

# **Adult Education and Family Literacy Act Program State Plan for the State of California**

## **Program-Specific Requirements for Adult Education and Family Literacy Act Programs**

The State Plan must include a description of the following as it pertains to Adult Education and Literacy programs under Title II, the Adult Education and Family Literacy Act (AEFLA).

### **A. Aligning of Content Standards**

*Describe how the eligible agency will, by July 1, 2016, align its content standards for adult education with State-adopted challenging academic content standards, as adopted under section 1111(b)(1) of the Elementary and Secondary Education Act of 1965, as amended (20 U.S.C. 6311(b)(1)).*

The California Department of Education (CDE), through the State Board of Education (SBE), adopted the Common Core State Standards (CCSS) in 2010. In March 2013, the CDE adopted the College and Career Readiness Standards (CCRS). In March 2014, the State Superintendent of Public Instruction announced the Standards for Career Ready Practice. These standards describe the fundamental knowledge and skills that students need to prepare for transition to postsecondary education, career training, or the workforce. The Standards for Career Ready Practice are taught and reinforced in all career exploration and preparation programs or integrated into core curriculum, with increasingly higher levels of complexity and expectation as a student advances through a program of study.

The CDE adult education office has aligned its content standards to the state-adopted challenging academics of the CCSS and CCRS. The California adult education high school diploma meets the same standards as required for the K–12 high school diploma. The CDE has developed and implemented curriculum and assessment standards within ABE and ESL to meet the Educational Functioning Levels established by the NRS and to achieve the K–8 academic literacy objectives established by the state's standards and frameworks.

Since 2014, the CDE has provided numerous professional development opportunities to the Title II local providers on the CCSS and CCRS. Thus, local adult education programs are aligned to the CCSS and CCRS, providing standards-based contextualized curriculum, evidence-based instruction, and assessment focusing on the skills that enable learners to participate more fully within American society as citizens, workers, and family members. In addition, the CDE, through the professional development contractor, has been offering trainings on the English Language Proficiency Standards (ELPS) for Adult Education since January 2017. The ELPS,

published by the American Institute for Research on October 2016 for the U.S. Department of Education, correspond to the CCRS for English Language Arts and Literacy, and Mathematical and Science Practices.

## **B. Local Activities**

*Describe how the State will, using the considerations specified in section 231(e) of WIOA, fund each eligible provider to establish or operate programs that provide the adult education and literacy activities, including programs that provide such activities concurrently. The Unified or Combined State Plan must include at a minimum the scope, content, and organization of local activities.*

### **Adult Education and Literacy Activities (Section 203 of WIOA)**

- *Adult education;*
- *Literacy;*
- *Workplace adult education and literacy activities;*
- *Family literacy activities;*
- *English language acquisition activities;*
- *Integrated English literacy and civics education;*
- *Workforce preparation activities; or*
- *Integrated education and training that—*
  1. *Provides adult education and literacy activities, concurrently and contextually with both, workforce preparation activities, and workforce training for a specific occupation or occupational cluster, and*
  2. *Is for the purpose of educational and career advancement.*

### **Funding WIOA, Title II: AEFLA Providers**

For grant year 2017–18, an open competitive application process was executed adhering to the thirteen considerations specified in the WIOA, Title II: AEFLA, effective July 2014. Successful grantees will be given the opportunity to continue to receive funds through a simplified reapplication process in program years two and three, 2018–19 and 2019–20. The reapplication will include the requirement that agencies provide a description of the steps the agency proposes to take to ensure equitable access to and participation in its Federally-assisted program per Section 427 of the General Education Provisions Act. Only those grantees in good standing are allowed to reapply for continued funding.

The CDE uses 82.5 percent of the state allocation for local assistance grants. Local assistance grants and contracts are based on the following priorities: (1) populations with the greatest need and hardest to serve, which includes adult learners who are performing below the eighth grade level, (2) populations performing at or above the eighth grade level, but who do not have a high school diploma or its equivalent, (3)

individuals with disabilities, and (4) incarcerated adults or eligible adults residing in state hospitals or developmental centers who perform below the high school graduation level. For leadership activities the state allocates 12.5 percent to provide support for: (1) data and accountability, (2) technology and distance learning, and (3) professional development.

The CDE uses the considerations specified in section 231(e) of WIOA to fund eligible providers. Through a Request for Application (RFA) process, agencies must provide narrative detail to demonstrate how they will meet each consideration. The CDE monitors successful applicants through a system of reviewing online deliverables and onsite visits for the following:

1. Needs Assessment: The degree to which the provider is responsive to (A) regional needs as identified in the local plan under section 108; and (B) serving individuals in the community who are identified in such plan as most in need of adult education and literacy activities, including individuals who have low levels of literacy skills, or who are English language learners.
2. Individuals with Disabilities: The degree to which the provider is able to serve eligible individuals with disabilities, including eligible individuals with learning disabilities.
3. Past Effectiveness: The degree to which the provider demonstrates past effectiveness in improving the literacy of eligible individuals to meet state-adjusted levels of performance for the primary indicators of performance described in section 116, especially with respect to eligible individuals who have low levels of literacy.
4. Alignment with One-stop Partners: The degree to which the eligible provider demonstrates alignment between proposed activities and services and the strategy and goals of the local plan under section 108, as well as the activities and services of the one-stop partners.
5. Intensity, Quality, and Instructional Practices: The degree to which the eligible provider's program is of sufficient intensity and quality and based on the most rigorous research available so that participants achieve substantial learning gains, and uses instructional practices that include the essential components of reading instruction.
6. Research Based Educational Practices: The degree to which the eligible provider's activities, including reading, writing, speaking, mathematics, and English language acquisition instruction, are based on the best practices derived from the most rigorous research available, including scientifically valid research and effective educational practice.
7. Effective Use of Technology: The degree to which the eligible provider's activities effectively use technology, services, and delivery systems, including distance education in a manner sufficient to increase the amount and quality of learning and how such technology, services, and systems lead to improved performance.

