tell us little about the real value of the program. A state accountability system guides a state towards defining what it wants to achieve "real changes in people's lives;
- an accountability system that links literacy to broader state goals puts in place a management information system that enables agencies to streamline reporting and share information. A state accountability system provides a mechanism for agreement on common definitions and elements, and encourages the use of compatible electronic databases to centralize information for easy access and updating. Centralized information about programs makes possible one-stop program shopping. Centralized participant files allow students to relocate without losing their records;
- it ensures the continuous improvement of programs towards 100% results. A state literacy accountability system provides information to program managers about how well their programs work and to state policymakers about the effectiveness of their policies. States can build on programs and strategies that work, discontinue those that don't and isolate problems that need alternative strategies, not additional resources.

1.5.1 A Statewide Accountability System

A state accountability system assists Iowa's adult basic education program providers know how they are doing in:

- moving toward national and state goals for literacy and lifelong learning;
- building knowledge and skills for adults to compete in a global economy;
- building knowledge and skills to exercise the rights and responsibilities of citizenship; and

- building knowledge and skills to assure that parents are participants in their children's education.

Adult Learners, who become active participants in their learning process, gain easier access to the system, learn up front about program alternatives, define their own goals, and choose the programs to meet these goals.

- as **Parents**: They set a good example; help children with moral, social, and intellectual development; become independent of financial aid;
- as **Workers**: They get, keep and upgrade jobs; become more flexible workers; teach and learn from others in the workplace; and contribute to the productivity of the organization, the community, the state, and the nation;
- as **Citizens**: They become informed citizens; participate in the political process; contribute to the community to the community's development; gain citizenship; and vote.

Service Providers, who know what performance is expected, are able to track progress toward goals, and gain greater accountability for results. Streamlined reporting requirements mean they spend less time on paperwork and more on client needs.

State Agencies, who can share resources and information with other state agencies to consolidate and streamline existing programs. This information is necessary to evaluate and improve programs by identifying barriers and providing incentives for more effective policy and program development.

State and Federal Legislators, who are able to link literacy outcomes to broader state and national policies, and gain a better understanding of the value of investment in literacy.

All Citizens, who see their tax dollars producing efficient and effective literacy programs that yield good neighbors, better co-workers and contributing community members.

The following steps define the process to establish a statewide literacy accountability system:

- define vision and benchmarks;
- define policy outcomes;
- identify performance measures for policy outcomes;
- define program outcomes related to policy outcomes;
- identify program performance measures;
- identify target populations related to policy and program outcomes;
- compare existing service delivery patterns with needs;
- collect data and communicate results to various literacy stakeholders;
- use information to improve program interventions; and
- use information to adjust resources and policies.

1.6 The Iowa Adult Basic Education Accountability System

1.6.1 Perspectives

A significant percentage of adult education services in Iowa are delivered through the community college adult and continuing education system. There are 15 community college consortiums that provide continuing education programs to approximately 400,000 adult students annually. Within the continuing education delivery system, approximately 38,000-42,000 Iowa adults are served in adult basic education, English literacy programs, general educational development (GED) preparation, and adult high school diploma classes. Coordination is provided through the Division of Community Colleges and Workforce Preparation, Iowa Department of Education. (*Refer to Section 9.1 for a complete description of Iowa's community college based adult and continuing education delivery system. See Appendix B for a map and listing of Iowa's community college districts.*)

In delivering services, Iowa's community college adult basic education programs coordinate with literacy partners that include community-based organizations, prisons, public libraries and other agencies that offer courses for adult learners. A number of specialized employment training programs are funded through Promise JOBS, Iowa's welfare reform program. These programs are coordinated by the Iowa Department of Workforce Development and the Iowa Department of Human Services. Other state agencies and programs, including the Division of Vocational Rehabilitation, the Department of Elder Affairs, Public Libraries, Developmental Education programs, Homeless Education programs, and Community Education programs also are involved in providing adult education or in making referrals to adult education programs.

One of the main reasons adults enroll in Iowa's community college adult and continuing education programs is to upgrade their vocational and job-related skills. Approximately 230,000 adults enroll in adult vocational training or retraining courses each year. These adults, in turn, significantly contribute to the economic development of their local communities. Raising their level of education also allows them to benefit more fully from the quality of life for which Iowa has established a national reputation.

Iowa has established a customized, statewide competency system for basic skills education based on the Comprehensive Adult Student Assessment System (CASAS). Findings from the research of Secretary's Commission on Achieving Necessary Skills (SCANS) were used to support the assumption that basic skills should be assessed and taught in context. To provide guidance for developing a research-based curriculum and assessment system that would improve program effectiveness and accountability for Iowa's adult basic education programs, Iowa conducted the Iowa Adult Basic Skills Survey (IABSS) in 1993-94. The IABSS asked five basic groups of respondents (business and industry, employment service providers, instruction providers, learners, and others) to rate the importance of 55 specific competencies. Priority-level rankings were generated to explore the relative importance of the competencies.

The IABSS identified basic communication as the top competency area, followed by learning to learn employment, and health. The following list delineates the 11 competencies designated as top priority level across survey respondent groups:

- communicate in general interpersonal interactions;
- communicate effectively in the workplace;
- communicate regarding personal information;
- demonstrate effectiveness in working with people;
- demonstrate ability to use thinking skills;
- understand basic principles of getting a job;
- use problem solving skills;
- use language of clarification;
- compute using whole numbers;
- understand job performance concepts and materials; and
- practice organizational and time management skills.

1.6.1.1 Assessment Instruments

CASAS is the primary assessment system that is recommended for use with the identified competencies; however, programs also use the TABE and ABLE for reporting purposes, as well as a variety of other standardized and informal measures such as the WRAT, SORT, personal observations, oral presentations, role playing, writing assessment, video feedback, and life simulation scenarios. In consultation with CASAS staff, Iowa has adopted the Employability Competency System (ECS) Appraisal Form 130 as the statewide common assessment appraisal. Competencies are grouped according to the CASAS levels. The state has created a system to document attainment of competencies and award basic skills certificates of achievement.

1.6.1.2 Challenges/Lessons Learned

Iowa cautions states who plan to modify their existing adult basic education systems not to assume that the entire system needs an overhaul. Instead, Iowa recommends that states systematically and honestly evaluate the current functioning of their system to identify areas in which the programs excel and areas that would benefit from change. Other lessons during the process of identifying the priority competencies included: 1) recognizing that the change process is long term and develop a long-range plan to accomplish goals; and 2) basing change on research, including knowledge about learner needs and accomplishments .

1.6.1.3 Quality Indicators and Benchmarks

Iowa translated many of its quality indicators into benchmarks to assess whether the state's 15 community colleges, which provide adult education instruction, are achieving long-range strategic goals. The state established a total of 29 benchmarks in the areas of educational gains, program planning, curriculum and instruction, staff development, support services and recruitment/retention. Each benchmark describes a measure and a target for the year 2000 and a second target for 2005. For example, for educational gains, one benchmark is the "Percentage of adults 18 years and over who have attained a high school or equivalent diploma: 85% for 2000 and 90% for 2005." The

state designated 16 of the benchmarks as “core” benchmarks to identify the basic values inherent in the adult basic education program. The benchmarks will be used to guide program policy and priorities, demonstrate program effectiveness and quality to identify areas needing continued improvement through technical assistance.¹

The state obtained the benchmark measures from multiple sources. Student educational gain, for example, was drawn from the state’s management information system. Many of the program measures, such as for the planning process, will come from program monitoring. Broader measures, such as the overall literacy levels in the state, will require the state to conduct research studies to assess progress. The benchmark system was initiated in 1996 and will be monitored annually by the state education office.

1.6.1.4 Development of the Benchmarks

The state used the same committee that developed the quality indicators, measures and standards to develop the benchmarks. The committee, was composed of state education staff and the basic education coordinators of the state’s community colleges with separate subcommittees working on each benchmark.

1.6.1.5 Impact on State Accountability System

With its development of benchmarks, the adult basic education program is at the forefront of the program accountability process in Iowa. The benchmarks clearly communicate to other agencies and audiences what adult basic education is doing, its direction and what it plans to accomplish. The benchmarks also help the local programs deal with their college administration in explaining the program and maintaining its visibility.

1.6.1.6 Making the Process Work

Local program coordinators, in collaboration with the state, developed the indicators and benchmarks. This local involvement insured the understanding and acceptance of the measures and standards, as reflected in the benchmarks. Iowa’s unique research base of information about student outcomes and its state literacy survey data enabled it to develop empirically based standards and benchmarks that are defensible and credible.

¹The reader is referred to the publications entitled *Performance Indicators of Program Quality for Iowa’s Adult Basic Education Programs* (May 1993) and *Benchmarks for Adult Basic Education Programs in Iowa’s Community Colleges* (March 1996) for a thorough discussion of the development of Iowa’s adult basic education program performance standards and benchmarks .

1.7 Iowa's "Literacy/ABE Vision" 2005

The following vision statement constitutes Iowa's long-range vision of the statewide basic skills program through the year 2005. The purpose, goals, objectives and activities of Iowa's statewide basic skill program are designed to achieve the fulfillment of the vision. The vision statement is consistent with the purpose and intent of Adult Education and Family Literacy Act.

- the literacy rates for Iowa's adult populations will be benchmarked through the *National Adult Literacy Survey* (NALS) and the *Iowa State Adult Literacy Survey* (IASALS);
- Iowa will participate in the *National Assessment of Adult Literacy* (NAAL) study. This study is scheduled to be conducted by the National Center for Education Statistics (NCES) of the Office of Educational Research and Improvement (OERI) in the year 2002. The state of Iowa's participation in this study will provide benchmark data to determine if Iowa's literacy rates have increased by comparing results to the *Iowa State Adult Literacy Survey* conducted in 1992 in conjunction with the *National Adult Literacy Survey*;
- the concept of distance learning will be an accepted instructional strategy for adult and continuing education through the use of technology and fiber optics communication (Iowa Communication Network: ICN);
- all basic skills instruction, curriculum and assessment strategies and methodologies will be competency based;
- every ABE student learning gains will be measured in terms of student outcomes and specific quantifiable competencies. Each student will receive a transcript of outcome based competencies and the specific level of achievement for each competency;
- "certificates of achievement" will be awarded to ABE students for attainment of predetermined levels of performance in selected subject areas (i.e. reading and mathematics);
- a total articulation system, utilizing a common data base, has been developed and utilized across all agencies and other entities involving students' learning needs and goals;
- the existing community college delivery system for adult basic education programs will continue to serve the literacy needs of Iowa's adult target populations;
- the adult basic education programs will demonstrate total accountability in all aspects of program operations;
- the GED pass rate for Iowa's GED candidates will be 92-96%.



2.0 Needs Assessment and Performance Level Studies

The purpose of this chapter is to identify the literacy needs of Iowa's eligible target populations as required in Section 224(b)(1) of the Act which states that "an objective assessment of the needs of individuals in the State or outlying area for adult education and literacy activities [shall be conducted], including individuals most in need and hardest to serve."

2.1 Individuals Most in Need

The following section (2.1.1) describes the adult populations "most in need and/or hardest to serve." The populations are described in terms of literacy levels as identified in the Iowa State Adult Literacy Survey (IASALS) conducted in 1992 in conjunction with the National Adult Literacy Survey (NALS). The following NALS level descriptions are cited in the IASALS report on pages 22-30. The descriptions of the adult populations cited in NALS Levels 1 and 2, would be considered to fit the definition of adult populations "most in need and/or hardest to serve." (*See Appendix C for a list of selected observations based on the IASALS study.*)

2.1.1 Results for the Total Adult Population in Iowa, the Midwest, and the Nation

Adults in Iowa had an average proficiency score of 285 on the prose scale, 280 on the document scale, and 287 on the quantitative scale. These average proficiencies are approximately the same as those of adults living in the Midwest region, but are significantly (13 to 16 points) higher than those of adults nationwide. In the state, region, and nation, average scores on each literacy scale were in either the high end of the Level 2 range or the low end of the Level 3 range. The percentages of adults who demonstrated skills in each level of prose, document, and quantitative proficiency are presented in the following sections.

2.1.1.1 NALS Population Description of Level 1

Fourteen percent of the adults in Iowa performed in the lowest level defined on the prose scale, while 16 percent were in the lowest level on the document scale and 15 percent were in Level 1 on the quantitative scale. In population terms. Approximately 300,000 adults living in the state performed within the range for the lowest literacy level.

In comparison, 16 to 19 percent of adults in the Midwest and 21 to 23 percent of adults nationwide performed in Level 1 on each literacy scale. Thus, the percentages of Iowa adults who demonstrated the most limited skills were equivalent to the percentages of adults in the Midwest who did so and lower than the percentages nationwide who did so.

The individuals who performed within the Level 1 range were varied with respect to their skills as well as their characteristics. Some in this literacy level displayed the ability to read relatively short pieces of text to find a single piece of information. Some were able to enter personal information on an application form, or to locate the time of an event on a schedule. Some were able to add numbers provided on a bank deposit slip, or to perform other simple arithmetic operations using numbers presented to them. Others in Level 1, however, were unable to perform even these fairly common and undemanding literacy tasks. Within this group there were individuals who had such limited literacy skills in English that they were able to complete only a portion of the survey, and others who tried to perform the literacy tasks they were given but were largely unsuccessful.

Since individuals who performed in the lowest literacy level displayed relatively limited skills, it is important to study their characteristics and compare these with the features of the adult population as a whole. Such an analysis reveals that the educational attainments of adults in Level 1 differ from those of adults in the state population as a whole. On the quantitative scale, for example, Iowa residents with zero to eight years of education were much more prevalent in the Level 1 population (38 percent) than in the statewide population (7 percent). Similarly, about 11 percent of the statewide population reported having nine to 12 years of education, compared with 27 percent of Iowa residents who performed in the lowest level of quantitative literacy. Individuals in Level 1 were much less likely (33 percent) than those in the state population as a whole (77 percent) to have completed high school or a GED or to have attended a postsecondary institution.

Iowa residents who performed in the lowest literacy level were also more likely to be older or disabled than were adults statewide. While 16 percent of the state residents were age 65 or older, about half (53 percent) of the adults in Level 1 were in this age group. Further, about 15 percent of Iowa residents said they had a disability or condition that keep them from participating fully in everyday activities, compared with 35 to 38 percent of the adults who performed in the lowest level on each literacy scale.

Finally, it is interesting to note that although many respondents in Iowa and across the nation demonstrated limited literacy skills, the vast majority described themselves as reading, writing, speaking and understanding English either well or very well. It is possible that their skills, while limited, allow them to meet some or most of their personal and occupational literacy needs.

2.1.1.2 NALS Population Description of Level 2

Across the three scales, 22 to 27 percent of Iowa adults, or some half a million individuals, performed in the second lowest level of proficiency (Level 2). Twenty-six to 30 percent of adults in the region and 25 to 28 percent of adults nationwide were in this level. Compared with the adults in Level 1, those performing in Level 2 demonstrated skills in performing more diverse and challenging literacy tasks. On the prose scale, respondents whose proficiencies lie within the range for this level demonstrated the ability to make low-level inferences based on what they read and to compare or contrast information that can easily be found in the text. Individuals in this level on the document scale were generally able to locate a piece of information in a document in which plausible but incorrect information was also present. Individuals on Level 2 on the quantitative scale were likely to

give correct responses to a task involving a single arithmetic operation using numbers that can readily be located in printed material.

Given the differences between the characteristics of the Level 1 population in Iowa and the state population as a whole, it is important to investigate whether certain groups are also over or underrepresented in the other literacy levels. Iowa residents who performed in Level 2 do resemble the general population in most respects. For example, the educational attainments and the age and racial/ethnic characteristics of these populations are highly similar.

2.1.1.3 NALS Population Description of Level 3

On each scale, 36 to 37 percent of the adults statewide, or about 750,000 individuals, performed in the middle level of literacy. Approximately one-third of the adults in the Midwest (33 to 35 percent) and nationwide (31 to 32 percent) performed in this level. Respondents performing in the third level on the prose scale demonstrated skills in matching pieces of information by making low-level inferences and in integrating information from relatively long or dense text. Those in Level 3 on the document scale generally displayed the ability to integrate multiple pieces of information found in documents. Adults in this level on the quantitative scale displayed proficiency in using two or more numbers found in printed material and in interpreting arithmetic terms included in the question.

Iowa residents who performed in the Level 3 range differ in some important respects from the state population as a whole. For one, Iowa adults who scored in the middle of the proficiency range tend to be better educated than the state's adult population as a whole. For instance, only 5 to 6 percent of the adults in Level 3 reported that they had not attained a high school diploma or GED, compared with 18 percent of the entire state population. Adults who performed in Level 3 were also less likely than adults in the general population to be age 65 or older or to report having an illness or disability.

2.1.1.4 NALS Population Description of Level 4

Nineteen to 23 percent of the adults in Iowa, or nearly half a million individuals, demonstrated skills in the fourth literacy level. Similarly, 16 to 19 percent of the adults in the Midwest performed in this level. Nationwide, 17 percent performed in this level on the prose and quantitative scales, and 15 percent were in this level on the document scale. Respondents who demonstrated skills in the Level 4 range completed many of the more difficult assessment tasks successfully. Looking across the scales, adults in the fourth literacy level displayed an ability to synthesize information from lengthy or complex passages, to make inferences based on text and documents, and to perform sequential arithmetic operations using numbers found in different types of displays. To give correct responses to these types of tasks, readers were often required to make high-level, text-based inferences or to draw on their background knowledge.

When one compares the Level 4 population with the entire adult population in Iowa, interesting contrasts are evident. As was observed in the previous level, respondents with proficiencies in Level 4 on the prose scale were more likely than those in the state population as a whole to have completed

high school or a GED or to have attended some postsecondary education. Respondents who performed in the fourth level on each literacy scale were also far less likely than adults in the total population to be age 65 or older or to report having an illness or disability.

2.1.1.5 NALS Population Description of Level 5

On each of the three literacy scales, just 2 to 4 percent of the respondents in Iowa, the Midwest, and the nation as a whole performed in Level 5—the highest level defined. Some tasks at this level required readers to contrast complex information found in written materials, while others required them to make high-level inferences or to research for information in dense text. On the document scale, adults performing in Level 5 showed the ability to use specialized knowledge and to search through complex displays for particular pieces of information. Respondents in the highest level on the quantitative scale demonstrated the ability to determine the features of arithmetic problems either by examining text or by using background knowledge, and then to perform the multiple arithmetic operations required. Not more than 84,000 individuals statewide, and less than 8 million nationwide, demonstrated success on these types of tasks—the most difficult included in the survey.

Adults who performed in the highest level on the quantitative scale look quite different, on the whole, from adults in the state population at large. They are less likely to be older or to have a disability, and more likely to be well educated.

Table 1 displays literacy estimates of the number of persons in NALS Levels 1, 2, 3-5 configured by community college districts. The estimates were developed through the use of a model using school district geography and integrating data from the National Adult Literacy Survey and related substate estimates. The data indicate that approximately 808,637 (38%) persons age 16+ are functioning at NALS Levels 1 and 2 (13% at NALS Level 1 and 25% at NALS Level 2). (*See Appendix D for listing of NALS Levels 1, 2 and 3-5 by Iowa's Congressional Districts, Counties, Cities and Community College Districts.*)

Table 1

**A Summary of Iowa's Population Age 16+
Configured by NALS Levels in Relation to
Iowa's Community College Districts**

Community College	NALS Level 1 N	NALS Level 2 N	NALS Levels 3-5 N	Total District Population N
Northeast Iowa	19,910	43,649	89,597	153,156
North Iowa Area	13,455	24,006	59,338	96,799
Iowa Lakes	7,665	13,387	34,494	55,546
Northwest Iowa	6,911	15,033	28,503	50,447
Iowa Central	15,409	27,464	61,952	104,825
Iowa Valley	8,575	16,948	41,466	66,989
Hawkeye	22,665	41,080	93,650	157,395
Eastern Iowa	27,395	48,834	122,282	198,511
Kirkwood	30,298	59,192	191,043	280,533
Des Moines Area	54,888	105,925	320,665	481,478
Western Iowa	18,027	34,276	74,646	126,949
Iowa Western	16,404	34,906	72,031	123,341
Southwestern	7,140	14,180	28,262	49,582
Indian Hills	16,302	30,128	56,749	103,179
Southeastern	<u>11,800</u>	<u>22,785</u>	<u>46,791</u>	<u>81,376</u>
TOTAL	276,844	531,793	1,321,469	2,130,106

Notes:

1. The cell values represent Iowa's population age 16+ configured by the literacy levels established for the National Adult Literacy Survey (NALS) in relation to Iowa's community college districts. The values are based on Iowa's synthetic estimates of adult literacy proficiencies developed by Stephen Reder of Portland State University, Portland, Oregon. The community college district synthetic estimates were configured by Warren Glimpse of MESA Corporation, Alexandria, VA.
2. To prepare Iowa's community college district synthetic estimates, a methodology was developed to estimate the number of persons 16 years and over at NALS Level 1, NALS Level 2, and Level 1 plus Level 2 by segment of school district contained in its respective county. Estimates were prepared for 866 school district segments and then aggregated into community college districts.

Source: website <<http://www.sunspace.com/alpam.htm#map00a>>
Developed by Warren Glimpse of Mesa in March 1998.

2.2 Populations

The following sections describes the following adult populations: 1) adult basic education target populations, 2) low income populations, 3) individuals with disabilities, 4) single parents and displaced homemakers, 5) individuals with barriers to educational enhancement, 6) incarcerated persons, and 7) homeless adults.

2.2.1 Adult Basic Education Target Populations

The following target populations have been identified, through a secondary analysis of the (IASALS) data, as priority populations for adult basic education services (Beder, 1995). The six priority populations are: 1) able-bodied welfare recipients (AWR), 2) low-wage earners who were not recipients of public assistance (LWW), 3) at-risk youth (ARY), 4) persons for whom English was their second language and who were not literate in English (ESL), 5) high school dropouts with relatively high education attainment (HiDrp), and 6) least educated public school dropouts (LoDrp). These target populations are defined as follows:

- able-bodied welfare recipients (AWR). Persons who received AFDC or food stamps and who did not have disabilities which prevented them from working. Able-bodied welfare recipients, including women caring for young children, represent about 7.4 percent of the Iowa adult population and about three-quarters of the Iowa adult population receiving welfare;
- low-wage earners who were not recipients of public assistance (LWW). Adults who did not receive AFDC or food stamps and were employed full-time at, or below, the minimum wage. This population constitutes about 8.4 percent of the Iowa adult population;
- at-risk youth (ARY). Persons age 16 to 21 who had not completed high school and were not currently enrolled in school. At-risk youth comprises approximately .6 percent of the Iowa population age 16 and over;
- persons for whom English was their second language (ESL). Persons who indicated on the IASALS that they would not speak or write in English. The ESL population constitutes about 1.4 percent of the Iowa adult population;
- dropouts with relatively high educational attainment (HiDrp). Persons who dropped out of high school during eleventh grade. This population makes up about 3.1 percent of the Iowa adult population;
- least educated school dropouts (LoDrp). Persons whose educational attainment was grade ten or less. LoDrp comprises about 1.7 percent of the Iowa adult population.

Collectively, the priority target populations comprise 22.6 percent of Iowa's adult population. These target populations are prime candidates for services offered in Iowa's Workforce Development Centers. They constitute a significant percentage of Iowa's eligible adult population to be served.

2.2.2 Low Income Populations

This section describes the relationship between NALS Levels and income for Iowa's adult basic education target populations and a statistical analysis of low income persons by community college district. The data presented in Table 1 indicates: (1) 10.5% of Iowa's adult population can be categorized as low income, (2) there was a 1.9% increase in low income individuals between 1993-1994. These are the last years for which reliable data are available.

Table 2
**Number and Percent of Low Income
Individuals by Community College District**

Rank	Community College	1990 Population/ ¹	1994 Low Income Persons	Percent 94 Low Income/ ²	1993 Low Income Persons	Percent 93 Low Income/ ²	93/94 Percent Change	93/94 Low Income Change
2.0	Area I	204,462	29,117	14.2	28,616	14.0	1.4	1.8
10.0	Area II	124,245	13,712	11.0	13,661	11.0	0.0	0.4
5.5	Area III	71,370	8,733	12.2	8,820	12.4	-1.6	-1.0
4.0	Area IV	67,584	8,806	13.0	8,099	12.0	8.3	8.7
9.0	Area V	143,010	16,112	11.3	16,091	11.3	0.0	0.1
8.0	Area VI	92,697	10,562	11.4	10,190	11.0	3.6	3.7
13.0	Area VII	195,279	18,759	9.6	18,664	9.6	0.0	0.5
12.0	Area IX	269,764	28,104	10.4	27,440	10.2	2.0	2.4
15.0	Area X	356,464	30,626	8.6	29,976	8.4	2.4	2.2
14.0	Area XI	610,809	52,881	8.7	52,084	8.5	2.4	1.5
5.5	Area XII	164,617	20,080	12.2	19,668	11.9	2.5	2.1
7.0	Area XIII	168,300	19,395	11.5	19,164	11.4	0.9	1.2
1.0	Area XIV	65,481	9,974	15.2	9,711	14.8	2.7	2.7
3.0	Area XV	136,542	19,015	13.9	18,636	13.6	2.2	2.0
11.0	Area XVI	106,131	11,477	10.8	11,129	10.5	2.9	3.1
	State / ³	2,821,294	297,353	10.5	291,949	10.3	1.9	1.9

Source: 1990 U.S. Census Bureau Population; /² based on 1990 populations;
/³ Source: U.S. Census Bureau, 1994 Population Ests.

The relationship between literacy level and income is strong in Iowa. While Iowans at the lowest level of literacy (NALS score less than 225) earn an average of \$258 per week, those at the highest level of literacy (NALS score of 376 or higher) earn \$514 per week. While the median annual household income for Iowa residents who score at the lowest level of literacy on the NALS is about \$11,800, the comparable figure for those who score at the highest level of literacy on the NALS is about \$42,900. Although these data are compelling, the relationship between literacy levels and

earnings is to some extent compounded by the fact that the NALS score is related to, and interacts with, several other variables which also affect income.

For example : the correlation between annual earnings and age is .28, the correlation between annual earnings and educational attainment is .35, and the correlation between annual earnings and gender (male) is .26.

To control for the effects of age, gender, and educational attainment, a state-wide multiple regression analysis was conducted. Such a procedure permits analysis of the independent effects of these variables on personal annual earnings. Results showed that educational attainment had the largest effect on annual earnings (R square = .12). Age had the next largest effect (R square = .06). Gender was next (R square = .06), and NALS score was last (R square = .03). Together the four variables accounted for 27 percent of the variance.

This analysis is important when the logic of cause and effect is considered which is: the provision and quality of education is an intervention over which society has a measure of control. Furthermore, education positively affects annual earnings and can increase literacy levels in salutary ways. However, society cannot change gender or age; although it might, through education, choose to ameliorate age and gender-related social discrimination that adversely affects earnings. From a social policy point of view, it then follows that increased and improved education is a valuable and rational public strategy for increasing the economic welfare of Iowa's citizens. If improvement of the current workforce is the objective, adult basic education is the logical educational strategy. Given that it takes considerably more time for investments in elementary, secondary and higher education to pay off, these forms of adult basic education are most likely to impact the future workforce.

2.2.3 Adults with Physical or Mental Disabilities

The following description identifies adults with physical or mental disabilities. The IASALS (pp. 53-55) indicated that 74% of adults identified as suffering from physical or mental disabilities are functioning at NALS Levels 1 or 2 (39% at Level 1 and 35% at Level 2).

One of the background questions included in the IASALS asked respondents whether they had physical or mental conditions that keep them from participating fully in work, school, housework, or other activities. Fifteen percent of the adults in Iowa and 12 percent in the region and the nation reported having such conditions.

When the literacy levels and proficiencies of individuals who reported having conditions are compared with those of other adults, sharp contrasts are evident. On each scale, Iowa residents who said they have limiting physical or mental conditions were far more likely than others to perform in the lowest literacy level and far less likely to reach the highest levels. On the document scale, for example, respondents with limiting conditions were approximately three times more likely to perform in Level 1 than were those without such conditions. At the other end of the spectrum, only 7 percent of those who reported having physical or mental conditions performed in the two highest levels of document literacy, compared with 24 percent of the adults without conditions.

As a result of the differences in the distributions of performance for these two groups, the average proficiencies of Iowa respondents who reported having limiting physical or mental conditions were considerably lower than those of individuals who reported no such conditions. Their average document score (238) is in the low end of the Level 2 range, for example, while the average score of other adults is 2876 in the Level 3 range. Similar patterns are found on the prose and quantitative scales.

The following table displays the data by community college district of the number of workers with disabilities. The data indicated that statewide 243,439 workers age 16+ (12%) have some type of disability.

Community College	Workers With Disabilities	Percent	Workers Without Disabilities	Percent	Total
Northeast Iowa	16,990	11.09	132,311	86.39	149,301
North Iowa Area	11,357	11.73	82,859	85.60	94,216
Iowa Lakes	6,583	11.85	47,361	85.26	53,944
Northwest Iowa	5,351	10.61	43,628	86.48	48,979
Iowa Central	13,084	12.48	88,164	84.11	101,248
Iowa Valley	7,958	11.88	56,426	84.23	64,384
Hawkeye	18,097	11.50	135,964	86.38	154,061
Eastern Iowa	21,471	10.82	173,390	87.35	194,861
Kirkwood	26,464	9.43	247,547	88.24	274,011
Des Moines Area	50,142	10.41	420,804	87.40	470,946
Western Iowa	15,642	12.32	108,283	85.30	123,925
Iowa Western	16,346	13.25	103,214	83.68	119,560
Southwestern	7,479	15.08	40,533	81.75	48,012
Indian Hills	16,240	15.74	84,474	81.87	100,714
Southeastern	<u>10,235</u>	12.58	<u>67,821</u>	83.34	<u>78,056</u>
TOTAL	243,439		1,832,779		2,076,218

Source: Iowa Community College District Profiles developed by Warren Glimpse of MESA.
The profiles are available on the Internet at website <<http://www.sunspace.com/alpam>>.

2.2.4 Single Parent and Displaced Homemakers

Programs funded with the seven percent single parents and displaced homemakers allocation of Perkins' funds were classified as Adult Single Parent/Displaced Homemaker programs and Adolescent Parent programs. A total of 17 Adult Single Parent/Displaced Homemaker programs and eight Adolescent Parenting programs were funded.

A total of 2,992 clients (2,642 females and 350 males) were served through Adult Single Parent/Displaced Homemaker programs. Thirteen (13) percent of the clients self-identified by race were minorities. At least 75 percent of the clients served by the programs are economically disadvantaged.

Adolescent parenting programs are designed to retain individuals in school and to provide vocational and career guidance to them. A total of 299 (278 females and 21 males) were served as clients in fiscal year 1997. Thirty-eight (38) percent of the female clients were minorities. Thirty-eight (38) percent of the male clients were minorities. Sixty-two (62) percent of the females were classified as high school females. Fifty-seven (57) percent of the males were in the 18-20 age range. An additional 484 females and 16 males were referred to other agencies.

2.2.5 Individuals with Barriers to Educational Enhancement

Table 4 summarizes the estimated number of refugees in Iowa as of September 30, 1997. The data indicated that 19,480 estimated refugees were in Iowa. Approximately 8,000-10,000 (45%) are in need of English literacy services. During state fiscal year 1998, a total of 6,080 (19% of total basic skills enrollment) adult students were served in Iowa's adult basic education program.

Table 4

**Estimated Number of Refugees
In Iowa as of September 30, 1997**

Region	Total
Africa	
Sudanese	584
All other ethnic groups	473
Middle/Near East Asia	
Iraqi	126
All other ethnic groups	80
Former Soviet Union	
All ethnic groups	415
Eastern Europe	
Bosnian	3,285
All other ethnic groups	361
Southeast Asia	
Vietnamese	7,118
Tai Dam	2,740
Lowland Lao	3,281
Cambodian/Khmer	840
Hmong	423
Latin American/Caribbean	
Haitian	21
Cuban	5
Total	19,480

Source: Iowa Bureau of Refugee Services, Resettlement Section.

2.2.6 Incarcerated Persons

Incarcerated persons are in need of basic skills services. According to the latest educational grade level information supplied by the Iowa Department of Corrections, 5% are in need of basic skills training and 23% are in need of adult secondary education service. In addition to the nine (9) adult correctional facilities, the adult basic education program also serves incarcerated youth in two (2) juvenile corrections facilities. Table 5 provides the educational data for these facilities. The table indicates that 60% completed grade levels 0-8 and 23% completed grade levels 9-11.

Educational Level	Number of Inmates	Percent of Total Population
0-5th grade	60	1
6th-8th grade	313	4
9th-11th grade	1,161	16
12th grade (not verified diploma)	1,736	23
GED completions	3,237	43
College level credits	624	8
BA/MA/Ph.D. Degrees	46	1
Voc Tech Certificates	7	1
Special Education (H.S. or GED not completed)	152	2
Unknown	<u>134</u>	<u>2</u>
TOTAL	7,470	99

Source: Iowa Department of Corrections

In addition to the adult correctional facilities, the adult basic education program also serves incarcerated youth in two juvenile corrections facilities. Table 6 provides the educational data for the two juvenile facilities. The table indicates that 60% completed grades levels 0-8 and 23% completed grade levels 9-11.

Table 6		
Grade Level Completion for the Iowa Juvenile Institutions		
Educational Level	Number	Percent
0-5th grade	51	20
6th-8th grade	100	40
9th-11th grade	58	23
12th grade	22	9
GED completions	20	8
TOTAL	251	100

Source: Iowa Juvenile Home and State Training School, September 1998

2.2.7 Homeless Adults

The following information is excerpted from a study titled *Homelessness in Iowa: Findings From The 1997 Statewide Study* (pp. 3-5).

The 1997 study of homelessness in Iowa set out to learn as much as possible about the problem as it currently exists, thus gathering considerably more data than previous studies. All public schools, community action agencies, Department of Human Services offices, county relief offices, shelters, transitional housing programs, and other miscellaneous sources of data concerning the homeless population were included in the sampling frame. The final response rate was 54%.

The unduplicated reported number of homeless in Iowa in 1997 was 4,983 individuals, and from this number we estimated 59,558 annual incidents of homelessness. This estimate of incidents of homelessness suggests that, in those counties where no homeless individuals were reported, several incidents of homelessness (possibly one or more individuals experiencing several episodes of homelessness), occurred nevertheless, and may not have been reported or otherwise accounted for in this study. Using the unduplicated reported number of homeless as a baseline, and assuming that, on average, one-third of this population are chronically homeless (i.e., 12 incidents), one-third are episodically homeless (i.e., 6 incidents), and one-third were homeless once during the year

(i.e., 1 incident), and then including the homeless reported by the schools, the study estimated that there were 26,298 homeless individuals statewide during 1997.

