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## VOLUME II: DETAILED METHODS AND FINDINGS

### STUDY TO ASSESS FUNDING, ACCOUNTABILITY, AND ONE-STOP DELIVERY SYSTEMS IN ADULT EDUCATION

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Nancy Pindus  
Laudan Aron  
Jake Cowan  
Harry Hatry  
Shinta Hernandez (Herwantoro)  
Mary Winkler (Kopczynski)  
Robin Koralek  
John Trutko

*The Urban Institute*

Burt Barnow

*Johns Hopkins University*

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Elaine Gilby, the project officer, provided ongoing guidance and support throughout the project. She directed us to many helpful colleagues at Office of Vocational and Adult Education (OVAE), and we thank them for the wealth of background information they shared with us. In addition, the members of the project advisory group, listed in table II-1, provided valuable input that helped to shape the survey instrument.

## **I. Introduction to Volume II**

The Study to Assess Funding, Accountability, and One-Stop Service Delivery Systems in Adult Education extended over a three-year period (October 2000–October 2003) and included a national survey as well as site visits. Volume I presents a synthesis of the study findings. This volume supplements the synthesis, providing more detail on the study methods (Section II) and survey findings (Section III). Appendix A provides the cover letters and introduction to the survey of State Directors of Adult Education; Appendix B summarizes state responses to all survey questions; Appendix C presents responses for outlying areas; and Appendix D contains profiles of the local sites visited in the study.

## **II. Study Methods**

As part of this study, Urban Institute staff completed several activities to provide background information and guide the development and administration of a 50-state survey and related in-depth case studies.

### **A. Background Information**

The study began with a comprehensive review of a variety of background information, including pertinent legislation, summaries and analyses of the Workforce Investment Act (WIA), Office of Vocational and Adult Education (OVAE) program memoranda providing guidance to state directors of Adult Education on WIA implementation, selected state plans and performance reports, National Reporting System (NRS) Implementation Guidelines, and OVAE Reports to Congress on State Performance. Over the course of the project OVAE staff provided NRS Narrative and Statistical Reports for program year 2000–2001 and program year 2001–2002.

Supplementing this review were in-person interviews with OVAE administrators, including the director of OVAE, the director of the Office of Policy Analysis, regional coordinators, and the NRS contractor. Together these sources provided important background information to Urban Institute staff on the adult education system, guided the overall study plan and development of the survey instrument, and revealed what types of information and data are readily available at the federal level. Federal officials were especially helpful in providing information on the structure of the adult education system at the state level and states' early implementation experiences and areas of concern with WIA. They also identified potential sources of information on WIA implementation, effective methods for reaching out and engaging states/localities in our study, and questions to include in our survey and discussion guides. In addition to discussing actual sources of data (e.g., state plans, annual reports, and information on local grantees), interviews with OVAE officials were helpful in assessing the quality of these data.

### **B. Advisory Group**

A project advisory group (table II-1) provided expert input on both substantive and methodological aspects of the data collection efforts. The advisory group received draft materials for review and convened for one day to provide substantive feedback on the content and design of the questionnaire and case study discussion guides. Individual members of the advisory group continued to provide consultation on survey questions and formats and strategies for maximizing the survey response rate.

**Table II-1:  
Members of the Advisory Group**

**Working Group Members**

- Ms. Cheryl Keenan, Former Director, Pennsylvania Department of Education, Bureau of Adult Basic and Literacy Education
- Ms. Leatrice Williams, Director, Adult Education Services and GED Testing, Division of Workforce Development, Florida State Department of Education
- Ms. Becky Bird, Director of Adult Basic Education, Montana Office of Public Instruction
- Ms. Inaam Monsoor, Director, Arlington Education and Employment Program, Clarendon Education Center
- Ms. Judy Alamprese, Abt Associates
- Ms. Robie Sangster, Bureau of Labor Statistics, Office of Survey Methods Research

**“Ex Officio” Members**

- Mr. Ronald Pugsley, Former Director, Division of Adult Education and Literacy, U.S. Department of Education
- Ms. Elaine Gilby, Project Officer, U.S. Department of Education
- Mr. Michael Dean, Division of Adult Education and Literacy, U.S. Department of Education
- Ms. Becky Hayward, Chief Scientist, Center for Research in Education, Research Triangle Institute
- Mr. Lennox McLendon, Executive Director, National Adult Education Professional Development Consortium Inc.

**Urban Institute Internal Project Advisors**

- Ms. Jane Hannaway
- Ms. Demetra Nightingale
- Mr. Harry Hatry

**Urban Institute Project Staff**

- Ms. Nancy Pindus, Principal Investigator
- Ms. Laudan Aron
- Mr. Burt Barnow, Johns Hopkins University, Institute for Policy Studies
- Mr. Jake Cowan
- Ms. Shinta Herwantoro
- Ms. Mary Kopczynski
- Ms. Robin Koralek
- Mr. John Trutko, Capital Research Associates, Inc.

