



Four Lay-of-the-Land Papers
on
The Federal Role in Adult Literacy

Commissioned for the First Meeting
of the National Commission on Adult Literacy
on November 14, 2006

December 18, 2006

FOREWORD

The four papers in this series were commissioned for the first meeting of the National Commission on Adult Literacy, which met in Nashville on November 14, 2006. The Commission and its staff are pleased to make the papers available as a public service to the adult education and literacy field and to policymakers and others interested in adult education.

Additional papers and briefs are in preparation to help inform the work of the Commission. Many of these will be made publicly available during 2007 and 2008. The Commission's final report and recommendations will be published in mid-2008.

The Commission wishes to thank the authors of this first group of papers, all having an extensive historical sense of the development of adult education and literacy service in America. They are:

Lennox L. McLendon -- *Adult Education and Literacy Legislation and Its Effects on the Field* (pp. 1-1 to 1-18);

Garrett Murphy -- *Adult Education & Literacy in the United States: Need for Services, What the Current Delivery System Looks Like* (pp. 2-1 to 2-14 plus Appendices A-H), and the *Federal Role in Adult Literacy, FY05-06* (pp. 4-1 to 4-13); and

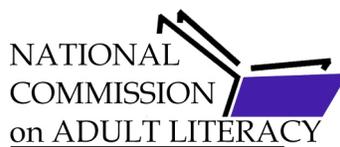
James Parker -- *Introduction to Main Strands of Federal Adult Literacy Programming* (pp. 3-1 to 3-17 including Appendix A).

A listing of the membership of the National Commission on Adult Literacy follows.

The Commission is managed by the Council for Advancement of Adult Literacy (1221 Avenue of the Americas – 46th Floor, New York, NY 10022, gspangenberg@caalusa.org). Commission study director Cheryl King operates from a CAAL satellite office in Kentucky (National Commission on Adult Literacy, c/o Council for Advancement of Adult Literacy, 115 East 2nd Street, Suite 310, Owensboro, KY 42303, cherylking@caalusa.org). The Commission's principle funders to date are The Dollar General Corporation, Harold W. McGraw, Jr., and The McGraw-Hill Companies, Inc. (in kind).

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(as of 12-18-06)

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Owen Modeland - President, Correctional Education Association (incoming); Superintendent of Schools, Oklahoma Department of Corrections.

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The Honorable Tom Sawyer - Former member, U.S. House of Representatives (OH); Author, National Literacy Act of 1991; Former Mayor, Akron, OH; Extensive Congressional role in tracking U.S. and world demographic trends and applying them to policy and program purposes.

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Gail Spangenberg - President and Founder, Council for Advancement of Adult Literacy; Former Operating Head, Business Council for Effective Literacy.

Andrew Sum - Professor of Labor Economics, Director of Center for Labor Market Studies, Northeastern University; National leader in labor market research related to adult literacy.

Robert Wedgeworth - President, ProLiteracy Worldwide; Former President, American Library Association; A leader in creating the National Coalition for Literacy in its original form.

William White – President and Chairman, Charles Stewart Mott Foundation; Leads Mott’s pioneering work in community education. Member, President Ronald Reagan’s Task Force on Private Sector Initiatives; Observer, Carter Center’s Delegation to the Palestinian Elections.

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The Honorable Richard Riley – Partner, Nelson, Mullins, Riley, and Scarborough; Secretary of Education in Clinton Administration; Former Governor, South Carolina; Recipient Harold W. McGraw Jr. Education Prize for national leadership.



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Adult Education and Literacy Legislation and Its Effects on the Field

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October 25, 2006

EXECUTIVE SUMMARY

The current legislation, the Adult Education and Family Literacy Act (AEFLA, 1998), provides basic skills instruction through a variety of providers for adults who are functioning below the high school completion level. As a part of a larger workforce bill (the Workforce Investment Act), this legislation has changed the culture of adult education in a number of ways.

That cultural change was prompted by Congress's change in philosophy about how they should govern – a shift in the vision of their role from “regulatory” to “continuous improvement.” The field applauds this change.

Regulatory Mode: Prior to 1998, Congress believed that its role was to explore the best thinking in the field, and based on that, to tell states and local providers how to run programs by citing specific requirements for programs and priorities in legislation. Congress passed this philosophy on to the administration, which interpreted Congress's intent and wrote prolific regulations further telling state and local providers how to run programs. This is the regulatory view of how to govern.

Continuous Improvement Mode: By 1998, with much prompting from the states, Congress came to understand that “one size fits all” does not allow for the many differences among and within the states. As a result, it replaced regulations with

performance measures. States were given the flexibility to be creative in assessing their needs, setting their priorities and delivering services. They could then measure their success based on the performance measures, identify and fix any weaknesses, and, as a result, continuously improve program services. This is the continuous improvement view of how to govern.

For the states, the first step in the regulatory to continuous improvement shift was to build data systems that could document student success related to the performance measures. As a result, three complex issues emerged:

- a) each state had to develop its own electronic data management systems with limited resources resulting in varying success among the states,
- b) arbitrary literacy levels were established that could distort results, and
- c) expectations for student follow-up were hampered by limited options for collecting reliable data for a large number of states.

The transition was complicated by a reduction in the funding allowed for professional development and resource development. When 80 percent of adult education teachers are part-time and thousands of volunteer tutors provide critical literacy services, professional development is crucial in transition times.

A final issue was raised by Congress's decision to make adult education a part of the job training bill. The intent was to promote adult education's critical role in preparing competent workers. That concentration, however, threatened to minimize the appreciation for adult education's contributions to a host of other national initiatives, including education reform (e.g., No Child Left Behind), welfare reform, incumbent workers through workplace education, services for senior citizens, and health literacy.

ADULT EDUCATION AND LITERACY LEGISLATION AND ITS EFFECTS ON THE FIELD

INTRODUCTION

Part I of this background paper provides the basic provisions of the law: its purpose, eligible participants and providers, the indicators of performance, and other critical foundations in the legislation. Part II reviews critical elements of the transition from regulatory to continuous improvement modes. Part III looks to what is on the horizon at the federal level.

PART I. BASIC PROVISIONS

A number of basic provisions frame and guide adult education and literacy programs under the 1998 law. These provisions have a significant impact on how services are planned, delivered, and evaluated.

Purpose: It is the purpose of the Adult Education and Family Literacy Act (AEFLA) to create a partnership among the federal government, states, and localities to provide adult education and literacy services, in order to

1. assist adults to become literate and obtain the knowledge and skills necessary for employment and self-sufficiency;
2. assist adults who are parents to obtain the educational skills necessary to become full partners in the educational development of their children; and
3. assist adults in completion of a secondary school education.

Eligible Participants: Eligible participants are individuals who have attained the age of 16, who are not enrolled or required to be enrolled in secondary school, and who:

1. lack sufficient mastery of basic education skills to enable the individuals to function effectively in society;

2. do not have a secondary school diploma or its recognized equivalent, and have not achieved an equivalent level of education; or
3. are unable to speak, read, or write the English language.

(Interpretation: adult education may serve adults functioning below the high school level, even if they have a high school diploma.)

Eligible Providers: Eligible providers include local educational agencies, community-based organizations, volunteer literacy organizations, institutions of higher education, public or private nonprofit agencies, libraries, public housing authorities, nonprofit institutions not described above, and consortiums of organizations.

Outcomes: Congress established five indicators of performance:

1. Improvement in literacy skills in reading, writing, and speaking English language, numeracy, problem solving, English language acquisition, and other literacy skills.
2. Placement in postsecondary education or other training programs.
3. Receipt of a secondary school diploma or its recognized equivalent.
4. Entry into employment.
5. Retention in employment.

(Interpretation: All adult students are measured by the first indicator, which is referred to as “educational gains.” For indicators 2-5, only the students with that goal are measured. For example, only the students who enter adult education to obtain a GED or high school diploma are included in the calculations for the second indicator.)

Direct and Equitable Access to Funds: All eligible providers previously listed have direct access to adult education funds through a competitive application process. All eligible providers use the same process and forms for applying for funds.

Financial Provisions:

State provisions

- A minimum of 82.5% of federal grants must be allocated to local providers.
- A maximum of 12.5% of federal grants may be allocated for state leadership (professional development, technical assistance, program monitoring, resource development, etc.).
- No more than 5% may be allocated for state administration.

Local provisions

- 5% of local allocations may be used for local administration unless a higher percentage is negotiated with the state.

PART II. CRITICAL ELEMENTS

Part II reviews critical elements of the transition from regulation to continuous improvement including positive and negative impacts on the field. To that end, a number of those provisions are examined that frame and guide adult education and literacy programs under the 1998 law and have a significant impact on how services are planned, delivered, and evaluated.

First, performance standards and their initial impact on the field are discussed. An important part of the discussion involves the efforts to document student success, including the complications created by the prevalence of learning disabilities among undereducated adults. A second discussion focuses on the implications of aligning adult education with job training legislation, including a brief discussion of the intended collaboration among federal job training programs at the state and local levels. Third, the impact of reduced funding for professional development and resource development is reviewed.

A. Performance Standards

A review of the previous adult education legislation will give a historical perspective. The National Literacy Act of 1991 introduced voluntary performance standards and began a discussion throughout the field of this question, “What are quality programs?” As a result, most states developed criteria for “good programs” and at various rates used them to think about improving program services.

The National Literacy Act still contained many program requirements, and the U.S. Department of Education added regulations to ensure that certain priorities were addressed and that certain provisions were in place. States were directed to set aside designated percentages of funds for specific activities.

The National Literacy Act, required the following:

- no more than 20% of funds could be spent on adult secondary students (adult high school and GED),
- at least 10% had to be spent on students in prisons and jails,
- at least 15% had to be spent on professional development,
- no more than 5% could be spent on local administration,
- no more than 5% could be spent on state administration.

National organizations voiced their concerns on a regular basis about the differences among and within states. Texas is different from Vermont, which is different from California, which is different from Minnesota. Furthermore, within a state, the rural mountain sections of the state are different from the urban cores, which are different from the farming regions, which are different from the sprawling suburban areas. The people are different, the needs are different, and, as a result, services need to respond to those differences. Decisions and regulations from Washington that apply equally to all states and all local programs overlook the differences in each. One size does NOT fit all.

In 1998, Congress made the transition from federal restrictions to more state and local decision making – from “regulations” to “continuous improvement.” The message from Congress and the Administration was to give states “flexibility” in program management.

As a result, many of the “one size fits all” stipulations in the legislation were de-emphasized. However, accountability was equally emphasized. That accountability came in the form of performance measures that states would have to report on annually. Congress identified five performance measures:

1. Educational Gains: document that students improve reading, math, and/or English skills.
2. High School Credentials: document that students who want a GED or high school diploma actually get one.
3. Transition to further training: document that students who want to go on to college or advanced training actually do.
4. Get a job: document that students who want to get a job actually gain unsubsidized employment.
5. Keep a job: document that students who need to improve their skills to retain a job actually do.

Because of their recognition that state programs were at different levels of development, Congress and the administration did not force the same performance standard for all the states. Rather, the intent was for each state to examine their data, note their current performance for each of the five measures, set that level as their benchmark, and improve every year.

Thus, the intent was to move more of the decision making to the state and local levels. States could assess their own needs, set their own priorities, and design and deliver their services accordingly. Just as governors and state legislatures who are closer to the needs of the people in their states set state priorities, adult education needed the flexibility to complement what was happening in the state.

The shift from regulations to performance standards was applauded by the field because of the promise of more responsive services for adult learners. As the following section details, the transition was both complex and tedious. However, it proved worth the effort.

B. Documenting Student Success: Data Management Systems

The first step in the transition for states was to develop a data system that could document how students were doing on the five performance measures. Few states had the electronic data management systems that are required to collect complex individual student demographic and performance data. The Department of Education did not feel it had the authority to prescribe a data system for all states to use. As a result, each state had to absorb the cost of designing and implementing a data system.

Such data systems are expensive to develop, and few developers had the thorough knowledge of the adult education data requirements. As a result, significant funding was spent on designing, testing, redesigning, and implementing data systems in order for states to document student success. In some cases, it took years. Some are still under development.

In addition, the cost and effort to train staff in using the systems were substantial. As will be discussed below, funds to support professional development were decreased with this legislation, challenging the transition.

C. Standardized Testing

The shift to performance standards and continuous improvement has caused a cultural shift in adult education student assessment. Prior to the implementation of the performance standards, student assessment of reading, math, and English skills was often conducted using a variety of standardized and non-standardized assessment instruments. Standardized tests were often used as “power” tests, not “timed” tests.

Rather than creating a stressful timed testing situation, teachers allowed students all the time they needed.

In addition, teachers used any number of informal assessments, especially for adults who did not do well on standardized tests but could demonstrate what they had learned in other ways. Furthermore, because half of adult education students are reported to have a learning disability, alternatives were advantageous.

In order to provide “valid and reliable data” to document performance, only certain standardized tests could be used and strict testing protocols had to be observed. In a field in which eighty percent (80%) of adult education teachers are part-time and thousands of volunteers provide critical instruction to adult learners, training on standardized testing protocol and newly-adopted state assessment policies became a costly and significant undertaking. With the high teacher/tutor turnover as a result of the part-time nature of the field, assessment training needs have become a substantial ongoing effort for the states.

Because of the time required to develop, field test, refine, and finalize the electronic and the accompanying intensive training needed to prepare all practitioners, the completion of this first step in the process took years. In 2006, states still report working bugs out of their data systems.

Such complications are the result of the complex requirements of individual student data entered at hundreds of locations by part-time staff, each of whom uses different hardware. Many states are now going to web-based systems in order to compensate for some of those irregularities.

D. Arbitrary Levels (Department of Education Policy)

How do states report performance on the Educational Gains performance indicators? It would have been easy enough for the Department of Education to give guidance on collecting “scale score” improvement data from standardized tests to document students’

improved skills. Scale score increases on standardized tests represent incremental improvement in reading, math, or English.

However, because the legislation called for the states to document increases in “literacy levels,” the Department interpreted that phrase as the need to create ‘levels of literacy:’ adult basic education, adult secondary, and English as a Second Language. The typical “level” was equivalent to two grade levels. For each level, states had a negotiated (with the U. S. Department of Education) percentage of learners who would complete that level as the state’s performance standard. The arbitrary levels risked distorting student success. For example, imagine a level that spans grade level 2.0 to 4.0. Kathi enters at 3.8 and with modest success advances to 4.1 and completes the “level.” Vonda enters at 2.1 and has significant success and at the end of the year scores 3.7. However, she is still within the “level” and thereby, has not completed the level and is not a success even though she had improved her skills by fifteen months while Kathi had only improved 3 months.

These arbitrary levels frustrate local providers and risk misrepresenting success. If practitioners feel like the data misrepresents their work, their faith in and use of the data to guide program improvement can be compromised.

E. Follow up – data match vs. survey

The other performance indicators – adult secondary, job related, and further education and training – require local or state programs to follow up on adult learners after they leave the program to determine if they accomplished their goal. Student follow-up data thus documents student success on those performance measures.

For job-related documentation, the Unemployment Insurance (UI) database contains data on every person receiving a paycheck. Thus, by performing a ‘data match’ – matching social security numbers of students with the UI data base – it is easy to document job-related success. However, because of state policy or law, twenty-plus states do not collect student social security numbers. With the data match option unavailable to them,

local programs that must document success have to conduct labor-intensive, ineffective telephone or paper follow-up surveys three months and nine months after students exit the program.

Survey results from undereducated adults, many of whom are transient, do not have telephones, or do not speak English very well, are weak to say the least. Data from such follow-up activities serves little purpose for local, state, or national uses.

F. Learning Disabilities

Various research findings indicate that a large percentage (50% to 80%) of adult education students have a learning disability, explaining in part, perhaps, why they were not successful in public schools. Prior to the 1980s, educators knew very little about learning disabilities, and as a result, students were not diagnosed and accommodations were not provided.

Learning disabilities are not the same thing as mental retardation or developmental disabilities. Being learning disabled means an adult has average or above intelligence but processes information differently – different from the way they have been taught. They can learn, but they do not learn the way we teach. Therefore, we should speak in terms of a “teaching disability” rather than the learners have a learning disability. These individuals can learn – we just have not figured out how to teach them.

Diagnosing learning disabilities is a complex specialty. Most adult education programs do not have the funds to pay for that diagnosis. Through extensive professional development, teachers and tutors can learn to watch for certain behavior or learning patterns and match those patterns with likely accommodations.

Assessing student learning using only one standardized test probably does not capture what is learned, especially for a learning disabled adult. As a result, student success and

the resulting program performance is confounded by the prevalence of learning disabilities.

G. Alignment with Job Training

Adult education and literacy services complement a number of federal initiatives. For example, the success of education reform (e.g., No Child Left Behind) is dependent on parents who have the educational skills to support their children before they enter school and while they are enrolled in school. The success of welfare reform is dependent on welfare recipients gaining the reading, math, English, problem solving and other basic skills to qualify for jobs with family-sustaining incomes. Public health initiatives are dependent on adults who can read, interpret, and follow medical instructions for themselves and their children. The American Medical Association reports that 46 percent of U.S. adults cannot read and follow those instructions. Training unemployed and underemployed adults to compete for jobs in a world economy is limited by deficiencies in reading, math, English and other basic skills. Prisoners' chances of not returning to prison are tied to their education attainment. New immigrants seeking citizenship are dependent upon learning English. In short, adult education and literacy is a foundation on which the success of other federal initiatives depends.

In 1998, Congress made the adult education bill a part of the Workforce Investment Act because they appreciated the crucial role adult education played in job preparation. Adult educators are proud of the contributions they make to enabling adults to compete for jobs with family-sustaining incomes. Adult educators, however, do not want Congress to lose sight of their contributions to other partner initiatives.