In addition to the unduplicated reported number of homeless identified by the study, the statewide estimated number of homeless individuals, and the number of incidents of homelessness that we estimated for each county from this unduplicated number, the findings also indicate that:

- most (59.5%) of the reported homeless are living in doubled-up situations, transitional housing programs, or some other living arrangement. The sheltered and non-sheltered homeless account for the remaining 40.1%;
- 55% of the homeless in Iowa are children and youth less than 18 years of age, 71.8% of the homeless are in the eight large metropolitan counties of the state, and the population is almost equally male and female. Further, 70% are white and 10% are Hispanic;
- across all categories of homelessness, domestic violence, and family-related issues account for 31.8% of the causal factors, followed by employment problems (22.5%) and evictions (11.1%). In terms of household structure, 27.5% of the homeless adults are living in single-parent households, 27% are single males, 8% are living in two-parent households, and the remaining are individuals whose household status is unknown;
- the schools appear to be increasingly aware of the role of family problems in causing homelessness, and indicate that various types of family counseling programs for homeless children, in addition to solving transportation problems, are essential to meeting the educational needs of these children;
- most of the schools and agencies that responded to the study report that the homeless problem has remained about the same during the last year. However, 666/861 of the responding schools (77%) reported no homeless children, and many indicated that they felt they had a good safety net in place to prevent an otherwise vulnerable child from becoming homeless.

2.2.8 Welfare Reform

The following citation from the study titled *Adult Literacy in Iowa: Results of the State Adult Literacy Survey* (pp. 95-102) identifies the percentage of adults receiving Aid to Families with Dependent Children (AFDC), food stamps, and interest from savings or other bank accounts. The citation also describes literacy rates in relation to various socio-economic variables.

2.2.8.1 Economic Status

To explore the relationships between literacy and economic status, the State and National Adult Literacy Surveys included a series of questions requesting detailed information about respondents' income. One of the questions asked for information on weekly wages, another asked about annual household income, and another asked about sources of income.

When adults' literacy proficiencies are compared according to their responses to these questions, strong relationships between literacy and economic status are evident. Individuals who earned low wages, had low annual household incomes, and who were either poor or near poor were far more likely than their more affluent peers to perform in the lowest literacy levels.

2.2.8.2 Weekly Wages

Individuals who were working full time or part time or were on leave from their jobs the week before the survey were asked to report their weekly wage or salary before deductions. Given that individuals in professional, managerial, and technical positions were more likely to perform in the higher literacy levels, and that those in the higher literacy levels were likely to have worked more weeks in the past year than individuals in the lower levels, it is not surprising that weekly wages are also higher for adults with greater literacy proficiencies.

On each literacy scale, the median weekly earnings of Iowa residents who performed in Levels 1 and 2 were between \$228 and \$261. In comparison, those in Level 3 earned \$283 to \$302. Adults in Level 4 reported earning \$391 to \$419, and for Iowa residents who attained Level 5, the financial rewards were even greater. Individuals performing in this level on the prose scale, for example, had median earnings of \$514 each week—approximately twice as much as individuals who demonstrated skills in the Level 1 range on that scale.

2.2.8.3 Annual Household Income

Household survey respondents were asked to indicate their total family income from all sources in the year preceding the survey. They were instructed to consider as family anyone who lives with them and is related by blood, marriage, or adoption.

The pattern observed in the weekly wages data is repeated in the median annual household income data: Adults who performed in the highest literacy levels reported much larger annual household income than adults in the lowest levels. On the document scale, for example, the median annual household income of Iowa residents who performed in the two highest proficiency levels was approximately \$40,000, compared with about \$30,000 for respondents who performed in Level 3 and \$12,000 for respondents in the lowest level.

These strong relationships between literacy and family income are also evident in the regional and national data, where the gap in media annual earnings between the highest and lowest proficiency level was between \$33,000 and \$40,000.

2.2.8.4 Sources of Nonwage Income

Household survey participants were given a list of various types of nonwage income and support and asked to identify each type that they or anyone in their families had received in the year preceding the survey. The skills of individuals who reported receiving three types of nonwage income and support that reflect socioeconomic status are examined here: Aid to Families with Dependent Children (AFDC), food stamps, and interest from savings or other bank accounts.

Five percent of the adults in Iowa reported having received AFDC or public assistance in the year before the survey. Across the literacy scales, nearly half of these individuals demonstrated skills in the two lowest literacy levels; 15 to 20 percent performed in Level 1, and another 25 to 31 percent performed in Level 2. At the other end of the scale, 7 to 15 percent reached Level 4, and only 1 percent attained Level 5.

The pattern of results for food stamp recipients is similar eight percent of Iowa residents said they or someone in their family had received food stamps in the past year. On each scale, 22 to 25 percent of these adults performed in Level 1, and 29 to 32 percent performed in Level 2, while just 8 to 11 percent reached the two highest literacy levels on each scale.

Fifty-nine percent of the adults in Iowa reported having received interest from savings in the past year. These individuals were generally less likely than AFDC or food stamp recipients to perform in the lowest levels on each scale and much more likely to attain the highest levels, though the large standard errors prevent such of the differences from being statistically significant.

The average literacy proficiencies of adults who received interest from savings or another type of bank account in the past year were higher than those of residents who said they or someone in their families had received public assistance or food stamps. These differences are particularly evident in the national data. For instance, the average prose score of adults nationwide who had received AFDC or public assistance was 243, and the average score of food stamp recipients was 236, while for adults who had income from savings it was 297.

2.2.8.5 Poverty Status

Adults who participated in the household component of the National and State Adult Literacy Surveys were divided into two categories—poor or near poor, and not poor—based on both their household income and family size. (The criteria are provided in the appendices.) For example, adults whose household size is one and whose annual household income is at or below \$8,665 are classified as poor or near poor. For adults in a four-person family, those whose annual household income is \$17,405 or less are assigned to that category.

Nineteen percent of the adults in Iowa and nationwide were designated as poor or near poor. Across the three literacy scales, approximately half of the Iowa residents who were classified as poor or near poor performed in the two lowest levels; 22 to 27 percent performed in Level 1, and another 27 to 29 percent performed in Level 2. In comparison, 25 to 31 percent of the adults classified as not poor were in the two lowest levels.

Adults in Iowa whose families had received AFDC, public assistance, or food stamps in the past year demonstrated lower average proficiencies than adults who reported having received interest from savings.

Individuals who were classified as poor or near poor as a result of their income and household size were much more likely than those who were not poor to demonstrate limited literacy skills. Across the three literacy scales, approximately half of the Iowa residents classified as poor or near poor had

proficiencies in the two lowest levels. As a result, their average literacy scores were considerably lower than those of individuals who were not poor.

2.2.9 Welfare Referrals to Iowa's Adult Basic Education, English Literacy and General Educational Development Programs

Given the percentage of persons identified as welfare recipients and in need of basic skills education, the average percentage range of persons served in Iowa's basic skills programs who are direct referrals from Iowa's welfare reform program constitutes 7-10 percent of the total basic skills enrollment. The Iowa Division of Economic Assistance data indicated that an average of 11,388 (duplicated count), welfare recipients were referred to general educational development classes and 1,488 (duplicated count) welfare recipients were referred to adult basic education classes for a time period from July 1997 through August 1998. This data is consistent with the information reported on Table 3 of the *Annual Performance Report for the Adult Education State-Administered Program* (July 1, 1997 through June 30, 1998) which indicated that a total of 7,090 persons (duplicated count) enrolled in the basic skills classes were direct referrals from Iowa's welfare reform program. Approximately 70-80 percent will receive the Iowa High School Equivalency Diploma (Iowa's GED based credential).

The data would indicate that Iowa's welfare population, in need of basic skills education or the attainment of the GED credential, are being effectively served through Iowa's comprehensive community college based adult basic education delivery system.

2.2.9.1 National Community College Welfare Survey

The American Association of Community Colleges (AACC), in an effort to document community college's responses to recent welfare reform legislation, conducted a national survey (1998) of 1,124 community colleges in the fifty (50) states and Puerto Rico. This was an approximate 38 percent response rate. The highlights of the survey were:

- according to colleges that responded to the survey, nearly one-third can identify students who receive public assistance;
- reasons given by community colleges for not tracking students who receive public assistance include:
 - 1) Student confidentiality and privacy issues.
 - 2) College can only get information if applicant completes a financial aid form.
 - 3) State does not require college to track students receiving cash public assistance.
 - 4) College has either no interest in tracking or no need for such information.
 - 5) College is planning to track students in the future.
- the number of colleges offering welfare-to-work programs is nearly the same as those college who presently do not offered such programs, 47.9 percent and 48.1 percent respectively. Of the colleges who indicated that they do not currently offer welfare-to-work programs, 53.7 percent noted that they are making plans to offer programs designed specifically for welfare recipients;

- when asked the length of time a welfare-to-work participant can be enrolled in an educational or job training program, 67.3 percent of colleges indicated that their time limit is less than two years. More than 29 percent of colleges noted that a welfare-to-work participant could be enrolled in such programs up to three years. The remaining colleges indicated that welfare-to-work participants at their college could be enrolled for three years or longer.

2.3 Current Needs Assessment and Performance Level Studies

During the time frame from 1992-1998, several needs assessments and performance levels studies were conducted to provide a database from which to formulate program direction and serve program policy. The intent of this section is to provide the highlights from seven studies. The studies are titled: 1) *Adult Literacy in Iowa: Results of the State Adult Literacy Survey* (1994), 2) *The Iowa Adult Basic Skills Survey* (1995), 3) *Iowa Workforce Training Study* (1996), 4) *Extending The Ladder: From CASAS to Work Keys Assessments* (1997), 5) *A Supplemental Report on the Performance Levels of Iowa's Adult Basic Education Target Populations* (1998), 6) *First Year Evaluation of Iowa's Basic Skills Certification Program* (1998), and 7) *Skills 2000 Survey* (1998).

2.3.1 Iowa State Adult Literacy Survey

The Iowa State Adult Literacy Survey (IASALS) was conducted in conjunction with the National Adult Literacy Survey (NALS). There were twelve states who conducted state adult literacy surveys. The major findings from the IASALS are as follows:

2.3.1.1 Profiles of Adult Literacy in Iowa

- fourteen to 16 percent of the adults in Iowa demonstrated skills in the lowest level of prose, document, and quantitative proficiencies (Level 1). Though all adults in this level displayed limited skills, their characteristics are diverse. Many adults in this level were successful in performing simple, routine tasks involving brief and uncomplicated texts and documents. For example, they were able to total the entries on a deposit slip, locate the time or place of a meeting on a form, and identify a piece of specific information in a brief news article. Others did not perform these types of tasks successfully, however, and some had such limited skills that they were unable to respond to much of the survey;
- the composition of the Level 1 population differs in some important respects from the state population as a whole. For example, 38 percent of the Iowa residents who performed in Level 1 on the quantitative literacy scale had zero to eight years of education, compared with 7 percent of adults statewide. Respondents who demonstrated skills in Level 1 were much less likely to have completed high school or a General Educational Development (GED) certificate or attended a postsecondary institution (33 percent) than adults in the state population as a whole (77 percent). Half the Iowa respondents in Level 1 were age 65 or older, and almost 40 percent had physical or mental conditions that kept them from participating fully in work, school, housework, or other activities;

- twenty-two to 27 percent of the Iowa respondents performed in the next higher level of proficiency (Level 2) on each literacy scale. While their skills were more varied than those of individuals in Level 1, their repertoires were still quite limited. They were generally able to locate information in text, to make low-level inferences using printed materials, and to integrate easily identifiable pieces of information. Further, they demonstrated the ability to perform quantitative tasks that involve a single operation where the numbers are either stated or can be easily found in text. For example, adults in this level were able to calculate the total cost of a purchase or determine the difference in price between two items. They could also locate a particular intersection on a street map and enter background information on a simple form;
- individuals in Levels 1 and 2 were sometimes but not consistently, able to respond correctly to the more challenging literacy tasks in the assessment—those requiring higher level reading and problem-solving skills. In particular, they appeared to have considerable difficulty with tasks that required them to integrate or synthesize information from complex or lengthy texts or to perform quantitative tasks in which the individual had to set up the problem and then carry out two or more sequential operations;
- thirty-six to 37 percent of the survey participants in Iowa performed in Level 3 on each literacy scale. Respondents with skills in this level on the prose and document scales integrated information from relatively long or dense text or from documents. Those in Level 3 on the quantitative scale demonstrated an ability to determine the appropriate arithmetic operation based on information contained in the directive, and to identify the quantities needed to perform that operation;
- twenty-one to 27 percent of the respondents in Iowa scored in the two highest levels of prose, document, and quantitative literacy (Levels 4 and 5). These adults consistently demonstrated the ability to perform the most challenging tasks in this assessment, many of which involve long and complex documents and text passages. They were more likely than individuals in the state population as a whole to have completed high school or a GED or to have attended a postsecondary institution;
- the average prose, document, and quantitative proficiencies of adults in Iowa were comparable to those of adults living in the Midwest region and were significantly (13 to 16 points) higher than those of adults nationwide. In all three populations—the state, region, and nation—average scores were either in the high end of the Level 2 range (226 to 275) or the low end of the Level 3 range (276 to 325);
- older adults were more likely than middle-aged younger adults to demonstrate limited literacy skills. On the prose scale, for example, average scores rise from 290 among Iowa's 16- to 18-year-olds to 303 among 35- to 44-year-olds before declining across the older age groups (to 275 among 55- to 64-year olds);
- the vast majority of Iowa residents were born in the United States or one of its territories. In the national population, native-born adults performed far better in the assessment, on average, than did individuals born outside the United States. Foreign-born adults who had lived in this country for more than a decade outperformed more recent immigrants;

- ninety-six percent of the Iowa population is White. The numbers of adults in other racial/ethnic groups are too small to provide reliable proficiency estimates. Nationwide, however, African American and Latino adults were more likely than White adults to perform in the lowest two literacy levels and less likely to attain the two highest levels. The average proficiencies of Latino individuals who were born in this country were higher than those of African American adults;
- approximately three-quarters of the adults in Iowa reported having lived in the state for more than 20 years. There are no significant differences in literacy skills, on average, among adults who had lived in Iowa for varying lengths of time. Nearly three-quarters of the state's adults said it was unlikely that they would move out of the state in the next five years, while 18 percent reported that it was somewhat likely and 10 percent said it was likely. Again, there are no significant differences in performance between adults who believed they would move out of the state and those who did not;
- six percent of the survey respondents in Iowa said they were currently or previously enrolled in a course to improve their basic skills. These individuals performed as well as those who had not enrolled in such a course;
- thirty-eight percent of the Iowa adults said they would not enroll in a basic skills program because they did not think they needed to improve their skills. Their average scores were higher than those of adults who cited other reasons for not enrolling. One-quarter of the Iowa respondents said they would not enroll because they did not have time, and another 12 percent said they lacked information about basic skills programs;
- three-quarters of Iowa's survey participants agreed with the view that a state's literacy rate affects an out-of-state employer's decision to establish a location there. Their scores were, on average, higher than those of adults who disagreed. Fifty-eight percent of Iowa's adults believed that employers are obligated to provide literacy education to employees who need it. They performed similarly to adults who did not share this view.

2.3.1.2 Employment, Economic Status, and Civic Responsibility

- employed adults were less likely than adults who were unemployed or out of the labor force to perform in the lowest levels on each literacy scale and more likely to attain the highest levels. Across the three scales, 25 to 33 percent of the employed adults in Iowa performed in Levels 1 and 2, compared with 45 percent of the unemployed adults and roughly two-thirds of respondents who were out of the labor force. Conversely, employed adults were more likely than unemployed adults and those not in the labor force to attain Levels 4 and 5;
- as shown in Figure 3, Iowa residents who reported being in professional, technical, or managerial positions in their current or most recent jobs had higher average literacy scores than those in other types of occupations. On the prose scale, for example, they had an average proficiency score of 330, compared with scores of 309 for those in sales or clerical positions, 286 for those in craft or service occupations, and 276 for those in labor, assembly, fishing, or farming positions;

- on each literacy scale, adults who performed in the higher levels had worked more weeks in the past year, on average, than individuals in the lower levels. Among Iowa residents, those in the three highest literacy levels reported working an average of 37 to 45 weeks in the past year, compared with only 13 to 14 weeks for individuals performing in Level 1, and 27 to 31 weeks for those in Level 2;
- as Iowa adults with proficiencies in Levels 1 and 2 reported median weekly earnings of \$228 to \$261. In contrast, those in Level 4 earned about \$391 to \$419, while those in Level 5 earned between \$504 and \$550 each week. Similarly, the median annual household income reported by adults in the highest proficiency levels was far higher than that of adults in the lowest levels;
- approximately half of the Iowa residents who were classified as either poor or near poor demonstrated skills in the two lowest levels on each literacy scale; in contrast, 25 to 31 percent of those designated not poor performed in these levels. As a result, the average literacy scores of poor and near poor adults are considerably lower than the scores of adults who were not in poverty;
- among Iowa residents, voting practices appear to be related to literacy proficiency. On all three scales, the average literacy proficiencies of state residents who said they had voted in a recent election are higher than those of nonvoters.

2.3.1.3 Language Use and Literacy Practices

- the vast majority of Iowa residents (96 percent) reported that English was the only language they learned before beginning school. Nationwide, individuals who learned a language other than English as children, either in addition to or in place of English, displayed lower average proficiencies than adults who reported having learned only English;
- virtually all survey respondents in Iowa (98 to 99 percent) said they understand, speak, and read English well or very well; a slightly smaller proportion described themselves as writing (96 percent) well or very well. In each dimension of literacy, the average proficiencies of adults who said they do not write English well are approximately 60 points lower than those of individuals who said they write well or very well;
- ninety-seven percent of the survey respondents in Iowa reported getting some or a lot of information about current events, public affairs, or the government from nonprint media—that is, from television or radio. A smaller percentage (86 percent) said they get much of their information from print media, such as newspapers or magazines. Those who get some or a lot of information from print media earned higher average scores in the assessment than those who do not.

2.3.2 The Iowa Adult Basic Skills Survey

The main purpose of the Iowa Adult Basic Skills Survey (IABSS) was to determine the priority competency areas for basic life skills and employability skills needed by adults in the state of Iowa.

The goals of the study were to:

- determine priority life skills and employment-related competencies for the state of Iowa;
- gather input from a cross-section of Iowa's business and industry, educational programs, and cooperating literacy partners;
- provide for the development of a more responsive outcome-based curriculum and assessment system in statewide literacy programs; and
- facilitate cooperation between adult basic education agencies and employers in planning appropriate curriculum and assessment.

In order to build statewide consensus regarding adult basic education needs and goals, survey responses were solicited from the complete spectrum of agencies and stakeholders involved with or directly affected by adult basic education services in Iowa. This survey collected information from 25 different types of respondents and agencies categorized into five major respondent groups:

- business and industry;
- employment service providers;
- instruction providers;
- learners;
- others: community-based agencies, referral agencies and other agencies.

Information gathered from the survey answers the following key questions:

- which competencies were rated by all respondents as most important for adult learners to acquire?
- which competencies were rated as least important?
- do community colleges, job training facilities, employers, and adult learners agree on education priorities?
- do employers agree with employment service providers about basic skills priorities?
- do adult learners agree with education providers about basic skills priorities?

The survey results will enable adult basic education program providers to examine how closely their current curricula match the needs expressed by learners and other adult basic education stakeholders. In addition, the survey results will facilitate the identification of needed curriculum changes. Individual program staff can compare their own priorities with the priorities of their peers, adult learners, and community agencies and businesses who also serve or employ their clients. This major

research effort will provide future direction to all of Iowa's adult basic education providers as they seek to meet more accurately and efficiently the needs of all adults with limited literacy skills.

2.3.2.1 IABSS Aggregate Survey Findings

Basic Communication was rated as the highest competency area by all survey respondents, followed by Learning to Learn, Employment, and Health. Learning to Learn competencies relate to employment contexts as well as to adults lifelong learning objectives.

Computation ranked seventh according to the aggregate ratings, although Business and Industry respondents rated this area much higher (fourth in order of importance) than other respondent groups.

Consumer Economics and Community Resources were considered somewhat important by all survey respondents.

Of the eight competency areas, Government & Law was ranked last.

Table 7
Competency Area Rankings:
Five Respondent Groups

	Total	Business & Industry	Empl. Service Providers	Instr. Providers	Learners	Others
Basic Communication	1	1	1	1	1	1
Learning to Learn	2	3	3	2	3	2
Employment	3	2	2	4	4	3
Health	4	5	4	3	2	4
Consumer Economics	5	6	6	5	5	6
Community Resources	6	7	5	6	6	5
Computation	7	4	7	7	7	7
Government & Law	8	8	8	8	8	8
N=	3,483*	850	553	683	507	862

*Total includes 28 respondents who did not mark a program type.
All correlations between group ranks $>.7$ ($p < .95$).

Source: Iowa Adult Basic Skills Survey, p. 16.

There were statistically significant differences ($p < .05$) in ratings of the remaining competency areas by the five respondent groups:

- business & Industry and Employment Service Providers ranked Employment second, while other groups ranked it third or fourth;
- business & Industry respondents ranked Computation higher (fourth in order of importance) than did all other groups, who ranked it seventh;
- health was of great importance to Learners and Instruction Providers, who ranked this area second and third, respectively;
- community Resources was ranked slightly higher by Employment Service Providers and Other respondents (fifth) than other respondent groups;
- the "Other" group represented a wide range of different types of community agencies. Their ratings were similar to the aggregate population.

The first place ratings of Basic Communication send a strong message that it is crucial to address the development of personal communication skills in Iowa's adult basic education programs.

The next most highly rated competencies were directly related to employment: the ability to work effectively with others, understand aspects of employment and job performance, and secure employment using effective job search skills. These ratings demonstrate that success in job search and on-the-job skills were considered to be important by all survey respondents, not only those who responded from Business & Industry and Employment Service Providers.

Critical thinking and problem solving skills from the Learning to Learn competency area were also rated very highly. These skills are useful in employment situations, as well as in everyday life situations. Ranked ninth was the Computation competency, Compute using whole numbers. This high rating of a math competency is a reminder of the importance of focusing on basic math in the adult basic education curriculum. *(See Appendix E for the relationship between job skill requirements and employee skill needs utilizing the CASAS Workforce Learning Systems.)*

2.3.3 Iowa Workforce Training Study

The following is an excerpt summarizing the major points of the study.

2.3.3.1 Introduction

Workforce development systems focus on the customized training and retraining needs of business and industry. However, the important role of Iowa's community colleges in workforce development encompasses more: 1) apprenticeship training, 2) continuing education, 3) professional development programs, 4) Small Business Development Centers, 5) school-to-work transition programs, 6) youth apprenticeship, and 7) workplace basic skills and assessment.

For the purposes of this study, workforce training was defined as those activities designed to improve the competencies and skills of current or new employees of business, industry, labor, and government. Such training is typically provided on a contract basis with the employer who: 1) defines the objectives of the employee training, 2) schedules the duration of the training, 3) specifies the delivery mechanism by which training is provided, and 4) delineates competencies of the trainer. Workforce training is customer-driven, involves payment by the customer to the training provider, and is usually linked to some economic development strategy of the employer.

2.3.3.2 Purpose

The research study asks Iowa employers two basic questions:

1. What are the training and retraining needs the businesses and organizations in Iowa.
2. How can Iowa community colleges continuing education divisions best meet these needs?

Several basic purposes of the study cluster around these two basic questions. The purposes are:

- explore the extent and nature of training and retraining needs of the current Iowa workforce;
- determine the value of community colleges in providing workforce training to state policy makers and the public;
- illustrate the state-wide results and to make recommendations regarding Iowa community colleges as the primary workforce training delivery system.

This study is also, in part, a follow-up of a similar Iowa research study conducted in 1991. A Study of the Impact of Iowa Community College Continuing Education Programs. A secondary purpose of this study is to compare its findings with the findings of the earlier study.

2.3.3.3 Method

The study asked employers to answer questions concerning their future need for training and their expectations with local community colleges in meeting prior workforce development needs. Employers were also encouraged to provide comments. Specific question areas follow in the list below:

- the proportion of their workforce which needed additional training;
- the extent to which training is needed in specific training skills areas;
- whether workforce programs should include non-credit, credit, or both non-credit and credit classes;
- the importance of specified goals for workforce training;

- whether distance learning approaches to training would benefit their companies;
- the effect changing technology has on the need for workforce training;
- reasons for selecting community colleges to meet their training needs;
- ratings of Iowa community college workforce training programs on several dimensions;
- whether they would recommend community college programs to other businesses.

2.3.3.4 Major Findings

- a range of 95.6 to 97.5 percent of the respondents, who indicated they were "somewhat familiar" or "very familiar" with the workforce training programs and services offered by the local community colleges, rated the quality of instruction as "good" or "excellent";
- forty-five percent of the respondents report that 50 percent or more of their workforce need training. This finding is similar to one in which approximately 20 percent of the nation's adult population participated in work-related courses;
- fifty-five percent of the respondents report that just under 50 percent of their workforce need training;
- thirty-nine percent of the respondents desire non-credit courses;
- fifty-five percent of the respondents desire a combination of credit and non-credit courses.
- seventy-six percent or more of the respondents indicate that "upgrade of employee skills" or "improve employee performance and productivity" were major goals for workforce training.
- fifty percent or more of the respondents report that training was "needed" or "much needed" in the following areas: 1) technical skills, 2) computer skills, 3) business skills, 4) professional development, 5) communication and computation skills, 6) interpersonal skills, 7) government regulations, and 8) critical thinking skills. These findings are similar to those reported in the Michigan and Maryland Workforce Training Studies;
- eighty-two percent of the respondents report that technological changes in their companies would increase the need for workforce training by "some extent" or "considerable extent";
- sixty-one percent of the respondents report that "video-based training" was the preferred medium for distance learning training programs.

2.3.3.5 Conclusions

- the Iowa system of community college continuing education divisions is responding to the needs of Iowa businesses and organizations for workforce training and retraining;

- the Iowa system of community college workforce training is providing high quality, flexible workforce training programs to Iowa's businesses and organizations; the system has a significant impact in meeting the economic and educational need of Iowa citizens and businesses;
- current projections clearly indicate not only a continued need, but an increasing need for training and retraining programs for Iowa's business and organizations. The community college system of workforce training is in a position to meet these increased demands for workforce development.

2.3.3.6 Recommendations

- Iowa community colleges' continuing education divisions should continue to serve the workforce training needs of business and industry with high quality, flexible, and response programs;
- continuing education program should concentrate on linking with distance education technology to offer learning opportunities to a greater number of employees in Iowa businesses and organizations;
- workforce training programs must coexist alongside more traditional credit programs and receive comparable institutional support, while at the same time remaining free of the constraints of traditional programs.
- community colleges should review and augment their marketing programs; employers cannot use services if they are unaware of the programs;
- existing state programs should continue their support of high quality Iowa community college workforce training programs that provide training at a time and place which is appropriate.
- in recognition of the increasing need for workforce training for Iowa businesses and organizations and the community colleges' successful comprehensive system of training programs, the state should increase the funding levels of existing and emerging programs for workforce training and should consider new sources of funding.

2.3.4 Extending the Ladder: From CASAS to Work Keys Assessments

2.3.4.1 Goals and Objectives

The overarching goal of the Extending the Ladder project was to provide educators, trainers, employers and employees with a common language and articulated assessments for communicating about basic and advanced workplace skills and the standards for measuring them. Specific objectives included:

- determining the degree to which CASAS Workforce Learning Systems and ACT's Work Keys assessments can be linked to provide a continuous, progressive assessment system from basic through advanced workplace skills;

- providing guidance on appropriate assessments as learners make the transition through skill levels on the Workforce Learning Systems and Work Keys assessment systems;
- providing information to support establishing comprehensive assessment systems in a variety of workforce settings (e.g. secondary and postsecondary education programs, business and industry, workforce development centers, or social service agencies).

2.3.4.2 Conclusions

- both CASAS' Workforce Learning Systems and Act's Work Keys system measure basic and more advanced skills needed for effective participation in the workforce and workplace;
- there is enough commonality in both the content and range of skills covered by the Workforce Learning Systems and Work Keys system to determine a meaningful connection between the two;
- there is enough difference in the range of skills covered by the Workforce Learning Systems and Work Keys system to warrant joining the two together in a basic skills continuum. This continuum provides more useful information over a greater range of skill levels than is available from either system alone;
- the Workforce Learning Systems covers skills that are more basic, and provides more information on the skills of individuals functioning at the lower end of the skills continuum;
- the Work Keys system covers skills that are more advanced, and provided more information on the skills of individuals functioning at the higher end of the skills continuum;
- the Workforce Learning System and Work Keys system complement each other, and can be used together to provide a smooth, progressive, and complete skills continuum;
- a statistical relationship exists between the CASAS Workforce Learning System and the ACT Work Keys system scales that can be used to estimate scores on one assessment from scores on the other;
- it is not appropriate to substitute scores on one assessment with those from the other.

2.3.4.3 Recommendations

- education, trainers, and human resource managers can use the Workforce Learning Systems and the Work Keys system in tandem to help individuals progress along a broad skills continuum, from their current skill levels to the skill levels required for successful participation in the workforce;
- educators, trainers, and human resource managers can use the Workforce Learning Systems assessments with individuals whose skills are on the lower end of the skills continuum;

- educators, trainers, and human resource managers can use the Work Keys system assessments with individuals whose skills are on the higher end of the skills continuum;
- educators, trainers, and human resource managers can use the assessments of either the Workforce Learning Systems, the Work Keys system, or the two systems together with individuals whose skills are in the mid range of the skills continuum.

2.3.5 A Supplemental Report on the Performance Levels of Iowa's Adult Basic Education Target Populations

2.3.5.1 Introduction

The purpose of this report was to provide performance data on Iowa's adult basic education target populations based on the Comprehensive Adult Student Assessment System (CASAS) Employment Competency System (ECS) Appraisal Form 130 in the areas of reading and mathematics. This report is designed to supplement the data reported in the study titled A Workforce Basic Skills Norming Study of Iowa's JTPA and PROMISE JOBS Target Populations. The Norming Study was designed to provide critical information about the basic skill levels required for Iowa's basic skills target populations to successfully pursue employment and further education (i.e., taking and passing the GED Tests) and enter vocational/technical training programs.

2.3.5.2 Background

Iowa's statewide adult basic education (ABE) program has adopted the CASAS ECS Appraisal Form 130 as the standard appraisal instrument for those ABE programs who are adopting competency based approaches for assessment, instruction and curriculum paradigms. The initial Norming Study for Iowa's basic skills target populations was the third and final study in the Iowa Adult Basic Skills Survey (IABSS) series.² Since the completion of that study in October 1996, the majority of Iowa's community college based adult basic education programs have continued to use the CASAS ECS Appraisal Form 130 as an initial indicator of basic skills proficiency.

2.3.5.3 Conclusions

The ECS Appraisal Form 130 has been utilized by Iowa's community college based adult basic education program as the statewide appraisal instrument to determine instructional preparedness with identified basic skills target populations. The results of this report indicated:

- a significant percentage of Iowa's basic skills target populations are capable of beginning instruction at CASAS levels C and D certification levels in reading;

²The reader is referred to the following documents for the publications contained in the IABSS series: 1) *The Iowa Adult Basic Skills Survey* [ERIC Reproduction Service No. 389 956], 2) *Assessment of Basic Skills Competencies in Iowa's Employment and Workforce Programs* [ERIC Reproduction Service No. ED 389 955], 3) *A Workforce Basic Skills Norming Study of Iowa's JTPA and PROMISE JOBS Target Populations* [ERIC Reproduction Service No. ED 400-437].

- a significant percentage of Iowa's basic skills target populations are capable of beginning instruction at CASAS levels B and C certification levels in mathematics;
- the ECS Appraisal Form 130 is a reliable and accurate indicator of the performance levels of Iowa's basic skills target populations;
- the results of this supplemental report reinforce the initial results reported in the report titled A Workforce Basic Norming Study of Iowa's JTPA and PROMISE JOBS Target Populations;
- the performance trends observed on the CASAS scale as reported in the initial Norming Study and Supplemental Report for the variables of years of education completed, gender, and age reflect similar performance trends as reported in the Iowa State Adult Literacy Survey (IASALS) for the Prose, Document, and Quantitative scales.

2.3.6 First Year Evaluation of Iowa's Basic Skills Certification Program

2.3.6.1 Introduction

The purpose of this report was to present the first year evaluation results of Iowa's Basic Skills Certification program. They were for four community colleges which participated in the first year pilot projects.

The pilot sites represented a variety of adult basic education instructional environments which included: 1) workforce development center, 2) adult correctional facility, 3) adult learning center, 4) ABE/GED classroom, 5) residential treatment facility, 6) residential care facility, 7) even start, and 8) vocational training center. The first year results indicated the basic skills certification program was effective in a variety of adult basic education instructional environments.

2.3.6.2 Observations

The following observations included in the pilot project reports indicated:

- a total of 323 basic skills certificates were issued to 307 adult students;
- sixteen adult students received multi-level certificates;
- a total of 15 percent of the basic skills certificates were issued at certification level A;
- the majority of the basic skills certificates were issued at certification levels B (37 percent) and C (39 percent) for a total of 76 percent;
- a total of 9 percent of the basic skills certificates were issued at certification level D;
- the average number of instructional hours to earn a basic skills reading certificate was a range of 90-112;

- the average number of instructional hours to earn a basic skills mathematics certificate was a range of 85-104;
- the certificates build the self esteem of adult students;
- the certificates effectively benchmark learning gains at both the student and program level;
- the certificates provide a common language among educators, employers, agencies, etc.
- the basic skills certification program provides one of the major outcomes measures for Iowa's basic literacy skills program;
- there is a direct observable relationship between the level of performance on the CASAS ECS/130 Appraisal and the CASAS level at which the majority of the certificates were issue;
- the basic skills certification program will be expanded to other basic literacy skills educational settings and to other community colleges.

2.3.7 Skills 2000 Survey

A study titled Skills 2000 Survey was conducted by the Greater Des Moines, Iowa Chamber of Commerce Federation in conjunction with Des Moines Area Community College. A random sampling of 25 employers in central Iowa meet in thirteen (13) focus groups and listed the technology, communication and workplace behavior skills employers will require in the twenty-first century. The skills are:

- write technical reports;
- read and analyze reports;
- present ideas to co-workers and managers;
- understand core business and financial operations;
- communicate effectively with customers;
- use word processing, spreadsheets, databases and other software applications to compile and present information;
- use e-mail, Internet, intranet and other software to communicate;
- use automated equipment or computer technology as it relates to a specific job or industry;
- work in a team environment;

- solve problems individually or in a group;
- respond to change positively and effectively;
- collaborate, negotiate, delegate;
- deal with people, information and processes with integrity.

