

# **Indiana State Plan**

## **Adult Education and Family Literacy**

Transition Year: Title II of the  
Workforce Investment Act of 1998 to Title II of the  
Workforce Innovation and Opportunity Act of 2014  
Adult Education and Family Literacy Act

Submitted by:  
The Indiana Department of Workforce Development

For July 1, 2015 through June 30, 2016

*Steve Braun, Commissioner*

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## **CHAPTER 1**

Please note the track changes function was used to make updates to the State Plan for Program Year 2015. All Chapter numbers and titles have been updated to match the *Guide For The Development Of A State Plan Under The Adult Education and Family Literacy Act, OMB Control No. 1830-0026*. Throughout the below narrative, please note that the term ‘WorkOne’ references the Indiana One Stop Centers.

## **CHAPTER 2**

### **UNITED STATES DEPARTMENT OF EDUCATION** Office of Career, Technical and Adult Education

#### **The Adult Education and Family Literacy Act**

Title II of the Workforce Investment Act of 1998 (Public Law 105-220)

Title II of the Workforce Innovation and Opportunity Act of 2014 (Public Law 113-128)

The Department of Workforce Development of the State of Indiana hereby submits its revised State plan extension to be effective until June 30, 2016. The eligible agency also assures that this plan, which serves as an agreement between State and Federal Governments under the Adult Education and Family Literacy Act, will be administered in accordance with applicable Federal laws and regulations, including the following certifications and assurances.

**CERTIFICATIONS**

**EDUCATION DEPARTMENT GENERAL  
ADMINISTRATIVE REGULATIONS  
(34 CFR Part 76.104)**

- (1) The plan is submitted by the State agency that is eligible to submit the plan.
- (2) The State agency has authority under State law to perform the 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 the title in the certification, has authority to submit the plan.
- (7) The agency that submits the plan, specified by the title in the certification, has authority to submit the plan.
- (8) The plan is the basis for State operation and administration of the program.

**ASSURANCES**

**WORKFORCE INVESTMENT ACT OF 1998**  
**(Public Law 105-220)**  
**Section 224 (b)(5), (6), and (8)**

**Workforce Innovation and Opportunity Act of 2014**  
**(Public Law 113-128)**  
**Section 102 (b)(E)(vi) and (vii)**

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

**Section 241 Administrative Provisions**

- (a) Supplement Not Supplant.—Funds made available for adult education and literacy activities under this subtitle shall supplement and not supplant other State or local public funds expended for adult education and literacy activities.
- (b) Maintenance of Effort.—
  - (1) In General.—
    - (A) Determination.—An eligible agency may receive funds under this subtitle for any fiscal year if the Secretary finds that the fiscal effort per student or the aggregate expenditures of such eligible agency for adult education and literacy activities, in the second preceding fiscal year, was not less than 90 percent of the fiscal effort per student or the aggregate expenditures of such eligible agency for adult education and literacy activities, in the third preceding fiscal year.
    - (B) Proportionate reduction.—Subject to paragraphs (2), (3), and (4), for any fiscal year with respect to which the Secretary determines under subparagraph (A) that the fiscal effort or the aggregate expenditures of an eligible agency for the preceding program year were less than such effort or expenditures for the second preceding program year, the Secretary—

- (i) shall determine the percentage decreases in such effort or in such expenditures; and
  - (ii) shall decrease the payment made under this subtitle for such program year to the agency for adult education and literacy activities by the lesser of such percentages.
- (2) Computation.—In computing the fiscal effort and aggregate expenditures under paragraph (1), the Secretary shall exclude capital expenditures and special one-time project costs.
- (3) Decrease in federal support.—If the amount made available for adult education and literacy activities under this subtitle for a fiscal year is less than the amount made available for adult education and literacy activities under this subtitle for the preceding fiscal year, then the fiscal effort per student and the aggregate expenditures of an eligible agency required in order to avoid a reduction under paragraph (1)(B) shall be decreased by the same percentage as the percentage decrease in the amount so made available.
- (4) Waiver.—The Secretary may waive the requirements of this subsection for 1 fiscal year only, if the Secretary determines that a waiver would be equitable due to exceptional or uncontrollable circumstances, such as a natural disaster or an unforeseen and precipitous decline in the financial resources of the State or outlying area of the eligible agency. If the Secretary grants a waiver under the preceding sentence for a fiscal year, the level of effort required under paragraph (1) shall not be reduced in the subsequent fiscal year because of the waiver.

Indiana Department of Workforce Development  
(State Agency)

10 N. Senate Avenue  
Indianapolis, IN 46204  
(Address)

By: \_\_\_\_\_  
(Signature of Agency Head)

Commissioner  
(Title)

March 23, 2015  
(Date)

**See signed copy of Assurances and Certifications upload**

## CHAPTER 3

### Needs Assessment for Adult Education

*Section 224 (b) (1) requires an objective assessment of the needs of individuals in the state for adult education and literacy activities, including individuals most in need or hardest to serve.*

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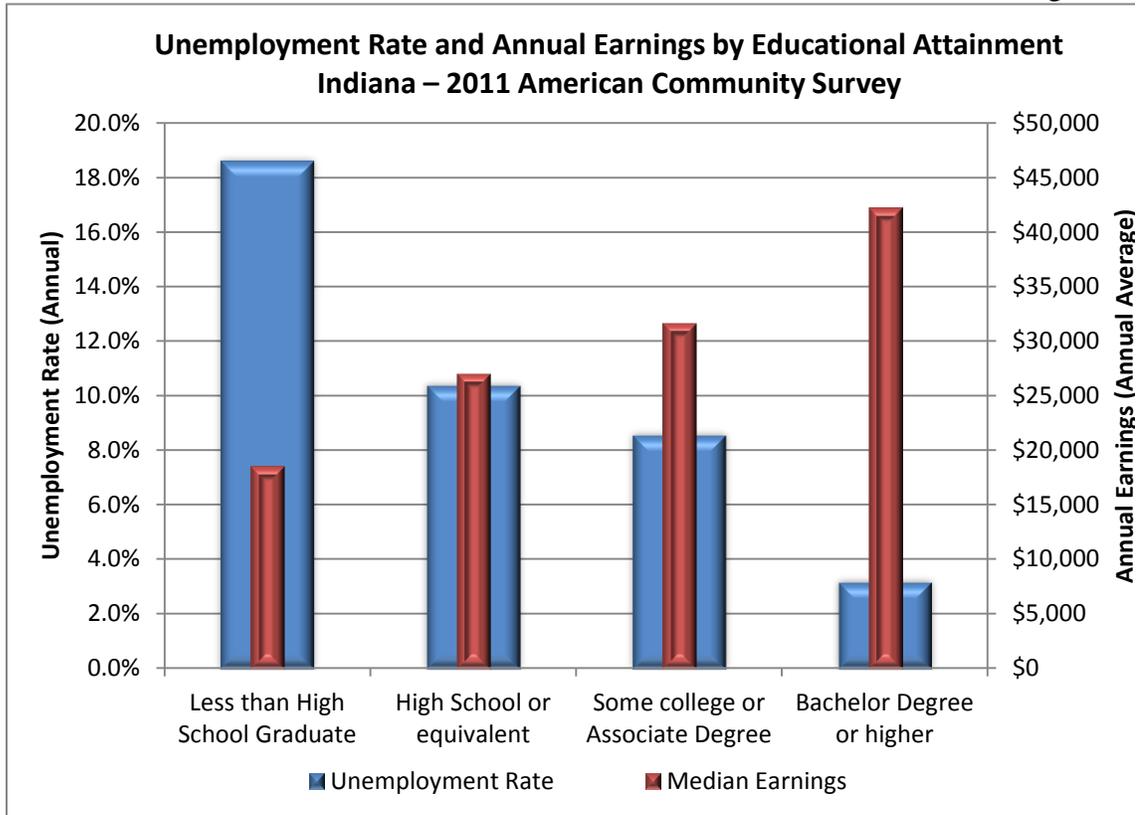
#### 3.0 Needs Assessment of Adult Education and Family Literacy

Indiana is currently the 15th largest state in the union with a population of 6,483,802 according to the 2010 United States Census Bureau. Using the 2000 census as the baseline, this represents a 6.6 percent increase.

Eighty-four percent of the population lives in metropolitan areas. According to the 2010 United States Census, Indiana is largely white (84.3 percent), with African-Americans constituting just over nine percent of the population, and other racial groups making up the remaining six percent. Six percent of Indiana's population is Hispanic—a substantial increase over the 3.5 percent in 2000. According to STATS Indiana, 9.1 percent of Indiana residents lack a high school diploma or GED® certificate; of that population, 4.2 percent have less than a ninth grade education. In addition 45 percent of 18-64 year olds in the workforce in Indiana have not received any post-secondary education, and of those 12 percent, which is nearly 500,000, have less than a high school diploma or GED® certificate according to the 2011 American Community Survey.