The law does not deny support for other initiatives but state and local programs have to exert themselves to maintain those other partnerships. With funds to serve only 3 million of the 93 million adults with reading, math, and English deficiencies, a pull from one partner challenges support for other critical partners. With funds actually decreasing due to across-the-board cuts, contributing to all partner initiatives is a challenge.

H. Collaboration

The Workforce Investment Act includes job training for adults and youth, adult education, Wagner Peyser (labor exchange services and unemployment compensation), Job Corps, rehabilitation services, and other employment related services. Including this array of services in one bill was an attempt to promote collaboration among adult services at the state and local levels, thereby making a “seamless” system of services. A much touted component is the “One Stop” where adults can access all the services they need in one place. The success of this effort varies within states as well as among states. Eliminating the silo effect that has been in place for so long among various federally-funded programs takes time and perseverance. While progress has been made in several states, there is still much work to be done to create a seamless system.

I. Professional and Resource Development (State Leadership) Funds

Eighty percent (80%) of adult education and literacy teachers are part-time. Thousands of volunteer tutors provide one-on-one and small group instruction. Because of work, family, and community responsibilities, most adult learners can only go to class part time. Thus a part-time instructional force is appropriate in many cases. However, extensive professional development is needed to provide the skills needed for instructional personnel (e.g. teachers, tutors) to respond to the array of instructional needs of undereducated adults. Recent research reports that ABE teachers have limited formal preparation geared specifically to teaching adults, and have limited opportunities for professional development and continued learning.

Bachelor degrees in adult education are rare. Most teachers come from other professions, many from jobs teaching children. However, teaching undereducated adults requires a unique set of skills for which few teachers or program managers are prepared. Professional development accessibility is critical.

In addition to accessible professional development, the adult education state directors have proposed increasing funding to support at least one full-time teacher/resource person for every ten part-time teacher. That full-time teacher/resource person would teach part time and provide instructional technical assistance to part-time teachers and tutors on a part-time basis. That “just in time” resource would help part-time instructional personnel address many of the instructional challenges they face.

The professional development challenge has been magnified by the reduction of professional development resources in the 1998 act. Prior to 1998, the state adult education programs were required to spend a MINIMUM of 15 percent of their federal funds on professional development and other resource development activities. This provision recognized the need for support for part-time teachers and tutors.

In the 1998 law, the state adult education program is allowed to spend a MAXIMUM of 12.5 percent of the federal funds for professional development and other resource development activities. The law requires performance standards, and the Department requires data systems, assessment protocols, and continuous improvement initiatives while the law reduces the funds to support such activities.

PART III

THE FEDERAL HORIZON: WHAT DOES THE FUTURE HOLD FROM THE ADMINISTRATION AND CONGRESS?

Administration: From all indications, the current administration has no plans to expand support for adult education. Its priorities are established and adult education and literacy is not one of them. The President signaled his value for adult education and literacy in the spring of 2005 when he proposed a 66 percent cut in the already-limited adult education funding. Only a massive effort from the field prompted Congress to reinstate level funding. Even so, with annual across-the-board cuts, federal funding for adult education has actually gone down.

State and local programs have made significant strides in assuming the responsibility for continuous improvement efforts. They still have much to do.

The administration could support those efforts in two ways: First, it can continue to build capacity by providing technical assistance to the states while limiting “one size fits all” regulations. Secondly, through the budget development process, it could take the lead in promoting incremental increases in adult education funding that will enable states to increase access to and continue improvement of quality services.

Congress: Congress will probably continue to focus on performance, continuous improvement programming, and collaboration. They have been patient as the states have toiled to develop data systems and valid, reliable procedures for documenting student success. Congressional staff members report confidence in the states’ initial success and look forward to state programs growing even stronger.

On the funding front, even though the members responded to the call from their constituents to restore level funding in 2005, without leadership and priority-setting from the administration, possibilities for significant increases are a challenge.

Three out of four dollars spent in adult education are state and local dollars. Some states and localities contribute significant funding, while others do only the minimum needed. Thus, the distribution is not equal across the states. Nonetheless, because the purpose of the legislation promotes the creation of a partnership among the federal government and states and localities, a reasonable goal would be to incrementally increase the overall federal contribution (now \$570 million) to parity with the overall state contribution (\$1.6 billion).

States: The states’ first task was to develop assessment protocols, design and build data systems to document student success, and train all staff to use them. Many states are still tweaking those complex systems, but for the most part, they have accomplished that mission.

The next steps will focus on the continuous-improvement capability in all programs. It is easy to run a regulatory program -- you read the regulations, do what the regulations tell you to do, and report that you have done them.

Continuous improvement management requires additional skills because a local program can do almost anything it wants, as long as performance measures improve. Knowing the right thing to do requires a new set of skills. Continuous improvement programming requires that state and local practitioners identify areas of their program services that can be improved by:

- a) assessing the program components to determine which are working and which are not,
- b) analyzing their data looking for red flags and potential problems, and
- c) identifying research findings that hold promise.

When areas of program improvement are found, continuous improvement programming requires engaging staff members in finding alternative strategies to fix what is not working, piloting those alternatives to make sure they work, building professional development and other resources to integrate the new alternative, actually integrating the alternative, and then monitoring it to ensure that it solves the problem.

Setting up such continuous improvement structures and processes will require significant professional and resource development efforts to help state and local program managers make the transition.

The Next Adult Education Bill: What are the chances for a new adult education bill in the near future?

The 1998 adult education bill was five-year legislation. Thus, plans for new legislation began in 2003 – the reauthorization process. The House passed a bill in 2005 and the

Senate passed a bill in June 2006. However, the bills are different. Thus, the next step is for Congress to form a Conference Committee comprised of members from each house to work out the differences. At this writing, the Conference Committee has not yet been named.

From discussions with Capitol Hill staff members, the chance is slim for a Conference and for subsequent legislation as the 109th Congress winds down in the fall of 2006. As the 110th Congress gears up in the early months of 2007, there are two basic options. The first is for the new Congress to move ahead with the two existing bills and go to Conference. The second is to throw out both bills and begin anew.

If the Republicans retain control of Congress, the first option is more likely. If the Democrats regain control, the second is more likely. If they split houses, all bets are off. No one is predicting what will happen. In preparation of the second option, the State ABE Directors in collaboration with the National Coalition for Literacy are developing a bill to propose to the Hill leadership staff after the first of the year.

Three-year delays in creating legislation have cramped the state and local programs:

- The five year plans states developed in 1998-1999 are increasingly out of date.
- The legislation required states to solicit multi-year applications from local providers to provide program stability and encourage long-range planning. Many states want to open a new solicitation to bring in new local providers but they are hesitant to go through that intensive process if new legislation is on the horizon. When new legislation comes, they will have to solicit new applications.

IV. SUMMARY

Adult educators applaud Congress's shift to performance standards, which allows more decision-making at the state and local levels where practitioners have a good sense of the needs of adult learners. Even though it has been difficult to get data systems that provide accurate, reliable data, adult educators have embraced the need to improve services and forged ahead.

The states are beginning to develop continuous improvement skills and capabilities to enable continuous improvement efforts at the state and local levels. State and local programs want to continue that development, which is a better approach than the top-down "one size fits all" approach. These new skills are producing responsive adult education services, and Congress and the administration should continue to enable these programs to build their capacity to solve their own issues for their own people.

Resources are critical to the success of this continuous improvement effort. If federal funding can be increased, state and local programs will have expansion room to focus beyond maintaining current levels of service; they will be able to expand services and devote resources to those continuous improvement efforts.

Also critical to success is the passage of new legislation which would enable states and local programs to develop new multi-year plans to update their program services.



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ADULT EDUCATION & LITERACY IN THE UNITED STATES: Need for Services, What the Current Delivery System Looks Like

by Garrett W. Murphy
National Policy Analyst
October 24, 2006

EXECUTIVE SUMMARY

1. LONG TERM NEED FOR AN ADULT EDUCATION AND FAMILY LITERACY SYSTEM

The National Assessment of Adult Literacy (NAAL), conducted by the National Center for Education Statistics in 2003, found that 30 million adults scored at the lowest level of a four-tiered scale in reading. Sixty-three million others scored at the second lowest level. The adults at this second lowest level could perform simple real life tasks that required reading, but nothing complex. Those at the lowest level could perform only the most basic of tasks. Another four million adults could not take the reading test because of language barriers. When these same adults were assessed in quantitative skills (mathematics) the numbers increased to 52 million in the lowest group and 71 million in the next lowest.

Low literacy skills have a deleterious effect on the ability of adults to secure and retain employment that leads to self sufficiency, especially in light of the escalating demands upon workers as an outcome of global competition. School reform, even if very successful, cannot be relied upon to solve the problem of undereducated workers. At a replacement rate of 2 percent per year it will be decades before school reform can have a decisive impact on the quality of the workforce.

The effects of low literacy are especially felt by the population receiving public assistance. Many are still unemployed and, of these, the great majority did not complete high school - making it difficult for them to secure employment. And many who may have found employment in the initial years of welfare reform are still in poverty because their poor skills become a barrier to improving their situations.

Some 25 million foreign-born immigrants and refugees reside in the United States. About 80 percent are adults. The majority come from countries where a language other than English is spoken and, in many cases, even education in the native language is limited. This population needs instruction in the English language to meet the demands of the economy and society.

The single greatest predictor of the educational success of children is the level of education of the mother. For school reform to be successful, parents must be able to support their children's education – especially by reading to them. School reform has created a need for parent education that not only addresses the low reading skills of parents but also imparts techniques to support their children's education.

The National Institutes for Health reports that the deleterious effects of undereducation on preventive health measures and on health care costs in the United States is \$75 billion annually in unnecessary expenditures. The National Assessment of Adult Literacy (NAAL) found a significant correlation between school noncompletion and scoring at the lowest level of a special health literacy assessment. The adverse effects of low literacy on maintaining a healthy lifestyle are also felt by businesses in the form of protracted absenteeism and the increasing cost of employer-provided health benefits.

Seventy percent of prisoners in correctional institutions in the U.S. scored in the two lowest levels in the National Adult Literacy Survey. Various studies have found that raising education levels reduces recidivism. A Virginia study found that out of a sample of 3,000 inmates, 49 percent of those who did not participate in correctional education programs were re-incarcerated compared to 20 percent of those who did participate.

2. THE ADULT EDUCATION AND FAMILY LITERACY SYSTEM

The federal Workforce Investment Act lays out the arrangements among federal, state and local levels to deliver instruction to adults in need. Persons 16 years of age and older and out of school are eligible to receive instruction. This instruction can be in basic education, secondary education (to prepare for a high school diploma or a GED), or in English acquisition. The Office of Vocational and Adult Education (OVAE) of the U.S. Department of Education keeps a small amount for program improvement and distributes the federal annual appropriation to the states and to some of the “outlying areas” based on their share of the national total of out of school youth and adults without a diploma.

Each state must designate an “eligible agency for adult education and literacy to receive its federal appropriation. This agency retains a small percentage for program improvement, adds a state match, and conducts a competition among local schools, colleges and/or public or private not for profit organizations which, upon receipt of a grant or contract, provides instruction to eligible out of school youth or adults, and reports their status and progress to the state eligible agency that in turn sends these reports to OVAE. Some states provide only a 25 percent required match: a few generously overmatch.

The Workforce Investment Act (Title II) also provides for the National Institute for Literacy (NIFL). NIFL has national responsibility for research, development, and demonstration for the literacy of both children and adults. NIFL works with a number of field-based professional organizations to carry out its program improvement activity.

3. THE POPULATION SERVED AND SERVICES PROVIDED

About 2.6 million out of school youth and adults were reported by OVAE to be enrolled in 2004-2005, a decrease in the numbers estimated for recent years. Of these, one million were in adult basic education (ABE), 421,000 were in adult secondary education (ASE), and 1.14 million were in English language courses (ESOL – English for speakers of other

languages). ABE, ASE, and ESOL programs also take place in specific contexts, such as family literacy settings, workplace literacy settings, and correctional venues. An emerging venue for adult education programs is at the One-Stop customer service centers established under Title I of the Workforce Investment Act. Among the organizations that provide service for these constituent groups are schools, community colleges, libraries, voluntary tutoring programs, and community-based organizations.

4. ACTIONS TO RESPOND TO THE CONGRESSIONAL CALL FOR QUALITY

Adult literacy professionals have worked with OVAE to put into place a National Reporting System to monitor enrollments and achievements. States may receive incentive awards if their vocational, employment, and adult programs all exceed negotiated levels. A number of problems have emerged as states and localities have attempted to implement this new system. For example, there is a paucity of valid and reliable tests for learners operating at the lowest levels of basic education.

THE NEED FOR SERVICES AND THE CURRENT U.S. DELIVERY SYSTEM

(1) LONG TERM NEED FOR ADULT EDUCATION & FAMILY LITERACY SYSTEM

A number of factors show that the nation has a long-term adult literacy need, as the following indicates:

The National Assessment of Adult Literacy (NAAL): The percent of adults without a high school diploma has declined according to the most recent decennial census. However, a federal study conducted in 2003 by the Institute of Educational Sciences' National Center for Educational Statistics (for which results have recently been made available) reveals that 30 million adults function at the lowest level of a four-tiered performance scale in reading. This group's basic skills (or ability to speak English if foreign born) are below basic level, putting them at severe risk of being unable to achieve or sustain self-sufficiency. The study shows strong correlations between low basic skills, low income, and dependence upon public assistance. Equally disturbing is the existence of a second group of 63 million adults whose skills fall short of what is increasingly needed in a global economy in which America's relatively higher wages can only be sustained by increases in productivity. Another four million adults could not take the reading test because of language barriers. (See Attachments A and B.) Taken together, these groups comprise 45 percent of the nation's adult population. When adults were also assessed for basic math ability the numbers increased to 52 million in the lowest category and 71 million in the second lowest category (Arnold Goldstein, Andrew J. Kolstad, and Sheida White, 2003).

The Tightening Spiral of Change: In the early days of the 20th century, an elementary school education qualified most Americans to discharge their obligations on the job, in the community, and to their families. Beginning around the middle of the 20th century a high school education was needed. In the 21st century not only are more adults seeking and needing some level of postsecondary or occupational education, the demands of job performance involve new applications of basic skills to a workplace that continues to

change. Businesses need to work hand-in-hand with adult education and literacy programs to meet these challenges. They cannot wait for school reform to upgrade their workforce at a replacement rate of two (2) percent per year. Eighty percent of today's workers will still be in the workforce 10 years from now.

The Welfare Challenge: There can be no arguing that welfare reform in our nation has met with impressive success, but there is still much work to be done. The approximately two fifths of the caseload (1,895,756 cases with at least one adult per case) that remains on the rolls (M. Leavitt, 2006) poses a need for different strategies. The great majority of this population did not complete high school or has limited proficiency in English. Their prospects of getting and holding a job are severely compromised by this limited education or language proficiency. Yet, education should not replace work for this population; programs are needed that combine education and work, not only for those just entering the workforce, but also for those who may have found employment in the initial years of welfare reform but whose salaries in their current positions are insufficient to raise them out of poverty.

Our Changing Demography: According to an analysis by the National Institute for Literacy of the 2000 Current Population Survey, 28.4 million foreign-born resided in the United States in 2000, representing 10 percent of the total U.S. population. Some 51 percent were born in Latin America, 25 percent were born in Asia, 15.3 percent were born in Europe, and 8.1 percent were born in other regions of the world. Seventy-nine percent of the foreign born were 18 to 64 years of age, compared to 59.7 percent of natives (L. Lollick, 2001). Aside from a relatively small number who have been given special visas by our government to fill strategic high-skill labor shortages, the majority come from countries where the native language is other than English and, in many cases, where opportunity for a basic education in the native language is limited. Adults in this group need instruction in the English language to be able to function in the economy and society. This population displays extraordinary interest in acquiring this instruction; despite their small 10 percent share of the total population, almost one half of all current enrollments in adult education and family literacy programs are persons with limited proficiency in English.

Effect On School Reform: The single greatest predictor of the educational success of children is the education level of the mother. Reaching the national goal of “leaving no child behind” is highly dependent upon having parents read to their children and on the value they place on reading and learning in the home. Parents whose own reading skills are limited may be unable to, or are reluctant to, perform this essential service. Family literacy programs are available that not only help adults improve their own reading skills but also give them valuable practice in how to support their children’s education through what is called PACT time (programs in which Parent and Children learn together). Dollars spent on these programs are often referred to as “double duty dollars” because of the beneficial effect they have on both generations.

Public Health Concerns: The National Institutes for Health reports that the deleterious effect of undereducation on preventive health care costs the United States \$75 billion annually in unnecessary expenditures. The American Medical Association reports that 46 percent of adults cannot read and follow medical instructions (Nielsen-Bohlman, 2004). The NAAL mentioned above provides an assessment of the health literacy of the nation’s adults. It assesses respondents’ ability to respond to questions dealing with how adults should relate to health care providers, what preventive health measures they should take, and how well they are able to negotiate health care systems. NAAL has found that 49 percent of adults who either had never attended high school or never completed it (the adult population most in need of instruction) scored at the lowest health literacy level (M. Kutner, E. Greenberg, Y. Jin, and C. Paulsen, 2006, p.4, executive summary). This group was certainly challenged by recent legislation calling for adults to select the health insurance coverage that best met their needs from a variety of complicated options. The adverse effects of low literacy on maintaining a healthy lifestyle also have an impact on businesses in the form of protracted absenteeism and the rising cost of employer-provided health benefits.

Crime and Recidivism: Seventy percent of prisoners in correctional institutions in the United States scored in the two lowest levels in the National Adult Literacy Survey (levels below necessary proficiency). (Note: Results have not yet been reported from the 2003 NAAL assessment, but there is no reason to believe the numbers have changed

appreciably.) Various studies have found that raising education levels reduces recidivism. A Virginia study found that out of a sample of 3,000 inmates, 49 percent of those who did not participate in correctional education programs were re-incarcerated compared to 20 percent of those who did participate.