3.0 DESCRIPTION OF ADULT EDUCATION AND LITERACY SERVICES

3.1 Description of Allowable Activities

Section 231(b) of the Act states that “the eligible agency shall require that each eligible provider receiving a grant or contract under subsection (a) use the grant or contract to establish or operate 1 or more programs that provide literacy services or instruction in 1 or more of the following categories: 1) adult education and literacy services, including workplace literacy services; 2) family literacy services; 3) English literacy programs.”

Iowa’s integrated community college delivery system allows for all three types of programs to be delivered to target populations throughout the state. Adult education and literacy activities are offered in all 15 community college districts with an annual enrollment between 37,000-40,000 in adult basic education and adult secondary education. These activities have always been a traditional core of the literacy services offered to Iowa’s eligible adult populations.

Family literacy services are currently being offered in seven of the fifteen community colleges as defined in the Act. There were approximately 300-400 persons served in family literacy programs during state fiscal year 1998. These services will continue to be expanded as need and availability dictate. The family literacy services will be subject to the performance indicator reporting procedures outlined in Section 5.0. Any provider offering family literacy services will follow the guidelines outlined in Section 3.2. The IASALS study indicated that most Iowa adults do spend a great deal of time reading and interacting with their children.

English literacy programs are offered in all of Iowa’s fifteen community colleges. This program has always been provided to eligible target populations in Iowa. The English literacy program serves approximately 5,000-6,500 students (17-19% of the total enrollment) in Iowa’s basic skills program. The following excerpt from the IASALS (pp. 35-40) summarizes the need for English literacy programs.

3.1.1 Need for English Literacy Programs

The following description of Iowa’s potential English literacy target populations was cited in the study titled *Adult Literacy in Iowa: Results of the State Adult Literacy Survey* (pp. 35-40).

The vast majority of Iowa residents (98 percent) were born in this country or in one of its territories. The proportion of the state’s residents who were born in another country (2 percent) is approximately the same as the proportion in the Midwest (3 percent). In contrast, nationwide, about 10 percent of the adults were born outside the United States.

As expected, adults born in the United States tended to be more proficient in English than individuals born abroad, many of whom have learned English as a second language. The number of foreign-born adults in Iowa is too small to provide reliable proficiency estimates. In the Midwest and

nation, however, about half the foreign-born adults (43 to 52 percent) performed in Level 1 on each scale, compared with 15 to 20 percent of the native-born residents.

Similar percentages of native-born and foreign-born adults performed in the second lowest level on each literacy scale (22 to 30 percent), but adults born in the United States or a territory were much more likely than those born abroad to reach the third and fourth proficiency levels. Across the literacy scales, approximately one-third of the native-born individuals in the region and nation demonstrated skills in the Level 3 range, and 16 to 19 percent performed in the Level 4 range. In contrast, only 17 to 21 percent of the foreign-born adults reached the third level and just 7 to 9 percent attained the fourth. Across the scales, 2 to 4 percent of adults born in the United States and 1 to 3 percent of those born abroad performed in the highest literacy level (Level 5).

The performance gap between native-born and foreign-born adults is also reflected in the average proficiency results. Among Midwest adults, the gap in average prose scores between these two groups is approximately 60 points. Foreign-born residents had average scores in the high end of the Level 1 range, while native-born individuals has scores in the Level 3 range. On the document and quantitative scales, the difference in average scores between the two groups is about 50 points.

In addition to contrasting the literacy skills of adults born in this country with the skills of those born elsewhere, it is useful to compare the performance of foreign-born individuals who have lived in this country for varying lengths of time. One might expect individuals who have lived in the country for many years to demonstrate higher proficiencies in English than those who immigrated more recently.

The number of foreign-born Iowa residents are too small to provide reliable proficiency estimates for those who have lived in this country for various lengths of time. In addition, while the samples of such adults in the Midwest are larger, the estimates they yield are still unstable (note the large standard errors). The national results therefore provide firmer ground for comparisons.

Approximately 10 percent of the adults living in the United States—or about 19 million individuals—were born in other countries. About 22 percent of these foreign-born adults have lived in this country for one to five years, 17 percent have lived here for six to 10 years, and 61 percent have lived here for more than 10 years.

The literacy skills of immigrants who have lived in the United States for six to 10 years tend to be similar to those of immigrants who have lived here for one to five years. Foreign-born adults who have lived in this country for more than 10 years, however, outperformed individuals who have lived in this country for fewer years. Across the scales, foreign-born adults who had been in this country the longest had average proficiency scores that were approximately 20 points higher than those of immigrants who had lived in the United States for fewer years. Furthermore, they were less likely to perform in the lowest level on each literacy scale. For example, about half of the foreign-born adults who had lived in this country for more than 10 years performed in the lowest level of prose literacy compared with 61 percent of the more recent immigrants.

3.2 Special Rule

The special rule provision allows for special eligibility for family literacy programs. Section 231(d) of the Act indicates “that local programs may not use funds to serve individuals who do not meet service criteria (individuals who are at least 16 years of age; are not enrolled nor required to be enrolled in secondary school under State law; and who lack sufficient mastery of basic educational skills to enable the individuals to function effectively in society; or do not have a secondary school diploma or its recognized equivalent, and have not achieved an equivalent level of education; or are unable to speak; read, or write the English language) *unless* those individuals are enrolled in a family literacy program. Programs taking advantage of this exception are to attempt to secure funding for activities not normally supportable from adult education funds via coordination with other funding sources before expending adult education funds for these activities.”

Any provider who conducts a family literacy program under the auspices of the Act will report progress according to core indicators established under the family literacy definition of activities. These activities include: a) interactive literacy activities between parents and their children, b) training for parents how to be the primary teacher for their children and full partners in the education of their children; c) parent literacy training that leads to economic self-sufficiency, d) an age-appropriate education to prepare children for success in school and life experience.

3.3 Description of New Organizational Arrangements

The main systemic change at both the state and local level is the establishment, implementation and reporting of the performance measures. The state of Iowa has conducted several research studies to provide a research database on which to establish policy and program direction concerning the implementation of the Act. (*See Section 2.0 for a description of recent research studies.*)

The memorandum of understanding (MOU), developed between the local providers of literacy services and the Workforce Development Centers, is currently operational. The MOU basically delineates the services which the local provider will furnish to the eligible target populations served by the Workforce Development Centers. The literacy services typically delineated in a MOU are: 1) literacy assessment utilizing the CASAS/ECS 130 appraisal, 2) provision of a common database utilizing the CASAS TOPSpro software, 3) referral to literacy classes for further testing, evaluation and instruction, 4) issuance of basic skills certificates, and 5) reporting on learner progress and acquisition of literacy competencies relevant to workforce preparedness. (*See Section 9.0 for a complete description of the relationship between Adult and Continuing Education in Iowa and the Workforce Development Centers.*)

The state leadership activities designed to accomplish the goals listed in the Adult Education and Family Literacy Act are: 1) funding of the Iowa State Literacy Resource Center, 2) continuation of the local and state staff development programs, 3) continuation of research and development projects designed to enhance and improve Iowa’s competency based basic literacy skills program, and 4) technical and technology assistance to local providers. (*See Section 12.0 for a description of proposed state leadership activities.*)

A reporting system for reporting progress on proposed performance indicators is currently being developed and beta tested. The CASAS TOPSpro system will serve as the main statewide reporting system concerning all reports regarding the acquisition of basic literacy skills by the eligible target populations and local provider progress in meeting stated performance standards. (*See Section 4.0 for a description of the TOPSpro system.*) However, other compatible tracking software may be utilized to report program outcomes.

4.0 ANNUAL EVALUATION OF ADULT EDUCATION AND LITERACY ACTIVITIES

The evaluation of local providers by the eligible agency is mandated in Section 224(b)(3) of the Act which states the Plan shall contain “a description of how the eligible agency will evaluate annually the effectiveness of the adult education and literacy activities based on the performance measures described in Section 212.”

4.1 Annual Evaluation

The community college delivery system for adult basic education in Iowa has recently adopted the CASAS based TOPSpro (Tracking of Programs and Students) management information system as one of the main vehicles to report participant outcomes and to monitor program performance against the eligible performance measures described in Section 5.0.

4.1.1 Description of the TOPSpro Management Information System

The TOPSpro system contains an export/import function which allows for data to be shared with various other management information systems. This feature will assist in data matching efforts with other agencies regarding student follow-up strategies, employment status, welfare status, etc. The TOPSpro system will also allow reporting of basic skills enrollment information into the community college based management information system.

TOPSpro provides powerful accountability information for students, teachers, program administrators, and state and federal decision makers. TOPSpro is the only software system that tracks information and provides tools to communicate results for adult education and training programs.

TOPSpro offers agencies options for aggregating information on students, including demographic data, learning gains, results of instruction, and test scoring and results. It also produces classroom, site, or agency information for use by teachers and administrators.

TOPSpro has been enhanced with many new and improved features that will ensure not only timesaving data collection, but also greater accuracy and accountability. TOPSpro also offers more options for customization and provides several new features to automate repetitive tasks.

TOPSpro offers dozens of reports that are as essential for the teacher as for the program and state administrators. The reports are organized in an easy-to-read format and offer a wide variety of user options. TOPSpro easily tracks longitudinal student progress with results of intervention, test scores and goal attainment, and can also accurately track students enrolled in multiple programs. In addition, TOPSpro quickly generates data required by the U.S. Department of Education.

4.1.1.1 Benefits

TOPSpro has many new and enhanced features that allow you to quickly and accurately:

- monitor longitudinal student progress;
- track students enrolled in multiple programs;
- provide helpful and immediate feedback to teachers;
- view data in table format;
- maintain a database of results of intervention, test scores, and goal attainment;
- prepare tables for federal reporting requirements;
- ensure an unduplicated count of students;
- scan or manually enter student data;
- roll-up local data to the regional and state levels;
- report on individual competency performance and test history;
- import demographic information from attendance systems;
- generate detailed demographic reports for class, site, and agency;
- ensure accurate data entry via user-defined edits.

4.1.1.2 Reports

TOPSpro offers dozens of reports that are organized in an easy-to-read format. Reports can be specified for the individual classroom, site or agency. The powerful report generators allow you to create specialized reports in a number of helpful areas, including:

- program accountability;
- competency achievement;
- class roster and test history;
- test performance;
- goal attainment;

- progress/learning gains;
- student education history;
- demographic summaries.

4.1.1.3 TOPSpro Answer Sheets

There are four easy-to-use answer sheets that offer agencies options for gathering demographic, testing, program, and accountability information. These answer sheets also simplify capturing new data required by federal reporting requirements.

- **Entry/Update Record (EUUS-098):** collects valuable accountability data from the student. The front or “Entry” side collects student demographics, instructional program and level data, as well as reason for enrollment. The Entry Record serves as a benchmark from which student progress will be measured. The back or “Update” side collects student progress and results after a period of instructional intervention. When data from these two sides are compared and analyzed, valuable insight can be gathered from the change in the student’s status;
- **Student Test Record (TRUS-098):** used to administer any CASAS test and/or record the test scores of non-CASAS tests. When used with CASAS tests, the record collects item responses, form number, date and instructional program. The Test Record permits two CASAS tests to be administered, one on each side, and eight non-CASAS test scores to be recorded, four on each side;
- **Workforce Supplemental Entry/Update Record (WSUS-098):** supplements the Entry/Update Record by collecting additional information vital to workforce and employment-related programs. Information collected includes work maturity skills achieved, supported services needs assessment, wages, and income;
- **Student Name/Address Record (SNUS-098):** optional form used to collect student name and telephone on one side and address information on the other side. Students bubble in the information so that it can be scanned rather than manually entered into TOPSpro.

4.1.1.4 Program Management and Accountability

TOPSpro reflects the program management and accountability requirements of adult education and training programs. TOPSpro developers receive input from leaders in federal and state education and training programs and draw on major adult education research to ensure that TOPSpro software and answer sheets reflect the most current policies and legislation.

TOPSpro helps meet the critical requirements of state and national initiatives and legislation that are influencing educational and training systems:

- SCANS (Secretary’s Commission on Achieving Necessary Skills);

- National Institute for Literacy's Equipped for the Future;
- National Education Goals 2000;
- National Skills Standards Board;
- National Reporting System for Adult Education;
- welfare reform initiatives;
- School-to-Work efforts;
- Carl Perkins Act programs;
- Individuals with Disabilities Education Act.

4.2 Types of Activities

The CASAS Consortium has provided input to the TOPSpro technical specifications committee for improvement in future updates to provide a wide variety of reports which will enhance the capability to assist in the evaluation of local program providers. Specifically, a future update will provide reports tracking the Iowa Basic Skills Certification program. An added advantage of the TOPSpro system is the fact that it is compatible with the proposed National Reporting System (NRS) currently being developed by the U.S. Department of Education for accountability reports. The information generated from the TOPSpro system can be integrated with other information from other management information systems. This feature provides the capability of developing data matching strategies with other agencies and organizations to assist in obtaining the information to report on the follow-up performance indicators.

The TOPSpro reporting system will therefore provide local program information on an annual basis, to: 1) report participant outcomes in terms of student goal attainment, 2) monitor program performance against established performance measures, 3) determine which local programs may be eligible for incentive grants or receive sanctions for not meeting performance standards. This part of the evaluation will be based on a data analysis format based on information submitted from each local program provider.

In addition, site visitations will be conducted to determine:

- the extent to which service is being provided to individuals in the community most in need of literacy services (NALS Levels 1 and 2);
- whether instructional practices and methodologies are: a) competency based, b) research based, c) utilizing practices such as phonemic awareness, systematic phonics, fluency and reading comprehension;

- whether the activities provide real life contexts to ensure that an individual has the skills needed to complete in the workplace and exercise the rights and responsibilities of citizenship;
- whether the activities coordinate with other available resources in the community including: a) local educational agencies (LEA's), b) postsecondary educational institutions, c) one-stop centers, d) job training programs; e) social services agencies, f) Community Based Organizations (CBO's); g) libraries; h) correctional facilities; i) institutionalized facilities; j) business and industry; k) Public Housing Authority (PHA's), l) other literacy partners located in the community or district;
- whether the local programs offer flexible schedules and support services (such as child care and transportation) that are necessary to enable individuals, including individuals with disabilities or special needs, to attend and complete programs;
- whether the local program is offering English literacy programs;
- follow-up studies of former participants at 6, 12, and 15 month intervals;
- effectiveness of teacher training activities;
- extent to which the needs of adult education for workers, homeless and other special target populations have been met;
- results to determine achievement of levels of performance for each of the core indicators for the eligible agencies;
- whether the activities are staffed by well-trained instructors, counselors, and administrators.



5.0 PERFORMANCE MEASURES

5.1 Eligible Agency Performance Measures

The purpose of this section is to present the process by which the adult basic education benchmarks for program accountability were developed. The benchmarks were developed to: 1) establish adult basic education program outcomes through the year 2005 in relation to the vision statement and strategic plan, 2) provide quantifiable indicators to measure progress toward program outcomes, and 3) build on Iowa's adult basic education program accountability model. [A complete description of Iowa's benchmarks is contained in the publication titled *Benchmarks for Adult Basic Education in Iowa's Community Colleges* (March 1996).]

5.1.1 The Importance of Iowa's Adult Basic Education Program Indicators, Standards and Benchmarks

The standards and benchmarks:

- articulate the indicators of program quality;
- establish the criteria against which local and state program effectiveness and accountability will be evaluated;
- define the process, priorities and overall operating principles that Iowa's adult basic education programs deem essential to effective program performance;
- communicate program effectiveness to other entities in the literacy coalition (i.e. PROMISE JOBS, Workforce Development Centers, Corrections, Business and Industry, etc.);
- form the basis for effective and pro-active decision making;
- comply with the federal mandate for program accountability;
- document the effectiveness and importance of Iowa's community college based integrated delivery system designed for coordination and delivery of literacy services to all eligible adult target population(s);
- measure progress towards current and projected program outcomes;
- serve as one of the important benchmarks in achieving national educational goal number six which states:

“By the year 2000, every adult American will be literate and will possess the knowledge and skills necessary to compete in a global economy and exercise the rights and responsibilities of citizenship.”

5.1.2 The Iowa Context

The formulation of Iowa's adult basic education program benchmarks utilized the national performance indicators developed by Pelavin Associates, Inc., for the U.S. Department of Education, Division of Adult Education and Literacy (1991). The Iowa benchmark committee, a sub-committee of the adult basic education coordinators' group, reviewed the Pelavin model and made appropriate modifications and revisions which reflected the reality of program practices inherent in Iowa's adult basic education programs. The benchmarks were twice reviewed and modified by the benchmark committee. The adult basic education coordinators approved the benchmarks after the second revision.

During the formulation and development of the benchmarks, the benchmark committee utilized several data sources to serve as documentation for the genesis of the benchmarks. The major data sources were: 1) Iowa's State Plan and Amendments for Adult Basic Education: Fiscal Years 1990-1999, 2) The Adult Basic Education Federal Annual Program Performance Report, 3) The General Educational Development Testing Service (GEDTS) and the Iowa GED Annual Statistical Reports, 4) The Iowa High School Equivalency Diplomas data base developed by the Iowa Department of Education, 5) a variety of policy memoranda, developed by the Iowa Department of Education, outlining program practices and procedures on various aspects of adult basic education program and staff development activities, 6) 1990 federal census data, 7) a variety of research and accountability studies conducted on various aspects of Iowa's ABE/ESL/GED program.

Throughout the entire process of benchmark articulation, many persons and organizations were involved in the formulation, development and review of the benchmarks. This process has assured the field of adult basic education in Iowa that the benchmarks quantify the reality of acceptable performance of the many and varied aspects of meeting the intent of national education goal number six which states "by the year 2000, every adult American will be literate and will possess the knowledge and skills necessary to compete in global economy and exercise the rights and responsibilities of citizenship."

5.1.3 Performance Benchmarks' Philosophy

The benchmarks for Iowa's adult basic education programs were developed with a philosophy and goal of program improvement and accountability. The benchmarks represent the philosophical and practical yardstick by which Iowa's adult basic education programs will be judged and evaluated. The benchmarks also represents the effectiveness of an integrated system for the delivery of basic skills education to Iowa's adult populous through the community college continuing education network. Several national research studies have concluded that states which have integrated delivery systems have greater accountability and effectiveness as opposed to those states which have a pattern of unconnected entities.

5.1.4 Utilization of Benchmarks

The benchmarks fulfill the mandate for program accountability. They provide invaluable guidance to the states, local programs, the field, and policymakers at all levels. The benchmarks have different impact for varied constituencies:

- for Iowa's community college adult basic education programs, the benchmarks and the process used in their development has added another measure of accountability;
- for local programs, the benchmarks offer a clear and concise method of judging the success of their programs and promoting program improvement;
- for the field, the benchmarks offer a focus for basic and applied research, innovative practices, evaluative studies, and technical assistance efforts;
- for policymakers, the benchmarks provide better, more appropriate, and more accurate information on the effectiveness of Iowa's adult basic education programs and delivery system—information that will enhance their understanding of the value of Iowa's community colleges continuing education delivery system.

5.2 Core Indicators of Performance

Section 212(2)(A) of the Act specifies that each eligible agency is subject to certain core indicators of performance and has the authority to specify additional indicators. The core indicators are:

- demonstrated improvement in literacy skill levels in reading, writing, and speaking the English language, numeracy, problem solving, English language acquisition, and other literacy skills;
- placement in, retention in, or completion of postsecondary education, training, unsubsidized employment or career advancement;
- receipt of an [adult] secondary school diploma or its recognized equivalent [GED].

The Iowa basic skills core indicators were established utilizing the Adult Education Government Performance Review Act (GPRA) indicator model disseminated by the U.S. Office of Education; Office of Vocational and Adult Education/Division of Adult Education and Literacy. The following sections delineate: 1) the federal definitions of the educational functioning levels for Adult Basic Education, English Literacy (ESL) and Adult High School/Adult Secondary Education (ASE) programs, 2) the core performance indicators with baseline percentages to establish projected levels of performance.

5.2.1 Definitions of Educational Functioning Levels

This section defines the educational functioning levels for the following areas: 1) Adult Basic Education, 2) English Language (ESL), Adult High School/Adult Secondary Education (ASE). The definitions are referenced in the publication titled *Annual Performance and Financial Reports: State Administered Adult Education Program: 1997-1998 Instructions, Definitions, Forms* (pp. 2-5).

Adult Basic Education Levels

Beginning Literacy

- **functional skills.** The individual cannot read basic signs or maps, cannot complete simple forms and has few or no basic computational skills;
- **reading and writing.** The individual has no or minimal literacy skills and little or no formal schooling. There is little or no recognition of the alphabet;
- **computation.** The individual has little computational skills and has little recognition of numbers;
- **test benchmark.** Grade level 0-1.1; 200 and below CASAS.

Beginning ABE

- **functional skills.** The individual is able or could learn to read simple directions, signs and maps with some difficulty, fill out simple forms and perform simple computations;
- **reading and writing.** The individual can read and print letters, one syllable words, most two syllable words and some three syllable words; can alphabetize words and write name, address and phone number; can write simple messages and letters using simple and compound sentences; can use simple punctuation (e.g., periods, commas, question marks);
- **computation.** The individual can count, add and subtract three digit numbers, can perform multiplication through 12; can identify simple fractions;
- **test benchmark.** Grade level 2-5.9; 201-210 CASAS.

Intermediate ABE

- **functional skills.** The individual is able to handle basic reading, writing and computational tasks; is also able or could learn to read simple employee handbooks, interpret a payroll stub, complete a basic job application or medical information forms, and reconcile a bank statement. May have difficulty with calculations, however, such as gas mileage;
- **reading and writing.** The individual can paraphrase written narratives containing poly-syllabic words within all types of sentence structures; can compose a paragraph using combinations of all major sentence types; can review a paragraph and identify spelling and punctuation errors; can interpret actions required in specific written directions and write instructions to others, such as describing how to get to a specific address, or write a simple phone message;
- **computation.** The individual can perform all four basic math operations with whole numbers and fractions; can solve narrative math problems requiring use of fractions and decimals;
- **test benchmark.** Grade level 6-8.9, 211-235 CASAS.

Adult Secondary Education (ASE)

Individuals at this skill level should be attending an adult high school, an external diploma program or an ABE program with a goal of passing the GED tests.

- **functional skills.** Individuals are able or could learn to follow simple multi-step directions, read common legal forms and manuals, write accident or incident reports, create and use tables and graphs, use math in business transactions and communicate personal opinions in written form;
- **reading and writing.** The individual can comprehend expository writing and identify spelling, punctuation and grammatical errors; can find, summarize and use information from literacy works, magazines and professional journals to compose multi-paragraph essays on historical, contemporary and political issues; can listen to oral instructions and write an accurate synthesis of them; can work productively and collaboratively in groups;
- **computation.** The individual can interpret and solve algebraic equations, tables and graphs and can develop own tables and graphs; understands and can apply principles of geometry to measure angles, lines and surfaces; can make mathematical estimates of time and space;
- **test benchmark.** Grade level 9-12, 235 and above CASAS.

English-as-a-Second Language Levels (English Literacy)

Beginning Literacy

- **functional skills.** The individual functions minimally or not at all in English and can communicate only through gestures or a few isolated words. The individual may lack literacy in the native language and has had little or no formal schooling;
- **reading and writing.** The individual cannot read or write or can read or write only isolated words. There may be little or no alphabet recognition;
- **speaking and listening.** The individual cannot speak or understand English, or understands only isolated words or phrases;
- **test benchmark.** 165-180 CASAS; SPL 0-1.

Beginning ESL

- **functional skills.** The individual functions with difficulty in situations related to immediate needs and in limited social situations; has some simple oral communication abilities using simple learned and often repeated phrases;
- **reading and writing.** The individual has a limited understanding of print only through frequent re-reading; can copy words and phrases and write short sentences;

- **speaking and listening.** The individual can understand frequently used words in context and very simple phrases spoken slowly and with some repetition; survival needs can be communicated simply, and there is some understanding of simple questions;
- **test benchmark.** 181-200 CASAS; SPL 2-3.

Intermediate ESL

- **functional skills.** The individual can meet basic survival and social needs, can follow some simple oral and written instruction and has some ability to understand on the telephone;
- **reading and writing.** The individual can read simple material on familiar subjects, but has difficulty with authentic materials; can write simple paragraphs on survival topics and personal issues with some error;
- **speaking and listening.** The individual can understand simple learned phrases and new phrases containing familiar vocabulary; can converse on familiar topics beyond survival needs; can clarify speech through rewording and asking questions. There is a use and understanding of basic grammar;
- **test benchmark.** 201-220 CASAS; SPL 4-5.

Advanced ESL

- **functional skills.** The individual can understand general conversations, participate effectively in familiar situations, satisfy routine survival and social needs and follow oral and written instructions. Individuals also can understand conversation containing some unfamiliar vocabulary on many everyday subjects, but may need repetition, rewording or slower speech;
- **reading and writing.** The individual can read materials on abstract topics and descriptions and narrations of factual material. The individual can write descriptions and short essays and can complete complex forms and applications. There is a general ability to use English effectively to meet most social and work situations;
- **speaking and listening.** The individual can converse with no or minimal difficulty in conversation, can communicate over the telephone on familiar subjects and has basic control of grammar; understands descriptive and spoken narrative and can comprehend abstract concepts in familiar contexts;
- **test benchmark.** 221-235 CASAS; SPL 6.

5.2.2 Iowa's Core Performance Indicators

This section is designed to present Iowa's core performance indicators for the statewide adult basic education program. The following tables (8 and 9) display the performance indicators, enrollment data for program years 1995 through 1998, and projections (percentages and numbers) based on the enrollment data. The projections established the foundation for baseline year 2000. The projections, presented in table 12 for target years 2001 and 2002, were extrapolated from the baseline data. (Refer to Section 5.4 for further information on the baseline year and target years.)

The baseline year projections, delineated in tables 8 and 9, were calculated utilizing baseline data from program years 1995-1998 extrapolated from the reports titled 1995-1998 Iowa Annual Performance Reports For The Adult Education State-Administered Program (tables 3,5 and 6). The baseline data was formulated to establish a baseline trend for each one of the eleven (11) performance indicators.

Table 8			
Performance Indicators for Adult Basic Education And English Literacy Programs			
Adult Basic Education Programs			
Educational Functioning Level	Number Enrolled (1995-1998)	Number Started That Completed Level	Percent Completed Level (Baseline)
Beginning Literacy*	5,291	447	8
Beginning ABE	10,675	1,407	13
Intermediate ABE	24,344	4,100	17
English Literacy Programs (ESL)			
Beginning Literacy (ESL)	3,527	806	23
Beginning ESL	4,833	998	21
Intermediate ESL	2,570	862	34
Advanced ESL	1,100	615	56

Source: 1995-1998 Iowa Annual Adult Basic Education Performance Reports: Tables 3 and 6

*The category "Beginning Literacy" was computed on 1997-1998 data. The reason the computations were not made on 1995-1998 data is due to the fact that this category was not included in the federal report until 1997.

Table 9		
Performance Indicators for Referrals to Other Education Programs, Employment, Job Advancement and Adult Secondary Education		
Number of Adults Who Entered Other Education or Training Programs		
Average Number Entered Education or Training Programs (Duplicated Count 1995-1998)		
3,604		
Placement in Unsubsidized Employment		
Number Enrolled (Duplicated Count 1995-1998)	Number Gained, Employment (Duplicated Count 1995-1998)	Percent Placed in Unsubsidized Employment (baseline)
59,661	8,923	11
Number of Adults Who Were Retained in or Obtained Job Advancement		
Average Number Gained, Secured or Advanced (Duplicated Counts 1995-1998)		
1,870		
Adult High School/Adult Secondary Education (ASE)		
Educational Functioning Level	Average Number Earned in Adult High School Diploma or GED (1995-1998)	
Adult High School/ASE	4,732	

Source: 1995-1998 Iowa Annual Adult Basic Education Performance Reports: Tables 3, 5 and 6

5.3. Additional Indicators of Performance

The Act [Section 212(2)(B)] authorizes the eligible agency to identify additional indicators of performance for adult basic education and literacy activities. The additional indicator established for Iowa's statewide basic skills program is the inclusion of the Iowa Basic Skills Certification Program. The certification program has been pilot tested for one year (1997) by four community college pilot sites and the results indicate that it can be utilized as an additional performance indicator. The implementation of a basic skills certification program is required for local providers to be considered for funding under the auspices of title II of the Workforce Investment Act of 1998. The following section provides an overview of the generally accepted and research based Iowa's Basic Skills Certification program. A research based approach to a certification program utilizing other assessment instruments and/or strategies may be utilized. The certificates issued should meet the same performance levels and descriptions as outlined in the Iowa Basic Skills Certification Manual.

5.3.1 Iowa's Basic Skills Certification Program

5.3.1.1 Introduction

Given the current emphasis on benchmarking student learning gains and skills acquisition, Iowa's community college based adult basic education program initiated a program to issue basic skills certificates based on attainment of demonstrated competencies. Iowa's *Literacy/ABE Vision 2005* includes a vision statement which documents the necessity of issuing basic skills certificates. The vision statement indicates that "certificates of achievement will be awarded to adult basic education (ABE) students for attainment of predetermined levels of performance in selected subject areas (i.e. reading and mathematics).

This vision statement was translated into one of Iowa's ABE program core benchmarks. The benchmark states "by the year 2005 ninety percent of Iowa's adult basic education students' learning progress will be measured in terms of competency based outcomes". The basic skills certificates provide the most visible means of documenting student performance and learning outcomes.

One of the major recommendations to emerge from Iowa's basic skills norming study was one that suggested that the adult basic education program should issue student certificates of achievement to benchmark learner gains and student performance. This recommendation states:

"Iowa policy makers and adult education practitioners should use the information in this report to begin a dialogue on setting levels for granting certifications based on competency attainment of basic skills. The CASAS levels A through E, presented in this report, provide a reasonable model for certification levels" (CASAS, 1996, p. 51).

5.3.1.2 Purpose

The major purposes of Iowa's basic skills certification program are to:

- provide an incentive for student learning motivation;
- benchmarks student performance and learning gains based on competency attainment;
- establish a common language among literacy partners (i.e. JTPA, Promise Jobs, Workforce Development Centers, employers, vocational rehabilitation, welfare reform, etc.);
- document basic skills attainment for employers and others;
- furnish a significant data element for an outcomes based reporting system;
- develop an understandable method of communication to policy makers regarding student learning progress (i.e. legislators, administrators, etc.); and
- provide a standardized method of measuring program effectiveness.

5.3.1.3 Characteristics

The following concepts define the characteristics of Iowa's Basic Skills Certification program:

- vision oriented;
- research based;
- competency based;
- basic literacy skills oriented;
- results oriented;
- pre-test/post-test driven;
- utilizes a standards/benchmark format;
- assessment driven;
- learning gains oriented;
- provides valid certification of basic literacy skills attainment below the GED level (i.e. CASAS levels A-D or National Adult Literacy Survey [NALS] levels 1-3);
- learner centered;

- accountability driven;
- certification program is “skill attainment” driven as opposed to “grade level equivalent” driven;
- local ABE program administered;
- evaluation and change oriented;
- serves basic literacy skills target populations.

5.3.1.4 Development of Iowa’s Basic Skills Certification Program

Given the three research studies conducted in the Iowa Adult Basic Skills Survey (IABSS) series, the logical conclusion was to initiate a basic skills certification program for Iowa’s community college based adult basic education program (CASAS, 1995a, 1995b, 1996). The following process was established to develop the basic skills certification program.

- a collaborative decision was initiated to issue Basic Skills Certificates of Achievement for the subject areas of reading and mathematics. The necessary research was in place to establish standard score ranges and certification levels in these two subject areas (CASAS, 1996);
- the certificates will be issued for CASAS levels A-D. A decision was made not to issue certificates for CASAS level E due to the fact that most persons functioning at this level are capable of receiving the Iowa High School Equivalency Diploma based on successful completion, by Iowa state standards, of the Tests of General Educational Development (GED Tests). (*See figures 1 and 2.*);
- a committee consisting of Iowa’s three CASAS trainers and experienced teachers, familiar with the CASAS competency based system, was chosen to review the general CASAS descriptor statements for CASAS levels A-D. The purpose was to develop descriptor statements specific to the basic literacy skills adult students could generally accomplish at specific CASAS levels in the areas of reading and mathematics. The committee also developed disclaimer statements indicating that an individual may possess additional skills not reflected in the descriptor statement for any given CASAS level;
- the general CASAS descriptor statements were reviewed by the committee in order to develop descriptor statements specific to reading and mathematics for CASAS levels A-D;
- the committee reviewed the descriptor and disclaimer statements three different times. Prior to each review, the input from the previous review was incorporated into the revised statement. After the committee had reached consensus, the statements were reviewed by the CASAS staff;
- the input from the CASAS staff was incorporated into the final draft of the descriptor and disclaimer statements.

The following figures (1 and 2) provide information relative to Iowa's Basic Skills Certification Program for the areas of reading and mathematics: 1) CASAS basic skills levels, 2) CASAS standard score range, 3) CASAS certification level standard score range, 4) CASAS reading and mathematics skill level descriptor statements, 5) reading and mathematics disclaimer statements.

Figure 1
CASAS Reading Skills Levels and Descriptions
with Standard and Certification Scaled Score Ranges

CASAS Basic Skills Level	CASAS Standard Score Range	CASAS Certification Level Standard Score Range	CASAS Reading Skill Level Descriptor Statements
A	<200	195 to 200	Individuals at this level generally can read numbers, letters, simple words, and phrases related to immediate needs. Other skills may include reading and following directions found on signs and directories. Individuals at this level may be successful in entry-level jobs that require basic oral communication skills.
B	201 to 220	215 to 220	Individuals at this level generally can handle basic reading tasks related to their life roles. Other skills may include: reading and interpreting simplified and real-life materials on familiar topics; interpreting simple charts, graphs, maps, labels and menus; following basic written instructions and diagrams. Individuals at this level may be successful in entry-level jobs that involve following basic oral communications or simple written instructions.
C	221 to 235	230 to 235	Individuals at this level generally can handle most routine reading tasks related to their life roles. Other skills may include: interpreting routine charts, graphs, maps, labels, and menus; reading and interpreting a simple employee handbook; interpreting a pay stub; following multi-step diagrams and written instructions. Individuals at this level may be successful in jobs that involve following basic oral communications, simple written instructions and diagrams. Persons at this level generally are able to begin General Education Development (GED) preparation.
D	236 to 245	240 to 245	Individuals at this level generally can perform tasks that involve written instructions in both familiar and unfamiliar situations. Other skills may include: reading and following multi-step directions; reading and interpreting manuals and legal forms; interpreting literary materials such as poetry and literature; creating and using tables and graphs, integrating information from multiple texts, charts, and graphs; evaluating and organizing information. They can also organize information and perform tasks that involve workplace communication skills. Persons at this level generally are able to successfully complete appropriate sections of the Tests of General Educational Development (GED Tests).