#### 3.1 Individuals Most in Need

The following graph demonstrates the importance of educational attainment to wages and job security. The left-hand y-axis describes Indiana's unemployment rate for calendar year 2011. The right-hand y-axis describes annual average earnings in dollars for calendar year 2011. The x-axis describes education attainment of Indiana's workforce. There is a clear inverse proportionality of educational attainment to job security and income, with high school dropouts experiencing job dislocation at a rate more than double their baccalaureate-holding peers. Likewise, the annual wages of dropouts was less than half of those with a four-year degree.



Of the adults who enrolled in Indiana’s Adult Education programs in PY11, over 69 percent entered with less than a ninth grade education level, and 48 percent entered with less than a sixth grade education level.

### 3.2 Populations

#### 3.2.1 Low Income Adult Learners who are Educationally Disadvantaged

Indiana continues to make strides in the graduation rate of its traditional-aged secondary cohort. The state’s graduation rate improved to 87.9 percent in the 2011-12 school year, increasing 1.1 percent over the previous program year according to the Indiana Department of Education. Nevertheless, the dropout rate continues to pose a socioeconomic problem for Indiana, as high school dropouts not only have limited career opportunities, but are more likely to be unemployed and significantly more likely to end up in the criminal justice system. Additionally, according to a recently released study by the Alliance for Excellent Education, more than 23,600 students of the eligible cohort did not graduate from Indiana high schools in 2010, amounting to nearly \$6.1 billion in lost lifetime earnings.

Resources will be targeted to help persons in this target group develop the basic skills necessary for secondary-level credentials and to develop life and employability skills.

### **3.2.2 Individuals with Disabilities**

The National Institutes of Health estimate that approximately 15 percent of the U.S. population is affected by a learning disability. Furthermore, of students with learning disabilities who receive special education services, 80-85 percent experience problems with language and reading.

IDWD has seen an increase in the number of requests for special accommodations in GED® certificate testing. The majority of requests have been for extra time and special reading or optical devices due to various learning disabilities or visual impairment. Since the overall percentage of secondary students with Individualized Education Plans continues to increase, and more recent dropouts access the program, this trend is expected to grow.

In its report, “Persons with a Disability: Labor Force Characteristics Summary,” the Bureau of Labor Statistics (BLS) reports that: in 2010, 18.6 percent of the employed population had a disability. Moreover, it reports, persons with a disability who have completed higher levels of education were more likely to be employed than those with less education. The conclusion reinforces the notion that inclusion of disabled populations among adult education cohorts increases the likelihood of workforce participation among the disabled. Although the BLS does not disaggregate work-disability data by state, it is unlikely that Indiana’s workforce characteristics deviate significantly from national statistics.

### **3.2.3 Single Parents and Displaced Homemakers**

According to national data, most single-parent families are headed by mothers, nearly 40 percent of whom have an eighth grade education or less. According to the Indiana Department of Child Services, a single mother heads 19 percent of households with children. In some counties, including Hamilton and LaGrange, the rate is 10 percent or less; in others, including Marion and Lake, the rate is as high as 28 percent.

Three-fifths of single mothers receiving aid for dependent children do not have a high school diploma, and the average reading level for those aged 17 to 21 is below the sixth-grade level. Single parent families, especially those headed by women, are much more likely than two-parent families to be poor. Nationally, approximately 75 percent of female heads of households with less than a high school diploma are living in poverty. There is, therefore, a strong correlation between educational insufficiency, poverty and single parenthood: Providing the necessary support services to attract and retain single parent participants, in particular child care services, is an important consideration in designing programs to successfully meet the needs of this population. Indiana has established policies encouraging adult education providers to offer child care services and to work with WIA one-stop operators to offer child care and related support to adult education services, using Title I funding.

### **3.2.4 Individuals with Multiple Barriers to Educational Enhancement, including Limited English Proficiency**

Indiana's population of limited-English proficient residents continues to grow. In PY11, the number of adults who enrolled in English as a Second Language (ESL) courses was 15.5 percent of the total number of adult education students reported to USDOE. This is a slight increase over PY10.

According to Social IMPACT Research Center's publication, Challenges and Opportunities for Hoosiers with Barriers to Work, 56,439 working age adults in Indiana have limited or no English proficiency. While the composition of the limited English proficient adult population in the state is diverse, the largest segment of it is Spanish-speaking. Within that segment, the vast majority, at 4.6 percent of the total Indiana population according to the 2010 United States Census, are of Mexican origin.

### **3.2.5 Criminal Offenders in Correctional Institutions and Other Institutionalized Individuals**

As of January 2013, Indiana housed approximately 28,000 inmates among 20 state correctional facilities. This represents nearly 40 percent more than in 2000. Of those committed to prison in 2012, 63 percent spent less than one year behind bars, according to prison statistics. The average age for the incarcerated population is almost thirty-seven (37) years old with 59 percent white and 36 percent black. Females compose 8.8 percent of the incarcerated adults. Ten-percent are college degree holders and fifty-eight percent have completed high school or its equivalency. Most degree or diploma/GED® certificate holders have completed the program while incarcerated.

Formal education programs are provided on-site at thirteen of the adult facilities. All thirteen facilities are supported in part by AEFLA funding through IDWD. Two Indiana-based postsecondary institutions, Grace College and Oakland City University, provide adult education and literacy services with 47 academic teachers and 29 vocational teachers.

During PY11, the correctional facilities enrolled a total of 6,128 students into an adult education program with 1,461 successfully completing the GED® certificate program.

### **3.2.6 Other Populations Unemployed and Underemployed Persons**

As of January 2013, Indiana's unemployment rate was 8.6 percent. According to the United States Bureau of Labor Statistics, those with less than a high school diploma comprised nearly 18 percent of the unemployed workforce in 2011. The Indiana manufacturing and construction sectors experienced the highest levels of dislocation among all sectors, and coincidentally represent two labor sectors in which educational attainment has been historically low.

This data seems to support this view expressed in a report from the American Society for Training and Development:

*The association between skills and opportunity for individual Americans is powerful and growing. As forecasted by Anthony Carnevale of Georgetown University's Center for Workforce, by 2018 a majority (55 percent) of all jobs in Indiana will require higher education. People with less than a high school education will have access to only 14 percent of all jobs.*

As a response to workforce forecasts and the coincidence of educational attainment and well-paying secure jobs, Indiana has acted to align adult education and workforce development closely. By establishing the WorkINdiana program, which allows adult education participants to earn one of thirty-three occupational certifications free of charge, Indiana has clearly articulated the need to companion basic skills remediation with workplace credentials.

### **Young Adults**

Dramatic growth has occurred in the number of young adults age 16 to 24 enrolled in adult education programs in Indiana. In PY11, individuals 24 years old or younger represented more than 46 percent of the adult education enrollment. The growth pattern is most evident among young adult males. Many programs offer classes dedicated to young adults as a way to handle the sheer numbers as well as to address their particular characteristics and needs. These include the need for more structure and guidance. This population is expected to grow and continue to need special attention within adult education programs.

## CHAPTER 4

### Adult Education and Literacy Activities

*Section 224 (b)(2) requires a description of the adult education and literacy activities that will be carried out with any funds received under this subtitle.*

#### 4.0 Description of Adult Education and Literacy Activities

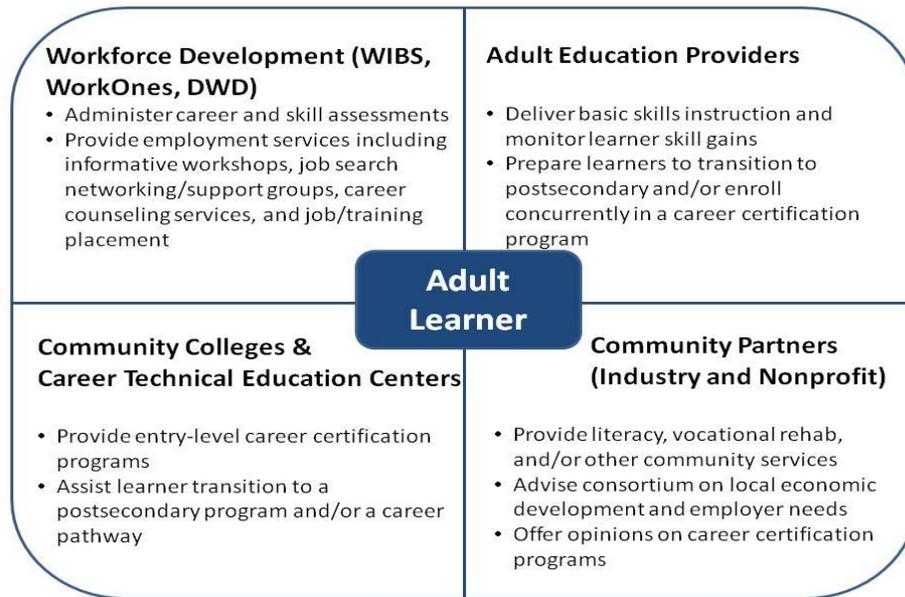
##### 4.1 Descriptions of Allowable Activities

The Indiana Department of Workforce Development (IDWD) expects to fund adult education and literacy programs across the state that offer one or more of the following services: assist adults to obtain the knowledge and skills necessary to gain and maintain employment; assist adults in the completion of a secondary education; and assist adults to achieve competence in the English language. Scope, content, and organization of these services will be determined locally within state parameters based upon (1) proposal evaluation criteria (refer to Chapter 6.5, Evaluation of Applications, for further information), (2) allowable activities, and (3) common goals of continuous improvement and meeting or surpassing state performance measures (refer to Chapter 4.0, Annual Evaluation of Adult Education and Literacy Activities, for further information).