(2) THE ADULT EDUCATION AND FAMILY LITERACY SYSTEM

The Adult Education and Literacy System in the United States is guided by three purposes contained in Title II of the Workforce Investment Act. Title II is also known by the “short title” given it in Section 201 - the Adult Education and Family Literacy Act. This legislation was enacted to “create a *partnership* among the federal government, states, and localities to provide, on a voluntary basis, adult education and literacy services, in order to –

- (a) assist adults to become literate and obtain the knowledge and skills necessary for employment and self sufficiency;
- (b) assist adults who are parents to obtain the educational skills necessary to become full partners in the education of their children; and
- (c) assist adults in the completion of a secondary school diploma.

Adult education is defined in the Act as “services or instruction below the postsecondary level for individuals –

- (a) who have attained 16 years of age
- (b) who are not enrolled or required to be enrolled in secondary school under State law; and
- (c) who
 - lack sufficient mastery of basic educational skills to enable the individuals to function effectively in society;
 - do not have a secondary school diploma or its recognized equivalent, and have not achieved an equivalent level of education; or

- are unable to read, speak, or write the English language.

Although the program purposes and definition allow for more than workforce related activity, so many enrollees come to adult education and family literacy to qualify for jobs or better jobs that the Congress placed the program in the Workforce Investment Act.

The “Partners”

At the National Level: The Adult Education and Family Literacy Act is administered by the Division of Adult Education and Literacy (DAEL) of the Office of Vocational and Adult Education, U.S. Department of Education. The primary functions of the Department are to call for and review State plans, distribute most of the funding by formula to the States (the Department is allowed to keep a small amount for national leadership activities – including commissioning research activities), collect and analyze accountability data, monitor State operations for compliance, and provide technical assistance and professional development opportunities to the States.

There is also the National Institute for Literacy (NIFL), which was established by the National Literacy Act of 1991. NIFL was set up to provide a national focal point for literacy within and outside of the federal government, but it is federally funded. It conducts basic and applied research in the development of policies regarding literacy goals, objectives and strategies; provides coordination assistance; assists in policy analysis and evaluation; provides program and technical assistance to state and local groups, including staff training; collects and disseminates information; and coordinates and tracks the literacy programs of federal agencies. NIFL has also been given major responsibility for research on children’s reading programs. The Director of the Institute reports to an interagency team comprised of the Secretaries of Education, Labor, and Health and Human Services.

Other entities also function at the national level. The State Directors of Adult Education maintain a national presence by operating both a National Council (their advocacy arm) and a National Adult Education Professional Development Consortium (their

professional development and policy analysis arm). Other national leadership organizations – which are also active in policy development, research, and/or direct service instruction -- are The American Library Association, The Commission on Adult Basic Education (COABE), the Correctional Education Association, the Council for Advancement of Adult Literacy (CAAL), Literacy USA (formerly the National Alliance of Urban Literacy Coalitions), the National Center for Family Literacy, the National Center for the Study of Adult Learning and Literacy (NCSALL), Proliteracy Worldwide (created by a merger of the former Literacy Volunteers of America and Laubach Literacy International), and TESOL (Teachers of English to Speakers of Other Languages). All of the above (and more than two dozen other organizations, are members of the National Coalition for Literacy, the field’s collective advocacy and policy voice.

At the State Level: Each state must assign responsibility for the program to an “eligible State agency for adult education and literacy.” In most cases, the agency is the one that operates public schools or community colleges. Some states have created departments of workforce development and placed the responsibility for adult education therein. The “eligible State agency for adult education and literacy” is responsible to carry out the approved state plan and to distribute Adult Education and Family Literacy Act (AEFLA) and matching funds to ensure that all sections of the state receive a fair share. Some states generously overmatch the 25 percent required (U.S. Department of Education, Office of Vocational and Adult Education, 2004); others provide only what is required – often as “in-kind” rather than as additional funding for local programs. (See Attachment C for state-by-state information). Funds flow from the “eligible State agency” to a diverse set of local service providers via a competitive process in the form of multi-year sub-grants or contracts. Providers may be schools, colleges, vocational centers, libraries, not-for-profit community based organizations (including faith-based groups), and volunteer agencies. All eligible agencies must have “direct and equitable access” to apply for sub-grants or contracts.

States also receive federal funds that may be used to provide technical assistance, professional and curriculum development (especially in the use of technology),

monitoring and administration, negotiating performance levels with local agencies, and delivering technical assistance as indicated by local provider performance.

At the Local Level: Local provider agencies have the responsibility to recruit adult learners, organize and deliver instruction, assess student performance at entry and measure improvement, prepare accountability reports and submit them to the state and to One-Stop Career Centers, strive for continuous improvement, and collaborate with other community agencies that can provide needed concurrent and post-program services to enrolled adults. Approximately 80 percent of instructors work part-time (see the state-by-state breakdown in Attachment D -- U.S. Department of Education, Office of Vocational and Adult Education, 2006), and there is considerable turnover - creating a constant need for staff development.

(3) THE POPULATION SERVED BY THE PROGRAMS & THE SERVICES PROVIDED

Services: Adult education and literacy providers generally offer instruction at a level ranging from adult basic education through adult secondary education to preparation for college and occupational study. Adult Basic Education (ABE) provides instruction to adults with low literacy skills. Adult Secondary Education (ASE) provides instruction that leads to a high school diploma or its equivalent, such as a GED certificate. English for Speakers of Other Languages (ESOL) provides instruction in speaking, reading, and writing English.

ABE, ASE, and ESOL programs also take place in specific contexts. Two major settings have been family literacy and workplace literacy; another setting is found in the nation's federal, state, and local correctional institutions. An emerging venue for adult education programs is at the One-Stop customer service centers established under title I of the Workforce Investment Act.

Family literacy provides integrated educational services for families, including adult education for parents in conjunction with early childhood education for their children.

Services also focus on developing parents' knowledge and skills as their children's first teachers and encouraging active involvement in their children's schooling. Workplace literacy provides basic skills instruction for incumbent and potential workers either at work sites or in community settings. Developed in partnership with employers, these programs often provide customized instruction focused on job performance. Corrections programs emphasize preparation for employment for prisoners nearing release. One-Stop programs combine education with other employment-related services to prepare the unemployed and under-employed for work that leads to self-sufficiency.

Enrollments: Approximately 2.6 million adults were reported as being enrolled in federally-funded adult education programs in 2004-2005, according to information submitted to the National Reporting System. Of these, approximately 1 million were enrolled in adult basic education, 421,000 were in adult secondary education, and 1.14 million were in English language instruction (OVAE, U.S. Department of Education, 2006). (A state-by-state breakdown can be found in Attachment E.)

Categories of Learners: Adult literacy provider groups and organizations serve a diverse group of learners with a variety of needs. Among the participants are the working poor, immigrants, high school dropouts, people with disabilities, the prison population, welfare recipients, and any adults in general who function below high school level whether or not they have a high school diploma. The majority of participants are either young adults or adults in their prime employment years. According to Office of Vocational and Adult Education, in 2004-2005 over 39 percent of individuals reported enrolled in adult education and literacy programs were ages 16 to 24. Another 44 percent were ages 25-44. Almost 13 percent were ages 45-59, and 3.5 percent were age 60 and older. In addition to being relatively young, the majority of participants were either Hispanic or white. Over 43 percent of adult learners were Hispanic, 27 percent were white, almost 20 percent were African-American, 7 percent were Asian/Pacific Islander, and 1.4 percent were American Indian or Alaskan Native. Almost fifty-five percent of enrollees were female and just over 45 percent male. (State-by-state breakdowns can be found in Attachments F, G, and H.) (OVAE, 2006).

(4) ACTIONS TO RESPOND TO THE CONGRESSIONAL CALL FOR QUALITY

Research, Improvement and Accountability: In several pieces of legislation over the last three years, the Congress has sent a clear message that the instruction offered by education programs should be based upon sound research, that instructors should be qualified and given the professional development needed to ensure quality, and that programs should be held accountable for results. In response to that message, the field, working with the Department of Education, has put in place an accountability system (the National Reporting System^{*}) whereby all programs are to track and report annually on learning gains, placement and retention in employment (for those who indicated that securing or retaining employment was a goal), and success in earning a high school diploma or GED and/or acceptance into further training or postsecondary education. Each local provider agency's performance are to be available to the public. States may earn incentive awards if statewide performance in adult education, vocational education, and employment and training exceeds expectations.

The implementation of the National Reporting System has not been without controversy. For example, there are concerns about the paucity of valid and reliable commercially available tests for learners operating at the lowest levels. There is also a belief that the several growth-measuring "levels" in the system do not represent equal ranges of achievement.

^{*} The National Reporting System is more comprehensively addressed in another paper in this series titled Adult Educaiton and Literacy Legislation and Its Effects on the Field, by Lennox L. McLendon, October 25, 2006.

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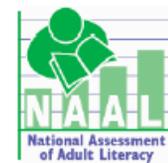
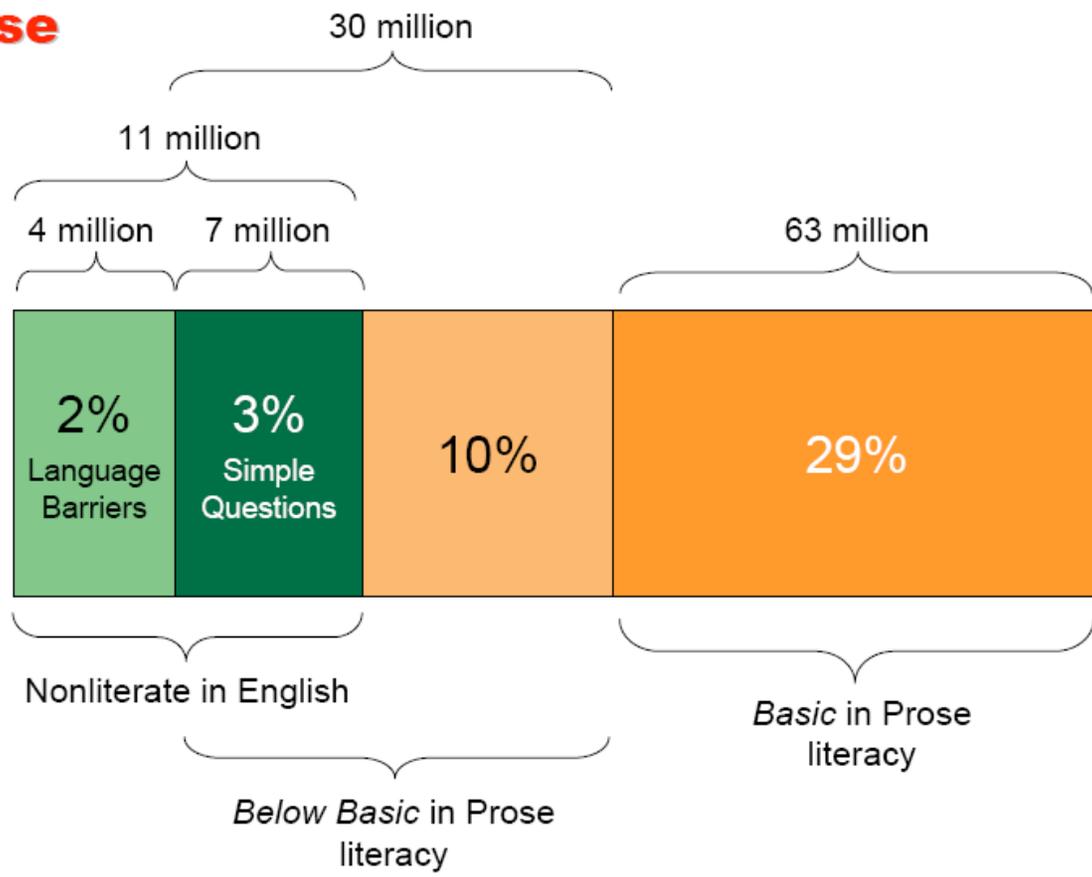
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Percentage of adults *Nonliterate in English, Below Basic, and Basic in Prose* literacy: 2003

ies NATIONAL CENTER FOR EDUCATION STATISTICS

Prose



Sample document task: receipt for certified mail

- 80 million adults were unable to enter the provided name and address correctly

P 138 573 931

RECEIPT FOR CERTIFIED MAIL
NO INSURANCE COVERAGE PROVIDED
NOT FOR INTERNATIONAL MAIL

Sent to	
Street and No.	
P.O., State and ZIP Code	
Postage	\$
Certified Fee	
Special Delivery Fee	
Restricted Delivery Fee	
Return Receipt showing to whom and Date Delivered	
Return Receipt showing to whom, Date, and Address of Delivery	
TOTAL Postage and Fees	\$
Postmark or Date	

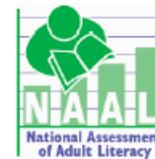
PS FORM 3800, June 1985

Fold at line over top of envelope to the right of the return address.

CERTIFIED

P 138 573 931

MAIL



**STATE-ADMINISTERED ADULT EDUCATION PROGRAM
FISCAL YEAR 2003 EXPENDITURES
(JULY 1, 2003 - SEPTEMBER 30, 2005)**

STATE or OTHER AREA	FEDERAL EXPENDITURES	NON-FEDERAL EXPENDITURES	TOTAL EXPENDITURES	STATE MATCH*	2003-2004 ENROLLMENT
ALABAMA	\$9,309,165	\$5,681,364	\$14,990,529	37.90%	21,555
ALASKA	\$1,068,806	\$1,570,500	\$2,639,306	59.50%	3,588
ARIZONA	\$9,544,514	\$4,438,200	\$13,982,714	31.74%	27,699
ARKANSAS	\$5,591,873	\$17,443,428	\$23,035,301	75.72%	35,512
CALIFORNIA	\$81,645,017	\$644,516,257	\$726,161,274	88.76%	591,574
COLORADO	\$6,340,386	\$2,225,173	\$8,565,559	25.98%	15,097
CONNECTICUT	\$5,877,988	\$37,207,313	\$43,085,301	86.36%	32,878
DELAWARE	\$1,518,950	\$1,689,593	\$3,208,543	52.66%	6,119
DIST. of COLUMBIA	\$1,672,114	\$1,743,623	\$3,415,737	51.05%	3,170
FLORIDA	\$34,112,173	\$299,915,261	\$334,027,434	89.79%	370,985
GEORGIA	\$15,937,572	\$8,184,667	\$24,122,239	33.93%	118,458
HAWAII	\$2,366,735	\$3,156,842	\$5,523,577	57.15%	9,089
IDAHO	\$2,180,705	\$973,939	\$3,154,644	30.87%	7,261
ILLINOIS	\$23,025,499	\$16,227,265	\$39,252,764	41.34%	124,404
INDIANA	\$9,917,278	\$27,720,791	\$37,638,069	73.65%	41,148
IOWA	\$4,207,542	\$8,662,364	\$12,869,906	67.31%	12,242
KANSAS	\$4,013,544	\$1,337,848	\$5,351,392	25.00%	9,788
KENTUCKY	\$9,110,930	\$14,197,600	\$23,308,530	60.91%	32,235
LOUISIANA	\$9,349,086	\$8,672,669	\$18,021,755	48.12%	32,502
MAINE	\$2,065,028	\$12,478,841	\$14,543,869	85.80%	8,814
MARYLAND	\$9,037,214	\$8,489,388	\$17,526,602	48.44%	30,304
MASSACHUSETTS	\$10,465,908	\$27,969,650	\$38,435,558	72.77%	21,578
MICHIGAN	\$16,016,869	\$89,105,973	\$105,122,842	84.76%	48,273
MINNESOTA	\$6,684,475	\$34,388,000	\$41,072,475	83.73%	44,220
MISSISSIPPI	\$6,333,061	\$2,860,586	\$9,193,647	31.11%	26,467
MISSOURI	\$9,674,247	\$5,997,855	\$15,672,102	38.27%	37,729
MONTANA	\$1,429,592	\$974,748	\$2,404,340	40.54%	3,864
NEBRASKA	\$2,579,683	\$860,062	\$3,439,745	25.00%	10,267
NEVADA	\$4,156,379	\$1,543,728	\$5,700,107	27.08%	8,732
NEW HAMPSHIRE	\$1,849,623	\$2,108,530	\$3,958,153	53.27%	5,866
NEW JERSEY	\$16,757,292	\$28,838,937	\$45,596,229	63.25%	41,803
NEW MEXICO	\$3,751,409	\$5,035,000	\$8,786,409	57.30%	22,842
NEW YORK	\$42,747,980	\$77,805,600	\$120,553,580	64.54%	165,618
NORTH CAROLINA	\$15,268,359	\$44,695,711	\$59,964,070	74.54%	110,185
NORTH DAKOTA	\$1,210,416	\$532,662	\$1,743,078	30.56%	2,154
OHIO	\$18,705,695	\$11,974,250	\$30,679,945	39.03%	56,607
OKLAHOMA	\$6,227,259	\$2,131,297	\$8,358,556	25.50%	21,164
OREGON	\$5,565,666	\$31,276,934	\$36,842,600	84.89%	21,701
PENNSYLVANIA	\$22,223,189	\$22,124,685	\$44,347,874	49.89%	53,706
RHODE ISLAND	\$2,378,748	\$3,163,568	\$5,542,316	57.08%	5,166
SOUTH CAROLINA	\$8,036,620	\$14,771,633	\$22,808,253	64.76%	67,408
SOUTH DAKOTA	\$1,364,545	\$476,396	\$1,840,941	25.88%	3,607
TENNESSEE	\$11,520,568	\$4,277,393	\$15,797,961	27.08%	47,755
TEXAS	\$46,282,885	\$15,427,628	\$61,710,513	25.00%	122,773
UTAH	\$3,236,029	\$8,326,865	\$11,562,894	72.01%	31,429
VERMONT	\$1,063,644	\$4,315,361	\$5,379,005	80.23%	2,283
VIRGINIA	\$12,684,453	\$5,393,155	\$18,077,608	29.83%	28,037
WASHINGTON	\$9,054,774	\$25,837,723	\$34,892,497	74.05%	40,193
WEST VIRGINIA	\$4,412,561	\$2,853,080	\$7,265,641	39.27%	10,213
WISCONSIN	\$7,904,045	\$7,226,044	\$15,130,089	47.76%	29,132
WYOMING	\$903,218	\$613,010	\$1,516,228	40.43%	2,424
PUERTO RICO	\$10,931,988	\$3,651,206	\$14,583,194	25.00%	45,796
GUAM	\$370,945	\$50,583	\$421,528	12.00%	900
NO. MARIANA COL	\$356,709	\$61,090	\$417,799	14.62%	436
VIRGIN ISLANDS	NA	NA	NA	NA	1,134
PALAU	\$59,049	\$12,273	\$71,322	17.21%	91
MARSHALL ISLANDS	\$59,049	\$160,479	\$219,528	16.88%	311
AMERICAN SAMOA	\$215,976	\$43,874	\$259,850	16.88%	833
MICRONESIA	NA	NA	NA	NA	NA
UNITED STATES	\$560,375,026	\$1,613,418,494	\$2,173,793,520	74.22%	2,677,119

