

**Guide for the Development of a State Plan  
Under Title II--Adult Education and Literacy  
of the Workforce Investment Act of 1998**



**August 1999**

**OMB Control # 1830-0026**

**Expires 8/31/2002**

**U.S. Department of Education  
Office of Vocational and Adult Education  
Division of Adult Education and Literacy  
Washington, D.C. 20202-7240**

## FOREWORD

The Division of Adult Education and Literacy has developed this *Guide* to help State agency staff prepare State plans for adult education to meet the requirements of the new Workforce Investment Act (WIA). The *Guide* may be used to prepare a five-year plan for adult education. A five-year plan would become effective July 1, 1999 and continue through June 30, 2004. A transitional plan would start July 1, 1999, and continue through June 30, 2000, followed by the completed 5-year unified plan or the 5-year adult education plan for the period July 1, 1999 through June 30, 2004. This new document should be submitted to the Department by April 1, 2000. An eligible agency desiring to submit a unified plan for that period would ensure the provisions of Sec. 501 of WIA are fully addressed in the planning process.

In preparing this *Guide*, we have identified twelve major areas to be addressed in the State plan, including certifications and assurances, funding, evaluations, direct and equitable access, corrections, and State leadership activities. State plans submitted to the Department may be published on the Department's World Wide Web site or through other means at a later date. We will consult with State Directors of Adult Education in making decisions concerning the publication of State plans.

Special thanks go to members of the State Plan Implementation Team including Carroll Towey, Joyce Campbell, Mike Dean, John Mason, Sarah Newcomb, Jim Parker and Rose Tilghman for the development of this Guide. Their critiques, thoughtful planning, and assistance are recognized in producing this document for adult education administrators.

Ronald S. Pugsley  
Director  
Division of Adult Education and Literacy

# Contents

	Page
<b>1.0 Eligible Agency Certifications and Assurances</b>	2
1.1 Certifications.	2
1.2 Assurances	2
1.3 Assurances for the Unified Plan Only	2
<b>2.0 Needs Assessment</b>	3
2.1 Individuals Most in Need	3
2.2 Populations	3
<b>3.0 Description of Adult Education and Literacy Activities</b>	4
3.1 Description of Allowable Activities	4
3.2 Special Rule [Uses of Funds for Family Literacy]	4
3.3 Description of New Organizational Arrangements and Changes	4
<b>4.0 Annual Evaluation of Adult Education and Literacy Activities</b>	4
4.1 Annual Evaluations	4
<b>5.0 Performance Measures</b>	5
5.1 Eligible Agency Performance Measures	5
5.2 Optional - Additional Indicators	5
5.3 Levels of Performance for First Three Years	5
5.4 Factors	6
<b>6.0 Procedures for Funding Eligible Providers</b>	6
6.1 Applications	6
6.2 Eligible Providers	7
6.3 Notice of Availability	7
6.4 Process	7
6.5 Evaluation of Applications	7
6.6 Special Rule	8
<b>7.0 Public Participation and Comment</b>	9
7.1 Description of Activities	9
7.2 Governor's Comments	9
<b>8.0 Descriptions of Program Strategies for Populations</b>	9
8.1 Strategies	9

<i>Contents (Continued)</i>	Page
<b>9.0 Integration with other Adult Education and Training Activities</b>	10
9.1 Description of Planned Integrated Activities	10
9.2 State Unified Plan	
<b>10.0 Description of Steps to Ensure Direct and Equitable Access</b>	11
10.1 Description of Steps	11
10.2 Notice of Availability	11
<b>11.0 Programs for Corrections Education and other Institutionalized Individuals</b>	11
11.1 Types of Programs	12
11.2 Priority	12
11.3 Types of Institutional Settings	12
<b>12.0 Description of Proposed State Leadership Activities</b>	12
12.1 Description of Activities	12
12.2 Collaboration with Other Related Agencies and Programs	13
12.3 Descriptions of Activities under Sec. 427 of the General Education Provisions Act (GEPA)	13
12.4 One-Stop Participation	13
<b>Appendix A. Certifications and Assurances</b>	
<b>Appendix B. Massachusetts Family Literacy Consortium Needs Profile</b>	
<b>Appendix C. Adult Education Performance Measures Worksheet</b>	
<b>Appendix D. Adult Education - Then and Now</b>	
<b>Appendix E. Program Memorandum OVAE 99-1</b>	
<b>Appendix F. Program Memorandum 99-3</b>	

## Implementing the Adult Education and Family Literacy Act

### Developing a State Plan

Each eligible agency receiving an adult education grant shall submit to, or have on file with, the Secretary a State plan for adult education and family literacy. State eligible agencies that previously submitted a one-year transitional plan will be submitting a full five-year unified plan or a five-year adult education plan in this application. The eligible agency may submit the State plan as part of a comprehensive plan or application for Federal education assistance. For further guidance on a transitional plan, see Appendix E.