Beginning in 2009, IDWD envisioned a new approach to addressing the issues of employer demand for middle skills, high unemployment, large skills gaps, and limited adult education delivery capacity. IDWD believed that by aligning workforce development and adult education services that customers would be better served. Consequently, IDWD developed a new paradigm for adult education, which went into full effect on April 1, 2011 after legislation passed that made IDWD the agency eligible to receive federal Adult Education and Family Literacy Act (WIA Title II) federal funds.

<b>Eligible Agency</b>	Department of Education → Department of Workforce Development
<b>Service delivery structure</b>	Adult instruction delivered by local school corporations and some nonprofits → Comprehensive education and employment services now delivered by regional consortia comprising adult education providers, workforce development, and community partners
<b>Customer</b>	Students → Students and employers
<b>Adult learning objectives</b>	Remembering and understanding concepts in literacy and numeracy → Applying various concepts in literacy and numeracy to create, synthesize, problem-solve, and innovate
<b>Student goals</b>	Attainment of basic skills and a GED certificate → Transition to occupational certification program and/or postsecondary education
<b>Student support for employment</b>	Adult Educators → WorkOnes provide career counseling, academic advising, and reemployment services
<b>Monitoring student outcomes</b>	Previous data system was out of compliance with NRS, lacked real-time data, and was not used uniformly by all programs → New data system tracks NRS and DWD-defined outcomes in real-time and performs data matching

One critical shift that occurred during this time of transition in 2010 and 2011 was the establishment of regional consortia throughout the state. Each consortium is responsible for ensuring that all adult learners in a region have access to both educational and career advising services. Below is a chart that outlines the responsibilities of each partner.



Once the consortia around the state were awarded funding to begin offering services in 2010, implementation of the vision began.

The eleven comprehensive adult education consortia established mirror the design of the Indiana workforce investment system and its workforce service areas. The geographic regions were created through quantitative analysis and qualitative evaluation. It was determined that the 11-region model would provide the most effective platform to provide adult education services and complement other statewide initiatives to greater strength. See **Appendix G** for a regional map.

The following key quantitative indicators were used in the analysis to identify the regions:

- 1) Commuting patterns (into/out of counties) *specifically*: Percent of workers residing in area and percent of residents working in area (team set coherence level at 85 percent)
- 2) Cluster location/coherence within specific regions (size and type of businesses within each region)
- 3) Educational attainment by region
- 4) New job creation by region
- 5) Net migration (2000-2040)
- 6) Projected median age by county.

Fifteen qualitative factors were then used to “layer” the analysis and add further refinements to the regions and the (county) makeup of those regions. The key qualitative factors used in this determination were:

- 1) Long range, strategic growth potential for key counties throughout the State
- 2) Proximity and location of vocational and academic institutions
- 3) Current infrastructure (i.e., access to major roadways and arteries)
- 4) Proximity and location to existing WorkOne offices (full service/express)
- 5) Indiana House and Senate legislative districts
- 6) Input from regional thought leaders and stakeholders.

One exception to the analysis is the Indiana Department of Correction which, because of its unique circumstances, is a single district covering the whole state.

Improvements in Indiana’s adult education delivery system focus on state objectives of (1) ensuring adequate coverage of services across the state, (2) coordination and integration of services between adult education and workforce development in an area and with other partner agencies and providers, and (3) continuous improvement in performance outcomes.

#### **4.1.1 Adult Education and Literacy Services**

Adult education and literacy services at a minimum will target native speakers of American English who function below a high school equivalency in one or more basic academic skills such as reading, writing, and mathematics. Other adults eligible for these services include non-native speakers of American English who have successfully acquired a level of proficiency in English, either through federally-funded English literacy programs or other ways, to be able to function adequately in adult education and literacy classes with native speakers.

Comprehensive programs in the state will be expected to offer adult education and literacy activities that meet the full spectrum of ability levels and needs in the region and/or to coordinate with other providers to the extent resources allow. Programs in the state will be expected to offer adult education and literacy activities to meet the needs of the targeted audience for which they were funded.

Instruction may occur in a variety of settings including school classrooms, WorkOne Centers, community-based sites, institutional settings, or other learning centers. Instruction will integrate basic, life, and employability skills. The effective use of technology as a learning tool will be encouraged through the purchase of hardware and software as well as the provision of professional development in this area. Allowable activities related to student achievement include, but are not limited to: recruitment, intake, assessment, retention, and instructional activities; child care; student transportation; instructional equipment and supplies; and student follow-up activities. In addition, many providers and WorkOne Centers offer assistance to students through a

career coach or transition specialist. These staff are focused on assisting the students determine a career pathway that is best suited for their interests and skills and make the transition into post-secondary education, training, and/or career.

#### **4.1.2 Family Literacy Activities**

One of the primary purposes of Title II of the Workforce Investment Act of 1998 is to “assist adults who are parents to obtain the educational skills necessary to become full partners in the educational development of their children.” Comprehensive adult education program applicants will be required to describe in their funding proposals the activities that are planned that support this specific purpose of the act and meet the needs of undereducated parents in their area. Specifically, applicants will be asked to discuss (1) outreach efforts for attracting parents with low literacy skills to the program; (2) program design accommodations particularly focused on the needs of parents (i.e., child care, class times and locations, curriculum content, and materials); and (3) linkages established with schools and community partners to facilitate the integration of services for families.

Comprehensive WorkOne Centers and other adult education providers will be encouraged to offer family literacy programming, as defined by the act, as a part of one-stop centers within workforce investment areas. Family literacy programs will incorporate adult literacy services including workforce preparation, age-appropriate childhood education, and parenting support services.

#### **4.1.3 English language acquisition activities**

English literacy programs, activities, or services are designed for non-native speakers of American English whose communicative competence in the language is nonexistent or significantly limited. Furthermore, these programs are to target adults who intend to remain in the United States. English will be the primary medium of instruction, even when all students in a class speak a common language. The goal is not to produce students with perfect pronunciation or fluent English grammar, but rather to produce students whose ability to communicate in English is proficient enough to function adequately in other educational settings, on the job, in the family, and/or in society.

All English literacy programs funded by IDWD must integrate into instruction elements of American culture, as well as the four discrete language skills of listening, speaking, reading, and writing. In addition, content may include citizenship, workplace skills, mathematics, parenting, and study skills. Adult education and literacy instruction may be offered using a family literacy approach or a workplace literacy design. The four levels of English literacy (beginning literacy, beginning, intermediate, and advanced) may be taught through separate or multi-level English literacy classes or integrated into adult basic education classes of native speakers of American English, depending on the size of the target population and program resources. Regardless of instructional approach, the intake and assessment process is considered integral to the program and will be

equivalent in nature to that for other adult education and literacy students. Policy on the assessment of English literacy students is included in the Adult Education Assessment Policy.

#### **4.1.4 Integrated English literacy and civics education**

In preparation for full implementation of WIOA requirements in PY15-16, the Indiana DWD will continue to support local and regional provision of integrated English Literacy and Civics (IELC) education. In order to prepare the English Language Learner population for unsubsidized employment in in-demand industries and integrate them into the workforce system, IDWD will support extending the existing English Literacy and Civics education with soft skills and integrating computer/IT skills. Through the already established technical assistance and monitoring processes, the providers of Adult Education and English Literacy/Civics will be supported in their efforts to increase cooperation with local WorkOne Centers.

#### **4.1.5 Workforce preparation activities or integrated education and training**

Workforce preparation activities will continue to be one of the focal points within adult education in PY15-16. In addition to basic academic skills, the adult education providers in Indiana will facilitate acquiring the skills necessary for successful transition into and completion of postsecondary education or training, or employment. The targeted activities include at the minimum strong collaboration with one-stop agencies, increased collaboration with post-secondary institutions, integrating technology, employability skills, and financial literacy in classes and lessons.