NA - Data Not Available

Source: U.S. Department of Education
Office of Vocational and Adult Education
Division of Adult Education and Literacy
04/28/06

STATE-ADMINISTERED ADULT EDUCATION PROGRAM PROGRAM YEAR 2004-2005 PERSONNEL

STATE or OTHER AREA	TOTAL ADULT ED PERSONNEL	PART-TIME PERSONNEL	FULL-TIME PERSONNEL	VOLUNTEERS
Alabama	877	574	177	126
Alaska	383	97	74	212
American Samoa	7	1	6	0
Arizona	1,725	317	513	895
Arkansas	2,152	575	399	1,178
California	17,352	11,134	4,887	1,331
Colorado	1,555	666	122	767
Connecticut	2,796	1,842	259	695
Delaware	245	212	33	0
District of Columbia	176	78	36	62
Fed. States of Micronesia	NA	NA	NA	NA
Florida	14,351	10,179	2,317	1,855
Georgia	2,137	1,406	415	316
Guam	22	12	9	1
Hawaii	706	646	45	15
Idaho	421	269	42	110
Illinois	7,578	3,355	792	3,431
Indiana	2,419	1,133	263	1,023
Iowa	825	413	47	365
Kansas	568	250	97	221
Kentucky	1,189	503	634	52
Louisiana	967	605	332	30
Maine	1,817	635	111	1,071
Marshall Islands	NA	NA	NA	NA
Maryland	1,916	1,017	274	625
Massachusetts	4,047	1,399	592	2,056
Michigan	5,064	1,736	823	2,505
Minnesota	4,244	1,010	323	2,911
Mississippi	628	392	195	41
Missouri	1,592	913	172	507
Montana	228	79	46	103
Nebraska	1,100	382	55	663
Nevada	406	266	37	103
New Hampshire	928	318	66	544
New Jersey	3,107	1,134	597	1,376
New Mexico	1,296	735	213	348
New York	14,819	4,356	1,879	8,584
North Carolina	5,942	4,749	781	412
North Dakota	101	62	17	22
Northern Mariana Islands	27	23	4	0
Ohio	2,842	1,193	306	1,343
Oklahoma	951	883	64	4
Oregon	2,207	665	277	1,265
Palau	27	25	2	0
Pennsylvania	6,454	1,510	956	3,988
Puerto Rico	2,272	2,173	99	0
Rhode Island	1,327	366	54	907
South Carolina	1,952	1,575	364	13
South Dakota	157	89	56	12
Tennessee	1,303	654	269	380
Texas	4,716	3,778	732	206
Utah	1,679	683	165	831
Vermont	316	43	82	191
Virgin Islands	115	87	4	24
Virginia	6,868	1,649	162	5,057
Washington	3,368	1,228	386	1,754
West Virginia	318	212	106	0
Wisconsin	1,358	538	350	470
Wyoming	226	99	37	90
UNITED STATES	144,169	70,923	22,155	51,091

NA - Data Not Available
SOURCE: U.S. Department of Education
(OVAE-DAEL) February 06

STATE-ADMINISTERED ADULT EDUCATION PROGRAM PROGRAM YEAR 2004-2005 ENROLLMENT

STATE or OTHER AREA	2005 TOTAL ENROLLMENT	ABE	ESL	ASE
Alabama	19,827	15,691	1,626	2,510
Alaska	3,791	2,434	600	757
American Samoa	838	343	410	85
Arizona	26,881	11,205	14,544	1,132
Arkansas	37,102	22,570	5,868	8,664
California	591,893	96,986	429,024	65,883
Colorado	15,011	4,244	9,427	1,340
Connecticut	31,958	4,852	13,891	13,215
Delaware	6,329	3,221	1,968	1,140
District of Columbia	3,646	1,382	1,845	419
Fed. States of Micronesia	NA	NA	NA	NA
Florida	348,119	130,805	114,310	103,004
Georgia	95,434	54,240	31,659	9,535
Guam	1,062	552	132	378
Hawaii	7,461	1,895	3,061	2,505
Idaho	7,744	4,250	2,475	1,019
Illinois	118,296	30,897	72,311	15,088
Indiana	43,498	24,181	8,197	11,120
Iowa	11,989	5,482	3,915	2,592
Kansas	9,475	4,567	3,830	1,078
Kentucky	30,931	22,488	2,768	5,675
Louisiana	29,367	22,621	1,917	4,829
Maine	8,151	3,645	1,765	2,741
Marshall Islands	NA	NA	NA	NA
Maryland	27,055	11,414	10,347	5,294
Massachusetts	21,448	7,317	12,013	2,118
Michigan	34,768	20,560	10,843	3,365
Minnesota	47,174	13,081	27,507	6,586
Mississippi	25,675	21,437	781	3,457
Missouri	37,052	23,518	7,955	5,579
Montana	3,291	2,266	199	826
Nebraska	10,226	4,795	4,217	1,214
Nevada	9,981	1,400	8,163	418
New Hampshire	5,804	1,916	1,925	1,963
New Jersey	40,889	12,235	25,265	3,389
New Mexico	24,132	13,409	8,299	2,424
New York	157,486	59,929	86,111	11,446
North Carolina	109,047	60,673	29,711	18,663
North Dakota	2,063	1,225	273	565
Northern Mariana Islands	740	59	274	407
Ohio	50,869	33,893	8,031	8,945
Oklahoma	20,447	13,338	4,480	2,629
Oregon	21,668	9,753	10,436	1,479
Palau	206	66	56	84
Pennsylvania	54,274	27,652	16,195	10,427
Puerto Rico	33,463	6,186	1,482	25,795
Rhode Island	6,697	2,442	3,138	1,117
South Carolina	65,901	45,497	7,534	12,870
South Dakota	3,517	2,218	545	754
Tennessee	48,924	35,770	6,738	6,416
Texas	119,867	49,237	64,726	5,904
Utah	29,320	14,170	10,218	4,932
Vermont	2,015	1,099	273	643
Virgin Islands	1,019	319	430	270
Virginia	29,222	12,260	13,020	3,942
Washington	50,386	18,488	28,296	3,602
West Virginia	9,444	7,049	287	2,108
Wisconsin	26,029	12,748	7,034	6,247
Wyoming	2,379	1,261	404	714
UNITED STATES	2,581,281	1,017,231	1,142,749	421,301
Percent of Total Enrollment		39.4%	44.3%	16.3%
NA - Data Not Available				
SOURCE: U.S. DEPARTMENT OF EDUCATION				
(OVAE-DAEL) February-06				

STATE-ADMINISTERED ADULT EDUCATION PROGRAM PROGRAM YEAR 2004-2005 ENROLLMENT

STATE or OTHER AREA	2005 TOTAL ENROLLMENT	ABE	ESL	ASE
Alabama	19,827	15,691	1,626	2,510
Alaska	3,791	2,434	600	757
American Samoa	838	343	410	85
Arizona	26,881	11,205	14,544	1,132
Arkansas	37,102	22,570	5,868	8,664
California	591,893	96,986	429,024	65,883
Colorado	15,011	4,244	9,427	1,340
Connecticut	31,958	4,852	13,891	13,215
Delaware	6,329	3,221	1,968	1,140
District of Columbia	3,646	1,382	1,845	419
Fed. States of Micronesia	NA	NA	NA	NA
Florida	348,119	130,805	114,310	103,004
Georgia	95,434	54,240	31,659	9,535
Guam	1,062	552	132	378
Hawaii	7,461	1,895	3,061	2,505
Idaho	7,744	4,250	2,475	1,019
Illinois	118,296	30,897	72,311	15,088
Indiana	43,498	24,181	8,197	11,120
Iowa	11,989	5,482	3,915	2,592
Kansas	9,475	4,567	3,830	1,078
Kentucky	30,931	22,488	2,768	5,675
Louisiana	29,367	22,621	1,917	4,829
Maine	8,151	3,645	1,765	2,741
Marshall Islands	NA	NA	NA	NA
Maryland	27,055	11,414	10,347	5,294
Massachusetts	21,448	7,317	12,013	2,118
Michigan	34,768	20,560	10,843	3,365
Minnesota	47,174	13,081	27,507	6,586
Mississippi	25,675	21,437	781	3,457
Missouri	37,052	23,518	7,955	5,579
Montana	3,291	2,266	199	826
Nebraska	10,226	4,795	4,217	1,214
Nevada	9,981	1,400	8,163	418
New Hampshire	5,804	1,916	1,925	1,963
New Jersey	40,889	12,235	25,265	3,389
New Mexico	24,132	13,409	8,299	2,424
New York	157,486	59,929	86,111	11,446
North Carolina	109,047	60,673	29,711	18,663
North Dakota	2,063	1,225	273	565
Northern Mariana Islands	740	59	274	407
Ohio	50,869	33,893	8,031	8,945
Oklahoma	20,447	13,338	4,480	2,629
Oregon	21,668	9,753	10,436	1,479
Palau	206	66	56	84
Pennsylvania	54,274	27,652	16,195	10,427
Puerto Rico	33,463	6,186	1,482	25,795
Rhode Island	6,697	2,442	3,138	1,117
South Carolina	65,901	45,497	7,534	12,870
South Dakota	3,517	2,218	545	754
Tennessee	48,924	35,770	6,738	6,416
Texas	119,867	49,237	64,726	5,904
Utah	29,320	14,170	10,218	4,932
Vermont	2,015	1,099	273	643
Virgin Islands	1,019	319	430	270
Virginia	29,222	12,260	13,020	3,942
Washington	50,386	18,488	28,296	3,602
West Virginia	9,444	7,049	287	2,108
Wisconsin	26,029	12,748	7,034	6,247
Wyoming	2,379	1,261	404	714
UNITED STATES	2,581,281	1,017,231	1,142,749	421,301
Percent of Total Enrollment		39.4%	44.3%	16.3%
NA - Data Not Available				
SOURCE: U.S. DEPARTMENT OF EDUCATION				
(OVAE-DAEL) February-06				

**STATE-ADMINISTERED ADULT EDUCATION PROGRAM
PROGRAM YEAR 2004-2005 ENROLLMENT OF PARTICIPANTS BY AGE**

STATE or OTHER AREA	AGE 16-18	AGE 19-24	AGE 25-44	AGE 45-59	AGE 60 & OVER	TOTAL
Alabama	4,915	5,815	7,274	1,551	272	19,827
Alaska	660	1,289	1,343	420	79	3,791
American Samoa	145	176	266	226	25	838
Arizona	2,180	6,270	14,303	3,543	585	26,881
Arkansas	5,759	10,306	15,514	4,323	1,200	37,102
California	50,976	136,737	292,721	82,108	29,351	591,893
Colorado	1,677	3,656	8,028	1,360	290	15,011
Connecticut	6,430	8,045	12,989	3,687	807	31,958
Delaware	1,034	2,065	2,539	592	99	6,329
District of Columbia	297	876	1,780	531	162	3,646
Fed. States of Micronesia	NA	NA	NA	NA	NA	NA
Florida	82,451	90,627	123,687	41,598	9,756	348,119
Georgia	18,115	28,951	38,736	8,188	1,444	95,434
Guam	205	399	411	43	4	1,062
Hawaii	1,449	1,589	2,531	1,081	811	7,461
Idaho	1,360	1,933	3,523	832	96	7,744
Illinois	8,869	31,801	59,469	14,655	3,502	118,296
Indiana	11,694	11,337	16,079	3,721	667	43,498
Iowa	2,045	3,895	4,846	941	262	11,989
Kansas	1,924	2,783	3,830	780	158	9,475
Kentucky	3,340	9,268	14,211	3,431	681	30,931
Louisiana	7,481	9,845	9,474	2,000	567	29,367
Maine	2,148	2,139	2,669	933	262	8,151
Marshall Islands	NA	NA	NA	NA	NA	NA
Maryland	4,025	6,541	12,629	3,253	607	27,055
Massachusetts	1,144	3,920	11,432	4,006	946	21,448
Michigan	1,269	11,001	17,225	4,313	960	34,768
Minnesota	2,025	12,311	24,950	5,908	1,980	47,174
Mississippi	5,107	8,261	9,571	2,358	378	25,675
Missouri	4,529	10,474	16,771	4,302	976	37,052
Montana	739	968	1,168	358	58	3,291
Nebraska	1,614	3,075	4,542	877	118	10,226
Nevada	497	2,181	5,652	1,353	298	9,981
New Hampshire	799	1,736	2,417	668	184	5,804
New Jersey	2,708	7,654	21,411	7,369	1,747	40,889
New Mexico	3,790	5,776	11,388	2,526	652	24,132
New York	6,472	34,486	80,563	28,120	7,845	157,486
North Carolina	19,245	29,898	44,936	12,339	2,629	109,047
North Dakota	476	606	655	251	75	2,063
Northern Mariana Islands	82	193	435	28	2	740
Ohio	4,661	16,120	22,562	5,992	1,534	50,869
Oklahoma	3,041	5,278	9,409	2,325	394	20,447
Oregon	2,945	5,487	10,583	2,285	368	21,668
Palau	10	46	124	26	0	206
Pennsylvania	6,426	13,991	23,966	7,490	2,401	54,274
Puerto Rico	15,229	8,601	6,514	1,743	1,376	33,463
Rhode Island	759	1,613	3,209	912	204	6,697
South Carolina	7,039	15,141	25,745	12,336	5,640	65,901
South Dakota	520	1,219	1,422	304	52	3,517
Tennessee	9,535	13,229	19,462	5,115	1,583	48,924
Texas	13,410	26,786	62,254	14,736	2,681	119,867
Utah	3,068	8,137	13,414	3,740	961	29,320
Vermont	604	528	653	196	34	2,015
Virgin Islands	239	335	256	168	21	1,019
Virginia	2,560	6,678	14,718	4,399	867	29,222
Washington	2,592	12,573	26,755	6,967	1,499	50,386
West Virginia	1,804	2,656	3,939	933	112	9,444
Wisconsin	3,300	8,160	11,788	2,441	340	26,029
Wyoming	671	744	742	178	44	2,379
UNITED STATES	348,088	656,205	1,159,483	326,859	90,646	2,581,281
Percent of Total Enrollment	13.5%	25.4%	44.9%	12.7%	3.5%	

NA - Data Not Available

SOURCE: U.S. DEPARTMENT OF EDUCATION,
OFFICE OF VOCATIONAL AND ADULT EDUCATION
DIVISION OF ADULT EDUCATION AND LITERACY
February-06