To assist States in developing their plans, this *Guide* includes appropriate references to various sections of the Adult Education and Family Literacy Act (AEFLA) or Federal regulations.

### Transmittal

The five-year State plan must be submitted to the Department of Education by April 1, 2000.

*Electronic Submission:* We encourage eligible agencies to submit State plans electronically. State plans may be transmitted in a PC-compatible format (Microsoft Word or ascii) by electronic mail to Carroll F. Towey at [carroll\\_towey@ed.gov](mailto:carroll_towey@ed.gov) or by mailing a disk to the address below. If you choose to submit your plan electronically, you must, in addition, mail one original and two copies of the assurances and certifications that require a signature to the address below. These required assurances and certifications can be found in Appendix A.

*Submission by Mail:* Alternatively, you may submit your State plan in a hard copy format by mail, incorporating the assurances and certifications that require a signature in the body of the document. If you choose this option, you must submit one original and two copies of the State plan and the required assurances and certifications.

The mailing address for the submission of the State plan and related materials is:

Ronald S. Pugsley, Director  
Division of Adult Education and Literacy  
U.S. Department of Education  
400 Maryland Avenue, SW  
Mary E. Switzer Building, Room 4428  
Washington, DC 20202-7240

Through delegated authority, the Assistant Secretary for Vocational and Adult Education approves State plans.

## Format of the Plan

An eligible agency has discretion in establishing the format of its State plan but it must address the requirements of the new legislation and the procedures contained in this *Guide*. Examples of plan related activities are provided throughout the material as part of the Further Information to assist the agency in developing its plan. The eligible agency should include in its plan an organizational chart reflecting the line of authority from the authorized State official signing the plan to the State Director of Adult Education.

### 1.0 Eligible Agency Certifications and Assurances

#### 1.1 Certifications (EDGAR 76.104, Certifications and Assurances—a preprinted copy is included as Appendix A)

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

#### 1.2 Assurances (Sec.224 (b) (5), (6), and (8) of AEFLA)

- (1) An assurance that 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) An assurance that the funds received under this subtitle will not be expended for any purpose other than for activities under this subtitle.
- (3) An assurance that the eligible agency will expend the funds under this subtitle only in a manner consistent with fiscal requirements in section 241.

#### 1.3 Assurance for Unified Plans Only (Title V—General Provisions Sec. 501(c)(3)(B))

(1) An assurance that the methods included an opportunity for the entities responsible for planning or administering such programs and activities to review and comment on all portions of the unified plan.

## **2.0 Needs Assessment (Sec. 224(b)(1))**

### **2.1 Individuals Most in Need**

An objective assessment of individuals in the State or outlying area for adult education and literacy activities. The assessment should include individuals most in need or hardest to serve.

### **2.2 Populations**

Information on populations should include:

- (1) Low income adult learners who are educationally disadvantaged;
- (2) Individuals with disabilities;
- (3) Single parents and displaced homemakers;
- (4) Individuals with multiple barriers to educational enhancement, including individuals with limited English proficiency;
- (5) Criminal offenders in correctional institutions and other institutionalized individuals.

Other populations, such as homeless adults, may also be included in the descriptions.

## **Further Information**

Data should serve as a basis for enabling the agency to fund programs providing: (1) adult education and literacy services, including workplace literacy services; (2) family literacy services; and (3) English literacy programs. Information may be obtained from local programs, census data, secondary analysis of data sources from other agencies, or a recent needs assessment. An example of one community from the Massachusetts 1998 Community Needs Profile is included in Appendix B.

If possible, it is recommended that the eligible agency conduct mutual assessments (either at the state or sub-state level) with its WIA and program partners or, at a minimum, create a planning process that promotes the sharing of needs assessment information. Sharing of assessment data can create the framework for coordinated and integrated services that are to be carried out through the one-stop delivery system established by WIA.