Many regions in Indiana have already started implementing adult education and literacy activities concurrently and contextually with workforce preparation activities and workforce training for a specific occupation. This is done through the WorkINdiana Program which allows the students to earn high school equivalency diploma and earn an industry recognized certification. The WorkINdiana programs offers more than 30 certifications in Advanced Manufacturing, Business Administration and Support, Health Care, Hospitality, Information Technology, or Transportation and Logistics.

#### **4.2 Special Rules (Uses of Funds for Family Literacy)**

In awarding grants and contracts under Section 231, the Indiana Department of Workforce Development 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) i.e., 16 years of age and out of school (having exited school in accordance with state law), except that the Indiana Department of Workforce Development may use those funds for programs, services, or activities related to family literacy services. In providing family literacy services under this subtitle, an eligible provider must 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).

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

Indiana continues to implement the Workforce Investment Act of 1998 and the Workforce Innovation and Opportunity Act of 2014 under the leadership of the Department of Workforce Development, the state agency responsible for implementing Titles I and III of the act.

A new Commissioner was appointed to IDWD in November of 2014. The Executive team and Adult Education Leadership have been restructured. See Appendix B for the current Organization Chart. The Commissioner, Steve Braun, appointed a Chief Operating Officer to oversee the policies, programs and operations of the agency (not including unemployment insurance functions of the agency). There are four Associate COO's overseeing the following areas: Workforce Strategy, One-Stop Operations, Policy and Integration. Adult Education falls under the ACOO of Strategy. This position also maintains the title of State Adult Education Director with the duties of being the liaison to the federal government for all Adult Education related matters. Under the Adult Education umbrella there are three Directors. The Director of Adult Education Field Operations and Director of Adult Education Policy and Programs are responsible for the day to day operations of Adult Education in Indiana.

At this time, there have been no changes to the one-stop delivery system, performance reporting for eligible providers or state leadership activities. Currently IDWD is hosting multiple WIOA workgroups to gather local input and recommendations for aligning programs, services and policies with the WIOA legislation. See Chapter 8 for additional details.

## **CHAPTER 5**

### **Evaluation of Adult Education and Literacy Activities**

*Section 224 (b)(3) requires a description of how the eligible agency will evaluate annually the effectiveness of the adult education and literacy activities based on the performance measures described in section 212.*

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#### **5.0 Annual Evaluation of Adult Education and Literacy Activities**

##### **5.1 Annual Evaluations**

IDWD will evaluate annually the effectiveness of local adult education providers, including the ability to meet goals associated with the established performance measures, as articulated in the regional plan. Past effectiveness of a region and its providers will be a consideration when making grant awards. Refer to Chapter 6.0, Performance Measures, for further information.

Since IDWD conducted a full competition for the 2011-12 program year, the 2014-15 year was a continuation year. Program year 2015-2016 will be another continuation year. IDWD will be using this grant continuation process as a way to assist the regions in preparing for the transition from WIA to WIOA. Grant continuation reviews serve as the initial basis for program evaluation. Regional applicants are required to set goals for measurable learner outcomes, articulate how consortium partners will service clients seamlessly, and describe the elements and instructional activities that support the learning process, which take into account the state's indicators of program quality. Further, applicants are expected to address past effectiveness in meeting performance measures. Grant continuation content is evaluated against the criteria described in Chapter 6.0, Procedures and Process of Funding Eligible Providers.

Federally-funded providers are required to update student data in the state approved database system, InTERS, for purposes of evaluation by IDWD. Programs are encouraged to evaluate data and to make program adjustments as needed to increase participation levels and enhance the learning process. State consultation, technical assistance, and professional development opportunities will be made available to support program improvement.

The Grant Continuation packet included new sections this year. For example, proposals needed to address how consortia at the program level were currently or planning to implement the three new activities outlined in WIOA (Workforce Preparation, Integrated Education and Training, and Integrated English Language and Civics Education). See Appendix D and E for PY15 Grant Continuation Guidance.

## **5.2 Further Information**

Using information from the grant continuation submissions and a specific risk-based monitoring process designed by IDWD Adult Education, the programs that need technical assistance are identified. Program, Fiscal, Performance, and Data Management are weighed to determine a program's risk score. Once these programs are identified, they are asked for information in order to conduct an initial (Desk) review. Using information from the initial review and the risk assessment, the Adult Education team determines whether a program is in need of an onsite review. The onsite review is more thorough and can lead to the implementation of a corrective action plan.

# **CHAPTER 6**

## **Performance Measures for Adult Education**

*Section 224 (b)(4) requires a description of the performance measures described in section 212 and how such performance measures will ensure the improvement of adult education and*

*literacy activities in the state.*

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## **6.0. Performance Measures**

### **6.1. Eligible Agency Performance Measures**

IDWD established a comprehensive performance accountability system as described in Section 212, Performance Accountability System. The system assesses the effectiveness of providers funded under this act in achieving continuous improvement for adult education providers and related literacy programs. Funds will be used to ensure that the investment in adult education and literacy activities enhances learner performance.

**6.1.1** IDWD has developed a performance based accountability system. The system provides a comprehensive, learner-centered, performance-based program that focuses on the assessment of learners' strengths and weaknesses. It also integrates into instruction; utilizes individualized curricula; monitors, records, and reports progress; and documents competency attainment and learning gains.

In addition IDWD measures program progress against a performance incentive schedule that emphasizes and rewards the successful progression of students through educational functioning levels as quickly as possible, as well as achievement of a high school equivalency diploma and successful transition into WorkINdiana or a postsecondary institution.

**6.1.2** To ensure continuous program improvement and effective data tracking of adult education and literacy programs, IDWD designed and implemented a new adult education database: InTERS. Throughout development, IDWD staff took into consideration data design specifications based on National Reporting System (NRS) guidelines, AIR recommendations, and state-specific performance parameters measuring student progress and achievement of educational gains and performance outcomes. The new system was fully implemented in July 2011 with ongoing training opportunities for data staff across the state throughout the program year. Once data is entered into InTERS, this information is automatically compiled for reporting program, regional, state and federal metrics. IDWD has continued to refine the system and revise it to meet changing reporting requirements and enhance data matching capabilities. The system provides real-time as well as historical data, which allows for accurate measurement of performance. IDWD has developed performance management trainings to enable local administrators to understand and utilize this data more effectively to manage and improve programs. For more information, see Chapter 13: State Leadership Activities.

### **6.2. Additional Indicators**

IDWD will not develop any additional indicators of performance at this time. Any additional indicators or revisions will be negotiated with the Secretary.

### **6.3. Levels of Performance**

Indiana's expected performance for each of the core indicators of performance described in Sections 212(2)(A) is contained in **Appendix C**. The core indicators of performance are expressed in objective, quantifiable, and measurable form. The indicators demonstrate the progress toward continuous improvement in performance taking into consideration estimated outcomes under a cohort model.

To determine these levels, IDWD reviewed historical performance data comparing cohort outcomes for 2010-11, 2011-2012, 2012-2013, and 2013-2014 data.

If changes occur in funding or other factors that dramatically affect the adult education delivery system in Indiana, it may become necessary for the state to adjust the levels of performance accordingly.

### **6.4. Factors**

Learner, program, and outcome data in Indiana indicate some differences in the levels of performance based on individual characteristics. These characteristics include initial literacy skill levels upon entry into the program, literacy levels of limited English proficient adults, the number of years of education completed before entering the adult education program, learning and developmental disabilities, and other demographic and socioeconomic variables.

Because of the diverse needs of learners with a broad range of skill levels and varied short- and long-term learning goals, demonstrated improvements may be included in more than one performance measure. IDWD continues to encourage partners within the regions to make changes that will positively affect performance such as increasing the intensity, duration, and quality of instruction; increasing the convenience and accessibility of program; and increasing the ability of the providers to address learner goals through innovative methods as well as professional development. The performance incentive schedule motivates providers to make improvements and meet student needs more efficiently and effectively in order to meet incentive goals. For more information, see Chapter 7: Procedures for Funding Eligible Providers.

### **6.5. Further Information**

IDWD will annually prepare and submit to the secretary a report on the progress in achieving the performance measures. The report will include demographic characteristics of the populations served, the attainment of learner goals, and progress on the goal indicators of performance by program and level. Other areas include data on learning gains within levels and completion, as well as the movement to higher levels. Learner outcomes related to postsecondary education, training, unsubsidized employment or career advancement, and receipt of a high school diploma or equivalency will be included

in the report as well.