**STATE-ADMINISTERED ADULT EDUCATION PROGRAM
PROGRAM YEAR 2004-2005 ENROLLMENT OF PARTICIPANTS BY RACE/ETHNICITY**

STATE or OTHER AREA	AMERICAN INDIAN or ALASKAN NATIVE	ASIAN	BLACK or AFRICAN AMERICAN	HISPANIC or LATINO	NATIVE HAWAIIAN OR OTHER PACIFIC ISLAND	WHITE
Alabama	149	314	8,084	1,612	33	9,635
Alaska	1,336	395	175	465	68	1,352
American Samoa	0	0	0	0	838	0
Arizona	1,219	1,087	1,152	19,700	73	3,650
Arkansas	458	887	9,876	6,193	83	19,605
California	11,325	81,604	30,341	400,430	6,646	61,547
Colorado	286	888	641	10,381	34	2,781
Connecticut	107	2,003	6,798	13,980	59	9,011
Delaware	31	258	2,292	1,818	16	1,914
District of Columbia	12	133	1,918	1,460	3	120
Fed. States of Micronesia	NA	NA	NA	NA	NA	NA
Florida	971	7,185	95,854	152,864	5,291	85,954
Georgia	212	4,931	36,279	25,834	159	28,019
Guam	0	78	6	7	950	21
Hawaii	52	3,002	229	611	2,622	945
Idaho	285	339	109	2,875	33	4,103
Illinois	190	8,071	21,819	58,310	21	29,885
Indiana	301	1,551	10,307	8,234	41	23,064
Iowa	211	825	1,226	3,337	60	6,330
Kansas	263	667	939	3,947	24	3,635
Kentucky	249	876	5,293	2,306	63	22,144
Louisiana	273	633	14,368	1,891	34	12,168
Maine	93	419	974	412	11	6,242
Marshall Islands	NA	NA	NA	NA	NA	NA
Maryland	275	2,177	10,857	7,598	55	6,093
Massachusetts	90	2,518	4,373	7,247	28	7,192
Michigan	435	2,371	10,817	5,325	78	15,742
Minnesota	1,467	7,004	14,836	12,356	60	11,451
Mississippi	159	241	14,156	812	30	10,277
Missouri	323	2,054	10,230	4,874	56	19,515
Montana	554	128	41	242	17	2,309
Nebraska	420	368	1,643	4,429	34	3,332
Nevada	87	774	474	7,554	76	1,016
New Hampshire	25	586	343	1,032	9	3,809
New Jersey	92	2,759	9,495	22,469	45	6,029
New Mexico	2,868	686	533	16,640	38	3,367
New York	1,276	14,816	37,647	68,159	268	35,320
North Carolina	2,218	4,389	35,880	27,816	1,312	37,432
North Dakota	394	68	192	124	17	1,268
Northern Mariana Islands	0	318	0	2	419	1
Ohio	459	2,364	14,490	4,341	81	29,134
Oklahoma	2,172	858	2,946	5,027	39	9,405
Oregon	575	1,691	972	9,105	149	9,176
Palau	0	0	0	0	206	0
Pennsylvania	156	4,650	14,292	11,068	55	24,053
Puerto Rico	0	6	1	33,446	1	9
Rhode Island	64	607	820	2,866	27	2,313
South Carolina	226	1,283	32,578	7,271	62	24,481
South Dakota	970	135	343	310	4	1,755
Tennessee	295	1,300	12,942	5,583	45	28,759
Texas	410	4,162	10,634	90,703	145	13,813
Utah	812	1,303	1,438	11,668	347	13,752
Vermont	37	82	183	137	8	1,568
Virgin Islands	0	0	752	263	0	4
Virginia	101	3,173	8,472	8,779	36	8,661
Washington	1,483	7,238	5,055	17,388	774	18,448
West Virginia	53	148	850	199	1	8,193
Wisconsin	726	2,186	4,835	6,417	35	11,830
Wyoming	163	74	52	587	3	1,500
UNITED STATES	37,408	188,663	511,852	1,118,504	21,722	703,132
Percent of Total Enrollment (2,581,28)	1.4%	7.3%	19.8%	43.3%	0.8%	27.2%
NA - Data Not Available						

SOURCE: U.S. DEPARTMENT OF EDUCATION
OFFICE OF VOCATIONAL AND ADULT EDUCATION
DIVISION OF ADULT EDUCATION AND LITERACY
February-06

**STATE-ADMINISTERED ADULT EDUCATION PROGRAM
PROGRAM YEAR 2004-2005 ENROLLMENT OF PARTICIPANTS BY GENDER**

STATE or OTHER AREA	TOTAL ENROLLMENT	MALE	% MALE	FEMALE	% FEMALE
Alabama	19,827	9,286	46.8%	10,541	53.2%
Alaska	3,791	1,746	46.1%	2,045	53.9%
American Samoa	838	376	44.9%	462	55.1%
Arizona	26,881	10,195	37.9%	16,686	62.1%
Arkansas	37,102	17,159	46.2%	19,943	53.8%
California	591,893	273,984	46.3%	317,909	53.7%
Colorado	15,011	6,064	40.4%	8,947	59.6%
Connecticut	31,958	15,128	47.3%	16,830	52.7%
Delaware	6,329	3,263	51.6%	3,066	48.4%
District of Columbia	3,646	1,603	44.0%	2,043	56.0%
Fed., States of Micronesia	NA	NA	NA	NA	NA
Florida	348,119	164,019	47.1%	184,100	52.9%
Georgia	95,434	45,422	47.6%	50,012	52.4%
Guam	1,062	517	48.7%	545	51.3%
Hawaii	7,461	2,740	36.7%	4,721	63.3%
Idaho	7,744	3,390	43.8%	4,354	56.2%
Illinois	118,296	34,659	29.3%	83,637	70.7%
Indiana	43,498	23,335	53.6%	20,163	46.4%
Iowa	11,989	5,465	45.6%	6,524	54.4%
Kansas	9,475	4,259	44.9%	5,216	55.1%
Kentucky	30,931	14,797	47.8%	16,134	52.2%
Louisiana	29,367	14,366	48.9%	15,001	51.1%
Maine	8,151	3,719	45.6%	4,432	54.4%
Marshall Islands	NA	NA	NA	NA	NA
Maryland	27,055	13,387	49.5%	13,668	50.5%
Massachusetts	21,448	8,186	38.2%	13,262	61.8%
Michigan	34,768	19,094	54.9%	15,674	45.1%
Minnesota	47,174	22,928	48.6%	24,246	51.4%
Mississippi	25,675	12,032	46.9%	13,643	53.1%
Missouri	37,052	19,730	53.2%	17,322	46.8%
Montana	3,291	1,435	43.6%	1,856	56.4%
Nebraska	10,226	5,145	50.3%	5,081	49.7%
Nevada	9,981	4,502	45.1%	5,479	54.9%
New Hampshire	5,804	2,260	38.9%	3,544	61.1%
New Jersey	40,889	17,582	43.0%	23,307	57.0%
New Mexico	24,132	11,480	47.6%	12,652	52.4%
New York	157,486	63,385	40.2%	94,101	59.8%
North Carolina	109,047	55,270	50.7%	53,777	49.3%
North Dakota	2,063	1,008	48.9%	1,055	51.1%
Northern Mariana Islands	740	272	36.8%	468	63.2%
Ohio	50,869	21,476	42.2%	29,393	57.8%
Oklahoma	20,447	10,083	49.3%	10,364	50.7%
Oregon	21,668	11,189	51.6%	10,479	48.4%
Palau	206	137	66.5%	69	33.5%
Pennsylvania	54,274	23,307	42.9%	30,967	57.1%
Puerto Rico	33,463	19,235	57.5%	14,228	42.5%
Rhode Island	6,697	2,605	38.9%	4,092	61.1%
South Carolina	65,901	27,870	42.3%	38,031	57.7%
South Dakota	3,517	1,663	47.3%	1,854	52.7%
Tennessee	48,924	21,230	43.4%	27,694	56.6%
Texas	119,867	46,883	39.1%	72,984	60.9%
Utah	29,320	16,534	56.4%	12,786	43.6%
Vermont	2,015	845	41.9%	1,170	58.1%
Virgin Islands	1,019	416	40.8%	603	59.2%
Virginia	29,222	12,137	41.5%	17,085	58.5%
Washington	50,386	22,941	45.5%	27,445	54.5%
West Virginia	9,444	4,403	46.6%	5,041	53.4%
Wisconsin	26,029	11,981	46.0%	14,048	54.0%
Wyoming	2,379	1,134	47.7%	1,245	52.3%
UNITED STATES	2,581,281	1,169,257	45.3%	1,412,024	54.7%

SOURCE: U.S. DEPARTMENT OF EDUCATION
OFFICE OF VOCATIONAL AND ADULT EDUCATION
DIVISION OF ADULT EDUCATION AND LITERACY
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Introduction to Main Strands of Federal Adult Literacy Programming

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EXECUTIVE SUMMARY

Many federal and state agencies embrace the mandate to improve the functional literacy skills of our adult population. Four federal agencies, in particular, support special initiatives of research, development, and program improvement to help fulfill this mandate. They are the U.S. Departments of Education, Labor, and Health and Human Services, and the National Institute for Literacy.

This paper provides a summary introduction to the key legislative initiatives and projects recently funded by these agencies, focusing on the 33 main programs. Included are: English as a Second Language, Workforce and Workplace Education, Disabled Adults, Technology Use, Transition to Postsecondary Education, Youth Services, Reading, Mathematics, Health Literacy, Content Standards, Data Projects, and Research and Development. The specific legislative mandates that support these programs (see Appendix A) are the Workforce Investment Act, Title I (Department of Labor) and Title II (Department of Education and the National Institute for Literacy).

Observations: There is limited direct access to funding, outcome, and other information about these efforts. Outcomes and levels of effectiveness are not always clear. Assessment of projects and programs would help determine how well goals are being met and how to improve these efforts in future. Outcome information would be useful to adult literacy planners at all levels, but it is unclear how well agencies are disseminating findings that they do have. Support is limited for dedicated diffusion and adoption training to assure that innovations take hold and are brought to scale. And, information on state literacy initiatives is not available nationally.

A. INTRODUCTION

This paper provides basic summary information on recent initiatives and projects funded by the Division of Adult Education (DAEL) of the U.S. Department of Education (DOE), the National Institute for Literacy (NIFL), and the U.S. Departments of Labor (DOL) and Health and Human Services (HHS). While DAEL and NIFL have direct legislative mandates for sponsoring adult literacy projects, DOL and HHS approach literacy in the context of other priorities such as workforce training and public health.

The following information is presented by programmatic type rather than on an agency-by-agency basis because the author believes this approach will be more useful to the Commission in assessing current practice and future needs.

B. AGENCY AND CONGRESSIONAL MANDATES

Each agency's purpose in supporting national adult literacy initiatives is briefly stated below. (See Appendix A for the actual legislative mandates.)

The **DAEL**, by law, carries out a National Leadership program "to enhance the quality of adult education and literacy programs nationwide." Congress gives priority to activities such as: improving the quality of instructional materials and techniques...conducting research...developing and replicating model programs...disseminating best practice information...providing for independent evaluations of adult education activities... supporting program capacity building...helping programs develop performance measures and management information systems...and developing model performance data collection systems. Funding for these initiatives is approximately \$9 million each year, about 1.5 percent of the almost \$600 million funded by Congress for the Adult Education Program. [For updated information on current and newly-funded projects and initiatives, go to <http://www.ed.gov/rschstat/eval/sectech/factsheet/index.html>.]

NIFL's mandate is to provide leadership for the improvement and expansion of the adult literacy system by: establishing a national electronic data base to disseminate information on effective instructional practices...providing opportunities for technical assistance, conferences, etc....providing a communication network for literacy programs, social service agencies, and students...coordinating support for adult literacy services across federal agencies and at state and local levels...coordinating support for research and development across federal agencies...collecting and disseminating information on methods for advancing literacy...providing policy and technical assistance to federal, state, and local entities...funding a network of state and regional resource centers... coordinating and sharing information with national literacy organizations and associations...and advising Congress and federal agencies on development of literacy policy. Funding for these initiatives is about \$6 million a year. [For updated information, go to <http://www.nifl.gov/nifl/adulthood.html>.]

DOL’s mandate, which relates in part to adult literacy, is to fund demonstration and pilot projects “to develop, implement, and demonstrate the effectiveness of methods to meet employment and training needs.” Literacy projects may include: establishing advanced manufacturing technology skill centers...providing training to upgrade the skills of employed workers...developing training programs using computer-based learning technologies, including distance learning...and providing services to increase employment of out-of-school youth, individuals with disabilities, and public housing residents. Total funding allocated for DOL training programs and demonstration projects is \$9.5 billion per year, but data is not available on the amount specifically devoted to adult literacy. [For updated information, go to <http://www.doleta.gov/>.]

The **HHS adult literacy connection** is very broad – from research on improving reading programs to developing and providing health literacy services. Data on the amount of HHS funding that specifically supports adult literacy is not available. [For updated information, go to <http://www.health.gov/communication/literacy/default.htm>.]

C. INITIATIVES AND PROJECTS

The following initiatives (by subject) have been recently supported by one or more of the four agencies covered in this paper. It should be noted, in general, that these agencies provide few readily accessible, consolidated, or comprehensive descriptions of their adult literacy initiatives. Thus, project dates and funding levels are in some cases estimates. Information was gathered primarily through searches of agency documents and websites, supplemented by personal knowledge and conversations with colleagues. (Also see Issues of Special Concern on p. 12.)

English as a Second Language (ESL) Initiatives

In states with emerging English-as-a-Second-Language (ESL) populations, The **Center for Adult English Language Acquisition (CAELA)** focuses on building the capacity of states to provide systematic training and ongoing technical assistance to teachers and administrators in adult English acquisition programs. CAELA also provides and disseminates research-based resources and promising practices at the national level for more effective adult English language instruction. CAELA created a new ESL Resource Database that contains dissertation abstracts, academic journals, technical government papers and reports, literature reviews, monographs, and other annotated documents of interest to teachers, administrators, students, and researchers interested in adult ESL. DAEL has funded this project since 2003.

The Center for Applied Linguistics (CAL) has developed **BEST Plus**, an addition to CAL's language testing products. BEST Plus is an adaptation of the Basic English Skills Test (BEST) oral interview. It assesses interpersonal communication using everyday language. DAEL helped fund the development of this test in 2001-2003.

ESL Special Collection LINCS: English as a Second Language. California Literacy, Inc. operates the ESL Special Collection.¹ LINCS, a service provided by NIFL, provides information on mini-grants, new proposals, family literacy, and the like. The LINCS Special Collections² are one-stop electronic gateways to high-quality literacy practices/materials for use in adult education and literacy programs. NIFL funded this effort for more than 10 years, but funding ceased on October 1, 2006. Accordingly, the site is no longer being actively maintained, but it will remain available for an indefinite period during which no new material will be added.

DOL currently funds a number of **Discretionary Projects** that emphasize English language skills. For example, this year DOL invested over \$1 million to improve English skills of Hispanics in Texas. The grant, awarded to SER-Jobs for Progress, will prepare participants for careers in the hospitality industry. The 15-month project will offer the workplace-based language acquisition program to more than 2,400 adults in Dallas, El Paso, Fort Worth, and Lubbock.

Observation: Because most of these summarized ESL projects have a dissemination provision, information about promising practices and research findings is generally available.

Workforce/Workplace Initiatives

Community-Based Job Training Grants support workforce training for high growth industries through community and technical colleges. The primary purpose is to build community college capacity to equip workers with the skills required to succeed in local and regional economies. In addition to awarding grants to individual community colleges, this year's competition is expanded to include community college districts, state community college systems, One-Stop Career Centers, and other entities in areas without access to community colleges. DOL is currently investing \$125 million in this initiative.

Through the **WIRED** (Workforce Innovation in Regional Economic Development) initiative, the U.S. Department of Labor invests \$195 million in thirteen regional economies. The goal of the WIRED initiative is to transform regional economies by enlisting the skills of the numerous players in those economies to research and produce long-term strategic plans that prepare workers for high-skill, high-wage opportunities in the coming years. Each of the following regions will receive \$15 million over a three-year period: Coastal Maine (11 counties), Northeast Pennsylvania (9 counties), Upstate New York (9), Piedmont Triad North Carolina (12), Central Michigan (13), Western Michigan (7), Florida Panhandle (16), Western Alabama & Eastern Mississippi (17 Alabama and 19 Mississippi), North Central Indiana (14), Greater Kansas City (10 Missouri and 8 Kansas), Denver Metro Region (8), Central & Eastern Montana (32), and California Coast (13). WIRED encourages regional communities to partner and

¹ See <http://literacynet.org/esl/>

² See <http://www.nifl.gov/lincs/collections/collections.html>

leverage their collective public and private sector resources to develop a more highly skilled workforce that can act as the linchpin to attract new economic development and employers.

Faith and Community Based Employment Services provides grants currently totaling \$4 million to 55 faith-based and community organizations chosen to help hard-to-serve populations prepare for and succeed in employment opportunities. Projects serve individuals who face significant hurdles to employment, including welfare recipients, high school dropouts, and ex-offenders. Grantees provide personalized care and supportive services, such as mentoring or life skills coaching, to enable individuals to utilize the employment services offered at local One-Stop Career Centers. DOL is the grant agency.

Funded over the past six years by DAEL, The **Conference Board of Canada** has most recently created **ScorecardforSkills.com** to help business organizations measure and demonstrate the relationship between their workplace education investments, including workplace basic skills, and measures of organizational performance. And the **Work-based Learning** website provides information, research, data, and tools to employers, unions, and adult educators for developing, implementing, and evaluating state-of-the-art workplace education programs.

Funding of the **Workforce Education Special Collection** supported a variety of workforce education services via its nationwide LINCS system. Services include the website itself,³ an active international Discussion List, and weekly Resource Update to keep adult literacy and training programs abreast of latest developments. The Center for Literacy Studies at the University of Tennessee maintains these services. The funding period for this NIFL Special Collection ended as of October 1, 2006. Accordingly, the site is no longer being actively maintained, but it will remain available for an indefinite period during which no new material will be added.

Observations: The DAEL and NIFL Workforce projects are essentially dissemination efforts, so the availability of their work is built-in. The DOL initiatives are too new to determine the outcomes and effectiveness of their efforts or the availability of other project information.

Disabled Adults

NIFL has focused on improving services to adults with learning disabilities through the development of ***Bridges to Practice***, a four volume research-based guide. Over the past 7 years, NIFL has provided training in more than 40 states in the use of *Bridges* and is now focusing on training trainers.

³ For more information, see <http://worklink.coe.utk.edu/>.

The **Literacy & Learning Disabilities LINCS** website⁴ was developed and maintained by the Center for Literacy Studies at the University of Tennessee. It provides information on assistive technology, accommodations, and teaching/learning strategies that work best for adults with learning disabilities. The funding period for the Learning Disabilities Special Collection ended as of October 1, 2006. Accordingly, this site is no longer being actively maintained; it will remain available for an indefinite period during which no new material will be added. The website was funded annually by NIFL but funding ceased on October 1, 2006. Accordingly, the site is no longer being actively maintained, though it will remain available for an indefinite period during which no new material will be added.

Observations: These NIFL initiatives products have been, by their nature, readily available to the field.