Also, because the State, under Title I, may require assessment requirements to support local plans developed by the local workforce development boards it is recommended that the eligible agency consider localizing its needs assessment. This local assessment information could prove valuable to local providers as they contribute to the work of local workforce boards. See also Section 9.0 of this *Guide*.

### **3.0 Description of Adult Education and Literacy Activities (Sec. 224(b)(2))**

#### **3.1 Descriptions of Allowable Activities**

Descriptions of required local activities should include one or more programs that provide services or instruction in one or more of the following categories:

- (1) Adult education and literacy services, which may include workplace literacy services (Sec. 203(18) defines these as “literacy services that are offered for the purpose of improving the productivity of the workforce through the improvement of literacy skills”);
- (2) Family literacy services; and
- (3) English literacy programs (Sec. 231(b)).

The State plan should include as a minimum the scope, content, and organization of local activities.

#### **3.2 Special Rule [Uses of Funds for Family Literacy]**

Each eligible agency awarding a grant or contract under Sec. 231 [of AEFLA] 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 activities for individuals who are not individuals described in subparagraphs (A) and (B) of Section 203(1), 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 (Sec. 231(d)).

#### **3.3 Descriptions of New Organizational Arrangements and Changes**

Describe organizational changes at the State (include organizational chart) and local level including: one-stop delivery system, performance reporting for eligible providers, an organizational chart, and State leadership activities.

### **4.0 Annual Evaluation of Adult Education and Literacy Activities (Sec. 224(b)(3))**

#### **4.1 Annual Evaluations**

A description of how the eligible agency will evaluate annually the effectiveness of the adult education and literacy activities, based on the performance measures in Sec. 212 must be included. Information should be provided that describes how other program reviews and evaluations of State-administered adult education programs, services and activities under the Act will be conducted. The eligible agency may include a description of the extent to which sampling techniques and procedures will be employed in State and local evaluations. The use of sampling techniques must conform with specifications set out in the annual performance report that will be issued by the Department and approved by the Office of Management and Budget at a later date.



Types of activities may include self-evaluation of program activities; report of progress in achieving State goals for adult education; follow-up studies of former participants at 6-month, 12-month and 15-month intervals; effectiveness of teacher training; provider effectiveness; extent to which State adult education technology needs have been met; extent to which adult education for workers, the homeless, and other special populations have been met; and use of results to determine achievement of levels of performance for each of the core indicators for the eligible agencies (see Sec. 5.0 of *the Guide*).

## **Further Information**

Describe measures, such as indicators of program quality, to ensure that program services and activities will take into account the findings of program reviews and evaluations.

### **5.0 Performance Measures (Sec. 224(b)(4))**

#### **5.1 Eligible Agency Performance Measures (Sec. 212)**

This section describes a comprehensive performance accountability system, comprised of activities to assess the effectiveness of eligible agencies in achieving continuous improvement in adult education and literacy activities under this subtitle to optimize the return on investment of Federal funds in adult education and literacy activities.

The eligible agency performance measures shall at a minimum consist of the core indicators of performance described in Sec. 212 (b)(2)(A):

- (1) Demonstrated improvements in literacy skill levels in reading, writing and speaking the English language, numeracy, problem solving, English language acquisition, and other literacy skills;
- (2) Placement in, retention in, or completion of, postsecondary education, training, unsubsidized employment, or career advancement;
- (3) Receipt of a secondary school diploma or its recognized equivalent.

#### **5.2 Optional - Additional Indicators**

An eligible agency may identify additional indicators for adult education and literacy activities authorized under this subtitle. Levels of performance shall be considered as the eligible agency adjusted levels of performance for purposes of the plan.

#### **5.3 Levels of Performance for First Three Years**

Each eligible agency submitting a State plan shall establish levels of performance for adult education and literacy activities authorized under this AEFLA. The levels of performance established shall at a minimum:

- (1) be expressed in an objective, quantifiable, and measurable form; and
- (2) show the progress of the eligible agency toward continuous improvement in performance.

Each eligible agency shall identify expected levels of performance for each of the core indicators of performance for the first three program years covered by the State plan. States that have submitted a one-year transitional plan will be required to submit proposed levels of performance for each of the core indicators for the second and third years of the plan.