IDWD is currently in the process of creating a Request for Proposal (RFP) for an agency wide case management/intake system. The RFP should be posted soon. This new system will house one place to deliver intake procedures across the agency. Due to the robust nature of the InTERS system and the flexibility of the InTERS staff to meet the data needs of the Adult E population quickly, the plan is for InTERS to interface with this new system.

## CHAPTER 7

### Procedures and Process of Funding Eligible Providers

*Section 224 (b)(7) requires a description of how the eligible agency will fund local activities in accordance with the considerations described in section 231(e)*

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#### **7.0 Procedures and Process of Funding Eligible Providers**

IDWD plans to extend current grants after conducting a one-year competition in PY2012. The grant continuation continues to emphasize the regional service delivery concept and strengthens what is already in place. Grant continuation documents will focus on state objectives of ensuring adequate coverage of services across the state as well as coordination and integration of services.

Within each region, IDWD will award federal funds to support consortium-identified program providers. Providers are responsible for (1) offering direct services to meet a broad range of needs within the area and (2) the overall coordination and integration of services within the region, including between other adult education providers, literacy providers, and partner agencies.

Federal funds will also be used to support programs within regions targeted toward underserved and/or most in need areas or populations within that area. At a minimum, the populations discussed in Chapter 3.0, Needs Assessment, will be targeted by such projects.

#### **7.1 Applications**

With the exception of the Indiana Department of Correction, adult education and EL/Civics grants will emphasize regional alignment of services. A regional approach streamlines services and provides a more efficient delivery system to serve students better. A regional system also allows adult education providers and partner agencies to increase the capacity to reach more Hoosier adults who need these services.

Grant continuation applications require current grantees to assess the effectiveness of the

applications submitted the previous year. Grantees must address specific questions related to IDWD's four areas of programmatic emphasis and the values identified within each, which incorporate the twelve points of consideration as listed under AEFLA Sec. 231(e).

The first area of programmatic emphasis is consortium management, which includes the following values: leveraging all available resources to increase the capacity of Indiana's Adult Education system; a seamless referral system between the AEFLA funded and WIA Title I funded partners; the delivery of quality adult education; and active participation in professional development as a mechanism for overall program improvement. This year, the continuation grant focuses on identifying 1) the processes for increasing enrollments in Adult Education programs, and 2) the procedures for evaluation of regional and program performance.

The second area of programmatic emphasis is WorkINDiana, which is Indiana's career pathways bridge program that is supported by a separate funding stream. This area of programmatic emphasis includes the following values: increasing the number of certifications and training programs to which students have access; increasing the number of adult education students transitioning into and enrolling in a WorkINDiana program; and building stronger business partnerships to support WorkINDiana. This year's focus is on identifying the procedures to increase WorkINDiana enrollments of students who are still attending Adult Education programs.

The third area of programmatic emphasis is program learner (student) engagement and completion, which includes the following values: acceleration of learning; managed intake, orientation and enrollment; student recruitment, retention and completion support; and professional development as a mechanism for increasing teacher effectiveness. Specifically, this year's continuation grants are focusing on implementation of College and Career Readiness standards, and identifying the enrollment processes and plans for capacity building.

The fourth area of programmatic emphasis is college and career readiness, which includes the values of: preparation of learners to transition to postsecondary education and employment successfully; and building stronger partnerships with postsecondary institutions. The PY2015 Adult Education grant continuation is open only to existing adult education grantees. Grantees may apply for the amount of funding allocated to the region based on the funding formula. The funding formula uses the following inputs: (1) one and a half program years' enrollment figures for all adult education programs physically located within the region (enrollment figures include programs receiving state and federal funds for the period); (2) the number of unemployment insurance claimants between the ages of 18-44 without a high school credential for the previous calendar year; and (3) one and a half program years of performance. This data is collected and reported by IDWD. See **Appendix D** grant continuation guidance.

The PY2015 EL/Civics grant continuation is open only to existing EL/Civics grantees. Grantees may apply for the amount of funding allocated to the region based on the regional funding formula. The regional funding formula for EL/Civics includes the following: (1) one and a half program years of ESL enrollment figures for all adult education programs physically located within the region (enrollment figures include programs receiving state and federal funds for the period); (2) Number of adults 25+ without a High School Equivalency or High School Diploma who speak a language other than English within region; and (3) one and a half program years of ESL and EL/Civics performance. This data is collected and reported by IDWD. Funding levels for programs will consider need-related factors and the ability to produce outcomes and meet performance standards. See **Appendix E** for the EL/Civics grant continuation guidance.

In a competition year, when competing proposals for the same regional allocation are submitted, IDWD's Division of Adult, Career and Technical Education will convene an outside review committee to read and rate competitive proposals. Where there is no competition within a region, the proposal will be reviewed and evaluated internally by division staff. When formed, outside review committees will be comprised of state employees knowledgeable about grant-making and adult education issues. They will recommend proposals for funding. The division will review all recommendations and conduct a thorough review of the applications. Any parts of the proposals judged to be less than adequate will be negotiated with the local providers. The division will make final funding decisions.

## **7.2 Eligible Providers**

Eligible providers for a grant or contract are the same as listed in Sec. 203 (5) of Title II of the Workforce Investment Act of 1998. Specifically, eligible providers 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 (1) through (7) above 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 the subsections (1) through (8).

## **7.3 Notice of Availability**

The process to show that public notice was given of the availability of federal funds to

eligible providers includes:

- Notice will be posted on the IDWD web site: <http://www.in.gov/dwd/adultedadmin/>. A copy is on file at IDWD. For PY15 the Grant Continuation was posted on 2.10.15 and responses are due to IDWD by 4.2.15.
- Announcements will be emailed to all current fiscal agents eligible to apply for continuation of funds.

Refer to Chapter 10.2, Notice of Availability, for further information.

#### **7.4 Process**

The procedure for submitting an application for either the Adult Education or EL/Civics grant includes:

- Each eligible provider interested in applying must attend a mandatory informational meeting (if scheduled) as described in the availability of funds announcement.
- Each proposal must be submitted by the announced deadline using the designated format.

See Appendix D and E for full Grant Continuation process and documentation.

#### **7.5 Evaluation of Applications**

Applicants will be informed of the evaluation criteria to be used in reviewing proposals. At a minimum these criteria will be based upon Indiana's indicators of program quality as well as the 12 points of consideration required in Title II of the Workforce Investment Act of 1998:

1. The degree to which the eligible provider will establish measurable goals.
2. The past effectiveness of the eligible provider in improving the literacy skills of adults and families and, after the first year, the success of the eligible provider in meeting or exceeding the performance measures, especially with respect to adults who have 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 and have minimal literacy skills.

4. The degree to which the instructional 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 adult students possess 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 and secondary schools, postsecondary 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 management information system to report participant outcomes and to monitor performance against established performance measures.
12. Whether the local communities have a demonstrated need for additional English literacy programs.

## **7.6 Special Rule**

IDWD has established the following policies that recipients of federal funds must follow in addition to those outlined under AEFLA: Adult Education Program Standards Policy; Adult Education Data Collection and Reporting Policy; High School Equivalency Testing Policy; Adult Education Professional Qualifications and Development Policy; Adult Education Program Monitoring and Improvement Policy. IDWD has also established

fiscal guidance for all grant recipients. All policies and formal guidance can be found at: <https://secure.in.gov/dwd/2482.htm>

IDWD is reviewing and updating all policies to ensure alignment with WIOA requirements.

### **7.7 Further Information**

See Chapter 10.0, Integration with Other Adult Education and Training, and Chapter 13.0, State Leadership Activities, for further information.

## **CHAPTER 8**

### **Public Participation and Comment**

*Section 224 (b)(9) requires a description of the process used for public participation and comment with respect to the state plan.*

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### **8.0 Public Participation and Comment**

#### **8.1 Description of Activities**

Upon review of this draft by the United States Department of Education, Office of Career, Technical and Adult Education, the state plan will be submitted to the Indiana State Workforce Innovation Council for review and comment. A draft state plan will also be available for public comment on the division of adult, career and technical education's web page via the Internet and will be distributed via the division's adult education email list. The division welcomes input from partner agencies and others interested in adult education and literacy activities. Comments will be accepted throughout the life of the plan.

#### **8.2 Governor's Comments**

IDWD will submit the state plan to the Office of the Governor for review and comment.

#### **8.3 Further Information**

IDWD has created 14 WIOA workgroups (see below) that consist of representatives from the Local WIBs, Vocational Rehabilitation, Wagner Peyser, Adult Education, local stakeholders and employees from the state and local level who are engaged in activities relevant to WIOA.