Technology Use

Project IDEAL (Improving Distance Education for Adult Learners) was established to discover the potential of distance teaching strategies to increase access to education for adult learners and to systematically examine effective distance learning practices. The project is a consortium of states working to develop effective distance education programs for adult learners. The Project IDEAL Support Center at the University of Michigan helps consortium states by developing training materials and web-based tools. The Center provides technical support in the areas of teacher training, research design, data collection, data analysis, and reporting. Through collaborative research and practice, they work to provide quality distance education for adult learners across the country. Reports and findings are available on the project website.⁵ The project has been funded in part by DAEL for six years.

The **TECH.21 Project**, funded from 2001 to 2005, is a national technology laboratory for literacy and adult education. It serves as a hands-on and virtual research-to-practice and dissemination system for the analysis, enhancement, and implementation of IT applications in adult education learning and instruction. TECH.21 consisted of a main laboratory in Philadelphia, a companion technology lab in Sacramento, a "hands-on" demonstration lab in Washington, DC, six adult education program-based field sites nationwide, and an Internet portal. This project was funded by DAEL. Reports and other products are available on the Internet.⁶

A LINCS Project, **Technology Training** is maintained by the Adult Literacy & Technology Network and the Sacramento County Office of Education. The Technology Training Special Collection⁷ provides access to a variety of resources electronically. At this site literacy educators will find resources that deal with using technology in teaching and learning, developing technology based resources and training users on the *LINCS*

⁴ For more information, see <http://ldlink.coe.utk.edu/>.

⁵ For more information, see <http://www.projectideal.org/>

⁶ For Tech.21 products and reports, go to <http://www.literacyonline.org/tech21.html>.

⁷ For more information, see <http://www.altm.org/tech/training>.

system. Also covered are professional development topics and current event information. It was funded by NIFL for over 10 years, but funding ceased on October 1, 2006. Accordingly, the site is no longer being actively maintained, but it will remain available for an indefinite period during which no new material will be added.

Observations: The DAEL initiatives have been focused on pilots and consortium states. Whether their findings and products will have broader applicability is undetermined. Limited information is available on the state efforts and their successes.

Transition from Adult Education to Postsecondary Education

The **Adult Basic Education to Community College Transitions Project** was launched in 2003 to identify programs, practices, and policies that successfully facilitate the transition from ABE to enrollment in credit-bearing community college classes. Researchers have identified four states (FL, KY, WA, and WI) with comprehensive data systems in place to allow for accurate measurement of postsecondary transitions by ABE students. In each of these states, the researchers have analyzed program-level postsecondary transition outcomes to identify four relatively high-performing programs for in-depth case studies. Outcomes and products include the research plan, a final publication including detailed descriptions of promising policies and practices, and a national symposium, held in fall 2006 to share key findings. A formal report will be issued by DAEL in due course.

Observations: The ABE to higher education transition opportunity seems to be of high interest to many in the field. Other private initiatives (including the work of the Council for Advancement of Adult Literacy), and the need for collaboration of projects, should be considered when assessing the outcomes of this DAEL initiative.

Youth

Shared Youth Vision is a new partnership between the U.S. Departments of Education, Health and Human Services, Housing and Urban Development, Justice, and Labor; the U.S. Social Security Administration, and the Corporation for National and Community Service. It seeks to create a collaborative approach to preparing youth for success in a global economy. The youth workforce investments are guided by an interagency panel. To prepare youth for the 21st century workforce, WIA investments are demand-driven. A demand-driven system focuses on developing those skills regarded as essential to be successful in careers in high-growth, high-demand industries. To effectively prepare youth in the 21st century economy, close collaboration must occur between employers and educational partners.⁸ Investments made by the Division of Youth Services are administered through Formula-Funded Grants and Discretionary Grants.⁹

⁸ For more information, go to http://www.doleta.gov/youth_services/employers_coner.cfm.

⁹ For Formula-Funded Grants and Discretionary Grants, see http://www.doleta.gov/youth_services/Formula-Funded.cfm, and http://www.doleta.gov/youth_services/Discretionary.cfm.

A local example is the Pathways to Credentials for Out-of-School Youth in Dayton, Ohio. In response to employer demand, the project combines employment and education in a charter school setting so that students earn a high school diploma and college credits, while progressing toward nationally recognized certification for occupations in high-demand industries. It offers out-of-school youth the opportunity to gain employment training and education through industry-focused charter schools in the areas of construction, information technology, and manufacturing technology.

Observation: While national and state adult education programs are part of the partnership, documenting the impact of their involvement may be problematic.

Reading

The **STudent Achievement in Reading (STAR) Project** is a partnership with six states to translate and disseminate evidence-based reading practices through a series of local pilot programs. Each state selects several local pilot programs whose teachers and administrators will receive intensive training on reading strategies and on implementing a data-driven change model. An additional effort will disseminate the STAR results to other states and programs. DAEL has funded this project since 2002.

The NIFL is contributing \$10 million to a **National Research Program** to improve reading instruction and to build understanding of how adults learn to read and how to teach reading to adults effectively. Research topics include: *Testing Impact of Health Literacy in Adult Literacy and Integrated Family Approach Programs*, *Relative Effectiveness of Reading Programs for Adults*, and *Improving the Instruction of Adult Basic Education Intermediate Readers* (research funded by the U.S. Department of Education, Institute of Educational Sciences, and others). The Institute has partnered with the National Institute of Child Health and Human Development and the U.S. Department of Education. This five-year effort began in 2002.

The **Partnership for Reading** is an on-going collaborative effort among NIFL, the U.S. Department of Education, the National Institute of Child Health and Human Development, and the U.S. Department of Health and Human Services. It develops and disseminates scientifically based reading research and research-based products to educators, parents, policymakers, and others.

The NIFL has recently published two **research-based publications** on adult reading instruction: *Applying Research in Reading Instruction for Adults: First Steps for Teachers* and *Teaching Adults to Read: A Summary of Scientifically Based Research Principles*. Designed for teachers and tutors, *First Steps* provides ideas and examples of how to use research-based instructional approaches in the adult education classroom. The *Summary* focuses on findings from the scientific literature on teaching adults to read.

Observation: Some products are available, but information on the initiatives themselves is limited. Moreover, the effectiveness of these efforts could not be determined.

Mathematics

The **Science and Numeracy Special Collection**¹⁰ provides annotated links to Internet sites that are useful for teaching and learning about science and numeracy. The topics have been arranged according to the national education standards in science and in numeracy. The collection emphasizes the ways in which science and math skills are important to understanding the world around us. NIFL funding ceased on October 1, 2006. Accordingly, the site is no longer being actively maintained, but it will remain available for an indefinite period during which no new material will be added.

The **Adult Numeracy Initiative** project, began in 2004 by DAEL, has identified existing strategies and practices in developmental mathematics instruction that have been designed by community colleges, business, and labor. Also identified are programs that address math remediation, enable students to strengthen their math abilities, gain proficiency in basic math, and progress to higher level math courses or work assignments. It defines the state of the discipline by identifying major issues and topics critical to the development of adult math skills. DAEL also sponsored a **GED-Math Institute** in August 2006 in which 45 states participated.

Observations: The Institute approach to reporting findings and outcomes appears promising, but it is self-limiting in terms of widespread dissemination.

Health Literacy

The on-going **Health Literacy Improvement** website initiative of the HHS Office of Disease Prevention and Health Promotion¹¹ defines “health literacy” as the capacity to obtain, process, and understand basic health information and services needed to make appropriate health decisions. A variety of resources are provided: tools for improving health literacy, including a Quick Guide to Health Literacy; government resources, reports, and research; and other material. Topics include literacy and health outcomes, literacy and its relationship to oral health, and communicating health.

The Institute for Education Sciences of the National Center for Education Statistics, U.S. Department of Education, recently released a special report titled **The Health Literacy of America’s Adults**. This report is based on assessment tasks contained in the 2003 National Assessment of Adult Literacy (NAAL) that were designed specifically to measure the health literacy of America’s adults. Health literacy was reported using four performance levels: Below Basic, Basic, Intermediate, and Proficient.

The **Health and Literacy Special Collection**¹² includes resources such as: Health lessons and activities, Easy-to-read health information, Multilingual health information,

¹⁰ For more information, go to <http://www.literacynet.org/sciencelincs/home.html>.

¹¹ For more details, go to <http://www.health.gov/communication/literacy>.

¹² For more details, go to <http://healthliteracy.worlded.org/>.

and Health literacy research. NIFL supported this Collection for more than 7 years, but funding ceased on October 1, 2006. Accordingly, the site is no longer being actively maintained, but it will remain available for an indefinite period during which no new material will be added.

Observations: This set of initiatives seems to be of high interest to all involved agencies. Project results can be useful to the broad adult literacy field, but it's unclear how well agencies are collaborating in the dissemination of these findings.

Content Standards

The **Adult Education Content Standards Warehouse Project** was created to assist states in the development and implementation of state-level content standards in reading, mathematics, and English language acquisition. Outcomes of the national project include A Process Guide for Establishing Adult Education Content Standards and an Adult Education Content Standards Warehouse website. DAEL has supported this project since 2003.

Since 1994 the **Equipped for the Future (EFF) Initiative** has developed adult learning standards that can guide instruction and assessment and improve the quality and results of adult literacy programs. The EFF Center for Training and Technical Assistance, located at the Center for Literacy Studies, University of Tennessee-Knoxville, provides support for states and programs in adopting and using the EFF Standards. The EFF Special Collection brings EFF related resources and expertise to a single point of access for multiple users working in adult and family literacy education. The collection includes materials developed by EFF partners and other quality materials relevant to standards-based education and program improvement. This initiative was supported by NIFL.¹³

Observations: Given the emphases on websites and training, there is a good deal of information available on these projects. But the impact and importance of outcomes beyond the pilot states is less certain.

Data Projects

The **National Reporting System** is the accountability system for federally funded adult education programs. It includes student assessment measures, data collection methodologies, reporting forms, and program procedures. **NRS Online** is the training site and reference source for the National Reporting System for adult education.¹⁴ This site includes training courses designed for adult education program administrators. The

¹³ For a fuller understanding of the EFF program, its premises, and its history, see *Equipped for the Future: Tools & Standards for Building & Assessing Quality Adult Literacy Programs*, published by the Council for Advancement of Adult Literacy, 2003. Available at <http://www.caalusa.org/efftoolsstandards.pdf>.

¹⁴ For more information, go to <http://www.nrsweb.org/>.

courses explain NRS requirements and how to improve the quality of NRS data collection. DAEL has funded this system since 2000.

The **2003 National Assessment of Adult Literacy** (NAAL) is a nationally representative assessment of English literacy among American adults age 16 and older. Sponsored by the National Center for Education Statistics, NAAL is the nation's most comprehensive measure of adult literacy since the 1992 National Adult Literacy Survey (NALS). By comparing results from 1992 and 2003, NAAL provides the first indicator in a decade of the nation's progress in adult literacy. NAAL also provides information on adults' literacy performance and related background characteristics to researchers, practitioners, policymakers, and the general public. NAAL included a number of components that capture the breadth of adult literacy in the United States: *Background Questionnaire* helps identify the relationships between adult literacy and select demographic and background characteristics; *Prison Component* assesses the literacy skills of adults in federal and state prisons; *State Assessment of Adult Literacy* gives statewide estimates of literacy for states participating in the state-level assessment; *Health Literacy Component* introduces the first-ever national assessment of adults' ability to use their literacy skills in understanding health-related materials and forms; *Fluency Addition to NAAL* measures basic reading skills by assessing adults' ability to decode, recognize words, and read with fluency; and *Adult Literacy Supplemental Assessment* provides information on the ability of the least-literate adults to identify letters and numbers and to comprehend simple prose and documents. A variety of reports are available on the NAAL website.

Research and Development Initiatives

The **LINCS Initiative** goal is to bring adult literacy-related resources and expertise to a single point of access for users throughout the world. Areas covered include: Assessment, Correctional Education, ESL, Equipped for the Future, Family Literacy, Health & Literacy, Literacy & Learning Disabilities, Program Leadership and Improvement, Science & Numeracy, Technology Training, and Workforce Education. NIFL has supported this initiative for over 10 years. An assessment of the Initiative's effectiveness was conducted in 2004-05, helping NIFL to determine which components to retain.

LINCS Discussion Lists¹⁵ aim to: (1) enrich literacy practice and research by fostering discussion and information exchange among researchers, practitioners, and literacy clients on major literacy related issues, and (2) link policy to practices and research by providing a forum for timely interchange about relevant policy issues. Among the topics covered are: Professional Development, Assessment, Adult English Language Learners, Family Literacy, Focus on Basics, Health & Literacy, Learning Disabilities, Poverty and Race, Women and Literacy, Technology & Literacy, and Workplace Literacy.

¹⁵ For more detailed information, go to <http://www.nifl.gov/lincs/discussions/discussions.html>.

Community Partnerships for Adult Learning seeks to strengthen ties among businesses, colleges, faith-based and community-based organizations, social service groups, workforce development agencies, and other service providers. The website¹⁶ contains a toolkit to provide information on improving adult learning systems and case studies of successful community partnerships. DAEL has funded this website since 2000.

For the past ten years, the **National Center for the Study of Adult Learning and Literacy** (NCSALL) has been the major federally funded research and development center focused solely on adult literacy learning. Its research was designed to increase knowledge and give those teaching, managing, and setting policy in adult literacy education a sound basis for making decisions. NCSALL has also designed innovative professional development programs and built-in support for research use. The project has supported researchers associated with each of its partner organizations -- Harvard University Graduate School of Education, World Education, Rutgers University, Portland State University, and the Center for Literacy Studies at the University of Tennessee -- as well as those at the Harvard School of Public Health, Brown University, and Michigan State University. NCSALL has published the work of practitioners and scholars from 38 states and three countries. Ended in October 2006 due to cessation of funding. NCSALL was funded by the U.S. Department of Education's Institute of Education Sciences and its Office of Vocational and Adult Education.

Observations: The comprehensive adult education research and development function represented by the NCSALL project is no longer supported by any agency, creating a major gap in long-term program improvement efforts. An additional issue is the lack of funding for continued dissemination to assure that innovations are supported over the long term.

D. ISSUES OF SPECIAL CONCERN

In the course of writing this information paper, five issues of paramount importance became evident.

1. While descriptions of and summary reports on the initiatives covered in this paper are useful for some purposes, greater public access to information on funding, data, and outcomes by all four agencies is needed, would make more meaningful analysis possible, and would be welcomed by planners throughout the field.
2. Similarly, project and program effectiveness is often not evident because evaluation and documentation is lacking. Evaluation of projects and initiatives would help determine how well their goals are met and how to improve these efforts in future.
3. Many of the above projects appear to be useful or potentially useful to the various constituencies targeted by the four agencies. But it is unclear how much coordination

¹⁶ For more information, go to <http://www.c-pal.net/>.

exists between agencies and programs in the diffusion and adoption of improved practices that are recommended by the projects.

4. There appears to be limited support for dedicated diffusion and adoption training to assure that innovations take hold, are brought to scale, and are supported for the long term.

5. The approximately \$15 million that Congress makes available to the DAEL and NIFL each year is small compared to the funds available to states for leadership purposes under WIA Title II (some \$60 million). While state leadership funds occasionally supplement national projects, there is little detailed information available at the national level on state projects or their outcomes.

**Workforce Investment Act, Title I
Discretionary Funding**

The Secretary shall, through grants or contracts, carry out demonstration and pilot projects for the purpose of developing and implementing techniques and approaches, and demonstrating the effectiveness of specialized methods, in addressing employment and training needs. Such projects shall include the provision of direct services to individuals to enhance employment opportunities and an evaluation component and may include--

(A) the establishment of advanced manufacturing technology skill centers developed through local partnerships of industry, labor, education, community-based organizations, and economic development organizations to meet unmet, high-tech skill needs of local communities;

(B) projects that provide training to upgrade the skills of employed workers who reside and are employed in enterprise communities or empowerment zones;

(C) programs conducted jointly with the Department of Defense to develop training programs utilizing computer-based and other innovative learning technologies;

(D) projects that promote the use of distance learning, enabling students to take courses through the use of media technology such as videos, teleconferencing computers, and the Internet;

(E) projects that assist in providing comprehensive services to increase the employment rates of out-of-school youth residing in targeted high poverty areas within empowerment zones and enterprise communities;

(F) the establishment of partnerships with national organizations with special expertise in developing, organizing, and administering employment and training services, for individuals with disabilities, at the national, State, and local levels;

(G) projects to assist public housing authorities that provide, to public housing residents, job training programs that demonstrate success in upgrading the job skills and promoting employment of the residents; and

(H) projects that assist local areas to develop and implement local self-sufficiency standards to evaluate the degree to which participants in programs under this title are achieving self-sufficiency.

Workforce Investment Act, Title II, Adult Education and Family Literacy Act

Discretionary Funding

The Secretary shall establish and carry out a program of national leadership activities to enhance the quality of adult education and literacy programs nationwide. Such activities may include the following:

(1) Technical assistance, including--

(A) assistance provided to eligible providers in developing and using performance measures for the improvement of adult education and literacy activities,

including family literacy services;

(B) assistance related to professional development activities, and assistance for the purposes of developing, improving, identifying, and disseminating the most successful methods and techniques for providing adult education and literacy activities, including family literacy services, based on scientific evidence where available; and

(C) assistance in distance learning and promoting and improving the use of technology in the classroom.