#### 5.4 Factors (Sec. 212(b)(3)(A)(iv))

In preparing proposed levels of performance, the eligible agency shall take into account the following:

- (1) how the levels compare with the eligible agency adjusted levels of performance established for other eligible agencies, taking into account factors including the characteristics of participants who enter the program, and the services or instruction to be provided; and
- (2) the extent to which such levels promote continuous improvement in performance on the performance measures by such eligible agencies to ensure optimal return on the investment of Federal funds.

### **Further Information**

See Appendix C for additional information on Adult Education Performance Measures.

At a minimum, the eligible agency should identify and describe the process to be used to report on performance indicators common to the other programs in the WIA. (If the employment and training system is not prepared to discuss this issue, the eligible agency should insert a placeholder in the plan to be completed once plans can be developed with the other program partners.)

The eligible agency should include a description, when appropriate, of the process and procedures the state will use to develop and submit an application to compete for an incentive award.

The eligible agency should include a description, when appropriate, of the performance information that local providers must report to one-stop centers to become and remain eligible to receive various funds under Title I and describe the process used to identify and report performance information the one-stop center will make available to prospective clients.

## **6.0 Procedures for Funding Eligible Providers (Sec. 224 (b)(7))**

### 6.1 Applications

Describe how the eligible agency will fund local activities in accordance with the considerations described in Section 231 (e). (See Sec. 224 (b)) Each eligible provider desiring a grant or contract

under AEFLA shall submit an application to the eligible agency containing information and assurances as the agency may require, including:

- (1) A description of how funds awarded under AEFLA will be spent; and
- (2) A description of any cooperative arrangements the eligible provider has with other agencies, institutions, or organizations for the delivery of adult education and literacy activities. (Sec. 232)

## 6.2 Eligible Providers (Sec. 203 (5))

Eligible providers for a grant or contract are:

- (1) A local educational agency;
- (2) A community-based organization of demonstrated effectiveness;
- (3) A volunteer literacy organization of demonstrated effectiveness;
- (4) An institution of higher education;
- (5) A public or private nonprofit agency;
- (6) A library;
- (7) A public housing authority;
- (8) A nonprofit institution that is not described in any of these subparagraphs and has the ability to provide literacy services to adults and families; and
- (9) A consortium of the agencies, organizations, institutions, libraries, or authorities described in any of items (1) through (8) (Sec. 203)(5))

## 6.3 Notice of Availability

Describe the process to show that public notice was given of the availability of Federal funds to eligible recipients. (See Sec. 10 for information on direct and equitable access.)

## 6.4 Process

Describe the procedures for submitting applications to the State including approximate time frames for the notice and the receipt of applications.

## 6.5 Evaluation of Applications (Sec. 231 (e))

In awarding grants or contracts under this section, the eligible provider shall consider:

- (1) The degree to which the eligible provider will establish measurable goals;
- (2) The past effectiveness of an eligible provider in improving the literacy skills of adults and families, and, after the 1-year period beginning with the adoption of an eligible agency's performance measures under Sec. 212 of AEFLA, the success of an eligible provider receiving funding under this subtitle in meeting or exceeding such performance measures, especially with respect to those adults with lower levels of literacy;

- (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;
- (4) Whether or not the program is of sufficient intensity and duration for participants to achieve substantial learning gains; and 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;
- (5) Whether the activities are built on a strong foundation of research and effective educational practice;
- (6) Whether the activities effectively employ advances in technology, as appropriate, including the use of computers;
- (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;
- (8) Whether the activities are staffed by well-trained instructors, counselors, and administrators;
- (9) Whether the activities coordinate with other available resources in the community, such as establishing strong links with elementary schools and secondary schools, postsecondary educational institutions, one-stop centers, job training programs, and social service agencies;
- (10) Whether the activities offer flexible schedules and support services (such as child care and transportation) that are necessary to enable individuals, including individuals with disabilities or other special needs, to attend and complete programs;
- (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; and
- (12) Whether the local communities have a demonstrated need for additional English literacy programs (Sec. 231)(e)).

#### 6.6 Special Rule (Sec. 223(c))

Whenever a State or outlying area implements any rule or policy relating to the administration or operation of a program authorized under AEFLA that has the effect of imposing a requirement that is not imposed under Federal law (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.

If a State agency plans to create any such rule or policy, the agency should send ED a copy when the rule or policy is implemented.