IDWD WIOA Workgroups:

- WorkOne Policy
- WorkOne Operations
- Finance
- Performance Accountability and Data Collection

- Program and Fiscal Monitoring
- Staff Development and Training
- Local Workforce Boards
- Integration of Career Pathways and Sector Strategies
- Work Based Learning
- Eligible Training Providers
- Youth
- Rapid Response/Dislocated Worker/Incumbent Worker
- Adult Basic Education
- Communications

Adult Education has both state and local staff represented on each workgroup. The Adult Education WIOA workgroup is focused on ensuring the alignment of all policies and procedures with the WIOA legislation. In addition IDWD is gathering information from local providers on the WIA to WIOA transition through the PY15 Grant Continuation process. Providers were asked to respond to questions regarding the three new activities under WIOA (Workforce preparation; Integrated Education and Training, and Integrated English Language and Civics Education). Specifically, these questions required providers to address if and how they were currently delivering these activities and the plans to implement these activities in the future. See Appendix D and E for PY15 Grant Continuation Guidance for more details.

## CHAPTER 9

### Program Strategies for Target Populations

*Section 224(b)(10) requires a description of how the eligible agency will develop program strategies for populations that include, at a minimum, low income students, individuals with disabilities, single parents and displaced homemakers, and individuals with multiple barriers to educational enhancement, including individuals with limited English proficiency.*

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#### 9.0 Descriptions of Program Strategies for Populations

Adult education providers will be encouraged to develop and implement program approaches and strategies that will address both the needs of adult learners in general as well as the specific needs of subgroups of learners toward whom they are targeting their services. Comprehensive providers will be required to ensure as much as possible that services in the region address a broad range of literacy needs, from low-level literacy instruction to secondary-level instruction for both English-speaking and non-English speaking populations. Within that array of services, class locations and instructional approaches would be established to meet the expressed needs of targeted learners.

Comprehensive programs are asked to describe program strategies and their effectiveness as part of the competitive application processes. Program evaluations will look at process as well as outcomes and performance. As funding permits and outcomes warrant, performance grants will be offered to providers to help build program capacity including local initiatives to better serve special populations. State leadership activities, such as regional and statewide workshops, professional cadre and mentoring projects, and technical assistance contacts will support local providers in their efforts to meet learner population needs. Best practices from within the state and nationally will be shared. Refer to Chapter 13.0, State Leadership Activities, for further information.

#### 9.1 Strategies

Persons who are educationally disadvantaged, low-income, disabled, single parents, and/or limited English-proficient represent the populations considered most in need of adult education services in Indiana. Local providers will develop and implement programming strategies specifically to address the needs of these targeted groups of learners. In addition, Indiana providers will consider the particular programming needs of young adult learners (16-24) and learners who are unemployed and looking for work or underemployed who have or are projected to come to adult education programs in increasing numbers. Many providers have already established partnerships with youth programs in their regions, as well as partnerships with community organizations and agencies serving youth aged 16-24. Current activities include working closely with the Jobs for American Graduates (JAG) program, and cooperation with local one-stop-

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centers. The providers will consider adding more services in PY 16-17 such as Transition/Career Coaches that would focus on providing comprehensive services to youth.

In efforts to encourage and enhance these local partnerships, IDWD Adult Education and Strategic Initiatives teams have and will continue to host joint Professional Development events with local Directors from Adult Education and Youth Programs.

## **CHAPTER 10**

### **Integration with Other Adult Education and Training Activities**

*Section 224(b)(11) requires a description of how the adult education and literacy activities that will be carried out with any funds received under the Title II will be integrated with other adult education, career development, and employment and training activities in the state.*

#### **10.0 Integration with Other Adult Education and Training**

##### **10.1 Description of Planned Integrated Activities**

IDWD recognizes the significance of the Workforce Investment Act of 1998 that requires coordination of adult education, literacy, and workforce development with those of other agencies working with similar populations. The collaborative efforts of adult education and workforce development will continue to be encouraged. Indiana's Adult Education consortia optimize the full collaboration possible between Adult Education and workforce development, nonprofit organizations, community colleges and business. The consortia, consisting of partners from each of those entities, work together to design regionally-focused programs that integrate basic skills remediation and occupational training. By focusing on regional provision, the consortia optimize resources in ways that reflect local economic and workforce priorities.

##### **10.2 Unified State Plan**

The state is not submitting a unified plan as described in the Workforce Investment Act (Sec.501(a)) during PY15. See Chapter 15 for further details.

## CHAPTER 11

### Direct and Equitable Access to Apply for Funding

*Section 231(c) requires that each eligible agency receiving funds under Title II 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.*

*Section 224(b)(12) requires a description of the steps that the eligible agency will take to ensure direct and equitable access.*

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#### **11.0 Description of the Steps to Ensure Direct and Equitable Access**

##### **11.1 Description of Steps**

IDWD ensures direct access to apply for grants or contracts to all eligible providers in Indiana. All applicants eligible under Section 231 of the Workforce Investment Act of 1998 will submit applications to IDWD. They will not be required to apply through another agency or agencies in a multi-tiered process. The application processes will be designed so that direct application to IDWD is clearly evident, customary, and nonnegotiable. Direct application will be the norm regardless of whether an applicant, if awarded funds, would be considered a grantee or a contractor. Refer to Chapter 7.1, Applications, and Chapter 7.2, Eligible Providers, for further information.

IDWD ensures equitable access to apply for grants or contracts to all eligible providers in Indiana. The processes used for announcing the availability of federal funds under Section 231 is designed in such a way that no distinction is made in the type of eligible provider. The application process used to award funds for comprehensive adult education providers is the same for all eligible applicants.

##### **11.2 Notice of Availability**

All notices announcing the availability of federal funds will specify that all eligible providers have the right and are required to apply directly to the funding source. The same grant or contract announcement process and application process will be required for all categories of eligible providers under Section 231 Local Activities. A variety of methods of public notice will be used, including:

- Notice will be posted on the department's web site.
- Announcements will be emailed, to the extent possible, to potential applicants.

- For Grant continuation years, notices will be emailed and communicated to current eligible grantees only.

Refer to Chapter 7.3, Notice of Availability, for further information.

### **11.3 Further Information**

For further information about how applicants apply for state leadership funds, refer to Chapter 13.0, Description of Proposed Leadership Activities. Refer to Chapter 7.0, Procedures and Process of Funding Eligible Providers, and Chapter 12.0, Programs for Corrections Education and Other Institutionalized Individuals, for further information about how applicants apply for funds to serve individuals in correctional and other institutions.

## **CHAPTER 12**

### **Programs for Corrections Education and other Institutionalized Individuals**

*Section 225(a) requires that for each fiscal year, each eligible agency shall carry out corrections education or education for other institutionalized individuals from funds authorized by Section 222(a)(1). Section 232(1)(1) allows not more than 10 percent of 82.5 percent of the funding for the cost of educational programs for criminal offenders in correctional programs or education for other institutionalized individuals. Section 225(c) requires that priority be given to those individuals who are likely to leave the institution within five years of participation in the program.*

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### **12.0 Programs for Corrections Education and Other Institutionalized Individuals**

#### **12.1 Types of Programs**

Federal funds available to carry out educational programs for criminal offenders and other institutionalized individuals in Indiana will be used to provide adult basic education, English literacy, and secondary level or High School Equivalency Diploma preparation programs.

#### **12.2 Priority**

For programs serving criminal offenders in a correctional institution, priority must be given to serving individuals who are likely to leave these institutions within five years of participation in the program. Eligible providers intending to offer classes for incarcerated adults must consult with facility staff about expected release dates of potential students to assess eligibility and to determine class locations. Programs will be asked to address this

requirement in their applications, and IDWD will monitor compliance.

### **12.3 Types of Institutional Settings**

Under the Workforce Investment Act of 1998, the definition of “correctional institution” includes prison; jail; reformatory; work farm; detention center; and halfway house, community-based rehabilitation center, or other similar institution designed for the confinement or rehabilitation of criminal offenders.

### **12.4 Further Information**

IDWD will spend at least one percent but not more than 10 percent of its federal allocation for local activities on corrections education or education for other institutionalized individuals, as required by the act.

Policies, procedures, and activities for carrying out educational programs for criminal offenders and other institutionalized individuals are similar to those discussed in Chapter 4.0, Description of Adult Education and Literacy Activities, and Chapter 7.0, Procedures and Process of Funding Eligible Providers.

Correctional education funded by IDWD has largely been provided by the Indiana Department of Correction. Other providers have served individuals at county jails and individuals in and/or from various types of institutions other than correctional facilities through the comprehensive adult education programs. Traditionally, outreach programs also have offered services to inmates and other institutionalized adults. It is expected that these target populations will continue to be served through comprehensive programs but with more attention given to the funding constraints and to individuals who are likely to leave the facilities within five years.