Reading Disclaimer Statement: This individual has been awarded this Basic Skills Certificate of Achievement based on demonstrated performance in reading using the Comprehensive Adult Student Assessment System (CASAS). The following descriptor is indicative of the basic skills generally achieved at CASAS Level (A) (B) (C) (D). Individuals may possess additional skills that are not reflected in this descriptor.

Source: Basic Skills Certification Manual: Guidelines for Iowa's Adult Basic Education Program, p. 12.

Figure 2
CASAS Mathematics Skills Levels and Descriptions
with Standard and Certification Scaled Score Ranges

CASAS Basic Skills Level	CASAS Standard Score Range	CASAS Certification Level Standard Score Range	CASAS Mathematics Skill Level Descriptor Statements
A	<200	195 to 200	Individuals at this level generally can add and subtract whole numbers. Other skills may include: interpreting clock time; counting and converting money. Individuals at this level may be successful in entry-level jobs that involve tasks such as counting items.
B	201 to 220	215 to 220	Individuals at this level generally can add, subtract, multiply and divide whole numbers. Other skills may include: interpreting simple charts, graphs, and labels; interpreting a basic payroll stub; interpreting clock time; counting, converting, and using money, interpreting restaurant menus and computing related costs. Individuals at this level generally can handle jobs that involve following basic oral communications or simple written instructions and diagrams if they can be clarified orally. Individuals at this level may be successful in entry-level jobs.
C	221 to 235	230 to 235	Individuals at this level generally can handle most computational tasks related to their life roles. Other skills may include: adding, subtracting, multiplying and dividing whole numbers; interpreting routine charts, graphs, and labels; interpreting a payroll stub; reconciling a bank statement and completing calculations on a simple order form. Individuals at this level may be successful in entry-level jobs that involve following basic oral communications and simple written instructions and diagrams. Persons at this level generally are able to begin General Educational Development (GED) preparation.
D	236 to 245	240 to 245	Individuals at this level generally can add, subtract, multiply and divide whole numbers, fractions and decimals. Other skills may include using mathematics in the workplace, such as calculating discounts; comparing prices to determine the best buys for goods and services; creating and using tables and graphs; computing standard measurement for length, width, perimeter, and area. They generally can organize, implement and perform multi-level calculations. Persons at this level generally are able to successfully complete appropriate sections of the Tests of General Educational Development (GED Tests).

Mathematics Disclaimer Statement: This individual has been awarded this Basic Skills Certificate of Achievement based on demonstrated performance in mathematics using the Comprehensive Adult Student Assessment System (CASAS). The following descriptor is indicative of the basic skills generally achieved at CASAS Level (A) (B) (C) (D). Individuals may possess additional skills that are not reflected in this descriptor.

Source: Basic Skills Certification Manual: Guidelines for Iowa's Adult Basic Education Program, p. 13.

5.3.1.5 Certification Guidelines

The following guidelines are in effect for the issuance of competency-based Basic Skills Certificates of Achievement.

- a certificate will be issued by the local ABE program when a student has successfully met the certification level through pre-post assessment procedures at each CASAS basic skills level;
- the certification information should be entered into the student record utilizing the TOPSpro software. This information needs to be updated each time a student is issued a certificate. Given the current version of the TOPSpro software, the information will need to be “hand entered” (as opposed to scanning) into the “notes” section of the student’s record. The following information should be entered: 1) level of achievement (i.e. CASAS Reading Level B; CASAS Math Level 3), 2) date(s) the certificate was issued, 3) name of instructor/trainer who issued the certificate;
- the only certificates to be issued will be competency attainment in the subject areas of reading and mathematics. Other certificates may be issued at a later date when research is available on other areas such as writing skills, listening skills, etc.;
- duplicate certificates may be issued upon request. However, the certificate should have the word “duplicate” indicated;
- local program procedures need to be established concerning the issuance of basic skills certificates (i.e. when certificates are issued, signatories, state reporting procedures, issuance of duplicate certificates, verification of certificates, etc.);
- certificates should not be issued for initial assessment results based on the CASAS/ECS 130 appraisal form. Certificates should only be issued for demonstrated performance on diagnostic pre-post assessment procedures.

5.3.1.6 Certification Levels

The certification level standard score ranges were established at the 85 percent probability level for each CASAS level A-D. This means that any given individual has an 85 percent chance of performing the tasks listed for any given descriptor at any given CASAS level (*refer to figures 1 and 2*). This high probability level insures that the integrity, reliability, and consistency of the basic skills certification program is insured.

5.3.1.7 Observations

The following observations were formulated from the first year evaluation of the Iowa Basic Skills Certification Program:

- a total of 323 basic skills certificates were issued to 307 adult students;

- 16 adult students received multi-level certificates;
- a total of 15 percent of the basic skills certificates were issued at certification level A;
- the majority of the basic skills certificates were issued at certification levels B (37 percent) and C (39 percent) for a total of 76 percent;
- a total of 9 percent of the basic skills certificates were issued at certification level D;
- the average number of instructional hours to earn a basic skills reading certificate was a range of 90-112;
- the average number of instruction hours to earn a basic skills mathematics certificate was a range of 85-104;
- the certificates build the self esteem of adult students;
- the certificates effectively benchmark learning gains at both the student and program level;
- the certificates provide a common language among educators, employers, agencies, etc.
- the basic skills certification program provides one of the major outcomes measures for Iowa's basic literacy skills program;
- there is a direct observable relationship between the level of performance on the CASAS ECS/130 Appraisal and the CASAS level at which the majority of the certificates were issued;
- the basic skills certification program will be expanded to other basic literacy skills educational settings and to other community colleges.

5.3.1.8 Summary

The Adult Educational Family Literacy Act contains several references relating to increased program accountability and benchmarking of learner outcomes. The Act promotes high standards for learner achievement and includes strong accountability provisions, such as developing a system of "performance goals" for student achievement that would be determined by each state. Performance goals for adult education and literacy programs could include the following:

- establishing measurable goals for client outcomes;
- providing learning in 'real life' contexts;
- coordinating with other resources in the community;
- offering flexible schedules and support services; and

- issuing basic skills certificates.

The implementation of Iowa’s basic skills certification initiative provides another pro-active measure to meet the literacy needs of the state’s eligible adult target populations.

5.3.2 Crosswalk Between the Federal Adult Basic Education Performance Levels and Iowa’s Basic Skills Certification Levels

The basic skills certification standard score ranges are similar to the federally defined adult basic education performance levels CASAS test benchmarks. (See Section 5.2.1 for the educational functioning levels definitions.) Therefore, a crosswalk scale can be established to display the relationship between the two types of performance indicators. Given the similarity between the two types of performance indicators, local providers can report basic skills gains for the adult basic education performance indicators in terms of the percent of basic skills certificates issued at each one of the basic skills certification levels. These levels can be translated into percentage reporting for inclusion in the federal report by utilizing the data presented in table 10. The data presented in table 10 displays the relationship between the federally defined adult basic education functioning levels and the CASAS certification levels for the Iowa Basic Skills Certification Program.

	Federal CASAS Test Benchmarks	CASAS Basic Skills Level	CASAS Standard Score Range	CASAS Certification Standard Score Range
Beginning Literacy	<200	A	<200	195-200
Beginning ABE	201-210	B	201-220	215-220
Intermediate ABE	211-235	C	221-235	230-235
Adult High School/ASE	>235	D	236-245	240-245

Source: 1997-1998 Instructions, Definitions, and Forms: Annual Performance and Financial Reports for the State-Administered Adult Education Program (pp. 2-3), and the Basic Skills Certification Manual: Guidelines for Iowa’s Adult Basic Education Program (pp. 12-13).

5.3.3 Family Literacy Performance Indicators

The Act [Section 203(7)] establishes additional performance indicators for family literacy services. The additional performance indicators are: 1) interactive literacy activities between parents and their

children, 2) training for parents regarding how to be the primary teacher for their children and full partners in the education of their children, 3) parent literacy training that leads to economic self-sufficiency, 4) an age-appropriate education to prepare children for success in school and experiences.

These performance indicators will be established for any local provider which includes a family literacy component in the local application. The data elements for evaluation of the four indicators are contained in the TOPSpro reporting system. The family literacy performance indicators are presented in table 11.

Table 11	
Performance Indicators for Family Literacy Programs	
Performance Indicator	Program Outcome
Interactive literacy activities between parent and their children	Appropriate curriculum materials and instructional strategies with observations and anecdotal comments by instructor (qualitative measure)
Parental training for teaching of children	Instructional strategies and methodologies which focus on parenting and the value of education (qualitative measure).
Economic self-sufficiency	Follow-up parents to determine if the family unit is self-sufficient (i.e. removal from welfare, employment, etc.) (quantitative measure).
Age-appropriate education for children	Curriculum materials and instructional strategies which are considered age-appropriate (qualitative measure).

5.4 Levels of Performance for First Three Years (2000-2002)

This section of the Plan is designated to provide the projected percentage and number increase for each of the core performance indicators described in Section 2.5.2 for state program baseline year 2000 and target years 2001 and 2002 as delineated in table 12. Program year 2000 was designated as the base year utilizing the percentages and numbers calculated and displayed in tables 8 and 9. The target years are designated as program years 2001 and 2002. A projected increase is displayed for each program year. The projected increase ranged from 2-4 percent for any given category and any given year.

The base year data was calculated from self reported information from the enrollees in the statewide basic skills program. Some of the data reported may be considered "soft" since the statewide reporting system (i.e. TOPSpro) was not fully operational at the time the Plan was formulated. Therefore, some of the projections may be modified after data is reported via the TOPSpro system commencing with program year 2000 (July 1, 1999). The current projections represent reasonable estimates based on analysis of available data.

Table 12
Adult Education
Performance Measures

Core Indicator 1: Demonstrated improvements in literacy skill levels in reading, writing, the English language, numeracy, problem-solving, English language acquisition, and other literacy skills.

Performance Measures	Target Years		
	Base Year 2000	2001	2002
<p>Beginning Literacy (ABE)</p> <p>The percentage of adult learners enrolled in beginning Literacy who completed that level.</p>	<p>*11% of beginning level enrollees will acquire (validated by formal assessment) the level of basic skills needed to complete the educational functioning level.</p>	<p>14% of beginning level enrollees will acquire (validated by formal assessment) the level of basic skills needed to complete the educational functioning level.</p>	<p>16% of beginning level enrollees will acquire (validated by formal assessment) the level of basic skills needed to complete the educational functioning level.</p>
<p>Beginning ABE</p> <p>The percentage of adult learners enrolled in beginning ABE who completed that level.</p>	<p>*15% of beginning level enrollees will acquire (validated by formal assessment) the level of basic skills needed to complete the educational functioning level.</p>	<p>17% of beginning level enrollees will acquire (validated by formal assessment) the level of basic skills needed to complete the educational functioning level.</p>	<p>19% of beginning level enrollees will acquire (validated by formal assessment) the level of basic skills needed to complete the educational functioning level.</p>
<p>Intermediate ABE</p> <p>The percentage of adult learners enrolled in intermediate ABE who completed that level.</p>	<p>17% of beginning level enrollees will acquire (validated by formal assessment) the level of basic skills needed to complete the educational functioning level.</p>	<p>18% of beginning level enrollees will acquire (validated by formal assessment) the level of basic skills needed to complete the educational functioning level.</p>	<p>20% of beginning level enrollees will acquire (validated by formal assessment) the level of basic skills needed to complete the educational functioning level.</p>

*The base year and target year figures were arrived at as a result of negotiations between the U.S. Department of Education: Division of Adult Education and Literacy and the Iowa Department of Education.

Table 12 - continued

Adult Education Performance Measures

Core Indicator 1: Demonstrated improvements in literacy skill levels in reading, writing,ing the English language, numeracy, problem-solving, English language acquisition, and other literacy skills.

Performance Measures	Base Year			Target Years		
	2000	2001	2002	2001	2002	2002
<p>Beginning Literacy (ESL)</p> <p>The percentage of adult learners enrolled in beginning literacy (ESL) who completed that level.</p>	<p>23% of beginning literacy (ESL) enrollees will acquire (validated by formal assessment) the level of English language skills needed to complete the educational functioning level.</p>	<p>24% of beginning literacy (ESL) enrollees will acquire (validated by formal assessment) the level of English language skills needed to complete the educational functioning level.</p>	<p>26% of beginning literacy (ESL) enrollees will acquire (validated by formal assessment) the level of English language skills needed to complete the educational functioning level.</p>			
<p>Beginning ESL</p> <p>The percentage of adult learners enrolled in beginning ESL who completed that level.</p>	<p>21% of beginning ESL enrollees will acquire (validated by formal assessment) the level of basic skills needed to complete the educational functioning level.</p>	<p>22% of beginning ESL enrollees will acquire (validated by formal assessment) the level of basic skills needed to complete the educational functioning level.</p>	<p>24% of beginning ESL enrollees will acquire (validated by formal assessment) the level of basic skills needed to complete the educational functioning level.</p>			
<p>Intermediate ESL</p> <p>The percentage of adult learners enrolled in intermediate ESL who completed that level.</p>	<p>34% of intermediate ESL enrollees will acquire (validated by formal assessment) the level of basic skills needed to complete the educational functioning level.</p>	<p>35% of intermediate ESL enrollees will acquire (validated by formal assessment) the level of basic skills needed to complete the educational functioning level.</p>	<p>37% of intermediate ESL enrollees will acquire (validated by formal assessment) the level of basic skills needed to complete the educational functioning level.</p>			
<p>Advanced ESL</p> <p>The percentage of adult learners enrolled in advanced ESL who completed that level.</p>	<p>56% of advanced ESL enrollees will acquire (validated by formal assessment) the level of basic skills needed to complete the educational functioning level.</p>	<p>57% of advanced ESL enrollees will acquire (validated by formal assessment) the level of basic skills needed to complete the educational functioning level.</p>	<p>59% of advanced ESL enrollees will acquire (validated by formal assessment) the level of basic skills needed to complete the educational functioning level.</p>			

Table 12 - continued

Adult Education Performance Measures

Core Indicator 2: Placement in, retention in, or completion of postsecondary education, training, unsubsidized employment or career advancement.

Performance Measures	Base Year	Target Years	
	2000	2001	2002
Placement in postsecondary education or training. The total number of adult learners entering other academic or vocational programs (at the postsecondary level).	3,604 learners will enroll in further academic or vocational programs.	3,676 learners will enroll in further academic or vocational programs.	3,786 learners will enroll in further academic or vocational programs.
Placement in unsubsidized employment. The percentage of unemployed adult learners (in the workforce) who obtained unsubsidized employment.	11% of unemployed adult learners enrolled (and in the workforce) will obtain unsubsidized employment.	13% of unemployed adult learners enrolled (and in the workforce) will obtain unsubsidized employment.	15% of unemployed adult learners enrolled (and in the workforce) will obtain unsubsidized employment.
Retention in or job advancement. The total number of adult learners who retained employment or advanced on the job.	*2,000 adults will be retained on the job or advance on the job.	2,200 adults will be retained on the job or advance on the job.	2,400 adults will be retained on the job or advance on the job.

*The base year and target year figures were arrived at as a result of negotiations between the U.S. Department of Education: Division of Adult Education and Literacy and the Iowa Department of Education.

Table 12 - continued

**Adult Education
Performance Measures**

Core Indicator 3: Receipt of a secondary school diploma or its recognized equivalent.

High School Completion. The total number of adults enrolled who earned a high school diploma or recognized equivalent.	4,732 adults will earn a high school diploma or recognized equivalent.	4,827 adults will earn a high school diploma or recognized equivalent.	4,972 adults will earn a high school diploma or recognized equivalent.
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5.5 Factors

The establishment of realistic projected performance levels without valid and reliable trend data is, at best, an exercise in “reasonable probability guessing.” The projections established in table 12 for target years 2001 and 2002 will change as reliable and valid data is obtained. This type of data will be collected in a standardized manner with full statewide implementation of the TOPSpro reporting system. When the eligible agency has reliable and valid trend data, the benchmark projections may be changed to match the reality of results of future data analysis.

5.6 Reports

The Iowa Department of Education will supply the U.S. Office of Education/Division of Adult Education and Literacy with an annual report relative to Iowa’s progress in achieving stated performance measures including information on the levels of performance achieved by the statewide basic skills program in relation to the core indicators of performance. Iowa is currently implementing the TOPSpro reporting system with all eligible providers to aggregate data on the core performance indicators at the state level for federal reporting requirements.

A future strategy is to develop the capability with other state agencies to data match with other databases such as the base wage and salary files, welfare role files, etc. to provide valid and reliable data on the second group of core performance indicators (i.e. follow up of basic skills program enrollees). The process of conducting follow-up studies with basic skills enrollees presents many unique and challenging situations.

If the data obtained from state follow-up studies is to be valid and reliable, the following factors must be considered:

- the U.S. Department of Education must develop a national research model for state follow-up strategies. It has been suggested that a variation of the NALS/SALS model be considered;
- basic skills enrollees are difficult to track due to the migratory nature of the basic skills population;
- a six month or one year follow-up study may produce negative results since enough time would not have elapsed to demonstrate any benefit from the program. A two to four year follow-up strategy would be more appropriate since benefits from program participation would have accrued.

5.7 Incentive Grants

Sections 503(a)(b)(c) of the Act state:

“(a) IN GENERAL – Beginning on July 1, 2000, the Secretary shall award a grant to each State that exceeds the State adjusted levels of performance for title I, the expected levels of performance for title II, and the levels of performance for programs under Public Law 105-332 (Carl D. Perkins Vocational – Technical Education Amendments of 1998), for the purpose of carrying out an innovative program consistent with the requirements of any one or more of the programs within title I, title II, or such Public Law, respectively.

(b) APPLICATION –

(1) IN GENERAL – The Secretary may provide a grant to a State under subsection (a) only if the state submits an application to the Secretary for the grant that meets the requirements of paragraph (2).

(2) REQUIREMENTS – The Secretary may review an application described in paragraph (1) only to ensure that the application contains the following assurances:

(A) The legislature of the State was consulted with respect to the development of the application.

(B) The application was approved by the Governor, the eligible agency (as defined in section 203), and the State agency responsible for programs established under Public Law 105-332.

(C) The State and the eligible agency, as appropriate, exceeded the State adjusted levels of performance for title I, the expected levels of performance for title II, and the levels of performance for programs under Public Law 88-210 (as amended; 20 U.S.C. 2301 et seq.).

(c) AMOUNT –

(1) MINIMUM AND MAXIMUM GRANT AMOUNTS – Subject to paragraph (2), a grant, provided to a State under subsection (a) shall be awarded in an amount that is not less than \$750,000 and not more than \$3,000,000.

(2) PROPORTIONATE REDUCTION – If the amount available for grants under this section for a fiscal year is insufficient to award a grant to each State or eligible agency that is eligible for a grant, the Secretary shall reduce the minimum and maximum grant amount by a uniform percentage.”

It is the intent of the Iowa Department of Education to initiate a process in conjunction with the other partners referenced in the Workforce Development Act (Titles I, III and IV), to apply to the Secretary for consideration of an incentive grant at a future date. The process would be jointly planned and initiated only after a determination had been made that all eligible agencies had met or exceeded the adjusted levels of performance for Title I, the expected levels of performance for Title II, and the levels of performance for programs under Public Law 88-210 (Perkins Vocational Education Act) for the purpose of carrying out an innovative program with the requirements of any one or more of the programs within title I, title II, or such public law respectively. The application would follow the procedures referenced in Section 503 (2)(A)(B) of the Act. *(See Appendix F for a list of the Workforce Investment Act Review team members and associated agencies.)*

6.0 PROCEDURES AND PROCESS OF FUNDING ELIGIBLE PROVIDERS

6.1 Eligible Providers

Section 203(5) of the Act states “the following public or private non-profit entities are eligible to apply to the eligible agency for an award: local educational agencies, community-based organizations (CBOs) of demonstrated effectiveness, volunteer literacy organizations of demonstrated effectiveness, an institution of higher education, a public or private non-profit agency, libraries, public housing authorities (PHAs), non-profit institutions, not described above, with the ability to provide literacy services to adult and families, and a consortium of the agencies, organizations, and institutions, libraries, or authorities described above.”

The Iowa statewide basic skills delivery system described in Section 9.1 of the Plan emphasis a consortium approach for the delivery of basic skills services to Iowa’s eligible target populations. The consortium approach provides a comprehensive, integrated, seamless delivery system emphasizing cooperation and coordination of the different eligible providers reference in Section 203(5) of the Act.

Each consortium utilizes a participatory planning committee (PPC) approach for the development of policy, governance and equality in the distribution of basic skills services throughout the community college district served by the respective consortium. Each PPC consists of 15-20 members representing all of the eligible providers and other literacy partners within the consortium district as specified in Section 203(5) of the Act. Given the proven and effective delivery of basic skills services through the consortium effort, priority will be given to those local providers who can effectively demonstrate an integrated approach to the delivery of basic skills services.

6.2 Process and Application Procedures

6.2.1 Process

The following process will be utilized in the screening of local provider proposals:

Event	Timeframe
1. Notification of availability of funding;	January 1999
2. Formation of Screening Committee;	February-March 1999
3. Deadline for receipt of local provider proposals;	April 1, 1999
4. Review and screening of local provider proposals	April-May 1999
5. Initial notification of acceptance/rejection of local provider proposals	May 1999
6. Appeals process for local providers	June 1999
7. Final notification of accepted proposals and notification of grant awards	July 1999

The notification of eligibility process is described in Section 6.3 of the Plan. The local proposal screening committee will be composed of 5-9 selected individuals from the Iowa Department of Education and the Iowa Literacy Council. If any member of the Iowa Literacy Council has submitted an application, that individual would be excluded from screening committee eligibility. The State Director of Adult Education will serve as the chairperson of the screening committee.

The screening committee will evaluate each proposal based on the screening criteria outlined in Section 6.2.3 of the Plan. Once the committee has made recommendations to the Iowa Department of Education regarding tentative acceptance/rejection of local proposals, the affected providers will be notified. There will be a 30 day appeals process for any provider who was rejected on the initial screening. The screening committee will review the application taking into consideration the factors which the affected entity feels should be reconsidered. The Iowa Department of Education will make the final decision regarding the acceptance/rejection of all proposals. The final notification of grant awards will be disseminated to all accepted providers by July 1, 1999.

6.2.2 Procedure for Allocation of Federal Funds to Local Programs

The formula for distribution of federal adult basic education funds to local providers is based on a combined percentage of: 1) eligible population hardest to reach and most in need, and 2) percentage of production based on the average of adult basic education eligible contact hours generated for any given three fiscal years prior to the year of the grant award.

The first element of the funding formula-eligible population hardest to reach and in most need will be quantified by the number of persons in NALS Levels 1 and 2 for any given geographical area (i.e. city, county, Congressional District, community college district). The source for these figures was derived from the synthetic literacy estimates formulated by Steve Reder from Portland State University in Portland, Oregon. This portion of the funding formula constitutes a 30 percent factor in the formula calculation.

The second element of the funding formula-percentage of production based on the average adult basic education eligible contact hours generated for any given three fiscal years prior to the year of the grant award – is constantly updated every fiscal year to reflect the previous three fiscal years' adult basic education contact hour average. This portion of the funding formula constitutes a 70 percent factor in the formula calculation. The 70 percent element may be changed to a different criteria to reflect the successful achievement of the core performance indicators. This criteria would also be used for the equitable distribution of incentive grants to local providers who meet or exceed the core performance indicators.

The above described formula will be used to distribute the 82.5 percent of the grant funds for grants and contracts as specified under Section 231 of the Act and to carry out Section 225 of the Act which specifies that not more than 10 percent of the 82.5 percent will be expended on corrections and institutionalized basic skills programs. The local administrative costs will be limited to a maximum of 5 percent of the 82.5 percent as specified in Section 233(2) of the Act.

The exception to the 5 percent local administrative cost rule is specified in Section 233(b) which states "in cases where the cost limits described in subsection (a) are too restrictive to allow for

adequate planning, administration, personnel development, and interagency coordination, the eligible provider shall negotiate with the eligible agency in order to determine an adequate level of funds to be used for noninstructional purposes."

The Iowa Department of Education will review eligible provider requests for an increase in local administrative costs above the five percent limitation on an individual basis. A determination will be made on the prevailing circumstances unique to each local provider's situation.

6.2.3 Local Application Elements and Selection Criteria

The local application request for proposals (RFP) guidelines will contain three (3) major sections: 1) a description of how funds awarded under the Adult Education and Family Literacy Act will be spent, 2) a description of any cooperative arrangements the eligible provider has with the other agencies, institutions, or organizations for the delivery of adult education and literacy activities (these two components are mandated in Section 232(1)(2) of the Act), and 3) the twelve (12) selection criteria specified in Section 231(e)(1-12) of the Act.

The first two sections will be addressed as subsections under the twelve selection criteria referenced in Section 231(e)(1-12) of the Act.

6.2.3.1 Selection Criteria Guidelines

The following twelve (12) selection criteria will constitute the major portion of the RFP guidelines. The RFP guidelines will contain the following sections relative to the twelve selection criteria. The numbers in parentheses following each criteria statement reflects the number of possible points awarded for that section of the local proposal. Selection criteria numbers 1, 2, 4, 6, 7, and 11 are weighted due their increase priority to meet the mandates of the Act. The highest number of points an application could receive would be 100.

1. The degree to which the eligible provider will establish measurable goals for participant outcomes. (14)

This section should describe: 1) the process of establishing core performance indicators, 2) strategies for data collection on the core performance indicators, 3) process(es) for reporting progress on the achievement of core performance indicators.

The measurable goals center around three (3) different levels of core performance indicators.

- a. demonstrated improvements in literacy level skill levels in reading, writing, and speaking the English language, numeracy, problem-solving, English language acquisition, and other literacy skills;
- b. placement in, retention in, or completion of postsecondary education, training, unsubsidized employment or career advancement;
- c. receipt of a secondary school diploma [includes adult high school diploma] or its recognized equivalent [GED].

The first set of core performance indicators (basic skills) will be measured in terms of Iowa's Basic Skills Certification program for the following educational functioning levels: 1) beginning literacy, 2) beginning ABE, 3) intermediate literacy. The application will list the percentage of basic skills certificates that will be issued at each CASAS certification level (i.e. levels A-D). The benchmark percentage range for each level is as follows:

CASAS Certification Level	Percentage Range of Certificates Issued
A	12-16%
B	35-39%
C	37-41%
D	7-11%

The percentage ranges are based on an analysis of the information received from the four (4) basic skills certification pilot test sites.

The second set of basic skills core performance indicators (English Literacy Programs) will be measured in terms of percentage compilations for the following educational functioning levels. The benchmark percentage range for each Level is as follows;

Educational Functioning Level	Percentage Range Completion Level
Beginning Literacy (ESL)	23-26%
Beginning ESL	21-24%
Intermediate ESL	32-37%
Advanced ESL	56-59%

The second set of basic skills core performance indicators (follow-up) will be measured in terms of percentages for the following categories: 1) number of persons who entered other education or training programs, and 2) number of persons who gained employment, secured employment retention, or obtained job advancement.

The first category (number of persons who entered other education or training programs) will be reported in terms of a percentage range. The benchmark percentage range is as follows:

Category	Percentage Range of Persons Who Entered Other Education or Training Programs
Entered other education or training programs	10-14%

The second category (placement in unsubsidized employment) will be reported in terms of a percentage range. The benchmark percentage range is as follows:

Category	Percentage Range in Placement in Unsubsidized Employment
Placement in unsubsidized employment	11-15%

The third category (number of adults who gained employment, secured employment retention, or obtained job advancement) will be reported in terms of a percentage range. The benchmark percentage range is as follows::

Category	Percentage Range of Persons Who Were in, Retained, or Advanced in Employment
Persons who retained, or advanced in employment	12-16%

The third set of basic skills core performance indicators (adult high school or GED completion) will be measured in terms of the percent of persons referred from adult high school diploma/adult secondary education (ASE) classes who earn an adult high school diploma or GED diploma. The benchmark percentage range is as follows:

Category	Percentage Range of Adult High School or GED Credentials Earned
Adult High School Adult Secondary Education (ASE)	45-48%

2. **The past effectiveness of an eligible provider in improving literacy skills of adult and families, and, after the one-year period beginning with the adoption of an eligible agency's performance measures, the success of an eligible provider receiving funds in meeting or exceeding such performance measures, especially with respect to those adults with the lowest levels of literacy.** (10)

The following areas should be addressed: 1) number of persons (16+) functioning at the National Adult Literacy Survey (NALS) Levels 1 and 2 by city, county, Congressional district, or community college district, 2) the strategies that will be utilized to meet or exceed the core performance indicator standards within one year after adoption commencing on July 1, 1999, especially with respect to those adults with the lowest levels of literacy (i.e. NALS Levels 1 and 2), 3) the past effectiveness of the provider in meeting the literacy needs of the adult population including the number of years the provider has rendered basic skills education and services.

3. **The commitment of the eligible provider to serve individuals in the community who are most in need of literacy services, including individuals who are low income or have minimal literacy skills.** (5)

This section should include: 1) a description of a profile of adults functioning at NALS Levels 1 and 2, 2) a strategy for serving the state's priority target populations, 3) the number of low income adults residing in the geographical area served by the local provider and specific strategies for meeting their literacy needs.

The priority target populations are as follows:

- **able-bodied welfare recipients (AWR).** Persons who received AFDC or food stamps and who did not have disabilities which prevented them from working. Able-bodied welfare recipients, including women caring for young children, represent about 7.4 percent of the Iowa adult population and about three-quarters of the Iowa adult population receiving welfare;
- **low-wage earners who were not recipients of public assistance (LWW).** Adults who did not receive AFDC or food stamps and were employed full-time at, or below, the minimum wage. This population constitutes about 8.4 percent of the Iowa adult population;
- **at-risk youth (ARY).** Persons age 16 to 21 who had not completed high school and were not currently enrolled in school. At-risk youth comprises approximately .6 percent of the Iowa population age 16 and over;
- **persons for whom English was their second language (ESL).** Persons who indicated on the IASALS that they would not speak or write in English. The ESL population constitutes about 1.4 percent of the Iowa adult population;
- **dropouts with relatively high educational attainment (HiDrp).** Persons who dropped out of high school during eleventh grade. This population makes up about 3.1 percent of the Iowa adult population;

- least educated school dropouts (LoDrp). Persons whose educational attainment was grade ten or less. LoDrp comprises about 1.7 percent of the Iowa adult population;
 - other eligible populations (i.e. minorities, corrections, institutionalized, etc.)
4. Whether or not the program: (a) is of sufficient intensity and duration for participants to achieve substantial learning gains, (b) uses instructional practices such as phonemic awareness, systematic phonics, fluency, and reading comprehension that research has proven to be effective in teaching individuals to read. (10)

The criteria “of sufficient intensity and duration” can be quantified and reported by: 1) the Iowa Basic Skills Certification Program, or 2) the attainment of individual student goals in relation to specific competencies and clusters of competencies in which the adult learner has demonstrated mastery.

This section should describe the strategies the eligible provider will adopt to demonstrate the criteria “of sufficient and duration” in relation to the implementation of the Iowa Basic Skills Certification Program and/or student goal attainment accomplishments in relation to specific competencies achieved or student goal attainment.

This section should also describe current and future instructional strategies, practices and methodologies that have proven effective in teaching individuals to read.

5. Whether the activities effectively employ advances in technology is appropriate, including the use of computers. (5)

The section should include a description of the current and future strategies the eligible provider will utilize with the use of instructional technology. This description should detail: 1) the type of instructional software utilized, 2) the number of computers available, 3) the different types (i.e. brands) of computers utilized, 4) the number of instructional sites utilizing instructional technology strategies, 5) the number of projected sites to utilize instructional technology in the next five (5) years.

6. Whether the activities are built on a strong foundation of research and effective educational practice. (12)

This section should describe the specific Iowa research studies including practitioner studies, conducted during the last 5-8 years, which have led to improvement in current or projected instructional activities or led to innovative new approaches in curriculum development, competency based education, accountability, identification of target populations, etc. Describe other studies which have assisted in program improvement and accountability.

This section should include a description of how the Iowa Basic Skills Certification Program will be integrated into the basic skills programs over the next 3 years beginning July 1, 1999. This description should include: 1) the number and types of instructional sites (i.e. workforce development centers, corrections, community action centers, institutions, libraries, etc.), 2) the

number of potential students who will be served by the basic skills certification program, 3) the projected number of certificates to be issued over the next 3 years beginning July 1, 1999.

7. **Whether the activities provide learning in real life contexts to ensure that an individual has the skills needed to compete in the workplace and exercise the rights and responsibilities of citizenship. (10)**

Describe the strategies utilized to incorporate the priority competency areas, delineated in the Iowa Adult Basic Skills Survey (IABSS) study, into student, instructional and program outcomes. Include a description of how priority competencies are taught in a real life context to assist the learner in meeting employability and/or life skills goals.

8. **Whether the activities are staffed by well-trained instructors, counselors and administrators. (5)**

Describe the qualifications which the instructional staff, counselors and administrators possess. This section should include the annual staff development plan for state fiscal year 2000 (July 1, 1999-June 30, 2000). The staff development plan should include goals, objectives and specific activities along with an estimate of the amount of dollars needed to fund staff development activities.

9. **Whether the activities coordinate with other available resources in the community, such as by establishing strong links with elementary schools and secondary schools, postsecondary educational institutions, one-stop centers, job training centers, and social service agencies. (5)**

This section should include: 1) the number and types of agencies, organizations, institutions, etc. with whom the eligible provider currently collaborates, coordinates and cooperates, 2) the number and types of entities represented on the participatory planning committee, 3) the role, scope and function of the participatory planning committee in formulating policy, establishing strategic planning activities, and providing over all guidance and direction for the basic skills program.

This section should also describe the process the local provider has initiated to implement the memorandum of understanding (MOU) with the local Workforce Development Center. The most common literacy services provided are: 1) initial assessment utilizing the CASAS ECS 130 appraisal, 2) referral to literacy classes, 3) providing adult learner progress reports utilizing the TOPSpro software. This section should also describe any negotiated financial arrangements to provide basic literacy services.

10. **Whether the activities offer flexible schedules and support service (such as child care and transportation) that are necessary to enable individuals, including individuals with disabilities or special needs, to attend and complete programs. (5)**

This section should describe: 1) support services (i.e. child care, transportation, etc.) currently available, 2) cooperative agreements with other agencies (i.e. vocational rehabilitation, Department of Human Services, etc.) designed to assist in providing ancillary services, 3) types of class scheduling strategies to assist individuals with disabilities or special needs.