- (2) Funding national leadership activities that are not described in paragraph (1), either directly or through grants, contracts, or cooperative agreements awarded on a competitive basis to or with postsecondary educational institutions, public or private organizations or agencies, or consortia of such institutions, organizations, or agencies, such as--

(A) developing, improving, and identifying the most successful methods and techniques for addressing the education needs of adults, including instructional practices using phonemic awareness, systematic phonics, fluency, and reading comprehension, based on the work of the National Institute of Child Health and Human Development;

(B) increasing the effectiveness of, and improving the quality of, adult education and literacy activities, including family literacy services;

(C) carrying out research, such as estimating the number of adults functioning at the lowest levels of literacy proficiency;

(D) (i) carrying out demonstration programs;

(ii) developing and replicating model and innovative programs, such as the development of models for basic skill certificates, identification of effective strategies for working with adults with learning disabilities and with individuals with limited English proficiency who are adults, and workplace literacy programs; and

(iii) disseminating best practices information, including information regarding promising practices resulting from federally funded demonstration programs;

(E) providing for the conduct of an independent evaluation and assessment of adult education and literacy activities through studies and analyses conducted independently through grants and contracts awarded on a competitive basis, which evaluation and assessment shall include descriptions of--

(i) the effect of performance measures and other measures of accountability on the delivery of adult education and literacy activities, including family literacy services;

(ii) the extent to which the adult education and literacy activities, including family literacy services, increase the literacy skills of adults (and of children, in the case of family literacy services), lead the participants in such activities to involvement in further education and training, enhance the employment and earnings of such participants, and, if applicable, lead to other positive outcomes, such as reductions in recidivism in the case of prison-based adult education and literacy activities;

(iii) the extent to which the provision of support services to adults enrolled in adult

education and family literacy programs increase the rate of enrollment in, and successful completion of, such programs; and

(iv) the extent to which eligible agencies have distributed funds under section 231 to meet the needs of adults through community-based organizations;

F) supporting efforts aimed at capacity building at the State and local levels, such as technical assistance in program planning, assessment, evaluation, and monitoring of activities carried out under this subtitle;

(G) collecting data, such as data regarding the improvement of both local and State data systems, through technical assistance and development of model performance data collection systems; and

(H) other activities designed to enhance the quality of adult education and literacy activities nationwide.

The National Institute for Literacy provides leadership for the improvement and expansion of the system for delivery of literacy services. The Institute is authorized--

(A) to establish a national electronic data base of information that disseminates information to the broadest possible audience within the literacy and basic skills field, and that includes--

(i) effective practices in the provision of literacy and basic skills instruction, including instruction in phonemic awareness, systematic phonics, fluency, and reading comprehension, and the integration of literacy and basic skills instruction with occupational skills training;

(ii) public and private literacy and basic skills programs, and Federal, State, and local policies, affecting the provision of literacy services at the national, State, and local levels;

(iii) opportunities for technical assistance, meetings, conferences, and other opportunities that lead to the improvement of literacy and basic skills services; and

(iv) a communication network for literacy programs, providers, social service agencies, and students;

(B) to coordinate support for the provision of literacy and basic skills services across Federal agencies and at the State and local levels;

(C) to coordinate the support of reliable and replicable research and development on literacy and basic skills in families and adults across Federal agencies, especially with the Office of Educational Research and Improvement in the Department of Education, and to carry out basic and applied research and development on topics that are not being investigated by other organizations or agencies, such as the special literacy needs of individuals with learning disabilities;

(D) to collect and disseminate information on methods of advancing literacy that show great promise, including phonemic awareness, systematic phonics, fluency, and reading comprehension based on the work of

the National Institute of Child Health and Human Development;

(E) to provide policy and technical assistance to Federal, State, and local entities for the improvement of policy and programs relating to literacy;

(F) to fund a network of State or regional adult literacy resource centers to assist State and local public and private nonprofit efforts to improve literacy by--

(i) encouraging the coordination of literacy services;

(ii) enhancing the capacity of State and local organizations to provide literacy services; and

(iii) serving as a link between the Institute and providers of adult education and literacy activities for the purpose of sharing information, data, research, expertise, and literacy resources;

(G) to coordinate and share information with national organizations and associations that are interested in literacy and workforce investment activities;

(H) to advise Congress and Federal departments and agencies regarding the development of policy with respect to literacy and basic skills; and

(I) to undertake other activities that lead to the improvement of the Nation's literacy delivery system and that complement other such efforts being undertaken by public and private agencies and organizations.



This paper was prepared for the November 14, 2006 meeting of the National Commission on Adult Literacy and is copyrighted by the Council for Advancement of Adult Literacy.

FEDERAL ROLE IN ADULT LITERACY, FY05-06

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October 25, 2006

This compilation is divided into three sections: Section I deals with a single piece of legislation that contributes the major share of federal support for adult education in this country. Section II (p. 2) is comprised of federal programs of varying size -- some operated out of the Department of Education and others operated out of other federal departments or agencies -- in which basic skills or English as a second language for out-of-school youth and adults is an authorized activity, but funding is either limited to serving a particular subset of that population or available for any number of activities of which basic skills or English language instruction is just one option. Some of the latter programs may have very large appropriations, but funding for adult education activities may comprise a very small portion of those appropriations. Section III (p. 12) contains research and demonstration programs. [Much of the material in this paper has been excerpted from the U.S. Government's *Catalog of Federal Domestic Assistance*.]

SECTION I: THE MAJOR SOURCE OF FEDERAL FUNDING

U.S. DEPARTMENT OF EDUCATION

Adult Education and Family Literacy: State Grants

Enabling Legislation: Workforce Investment Act, Title II; short title: The Adult Education and Family Literacy Act. Purpose: Create a partnership among the federal government, the states, and localities to provide, on a voluntary basis, adult education and literacy service to assist adults to become literate, obtain the knowledge and skills necessary for employment and self-sufficiency, assist adults who are parents to become full partners in the education of their children, and assist adults in the completion of secondary education. Funding Distribution: \$70 million of the appropriation to the states must be expended on programs of English language (ESL) and civics. The ESL/Civics funding is distributed to states using a separate formula that takes into account immigration patterns. Funding for the balance is distributed by formula to an "eligible agency for adult education and literacy" in each state and Outlying Area based on each state's share of the persons 16 and older and out of school who do not have a high school

diploma. Local Program Access: Public and private nonprofit agencies are eligible to apply to the “eligible agency for adult education and literacy” for subgrants. Federal Contact: Office of Vocational and Adult Education of the U.S Department of Education. Notes: (a) States must have a process by which all nonprofit agencies, public or private, may compete for funds. (b) Eligible state agencies for adult education and literacy may retain up to 5% for administration and 12.5% for state leadership activities. (c) Although \$70 million is reserved for ESL/civics activity, states may additionally spend whatever portion they feel is appropriate on ESL instruction. (d) Eligible agencies may devote as much as 8.25 % for programs for incarcerated or institutionalized adults. Appropriations: FY 05 \$569,672,000; FY 06 \$563,975,000.

SECTION II: OTHER FEDERAL FUNDING SOURCES FOR ADULT EDUCATION AND FAMILY LITERACY

U.S. DEPARTMENT OF EDUCATION

William F. Goodling Even Start Family Literacy Program

Enabling Legislation: Elementary and Secondary Education Act (ESEA), Title I, Part B. Purpose: Support family literacy projects that integrate early childhood education, adult literacy or basic education, and parenting education for families with parents who are eligible for services under the Adult Education and Family Literacy Act, or who are within the compulsory school attendance age range, and their children from birth to age 7. Funding Distribution: the national appropriation distributed by formula to state education agencies, which may award subgrants to partnerships between one or more LEAs and one or more public or private nonprofit organizations. Local Program Access: Agencies or partnerships should contact the state education agency for information about funding opportunities. Federal Contact: Office of Elementary and Secondary Education. Notes: *This Act incorporated all the amendments to Even Start contained in the preceding LIFT (Literacy Involving Families Together) Act that substantially raised the authorization level for Even Start, required State plans that encouraged LEAs to use part of their ESEA, Title I, Part A funds for family literacy, reserved an increased portion for migrant programs, Outlying Areas, and Indian tribes, provided the National Institute for Literacy with funds for family literacy research, required that funds be set aside for professional development, allowed certain children who are 8 years of age or older to participate, and eliminated the 8 year limitation for any subgrantee to receive funds. The Act also added a maintenance of effort provision. This program has suffered a substantial decline in funding over the last three years. The decline was spurred by a recommendation of the Office of Management and Budget (OMB) that the program be eliminated because it got a poor rating in OMB’s PART (Program Appraisal Rating Tool) assessment. The National Center for Family Literacy and others have strongly contested this appraisal, but the program is very much in jeopardy.* Appropriations: FY 05 \$225,095,000; FY 06 \$99,000,000.

Migrant Education: High School Equivalency Program

Enabling Legislation: Higher Education Act of 1965, Title IV, Part A, Subpart 5, as amended. **Purpose:** Help migratory and seasonal farm workers (or children of such workers) who are 16 years of age or older and not currently enrolled in school to obtain the equivalent of a high school diploma and subsequently to gain employment or begin postsecondary education or training. **Funding Distribution:** administered competitively by the Office of Elementary and Secondary Education (OESE). **Local Program Access:** Competitive 5-year grants are made to institutions of higher education or other nonprofit private agencies that cooperate with such institutions. **Federal Contact:** Office of Elementary and Secondary Education. **Appropriations:** FY 05 \$25,332,000; FY 06 \$15,377,000.

Prevention and Intervention Programs for Children and Youth (Neglected and Delinquent)

Enabling Legislation: Elementary and Secondary Education Act, Title I, Part D, as amended. **Purpose:** Provide supplementary education services to help provide education continuity for children and youth (through age 21) in State-run institutions for juveniles, in adult correctional institutions, and in community day programs for neglected and delinquent children so that these youth can receive a secondary diploma via successful return to secondary school or to earn a recognized equivalent to a diploma and transition to employment once released from State institutions. **Funding Distribution:** distributed by formula grants to State education agencies which then make subgrants to designated State agencies and local educational agencies. **Local Program Access:** Local provider agencies providing services in institutional settings should work with local educational agencies in which the institutions are located to secure this funding. **Federal Contact:** Office of Elementary and Secondary Education. *(Notes: Most children in correctional institutions are within the eligible age range for adult education. Most will not return to secondary school, opting instead to prepare for a high school equivalency diploma.)* **Appropriations:** FY 05 \$49,600,000; FY06 \$49,797,000.

Reading First

Enabling Legislation: Elementary and Secondary Education Act (as amended by the “No Child Left Behind” amendments of 2002) Title I, Part B, Subpart 1. **Purpose:** Provide assistance to state education agencies and local education agencies in starting reading programs for grades K to 3 that are based on scientifically-based reading research. Provide assistance to SEAs and LEAs in preparing teachers. Provide assistance to SEAs and LEAs to select and administer diagnostic and instructional reading assessments. Provide assistance in selecting and developing effective instructional materials. Strengthen coordination among schools, early literacy programs, and family literacy programs to improve reading achievement for all children. **Funding Distribution:** States must compete for this funding by submitting an application to the Department of Education. **Local Program Access:** Entities eligible to apply to the SEA for funding are (1) LEAs of demonstrated need; (2) one or more private organizations or agencies that

serve preschool age children (such as a program at a Head Start center, a child care program, or a family literacy program) which organizations or agencies shall be located in a community served by an eligible LEA; or (3) a collaborative effort mounted jointly by an eligible LEA and such organizations or agencies. Applicants must spell out “how the proposed project will integrate such instructional materials and literacy activities with existing preschool programs and family literacy services.” The Act provides two echelons of authorized activities. Family literacy programs are listed in the second echelon entitled “Additional Uses.” Federal Contact: Office of Elementary and Secondary Education. *(Notes: (1) Does not provide for family literacy specifically; funding more likely from states that already have strong commitment to family literacy. (2) Information dissemination for Reading First is made the responsibility of the National Institute for Literacy and is supported by a special funding reservation.* Appropriations: FY 05 \$1,041,600,000; FY 06 est. \$1,029,234,000.

Early Reading First

Enabling Legislation: Elementary and Secondary Education Act, as amended, Title I, Part B, Subpart 2. Purpose: To support local efforts to enhance the early language, literacy, and prereading development of preschool age children. To provide these children with cognitive learning opportunities in high quality language and literature environments. To demonstrate language and literacy activities based on sound scientifically-based reading research *that supports a phonics-based approach* (emphasis added). To use screening assessments effectively to identify at-risk children. To integrate such scientific reading research-based materials and activities into existing programs of preschools, child care agencies, and family literacy services. Local Program Access: Eligible applicant entities are identical to those in Reading First. Authorized activities are to implement the purposes cited above. Federal Contact: Office of Elementary and Secondary Education. *(Notes: (1) Does not provide for family literacy specifically; funding more likely from states that already have strong commitment to family literacy. (2) Information dissemination for Early Reading First is made the responsibility of the National Institute for Literacy and is supported by a special reservation.)* Funding for Early Reading First: FY 05 \$104,160,000; FY06 est. \$103,118,000.

21st Century Community Learning Centers

Enabling Legislation: Elementary Education and Secondary Education Act of 1965, as amended, Title IV, Part B. Purpose: Grants may support after school and summer academic enrichment and other complementary services for school-aged children (particularly those in low-performing schools), and offer “families of students served by community learning centers opportunities for literacy and related educational development.” Funding Distribution: Administered at the federal level to SEAs in proportion to their relative share of Title I, Part A, Subpart 2 funds. Local Program Access: Local educational agencies, community based organizations, other public or private agencies or consortia thereof may apply to the State Education Agency. Contact: Office of Elementary and Secondary Education. *(Notes: In an evaluation of these centers the typical overall number of students served by a school district's grant was 696, and an*

average of 248 adults was served by each center.) Funding: FY05 \$991,077,000; FY06 est. \$981,166,000.

Vocational/Technical Education

Enabling Legislation: Carl D. Perkins Vocational and Technical Education Act of 1998, Public Law 103-332. Purpose: To develop more fully the academic, vocational and technical skills of secondary students and postsecondary students who elect to enroll in vocational and technical education. Funding Distribution: the Basic State Grant appropriation allocated by formula to State Education agencies. Local Program Access: Eligibility for funds limited to State and local educational agencies including institutions of higher education and public charter schools providing vocational and technical education and consortia of secondary and postsecondary agencies. Federal Contact: Office of Vocational and Adult Education (*Notes: The program also assists with the preparation for nontraditional training and employment as well as providing support for partnerships among local education agencies, institutions of higher education, adult education providers, and as appropriate other entities. Funding may be used for both degree creditable and certificated postsecondary programs while promoting the integration of academic, vocational and technical instruction.*) Appropriations: FY 05 \$1,167,576,000; FY 06 \$1,155,902,000.

Vocational Rehabilitation

Enabling Legislation: The Rehabilitation Act of 1973 as amended by the Workforce Investment Act of 1998. Purpose: Empower individuals with disabilities to maximize employment, economic self-sufficiency, independence and inclusion and integration into society through (a) state workforce investment systems, (b) independent living centers and services, (c) research, (d) training, (e) demonstration projects and, (f) the guarantee of equal opportunity. To ensure that, the federal government plays a meaningful role. Funding Distribution: funds distributed to states and territories based on a formula that takes into account population and per capita income to cover the cost of direct services and program administration. Local Program Access: Grant funds are administered locally by vocational rehabilitation agencies designated by each state. Funds are distributed to states and territories based on a formula that takes into account population and per capita income to cover the cost of direct services and program administration. Local adult education programs must identify their state's designated vocational rehabilitation agencies. Federal Contact: Office of Special Education and Rehabilitation Services, Office of Special Education Programs. (*Notes: Vocational rehabilitation clients may need adult basic, secondary, or English language instruction to maximize employment opportunities.*) Appropriations: FY 05 \$3,074,574,000; FY 06 \$3,125,544,000.

Individuals with Disabilities Education Act

Enabling Legislation: The Individuals with Disabilities Education Act Amendments of 1997 Public Law 105-17 (IDEA). Purpose: (a) to ensure that all children with disabilities

have available to them a free appropriate public education that emphasizes special education and related services designed to meet their unique needs and prepare them for employment and independent living; (b) to ensure that the rights of children with disabilities and their parents are protected; (c) to assist States, localities, educational service agencies, and Federal agencies to provide for the education of all children with disabilities; and (d) to assess and ensure the effectiveness of efforts to educate children with disabilities. Funding Distribution: Allocated by formula to states that apply and submit a plan. Local Program Access: Contact local school district or state education agency. Federal Contact: Office of Special Education and Rehabilitation Services, Office of Special Education Programs, *(Notes: It seems unlikely that adult education programs will have the willingness or ability to adopt the instructional configurations required for funding of direct services. However, at least one State has made an arrangement whereby adult education receives IDEA funding for training of adult education staff in techniques of dealing with individuals with disabilities who are enrolled in adult education programs. Another State has an arrangement whereby staff paid from IDEA funds provide services to individuals up through age 21 who are enrolled in adult education classes but who had been eligible for IDEA-funded services when still in secondary school and who did not receive a high school diploma.)* Appropriations: FY 05 \$10,590,000,000; FY 06 \$10,583,000,000.

Alaska Native Education Programs

Enabling Legislation: Elementary and Secondary Education Act (ESEA) Title VII, Part C, as amended. Purpose: To support projects that recognize and address the unique education needs of Alaska Native students, parents, and teachers. Funding Distribution: An annual appropriation to the U.S. Department of Education. Local Program Access: Experienced local programs (school districts and community based organizations) may compete with state education agencies for grants or apply to the U. S. Department of Education in consortia with such agencies. Federal Contact: U. S. Department of Education, Office of Elementary and Secondary Education. *(Note: Family literacy is an allowable activity.)* Funding: FY 05 \$34,224,000; FY 06 \$33,908,000.

Native Hawaiian Education

Enabling Legislation: Elementary and Secondary Education Act, as amended, Title VII, Part B. Purpose: To develop innovative educational programs to assist native Hawaiians and to supplement and expand programs and authorities in the area of education. Funding Distribution: An annual appropriation to the U.S. Department of Education. Local Program Access: Native Hawaiian education organizations, native Hawaiian community based organizations, and public or private nonprofit organizations may apply singly or in consortia to the U.S. Department of Education. Federal Contact: U.S. Department of Education, Office of Elementary and Secondary Education, Academic Improvement and Teacher Quality Programs. *(Note: Operation of family-based education centers and programs of transition to postsecondary education are allowable activities.)* Funding: FY 05 \$34,224,000; FY 06 \$33,908,000.