8. Integrated Education and Training: The degree to which the eligible provider's activities offer learning in context, including through integrated education and training, so that an individual acquires the skills needed to transition to and complete postsecondary education and training programs, obtain and advance in employment leading to economic self-sufficiency, and exercise the rights and responsibilities of citizenship.

9. Qualified Staff: The degree to which the eligible provider's activities are delivered by well-trained instructors, counselors, and administrators who meet any minimum qualifications established by the state, where applicable, and who have access to high quality professional development, including through electronic means.

10. Partnerships and Development of Career Pathways: The degree to which the eligible provider's activities coordinate with other available education, training, and social service resources in the community, such as by establishing strong links with elementary schools and secondary schools, postsecondary educational institutions, institutions of higher education, local workforce investment boards, one-stop centers, job training programs, and social service agencies, business, industry, labor organizations, community-based organizations, nonprofit organizations, and intermediaries, for the development of career pathways.

11. Flexible Schedules and Coordination with Support Services: The degree to which the eligible provider's activities offer flexible schedules and coordination with federal, state, and local support services (such as child care, transportation, mental health services, and career planning) that are necessary to enable individuals, including individuals with disabilities or other special needs, to attend and complete programs.

12. Data Collection: The degree to which the eligible provider maintains a high-quality information management system that has the capacity to report measurable participant outcomes (consistent with section 116) and to monitor program performance.

13. English Language Acquisition and Civics Education: The degree to which the eligible provider has a demonstrated need for additional English language acquisition programs and civics education programs.

Adult education instruction provides academic standards-based curriculum integrated with career technical education (CTE). This instruction is established for adults to gain basic life skills, complete the courses necessary to attain a high school diploma or its equivalency, improve employment and career opportunities in order to transition into career or postsecondary training, be able to function in English at a high cognitive level, or gain the knowledge to obtain citizenship.

Adult education courses are offered in day, evening, and weekend formats, and may be delivered in a classroom setting, through distance learning programs, or a combination of the two. To meet the various needs of the adult students, agencies use an open-entry/open-exit or a managed enrollment process. The open-entry/open-exit model

allows multiple and timely opportunities for students to enter adult education programs. Students may enter an instructional program at any time during the school year, attend class for an unlimited number of hours while acquiring appropriate skills and knowledge, exit the program upon goal attainment, exit the program due to external factors, and re-enter the program when able to do so. Managed enrollment permits learners to enter a class during specific predefined enrollment periods. There may be multiple entry points during a class term, however they are strategically timed so that the curriculum delivery is not interrupted. This also allows for classes that are specifically designed to deliver a set curriculum or content area and requires students to attend a specific class for the duration of the term.

**The following is a brief description of the adult education literacy programs:**

**Adult Basic Education**

The goal of the Adult Basic Education (ABE) program is to improve students' basic skills in language arts and mathematics. A model ABE program provides comprehensive services to meet the diverse educational needs of students and prepares them to transition to secondary education and job preparation classes. ABE programs include reading, writing, and computational skills necessary for functioning at levels comparable to students in the first through eighth grade. Courses may be remedial for students or they may provide educational opportunities for students who speak, but do not read English. These programs are also designed to help students develop job readiness skills leading to employment, advance on the job, or enter adult secondary education classes.

**English Language Acquisition**

The goal of the English Language Acquisition (ELA) program is to prepare adult learners to be able to fluently speak, read, and write English. Students are placed in appropriate skill-level classes through general language proficiency assessments. There are six levels of instruction: beginning literacy, beginning low, beginning high, intermediate low, intermediate high, and advanced. The assessments for progressing from one level to another measure both general language proficiency and specific standards mastered. The key objectives are as follows:

- Provide students with the ability to use English that is accurate and appropriate in a variety of academic and social settings
- Integrate language acquisition with relevant life experiences, stressing the importance of critical thinking, problem solving, and self-sufficiency
- Develop students' receptive English language skills of listening and reading comprehension
- Develop students' productive English language skills of speaking and writing

- Provide students with English language and citizenship instruction necessary to successfully complete the citizenship application and interview process

### Adult Secondary Education

The primary goal of the Adult Secondary Education (ASE) program is to provide a curriculum that enables adults to attain a high school diploma (HSD) or a high school equivalency (HSE) certificate. Subjects include mathematics, English language arts, history, science, government, and other courses required to complete the credits or gain the knowledge necessary to attain a HSD or pass an HSE test. The ASE program is conducted within flexible time frames and provides knowledge and skills necessary for adults to gain self-sufficiency, employment, and to be able to transition into advanced postsecondary and career programs.

### Integrated Education and Training

Integrated Education and Training (IET) is a service approach that provides (1) adult education and literacy activities concurrently and contextually with (2) workforce preparation activities and (3) workforce training for a specific occupation or occupational cluster for the purpose of educational and career advancement.

The IET service delivery may incorporate one or both of the following teaching models:

**Co-Teaching:** The co-teaching model involves skills instruction in a workforce training program along with adult education and literacy, delivered in an integrated fashion. In this model, an adult education teacher and a workforce training teacher are teaching in the same classroom; and students are co-enrolled in both the adult education and the workforce training courses.

**Alternating Teaching:** In the alternating teaching model, students are co-enrolled in two different but coordinated courses. In this model, an adult education teacher and a workforce training teacher are teaching in two different classrooms; and students attend the two courses at different times.

Through the adult education professional development leadership contractor, a number of IET professional development resources and services are offered. A training module on IET is being updated to align with the CDE's approved IET models. This training module will be available in two delivery formats: as a blended regional Community of Practice, which combines face-to-face meetings and online collaboration, and as facilitated online courses. The module guides teams consisting of an administrator, an academic instructor, and a technical skills instructor through the process of developing an action plan to implement IET program(s) aligned with the local provider's IET vision. IET is also highlighted in a training module on Accelerating Learning to Facilitate Career Pathways. Additionally, videotaped interviews with IET practitioners are featured on the

professional development leadership contractor's Web site. Finally, two other training modules focus on related strategies to support workforce preparation: Integrated and Contextualized Instruction in the ESL and in the ABE/ASE Classrooms, respectively.