11. Whether the activities maintain a high-quality information management system that has the capacity to report participant outcomes and to monitor program performance against the eligible agency performance measures. (14)

This section should include: 1) a description of how the statewide basic skills information system (i.e. TOPSpro) will be integrated and utilized for reporting student outcomes, program outcomes, and core performance indicators, 2) future plans for expansion of the TOPSpro system and for reporting and accountability purposes during the next three years beginning July 1, 1999.

12. Whether the local communities have demonstrated a need for additional English literacy [ESL] programs. (5)

This section should describe: 1) the current and projected number of students enrolled in English literacy (ESL) programs, 2) a description of English literacy target population(s) located within the geographical area served by the eligible provider, 3) projected number of adults in need of English literacy services.

6.3 Notice of Availability

The Iowa Department of Education will announce the availability of grant funds under the auspices of title II of the Act. The following channels of communication will be utilized to publicize the information:

- an announcement will be posted on the Iowa Department of Education's web page;
- the announcement will be sent to all existing literacy consortiums and the members of the participatory planning committees;
- the announcement will be circulated in various professional publications, newsletters, and newspapers, in order to provide the widest possible statewide coverage.

The announcement will contain information pertaining to: 1) type of grant, 2) contact person to obtain RFP guidelines, 3) grant application due date, 4) other pertinent information.

6.4 Evaluation of Applications (Family Literacy)

The local grant applications which include a family literacy component will be subject to the same twelve (12) screening criteria outlined in Section 6.2.3.1 of the Plan. There will be additional screening criteria as mandated in Section 203(7)(A-D) of the Act.

The following four (4) additional screening criteria will be used as an additional evaluation tool for any local grant proposal containing a family literacy component. The number in parentheses following each selection criteria statement reflects the number of possible points awarded to that section of the local proposal. The total number of possible additional points for the family literacy section is 40.

1. Interactive literacy activities between parents and their children. (10)

This section should describe the strategies to ensure that instructional activities encourage an active interchange between the parents and their children (i.e. reading and reflection activities, innovative methods of communication among family members, etc.)

2. Training for parents regarding how to be the primary teacher for their children and full partners in the education of their children. (10)

This section should delineate instructional activities and strategies designed to instruct parents how to teach their children the value of education and the encouragement of children to value the educational process.

3. Parent literacy training that leads to economic self-sufficiency. (10)

This section should detail educational experiences and activities which will give parents the literacy skills necessary to effectively function in the workplace. These activities could lead to the granting of basic skills certificates, adult high school diploma or attainment of the GED diploma.

4. An age-appropriate education to prepare children for success in school and life experiences. (10)

This section should describe educational methodologies, strategies and outcomes to ensure that age-appropriate instruction will successfully prepare children for potential success in future educational experiences.

6.5 Special Rules: Local Administrative Expenditures and State Imposed Requirements

Section 233(a)(2) of the Act specifies that local program providers may not spend more than 5 percent of local grant funds, authorized under Section 231 of the Act, for planning, administration, personnel development, and interagency coordination. However, Section 233(b) indicates that “in cases where the cost limits described in subsection (a) are too restrictive to allow for adequate planning, administration, personnel development, and interagency coordination, the eligible provider shall negotiate with the eligible agency in order to determine an adequate level of funds to be used for noninstructional purposes.”

The Iowa Department of Education will review eligible provider requests for an increase in local administrative costs above the five (5) percent limitation on an individual basis. A determination will be made on the prevailing circumstances unique to each provider’s situation.

Section 223(c) of the Act states “whenever a State or outlying area implements any rule or policy relating to the administration or operation of a program authorized under this subtitle that has the effect of imposing a requirement that is not imposed under Federally (including any rule or policy

based on a State or outlying area interpretation of a Federal statute, regulation, or guideline), the State or outlying area shall identify, to eligible providers, the rule or policy as being State or outlying area imposed.” The state of Iowa does not have any code, rule, or policy that would be imposed as a requirement on Title II of the Act.

6.6 State Leadership Incentive Grants

The Workforce Development Survey indicates that all local providers are cooperating, coordination and collaborating with all Workforce Development Centers located throughout the state. Therefore, there are not any current plans to provide incentive grants from State Leadership funds to serve as incentive grants for local cooperation, coordination and collaboration with the Workforce Development Centers. *(See Section 9.0 for a complete description of the relationship between the local providers and the Workforce Development Centers and Section 12.0 for a description of State Leadership projects.)*



7.0 PUBLIC PARTICIPATION AND COMMENT

7.1 Description of Activities

A statewide public hearing on the Plan was held, via the Iowa Communications Network (ICN), on January 26, 1999. The public hearing was designed to seek public input and comments on the Plan. The downlink sites were located in each of the state's fifteen (15) community colleges. The ABE coordinators held local meetings with their participatory planning committee to begin the planning process for submission of local plans. The public hearing was scheduled to coincide with the participatory planning committee meetings.

The local participatory planning committee represent consortiums of agencies, organizations and institutions with participants from: 1) local educational agencies, 2) community-based organizations, 3) volunteer literacy organizations, 4) postsecondary institutions, 5) public and private nonprofit agencies, 6) business and industry, 7) one-stop centers, and 8) other interested entities. Each participatory planning committee is composed of 10-15 members with a total of 15 different committees. Each community college consortium was requested to use the participatory planning committee for the development of the local plan and providing input and comment on the development of the state plan. A total of 184 persons representing the above referenced agencies and organizations attended the statewide ICN public hearing.

The input from the public hearing and meetings with the other agencies and partners provided the basis for formulation of many of the concepts included in the Plan. The various agencies and partners had a chance to review and add input to various chapters as the plan was being formulated. The common literacy performance measures which will be added to the common interagency performance measures will be: 1) adoption of the CASAS/ECS 130 appraisal instrument as the standard statewide appraisal for literacy assessment, 2) adoption of the TOPSpro software as the standard reporting software for literacy attainment and progress reporting, 3) establishment of the CASAS competency system to delineate the common literacy competencies needed for successful employment and advancement in the workforce, and 4) adoption of the Iowa Basic Skills Certification Program.

7.2 Overview of the Iowa Communications Network

The Iowa Communications Network is a statewide, state-administered fiber optic network responsible for the transmission of high quality full-motion, two-way, interactive video; data transport; and long distance voice communications. The ICN is used as a tool for which Iowans can more easily access educational, medical, and governmental services throughout the state.

7.2.1 The ICN Today

Currently, there are over 590 video sites connected to the Network. In addition to the four-year, Part III additions, other authorized users are connecting more sites to the Network:

- the National Guard has 61 sites through the Community Lightways Project;
- the federal government has 42 sites and will add 24 more for conducting several pilot projects by the end of calendar year 1998;
- hospitals currently have over 55 (T-1, dialable wideband) sites;
- the State of Iowa currently has 18 sites and will add another five sites by the end of calendar year 1998.

First and foremost, lawmakers have stressed that education, though not the only reason for the Network, is the ICN's top priority because the Network was founded to strengthen the quality of education in Iowa.

7.2.2 Who Can Use the Network

Chapter 8D of the Code of Iowa specifically defines the authorized users of the Network. Authorized users include:

All accredited K-12 school districts and private schools;

- all accredited public and private colleges and technical educational institutions;
- state agencies;
- federal agencies;
- United States Post Office;
- hospitals and physician clinics (video and data services only);
- public libraries.

7.2.3 Benefits Offered by the ICN

The ICN was constructed as a tool to provide authorized users throughout the state telecommunications capability for voice, data, and two-way, interactive, full motion video. The ICN has accomplished this by equitable pricing for sites throughout the state. Sites are not punished financially by their geographical location.

Iowans are using the Network at an increasing rate. During fiscal year 1996, 100,945 video hours were used. In fiscal year 1997, 182,386 video hours were used and in fiscal year 1998, video usage rose to 249,781 hours. It is projected that the number of video hours used in fiscal year 1999 will be over 390,000, and over 434,000 in fiscal year 2000.

7.2.4 Adult and Continuing Education

Iowa's community colleges are currently utilizing the ICN to deliver a wide variety of adult and continuing education courses to Iowa's adult population. The basic skills program is utilizing the ICN for the following activities: 1) workshops and seminars, 2) monthly meetings with the ABE coordinators, 3) public hearings, and 4) staff development.

7.2.5 Federal Government

The federal government is using the ICN as a test bed to fine-tune program designed for the "Nationwide Information Highway." These programs demonstrate how advanced telecommunications technologies can be used to improve the quality of services to the public. Currently in the third phase of the federal project, the General Services Administration (GSA) has administered over \$6 million for the first two phases and \$4 million for the third.

As part of the first two phases of the federal project, the Social Security Administration has been conducting disability hearings and processing some initial disability claim interview information over the Network. Interaction between locations in Ottumwa, Des Moines and West Des Moines, with links to Kansas City and Washington D.C., substantially shorten the time required for the disability claim process.

7.2.6 Iowan's Network

There have been advantages to the state owning the Network. The state does not have to rely on a network owned by another organization to provide needed tools for the educational community and other users. The ICN has been designed to meet the needs of its users, not the uses fashioned around an available network.

The application of the fiber optic technology in Iowa is original because:

- Iowa is the only state to provide statewide DS-3 service with a presence in every county;
- the ICN provides a flat rate to sites throughout the entire state;
- the ICN has the ability to interconnect T-1 compressed video with DS-3 full motion video.

The ICN is dedicated to the integration of technology in the classroom and the services provided to Iowans. Iowa is positioned to be a leader in the transition of bringing its population into the information age. In a fast paced, ever-changing world where most fall behind in the race against change and technology, it is reassuring to know the ICN, in cooperation with Iowans from throughout the State, will allow Iowa to remain competitive in the information age.

7.2.7 ICN Administration

During the 1994 legislative session, the Iowa General Assembly passed and the Governor signed SF2089. By statute, a three member **Iowa Telecommunications and Technology Commission (ITTC)** was established with the sole authority to supervise the management, development, and operation of the Iowa Communications Network and ensure that all components of the network are technically compatible. The duty of the commission is to ensure that the network operates in an efficient and responsible manner for the purpose of providing the best economic service attainable to the network users consistent with the state's financial capacity. Educational users and the use, design, and implementation for educational applications will be given the highest priority concerning use of the network by the ITTC. The commission provides for the centralized, coordinated use, and control of the network. In 1996, the General Assembly expanded the commission membership to five.

7.3 Iowa Communications Network Public Hearing Sites

The following list enumerates the ICN sites where the state plan public hearings were held:

- **Northeast Iowa Community College**, 100 East Clairborne Drive, Decorah, IA 52101;

Northeast Iowa Community College, Room: Conference Center 129, 10250 Sundown Road, Peosta, IA 52068;
- **North Iowa Area Community College**, Classroom 1, Activity Center 106, 500 College Drive, Mason City, IA 50401;
- **Iowa Lakes Community College**, Library Building Room 22, 300 South 18th Street, Estherville, IA 51334;
- **Iowa Lakes Community College**, South Attendance Center, 3200 College Drive, Emmetsburg, IA 50536;
- **Northwest Iowa Community College**, ICN Classroom 2, Building D, Room 410, 603 West Park, Sheldon, IA 51201;
- **Iowa Central Community College**, ICN Classroom #12, 819 North 25th Street, Fort Dodge, IA 50501;
- **Iowa Valley Community College District**, ICN Room, 909 South 12th Street, Marshalltown, IA 50158;
- **Hawkeye Community College**, Room 110 Tama Hall, 1501 East Orange Road, Waterloo, IA 50704;

- Eastern Iowa Community College District, ICN Classroom 2: Room 304, Kahl Educational Center, 236 West 3rd Street, Davenport, IA 52801;
- Clinton Community College, ICN Classroom 1, Room 105, 1000 Lincoln Boulevard, Clinton, IA 52732;
- Muscatine Community College, Larson Hall Room 60, 152 Colorado Street, Muscatine, IA 52761;
- Scott Community College, ICN Classroom 1, Room 0210, 500 Belmont Road, Bettendorf, IA 52722;
- Kirkwood Community College, ICN Classroom 2, Linn Hall 203B, 6301 Kirkwood Boulevard SW, Cedar Rapids, IA 52406;
- Des Moines Area Community College, Room 522, 1302 NW Ankeny Boulevard, Ankeny, IA 50021;
- Des Moines Area Community College, Highway 30, 1712 Leclark Road, Carroll, IA 51401;
- Western Iowa Tech Community College, Central Campus, 1121 Jackson St., Sioux City, IA 51105;
- Iowa Western Community College, Bluffs 2, Looft Hall, 2700 College Road, Council Bluffs, IA 51501;
- Southwestern Community College, Turner Room, 1405 North Lincoln, Creston, IA 50801;
- Indian Hills Community College, ICN Classroom 4, Videoconferencing & Training Center, 651 Indian Hills Drive, Ottumwa, IA 52501;
- Southeastern Community College, Hershey Hall Room 201, 601 Broadway, Mount Pleasant, IA 52641;
- Southeastern Community College, ICN Classroom 1, North Campus/Trustee Hall Room 503, 1015 South Gear Avenue, West Burlington, IA 52655.

7.4 Public Comment on the State Plan

The following observations were noted as a result of the statewide public hearing conducted over the ICN.

- the plan appears to be comprehensive in scope and provides a clear direction for Iowa's statewide adult basic education program under the auspices of the Workforce Investment Act of 1998;

- the current emphasis on competency based instructional strategies needs to be continued along with the continued upgrade of the current reporting system utilizing the TOPSpro or other appropriate tracking software. (*A description of the TOPSpro system is delineated in Section 4.1.1*);
- there needs to be an increased emphasis on coordinating with business and industry to provide on site workplace literacy programs. This coordination is discussed in Chapter 9.0;
- Iowa's current community college based integrated delivery system is the most effective provider of literacy services to meet the needs of Iowa's priority adult target populations (adults functioning at NALS Levels 1 and 2);
- the core indicators of performance contained in Section 5.2 of the Plan need to be evaluated for consistency and reliability after the second year (2002) of implementation. This strategy is referenced in Section 4.2 of the Plan;
- the literacy needs of Native Americans were not specifically addressed in the needs assessment section of the Plan. These needs will be addressed in the local plans for those sections of Iowa which have Native American populations;
- the community based corrections programs were not referenced in Chapter 11 of the Plan. This reference to community based corrections has been included in Section 11.1 of the Plan;
- the Plan should be included as a part of a comprehensive plan with the other titles referenced in the Workforce Investment Act of 1998. This concept is discussed in Section 9.5 of the Plan;
- the Iowa Basic Skills Certification Program recognizes a research based approach for benchmarking and the issuance of certificates in conjunction with established performance levels and descriptions outlined in the Basic Skills Certification Manual;
- concern was expressed about the short time frame allowed by the WIA. It is difficult to develop a comprehensive five (5) year plan with such a short period of time between final federal guidelines and initiation of the Plan.

The observations will be implemented as part of the transition process to the mandates of the Act.

7.5 Governor's Comments

The Plan was submitted to the Governor for review and comment to comply with the mandate in Section 224(d)(1)(2) of the Act which states "the eligible agency shall submit the State plan, and any revisions to the State plan, to the Governor of the State or outlying area for review and comment and ensure that any comments by the Governor regarding the State plan, and any revisions to the State plan, are submitted to the Secretary." (*See Appendix G for the Governor's comments.*)

8.0 STRATEGIES FOR PROVIDING SERVICES TO TARGET POPULATIONS

8.1 Strategies

Section 224(b)(10)(A-D) of the Act mandates that a State shall include in the Plan “a description of how the eligible agency [Iowa Department of Education] will develop program strategies for populations that include, at a minimum: 1) low-income adults, 2) individuals with disabilities, 3) single parents and displaced homemakers, 4) individuals with multiple barriers to educational enhancement, including individuals with limited English proficiency.” There are also some additional eligible target populations with multiple barriers which could include: 1) homeless adults, 2) adults in correctional institutions or other institutionalized adults.

Iowa’s community college based adult basic education integrated delivery system is designed to serve the needs of all eligible target populations in need of literacy services. In delivering services, Iowa’s community college based adult basic education program coordinates with literacy partners that include community-based organizations, adult correctional facilities, public libraries, and other agencies that offer basic skills classes for eligible target populations. A number of specialized employment and training programs are funded through the former Job Training Partnership Act (JTPA) and Promise JOBS, Iowa’s welfare reform program. These programs are coordinated by the Iowa Department of Workforce Development and the Iowa Department of Human Services, respectively. Other state agencies and programs including the Division of Vocational Rehabilitation, the Department of Elder Affairs, Department of Corrections, Developmental Education programs, Homeless Education programs, and Community Education programs as well as other local and state programs are also involved in providing basic skills education or in making referrals to adult basic education programs.

A description of the eligible target populations served in Iowa’s basic skills program is referenced in Section 2.0 of the Plan. The strategies for serving these target populations have been developed with the respective agencies and/or programs representing the different constituencies. Given Iowa’s comprehensive community college based basic skills delivery system, basic skills services are available within a 15-20 mile radius of any Iowa resident. Therefore, accessibility to basic skills instruction and services is not a major logistical problem. The local providers also establish classes in specialized settings such as homeless shelters, churches, missions, institutionalized settings, correctional facilities or any setting where basic skills instruction and ancillary services are needed.

During program year 1998, the following sites and students were provided basic skills services through Iowa’s comprehensive community college based basic skills delivery system as displayed in table 13.

Table 13

Number of Local Grant
Recipients and Students by Site

Site	Number of Local Grant Recipients (Unduplicat ed Count)	Number of Students (Unduplicated Count)
1. Institutionalized Agencies	157	6,007
2. Correctional Education Agencies	32	1,980
3. Public Housing Authority	11	492
4. Local Education Agency (LEA)	52	1,259
5. Learning Centers	47	8,892
6. Libraries	32	841
7. Work Sites	35	1,298
8. Community Based Organization (CBO)	53	2,155
9. Home or Homebased	94	1,392
10. Postsecondary Educational Institution	26	5,225
a. Churches	34	2,639
b. Hospitals	3	15
c. Sheltered Workshops	3	76
d. Retirement & Nursing Homes	11	41
e. JTPA & Misc.	22	1,623
11. TOTAL	612	33,935

Source: FY 1998 ABE-9 Financial Status Report: Iowa Department of Education

The data would indicate that a total of 612 individual sites and/or basic skills programs were coordinated through Iowa's fifteen (15) community college based consortia outreach efforts serving a total of 33,935 adult learners. The same model will be utilized to continue to provide basic skills opportunities to eligible target populations.

An analysis of the 1998 program year *Iowa Annual Performance Report for the Adult Education State-Administered Program* (table 5) indicated the following enrollment patterns for specified target populations: 1) 10,527 disabled adults were served, 2) 7,090 adults on public assistance were served, 3) 10,080 unemployed adults were served, 4) 3,332 participants in employment and training programs were served. These enrollment figures represent duplicated count as opposed to unduplicated count.

8.2 An Innovative Approach to Serving Eligible Literacy Population Cohorts

The Iowa Communications Network (ICN) is designed to provide distant learning opportunities to populations who do not have access to established traditional literacy classes. Iowa Public Television (IPT) is currently involved in the production and delivery of the *Literacy Link* series. The ICN can be utilized to down link the series to a variety of local settings (i.e. local educational agencies, community colleges, libraries, area service agencies, etc.) to provide literacy learning opportunities via a distant learning modality. (See Section 7.2 for a description of the ICN.)

A future staff development strategy is to provide more distant learning literacy projects via the ICN for eligible literacy target populations. This staff development opportunity will result in joint planning strategies between the Iowa Department of Education, IPT, local providers and the Workforce Development Centers.



9.0 INTEGRATION WITH OTHER ADULT EDUCATION AND TRAINING ACTIVITIES

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

9.1 Planned Integrated Activities

The following Sections (9.1 – 9.3) are excerpts from the publication titled *The Role of Community College Adult and Continuing Education in Iowa’s Workforce Development Centers* prepared by the Iowa Association of Adult and Continuing Education Deans and Directors (1996, pp. 3-15). The description of Iowa’s comprehensive delivery system includes the delivery of basic literacy services, described in Section 3.1, to Iowa’s eligible target populations.

9.1.1 Overview

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

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

The mission and purpose of Iowa’s community colleges is outlined in the Code of Iowa, Chapter 260C.1 which states:

“It is hereby declared to be the policy of the state of Iowa and the purpose of this chapter to provide for the establishment of not more than fifteen areas which shall include all of the area of the state and which may operate community colleges offering to the greatest extent possible, educational opportunities and services in each of the following, when applicable, but not necessarily limited to:

- the first two years of college work including preprofessional education;
- vocational and technical training;

- programs for in-service training and retraining of workers;
- programs for high school completion for students of post-high school age;
- programs for all students of high school age who may best serve themselves by enrolling for vocational and technical training while also enrolled in a local high school, public or private;
- programs for students of high school age to provide advanced college placement courses not taught at a student's high school while the student is also enrolled in the high school;
- student personnel services;
- community services;
- vocational education for persons who have academic, socioeconomic, or other handicaps which prevent succeeding in regular vocational education programs;
- training, retraining, and all necessary preparation for productive employment of all citizens;
- vocational and technical training for persons who are not enrolled in a high school and who have not completed high school;
- developmental education for persons who are academically or personally underprepared to succeed in this program of study.”

The continuing education divisions have been involved in the delivery of these services since the inception of the community colleges in 1966. However, the primary emphasis has been on:

- programs for in-service training and retraining of workers;
- programs for high school completion for students of post-high school age;
- community services;
- training, retraining and all necessary preparation for productive employment of all citizens;
- vocational and technical training for persons who are not enrolled in a high school and who have not completed high school.

Iowa's community colleges provide quality workforce training programs to employers as documented by Iowa's Continuing Education Impact Study and the Iowa Workforce Training Study. This existing network provides a quality, cost effective infrastructure, and workforce training delivery system.

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

Iowa's community colleges are logical providers of workforce training programs because they:

- provide career and job preparation as a primary mission with emphasis on career assessment and planning;
- provide lifelong learning as a fundamental mission;
- work closely with local constituents, including local business, industry, labor, and government, many of whose representatives sit on college career program advisory councils and boards of trustees;

- invest in alternative delivery systems for providing distance learning and instructional technology to support independent living;
- invest heavily in support services for adult learners of all ages. These support services include: student assessment, counseling, educational planning and academic advising, tutoring and remedial education, child care, career development, and job placement services. These support services are packaged to meet the continuing educational needs of adults;
- provide strategic locations across the state, thereby enabling the workforce easy access to services;
- provide high quality training and retraining at a reasonable cost;
- continue to build quality, customer-focused, workforce training partnerships with local business and industry constituents...with support from college program advisory councils and from boards of trustees;
- provide a variety of customized training programs that are responsive to business and industry's workforce training needs.

9.1.2 Role of Adult and Continuing Education in the Workforce Development Centers

The title "Workforce Development Center" speaks to education and training. If the workforce is to be developed, the key is the development of the people who: 1) make up the workforce, 2) those entering the workforce, or 3) those already in the workforce who are in need of lifelong learning to maintain, upgrade and learn new skills. These skills will contribute to the success of business and industry assisting the United States to enhance its position of leadership in the global economy.

Continuing education divisions of the community colleges have from the beginning of the community college movement, been the division that defines the term "community" in the name community college. Strong community involvement includes training and retraining of workers. This means forming partnerships with other community agencies, business and industry, and government to meet the training and retraining needs of: 1) on-line workers, 2) skilled workers, 3) persons in licensed occupations and professions, and 4) supervisors and managers.

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

Since the community college continuing education divisions have considerable experience, not just in Iowa, but across the nation in establishing workforce training and retraining programs, they can be of assistance in the establishment of Iowa's Workforce Development Centers, as well as their continuing operation. This commitment is evidenced by the joint efforts with Iowa Department of Employment Services and the establishment of the centers on community college campuses.

Continuing education has among its major components: 1) workforce training and retraining, 2) workplace literacy, and 3) community resource development. All courses, programs, conferences, and activities provided to implement these components have as their objective imparting knowledge, developing skills, or clarifying values. The approach or delivery mode is one that enables citizens to access quality programs and needed competencies any time, any place, and in a format that blends education with work and family throughout life. Implementation is achieved through innovation and community collaboration in the broadest sense of community.

Continuing education divisions provide leadership within the colleges and the community because they:

- characterize a quick response system that recognizes opportunities and designs innovative programs;
- document successful strategies for building effective partnerships, accessing the adult learner, and providing innovative delivery systems;
- serve a clientele that is often comprised of the following populations: 1) disadvantaged, 2) minorities, 3) women, 4) unemployed, 5) underemployed, 6) single parents, 7) elderly, and 8) working adults;
- bring to bear on community issues all the resources of the entire comprehensive community colleges

9.1.3 Services Offered by Continuing Education

Iowa has a superior continuing education delivery system, which is currently operated through the fifteen community colleges' continuing education divisions. Nowhere is the commitment of Iowa's community college system to lifelong learning better illustrated than in its continuing education offerings. From literacy development and high school completion classes through vocational training and retraining to professional upgrading to avocational learning, these programs provide educational opportunities that virtually touch every family in the state.

Iowa's community colleges provide workforce training and retraining programs for adults in the following areas:

- adult basic and workplace literacy education;
- adult vocational, short-term preparatory, and mandatory continuing education;
- general interest and avocational non-credit courses.

9.1.4 Adult Basic and Workplace Literacy Education

The adult basic and workplace literacy education (ABE) program is a comprehensive system which provides services throughout the state for Iowans 16 years of age and older who wish to acquire or enhance their basic workforce or academic skills. People without a basic workforce or academic skills foundation face very real problems. They are at a disadvantage competing in the job market. They are more likely to be employed in minimum wage jobs and are unprepared to benefit from job training programs when new skills are required for continued employment. The ABE program offers these adults a chance to develop the reading, writing, mathematics, and English language skills they need to take advantage of educational and employment opportunities that could improve the quality of their lives. The ABE program is the first step in a progression that leads adults to reach their potential.

Iowa's strong commitment to serving the needs of its undereducated adults is exemplified in its well-established ABE program. The strength of Iowa's ABE programming is its delivery system which is

flexible in responding to local needs as they emerge, whether from employers, service agencies, or students.

Collaboration, coordination, and cooperation have been the mainstays of the program from the beginning including: 1) mutual referrals, 2) assessment, 3) tracking client goals and progress, and 4) decisions regarding the planned delivery of services to the client. There has always been strong collaboration with federal employment training programs to help adults prepare for the workforce and become self-sufficient. ABE programs, in their local communities, seek out working agreements with: 1) Iowa Division of Vocational Rehabilitation, 2) Iowa Department of Human Services, 3) Iowa Department of Employment Services, 4) adult and juvenile court officials, and 5) many other service agencies.

With the increased awareness of the need for a workforce to be able to function in a highly technical environment, more emphasis is being placed on education. The ABE program has responded to this focus by supplying their services either in business and industry or in the classroom. The program is ready and able to do: 1) assessment, 2) provide basic academic skills, 3) English literacy programs, 4) workplace literacy, 5) job seeking and retention skills, and 6) communication skills.

9.1.5 Adult Vocational, Short-term Preparatory, and Mandatory Continuing Education

Continuing education curriculum is designed to help Iowa's workers stay current in their profession or prepare for a career or career change. A wide variety of classes are offered in such areas as: 1) business management, 2) office occupations, 3) health care and allied health, 4) automotive repair, 5) computer programming, 6) electronics, 7) child care, 8) building maintenance, 9) apprenticeship, and 10) law enforcement. Many professionals, such as nurses, insurance agents and cosmetologists, use mandatory continuing education courses to meet requirements for licensure. The times and locations of offerings accommodate students' work schedules. In some instances, classes are taught on-site at local businesses. Although most continuing education offerings are taught as non-credit short courses, some credit and non-credit offerings are longer, particularly those designed to train new workers.

Customized training and retraining for Iowa's business and industry is offered through continuing education divisions. Services currently provided include: 1) assessment, 2) basic skills enhancement, 3) curriculum development, 4) workskills development and upgrading, 5) technical assistance, 6) consultation, and 7) self-enrichment. Continuing education staff provide customized training to target populations at a time and place convenient for them.

The *Iowa Continuing Education Impact Study* (1991) and the *Iowa Workforce Training Study* (1996) indicate a constantly increasing need for workforce training and retraining during the 1990s and beyond. Changes occurring in the workplace result in a greater demand for workers who are adaptable, particularly in view of rapidly advancing technologies. Community colleges provide the flexibility necessary to respond to the diverse needs of local residents, and business and industry. Because of continuing education classes offered through Iowa's community colleges, the quality of thousands of lives is improved every year.

9.1.6 General Interest and Avocational Non-credit Courses

Undoubtedly, the most varied offerings of Iowa's community colleges are the general interest and avocational non-credit courses offered through continuing education. Adults participate in these courses to improve personal development skills and augment self-enrichment with a goal of becoming well-rounded and effective citizens. Frequently offered in cooperation with local public schools, these courses range from driver improvement to French braiding. General courses include subjects such as: 1) income tax preparation, 2) effective parenting, 3) introduction to computers, and 4) making a will. Avocational courses include subjects as aerobics and photography.

9.2 Assessment

Given the potential of Iowa's community colleges to be Workforce Development Centers, a comprehensive assessment component must be an integral part of the total operational strategy. The basic purpose of assessment is to provide an indicator of readiness to engage in any educational and/or workforce training and establish job skills for success in the workforce. A comprehensive assessment strategy for Iowa's Workforce Development Centers must include:

- assessment of basic employability skills;
- assessment for job profiling.

There are two assessment systems that can achieve both strategies: CASAS and Work Keys. The Comprehensive Adult Student Assessment System (CASAS) is currently being used in Iowa's adult basic education programs for effective assessment of basic employability skills. The Work Keys system has assessment of both individuals' skill levels and analysis of skills required to succeed on the job. However, the Work Keys system does assume mastery of basic skills competencies. The CASAS system can be used to determine mastery of basic employability skills competencies.

CASAS, working in conjunction with Work Keys, can accomplish the following objectives:

- provide total comprehensive assessment system for the regional workforce development centers. Each system has developed assessments and job analysis processes that complement each other;
- design and deliver effective education and training programs as adult learners become skilled to succeed on the job.

The IASALS indicates that 22 to 26 percent of Iowa's adult population lack basic workforce skills. Therefore, it is imperative that assessment instruments effectively measure basic skills and analyze job tasks employing a common language. This concept should include a common language employers, educators, labor, policy-makers and learners share.

Iowa's Workforce Development Centers can use the results of CASAS initial assessment to efficiently and cost-effectively determine whether youth or adults have the basic skills necessary to succeed in the workplace.

Iowa's community college adult basic education programs can continue to use CASAS workplace analysis and assessment instruments with learners who require basic employability skills instruction.

When learners demonstrate mastery of basic employability skills, the Work Keys system can be used for job profiling assessment.

A well-designed comprehensive assessment system, utilized across state agencies, can facilitate coordination and make access to services easier for clients: 1) to move easily among education and training programs, 2) to provide a common assessment vocabulary so all agencies can determine initial client proficiency levels as well as ongoing progress, and 3) to minimize duplicative or unnecessary testing of clients. An assessment program encompassing the entire range of assessment activities from basic skills to job analysis information (CASAS and Work Keys), is one of the key components for the successful operation of Iowa's Workforce Development Centers.

9.3 Collaboration, Cooperation and Coordination

The vision and mission statements of the Iowa Workforce Development Council state:

- vision – “All Iowans will have the opportunity to achieve a high standard of living;”
- mission – “The Iowa Workforce Development Council will foster high performance workers and work places through a workforce development system that is customer-oriented, comprehensive, innovative, and built upon a strong public and private partnership.

Iowa's community colleges, by virtue of what they do and have effectively demonstrated for 30 years, must become an integral part of workforce development initiatives in each workforce development Service Delivery Area as implied in the vision and mission statements.

Iowa's community college continuing education delivery system has collaborated with various state and local governmental departments and agencies to provide educational and ancillary services to the following types of organizations:

- business and industry (e.g. Iowa Association of Business and Industry, Trade Associations, Small Business Development Centers of Iowa, Wallace Technology Transfer Foundation Network, Center for Industrial Research and Service (CIRAS), Hospitals and Health Services, Labor Unions);
- public and private educational agencies (e.g. Area Education Agencies (AEAs), Local Educational Agencies (LEAs), Iowa Department of Education);
- state and local manpower training agencies (e.g. Iowa Department of Economic Development (IDED), Iowa Department of Workforce Development, State and Local Workforce Councils, Job Training Partnership Act (JTPA), Promise Jobs);
- post-secondary institutions (e.g. Regents Institutions, Private Colleges and Universities, Community Colleges);
- community organizations (e.g. Displaced Homemaker/Single Parent, Dislocated Workers, Churches, Fraternal/Sororal Organizations, Community Action Agencies, Chambers of Commerce);
- state and local human service agencies (e.g. Area Agencies on Aging, Iowa Department of Corrections, Iowa Department of Human Services);
- other organizations and entities concerned with continuing education collaboration and coordination efforts.

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

As Workforce Development Centers evolve across the state, Iowa's community Colleges must collaborate and coordinate with all organizations involved in the formulation and development of the regional Workforce Development Centers.

9.4 Iowa Workforce Development Center Needs Assessment Survey

A needs assessment survey was conducted by the Iowa Association of Adult and Continuing Education Adult Deans and Directors (1998) to document the collaborative and cooperative relationship between Iowa's community college based adult basic education program and the Workforce Development Centers. The following sections (9.4.1 – 9.4.3) present the results and conclusions from the survey.

9.4.1 Results

- Workforce Development Centers have been established in fourteen of the fifteen community college districts;
- basic skills services are provided to the workforce development centers by the community colleges who have workforce development centers located within the community college district;
- the following types of basic skills services are provided by Iowa's community colleges in conjunction with the Workforce Development Centers: 1) basic skills assessment (the most predominant assessment appraisal instrument being utilized is the CASAS/ECS 130), 2) basic skills instruction, 3) referrals to basic skills classes, 4) referral to other types of training programs such as vocational programs, apprenticeship programs, etc.);
- transportation and child care services are provided by some basic skills programs in conjunction with JTPA and PROMISE JOBS programs;
- student learning gains reports are beginning to be provided to sponsoring agencies utilizing the TOPSpro reporting system in relation to the Iowa Basic Skills Certification Program and the successful completion of the GED or adult high school diploma;
- other services provided include: 1) preliminary job placement, 2) job shadowing, 3) career exploration, 4) English literacy programs (formerly referred to as ESL), 5) volunteer tutors, 6) adult high school diploma services; 7) academic enrichment classes for JTPA Summer Youth Project, 8) job and computer skills classes, 9) some non-credit continuing education offerings.