## **CHAPTER 13**

### **State Leadership Activities**

*Section 223(a) requires that each eligible agency shall use funds made available under Section 222(a)(2) for one or more adult education and literacy leadership activities. Activities include: professional development; technical assistance to local providers; technology assistance including staff training; support of state or regional literacy resource centers; monitoring and evaluation; incentives for coordination, integration, and performance; curriculum development; other activities of statewide significance; coordination with support services; integration of literacy and occupational skills training and linkages with employers; and linkages with post-secondary institutions.*

*Section 222(a)(2) limits the funding for this purpose to a maximum of 12.5 percent of the state grant.*

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## **13.0 State Leadership Activities**

### **13.1 Description of New Required Activities**

#### **13.1.1 Alignment of adult education and literacy activities with other core programs and one-stop partners**

##### **One-Stop Participation**

The paradigm for adult education delivery will be focused primarily on adult education directors, coordinators, and teachers. However, it will impact the entire adult education and workforce investment system. Consequently, professional development offerings must be created for administrators and educators working in different situations that may include: regional consortium leadership settings; adult high school settings; community-based organization settings; co-located settings; other settings as outlined by particular regions; and programs that are offered at community college locations or other settings not outlined above.

In PY12 IDWD focused on building WorkINdiana, Indiana's career pathway bridge program that is funded through alternative streams and targets adult education students. Professional development offerings at a local, regional, and state level brought together one-stop partners and adult educators to encourage communication and collaboration between the entities around both WorkINdiana and other training and employment goals. In addition, IDWD placed special emphasis on collaboration between WorkOne partners that serve out of school youth, as defined by WIA Title I, and adult education partners. A statewide professional development event brought together all partners to focus on preparing for college and career readiness and targeting this population in particular.

In PY14 IDWD continued to emphasize the importance of collaboration between one-stop partners and adult education by: providing a strand at the Summer Institute for those who serve WIA Title I Out of School Youth; professional development around WorkINdiana; and representation of the WIA Title I Out of School Youth staff on the PD advisory board.

##### **Collaboration with Other Agencies and Programs**

IDWD collaborates with other agencies and organizations in planning and conducting professional development activities. Particular effort is made to train one-stop partners, their case managers and academic and career counselors.

In PY13 and PY14 additional emphasis was placed on further continuing to develop, integrate, and streamline collaboration with economic development partners and post-secondary institutions.

Thus far in PY14-15, much attention is being paid to aligning programs and services to WIOA. This includes ensuring the relevant partnerships are created and/or strengthened. More specifically, three of the four core partners outlined in WIOA are under the umbrella of IDWD. Adult Education, Youth workforce programming and Wagner-Peyser Employment Services are under the supervision of IDWD. As stated above (see Section 9.1), Adult Education and the Strategic Initiatives Divisions have been and will continue to work together to model at the state level and encourage local level partnerships. Section 8.3 lists the IDWD WIOA workgroups, which are bringing together members from all of the core partners, including Vocational Rehabilitation. In addition, IDWD and the Indiana Family Social Services Administration (the State Agency that houses Vocational Rehabilitation) are in conversations regarding other ways these two State Agencies can partner around providing Education and Training to clients.

The WIOA workgroups and additional partnerships are laying the foundation for a Unified State Plan to be created.

### **13.1.2 Establishment or operation of high quality professional development programs**

#### **Description of Activities**

The need for adult education services in the state of Indiana is significant. According to the 2011 American Community Survey, 45 percent of 18-64 year olds in the workforce in Indiana have not received any post-secondary education. According to the same survey, 12 percent, which is nearly 500,000, have less than a high school diploma or GED® certificate. In addition, many do not have the occupational training necessary to find or remain gainfully employed in the growing sectors of Indiana's recovering economy.

Beginning in PY09, IDWD outlined a new comprehensive, seamless regional approach to delivering adult education. Thus, professional development activities are centered around the following goals:

- To increase enrollment in adult education statewide and to speed learner progress through the required level gains by targeting retention, increasing service hours, expanding the use of online learning and to deepen learning through enhancing strategies in the coordination and delivery of instruction;
- To partner high school equivalency assessment preparation with occupational skills training (supported by alternative funding streams) so that late stage learners work simultaneously to earn a high school equivalency certificate and an occupational skills certification among a defined list of options;
- To use outcomes data to drive program improvement and performance funding to drive outcomes;
- To create a streamlined transition to postsecondary education and training.

In the summer of 2011, IDWD conducted a competition for professional development consultants to assist the state leadership team and regional consortia in achieving the

vision outlined above through the provision of the following critical services:

- Intensive needs evaluation and consulting services at the regional and local level;
- Development of a new comprehensive professional development paradigm and associated curriculum that reflects the new vision for adult education as outlined by the state leadership team;
- Delivery of professional development to teachers and administrators of adult education.

In PY12, IDWD launched an aggressive professional development schedule in response to the needs identified by the intensive needs survey and evaluation. The schedule included the following activities:

- Summer Institute – IDWD hosted two statewide adult education conferences to communicate the vision for adult education and provide baseline professional development on a number of topics relevant to adult education staff including data management, effective teaching methods, and effective program models.
- Administrator meetings – Because of the changes implemented by IDWD over the previous two years, adult education programs sought guidance on a number of issues of an administrative nature in order to implement promising practices and run more efficient and effective programs. In response, IDWD provided three administrator meetings covering data driving performance management, strategic consortium and program development, and implementing change.
- Instructor meetings – IDWD determined the professional development curriculum content that included development of training modules and materials sequencing associated deliverables with delivery of content along the new paradigm that took trainees through all three levels of learning: mechanical, functional, and communicative. IDWD provided two teacher meetings covering implementation of the common core and deepening lesson planning, and college and career readiness.
- ESL Institute – The intensive needs survey identified a particular need for focus on professional development for ESL teachers. IDWD provided an ESL Institute focused on lesson planning to increase speed and effectiveness.
- Adult Numeracy Institute – Working with LINCS, IDWD implemented ANI and had 24 teachers participate. IDWD added additional requirements to ANI including four webinars and two separate peer observation sessions.
- Workgroups – To further engage the field, IDWD launched three workgroups to assist in the development and delivery of future professional development. The workgroups are Standards in Action, Administrator, and Professional Development Advisory group

In PY13, IDWD built upon and deepened the professional development offerings to meet the needs of educators, raise the quality of services, and increase overall performance. Activities focused in particular on two topics: (1) increasing quality and performance of instructors and programs, and (2) college and career readiness, which includes

implementing college and career readiness standards, preparing for a more rigorous high school equivalency assessment, and transitioning to postsecondary and training.

In PY14, IDWD continued to expand its professional development opportunities for all adult education practitioners. See **Appendix F** for a list of professional development offerings. IDWD has also allocated additional leadership funds to each regional consortium to ensure that all practitioners will have an opportunity to participate in a state-sponsored professional development event.

Additionally, IDWD conducted a grant competition to procure a professional development contractor to assist in building a comprehensive standards-based system of adult education in Indiana. The winning contractor also assists IDWD in the logistics of its many professional development activities as well as the development of some content. IDWD has expanded its professional development opportunities considerably over the last few years. For more information, please visit [www.amplifyae.org/event-archive](http://www.amplifyae.org/event-archive) for a historical listing of all professional development events.

#### **Other activities of statewide significance**

IDWD will embark on an aggressive standards implementation plan over the next three program years (through PY16) to ensure that the system not only has solid content standards, but also administrator standards, paraprofessional standards, teacher standards, and more.

The Adult Education Division of IDWD has a robust Professional Development array of offerings. This division is in the process of reviewing all Professional Development (PD) services and offerings to ensure alignment with WIOA. This includes aligning PD offerings with the three new required activities, reading instruction, instruction related to the needs of adult learners and ensuring information about best and promising practices are disseminated and/or integrated within the PD appropriately.

#### **13.1.3 Provision of technical assistance to eligible providers of adult education and literacy activities receiving funds under this title**

##### **Provision of Technical Assistance –**

IDWD has Adult Education Coordinators who are responsible for providing members of each consortium with technical assistance on a variety of topics. The administrator workgroup launched in PY12 will continue in PY14. The workgroup will help to implement the Administrator 500 Series. Additionally, standardized, in-depth, multi-levelled training on the InTERS system will be developed and offered. Training will include both how to use the system as well as how to use the data to manage and increase performance.

13.1.3.a: Development and dissemination of instructional and programmatic practices based upon research.

IDWD develops PD offerings based upon appropriate research along with experts in the field through the PD contractor. For example, nationally recognized English Language instructors were sub-contracted by the PD contractor to develop the ESL-4-ESL PD offering. Ensuring that the development information is included in the PD offerings or disseminated by other means is an area of growth for IDWD. As IDWD examines all policies, processes and practices for alignment with WIOA, PD offerings development, implementation and evaluation are included.