## **Special Rule**

*Each eligible agency awarding a grant or contract under this section shall not use any funds made available under this title for adult education and literacy activities for the purpose of supporting or providing programs, services, or activities for individuals who are under the age of 16 and are enrolled or required to be enrolled in secondary school under State law, except that such agency may use such funds for such purpose if such programs, services, or activities are related to family literacy activities. In providing family literacy activities under this title, an eligible provider shall attempt to coordinate with programs and services that are not assisted under this title prior to using funds for adult education and literacy activities under this title for activities other than activities for eligible individuals.*

Special Rule: California's funded agencies under WIOA that are awarded a grant or contract under this section shall not use any funds made available under this subtitle for adult education and literacy activities for the purpose of supporting or providing programs, services, or other activities for individuals who are not individuals described in subparagraphs (A) and (B) of Section 203(4), except that such agency may use such funds for such purpose if such programs, services, or activities are related to family literacy services. In providing family literacy services under this subtitle, an eligible provider shall attempt to coordinate with programs and services that are not assisted under this subtitle prior to using funds for adult education and literacy activities other than adult education activities (Section 231[d]).

## **C. Corrections Education and other Education of Institutionalized Individuals**

*Describe how the State will establish and operate programs under section 225 of WIOA for corrections education and education of other institutionalized individuals, including how it will fund, in accordance with the requirements of Title II, subtitle C, any of the following academic programs for:*

- *Adult education and literacy activities;*
- *Special education, as determined by the eligible agency;*
- *Secondary school credit;*
- *Integrated education and training;*
- *Career pathways;*
- *Concurrent enrollment;*
- *Peer tutoring; and*
- *Transition to re-entry initiatives and other post release services with the goal of reducing recidivism.*

*Each eligible agency using funds provided under Programs for Corrections Education and Other Institutionalized Individuals to carry out a program for criminal offenders within a correctional institution must give priority to serving individuals who are likely to leave the correctional institution within 5 years of participation in the program.*

## Correctional Institution Programs

The WIOA expands the use of funds for adult education programs in correctional institutions. This includes the teaching of basic literacy skills including reading, writing, speaking, and math; special education programs; secondary education credit and high school diploma or equivalency programs, and career–integrated education and training. Correctional institutions must describe and define the academic program areas in their grant application, and describe how the agency will deliver any of these programs.

Section 225 funds are available to local education agencies that have contracts with local jails or local –law enforcement departments responsible for managing the jail programs. Section 225 funds are also available to state correctional education programs. Applications submitted by local school districts, LEAs, and other state and local correctional education programs, must outline how the agency ensures participants’ access to the program if they are within five years of release.

As part of California Department of Corrections and Rehabilitation (CDCR)’s Division of Rehabilitative Programs, the Office of Correctional Education (OCE) offers various academic and education programs at each of California’s adult state prisons. These programs are monitored by CDE through the compliance monitoring system, and CDCR is required to outline what components are delivered in these activities in the application for the WIOA grant funding.

Correctional Education programs within institutions demonstrate the operation of the various academic and career technical education programs addressing the requirements of the WIOA grant. The CDE partners with correctional education providers to develop a new integrated education training model that addresses the academic and career programming needs designed to support students’ completion of a high school diploma or equivalency degree. The transitional plan for students’ access to post–secondary education and career pathways is in development for correctional education to ensure students will have the 21st Century skills necessary to succeed once released.

The CDE works in partnership with correctional education providers by offering continued technical assistance in understanding and implementing the grant requirements. To ensure compliance with the law, the CDE continues to monitor the academic and career technical programming, and reviews the financial records to ensure correctional education providers are allocating the grant funding to correctional education programs as required by law.



The CDE also ensures compliance with federal and state law as a member of the Corrections Rehabilitation Oversight Board (C-ROB). CDE monitors the academic rehabilitation process, and contributes to the annual report on academic programs in conjunction with other agencies in the annual report to the California Legislature.

There are 35 state prisons, 4 developmental centers, and 5 state hospitals providing adult education programs to institutionalized adults and inmates. All 58 California counties provide education programs in county jail facilities. Other facilities such as state hospitals, developmental centers, and limited retention facilities provide literacy services to inmates. These institutions often collaborate with adult schools, public libraries, and community based organizations.

For the grant year of 2017–18, the CDE will distribute the AEFLA grant funding in an open, competitive application process through an official Request for Application (RFA). The RFA details the grant requirements and the thirteen considerations specified in the WIOA, Title II: AEFLA. In the application process, eligible providers must address the thirteen considerations and show evidence of demonstrated effectiveness in program areas for which they are applying. The competitive grant application sets forth clear screening criteria for review. The CDE will issue a Grant Award Notification (GAN) to successful applicants. Unsuccessful applicants will be given a period to appeal. This will be followed with a re-application process in years two and three. A new RFA will be issued on a three year cycle.

The CDE evaluates and monitors program effectiveness of local providers in an ongoing basis, including annual Federal Program Monitoring reviews (on-site and online) and annual targeted technical assistance to providers who fall in the bottom quartile of the statewide aggregated assessment results. Furthermore, local providers must provide annual deliverables including 1) data integrity reports; 2) payment point summaries; 3) fiscal reports; 4) professional development, technology, and distance learning plans; 5) and local assessment plan. As such, local providers must continue to demonstrate program effectiveness in order to reapply for continued funding.

The CDE incentivizes local providers' demonstrated effectiveness by using a "pay-for-performance" system. Local agencies earn payment points, which translate into grant award funding. The CDE payment point system aligns with the federal National Reporting System (NRS) measures.