Some of the anecdotal observations included:

“We are in the process of developing an entry level basic skills certification process. The program is based on the basic skills needed for local entry level jobs as identified on a local survey. The survey was developed by ABE and WDC. The curriculum development is supported by state ABE dollars and will be competency based. Applicants will be able to certify in specific areas (measurement, shop

fractions, decimals, metrics, etc.). Instruction will be available at no cost through the GED class at the WDC.”

“ABE has been providing assessment and instruction as part of the pre-employment certification training program for specific businesses. We are almost ready to pilot one of the programs in a business. It will be part of the certification process managed through the WDC.”

“The WDC became operational on August 1, 1998. An open house is scheduled for November 10, 1998.”

“The college has established a close working relationship the Regional Advisory Board (RAB) in attempting to provide services, including ABE.”

“The community college signed a Coordinating Service Provider agreement with Iowa Workforce Development that was effective July 1, 1998. A meeting is planned with Workforce Development to discuss implementing the ECS 130 Appraisal for clients.”

“The community college is working as a full partner in the workforce development initiative within the district. As sites are established, we will be offering full abe/hsc programming along with other classroom training opportunities. In addition, as appropriate, we will provide support through our displaced homemaker, single parent grant etc. We are totally co-located with the old Job Service and JTPA at two locations. Discussion is underway re options at the other sites.”

“The working relationship is much like in the past. IWDC through PROMISE JOBS and JTPA provide day care and transportation services. We are talking about moving the ABE class on campus to the IWDC; however, the move has not yet taken place. They continue to do the required assessment. If there are referrals from IWDC, we do use the ABE assessment (ECS 130) to map a course of study.”

9.4.2 Conclusions

- Iowa’s community colleges and workforce development centers have or are in the process of establishing collaborative relationships and agreements;
- basic skills services are being provided in existing and planned workforce development centers;
- appropriate referrals to other agencies and/or training programs are an integral part of the operational planning between Iowa’s community colleges and the workforce development centers.

9.4.3 Summary

The Iowa Workforce Center Needs Assessment Survey effectively and comprehensively documents the collaborative relationship between Iowa’s community colleges and the Workforce Development Centers. The survey also effectively documents the basic skills services currently being provided to the Workforce Development Center clientele.

9.5 Iowa Community Colleges' Role in Economic Development

Each community college has an economic development division which offers customized programs for business and industry. These programs are designed to provide training and retraining services on-site or at any location, at convenient times, seven days per week. The programming is flexible and responsible to the needs of the customer.

Community colleges also have the responsibility for operating the Iowa New Jobs Training Program and the Iowa Jobs Training Program, which provide customized training for new or expanding industries. The Iowa New Jobs Training Program is for employees in newly created positions for which their employer pays Iowa withholding tax. It is funded through resources derived from certificates that are later repaid from a part of the withholding tax from wages of new employees and from incremental property taxes, and from resources deposited into the Iowa Workforce Development Fund. Since its inception in 1983, it has funded 1,266 projects statewide at an investment of \$321,087,808 to train a projected 97,819 workers.

The Iowa Jobs Training Program funds education and training services for new employees of small Iowa businesses and for current employees of businesses which are retooling. It is funded through an annual appropriation from the Iowa Workforce Development Fund. In fiscal year 1999, this fund will provide over 6.5 million dollars to fund the Iowa Jobs Training Program, apprentice programs, innovative skill development activities, and targeted industry training.

9.5.1 Continuum of Change as Adult Education Provides Workforce Education in an Economic Development Paradigm

Given the role of Iowa's community college in economic development, the community college based skills program will move toward the following paradigm in order to provide: 1) preparation for work in the twenty-first century, and 2) upgrade the literacy skills of the existing workforce.

The following continuum of change reflects the paradigm shift from traditional adult basic education to work skills upgrade.³

Continuum of Change as Adult Education Provides Workforce Education

Traditional ABE	Preparation for Work	Upgrading the Skills of Existing Workforce
Individual academic preparation toward the goal of increasing grade level performance	Integration of job seeking related skills, e.g., resume writing, job applications as well as some occupational clusters.	Integration of basic skills with specific workplace skills.
Use of standardized tests, materials and curricula.	Integration of a competency-based approach.	Materials, curricula, and testing are tailored to specific workplace needs.
Relations with other agencies primarily for referrals to ABE classes. Some classes held at agency/worksites.	Cross referrals with workforce agencies. Possible development of common intake and outcomes.	Collaboration with others in the development of curricula, educational outcomes and testing.
Cultural isolation within education environment.	Cross cultural interactions with other state agencies, e.g. E & T and Economic Development.	Cross cultural interaction with the private sector, union and management.
Funding provided by federal, state and local education agencies.	Joint funding with other governmental entities.	Some financial support/incentives provided by the private sector.
Accountable to learner, federal, state and local education agencies.	Accountable to learner, educational agencies and other government entities.	Accountable to learner, education agencies and private corporate interests.

³This continuum was developed by Carlie Anderson, retired Indiana State Director of Adult Education, as a result of a research grant from the National Adult Education Professional Development Consortium (NAEPDC, 1998).

9.6 State Unified Plan

Section 501(b)(2) of the Act references several related programs that will be coordinated under the auspices of a proposed unified Plan. The related programs include:

- secondary vocational education programs authorized under the Carl D. Perkins Vocational and Applied Technology Education Act (20 U.S.C. 2301 et seq.) (Amendment of 1998);
- postsecondary vocational education programs authorized under the Carl D. Perkins Vocational and Applied Technology Education Act (20 U.S.C. 2301 et seq.) (Amendment of 1998);
- activities authorized under Title I;
- programs authorized under Section 6(d) of the Food Stamp Act of 1977 (7 U.S.C. 2015(d));
- work programs authorized under Section 6(o) of the Food Stamp Act of 1977 (7 U.S.C. 2015(o));
- activities authorized under Chapter 2 of Title II of the Trade Act of 1974 (19 U.S.C. 2271 et seq.);
- programs authorized under the Wagner-Peyser Act (29 U.S.C. 49 et seq.);
- programs authorized under Title I of the Rehabilitation Act of 1973 (29 U.S.C. 720 et seq.), other than Section 112 of such Act U.S.C. 732);
- activities authorized under Chapter 41 of Title 38, United States Code;
- programs authorized under State unemployment compensation laws (in accordance with applicable Federal law);
- programs authorized under Part A of the Title IV of the Social Security Act (42 U.S.C. 601 et seq.);
- programs authorized under Title V of the Older Americans Act of 1965 (42 U.S.C. 3056 et seq.);
- training activities carried out by the Department of Housing and Urban Development; and
- programs authorized under the Community Services Block Grant Act (42 U.S.C. 9901 et seq.)

The state of Iowa may submit a unified plan composed of Title I and Title III by July 1, 2000. The adult basic education five year state plan will be incorporated by reference into the unified plan at a later date. The overall goal will be a comprehensive plan composed of the various federally approved plans from Titles I, II, III, IV, and Perkins III. This goal will be accomplished after July 1, 2000. The Workforce Investment Committee may integrate the common components from the above referenced plans and implement a comprehensive plan. In the meantime, programs funded under the aegis of the Adult Education and Family Literacy Act (Title II) will continue to collaborate,

coordinate and cooperate with the above referenced programs. This collaborative effort has always been a hall mark of Iowa's comprehensive, integrated community college delivery system of basic skills services to Iowa's eligible target populations.



10.0 DESCRIPTION OF THE STEPS TO INSURE DIRECT AND EQUITABLE ACCESS

Section 203(c)(1) of the Act states “Each eligible agency receiving under this subtitle shall insure that 1) all eligible providers have direct and equitable access to apply for grants and contracts under Section 231, and 2) the same grant or contract announcement process and application process is used for all eligible providers the State and outlying area.”

10.1 Description of Steps

The Iowa Department of Education insures that: 1) all eligible providers have direct and equitable access to apply for grants and contracts under this section, and 2) the same grant or contract announcement and application process is used for all eligible providers in the State.

The following steps will be initiated to insure direct and equitable access:

- an announcement of the availability of federal funds, under the auspices of Title II of the Workforce Investment Act of 1998, will be sent to all literacy consortiums, participatory planning committees and other eligible providers throughout the state;
- an announcement of the availability of federal funds will be circulated through professional publications and newsletters;
- any eligible provider may request specific proposal guidelines for the purpose of applying for funding;
- a standard criteria for evaluation of local proposals will be used for all eligible providers.
- priority will be given to those eligible providers who submit an application as part of a collaborative and/or consortium effort.

10.2 Application Procedures

The process for the application of Section 231 grants and contracts is delineated in Section 6.3 of the Plan. The process for applying state leadership grants, as delineated in Section 11.0, will follow a similar format. Many of the state leadership grants are continuing projects such as: 1) the State Literacy Resource Center, 2) local staff development projects, 3) state staff development projects, 4) competency based research and development projects.

The funds used for corrections education under Section 225 of the Act are subgrants provided by the existing adult education delivery system. The community college based delivery system has established literacy classes and services in all of the adult correctional facilities located throughout the state. Each community college district also provides basic literacy classes and services in other

correctional facilities such as: 1) jails, 2) state juvenile facilities, 3) work farms, 4) detention centers, 5) other institutions designated for the confinement or rehabilitation of criminal offenders. The existing community college based delivery system has a thirty (30) year history of providing literacy services to incarcerated persons.

11.0 DESCRIPTIONS OF PROGRAMS FOR CORRECTIONS EDUCATION AND OTHER INSTITUTIONALIZED INDIVIDUALS

Section 225(a)(b)(c) of the Act state “from funds made available under section 222(a)(1) for a fiscal year, each eligible agency shall carry out corrections education on education for other institutionalized individuals. The funds described in subsection (a) shall be used for the cost of educational programs for criminal offenders correctional institutions and for other institutionalized individuals, including academic programs for: 1) basic education, 2) special education as determined by the eligible agency, 3) English literacy programs, 4) secondary school credit programs.” [The term “secondary school credit program” carries the implication of the inclusion of the adult high school diploma program and the GED Testing program.] “Each eligible agency, that is using assistance provided under this section to carry out a program for criminal offenders in a correctional institution, shall give priority to serving individuals who will be released from the correctional institution within a period of five (5) years.”

Section 222(a)(1) of the Act states [The eligible agency] “shall not use less than 82.5 percent of the grant funds to award grants and contracts under Section 231 and to carry out section 225, of which not more than 10 percent of the 82.5 percent shall be available to carry out section 225.”

11.1 Types of Programs

The data presented in Section 2.2.6 of the Plan indicated that (21) twenty-one percent of the adult prison population had completed grades 0-11 and 80.3 percent of the incarcerated juvenile populations had completed grades 0-11. Therefore, the need for all four types of basic skills services are evidenced in all of Iowa’s adult correctional facilities and the two juvenile facilities.

These same services are available to incarcerated adults in community correctional programs. During program year 1998, a total of 869 adults were served in community correctional programs with the four types of basic skills services.

The following types of programs are provided in Iowa’s basic skills correctional education program: 1) basic literacy education, 2) English literacy programs, 3) adult secondary education programs leading to the successful attainment of either an adult high school diploma or Iowa High School Equivalency Diploma (GED), 4) special education programs as need dictates, and 5) the Iowa Basic Skills Certification program which is designed to benchmark the attainment of basic skills below the GED level (i.e. CASAS Levels A-D). The Iowa Department of Education and the Iowa Department of Corrections cooperate and coordinate in providing jointly funded basic skills education programs and services to Iowa’s eligible incarcerated population(s).

The same types of program offering are available for eligible target populations who are considered to be institutionalized. In some institutionalized settings, special education programs are offered to

meet the unique needs of the specific institution's eligible population. There is an individual education plan (IEP) developed for each person. Progress in attainment of basic literacy skill competencies is determined in relation to the goals and objectives listed in the IEP. During program year 1998, a total of 6007 adult students (unduplicated count) were enrolled in basic literacy skills classes in 157 institutionalized facilities.

11.2 Priority

The 1997 Iowa Code sections 904.516 and 906.46 (unnumbered paragraph #4) indicates that inmates must show evidence of basic literacy attainment (i.e. basic skills certification program or other benchmarking procedures through pre-post testing) or the successful completion of the GED program prior to being considered eligible for parole. This mandate reinforces the directive contained in the Act which states that correctional education programs receiving funding under the Act "shall give priority to serving individuals who will be released from the correctional institution within a period of five (5) years." During program year 1998, a total of 1,980 adult students (unduplicated count) were enrolled in basic skill classes offered in 32 correctional facilities.

11.3 Types of Institutional Settings

The adult literacy correctional education program is offered in the following types of correctional institutions: 1) prisons, 2) jails, 3) reformatories, 4) work farms, 5) detention centers, 6) halfway houses, 7) community-based rehabilitation centers, 8) other similar institutions designed for the confinement or rehabilitation of criminal offenders. The statewide adult education delivery system will continue to provide basic literacy skills education in any type of institutional setting indicating a need for these types of services.

12.0 DESCRIPTIONS OF PROPOSED LEADERSHIP ACTIVITIES

12.1 Description of Activities

Section 223(a) of the Act references the mandate that the eligible agency shall not use more than 12.5% of the grant funds for one or more of the eleven (11) State leadership activities. The eleven allowable activities are:

1. the establishment or operation of professional development programs to improve the quality of instruction provided pursuant to local activities required under Section 231(b), including instruction incorporating phonemic awareness, systematic phonics, fluency, and reading comprehension, and instruction provided by volunteers or by personnel of a state or outlying area;
2. the provision of technical assistance to eligible providers of adult education and literacy activities;
3. the provision of technology assistance, including staff training, to eligible providers of adult education and literacy activities to enable the eligible providers to improve the quality of such activities;
4. the support of State or regional literacy resource centers;
5. the monitoring and evaluation of the quality of, and improvement in, adult education and literacy activities;
6. incentives for program coordination, integration and incentive awards;
7. developing and dissemination curricula including curricula incorporating phonemic awareness, systemic phonics, fluency, and reading comprehension;
8. other activities of statewide significance that promote the purpose of this title;
9. coordination with existing support services, such as transportation, child care and other assistance designed to increase rates of enrollment in and successful completion of adult education and literacy services, to adults enrolled in such activities;
10. integration of literacy instruction and occupational and skill training, and promoting linkages with employers;
11. linkages with postsecondary institutions.

Given the above listed activities, the following projects will be funded under the State leadership provision of the Act: 1) local staff development programs, 2) the statewide staff development program, 3) the Iowa Literacy Resource Center (ILRC), 4) monitoring and evaluation of program quality, 5) technical and technology assistance to eligible providers, 6) competency based research and curriculum development projects. The following sections (12.1.1 – 12.1.6) provide a description of each project.

12.1.1 Local Staff Development Projects

The Iowa statewide adult basic education program will fund local staff development projects designed to serve the staff development needs of local providers. The local staff development program has been a traditional part of the funding pattern for local providers since the inception of the program in 1966. The program has provided accountability at the local level by providing the opportunity for well-trained instructors, counselors and administrators.

The Iowa Department of Education requires that each eligible provider submit an annual staff development plan outlining the staff development goals, objectives and activities for any given fiscal year. The grant awards for local staff development programs is based on the needs and activities delineated in the local staff development plan.

The request for proposal (RFP) guidelines for local providers under the auspices of the Adult Education and Family Literacy Act requires a local staff development plan for the first year of funding. The local staff development plan will be updated on a yearly basis for the five year funding period.

12.1.2 Statewide Staff Development Project

The statewide staff development project has been a formal part of Iowa's adult basic education staff development effort for the last six-seven years. A statewide staff development committee, coordinated by a staff member of the adult education state staff, establishes the direction, goals, objectives and activities for the statewide program.

The mission of the statewide ABE staff development committee is "to meet the professional needs of ABE staff, individually and collectively, which, in turn, will directly and positively affect the delivery of services."

The goals of the committee are:

- ensure input from all literacy partners;
- maintain the high quality and flexibility of staff development activities.;
- expand opportunities for state staff development;
- ensure recognition of the different ABE theories and practices;
- serve the interest of the various programs that operate under ABE (i.e. literacy, English literacy, GED);
- function as an overall planning group for state staff development activities;
- create staff development activities that are learner-centered;

- advise the Department of Education in matters relating to effective staff development;
- promote the positive influences of staff development statewide and locally;
- create awareness of current national ABE movements and critically examine their appropriateness for Iowa's adult learners and communities;
- create awareness of current national ABE movements and critically examine their appropriateness for Iowa's adult learners and communities;
- develop training programs to meet the mandates of the Adult Education and Family Literacy Act.

The statewide staff development activities conducted during program year 1998 were:

- peer support visits – Staff members travel to other community colleges to observe, learn and give feedback through prearranged visits;
- ABE Institute – A two-day conference with keynote speakers and concurrent sessions for ABE practitioners. The majority of small group sessions will be presented by Iowa ABE personnel;
- practitioner research grants – Teacher/tutors are offered incentives to conduct research projects for the purpose of increasing the knowledge base of adult learning, instruction, or program administration;
- state and national conferences – In order to offer a broader range of opportunities for ABE staff, information about and funding for conferences is provided. To insure a strong ABE presence at these conferences, sessions presented by staff will be encouraged;
- traveling workshops – Special interest programs presented by ABE staff at local or quadrant sites. These workshops will offer accessible staff in-service opportunities and will utilize community college ABE staff expertise;
- statewide workshop and quadrant offerings – Two programs, one in the fall and one in the spring, will be offered for staff development. Large group settings, quadrant settings, or the Iowa Communication Network will be used depending upon need;
- the Wilson study – Two study sessions, one in March and one in April, will provide an opportunity to raise questions about our teaching and administrating. The format is informal with dialogue as the communication base;
- conference presenter sponsorship – The State Staff Development committee encourages support of workshops or conferences that benefit ABE staff. Active participation of ABE personnel in these events is encouraged;
- publicity – Information about State Staff Development activities and opportunities is shared with educators across the state.

12.1.3 Iowa Literacy Resource Center

The Iowa Literacy Resource Center (ILRC) has received funding from the Iowa Department of Education for the last three years. The funding for the ILRC was allocated when the federal funds earmarked for the State Literacy Resource Centers were not reauthorized. The ILRC will continue to receive funding under the state leadership section of the Act. The ILRC has proven to be a valuable resource for practitioners, coordinators, researchers and administrators in meeting the needs of students and programs. The following section delineates the purpose goals and objectives of the ILRC.

12.1.3.1 Purpose, Goals and Objectives of the ILRC

Purpose: The ILRC functions to develop, maintain, and disseminate a collection of materials focused on supporting those (students, tutor, and practitioners) involved in literacy, ESL and ABE training within the state of Iowa.

The ILRC further serves as a communication link between the other state literacy resource centers and the national literacy agencies.

Goal: The ILRC is to be a resource library of print, non-print, audio, video, and computer software of professional development and instructional materials.

Objective: The ILRC will maintain a current awareness of materials being created in the fields of literacy, ESL and ABE instruction and will acquire such items for the collection.

Goal: Maintain a quality, diversified collection of resources suitable for all styles of learning in the areas of literacy, ESL, and ABE training.

Objective: Because of the diversity of learning styles and the inability of individual budgets at the community colleges and other locations involved in literacy, ESL, and ABE instruction to develop the depth of materials potentially needed, the ILRC will acquire as broad a base as possible of materials to ensure something suitable for all styles of learning and teaching is available.

Goal: Ensure that anyone in the state of Iowa has access to the collection of materials of the ILRC.

Objectives: Create and maintain a listing of the resources available at the ILRC in both print and electronic format. Provide a comprehensive catalog in print and electronically of the collection. Publish a newsletter informing of recent additions to the collection while continually updating the electronic catalog.

Provide out reach opportunities for access to the collection through remote mini-collections and workshop presentations.

Increase the number of full text on-line documents created by Iowa practitioners and those in other states which can be borrowed electronically.

Goal: Continue to make the Iowa resource center an integral part of a regional and national resource base for literacy, ESL, and ABE instruction.

Objectives: Maintain a web site for ease of local access and connectivity with other state and national centers and as part of the NIFL's computer network and resource sharing program.

Continued participation in the LitLink development program in conjunction with Iowa Public Television, PBS, and KET.

Participate in the Iowa Literacy Council to promote literacy awareness and resource within the state. Participate in interstate and national conferences to maintain awareness of resources of benefit from outside of Iowa to those in Iowa and to increase the visibility of Iowa's achievements in the field to those nationwide.

12.1.4 Monitoring and Evaluation of Program Quality

The Iowa Department of Education will utilize funds under the auspices of the State leadership section to conduct monitoring and evaluation procedures. The specific activities and procedures are referenced in Section 4.2 of the Plan.

12.1.5 Technical and Technology Assistance to Local Providers

During the last 7-8 years, there have been two technology projects developed to meet the demands of a comprehensive electronic reporting system for the statewide basic skills program and the GED testing program. The first technology project was the automation of the Iowa GED testing program.

The GED Testing Services (GEDTS) has indicated that effective with the new GED test, titled the "GED 2000" project and scheduled for release in 2001, hand scoring of the GED test battery would no longer be an option. The scoring of the GED tests would be done by scanning as opposed to hand scoring. In order to convert from hand scoring to electronic scoring and reporting of GED test results, Iowa began a seven year project to complete the conversion process.

The software which was utilized for the process is the Premier software system developed by Bud Wood from Brigham Young University in Provo, Utah. During the seven year phase in period, several revisions, modifications, and updates have been added to customize the software to meet the unique needs of Iowa's GED testing program. This project will continue to be funded under the new Act. The majority of activities will focus on technical assistance, pilot testing, and providing scannable forms and supplies to the GED testing centers.

The second technology project was the development, pilot testing and implementation of a statewide reporting system for adult basic education. Given that Iowa utilizes the CASAS competency system as a base for instruction and accountability. The CASAS developed TOPSpro software was adopted for the statewide reporting system. A description of the TOPSpro system is delineated in Section 4.1.1. The local providers will be required to utilize the TOPSpro or another appropriate tracking system for reporting of program accountability factors effective July 1, 1999. This project will continue to be funded under the new Act to continue to provide technical assistance, staff development and customized software upgrades designed to meet the unique needs of Iowa's statewide basic skills program.

The two software systems are compatible and will be utilized to track the students referred directly from the GED classes to the GED test centers. Future modifications in the TOPSpro software will provide a procedure for data matching records from the TOPSpro and Premier systems.

12.1.6 Competency Based Research and Curriculum Development Projects

During the last 5-7 years, a series of research projects were funded to provide a research/outcomes/competency based system for Iowa's statewide basic skills program. The most recent studies are discussed in Section 2.3 of the Plan. The next phase will focus on the development of competency based curriculum materials and methodologies to implement many of the recommendations delineated in the research studies. The statewide staff development committee, ABE coordinators, ILRC and Iowa's certified CASAS trainers will be involved in the planning and implementation of the curriculum development projects.

12.2 Collaboration with Other Agencies and Office of Vocational and Adult Education/Department of Adult Education and Literacy

The State leadership projects funded under the auspices of the State leadership section of the Act will be required to include a collaboration and out reach strategy in the funded activities. The ILRC will assist in providing up-to-date research and publications regarding curriculum development, competency based instruction, staff development and technology innovations. The Iowa Department of Education will collaborate and coordinate with the Office of Vocational and Adult Education regarding national trends in adult education. The funded projects will disseminate copies of all project outcomes through the standard adult education clearinghouses. The Iowa Department of Education has disseminated many of the accountability studies through various websites (i.e. Iowa Department of Education, National Institute for Literacy (NIFL), CASAS websites).

12.3 Equity for Students, Teachers, and Other Program Beneficiaries

Section 427 of the General Educational General Provisions Act (GEPA) states "each eligible agency must develop and describe in its State Plan the steps the eligible agency will take to ensure equitable access to, and equitable participation in, the project or activity to be conducted with federal adult education assistance, by addressing the special needs of students, teachers and other program beneficiaries in order to overcome barriers to equitable participation, including barriers based on gender, race, color, national origin, disability and age."

The Iowa Department of Education has implemented the following steps to assure that the provisions specified in GEPA Section 427 are satisfactorily addressed:

- local providers must provide assurance in the local application that all students, faculty and other program beneficiaries have equal access to all educational services provided by the provider;
- all local providers must provide special accommodations to meet the special needs of students, faculty or other program beneficiaries. These accommodations include the specifications referenced in the evaluation criteria established by the North Central Accrediting Agency's (NCAA) guidelines regarding equal access and participation in all accredited educational programs;
- monitoring visitations to local providers will include provisions to insure that all programs are providing the necessary accommodations to meet the special needs of students, faculty and other program beneficiaries;

- local provider applications will describe the necessary steps to insure that the needs addressed in Section 427 of GEPA are implemented and/or currently being met. These steps will be addressed under selection criteria #10 of the local plan; (*See Section 6.2.3 of the Plan.*);
- funds will be allocated out of the following state leadership projects to develop materials and staff development strategies to insure that special needs are met: 1) local staff development program, 2) statewide staff development program, 3) Iowa Literacy Resource Center;
- the Iowa Literacy Resource Center will develop and disseminate appropriate brochures, pamphlets and other information to local providers which address the needs identified in Section 427 of GEPA;
- additional guidelines will be developed in conjunction with the Bureau of Administration and School Improvement Services: Equity Education Unit to provide guidance in relation to updated federal mandates.

The community college based comprehensive state-wide adult basic education delivery system possesses the following characteristics which assist in addressing the mandates delineated in GEPA Section 427:

- adult basic education classes and GED testing centers have been established within a 15-20 mile radius of any Iowa resident thus insuring equal access and participation;
- all local providers are accredited by NCAA;
- during program year 1998, a total of 26 percent of minority populations were served in Iowa's adult basic education program. This percentage compares to an overall minority population of 4.5% as documented by the 1990 Iowa census. (*Source: Iowa Program Year 1998 Annual Performance Report: Table 2*);
- during program year 1998, 19 percent of the total adult basic education enrollment were English Literacy (formerly English-as-a Second Language) students. (*Source: Iowa Program Year 1998 Annual Performance Report: Table 1*);
- during program year 1998, 14 percent of the total adult basic education enrollment were age 60 and over. 70 percent of the enrollees age 60 and over were female and 30 percent of the enrollees were male. (*Source: Iowa Program Year 1998 Annual Performance Report: Table 2*);
- during calendar year 1997, a total of 21 percent of minority populations successfully passed the GED test battery and received the Iowa High School Equivalency Diploma. (*Source: Calendar Year 1997 Iowa Annual GED Statistical Report: p. 2*);
- during calendar year 1997, a total of 85 persons were granted special accommodations for GED testing. This number has continued to rise over the last five calendar years. (*Source: Calendar Years 1993-1997 Iowa Annual GED Statistical Reports: items 2a, 2c, and 2d*).



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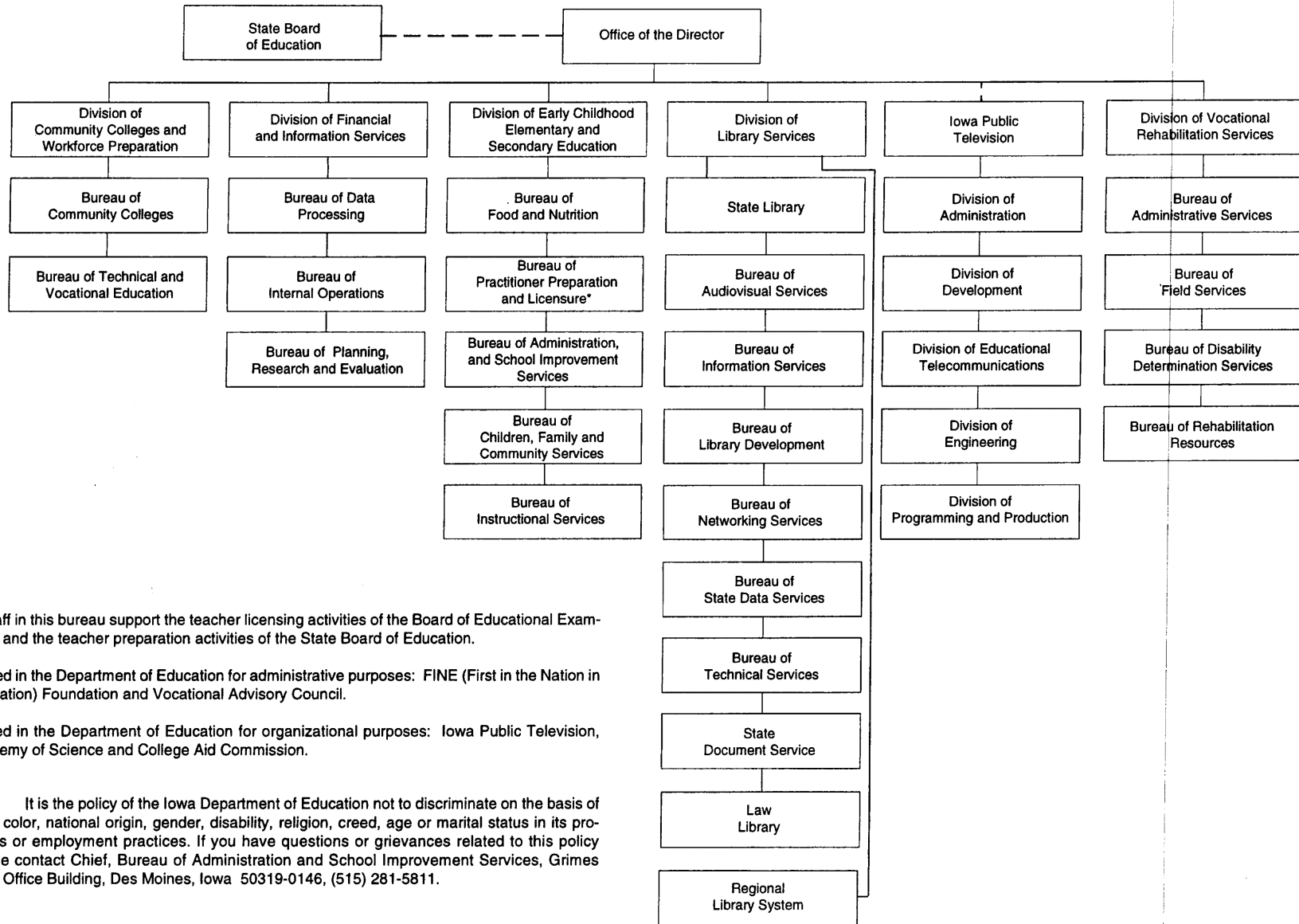


APPENDIX A

Iowa Department of Education Table of Organization Chart



Iowa Department of Education Table of Organization



* Staff in this bureau support the teacher licensing activities of the Board of Educational Examiners and the teacher preparation activities of the State Board of Education.

Placed in the Department of Education for administrative purposes: FINE (First in the Nation in Education) Foundation and Vocational Advisory Council.

Placed in the Department of Education for organizational purposes: Iowa Public Television, Academy of Science and College Aid Commission.

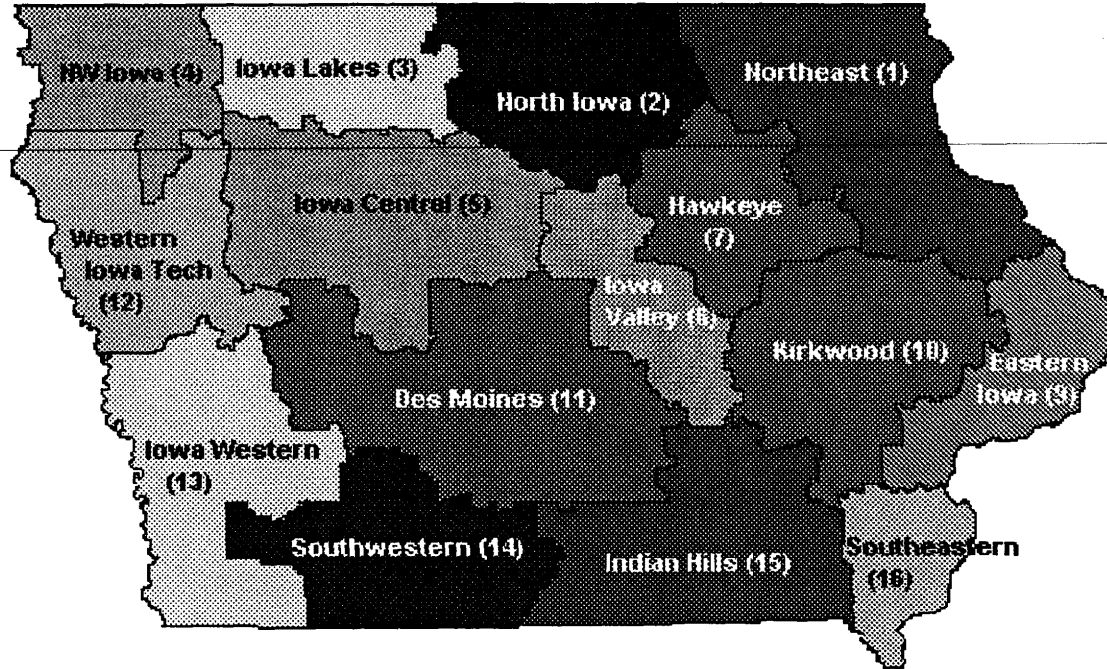
It is the policy of the Iowa Department of Education not to discriminate on the basis of race, color, national origin, gender, disability, religion, creed, age or marital status in its programs or employment practices. If you have questions or grievances related to this policy please contact Chief, Bureau of Administration and School Improvement Services, Grimes State Office Building, Des Moines, Iowa 50319-0146, (515) 281-5811.