#### **Further Information**

If appropriate, the eligible agency should describe any guidance being developed jointly with the State agency responsible for WIA Title I programs regarding the scope and implementation of the required MOUs between local formal partners and the one-stop system. For example, what will be the eligible agency's policy, if any, on the range of services and activities to be integrated at the local

level and what types of financial arrangements will be allowable between local providers and the one-stop centers. See also Section 9.0.

If appropriate, the eligible agency should describe the process to be used to allocate State Leadership funds to provide incentive awards to local providers for local coordination and integration with the one-stop system.

## **7.0 Public Participation and Comment (Sec. 224 (b)(9))**

### **7.1 Description of Activities**

This section should describe the types of activities and outcomes that were conducted to meet this requirement. The eligible agency should include specific information on how the various WIA agency and program partners were involved in developing the adult education State plan.

### **7.2 Governor's Comments**

The eligible agency shall submit the State plan and any revisions of the State plan to the Governor of the State or outlying area for review and comment and ensure that any comments regarding the State plan are submitted to the Secretary (Sec. 224)(d)).

#### **Further Information**

This could include consultations with other appropriate agencies, groups, and individuals that are involved in, or interested in, the development and implementation of activities assisted under AEFLA. Activities that may be used by State agencies include:

- (1) Conducting a series of public meetings across a State;
- (2) Conducting a series of interactive video conferences;
- (3) Sending copies out to public locations, such as libraries, for comment;
- (4) Requesting responses by Internet;
- (5) Presenting local data and needs to area officials and stakeholders;
- (6) Sending copies of the draft plan to agency officials for comment; and
- (7) Establishing a listserv for dialogue.

Also, the eligible agency should ensure that current State requirements for developing a new State plan are met.

The eligible agency should include specific information on how the various WIA agency and program partners and others were involved in developing the adult education state plan.

## **8.0 Descriptions of Program Strategies for Populations (Sec. 224 (b)(10))**

### **8.1 Strategies**

Data from needs assessments could assist the agency in developing innovative approaches to serving various population cohorts as a minimum. Include populations mentioned in 2.2 of the *Guide*. Examples of existing strategies might include: a television series for students with limited English proficiency, such as *Crossroads Café*; expanding services to students in low-income housing projects, or initiating GED on Internet for single parents and displaced homemakers unable to easily leave home.

### **Further Information**

Data could also be obtained from some of the other related programs involved in the planning, development, or implementation of the WIA.

## **9.0 Integration with Other Adult Education and Training (Sec. 224 (b)(11))**

### **9.1 Description of Planned Integrated Activities**

A description of how the adult education and literacy activities that will be carried out with any funds received under AEFLA will be integrated with other adult education, career development, and employment and training activities in the State or outlying area served by the eligible agency (Sec. 224)(b)(11)). For example, the eligible agency may wish to describe how adult education activities will be made available through the one-stop delivery system established by WIA.

### **9.2 State Unified Plan**

Sec. 501 of WIA permits a State to submit its plan for adult education and literacy as part of a State unified plan. See Sec. 501 for more detail on how the adult education plan could relate to the State plan for the following programs under a unified plan.

- (1) 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);
- (2) 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);
- (3) Activities authorized under Title I;
- (4) Programs authorized under Section 6(d) of the Food Stamp Act of 1977 (7 U.S.C. 2015(d));
- (5) Work programs authorized under Section 6(o) of the Food Stamp Act of 1977 (7 U.S.C. 2015(o));
- (6) Activities authorized under Chapter 2 of Title II of the Trade Act of 1974 (19 U.S.C. 2271 et seq.);
- (7) Programs authorized under the Wagner-Peyser Act (29 U.S.C. 49 et seq.);
- (8) 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 (29 U.S.C. 732);

- (9) Activities authorized under Chapter 41 of Title 38, United States Code;
- (10) Programs authorized under State unemployment compensation laws (in accordance with applicable Federal law);
- (11) Programs authorized under Part A of Title IV of the Social Security Act (42 U.S.C. 601 et seq.);
- (12) Programs authorized under Title V of the Older Americans Act of 1965 (42 U.S.C. 3056 et seq.);
- (13) Training activities carried out by the Department of Housing and Urban Development; and
- (14) Programs authorized under the Community Services Block Grant Act (42 U.S.C. 9901 et seq.).

If your State will be submitting a unified plan, describe the activities that will be coordinated within your State.

## **10.0 Description of the Steps to Ensure Direct and Equitable Access (Sec. 224 (b)(12))**

### **10.1 Description of Steps**

Describe the steps the eligible agency will take to ensure direct and equitable access, as required in Section 231(c).