Successful applicants who were grantees in 2015–16 will be funded based on payment points earned in that year. Successful applicants new to the grant in 2017–18 will be awarded based on a funding formula that includes negotiated enrollment between the CDE and the applicant and the statewide payment point value.

The CDE developed internal processes to ensure that there is direct and equitable access to the grant funds. All currently funded providers, public adult schools listed in the current *California Public School Directory*, and all other identified eligible agencies receive a grant or contract application notification by e-mail. This includes all known

community-based organizations, community colleges, libraries, literacy councils, public housing authorities, and any other provider that is eligible pursuant to Section 203(5). An announcement is posted by February at [CDE Funding Profile](#). In addition to the general distribution of the sections 225, 231, and/or 243 application notifications, CDE will post a notice of the availability of funding on the website maintained by OTAN. In addition, the CDE provides application information at conferences, workshops, and other activities attended by potential providers.

The CDE requires all eligible providers for sections 225, 231, and/or 243 to use the same application process. This ensures that all applications are evaluated using the same rubric and scoring criteria. Statewide leadership activities are provided through contracted service providers in compliance with state contracting requirements. The CDE has also developed interagency agreements with the CDCR, Department of Developmental Services, and the CYA to provide the appropriate and necessary services for institutionalized adults.

The CDE ensures that all eligible providers have direct and equitable access to apply for grants or contracts. It also ensures that the same grant or contract announcement, application, and proposal process is used for all eligible providers. During the initial period of the grant submission process, any eligible agency that contacts CDE with an interest in participating will be provided the information needed. The CDE sends notification of availability of applications to all potential new adult education providers in the years when the RFA is open to new applicants. The CDE believes that these approaches meet the requirements specified in AEFLA and is satisfied that every effort is made to ensure direct and equitable access.

## **D. Integrated English Literacy and Civics Education Program**

*Describe how the State will establish and operate Integrated English Literacy and Civics Education programs under Section 243 of WIOA, for English language learners who are adults, including professionals with degrees and credentials in their native countries.*

### Integrated English Literacy and Civics Education

Integrated English Literacy and Civics Education (IELCE) is an important offering to California adult immigrant learners. WIOA defines Integrated English literacy and Civics as:

Education services provided to English language learners (ELLs) who are adults, including professionals with degrees and credentials in their native countries that enable such adults to achieve competency in the English language and acquire the basic and more advanced skills needed to function effectively as parents, workers, and citizens in the United States. Such services shall include instruction in literacy and English language acquisition and instruction on the rights and responsibilities of citizenship and civic participation, and may include workforce training.

California provides IELCE in three focus areas: Citizenship Preparation, Civic Participation, and IET. Learning gains are documented using academic pretests and post-tests along with performance-based additional assessments. In addition to pretests and post-tests, adult learners enrolled in Citizenship Preparation take the written Government and History for Citizenship test and the oral Citizenship Interview Test.

1. Citizenship Preparation has a primary focus to help adults obtain United States citizenship. Students benefit by preparing for the United States Citizenship and Immigration Services citizenship test. In addition, the CDE has added an oral practice test. It was determined that lack of English proficiency was a major obstacle for immigrants to pass the interview portion of the citizenship process. By adding the oral interview practice test, the adult learners are more comfortable and confident and better able to respond to questions.

2. Civic Participation has a primary focus on civic involvement. Agencies conduct community and student assessments and teach the language and literacy objectives that (1) best match their students' identified needs, and (2) will assist them in attaining mastery of a specific civic objective. Civic objectives meet the following criteria:

- Integrate English language and literacy instruction into civics education
- Focus on content that helps students understand the government and history of the United States; understand their rights and responsibilities as citizens; and participate effectively in the education, employment, and civic opportunities this country has to offer
- Integrate active participation of the students in community activities

3. IET within the IELCE program has a primary focus to prepare ELLs for, and place in, unsubsidized employment in in-demand industries and occupations that lead to economic self-sufficiency; and integrate with the local workforce development system and its functions to carry out the activities of the program.

IET is a service approach that provides (1) adult education and literacy activities concurrently and contextually with (2) workforce preparation activities and (3) workforce training for a specific occupation or occupational cluster for the purpose of educational and career advancement. "Concurrently and contextually" means that, within the overall scope of the Integrated EL Civics program, adult education, workforce preparation, and workforce training activities must:

- Be of sufficient intensity and quality, and based on the most rigorous research available;
- Occur simultaneously; and
- Use occupationally relevant instructional materials.

To meet the IET requirements when designing the curriculum of an IELCE program, the program must:

- Have a single set of learning objectives and activities organized to function cooperatively;
- Be aligned with the state's content standards for adult education; and
- Be part of a career pathway.

Students in an IELCE program must have the opportunity to be enrolled in both an adult education and literacy program and a workforce training program. Co-enrollment in the IELCE program may include one or more of the following options:

- ELLs are co-enrolled in a workforce training program provided through an America's Job Center of California.
- ELLs are co-enrolled in the provider's workforce training program, such as Career and Technical Education.
- ELLs are co-enrolled in a series of workforce training courses within a career pathway offered by multiple providers designed to lead to employment.
- ELLs are working directly with an employer through apprenticeship, pre-apprenticeship, or on-the-job training.

Initially, local providers developed 42 language and literacy objectives within five general categories. Of those objectives, 17 were identified as eligible for the IELCE program. In 2016, five new objectives focusing on integration with workforce preparation and training activities were added. Agencies presently have the opportunity to develop new objectives as needs evolve.

Detailed information and descriptions of the language and literacy objectives and the EL Civics program can be found at <https://www.casas.org/training-and-support/casas-peer-communities/california-accountability/california-el-civics>. Each objective consists of a Civic Objective, Language and Literacy Objective, and an Additional Assessment Plan. Agencies annually select objectives based upon a preliminary needs assessment through a survey of their students.