APPENDIX B

Map and Listing of Iowa's Community Colleges





Community College

District Number

Northeast Iowa Community College	I
North Iowa Area Community College	II
Iowa Lakes Community College	III
Northwest Iowa Community College	IV
Iowa Central Community College	V
Iowa Valley Community College District	VI
Hawkeye Community College	VII
Eastern Iowa Community College District	IX
Kirkwood Community College	X
Des Moines Area Community College	XI
Western Iowa Tech Community College	XII
Iowa Western Community College	XIII
Southwestern Community College	XIV
Indian Hills Community College	XV
Southeastern Community College	XVI



APPENDIX C

Selected Observations Based
on the
Iowa Adult State Literacy Survey (IASALS)



SELECTED OBSERVATIONS BASED ON THE IOWA STATE ADULT LITERACY (IASALS) STUDY

- The best single predictor of literacy proficiency rates is the level of education completed;
- GED graduates and high school graduates demonstrated comparable performance on the three literacy scales;
- The composition of the Level 1 population differs in some important respects from the state population as a whole. Half of the Iowa respondents in Level 1 were age 65 or older, and almost 40 percent had physical or mental conditions that kept them from participating fully in work, school, housework, or other activities;
- The average prose, document, and quantitative proficiencies of adults in Iowa were comparable to those of adults living in the Midwest region and were significantly (13 to 16 points) higher than those of adults nationwide. In all three populations—the state, region, and nation—average scores were either in the high end of the Level 2 range (226 to 275) or the low end of the Level 3 range (276 to 325);
- Older adults were more likely than middle-aged and younger adults to demonstrate limited literacy skills. On the prose scale, for example, average scores rise from 290 among Iowa's 16- to 18-year-olds to 303 among 35-44-year-olds before declining across the older age groups (to 275 among 55- to 64-year-olds);
- The vast majority of Iowa residents were born in the United States or one of its territories. In the national population, native-born adults performed far better in the assessment, on average, than did individuals born outside the United States. Foreign-born adults who had lived in this country for more than a decade outperformed more recent immigrants;
- Approximately three-quarters of the adults in Iowa reported having lived in the state for more than 20 years. There are no significant differences in literacy skills, on average, among adults who had lived in Iowa for varying lengths of time. Nearly three-quarters of the state's adults said it was unlikely that they would move out of the state in the next five years, while 18 percent reported that it was somewhat likely and 10 percent said it was likely. Again, there are no significant differences in performance between adults who believed they would move out of the state and those who did not;
- Iowa residents who reported having physical or mental conditions that keep them from participating fully in work or other activities were more likely than adults in the population as a whole to perform in the lowest levels on each literacy scale and less likely to reach the highest levels;
- In the Iowa population, there were no significant differences in the average literacy scores of men and women. Nationwide, however, men displayed higher average document and quantitative proficiencies than women;

- Iowa residents with relatively few years of education demonstrated lower average proficiencies than those who completed high school or some postsecondary education. In fact, scores rise steadily across the entire range of education levels. The average prose proficiency of those who completed 9 to 12 years of schooling was 242, for example, compared to 283 for those who earned a high school diploma but went no further, and 333 for those who had completed a four-year degree;
- Roughly one-third of the school dropouts in Iowa reported having participated in a GED or high school equivalency program. On each literacy scale, the average scores of program participants were approximately 50 points higher than those of dropouts who had not taken part in a GED program. The vast majority of program participants in Iowa were between the ages of 25 and 54;
- Eleven percent of the adults in Iowa were enrolled in school or college at the time of the survey, and they had higher literacy proficiencies, on average, than adults who were not enrolled in an academic program. Thirty-eight percent of those enrolled in a program stated that their goal was a four-year college degree;
- Three-quarters of Iowa's survey participants agreed with the view that a state's literacy rate affects an out-of-state employer's decision to establish a location there. Their scores were, on average, higher than those of adults who disagreed. Fifty-eight percent of Iowa's adults believed that employers are obligated to provide literacy education to employees who need it. They performed similarly to adults who did not share this view;
- Employed adults were less likely than adults who were unemployed or out of the labor force to perform in the lowest levels on each literacy scale and more likely to attain the highest levels. Across the three scales, 25 to 33 percent of the employed adults in Iowa performed in Levels 1 and 2, compared with 45 percent of the unemployed adults and roughly two-thirds of respondents who were out of the labor force. Conversely, employed adults were more likely than unemployed adults and those not in the labor force to attain Levels 4 and 5;
- Iowa residents who reported being in professional, technical, or managerial positions in their current or most recent jobs had higher average literacy scores than those in other types of occupations. On the prose scale, for example, they had an average proficiency score of 330, compared with scores of 309 for those in sales or clerical positions, 286 for those in craft or service occupations, and 276 for those in labor, assembly, fishing, or farming positions;
- On each literacy scale, adults who performed in the higher levels had worked more weeks in the past year, on average, than individuals in the lower levels. Among Iowa residents, those in the three highest literacy levels reported working an average of 37 to 45 weeks in the past year, compared with only 13 to 14 weeks for individuals performing in Level 1, and 27 to 31 weeks for those in Level 2;
- Across the scales, Iowa adults with proficiencies in Levels 1 and 2 reported median weekly earnings of \$228 to 261. In contrast, those in Level 4 earned about \$391 to \$419, while

those in Level 5 earned between \$504 and \$550 each week. Similarly, the median annual household income reported by adults in the highest proficiency levels were far higher than that of adults in the lowest levels;

- Approximately half the Iowa residents who were classified as either poor or near poor demonstrated skills in the two lowest levels on each literacy scale; in contrast, 25 to 31 percent of those designated not poor performed in these levels. As a result, the average literacy scores of poor and near poor adults are considerably lower than the scores of adults who were not in poverty;
- Among Iowa residents, voting practices appear to be related to literacy proficiency. On all three scales, the average literacy proficiencies of state residents who said they had voted in a recent election are higher than those of nonvoters;
- Virtually all survey respondents in Iowa (98 to 99 percent) said they understand, speak, and read English well or very well; a slightly smaller proportion described themselves as writing (96 percent) well or very well. In each dimension of literacy, the average proficiencies of adults who said they do not write English well are approximately 60 points lower than those of individuals who said they write well or very well;
- Ninety-seven percent of the survey respondents in Iowa reported getting some or a lot of information about current events, public affairs, or government from nonprint media – that is, from television or radio. A smaller percentage (86 percent) said they get much of their information from print media, such as newspapers or magazines. Those who get some or a lot of information from print media earned higher average scores in the assessment than those who do not;
- Slightly more than half (56 percent) of the adults in the state said they read a newspaper every day, while another 35 percent said they do so at least once a week. Four percent reported never reading a newspaper. There are no significant differences in literacy proficiency between newspaper readers and nonreaders in Iowa;
- Virtually all (98 percent) of the adults in Iowa reported watching some television every day, although 23 percent said they spend no more than an hour on this activity. Approximately one-third of the state's residents reported watching four or more hours of television each day. Individuals who watch the most television demonstrated lower average proficiencies than individuals who watch relatively little television;
- There are very large differences in prose proficiency between Iowa residents who read and write prose frequently, either for their personal use or for their jobs, and those who do not. Similarly, the average document proficiencies of individuals who use documents at least a few times a week are far higher than the scores of individuals who do not use these materials often. Finally, adults who said they frequently use mathematics tend to display better quantitative skills than those who rarely or never do so;

Source: Jenkins, Lynn B. and I. Kirsch. (1994, January). *Adult Literacy in Iowa: Results of the State Adult Literacy Survey*. [ERIC Reproduction Service No. ED 373110].



APPENDIX D

List of National Adult Education Literacy Survey (NALS)
Levels 1, 2 and 3-5 by Iowa's
Congressional Districts, Counties, Cities and
Community College Districts



LIST OF NATIONAL ADULT EDUCATION LITERACY SURVEY (NALS LEVELS 1, 2 AND 3-5 BY IOWA'S CONGRESSIONAL DISTRICTS, COUNTIES, CITIES AND COMMUNITY COLLEGE DISTRICTS

STATE	NALS LEVEL 1		NALS LEVEL 2		NALS LEVELS 3-5		TOTAL
	POP 16+	%	POP 16+	%	POP 16+	%	
IOWA	285,648	0.134	513,740	0.241	1,332,314	0.62	2,131,703
CONGRESSIONAL DISTRICT							
DISTRICT 1	52,206	0.122	93,285	0.218	282,424	0.66	427,915
DISTRICT 2	56,817	0.134	112,361	0.265	254,826	0.60	424,004
DISTRICT 3	54,935	0.127	112,033	0.259	265,592	0.61	432,560
DISTRICT 4	53,282	0.125	93,351	0.219	279,626	0.65	426,259
DISTRICT 5	63,566	0.151	110,293	0.262	247,106	0.58	420,965
TOTAL	280,805		521,323		1,329,575		2,131,703
IOWA COUNTIES							
ADAIR	906	0.139	1,852	0.284	3,762	0.57	6,520
ALLAMAKEE	1,368	0.131	3,186	0.305	5,891	0.56	10,445
APPANOOSE	1,979	0.185	3,145	0.294	5,573	0.52	10,696
AUDUBON	850	0.150	1,836	0.324	2,980	0.52	5,666
BENTON	2,105	0.125	4,782	0.284	9,952	0.59	16,839
BLACK HAWK	14,065	0.147	23,441	0.245	58,173	0.60	95,679
BOONE	2,686	0.137	5,176	0.264	11,745	0.59	19,607
BREMER	2,164	0.122	4,647	0.262	10,925	0.61	17,735
BUCHANAN	2,188	0.145	4,391	0.291	8,511	0.56	15,090
BUENA VISTA	2,034	0.133	3,731	0.244	9,526	0.62	15,291
BUTLER	1,870	0.155	3,897	0.323	6,298	0.52	12,065
CALHOUN	1,486	0.166	2,488	0.278	4,976	0.55	8,949
CARROLL	2,065	0.132	4,677	0.299	8,900	0.56	15,641
CASS	1,517	0.130	3,268	0.280	6,886	0.59	11,671
CEDAR	1,622	0.123	3,639	0.276	7,924	0.60	13,185
CERRO GORDO	4,903	0.135	7,699	0.212	23,714	0.65	36,315
CHEROKEE	1,456	0.136	2,977	0.278	6,278	0.58	10,707
CHICKASAW	1,305	0.131	3,049	0.306	5,609	0.56	9,963
CLARKE	863	0.136	1,936	0.305	3,549	0.55	6,349
CLAY	1,631	0.124	2,999	0.228	8,523	0.64	13,153
CLAYTON	1,979	0.138	4,660	0.325	7,700	0.53	14,338
CLINTON	5,267	0.136	10,650	0.275	22,810	0.58	38,726
CRAWFORD	1,788	0.141	4,109	0.324	6,785	0.53	12,682
DALLAS	2,389	0.107	5,358	0.240	14,578	0.65	22,324
DAVIS	1,067	0.170	1,976	0.315	3,231	0.51	6,274
DECATUR	970	0.147	1,979	0.300	3,648	0.55	6,597
DELAWARE	1,580	0.121	3,800	0.291	7,679	0.58	13,059
DES MOINES	4,627	0.141	9,025	0.275	19,166	0.58	32,818
DICKINSON	1,540	0.131	2,481	0.211	7,735	0.65	11,756
DUBUQUE	8,252	0.126	17,290	0.264	39,950	0.61	65,492
EMMET	1,319	0.149	2,258	0.255	5,276	0.59	8,853
FAYETTE	2,446	0.147	4,876	0.293	9,320	0.56	13,145
FLOYD	1,761	0.134	3,720	0.283	7,664	0.58	16,642
FRANKLIN	1,180	0.134	2,299	0.261	5,328	0.60	8,807
FREMONT	984	0.156	1,779	0.282	3,546	0.56	6,309

IOWA COUNTIES CONTINUED							
GREENE	1,172	0.150	2,000	0.256	4,642	0.59	7,814
GRUNDY	1,327	0.143	2,534	0.273	5,420	0.58	9,281
GUTHRIE	1,173	0.138	2,422	0.285	4,903	0.57	8,497
HAMILTON	1,694	0.136	3,200	0.257	7,559	0.60	12,453
HANCOCK	1,294	0.137	2,286	0.242	5,867	0.62	9,447
HARDIN	2,301	0.155	3,859	0.260	8,683	0.58	14,842
HARRISON	1,518	0.136	3,404	0.305	6,238	0.55	11,160
HENRY	2,185	0.146	3,891	0.260	8,890	0.59	14,967
HOWARD	1,218	0.163	2,414	0.323	3,842	0.51	7,474
HUMBOLDT	1,228	0.148	2,174	0.262	4,895	0.59	8,296
IDA	935	0.150	1,871	0.300	3,430	0.55	6,236
IOWA	1,403	0.125	3,379	0.301	6,443	0.57	11,225
JACKSON	2,084	0.139	4,827	0.322	8,080	0.53	14,990
JASPER	3,444	0.128	7,399	0.275	16,063	0.59	26,907
JEFFERSON	1,552	0.122	3,014	0.237	8,153	0.64	12,719
JOHNSON	5,733	0.073	11,388	0.145	61,419	0.78	78,541
JONES	2,229	0.149	4,279	0.286	8,454	0.56	14,962
KEOKUK	1,443	0.162	2,655	0.298	4,810	0.54	8,908
KOSSUTH	1,909	0.137	3,483	0.250	8,540	0.61	13,932
LEE	4,541	0.152	8,904	0.298	16,433	0.55	29,878
LINN	15,173	0.116	26,946	0.206	88,686	0.67	130,806
LOUISA	1,231	0.140	2,523	0.287	5,038	0.57	8,792
LUCAS	1,053	0.149	2,233	0.316	3,781	0.53	7,068
LYON	1,382	0.159	2,834	0.326	4,476	0.51	8,692
MADISON	1,120	0.118	2,581	0.272	5,789	0.61	9,490
MAHASKA	2,338	0.142	4,890	0.297	9,236	0.56	16,463
MARION	3,203	0.139	6,636	0.288	13,203	0.57	23,042
MARSHALL	3,516	0.118	7,002	0.235	19,277	0.64	29,794
MILLS	1,430	0.143	2,861	0.286	5,712	0.57	10,003
MITCHELL	1,287	0.153	2,592	0.308	4,535	0.53	8,414
MONONA	1,346	0.172	2,356	0.301	4,124	0.52	7,826
MONROE	942	0.151	1,896	0.304	3,400	0.54	6,238
MONTGOMERY	1,257	0.134	2,599	0.277	5,527	0.58	9,383
MUSCATINE	4,328	0.145	8,179	0.274	17,343	0.58	29,851
O'BRIEN	1,897	0.162	3,349	0.286	6,464	0.55	11,710
OSCEOLA	782	0.143	1,636	0.299	3,053	0.55	5,472
PAGE	1,997	0.152	3,627	0.276	7,516	0.57	13,140
PALO ALTO	1,277	0.157	2,228	0.274	4,628	0.56	8,133
PLYMOUTH	2,083	0.120	4,740	0.273	10,538	0.60	17,361
POCAHONTAS	1,108	0.152	1,859	0.255	4,324	0.59	7,291
POLK	29,324	0.116	50,054	0.198	173,418	0.68	252,796
POTTAWATTAMIE	7,744	0.124	17,548	0.281	37,157	0.59	62,448
POWESHIEK	1,624	0.109	3,977	0.267	9,294	0.62	14,895
SAC	1,432	0.153	2,406	0.257	5,524	0.59	9,362
SCOTT	15,601	0.138	24,984	0.221	72,466	0.64	113,052
SHELBY	1,379	0.138	2,768	0.277	5,845	0.58	9,992
SIoux	2,502	0.115	6,440	0.296	12,815	0.58	21,757
STORY	5,182	0.085	11,096	0.182	44,689	0.73	60,967
TAMA	1,974	0.148	3,761	0.282	7,602	0.57	13,336
TAYLOR	965	0.175	1,611	0.292	2,941	0.53	5,517
UNION	1,375	0.140	2,682	0.273	5,766	0.58	9,823
VAN BUREN	971	0.165	1,896	0.322	3,020	0.51	5,887
WAPELLO	4,629	0.165	8,051	0.287	15,374	0.54	28,054
WARREN	2,076	0.077	6,148	0.228	18,742	0.69	26,967
WASHINGTON	1,802	0.121	4,304	0.289	8,787	0.59	14,893
WAYNE	1,041	0.186	1,668	0.298	2,888	0.51	5,597
WEBSTER	4,621	0.150	8,072	0.262	18,116	0.58	30,809

IOWA COUNTIES CONTINUED							
WINNEBAGO	1,371	0.146	2,376	0.253	5,645	0.60	9,393
WINNESHIEK	1,802	0.111	4,595	0.283	9,840	0.60	16,237
WOODBURY	10,591	0.144	18,828	0.256	44,128	0.60	73,546
WORTH	930	0.149	1,635	0.262	3,675	0.58	6,240
WRIGHT	1,538	0.138	2,954	0.265	6,655	0.59	11,147
TOTAL	275,823		529,876		1,317,902		2,123,601
IOWA CITIES							
AMES	3,137	0.077	6,722	0.165	30,879	0.75	40,737
ANKENY	606	0.044	2,025	0.147	11,144	0.80	13,775
BETTENDORF	1,965	0.093	3,233	0.153	15,934	0.75	21,133
BOONE	1,310	0.137	2,190	0.229	6,064	0.63	9,565
BURLINGTON	3,159	0.151	5,627	0.269	12,134	0.58	20,920
CEDAR FALLS	2,597	0.093	4,830	0.173	20,493	0.73	27,920
CEDAR RAPIDS	10,478	0.123	17,294	0.203	57,419	0.67	85,191
CLINTON	3,471	0.154	5,928	0.263	13,141	0.58	22,540
CORALVILLE	778	0.092	1,049	0.124	6,630	0.78	8,456
COUNCIL BLUFFS	6,017	0.146	11,540	0.280	23,657	0.57	41,215
DAVENPORT	11,715	0.163	17,250	0.240	42,909	0.59	71,874
DES MOINES	21,693	0.144	34,799	0.231	94,153	0.62	150,645
DUBUQUE	6,038	0.135	11,585	0.259	27,106	0.60	44,729
FORT DODGE	3,133	0.157	4,889	0.245	11,934	0.59	19,956
FORT MADISON	1,582	0.171	2,804	0.303	4,867	0.52	9,253
INDIANOLA	805	0.091	1,982	0.224	6,062	0.68	8,849
IOWA CITY	3,641	0.072	7,484	0.148	39,441	0.78	50,565
KEOKUK	1,626	0.171	2,928	0.308	4,953	0.52	9,506
MARION	1,564	0.101	3,129	0.202	10,797	0.69	15,490
MARSHALLTOWN	2,712	0.137	4,770	0.241	12,312	0.62	19,794
MASON CITY	3,232	0.143	4,882	0.216	14,488	0.64	22,602
MUSCATINE	2,785	0.162	4,710	0.274	9,695	0.56	17,189
NEWTON	1,549	0.133	3,087	0.265	7,012	0.60	11,648
OSKALOOSA	1,280	0.154	2,368	0.285	4,661	0.56	8,309
OTTUMWA	3,492	0.179	5,755	0.295	10,261	0.52	19,507
SIoux CITY	9,320	0.154	14,767	0.244	36,434	0.60	60,522
SPENCER	1,041	0.124	1,805	0.215	5,550	0.66	8,397
URBANDALE	1,199	0.067	2,058	0.115	14,638	0.81	17,895
WATERLOO	9,587	0.189	13,645	0.269	27,493	0.54	50,726
W. DES MOINES	2,130	0.085	2,781	0.111	20,143	0.80	25,054
TOTAL	123,644		207,916		602,402		933,962
IOWA'S COMMUNITY COLLEGE DISTRICTS							
NE IOWA	19,910	0.130	43,649	0.285	89,596	0.58	153,156
NORTH IOWA	13,455	0.139	24,006	0.248	59,338	0.61	96,799
IOWA LAKES	7,665	0.138	13,387	0.241	34,494	0.62	55,546
NW IOWA	6,911	0.137	15,033	0.298	28,503	0.56	50,447
IOWA CENTRAL	15,409	0.147	27,464	0.262	61,952	0.59	104,825
IOWA VALLEY	8,575	0.128	16,948	0.253	41,466	0.61	66,989
HAWKEYE	22,665	0.144	41,080	0.261	93,650	0.59	157,395
IOWA CENTRAL	27,395	0.138	48,834	0.246	122,283	0.61	198,511
KIRKWOOD	30,298	0.108	59,192	0.211	191,043	0.68	280,533
DES MOINES	54,888	0.114	105,925	0.220	320,664	0.66	481,478
WESTERN IOWA							
TECH	18,027	0.142	34,276	0.270	74,646	0.58	126,949
IOWA WESTERN	16,404	0.133	34,906	0.283	72,031	0.58	123,341
SOUTHWESTERN	7,140	0.144	14,180	0.286	28,262	0.57	49,582
INDIAN HILLS	16,302	0.158	30,128	0.292	56,748	0.55	103,179
SOUTHEASTERN	11,800	0.145	22,785	0.280	46,791	0.57	81,376
TOTAL	276,844		531,795		1,321,467		2,130,106

SOURCE: WEBSITE <[HTTP://WWW.SUNSPACE.COM/ALPIAM.HTM#MAP00A](http://www.sunspace.com/alpiam.htm#map00a)>
DEVELOPED BY WARREN GLIMPSE OF MESA IN MARCH 1998.



APPENDIX E

The Relationship Between Job Skill
Requirements and Employee Skill Needs
Utilizing the CASAS Workforce Learning Systems (WLS)



WORKPLACE ANALYSIS REPORT TO X.Y.Z. INC. USING THE WORKFORCE LEARNING SYSTEM

Part I

Indian Hills Community College Workforce trainer has prepared the following report in response to the request from X.Y.Z. Inc. to analyze the basic skills required to do the jobs at their plant now and the basic skills required for the training that IHCC will be doing based on future technology and changes in the plant.

Part II

The procedures used to determine the basic skills requirements for X.Y.Z. Inc. are the following:

- plant tour by supervisor and observation of jobs being performed by employees;
- interviews with supervisor and an experienced plant worker to determine basic skills competencies required to be successful on the job;
- review of job materials used in the plant;
- review of competencies needed to begin technical and specialized classes by IHCC instructors;
- administration of an appraisal assessment in reading, math and critical thinking to the plant employees; the results and report prepared by CASAS.

Part III

The results of the workplace analysis, in terms of a level defined by CASAS (refer to the page on level descriptors), indicated the entry level jobs could be filled by someone at an intermediate basic skill level B in both reading and math. This is due to on the job training offered new employees, repetition of jobs, availability to ask for help, and the basic math skills required for these jobs.

In order to advance within the plant, the more skilled positions and the work cells require a minimum skill level C in reading and math, and would benefit from skills at a D or E level. Critical thinking levels should be at 3 & 4. To document this further, I figured the scores from the employees who are currently doing these skilled jobs and found them to be at the higher level. Reading scores were 73% at the highest level E, 20% at level D and only a small 7% level C. The math skills were not as high for this group, but still suggest an above average skill level was needed with 73% above the B level.

The skill levels for all employees in reading and math should be at a beginning level D in reading and math to insure success in the IHCC classes. Those employees that are below this level should be encouraged to take these skill upgrading classes.

The workplace basic skills analysis summary of competencies required to do the jobs at X.Y.Z. Inc. are on the following page.

X.Y.Z. Inc. Workplace Analysis Basic Skill Needs

Reading Skills

- interpret & follow written directions and procedures on signs, labels, directions, manuals, charts, graphs;
- interpret codes, abbreviations and symbols;
- read technical information;
- interpret illustrations, blueprints;
- read markings on equipment and machines;
- read operating and maintenance instructions;
- read safety related signs and notices, policies and procedures;
- read information in personnel manuals and handbook;
- follow sequential directions for Lock-out Tag-Out procedures;
- read & follow written work specifications (routing slip) daily;
- interpret employee log and scrap ticket.

Math Skills

- read, write and count in whole numbers;
- read decimals and fractions;
- calculate with units of time (military time);
- make measurements using ruler, caliper, etc. in standard/metric;
- figure fractions, decimals, percents;
- convert fractions to decimals;
- determine approximations by estimating, rounding;
- read and interpret dials and gauges;
- interpret data from graphs on computer screen (SPC);
- read digital readouts and other electric calibrations;
- compute and record hours worked (employee log).

Writing Skills

- record information on routing slip, scrap ticket, employee log;
- fill out Employee Injury/Illness Report.

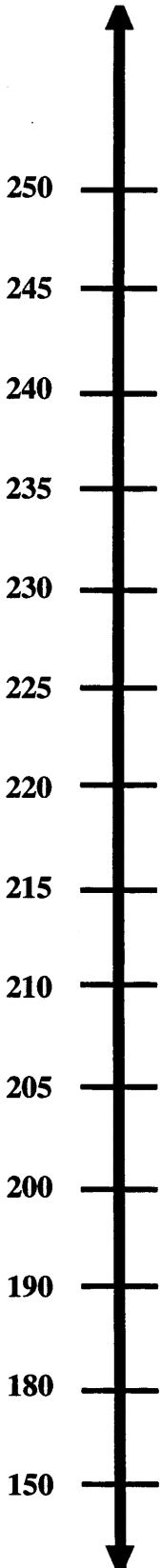
Oral Communication

- understand and follow simple oral instructions;
 - understand and follow complex sequential instructions;
 - ask for clarification of instructions, assistance from co-workers and supervisor;
 - understand job-specific jargon;
 - give instructions and train other workers.
-

Critical Thinking

- plan and organize work tasks;
- follow a work schedule for completion of tasks;
- differentiate among, sort and classify items, information or ideas;
- analyze information, making observations and drawing conclusions;
- use tools, equipment and machines properly;
- use a computer and common applications;
- identify and resolve problems with machines;
- demonstrate punctuality;
- work cooperatively as a member of a team.

Scaled Scores



CASAS Level	Descriptors
E	<p>Advanced Adult Secondary With some assistance, persons at this level are able to interpret technical information, more complex manuals, and material safety data sheets (MSDS). Can comprehend some college textbooks and apprenticeship manuals.</p>
D	<p>Adult Secondary Can read and follow multi-step directions; read and interpret common legal forms and manuals; use math in business, such as calculating discounts; create and use tables and graphs; communicate personal opinion in written form; write an accident or incident report. Can integrate information from multiple texts, charts, and graphs as well as evaluate and organize information. Can perform tasks that involve oral and written instructions in both familiar and unfamiliar situations.</p>
C	<p>Advanced Basic Skills Can handle most routine reading, writing, and computational tasks related to their life roles. Can interpret routine charts, graphs, and labels; read and interpret a simple handbook for employees; interpret a payroll stub; complete an order form and do calculations; compute tips; reconcile a bank statement; fill out medical information forms and job applications. Can follow multi-step diagrams and written instructions; maintain a family budget; and write a simple accident or incident report. Can handle jobs and job training situations that involve following oral and simple written instructions and diagrams. Persons at the upper end of this score range are able to begin GED preparation.</p>
B	<p>Intermediate Basic Skills Can handle basic reading, writing, and computational tasks related to their life roles. Can read and interpret simplified and some authentic materials on familiar topics. Can interpret simple charts, graphs, and labels; interpret a basic payroll stub; follow basic written instructions and diagrams. Can complete a simple order form and do calculations; fill out basic medical information forms and basic job applications; follow basic oral and written instructions and diagrams. Can handle jobs and/or job training that involve following basic oral or written instructions and diagrams if they can be clarified orally.</p>
	<p>Beginning Basic Skills Can fill out simple forms requiring basic personal information, write a simple list or telephone message, calculate a single simple operation when numbers are given, and make simple change. Can read and interpret simple sentences on familiar topics. Can read and interpret simple directions, signs, maps, and simple menus. Can handle entry level jobs that involve some simple written communication.</p>
A	<p>Pre-Literacy Very limited ability to read or write. Persons at the upper end of this score range can read and write numbers and letters and simple words and phrases related to immediate needs. Can provide very basic personal identification in written form such as on job applications. Can handle routine entry level jobs that require only basic written communication.</p>

CASAS, 1997

APPENDIX F

Workforce Investment Act Review Team Members
and Associated Agencies



WORKFORCE INVESTMENT ACT REVIEW TEAM

MEMBERS AND ASSOCIATED AGENCIES

Name	Affiliation
Mike Wilkinson	Enterprise Team
Mary Ubinas	Enterprise Team
Doug Keast	Enterprise Team
Russ Coleman	Workforce Development Center Div.
Joe Haessig	Workforce Development Center
Jeff Chamberlin	Dislocated Worker Unit
Pat Sampson	Legislative Liaison
Joe Bervid	UI Division
Jeff Nall	Strategic Planning
JoAnn Callison	Strategic Planning
Steve Morris	Customer & Admin Services
Erwin Frerichs	Customer & Admin Services
Sharon McDonald	Research & Information Services
Ann Wagner	Research & Information Services
Judy Peters	Project Office
Terry Augustus	IWD Region 5
Jean Jones	IWD Region 11
Gary Woodward	JTPA Region 5
Dave Mazur	JTPA Region 7
Tom Wilson	DOL/ETA Regional Office
Kevin Wille	G & G Living Centers, Region 1 CSP
George Elsasser	Hawkeye Community Action Program – Region 10 CSP
Evelyn Anderson	Department of Education
Louise Duvall	Department of Blind
Ralph Childers	Vocational Rehabilitation



APPENDIX G

Governor's Letter of Review and Comments





THOMAS J. VILSACK
GOVERNOR

SALLY J. PEDERSON
LT. GOVERNOR

DEPARTMENT OF EDUCATION
TED STILWILL, DIRECTOR

February 16, 1999

Governor Thomas J. Vilsack
Lieutenant Governor Sally Pederson
Office of the Governor
State Capitol
LOCAL

Dear Governor Vilsack and Lieutenant Governor Pederson:

We are providing "*Iowa's State Plan for Adult Basic Education: FY 2000-2004*" for your review. The Workforce Investment Act of 1998 now requires the review and comment of the Governor of each state in addition to the State Board of Education. The State Board of Education approved this plan on February 12, 1999.


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

1. This plan supports one of the strongest Adult Basic Education programs in the United States.
 - Iowa's program is integrated with our community college system and is therefore positioned to improve workplace literacy in addition to general literacy.
 - Fifty-seven percent of the individuals providing support to learners are volunteers.
 - The program is research-based in terms of documenting learner needs and using proven instructional strategies.
 - The positive results of the program are well documented through consistent assessment and teaching of students through employment and wage studies.
2. Public hearings, including 185 participants at various ICN sites during January 1999, provided both input and support for this plan.
3. All technical criteria have been met and the State Board of Education has approved this plan.

Finally, let me be very clear about our intent to collaborate with the Governor's 21st Century Workforce Council, the Department of Economic Development, and the Department of Workforce Development in organizing programs such as Adult Basic Education as part of our state's constellation of assets that can be a part of a comprehensive plan that will shape our economy and our workforce towards a quality of life that benefits all Iowans. From the education perspective, these assets, in addition to Adult Basic Education, should include our early childhood, elementary and secondary programs; secondary vocational programs, including Carl Perkins programs, and community college programs that provide transfer to four-year degrees, as well as community college programs that result in two-year technical degrees or skill certification.

I am proud to recommend this plan for your approval and I am enthusiastic about its potential as part of a comprehensive plan to meet the learning needs of Iowans. I am requesting that your comments be forwarded to me by March 3, 1999. The United States Department of Education requires that the plan must be submitted to their office by April 1, 1999. The March 3, 1999, due date will allow adequate time for the Iowa Department of Education to meet this mandate.

Sincerely,



Ted Stilwill
Director

cc: Greg Nichols, Office of the Governor
Cindy Eisenhauer, Department of Management
David Lyons, Department of Economic Development
Deb Dessert, Department of Workforce Development
Janice Friedel, Division of Community Colleges and Workforce Preparation
Judy Jeffrey, Division of Early Childhood, Elementary and Secondary Education



THOMAS J. VILSACK
GOVERNOR

OFFICE OF THE GOVERNOR

STATE CAPITOL
DES MOINES, IOWA 50319
515 281-5211
FAX 515-281-6611

SALLY J. PEDERSON
LT. GOVERNOR

RECEIVED

March 3, 1999

MAR 05 1999

**DIRECTOR OF
EDUCATION**

Ted Stillwill, Director
Iowa Department of Education
Grimes State Office Building
LOCAL

Dear Director Stillwill:

Thank you for forwarding to us "Iowa's State Plan for Adult Education: FY 2000-2004."

It appears that this plan is consistent with our goals of maintaining a strong adult basic education program in Iowa. We are particularly pleased to see an emphasis on assessment of results, and use of "volunteer" support for learners.

Perhaps most importantly, we urge you to continue the focus on collaboration among various state agencies to provide a comprehensive approach to promoting an improved quality of life for our citizens. The integration contemplated in this plan with local schools and community colleges is a good step in that direction.

We appreciate your efforts and those of the State Board and staff in preparing this plan for our review. We are pleased to lend our support of the plan presented.

Sincerely,

Thomas J. Vilsack
Governor

TJV:jmc



APPENDIX H

Addendum to State Plan



INTRODUCTION

The state plan addendum was designed to address the clarifications and recommendations formulated by the United State Department of Education: Division of Adult Education and Literacy's (USDE/DAEL) State Plan Review Team.

CLARIFICATIONS

This section is designed to address the three (3) clarification issues cited by the review committee.

- *Use of Incentive Grant Award Monies.* Section 5.7 (p. 80) of the Plan addresses this issue. This information is the most current to date.
- *CASAS Project "Power".* The purpose of project "Power" is to customize the CASAS Workplace Analysis for Adults with Special Learning Needs for individuals who have developmental disabilities. The major outcome will be a standardized performance-based assessment tool that documents skills demonstrated, provides accountability and meaningful data for improvement of supported employment services for adults with the most severe disabilities. Iowa currently is pilot testing project "Power" in a rehabilitation setting in conjunction with CASAS (coordinating with Virginia Posey). Given the fact that Iowa serves in significant number of adult with special learning needs, the performance-based assessment tool will be integrated into Iowa's performance-based accountability system described in Sections 5.0 and 9.0 of the Plan.
- *On-site Evaluation Tools.* Iowa is currently in the process of developing the specific on-site evaluation tools for the on-site monitoring phase of the overall evaluation process. The tools and procedures will follow the strategies outlined in Section 4.0 (pp. 51-55) of the Plan. The evaluation guidelines will focus on the 12 program selection criteria outlined in Section 231(e) of Title II of WIA.

RECOMMENDATIONS

The purpose of this section is to address the seven (7) recommendations suggested by the review committee.

- *Cooperation and Coordination with the IDEA program and Special Education Program.* The Iowa Adult Basic Education Program has had a long-standing cooperation relationship with the IDEA program and the special education program. The data from their annual reports is utilized to serve as a basis for the development of staff development program designed to serve the needs of adults with learning disabilities. The Iowa State Adult Literacy Survey (IASALS) and supplemental analysis of the IASALS data by Hal Beder has provided a rich database in developing a profile of NALS Level 1 and/or CASAS Level A adult populations.