### **10.2 Notice of Availability**

Each eligible agency receiving funds under this subtitle shall ensure that—

- (1) all eligible providers have direct and equitable access to apply for grants or contracts under this section; and
- (2) the same grant or contract announcement process and application process is used for all eligible providers in the State or outlying area. (Sec. 231)(c )).

## **Further Information**

Describe how applicants will apply for: Sec. 231—local activities, Sec. 223—State leadership, and Sec.225—corrections education and other institutionalized individuals. Include the process the agency will use to ensure public notice will be given concerning the availability of Federal and State funds to eligible recipients throughout the State.

## **11.0 Programs for Corrections Education and other Institutionalized Individuals (Sec. 225)**

### **11.1 Types of Programs**

From funds made available under Sec. 222(a)(1) for a fiscal year, each eligible agency shall carry out corrections education or education for other institutionalized individuals, including academic pro-

grams. Funds shall be used for the cost of educational programs for criminal offenders in correctional institutions and for other institutionalized individuals, including academic programs for:

- (1) Basic education;
- (2) Special education programs as determined by the eligible agency,
- (3) English literacy programs; and
- (4) Secondary school credit programs.

### 11.2 Priority

Each eligible agency that is using assistance programs under this section to carry out a program for criminal offenders in a correctional institution shall give priority to serving individuals who are likely to leave the correctional institution within five years of participation in the program.

### 11.3 Types of Institutional Settings

Correctional institution means any

- (1) Prison;
- (2) Jail;
- (3) Reformatory;
- (4) Work farm;
- (5) Detention center; or
- (6) Halfway house, community-based rehabilitation center, or other similar institution designed for the confinement or rehabilitation of criminal offenders.

### **Further Information**

Describe the policies, procedures, and activities for carrying out corrections education, or education for other institutionalized individuals.

Note: The eligible agency may not spend more than the 10 percent of the 82.5 percent of the State grant that must be allotted to local programs for Sec. 225 activities.

## **12.0 State Leadership Activities (Sec. 223 (a), (b))**

### 12.1 Description of Activities

Each eligible agency shall use funds made available under Section 222(a)(2) for one or more of the following adult education and literacy activities:

- (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 technical 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 networks of literacy centers.
- (5) The monitoring and evaluation of the quality of, and the improvement in, adult education and literacy activities.
- (6) Incentives for program coordination and integration and performance awards.
- (7) Developing and disseminating curricula, including curricula incorporating phonemic awareness, systematic 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 activities, to adults enrolled in such activities.
- (10) Integration of literacy instruction and occupational skill training, and promoting linkages with employers.
- (11) Linkages with postsecondary educational institutions.

12.2 Description of Joint Planning and Coordination for Unified Plan Only (Title V—General Provisions, Sec. 501(c)(3)(A))

Information should contain a description of the methods used for joint planning and coordination of the programs and activities included in the unified plan.

12.3 Description of Activities under Section 427 of the General Education Provisions Act (GEPA).

This section should include information describing the steps the applicant proposes to take to ensure equitable access to, and participation in, its Federally-assisted program for students, teachers, and other beneficiaries with special needs. Information should describe the steps such applicant proposes to take to ensure equitable access to, and equitable participation in, the project or activity to be conducted with such 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. As a minimum two illustrations shall be included: (1) Actions the eligible agency will take under Sec. 223—State Leadership Activities, and (2) Actions applicable for Sec. 231—Grants and Contracts for Eligible Providers.

#### 12.4 One –Stop Participation (Title I, Sec. 121(b)(1) and 20 CFR 662.220(b)(1))

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

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). Include a description of the applicable provisions for AEFLA in One-Stop delivery systems in the State plan. See Program Memorandum OVAE 99-14 for additional information.

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 1830-0026. The time required to complete this information collection is estimated to average 125 hours per response, including the time to review instructions, search existing data resources, gather and maintain the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, DC 20202-4651. If you have comments or concerns regarding the status of your individual submission of this form, write directly to: Carroll F. Towey, Division of Adult Education and Literacy, Office of Vocational and Adult Education, U.S. Department of Education, 400 Maryland Avenue, SW, Washington, DC 20202-7240 or e-mail [carroll\\_towey@ed.gov](mailto:carroll_towey@ed.gov)