*Describe how the State will fund, in accordance with the requirements of title II, subtitle C, Integrated English Literacy and Civics Education services and how the funds will be used for those services.*

Most CDE adult education WIOA funded agencies provide IEL/CE programs which include Citizenship Preparation and Civic Participation as part of ABE and ELA courses. Agencies who offer CTE and ABE and ELA naturally blend these two programs by using one of the IET models as outlined in the IET section above. Agencies providing only ABE and ELA or only CTE programs will partner with other local providers and WIOA partners to collaboratively deliver IET activities.

For the grant year of 2017–18, the CDE will distributed the AEFLA grant funding in an open, competitive application process through an official Request for Application (RFA). The RFA detailed the grant requirements and the thirteen considerations specified in the WIOA, Title II: AEFLA. In the application process, eligible providers addressed the thirteen considerations and showed evidence of demonstrated effectiveness in program areas for which they were applying. The competitive grant application set forth clear screening criteria for review. The CDE issued a Grant Award Notification (GAN) to successful applicants. Unsuccessful applicants were given a period to appeal. This is being followed with a re-application process in years two and three. A new RFA will be issued on a three year cycle.

The CDE evaluates and monitors program effectiveness of local providers in an ongoing basis, including annual Federal Program Monitoring reviews (on-site and online) and annual targeted technical assistance to providers who fall in the bottom quartile of the statewide aggregated assessment results. Furthermore, local providers must provide annual deliverables including 1) data integrity reports; 2) payment point summaries; 3) fiscal reports; 4) professional development, technology, and distance learning plans; 5) and local assessment plan. As such, local providers must continue to demonstrate program effectiveness in order to reapply for continued funding.

The CDE incentivizes local providers' demonstrated effectiveness by using a “pay-for-performance” system. Local agencies earn payment points, which translate into grant award funding. The CDE payment point system aligns with the federal National Reporting System (NRS) measures.

In addition to incentivizing effectiveness through a “pay-for-performance” system, the CDE awarded start-up grants for IELCE programs funded under Section 243. These grants were based on a funding formula that includes negotiated enrollment between the CDE and the applicant and the estimated statewide Section 243 IELCE payment point value. As a condition of being awarded start-up funds, recipients are required to submit an Integrated Education and Training Plan that outlines their progress in developing and implementing service approaches that provide adult education and literacy activities concurrently and contextually with workforce preparation activities and workforce training for a specific occupation or occupational cluster for the purpose of educational and career advancement.

The CDE developed internal processes to ensure that there is direct and equitable access to the grant funds. All currently funded providers, public adult schools listed in the current *California Public School Directory*, and all other identified eligible agencies receive a grant or contract application notification by e-mail. This includes all known community-based organizations, community colleges, libraries, literacy councils, public housing authorities, and any other provider that is eligible pursuant to Section 203(5). An announcement is posted by February on February at [CDE Funding Profile](#). In addition to the general distribution of the sections 225, 231, and/or 243 application notifications, CDE posts a notice of the availability of funding on the website maintained

by OTAN. In addition, the CDE provides application information at conferences, workshops, and other activities attended by potential providers.

The CDE requires all eligible providers for sections 225, 231, and/or 243 to use the same application process. This ensures that all applications are evaluated using the same rubric and scoring criteria. Statewide leadership activities are provided through contracted service providers in compliance with state contracting requirements. The CDE has also developed interagency agreements with the CDCR, Department of Developmental Services, and the CYA to provide the appropriate and necessary services for institutionalized adults.

The CDE ensures that all eligible providers have direct and equitable access to apply for grants or contracts. It also ensures that the same grant or contract announcement, application, and proposal process is used for all eligible providers. During the initial period of the grant submission process, any eligible agency that contacts CDE with an interest in participating will be provided the information needed. The CDE sends notification of availability of applications to all potential new adult education providers in the years when the RFA is open to new applicants. The CDE believes that these approaches meet the requirements specified in AEFLA and is satisfied that every effort is made to ensure direct and equitable access.

## **E. State Leadership**

*Describe how the State will use the funds to carry out the required State Leadership activities under section 223 of WIOA.*

The CDE, in partnership with California Workforce Development Board (CWDB) and local providers, has implemented and aligned adult education and literacy activities with other core programs and one-stop partners. This includes the development of career pathways to provide access to employment and training services for individuals participating in adult education and literacy activities. This also includes state Adult Education Block Grant programming (pursuant to Assembly Bill 104) to provide better coordinated services for adult learners leading to career pathways and employment opportunities. The WIOA Implementation Work Group is in the process of developing WIOA performance measures and multi-agency metrics, developing policy, catalyzing systems' alignment and regional collaboration, and determining any needed governance changes.

The CDE, as part of the leadership portion of the WIOA grant, has contracted with the American Institute of Research to provide adult education focused professional development to the sub grantees. The contract is designed to deliver strategic high quality professional development programs to improve instruction. This includes an emphasis on instruction incorporating the essential components of reading instruction. The professional development activities include the dissemination of information about many instructional models and promising practices to deliver adult education and workforce programs.

The CDE, along with its leadership contractors, will continue to provide technical assistance and training to all of the local AEFLA providers in the following areas: a. Scientific research–based instructional and programmatic practices focused on reading, writing, speaking, mathematics, English language acquisition, distance education, and staff training. b. The integration of the AEFLA agencies as a one–stop partner to provide their students access to employment opportunities, job training skills and support services. c. The use of technology to increase program efficiency in administration, curriculum delivery, and for student mastery.

The CDE, along with its leadership contractors, has implemented a system that provides a sound monitoring and evaluation of the AEFLA programs. The CDE continues to conduct numerous training and technical assistance activities including providing models and information on proven practices within California programs. The CDE believes in providing high quality professional development to local providers to encourage continuous improvement in teaching practices.

With the opportunity provided by the WIOA, the CDE will work with the CWDB to strategically examine the technical assistance and professional services provided to forge continuous improvement. The CDE will provide technical assistance and training to local providers to meet the new performance measurements of WIOA. The CDE will continue to provide AEFLA providers research–based, best practice trainings, and technical assistance in the use of technology, data collection, and analysis.