- *Use of AEFLA Funds for Family Literacy Projects.* This issue is addressed in Sections 5.3.3 (pp. 73-74) 6.4 (pp. 89-90) and Table # 11 (p. 74). The evaluation criteria contained in Section 203(7) of the Act lend themselves to qualitative analysis as opposed to quantitative analysis. The local program providers are required to consult with elementary educators to determine the types of appropriate criteria, which constitutes "age appropriate education services for children". Iowa is also coordinating with the National Center for Family Literacy to assist with criteria formulation and staff development strategies.
- *Even Start Age Eligibility Guidelines.* Iowa's Adult Basic Education program is currently reviewing the Even Start age eligibility guidelines to determine if the same criteria should be utilized for child activities funded under AEFLA grants. The strategy is to utilize similar age eligibility guidelines as those contained in the Even Start program.
- *IPQ Strategies for Program Development.* The Indicators of Program Quality will be utilized to determine the effectiveness of the local providers in achieving the state level performance standards. The indicators will also be utilized in the development of new program initiatives and strategies. If local providers are not achieving program standards, the providers will be provided with technical assistance to improve program performance.
- *Local Program Sanctions for Low or Non-Performing Programs.* Iowa has developed a strategy for review of local program funded under AEFLA to determine if program benchmarks are being successfully achieved. Specifically, the strategy is similar to the strategy the United States department of Education: Division of Adult Education and Literacy (USDE:DAEL) has outlined to assist states in attaining performance standards and/or benchmarks. Iowa will provide technical assistance and training during the first two years of AEFLA (i.e. program years 2000-2001) to local providers who are not demonstrating proficiency in meeting performance standards or benchmarks. If the local program does not demonstrate an improvement by program year 2003, the state will consider the possibility of de-funding the program. This decision would be made as a last resort only after documentation is provided that technical assistance and staff development efforts have not resulted in program improvement.
- *Eligible Population Groups.* The priority target populations groups identified in Section 6.2.3.1 (p. 86; item # 3) were developed as part of the secondary analysis of the IASALS data by Hal Beder as delineated in Section 2.2.1 (p. 20). As delineated on page 86, the local program provider application guidelines do require the local applications to describe how they are, or plan to serve the state of Iowa's eligible priority target populations.
- *Learning Disabilities Among Incarcerated Adults.* Section 11.1 (p. 119) of the Plan discusses the screening and instructional strategies provided for incarcerated adults with learning disabilities. In addition, the Iowa Basic Skills Certification program is being integrated in all of Iowa's adult correctional facilities to effectively document student learning gains below the GED level. This program is proving to be quite popular with the incarcerated population.

APPENDIX I

United States Department of Education
Certification Documents





UNITED STATES DEPARTMENT OF EDUCATION
OFFICE OF VOCATIONAL AND ADULT EDUCATION

PROGRAM MEMORANDUM OVAE/DAEL – FY 99-8

SENT TO: State Directors of Adult Education

DATE: April 8, 1999

SENT BY: Ronald S. Pugsley, Director
Division of Adult Education and Literacy

SUBJECT: Annual Certification Documents

Enclosed with this memorandum is the annual combined certification form, **“Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements.”** This document, to be signed by your State Education Agency Head, must be received in this office before your Program Year 2000 (July 1, 1999 – June 30, 2000) allocation can be released. If you have not already done so, you may mail the certification form along with your State Plan.

Also enclosed are the following:

- **“Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion – Lower Tier Covered Transactions” (Form ED 80-0014)** - This form must continue to be used by the Department’s lower-tier recipients. Lower Tier certification forms should be signed by local grant recipients. The signed copies should be kept on file in your office.
- **“Disclosure of Lobbying Activities” (Standard Form LLL)** - This form should be used only to report lobbying activities. If you have lobbying activities to report, please mail the Disclosure forms to this office.

The **“Certification Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements”** and any lobbying forms should be mailed to:

Dr. Carroll F. Towey
Acting Chief, Program Services Branch
Division of Adult Education and Literacy
U.S. Department of Education, MES-4423
400 Maryland Avenue, S.W.
Washington, DC 20202-7240

Please contact Gloria Shade at 202-205-5467 if you need further information concerning this matter.

Attachments

**CERTIFICATIONS REGARDING LOBBYING; DEBARMENT, SUSPENSION AND OTHER
RESPONSIBILITY MATTERS; AND DRUG-FREE WORKPLACE REQUIREMENTS**

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 34 CFR Part 82, "New Restrictions on Lobbying," and 34 CFR Part 85, "Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Education determines to award the covered transaction, grant, or cooperative agreement.

1. LOBBYING

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 34 CFR Part 82, for persons entering into a grant or cooperative agreement over \$100,000, as defined at 34 CFR Part 82, Sections 82.105 and 82.110, the applicant certifies that:

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

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

(c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts) and that all subrecipients shall certify and disclose accordingly.

**2. DEBARMENT, SUSPENSION, AND OTHER
RESPONSIBILITY MATTERS**

As required by Executive Order 12549, Debarment and Suspension, and implemented at 34 CFR Part 85, for prospective participants in primary covered transactions, as defined at 34 CFR Part 85, Sections 85.105 and 85.110--

A. The applicant certifies that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(b) Have not within a three-year period preceding this application been convicted of or had a civil judgement rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) Have not within a three-year period preceding this application had one or more public transaction (Federal, State, or local) terminated for cause or default; and

B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

**3. DRUG-FREE WORKPLACE
(GRANTEES OTHER THAN INDIVIDUALS)**

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610 -

A. The applicant certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an on-going drug-free awareness program to inform employees about-

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will-

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency, in writing, within 10 calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: Director, Grants Policy and Oversight Staff, U.S. Department of Education, 600 Independence Avenue, S.W. (Room 3652, GSA Regional Office Building No. 3), Washington, DC 20202-4248. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted-

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)


Iowa Department of Education

Grimes State Office Building

Des Moines, IA 50319-0146

Check if there are workplaces on file that are not identified here.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

NAME OF APPLICANT Iowa Department of Education	PR/AWARD NUMBER AND / OR PROJECT NAME Adult Education and Family Literacy Act
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE Ted Stilwill, Director	
SIGNATURE 	DATE 4/19/99

ED 80-0013

DRUG-FREE WORKPLACE (GRANTEES WHO ARE INDIVIDUALS)

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610-

A. As a condition of the grant, I certify that I will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant; and

B. If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, I will report the conviction, in writing, within 10 calendar days of the conviction, to: Director, Grants Policy and Oversight Staff, Department of Education, 600 Independence Avenue, S.W. (Room 3652, GSA Regional Office Building No. 3), Washington, DC 20202-4248. Notice shall include the identification number(s) of each affected grant.



APPENDIX J

OVAE Memorandum 99-14: Responsibilities and Opportunities
Created by Title I of the Workforce Investment Act of 1998



PROGRAM MEMORANDUM - OVAE - 99-14

June 1, 1999

TO: State Directors of Adult Education

FROM: Patricia W. McNeil

SUBJECT: Responsibilities and Opportunities Created by Title I of
the Workforce Investment Act of 1998

The foundation of the comprehensive reforms made by Title I of the Workforce Investment Act of 1998 (WIA) (Public Law 105-220) is the creation of a One-Stop service delivery system that will make it easier for individuals in every community to access the education, training, and information resources they need to pursue lifelong learning and advance their careers. Programs assisted under the Adult Education and Family Literacy Act (AEFLA) are important components of this new, customer-friendly service delivery system.

The One-Stop provisions of WIA offer vocational and adult education and other One-Stop partner programs exciting opportunities both to expand access to their programs and to improve the variety of services they provide. By working together, One-Stop partners will be able to achieve collectively goals that each partner could not accomplish by working independently.

On April 15, 1999, the U.S. Department of Labor issued Interim Final Regulations for Title I of WIA (64 Federal Register 72, pp. 18662 - 18764, April 15, 1999). These regulations may be viewed on the [Department of Labor's WIA website](#) or on the [Government Printing Office website](#).

While these regulations clarify many of the issues related to the design and implementation of the One-Stop delivery system and the participation of One-Stop partners in the system's governance and operation, these provisions interact with, and are affected by, the provisions of the authorizing statutes of One-Stop partner programs. Section 121(b)(1)(A)(i) of WIA, for example, requires One-Stop partners to make available through the One-Stop system core services "that are applicable to such program or activities" and section 121(b)(1)(A)(ii) requires that the participation of mandatory partners in the One-Stop system be "consistent with...the requirements of the Federal law in which the program or activities are authorized."

The purpose of this non-regulatory guidance is to provide additional information concerning the application of Title I of WIA to AEFLA. This information is intended to facilitate your early and effective participation in the implementation of the One-Stop service delivery system within your State. Our goal is to define more clearly for you the legal parameters for State and local decision-making, rather than dictate any particular implementation approach or system design. You and the other One-Stop partners have considerable flexibility to determine how to fulfill the One-Stop requirements of Title I of WIA in a manner which best addresses State and local needs, priorities, and circumstances. This flexibility is key to the success of the implementation of the One-Stop delivery system, as well as AEFLA. There is no single, best way to implement the customer-friendly, seamless delivery system envisioned in WIA. The most effective One-Stop delivery systems will spring from State and local creativity, innovation, and commitment.

The Department wishes to emphasize that the responsibilities established by Title I of WIA are not secondary or subsidiary to the responsibilities and requirements established by AEFLA. The requirements of both Title I of WIA and AEFLA must be satisfied. Eligible agencies must design their programs and plan for the use of funds in a manner that will enable them to satisfy both sets of requirements.

What entity serves as the One-Stop partner for the Adult Education and Family Literacy Act program in each local area?

Section 121(b)(1) of WIA and 20 CFR §662.200 and 20 CFR §662.220 identify mandatory One-Stop partner programs that have certain responsibilities with respect to the One-Stop delivery system in each local workforce investment area designated under section 116 of WIA.

For programs under the Adult Education and Family Literacy Act (AEFLA), the entity responsible for fulfilling the One-Stop participation requirements is the State eligible agency. The eligible agency may designate one or more eligible providers in each local area to fulfill all or part of these responsibilities (20 CFR 662.220(b)(1)).

What are the responsibilities of the eligible agency (or a designated provider) with respect to participation in the One-Stop system?

Each eligible agency must:

- Be represented on the State Workforce Investment Board.
- Be represented on the Local Workforce Investment Board.
- Enter into a memorandum of understanding with the Local Workforce Investment Board relating to the operation of the One-Stop system, including a description of services, how the cost of the identified services and operating costs of the system will be funded, and methods for referral.
- Ensure that the core services applicable to AEFLA are made available to participants through the One-Stop delivery system within each local area, either in lieu of or in addition to making these services available at the site of an assisted program.
- Ensure that a portion of the funds available under section 231 is used, by providing services or through other means, to create and maintain the One-Stop delivery system and to provide applicable core services through the One-Stop delivery system.

The participation of the eligible agency in the One-Stop delivery system (including the expenditure of section 231 funds related to that participation) must be consistent with the provisions of AEFLA [secs. 121(b)(1)(A)(ii), 134(d)(1)(b) of WIA].

The regulations give the eligible agency the flexibility to designate one or more eligible providers within each local area to carry out all or part of these responsibilities relating to participation in the One-Stop delivery system in a local area.

What is the eligible agency's relationship with the State Workforce Investment Board?

Section 111 of WIA provides for the establishment of a State Workforce Investment Board (State Board) that is responsible for assisting the Governor in developing the State's WIA Title I plan, promoting coordination among workforce investment and education programs, and other functions.

The "lead State agency officials with responsibility for" mandatory One-Stop partner programs, including AEFLA, must be included as members of the State Board (sec. 111 (b)(1)(C)(vi)(I)). These officials must be "individuals with optimum policymaking authority" within their agencies (sec. 111(b)(2)). The appropriate State official will vary according to how adult education and literacy programs are administered in each State. The State Director of Adult Education can play a valuable role in assisting the State Board in promoting effective coordination between Title I of WIA, AEFLA, and other One-Stop partner programs.

What is the eligible agency's relationship with "alternative entities" used by States in lieu of the State Workforce Investment Board established under Title I of WIA?

Section 111(e) of WIA sets out the limited circumstances in which a Governor may choose to designate an alternative entity to carry out the responsibilities of the State Board, such as an existing Human Resource Investment Council or State Job Training Coordinating Council. 20 CFR §661.210(d) of the WIA Title I regulations further provides that:

If the membership structure of the alternative entity is significantly changed after December 31, 1997, the entity will no longer be eligible to perform the functions of the State Board. In such case, the Governor must establish a new State Board which meets all of the criteria of WIA sec. 111(b). A significant change in the membership structure does not mean the filling of a vacancy on the alternative entity, but does include any change in the organization of the alternative entity or in the categories of entities represented on the alternative entity which requires a change to the alternative entity's charter or a similar document that defines the formal organization of the alternative entity.

If an alternative entity is designated to perform the functions of a State Board, the WIA Title I State plan must "explain the manner in which the State will ensure an ongoing role for" any category of member that is excluded from membership on the alternative entity (20 CFR §661.210(c)). This requirement would include a role in the workforce investment system for the lead State agency official responsible for AEFLA or other State agency officials who are not represented on the State Board.

In the preamble to the regulations, the Department of Labor emphasizes that groups that have been omitted from membership on the alternative entity must "have an opportunity for meaningful input into decisions made by the State Board" (64 Federal Register 72, p. 18666). The Department of Education expects that eligible agencies will be consulted and involved in all decisions by alternative entities that might impact adult education and literacy and the coordination of AEFLA with other One-Stop partner programs.

Is the eligible agency represented on the Local Workforce Investment Board?

The workforce investment system established by WIA Title I is governed at the local level by the chief elected official in the local area in partnership with a Local Workforce Investment Board (Local Board). Membership requirements for the Local Board are described in section 117(b)(2) of WIA and 20 CFR §661.315.

The Local Board must contain at least one member representing each mandatory One-Stop partner. Therefore, at least one member of the Local Board must be a representative of the eligible agency or a section 231 provider in the local area that has been designated by the eligible agency (20 CFR §661.315(a)). All members of the Local Board who represent organizations, agencies or other entities must be "individuals with optimum policy making authority within the organizations, agencies, or entities" they represent (sec. 117(b)(3) of WIA). The eligible agency or a designated provider has the flexibility to determine the individual who is most appropriate to fulfill these responsibilities.

Given the overall emphasis of WIA Title I on the importance of local decision-making, the Department encourages eligible agencies to designate section 231 providers to serve as members of Local Boards, consulting with the providers in each local area to determine the local adult education provider who is best able to represent the interests of all providers in the area.

Is the eligible agency represented on "alternative entities" used in local areas in lieu of the Local Workforce Investment Boards established under Title I of WIA?

Section 117(i) of WIA sets out the limited circumstances in which a Governor may choose to use an alternative entity in the local area to carry out the responsibilities of the Local Board, such as a Private Industry Council. 20 CFR §661.330(c) further provides that:

If the membership structure of an alternative entity is significantly changed after December 31, 1997, the entity will no longer be eligible to perform the functions of the Local Board. In such case, the chief elected official(s) must establish a new Local Board which meets all of the criteria of WIA sec. 117(a), (b), and (c) and (h)(1) and (2). A significant change in the membership structure does not mean the filling of a vacancy on the alternative entity, but does include any change in the organization of the alternative entity or in the categories of entities represented on the alternative entity that requires a change to the alternative entity's charter or a similar document that defines the formal organization of the alternative entity.

If an alternative entity is used to perform the functions of a Local Board, the local workforce investment plan must "explain the manner in which the Local Board will ensure an ongoing role for" any category of member that is excluded from membership on the alternative entity (20 CFR §661.330(b)(2)). This requirement would include a role in the local

workforce investment system for a representative of the eligible agency or a designated provider or other One-Stop partner programs that are not represented on the alternative entity.

In the preamble to the regulations, the Department of Labor emphasizes that groups that have been omitted from membership on the Local Board must "have periodic regular meaningful opportunities for input into decisions made by the Local Board." (64 Federal Register 72, p. 18668). The Department of Education expects that eligible agencies and designated providers will be consulted and involved in all decisions by alternative boards that might impact adult education and literacy and the coordination of AEFLA with other One-Stop partner programs

If the eligible agency designates multiple providers in a local area to assume the agency's responsibilities with respect to One Stop participation, are all of these providers required to be members of the Local Board?

No. At least one member of the Local Board must be a representative of the AEFLA program, either a representative of the eligible agency or a section 231 provider designated by the eligible agency. (20 CFR §661.315(a)). Multiple providers may be seated as Local Board members at the discretion of the chief elected official in the local area, but this is not a requirement.

In the event that multiple section 231 providers in the local area have been designated by the eligible agency and the opportunity to serve on the Local Board is not made available to all of these providers, the Department encourages the eligible agency and the providers to agree jointly on a single provider who will be responsible for representing their collective interests in the work of the Local Board.

Can the eligible agency or a designated provider be excluded from membership on a Local Workforce Investment Board because they are also eligible providers of training services under Title I of WIA or have been designated or certified as a One-Stop operator?

No. Section 117(b)(2)(A)(vi) of WIA and 20 CFR §661.315(a) require that the Local Board include at least one member representing each One-Stop partner. The statute and the regulations include provisions that address conflict-of-interest concerns that may arise if the eligible agency or a designated provider is also an eligible provider of training services under WIA Title I or has been designated or certified as a One-Stop operator (sec. 117(g) of WIA; 20 CFR §667.200(a)(4)(i)).

Does the responsibility to make "applicable" core services available through the One-Stop system require an eligible agency or designated provider to provide any new or additional services that they otherwise would not have provided using AEFLA funds?

No. Title I of WIA does not impose an obligation on eligible agencies or designated providers to provide services that are not authorized by AEFLA or that they would not otherwise have provided using AEFLA funds. 20 CFR §66.240(a) clarifies that the core services applicable to a One-Stop partner program are those "that are authorized and provided under the partner's program."

Section 134(d)(2) of WIA delineates a set of core services that must be provided through the One-Stop delivery system to all adults and dislocated workers by each local area that receives assistance under Title I of WIA. Section 121(b)(1)(A)(i) of WIA further requires mandatory One-Stop partners, including the eligible agency that administers AEFLA, to "make available" any of these core services that are "applicable" to their program through the One-Stop delivery system.

This latter provision does not require the eligible agency or a designated provider to provide any new or additional services that they would not have otherwise provided using funds under section 231. Instead, section 121(b)(1)(A)(i) of WIA requires that, if AEFLA funds are used under section 231 to provide a service that is one of the core services identified in section 134(d)(2) of WIA, that service must be made available through the One-Stop delivery system. The purpose of section 121(b)(1)(A)(i) is to ensure that core services provided by One-Stop partners are delivered in a coherent, coordinated manner that facilitates easy access and eliminates unnecessary duplication.

What core services are "applicable" to AEFLA and must be made available by the eligible agency or designated eligible providers through the One-Stop delivery system?

The following core services specified in section 134(d)(2) are "applicable" to AEFLA:

- the provision of performance and cost information with respect to providers that receive assistance under section 231 of WIA (sec. 134(d)(2)(F); 20 CFR §662.240(b)(6)(iii))
- initial assessment of skill levels, aptitudes, abilities, and supportive service needs (sec. 134(d)(2)(C); 20 CFR §662.240(b)(3))
- the provision of accurate information relating to the availability of supportive services, including child care and transportation, available in the local area, and referral to such services, as appropriate (sec. 134(d)(2)(H); 20 CFR §662.240(b)(8)).

What performance and cost information must section 132 grantees make available through the One-Stop delivery system?

The eligible agency should ensure that information regarding the "performance" of programs assisted under section 231 and the cost, if any, to individuals of enrolling in these programs is made available through the One-Stop delivery system (WIA sec. 134(d)(2)(F)). The purpose of providing this information is to assist potential clients in identifying an appropriate and effective adult education or literacy program in the local area. To minimize burden on section 231 providers, performance information could consist of the same information the provider reports to the eligible agency concerning the program's success in meeting the State adjusted levels of performance for the core indicators of performance described in section 212(b)(2)(A) of WIA, as well as any additional performance indicators established by the State under section 212(b)(2)(B) of WIA.

The eligible agency should work with the State Board and the Local Board to determine the most appropriate format and means for making this information available through the One-Stop delivery system.

It is important to note that a Local Board may require section 231 providers to provide additional information regarding program performance and cost in order to become eligible to provide training services under WIA Title I.

What are the responsibilities of the eligible agency (or a designated provider) with respect to making available initial assessments of skill levels, aptitudes, abilities, and supportive service needs through the One-Stop delivery system?

The eligible agency must ensure that an initial assessment of basic skill levels and educational needs for the purposes of determining eligibility for, and appropriate placement in, services funded under section 231 is available through the One-Stop delivery system in each local area. The eligible agency or a designated provider has the flexibility to determine, in consultation with the Local Board and other One-Stop partners, the nature and extent of the assessment, as well as the particular instrument or strategy that is used. Assessments could be carried out through oral interviews, self-identification, instruments such as the Comprehensive Adult Student Assessment System (CASAS) English-as-a-Second Language Appraisal or Test of Adult Basic Education (TABE) Locator,¹ or other means. It may or may not include more exhaustive assessments that are typically conducted following enrollment in a program, depending upon the how the eligible agency or designated provider chooses to configure and deliver services.

WIA and its implementing regulations articulate a "no wrong door" approach to the delivery of education and workforce development services (64 Federal Register 72, p. 18669). Generally, the type of assessment that is made available at the comprehensive One-Stop center should be comparable to the type of assessment that is used by a provider during initial intake when an individual presents him or herself at the program site.

It is important to note that AEFLA is not the only One-Stop partner program in which initial assessments of basic skills are typically carried out during intake. Comparable assessments may also be carried out under the WIA Title I programs for youth and adults, the Welfare-to-Work program, Title I of the Rehabilitation Act, the Temporary Assistance to Needy Families (TANF) program, Native American programs authorized by section 166 of WIA, the Migrant and Seasonal Farmworker programs authorized by section 167, and other Federal programs participating in the One-Stop delivery system. One of the benefits of the One-Stop delivery system is that it enables multiple programs to collaborate on service strategies that will address each program's specific needs and purposes.

However, AEFLA is not the exclusive or presumptive provider of basic skills assessment services at the comprehensive center. Instead, the responsibility of the eligible agency for providing applicable core services "must be proportionate to the use of the services at the comprehensive One-Stop center by the individuals attributable to "the program assisted with section 132 funds (20 CFR §662.250(c)). Thus, for example, the eligible agency would not be responsible for the cost of an assessment if the individual who was assessed was not considered "attributable" to the AEFLA program under the terms of the MOU. Other related considerations, such as the level or intensity of services that are provided to attributable individuals, might also be considered in applying this principle of proportionality. The method for determining the eligible agency's proportionate responsibility must be described in the MOU.

What are the responsibilities of the eligible agency (or a designated provider) with respect to making available through the One-Stop delivery system information relating to the availability of supportive services and referral to such services, as appropriate?

One of the core services identified in section 134(d)(2)(B) of WIA is the "provision of accurate information relating to the availability of supportive services, including child care and transportation, available in the local area, and referral to such services, as appropriate." While providing information concerning the availability of supportive services can facilitate enrollment and contribute to retention, this information may not be offered by all providers receiving assistance under section 231 of WIA. If this information is provided by one or more section 231 providers within a local area during initial intake, this information should be made available through the One-Stop delivery system.

What does the requirement to "make available" applicable core services through the One-Stop delivery system entail? Where and to what extent must applicable core services be made available?

Each local area must provide the core services specified in section 134(d)(2) of WIA at "at least one comprehensive physical center" in the local area (20 CFR §662.100(c)). Applicable core services provided by One-Stop partners must be "made available" at this comprehensive One-Stop center "to individuals attributable to the partner's program" (20 CFR §662.250(a)).

The regulations provide One-Stop partners and the Local Board the flexibility to determine the most appropriate means of providing applicable core services at the comprehensive One-Stop center. Applicable core services "may be made available by the provision of appropriate technology at the comprehensive One-Stop center, by co-locating personnel at the center, cross-training of staff, through cost-reimbursement or other agreement between service providers at the comprehensive One-Stop center" (20 CFR §662.250(b)). The manner in which applicable core services will be made available at the center must be described in the MOU.

For example, initial skill assessments may be provided directly at the comprehensive center through technology or by the staff of a provider receiving assistance under section 231, or funds or in-kind services may be provided to the One-Stop operator or other One-Stop partners located at the center to enable this activity to be carried out.

Must applicable core services be provided exclusively at the comprehensive One-Stop center, rather than at the program site?

No. At a minimum, the service must be made available at the comprehensive center. Applicable core services, such as assessment, may also be provided at the program site or other locations as the eligible agency or a designated provider deems appropriate. WIA Title I does not require that the comprehensive center be the exclusive service delivery site for applicable core services provided by One-Stop partners.

What other considerations must be taken into account in fulfilling the responsibility to provide applicable core services through the One-Stop delivery system?

Many of the core services specified in section 134(d)(2) of WIA are currently provided in local areas by the Employment Service as labor exchange services funded under the Wagner-Peyser Act. 20 CFR §662.250(a) clarifies that the minimum responsibility of One-Stop partner programs to provide applicable core services is limited to core services that are "in addition to the basic labor exchange services traditionally provided in the local area under the Wagner-Peyser program." The preamble to the regulations further explains that "[w]hile a partner would not, for example, be required to duplicate an assessment provided under the Wagner-Peyser Act, the partner would be expected to be responsible for any needed

assessment that includes additional elements specifically tailored to participants under the partner's program" (64 Federal Register 72, p. 18669).

What services in addition to applicable core services must be made available by the eligible agency through the One-Stop delivery system?

In addition to providing applicable core services through the One-Stop delivery system, the eligible agency must also ensure that "access" is provided through the One-Stop delivery system to other services and activities that are carried out with funds under section 231 (20 CFR §662.260). The means by which access to these services will be provided must be described in the MOU.

What is the responsibility of the eligible agency for contributing to the costs of creating and maintaining the One-Stop system?

As a required One-Stop partner, the eligible agency must ensure that a portion of the funds made available under section 231 is used, by providing services or through other means, to "create and maintain the One-Stop delivery system" (20 CFR §662.230(b)(1)). The funds or services that are contributed to creating and maintaining the One-Stop delivery system in the local area are negotiated with the Local Board as part of the MOU.

Decision-making and negotiation with respect to this contribution must take into account the following factors:

- *Proportionality.* The contribution must be "proportionate to the use of the system by individuals attributable to" the partner's program (20 CFR §662.270). The method of attributing individuals to a partner program is negotiated as part of the MOU (§662.250(c)). Other related considerations, such as how the system is used by attributable individuals, including the level or intensity of services that are provided to them, might also be considered in applying this principle of proportionality. Another issue that may be addressed is how the principle of proportionality will be applied in cases in which individuals enroll or participate in multiple One-Stop partner programs.
- *Limitations on Local Administrative Costs under AEFLA.* Contributions to the operating costs of the One-Stop delivery system, such as the rental costs of facilities used by administrative staff, are presumptively administrative costs under AEFLA, as defined by section 233(a)(2) of WIA. The amount of federal funds available under section 231 for noninstructional purposes is limited to 5%, but may be negotiated with the State eligible agency to a higher level at the request of an eligible provider under section 231 (sec. 233(b)).
- *Costs of other Administrative Responsibilities under AEFLA.* Section 231 providers have other administrative responsibilities under AEFLA and must retain sufficient funds from federal or non-federal sources to fulfill these responsibilities.
- *Allowable Costs under AEFLA.* Grantees may only contribute toward costs that are allowable costs under AEFLA and Department of Education regulations for State-administered programs (34 CFR Part 76). 34 CFR §76.533, for example, prohibits the use of funds "for the acquisition of real property or for construction unless specifically permitted by the authorizing statute" for the program. AEFLA does not authorize the use of funds for the acquisition of real property or for construction.

The eligible agency or a designated provider and the Local Board may determine the amount, and manner, of the contribution within these parameters. Contributions may be made directly through a transfer of funds or provided on an in-kind basis.

How does AEFLA's prohibition against supplanting non-Federal funds relate to the eligible agency's responsibility to participate in the One-Stop delivery system?

Section 241(a) of WIA requires that funds made available under AEFLA be used to supplement, and not supplant, other State or local public funds expended for adult education and literacy activities. This requirement applies to any expenditure of funds by the eligible agency or a designated provider related to its participation in the One-Stop delivery system, including the provision of applicable core services and contributions to operating costs. None of these

expenditures may supplant State or local funds that have previously been used by the grantee, another One-Stop partner, or other component of the One-Stop delivery system for a similar purpose.

For example, if the eligible agency or a designated provider used funds under AEFLA to provide services that the agency or provider or another One-Stop partner had provided with non-Federal funds in the prior year(s), it would be presumed that supplanting has occurred. This presumption is refutable if the eligible agency or designated provider can demonstrate that the services in question would not have been provided with non-Federal funds had the Federal funds not been available.

What are some examples of administrative strategies that an eligible agency may take to fulfill the One-Stop responsibilities established by Title I of WIA?

The Interim Final Regulations for Title I of WIA invest the eligible agency with the responsibility to fulfill the One-Stop participation requirements in order to give the eligible agency flexibility to devise the most appropriate and effective means of ensuring that services funded under section 231 are accessible through the One-Stop delivery system. The adult education and literacy system is extraordinarily diverse; strategies that may be effective in one State may be less successful in another. The eligible agency has the flexibility to develop a strategy for fulfilling the One-Stop participation requirements that best addresses the needs, characteristics, and priorities of the adult education and literacy system within its State.

One strategy is to delegate all or most of the decision-making and responsibilities to the local level. Under this approach, the eligible agency would designate all providers receiving assistance under section 231 to carry out the One-Stop participation requirements and their associated responsibilities. Each provider would negotiate the terms of the MOU with the Local Board and provide for applicable core services and the costs of creating and maintaining the One-Stop system using funds awarded under section 231. The eligible agency would retain responsibility for oversight and monitoring and could issue guidelines and model MOUs to facilitate this process at the local level.

Another approach is to retain all or most of the responsibilities at the State level. The eligible agency would choose to negotiate the terms of the MOU with each Local Board, using a single MOU or multiple MOUs that are tailored to address specific issues within each community. The terms of the MOU would be specified in the grants or contracts awarded to each provider in the local area served by the Local Board. To the extent that the eligible agency determines that funds should be transferred to the One-Stop operator or another entity to carry out the terms of the MOU, these funds would be allocated from the funds awarded under section 231 to providers within the local area served by the Local Board.

These are only two possible options available to eligible agencies. The One-Stop participation requirements may be fulfilled through a variety of different approaches.

What are the consequences if the eligible agency or a designated provider is unable to execute an MOU with the Local Board?

Although the One-Stop participation requirements are set out in Title I of WIA, they have the same force and effect as any requirement established for AEFLA in Title II of WIA. The eligible agency has the same responsibility to fulfill the WIA Title I One-Stop requirements as they do to fulfill requirements established under AEFLA.

20 CFR §662.310(b) requires that the eligible agency or a designated provider and the Local Board "enter into good faith negotiations" to execute an MOU that meets the requirements of Title I of WIA. The eligible agency or designated provider must document the negotiations and the efforts they have undertaken to execute an MOU. In the event that an impasse in negotiations develops, a designated provider may request assistance from the eligible agency in resolving the impasse. A designated provider must inform the eligible agency if it has not been able to execute an MOU with the Local Board (20 CFR §662.310(b)). The eligible agency or a designated provider may not serve on the Local Board if it has failed to execute an MOU (20 CFR §662.310(c)). Any local area in which the Local Board has failed to execute an MOU with all required partners is not eligible for WIA Title I State incentive grants awarded on the basis of local coordination of activities under 20 CFR §665.200(d)(2) (20 CFR §662.310(c)).

When must an eligible agency begin participating in the One-Stop delivery system established by WIA Title I?

The eligible agency must begin participating in the One-Stop delivery system on the date that the State implements the applicable provisions of its State Workforce Investment Plan under WIA Title I. The Job Training Partnership Act (JTPA) is repealed effective July 1, 2000 (sec. 199(c)(2)(B) of WIA) and States must transition to WIA Title I by no later than this date (Planning Guidance and Instructions for Submission of the Strategic Five-Year State Plan for Title I of the Workforce Investment Act, OMB Control #1205-0398, p. 11). States planning to implement WIA Title I beginning on July 1, 1999 were required to submit their State Plans to the Department of Labor by April 1, 1999. States planning to implement WIA Title I between July 1, 1999 and July 1, 2000 are permitted to submit their State Plans to the Department of Labor at any time, but no later than April 1, 2000 (Planning Guidance and Instructions for Submission of the Strategic Five-Year State Plan for Title I of the Workforce Investment Act, OMB Control #1205-0398, p. 12).

Do WIA Title I and the implementing regulations establish information collection requirements that are subject to the Paperwork Reduction Act of 1995?

Yes. The Department of Labor has submitted a copy of the sections of the WIA Title I regulations that contain information collection requirements to the Office of Management and Budget (OMB) for its review. As stated in the Interim Final Regulations for WIA Title I, "[a]ffected parties do not have to comply with the information collection requirements established in the regulations until DOL [Department of Labor] publishes in the Federal Register control numbers assigned by OMB. Publication of the control numbers notifies the public that OMB has approved this information collection requirement under the Paperwork Reduction Act of 1995" (64 Federal Register 72, p. 18662). This memorandum does not impose additional information collection requirements.

¹ These specific assessments are identified for illustrative purposes only. Their identification here should not be construed as an endorsement by the Department of Education of their value or appropriateness.



APPENDIX K

Iowa's Adult Basic Education State Plan Letter of Approval from the
United States Department of Education: Division of Adult
Education and Literacy





UNITED STATES DEPARTMENT OF EDUCATION

OFFICE OF VOCATIONAL AND ADULT EDUCATION

THE ASSISTANT SECRETARY

JUN 30 1999

Honorable Ted Stilwill
Director of Education
State Department of Education
Grimes State Office Building
East 14th & Grand Streets
Des Moines, Iowa 50319-0146

Dear Director Stilwill:

This letter approves the five-year State Plan your agency filed earlier this year under the Workforce Investment Act, except for items related to the levels of core indicators of performance which are approved for one year, as explained below.

As you know, one of the key elements of the new Act is an emphasis on performance indicators and accountability. States and this Department have worked hard during the initial phase of the Act's implementation during the past few months to identify core indicators specified by the Act, and to negotiate levels of performance for these indicators. As you are also aware, the system for collection of data related to performance indicators will be refined during the coming years. Because of this, there may be changes in the data expected from your State and renegotiations of levels of performance related to the second and third years of the State plan. (The Act also requires reconsideration of performance levels prior to the beginning of the last two years of the plan). If levels of performance and the collection of data change substantially the State may have to modify related elements of its State plan.

Based on the State plan submitted to the Office of Vocational and Adult Education, we have enclosed Iowa's grant award for the Adult Education State Administered Grant for the budget period July 1, 1999 through September 30, 2000.

This Department will continue to work with States to ensure that any necessary changes are made as smoothly as possible. We appreciate your continuing cooperation in improving performance and accountability under the Act.

Sincerely,

Patricia W. McNeil

cc: John Hartwig

Enclosure

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