13.1.3.b: Role of eligible providers as one-stop partner to provide access to employment, education, and training

As mentioned in Section 4.3, the new IDWD structure combines Adult Education and the Operation of WorkOne Centers under one Chief Operating Officer. The new structure will assist in aligning the two systems. With the new structure already in place, the effectiveness of each unit is increased, as the efforts to provide a streamlined service to Adult Education students are more fully incorporated into the WorkOne system. In addition, IDWD is continuously invested in making available different opportunities for eligible providers to share information about their work and create a platform for facilitating local and regional partnerships. In order to do so, IDWD has adopted a practice of incorporating these opportunities in different events it organizes. An example of this is the upcoming Summer Institute, a two-day conference packed with educational workshops, nationally recognized speakers and networking opportunities for Adult Education providers and WorkOne centers. The theme for this year is “The Power of We: Success Through Partnerships”, further highlighting the importance of partnerships at the state and local levels.

13.1.3.c: Assistance to providers in the use of technology to improve system efficiencies

Technical Assistance (TA) for technology is provided by multiple methods, depending upon the type of technology the need is related to. InTERS (see Section 6.1.2 for more details) TA is provided via trainings for new and experienced users; a web-based chat feature, where the InTERS staff can remote into the callers computer to trouble shoot problems; updates on upcoming changes and reminders at the Adult Education Statewide webinars that are currently held monthly; and through the monthly InTERS webinar that allows users to receive additional training and/or technical assistance on questions from users. InTERS

TA is geared for both how to use the system to enter required data as well as how to use the data the system collects to improve program practices. For example, programs can see level gains across instructors to identify staff who might need additional PD.

TA is provided to teachers and other Adult Education staff who use IDWD PD related technology, such as the AmplifyAE website and/or the Blackboard platform. TA is provided by IDWD PD staff, the PD contractor and/or the helpdesk associated with the technology being used.

HSE testing sites are provided with TA by the HSE contractor helpdesk. IDWD stays informed of the type of technology issues that testing centers have in order to address themes/statewide issues with the contractor directly.

TA questions typically go to the regionally based Adult Education Coordinator (AEC) first. Thus, the AEC must also be aware of where to direct questions. At Consortium meetings, the AECs also provide TA around how to use data to make program/system improvements.

#### **13.1.4: Monitoring and Evaluation of adult education and literacy activities and the dissemination of information about best and promising practices**

Monitoring and evaluation of adult education is completed in multiple ways. Section 5.2 gives a brief overview of the current monitoring process. In addition, program/performance data is monitored by AECs and discussed at Consortia meetings. IDWD Adult Education Division reviews data annually as part of the annual reporting process. Annual reviews allow for a statewide approach to determine which regions need additional TA. Program monitoring is conducted as part of the grant continuation process as well. IDWD as an agency is exploring via the WIOA workgroup the possibility of streamlining agency wide monitoring. Creating a formal evaluation process is an area of growth for IDWD Adult Education.

Through the Administrator 500 Leadership Series PD offering, Administrators completing all five modules have the opportunity to develop a Strategic Plan Portfolio and qualify for a microgrant of up to \$5000 to implement a project from that portfolio. Microgrant recipients are invited to share the project, successes and lessons learned at the Annual Directors Meeting and the Summer Institute. This allows promising practices to be shared with both administrators and instructors. As stated before, ensuring dissemination of information about models of instruction, best, proven and promising practices is an area of growth for IDWD.

### **13.2 Description of Permissible Activities**

IDWD is focusing on aligning the current policies, programs and procedures with WIOA, specifically ensuring compliance with the new State Leadership Activities, which includes the Permissible Activities. IDWD has focused on certain activities within this list in the past and will continue to evaluate which Permissible Activities IDWD continues to pursue.

#### **13.2.3 Developing and Disseminating Curricula**

IDWD is utilizing the Standards in Action process to help programs across the state unpack and implement the College and Career Readiness standards. The implementation plan will include how to adapt current curricula used in programs as well as suggesting new curricula.

#### **13.2.4 Integration of literacy and occupational skill training**

IDWD will continue to promote the importance of occupational skills training through WorkINdiana and general career awareness to its adult education professionals through professional development events and trainings provided on an ad hoc basis to consortia and providers.

#### **13.2.5 Linkages with Postsecondary Educational Institutions**

IDWD will continue to emphasize the importance of building partnerships with postsecondary institutions as well as the successful transition of adult education students to them. The focus of professional development events for PY14 is college and career readiness, with an emphasis on successful transition to college or occupational training.

## **CHAPTER 14**

### **English Literacy/Civics (EL/Civics)**

*Section 243 of WIOA codified Integrated English Literacy and Civics Education (IEL/CE). During the transition year, States must verify whether or not they are extending current EL/Civics grantees or running a new competition under WIA. States must also describe how they are planning for the full implementation of IEL/CE beginning July 1, 2016.*

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### **14.0 English Literacy/Civics (EL/Civics)**

#### **14.1 Transition year**

During this transition from WIA to WIOA year, IDWD is doing a continuation of all grants that were funded last year. See Section 4.14 for details on IEL/CE; Section 7.1 for Grant Continuation application details and Section 7.4 for Grant Continuation process.

**14.2 Plan for full implementation of IEL/CE**

IDWD is using the transition year’s grant continuation application to prepare providers for implementing IEL/CE. Local providers and regions must address their plans for implementation of the three new activities under WIOA, including IEL/CE.

In addition, IDWD has submitted an application for Technical Assistance through the LINCES ESLPro Project. Selections should be made by April 15, 2015. Through this process IDWD has identified the need to have an identified ELL subject matter expert. IDWD has identified this person within the current Adult Education team structure and will continue to identify additional opportunities to build the expertise within the Adult E team in efforts to support the local providers in this area.

**CHAPTER 15**

**Description of Joint Planning and Coordination for Unified Plan Only**

*Title V-General Provisions, Sec. 501(c)(3)(A)*

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**15.0 Description of Joint Planning and Coordination for Unified Plan Only**

**15.1 Description of Joint Planning**

Thus far in PY14, IDWD is focused on aligning programs and services to WIOA. This includes ensuring the relevant partnerships are created and/or strengthened. More specifically, three of the four core partners outlined in WIOA are under the umbrella of IDWD. Adult Education, WIA Adult, Dislocated Worker, Youth, and Wagner-Peyser Employment Services are under the supervision of IDWD. Section 8.3 lists the 14 IDWD WIOA workgroups, which are bringing together members from all of the core partners, including Vocational Rehabilitation. In addition, IDWD and the Indiana Family Social Services Administration (the State Agency that houses Vocational Rehabilitation) are in conversations regarding other ways these two State Agencies can partner around providing Education and Training to clients.

The WIOA workgroups and additional partnerships are laying the foundation for a Unified State Plan to be created.

**CHAPTER 16**

**Description of Activities Under Section 427 of the General Education Provision Act (GEPA)**

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**16.0 Description of Activities Under Section 427 of the General Education Provision Act (GEPA)**

**16.1 Descriptions of Activities under Section 427 of the General Education Provisions Act (GEPA)**

During PY14, IDWD will utilize both AEFLA and EL/Civics Leadership funds to provide significant professional development and technical assistance to build capacity and quality of its ESL programs. Providing targeted professional development to ESL programs will enable them to increase capacity and access to services and better serve Indiana's growing ESL population. IDWD is working with two national contractors to develop an 8-month cohort style training that will focus provide instructors with the knowledge and skills necessary to equip their ESL students to succeed. In addition, IDWD is researching and developing academic content standards for ESL.

Several sections within this document address Sec. 223 and 231. For more detailed information see Chapter 13; Section 4.2; Chapter 7, specifically Section 7.1 and Chapter 11. In general IDWD will abide by Sec. 223 and 231 to ensure equitable access to, and equitable participation in, any federally assisted program for students, teachers, and other beneficiaries with special needs.

## **CHAPTER 17**

### **One-Stop Participation**

*Title I, Sec. 121(b)(1) and 20 CFR 662.220(b)(1)*

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**17.0 One-Stop Participation**

**17.1 One Stop Participation**

With the leadership changes described in Section 4.2, the operations of both Adult Education the WorkOne Centers are under the Chief Operating Officer. This alignment will allow these two entities to work together closely and ensure a streamlined approach to services to Adult Education clients. IDWD is in the process of examining how interaction and collaboration between Adult Education and the WorkOne Centers will evolve. The IDWD WIOA workgroups will feed information and recommendations to IDWD leadership on how to align with WIOA, which will include recommendations for Adult Education and WorkOne Centers' collaborations.

IDWD will continue to determine who provides Adult Education for the State and the process by which Adult Education providers apply for funding to carry out adult education related services and programs.