The CDE through contracts with three outside agencies collaborate to conduct state leadership activities. These contracts, funded through the leadership activities portion of the WIOA grant, provide a variety of services to support the grantees. The contracts are in the areas of:

1. Assessment and Accountability 2. Technology and Distance Learning 3. Professional Development

1. The main objective of the assessment and accountability contract is to track the progress and success of students as well as the performance of local agencies to determine if they meet the goals and objectives of the WIOA. Working with the CDE, the contractor provides a standardized assessment system for all levels of the ABE, ASE, and ELA programs. The contractor also collects and provides accountability data to the state. The electronic data system provides the required elements through the series of student progress assessments, as well as collection of demographic and goal attainment data. Sites participating in the federal data collection efforts receive agency–specific data results and are given technical assistance on analyzing the data for local reporting and program planning purposes.

The contractor also assists the CDE in the collection of data for and implementation of the integration of literacy and English language instruction with occupational skills training and promoting linkages with employers. By providing the assessments necessary to track this integration, agencies are better able to match their curriculum

with the goals and objectives of the WIOA. Identifying curriculum frameworks and aligning rigorous content standards that specify what adult learners should know and be able to do in the areas of language arts, mathematics, and English language acquisition are priorities for a successful program.

This contractor is accountable for a statewide Web-based system for both data collection and assessment delivery. Working with the CDE, the contractor provides training to funded agencies to meet grant requirements. The training includes data collection, how to analyze the previous year's data, and discussions on the implications of the data. The contractor also assists the CDE in providing opportunities for networking among recipients so that they can share effective accountability practices.

The contractor is required to update and keep current pre/post testing instruments, training materials, student entry/exit records, and student testing records in order to maintain relevance in the changing world of adult education and workforce development training. The contractor is also required to make enhancements to the process for collecting, aggregating, analyzing, and reporting both quantitative and qualitative program data. In collaboration with the CDE, the contractor coordinates with other contractors to identify and address needs to improve the data collection process for federally funded programs in California and address the special needs of various populations such as individuals with disabilities.

## 2. Technology and Distance Learning

One of the main objectives of the technology and distance learning contract is the implementation of technology at both the agency administration and the classroom levels. The technology and distance-learning contractor incorporates curriculum for distance learning and provides professional development to support the use of instructional technology to deliver curriculum.

Working with the CDE, the contractor offers Internet resources and computer assisted and Web-based instruction. The contractor provides a robust system of telephone and onsite technical support to ensure that the optimum usage of communication technology is a priority. In addition, the contractor is responsible for facilitating trainings in the use of best practices and provide technical assistance using a variety of delivery models.

The contractor is responsible for managing California's distance learning infrastructure and expanding the ability of adult education providers to (1) communicate with each other and their adult learners through multiple methods; (2) develop a teleconferencing capability; and (3) provide capacity building services to smaller agencies providing literacy services. The contractor provides instructional technology support by improving and expanding on a variety of successful activities currently occurring throughout the state. These include researching and making available current information on new and emerging technologies and educational resources. An essential part of this contract is conducting training and workshops in all aspects of planning and implementing instructional technologies in education and training. The contractor helps providers



implement best practices in computer assisted and/or Web-based instruction through demonstrations, and by disseminating information on successful models. The contractor also assists the CDE in the implementation of the California Adult Education Technology and Distance Learning Plan, which is a deliverable for all WIOA agencies.

Activities designed to help expand the expertise of adult education providers to adopt distance learning in their instructional strategies is also a priority. To facilitate integrated success among education agencies, the contractor provides an electronic collaborative environment. This includes discussion boards and work groups for the exchange of information about effective program models, teaching techniques, and curriculum. Piloting, implementing, evaluating, and disseminating models for learner-oriented Web sites to encourage students to obtain the knowledge and skills necessary for employment and self-sufficiency are priority objectives. Finally, providing technical assistance, staff training, and program marketing to ensure the optimum usage of communication technology by adult education providers and learners only strengthens distance learning for optimal usage of WIOA funds.

### 3. Professional Development

The goal is to support and continuously improve high performing literacy and basic skills adult education programs. The contractor is expected to design, implement, and operate a large-scale, statewide professional development project for all WIOA-funded agencies. Other priorities of this contract include facilitating the implementation of models for integrated education and training and career pathways. Additionally, the development and implementation of a system to assist in the transition from adult education to post-secondary education and training, including linkages with postsecondary educational institutions or institutions of higher education, is another priority. The development and piloting of strategies for improving teacher quality and retention are critical to the long-term success of adult education, and best practices in these areas are provided through this contract. The development and implementation of programs and services to meet the needs of adult learners with learning disabilities or English language learners, which may include new and promising assessment tools and strategies based on scientifically valid research, are included in the professional development activities provided to grant recipients.

All of these activities are essential components of the professional development contract in order to ensure the success of the agencies utilizing WIOA grants. These professional development activities are delivered through multiple formats including workshops, face-to-face trainings, mentoring, Professional Learning Communities, Communities of Practice, and online activities, such as web-based trainings, and are specifically designed and focused on improving the quality of instruction.

#### Leadership Collaboration

The CDE and the contractors hold quarterly meetings to coordinate all activities listed in the sections above. This is to ensure that the contractors are working together with the

same goals and objectives as outlined in the WIOA law. Responsibilities are outlined and tasks with appropriate action plans are devised. The purpose of the quarterly meetings is to make sure that services are provided efficiently, to avoid duplication of efforts, and to offer the maximum amount of coordination across all contractors and the CDE.