Grants to States for Incarcerated Youth

Enabling Legislation: Title VIII, Section D of the Higher Education Act. **Purpose:** Assist and encourage incarcerated youth to acquire functional literacy, life, and job skills leading to the pursuit of a postsecondary education which starts during incarceration and continues through prerelease and while on parole. **Funding:** Distributed by formula to state corrections agencies. **Local Program Access:** Via state corrections agencies. **Federal Contact:** Office of Correctional Education, Office of Vocational and Adult Education. U.S. Department of Education. **Funding:** FY 05 \$21,824,000; FY 06 \$22,770,000.

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES

Head Start

Enabling Legislation: Communities, Accountability, and Training and Educational Services Act of 1988, Title I, Sections 101-119. **Purpose:** To provide health, educational and social services to disadvantaged pre-school children and their families; to help parents make progress toward their educational, literacy and employment goals. **Funding Distribution:** provided directly to public and private nonprofit or for-profit Head Start Agencies. **Local Program Access:** Local provider agencies should contact local Head Start agencies. **Federal Contact:** Administration for Children and Families, (202) 205-8236. *(Notes: The Head Start Bureau is initiating efforts to support all programs in implementing comprehensive family literacy services. Head Start agencies may offer family literacy services and parenting skills training to parents of participating children, directly or through referral to local entities, such as entities carrying out Even Start programs.)* **Appropriations:** FY 05 \$6,704,499,000; FY 06 est \$6,646,831,000

Temporary Assistance to Needy Families (TANF)

Enabling Legislation: Personal Responsibility and Work Opportunity Reconciliation Act of 1996. **Purpose:** Eliminate open-ended entitlement for welfare; create a block grant for states to provide time-limited cash assistance to needy families so that children can be cared for in their own homes; to reduce dependency by promoting job preparation, work, and marriage; to prevent out-of-wedlock pregnancies; and to encourage the formation and maintenance of two-parent families. **Funding Distribution:** block grants to the states. States have broad flexibility to determine eligibility, method of assistance, and benefit levels. States must maintain non-federal effort at an 80%. States may use some funds for state-level or special purpose programs. The balance goes out by formula to local social services agencies. **Local Program Access:** Local provider agencies apply for special purpose funds to the state agency administering TANF. They should apply to local social services districts for local formula dollars. **Federal Contact:** Office of Family Assistance, Administration for Children and Families. *(Notes: In the original law basic skills education could only be engaged in after a client's 20 hour work core activity requirement. The first 20 hours had to be in one of nine "core" work activities. Many states attempted to get around this requirement and provide more basic skills instruction*

by defining core work activities to include a basic skills instruction component. For example, states defined “vocational educational training” and “community service” to include basic skills instruction. The legislation was re-authorized in 2005. The new law directed HHS to promulgate regulations defining the core activities. The resulting regulations proscribe creative definitions of core activities – allowing only the designated activity to be conducted. The new law also upgraded the client activity requirement to 30 hours weekly, but did allow the last 10 hours to be in basic skills instruction. The preamble to the new regulations also did concede that, if basic skills instruction were intrinsic to the performance of one of the core activities, it could be performed as a core activity for that purpose. The field has posed a number of questions about these requirements, and is awaiting a response from the HHS regulation writers.)

Appropriations:

State and Tribal Family Assistance Grants): FY 05 \$16,488,667,235; FY 06 est. \$16,488,667,235; and

Territory Assistance Grants and Matching Grants): FY 05 \$92,875,765; FY 06 est. \$92,875,765;

Supplemental Grants for Population Increases: FY 05 \$319,450,226; FY 06 est. \$319,450,226;

Contingency Funds--estimated usage) FY 05 \$58,298,324; FY 06 est. \$132,076,497;

High Performance Bonus: FY 05 \$200,000,000; FY 06 \$0.

Decrease in Illegitimacy Bonus: FY 05 \$100,000,000; FY 06 est. \$0;

Tribal Work Program, see CFDA 93.594 for details: FY 05 \$7,558,020; FY 06 est. \$7,558,020.

Refugee and Entrant Assistance

Enabling Legislation: Refugee Act of 1980, Section 412: There are four components to this legislation – two state administered programs (a general program and one for certain targeted populations), a federal discretionary grant program, and a federal discretionary grant program for voluntary agencies. **Purpose:** Assist refugees, entrants and asylees to transition to life in the United States by offering education, social and employment services. One form of assistance is “training,” which can include ESL training. State social services agencies may purchase training from provider agencies. **Funding Distribution:** The bulk of the federal funding goes to states that in turn select and fund agencies to provide services. The rest goes directly to private nonprofit organizations that have a Reception and Placement Grant with the Department of State or Department of Justice and are to provide the prescribed services to eligible recipient refugees. There is no set-aside for English language instruction. States and eligible provider agencies receive an amount per refugee (approximately \$2000) from which they must support cash assistance and social services as well as instruction. **Local Program Access:** Adult education programs must contact their state social services agency to ascertain their funding processes and schedules and to identify agencies receiving state and federal grants. **Federal Contact:** Office of Refugee Resettlement, Administration for Children and Families. **Appropriations** for all four programs: FY 05 \$377,087,000; FY 06 \$454,359,000

DEPARTMENT OF THE INTERIOR, BUREAU OF INDIAN AFFAIRS

Indian Child and Family Education

Enabling Legislation: Amendments of 1978, Public Law 95-561, 25 U.S.C. 2001 et seq.

Purpose: To begin educating children at an early age, through parental involvement, to increase graduation rates among Indian parents, and to encourage life-long learning.

Funding Distribution: An annual appropriation to the Bureau of Indian Affairs. Local

Program Access: Tribal governments and authorized tribal organizations may apply.

Federal Contact: Office of Indian Education Programs, Bureau of Indian Affairs. *(Notes: Some examples of funded projects are parenting skills and adult education.)* Funding:

FY 05 \$9,674,000; FY 06 \$9,627,000.

Indian Adult Education

Enabling Legislation: Snyder Act of 1921, Public Law 67-85 U.S.C. 13; Indian Self Determination and Education Assistance Act, Public Law 93-638, as amended. Purpose:

To improve educational opportunities for Indian adults who lack the level of literacy skills necessary for effective citizenship and productive employment and to encourage the establishment of adult education programs. Funding Distribution: An annual

appropriation to the Bureau of Indian Affairs. Local Program Access: Federal recognized Indian tribal governments and members of Indian tribes may apply, after consulting with the Area Program Administrator for Education. Federal Contact: Local Bureau of Indian

Affairs Agency. Funding: FY 05 \$2,105,450; FY 06 \$ 2,066,350.

INSTITUTE OF MUSEUM AND LIBRARY SERVICES

Library Services and Technology

Enabling Legislation: Library Services and Technology Act of 1996, Title II. Purpose:

To promote improvement in library services in all types of libraries to better serve the people of the United States. To facilitate access to resources in all types of libraries for the purpose of cultivating an educated and informed citizenry. And to encourage resource

sharing among all types of libraries for the purpose of achieving economical and efficient delivery of library services to the public. Funding Distribution: By formula to state library administrative agencies that may be spent directly or through subgrants. Local

Program Access: Local libraries apply to the state library administrative agency. Federal

Contact: Office of Library Services, Institute of Museum and Library Services.

(Notes: One use of the funds is "targeting library and information services to persons having difficulty using a library and to underserved urban and rural communities...."

Another is "targeting library services to increase access and ability to use information resources for persons...with limited functional literacy or information skills...."

Appropriations: FY 05 \$160,704,000; FY 06 \$163,746,000.

DEPARTMENT OF JUSTICE

Juvenile Delinquency and Delinquency Prevention – Allocation to States

Enabling Legislation: Juvenile Justice and Delinquency Prevention Act of 2002.

Purpose: To increase the capacity of State and local governments to support the development of more effective education, training, research, prevention, diversion, treatment, accountability based sanctions, and rehabilitation programs in the area of juvenile delinquency and programs to improve the juvenile justice system. Funding Distribution: Formula allocation to a state government agency designated by the chief executive of the state to receive the allocation. Local Program Access: Units of a state, its local governments, public and private organizations, Indian tribes performing law enforcement functions, and agencies involved in juvenile delinquency prevention, treatment and rehabilitation may apply to the designated agency. Federal Contact: Office of Juvenile Justice and Delinquency Prevention. *(Notes: One of the components of the designated agency's state plan is referral to literacy programs. One allowable activity is the delivery of literacy services by community based organizations.)* Funding: FY 05 \$69,499,889; FY 06 \$63,249,510.

CORPORATION FOR NATIONAL SERVICE

VISTA (Volunteer Services to America)

Enabling Legislation: Domestic Volunteer Service Act of 1973, as amended, Title I, Part A. Purpose: To supplement efforts of private, nonprofit organizations and Federal, state, and local government agencies to eliminate poverty and poverty-related problems by enabling persons from all walks of life and all age groups to perform meaningful and constructive service as volunteers. Funding Distribution: By discretionary grants to government agencies or nonprofit agencies which will use volunteers to assist in the solution of poverty-related problems. Local Program Access: Application forms may be obtained from, and inquiries made to, the Corporation for National Service State Office. Federal Contact: Director of VISTA, Corporation for National Service, (202) 606-5000, vista@americorps.org. *(Notes: Examples of uses of volunteers include providing low-income adults with tutoring services to improve their literacy skills and to improve their employment potential through computer literacy activities.)* Appropriations: FY 05 \$94,240,000; FY 06 \$95,460,000.

U.S. DEPARTMENT OF LABOR

Statewide Workforce Investment Activities for Adults

Enabling Legislation: Workforce Investment Act of 1998, Title I. Purpose: Provide workforce investment activities through statewide systems that increase skill attainment by participants and, as a result, improve the quality of the workforce, reduce welfare

dependency, and enhance the productivity and competitiveness of the nation. The Act specifies that most services for adults will be provided through One Stop Career Centers. The Act authorizes three levels of service which are available to all jobseekers. "Core" services include outreach, job search, placement assistance, and labor market information. "Intensive" services include more comprehensive assessments, development of individual employment plans and counseling, and career planning. Those customers who cannot find employment through intensive services may receive "training" services linked to job opportunities in their communities, including both occupational training and training in basic skills. To promote customer choice and involvement in career decisions, participants use an "individual training account" to select an appropriate training program from a qualified training provider. The Act also authorizes the provision of supportive services (e.g., transportation and child care assistance) to enable an individual to participate in the program. Fund Distribution: By formula to state labor agencies. Of the formula distribution of monies, the governor may retain as much as 15%. Local Program Access: Local provider agencies must contact the state labor agency to apply for funding. Federal Contact: Employment and Training Administration. (*Note: Basic skills instruction is authorized in Title I only if delivered as part of "intensive services" as short-term prevocational instruction or in combination with another authorized training activity. When Title I funds are used to support basic skills instruction, providers are subject to the employment-oriented performance measures of Title I rather than the more education-oriented measures of WIA Title II, the Adult Education and Family Literacy Act.*) Appropriations: FY 05 \$891,000,000; FY 06 \$857,000,000.

Workforce Investment Act Activities for Dislocated Workers: Administered Via Local Workforce Investment Areas

Enabling Legislation: Workforce Investment Act of 1998, Title I. Purpose: To reemploy dislocated workers, improve the quality of the workforce and enhance the productivity and competitiveness of the nation's economy by providing workforce investment activities that increase the employment, retention, and earnings of participants, and increase occupational skill attainment by the participants. This program, as is the Adult program, is measured by entry into unsubsidized employment, retention in unsubsidized employment after entry into employment, and extent of recovery of prior earnings. For cross cutting goals, the program intends to enhance customer satisfaction for participants and for employers. Funding Distribution: By formula to state labor agencies, and then to local Workforce Investment Areas that are to operate One-Stop Career Centers (described in the Adult Program above). Local Program Access: Local provider agencies should contact the director of the local Workforce Investment Area. Contact: <http://nawb.org>. (*Notes: One-Stop systems are required to deliver three categories of service – core services, intensive services, and training. One component of core services is basic skills assessment. Components of intensive services are diagnostic testing and comprehensive assessments and short term prevocational skills. Basic skills is authorized as a training activity if it is conducted in combination with occupational skills training, skill upgrading and retraining, skill upgrading and retraining, entrepreneurial training or job readiness training. The legislation gives no guidance with respect to proportions in any combination. One-Stop systems expect local providers to use their Title II funds first to*

support basic skills instruction before devoting Title I funds to such activity. When Title I funds are used to support basic skills instruction, providers are subject to the employment-oriented performance measures of Title I rather than the more education-oriented measures of WIA Title II, the Adult Education and Family Literacy Act.)
Appropriations: FY 05 \$1,187,000,000; FY 06 \$1,181,000.

Workforce Investment Activities for Youth

Enabling Legislation: Workforce Investment Act of 1998, Title I. **Purpose:** Provide workforce investment activities through statewide systems that increase skill attainment by participants and, as a result, improve the quality of the workforce, reduce welfare dependency, and enhance the productivity and competitiveness of the nation. **Funding Distribution:** To state labor agencies by formula. At least 85% of formula funding to each state must be suballocated to local Workforce Investment Areas to carry out youth activities. Local Workforce Investment Areas may, but are not required to, involve youth in the One-Stop system. **Local Program Access:** Local provider agencies should contact the director of the local Workforce Investment Area program. **Federal Contact:** Office of Youth Services, Employment and Training Administration. *(Notes: Each Workforce Investment Area must have a “Youth Council” comprised of some members of the local Workforce Investment Board, and some from the community at large. Thirty percent of a local area’s youth allotment must be spent on out-of-school youth. Among allowable activities for out-of-school youth are tutoring, study skills training, and instruction leading to completion to completion of secondary school.)* **Appropriations:** FY 05 \$971,494,000; FY 06 \$926,393,000.

SECTION III: RESEARCH, DEMONSTRATION, AND OTHER SPECIAL PROGRAMS

U.S. DEPARTMENT OF EDUCATION

National Institute for Literacy

Enabling Legislation: Workforce Investment Act of 1998, Title II (Adult Education and Family Literacy Act). **Purpose:** To provide a national focal point for literacy within and outside of the federal government; to provide national leadership regarding literacy; to coordinate literacy services and policy; and to serve as a national resource for adult education and literacy programs through dissemination. **Services:** Conduct basic and applied research in the development of national policies regarding literacy goals, objectives, and strategies; provide coordination assistance; assist in policy analysis and evaluation; provide program and technical assistance to state and local groups, including staff training; collect, coordinate, and disseminate information; and coordinate and track the literacy programs of federal agencies. **Funding:** By annual appropriation for the Adult Education and Family Literacy title of the Workforce Investment Act. **Access:** There are no restrictions on whom NIFL can serve or assist. Its grants and services cut across program type, and system and geographical boundaries. **Federal Contact:** Director,

NIFL, (202) 233-2025. (Notes: (a) While funds for NIFL flow to the Department of Education, NIFL is a quasi-independent entity with interagency governance from the Secretaries of Education, Labor, and Health and Human Services, and the guidance of a presidentially-appointed advisory board. (b) The Reading First and Early Reading First programs of the Elementary and Secondary Education Act gives the Institute an additional responsibility – that of disseminating information on scientifically based reading research and reports on effective reading programs for both children and parents.) Appropriations: FY 05 \$6,638,000; FY 06 \$6,572,000.

Adult Education: National Leadership Activities

Enabling Legislation: Workforce Investment Act of 1998, Title II (Adult Education and Family Literacy Act). Purpose: To support applied research, development, demonstration, dissemination, evaluation, and related activities that contribute to the improvement and expansion of adult literacy nationally. Funding: By annual appropriation for the Adult Education and Family Literacy title of the Workforce Investment Act. Local Program Access: Respond to RFPs issued by the Secretary. Federal Contact: Division of Adult Education and Literacy, Office of Vocational and Adult Education. (Note: The Department of Education, through its Office of Vocational and Adult Education and its Office of Education Research and Improvement, may combine funding with the National Institute for Literacy and the National Institute for Child Health and Human Development and solicit applications for research and demonstration grants.) Appropriations: FY 05 \$9,906,000; FY 06 \$9,005,000.

Institute of Education Sciences (formerly the Office of Education Research and Improvement - OERI)

Enabling Legislation: Education Sciences Reform Act of 2002, Title I, Parts A, B and D, Secs. 133 and 172, 20 U.S.C. 9533, 9562. Purpose: To support the development and distribution of scientifically valid research, evaluation, and data collection that support learning and improve academic achievement. Funding: Annual appropriation to the U.S. Education Department. Local Program Access: Interested parties respond to requests for proposals for grants to support basic and applied research, development, dissemination, evaluations, and demonstrations in education. Contact: Institute of Education Sciences, Department of Education. (Note: The Institute supports “centers” of research and demonstration. From 1996 to 2006 it supported a national center for adult literacy at Harvard University, funding it for an initial five years and granting a one-time allowable renewal for the succeeding five years. The Center was called the National Center for the Study of Adult Learning and Literacy (NCSALL). It had cooperating agreements with World Education, Rutgers University, Portland State University, the Center for Literacy Studies at the University of Tennessee, Brown University, and Michigan State University. The Institute’s current requests do not include one for a literacy center. Adult literacy study is an allowable activity in two other requests, but not the primary activity.)

Note from the author: A more extensive examination of R&D activities can be found in another paper in this series titled Introduction to Main Strands of Federal Adult Literacy Programming, by James Parker, October 23, 2006.