Leadership contractors work in collaboration with each other to identify and provide a wide range of activities designed to assist local agencies in increasing participation rates, improve instruction, provide student resources, and promote student success. Many of the professional development training modules created by the contractors feature an online component intended to support the on-site training provided. Web based seminars are created by the individual contractor or the CDE and hosted by the technology and distance learning contractor. A direct focus on promoting networking with a variety of local agencies, in order to locate appropriate support services for students as well as coordination with the local One-Stop Career Centers, is also a priority. Professional development conducted through these contracts provides maximum benefit for the WIA providers while incurring the lowest expense.

*Describe how the State will use the funds to carry out permissible State Leadership Activities under section 223 of WIOA, if applicable.*

## **F. Assessing Quality**

*Describe how the eligible agency will assess the quality of providers of adult education and literacy activities under title II and take actions to improve such quality, including providing the activities described in section 223(a)(1)(B) of WIOA.*

The CDE assesses the quality of providers through quarterly and annual evaluations. A major focus of these evaluations is to measure the effectiveness of state and local providers in attaining the core indicator performance levels negotiated with the ED. These evaluations also measure continued progress and improvement of the goals and objectives of the considerations in Section 231(e).

The CDE reviews (1) strategies, processes, and barriers to attaining the performance levels; and (2) quantitative and qualitative data to evaluate the progress and improvement of the programs.

The evaluations (1) collect local provider and student performance measures, (2) determine the level of student improvement, (3) identify program quality, and (4) determine the extent to which populations identified are served.

Results of the evaluations provide (1) relevant information about the effectiveness of adult education programs, (2) characteristics of the learners participating in the literacy programs, (3) analyses of learner gains and identification of emerging needs, and (4) the impact of local providers in meeting their identified performance standards.

Pursuant to Section 212 of the AEFLA, each agency must provide student progress measures obtained from all students who have attended at least 12 hours of instruction in programs receiving sections 225, 231 and 243 federal supplemental funds.

Documented progress of student performance measures must include at a minimum:

- literacy skill level improvements in reading, writing, and speaking the English language, problem solving, numeracy, and other literacy skills;
- placement in, retention in, or transition into postsecondary education, training, unsubsidized employment, or career advancement; and
- a secondary school diploma or its equivalent.

All agencies are required to maintain individual student records for all students who have attended 12 hours of instruction. Each record must contain (1) student identification and demographic information; (2) attendance rates; (3) years of schooling and placement level at program entry; (4) initial learning goals; (5) specified pre- and post-testing student information; (6) entry and update records; and (7) other specified information necessary.

## **Monitoring and Program Evaluation**

As part of the CDE's Federal Program Monitoring (FPM) process, the Adult Education Office conducts annual reviews to ensure local agencies provide effective and high quality services consistent with WIOA Title II legislation. The FPM process also evaluates fiscal and legal areas of responsibility. In addition, for on-going assessment purposes:

1. The CDE requires all agencies to submit quarterly reports that reflect student participation levels and progress.
2. The CDE conducts an annual comprehensive qualitative program survey. This survey is required of all participating agencies and involves practitioner focus groups and interviews of both teachers and students. The results provide recommendations for state level planning and development activities, identify best practices and emerging needs, and help focus professional development and training to ensure effective instructional programs for targeted populations.
3. The CDE presently incorporates the Core Performance Follow-up Survey system to track student outcomes in the areas of obtaining or retaining employment, as well as transitioning to postsecondary education or training. Under WIOA, the CDE in collaboration with the EDD will create an accountability system to track and report the employment follow up required by the new law.

## Evaluating Professional Development

Beginning in 2001, CDE contracted with the American Institutes for Research (AIR) to serve as its provider of statewide professional development through the California Adult Literacy Professional Development Project (CALPRO). AIR is one of the world's largest behavioral and social science research and evaluation organizations, and it has considerable expertise in adult learning, technical assistance (TA), and professional development (PD) for adult educators. Regardless of the topic, creating products and services for CALPRO, AIR's researchers and TA experts to determine what the research says are best practices effective for adult education, and AIR works with external subject matter experts and field practitioners to inform, create, and refine the research-based products will be appropriate for California adult education contexts. When delivering a training, CALPRO staff, together with its network of external consultants modifies its products, as needed, to continue to improve them, while staying true to the research.

In order to assess professional development related to reading instruction, CALPRO offers a six-month Evidence-based Reading Instruction (EBRI) Institute that is extremely comprehensive. Cohorts of practitioners continually assess their students' ability in the four components of reading, and adjust instruction based on student data, using the new skills and concepts they have gained from the Institute. The Institute, as with other CALPRO Community of Practice professional development opportunities, encourages teachers to reflect on their practice, implement new skills and knowledge with their students, and then refine their practice based on how students respond. CALPRO continually refines its EBRI Institute based on the experiences of its practitioners enrolled in it, while staying true to the underlying research.

For professional development specific to the needs of adult learning, CALPRO's Instructor Competencies Self-Assessment (ICSA) and Individual Professional Development (PD) Plan. Revised and updated in April 2016, the ICSA is based on a nationally validated, research-based set of Adult Education Teacher Competencies (AETC), which AIR developed for an OCTAE initiative. These 17 competencies span four distinct domains and identify the knowledge and skills that every adult educator needs to have as the foundation for effective instruction. Adult educators may take the ICSA, rate themselves in three areas, and receive results instantly. Their results are provided together with an individual PD plan containing numerous targeted resources specific to each competency, available through CALPRO, other State Leadership Projects and/or LINCS. Teachers are instructed to develop a professional development plan, implement the plan and re-assess their performance. Teachers can take the ICSA as many times as they wish and compare their results and plans over time, as their job priorities and skills change. Additionally, CALPRO has a professional development module and a research brief based on these same AETC competencies. As well, CALPRO offers training in Understanding the Adult Learner in both face-to-face and in two online formats. Finally, all CALPRO trainings are developed using principles of effective adult learning so that the instructors and administrators pursuing the professional development will be effectively engaged.

In working with paid personnel employed by WIOA-funded agencies, CALPRO's professional development is intended to serve individual educators as well as a higher, program level. For example, the ICSA mentioned above can be taken voluntarily and accessed on CALPRO's Web site. A database collects responses and allows individual teachers to go back to reexamine their results over time and look for teacher change. If "quality of professional development" is best determined by teacher change of practice, the ICSA and its PD plan encourages teachers to re-take the self-assessment as their students' needs change and teachers' priorities in professional development evolve. At the program level, every professional development offering is designed to include strong implementation emphasis, in which teachers reflect on their implementation and then refine their practice. For CALPRO's more extensive professional development offerings, such as the Professional Learning Communities Institute, the Leadership Institute for new and aspiring administrators, the Regional Communities of Practice, and the Training of Trainers Institute, there is a strong emphasis on understanding the impact of the professional development as adult educators implement their new knowledge and skills in their program and instructional contexts. CALPRO refines its institutes based on participants' needs while still adhering to research-based practices.

As part of the 2017–18 WIOA, Title II: AEFLA request for application process, the CDE will require that agencies submit an annual PD plan for their institution. The agency's plan should identify PD goals for its teachers, based on students' needs and agency priority initiatives; explain how the agency will accomplish these goals; and provide evidence of impact on teacher change and student learning.

CALPRO disseminates information promptly about effective models, research-based and promising practices through many vehicles, such as an annual comprehensive professional development module delivered through various means, including face-to-face, blended, and online formats; multiple formats of online professional learning; an annual research brief, and a web-based Research Archive. In all of its training, CALPRO seeks to understand how effective its professional development is by understanding how teachers' practice changes. All CALPRO trainings encourage adult educators to reflect on their work and the concepts and skills acquired in the training and then apply it in their instructional contexts.

The CDE funds additional State Leadership Projects through the AEFLA grant: Comprehensive Adult Student Assessment Systems (CASAS), which provides assessment and data & accountability and Outreach and Technical Assistance Network (OTAN), which provides distance learning and instructional technology.

CASAS disseminates information through its annual CASAS Summer Institute, statewide regional network meetings covering all ten CDE regions, TOPSpro Enterprise network meetings. CASAS also provides targeted technical assistance to improve programs, data quality, and National Reporting System (NRS) performance on persistence, educational functioning levels (EFLs), and core performance indicators for entering and retaining employment, entering postsecondary education and training programs, and obtaining a HSD or a HSE. CASAS also provides a variety of online

training sessions, statewide face-to-face trainings, and an online tool that presents California NRS adult learner data at the state and local agency levels, where agencies can compare local performance with state goals, other local agencies, and counties in AEFLA programs.

OTAN disseminates information through a multitude of face-to-face and online workshops, conference presentations, and by producing videos that demonstrate teaching with technology and technology integration lesson plans. All videos are archived on OTAN's website. OTAN recently piloted a Community Model of Online Learning to increase regional access to high-quality online math curriculum for adult learners. The Online Teaching Academy (OTAC) assists instructors in becoming competent online teachers and mentors using Moodle and other instructional technology. It also hosts the Technology Integration Mentor Academy (TIMAC) training, a year-long professional development project where participants to become mentors and increase the effective use of technology in classrooms. The Technology and Distance Learning Symposium rotates each year between north and south geographic locations in the state.

## **Certifications**

States must provide written and signed certifications that:

1. The plan is submitted by the State agency that is eligible to submit the plan. **Yes**
2. The State agency has authority under State law to perform the functions of the State under the program. **Yes**
3. The State legally may carry out each provision of the plan. **Yes**
4. All provisions of the plan are consistent with State law. **Yes**
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. **Yes**
6. The State officer who is submitting the plan, specified by the title in the certification, has authority to submit the plan. **Yes**
7. The agency that is submitting the plan has adopted or otherwise formally approved the plan. **Yes**
8. The plan is the basis for State operation and administration of the program. **Yes**

## **Certification Regarding Lobbying**

Certification for Contracts, Grants, Loans, and Cooperative Agreements

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

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

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

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

### **Statement for Loan Guarantees and Loan Insurance**

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

Applicant's Organization: California Department of Education

Full Name of Authorized Representative: Tom Torlakson

Title of Authorized Representative: State Superintendent of Public Instruction

SF LLL Form – Disclosure of Lobbying Activities (only if applicable)  
(<http://www2.ed.gov/fund/grant/apply/appforms/appforms.html>). If applicable, please print, sign, and email to OCTAE\_MAT@ed.gov

## **Assurances**

The State Plan must include assurances that:

1. The eligible agency will expend funds appropriated to carry out title II of the Workforce Innovation and Opportunity Act (WIOA) only in a manner consistent with fiscal requirements under section 241(a) of WIOA (regarding supplement and not supplant provisions). **Yes**
2. The eligible agency will ensure that there is at least one eligible provider serving each local area, as defined in section 3(32) of WIOA. **Yes**
3. The eligible agency will not use any funds made available under title II of WIOA for the purpose of supporting or providing programs, services, or activities for individuals who are not “eligible individuals” within the meaning of section 203(4) of WIOA, unless it is providing programs, services or activities related to family literacy activities, as defined in section 203(9) of WIOA. **Yes**
4. The Integrated English Literacy and Civics Education program under section 243(a) of WIOA will be delivered in combination with integrated education and training activities; **Yes**
5. The Integrated English Literacy and Civics Education program under section 243(a) of WIOA will be designed to (1) prepare adults who are English language learners for, and place such adults in, unsubsidized employment in in-demand industries and occupations that lead to economic self-sufficiency and (2) integrate with the local workforce development system and its functions to carry out the activities of the program; and **Yes**
6. Using funds made available under title II of WIOA to carry out a program for criminal offenders within a correctional institution, the eligible agency will give priority to serving individuals who are likely to leave the correctional institution within five years of participation in the program. **Yes**
7. The eligible agency will comply with the Buy America Act meaning that funds from WIOA Title II used to purchase equipment and products are used to purchase American-made equipment and products. **YES**