### **C. Survey of State Adult Education Directors**

The Survey of State Directors of Adult Education was sent in August 2002 to all directors of Adult Education (which includes the 50 states, the District of Columbia, and all eight outlying areas) in both paper and electronic formats (see appendix A for survey letters and appendix B for complete survey and results). The survey provided an opportunity for *all* directors to offer feedback (through both closed- and open-ended questions) on the initial phases of WIA implementation, responses to key provisions of AEFLA, the status of adult education performance measurement, and the coordination efforts between adult education and the one-stop delivery system. The survey also requested information on local grantees and their funding, and on the capacity of state management information systems. Respondents were asked to provide the requested information for the program year beginning July 1, 2000. Those who did not return the survey within a specified period of time were sent reminders via e-mail, and if necessary, by telephone. Additional reminders were provided by the National Adult Education Professional Development Consortium. Ultimately, survey responses were received from 49 states, the District of Columbia, Puerto Rico, the Virgin Islands, and American Samoa.<sup>1</sup>

Surveys were reviewed immediately upon receipt, and follow-up contacts were made in cases of errors or missing components. Survey data were entered into an Excel file, and basic one-way frequencies and cross-tabulations were run using the SAS statistical software program. Responses to most survey questions were also cross-tabulated by the following variables: region, size of state AEFLA grant, state administering agency, and proportion of state population that is foreign born. We conducted further analyses of specific questions and variables based on survey responses and site visit information.

### **D. State Interviews and Local Site Visits**

Site visits to local programs and in-depth discussions with state officials overseeing these programs provided a much richer picture of how AEFLA is being implemented at the community level. Many of the study questions require local information, information at the level of providers and learners, that supplements and complements the survey findings. For example, many state directors have limited knowledge of local one-stop center implementation, particularly the challenges and the impact on service delivery to adult learners. Also, the implementation and use of performance measurement could not be explored fully through the state survey. In-depth discussions with state administrators as well as discussions with local administrators and service providers yielded a much fuller understanding of how performance is being measured, what measures are most meaningful, and how this information is being used to improve programs and services.

Five states—California, Connecticut, Iowa, Kentucky, and Mississippi—were selected for state-level interviews, and within each state, one or two localities were selected for site visits. Key characteristics of the five states selected for in-depth state interviews and local site visits are

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<sup>1</sup> New Mexico did not submit a survey. The following outlying areas also did not respond to the survey: Guam, Marshall Islands, Northern Mariana Islands, Micronesia, and Palau.

shown in table II-2. These states reflect diversity across many dimensions of interest. They are geographically dispersed, with states included from each of the four Department of Education regions. Since southern states make up 40 percent of Federal Adult Education expenditures, two states were selected from this region. In three of the states (California, Connecticut, and Iowa), adult education programs are administered by a State Education Agency (SEA); in Mississippi, adult education programs are administered by the community college system; and in Kentucky, adult education programs are administered by the state Department of Labor (DOL). Nationally, there are five DOL-administered states (none in the Midwest or West) and eight community-college administered states, and all others are administered by SEAs. Two of the five states (Connecticut and Kentucky) received a 2002 WIA incentive grant. Nationally, twelve states received WIA incentive grants in 2002.

Local sites were selected based on local grantee information including: local adult education provider types (e.g., community-based organizations (CBOs), local education agencies (LEAs), and community colleges); total enrollment in adult basic education (ABE), English as a second language (ESL), and adult secondary education (ASE) programs; geographic location (i.e., urban or rural); and total population. Table II-3 describes the local site(s) selected for each state. Profiles of each local site are included in appendix D.

Site visit data collection consisted of in-person interviews with administrators and staff representing a wide range of local organizations, including local subgrantee staff, one-stop directors, service providers, one-stop career center staff, representatives from the local workforce investment board, and other employment and training providers. When the state adult education offices were in the same city or in close proximity to the local site being visited, in-person interviews with state officials were conducted (Connecticut, Iowa, and Kentucky). When the state offices were not within driving distance of the local site, telephone interviews were conducted with state agency staff (California and Mississippi). State-level respondents included representatives from the state's education agency, the state's Department of Labor/Department of Economic Development, and other state agencies or state contractors involved in adult education performance accountability (e.g., Comprehensive Adult Student Assessment System [CASAS], state workforce investment board, state community college board). Respondents varied depending upon the organization of each state with respect to adult education programs, WIA implementation, and performance monitoring. Questions were open-ended and tailored to professional responsibilities of the respondent.

Participants in the local site visits included administrators and other individuals involved in data collection/reporting and performance measurement, one-stop operations, and WIA implementation as it relates to adult education. The number of respondents and the length of each interview varied, depending upon the local service configuration and the respondent's job responsibilities. Site visit respondents typically included

- key staff at the grantee (i.e., applicant/recipient of AEFLA funds) agency, including the individual(s) responsible for reporting/accountability systems;
- workforce investment board (WIB) members and/or WIB staff;
- the one-stop director;

- adult education administrators, such as directors of adult schools, literacy programs, community college staff, data reporting staff, and staff of one-stop career centers;
- adult education teachers; and
- contractors providing adult education and/or literacy services.

Appropriate respondents were identified through review of background materials, including information from state and local web sites, and reports and documents gathered during preliminary research (including state plans). State administrators were contacted to arrange interviews, inform the state directors about the local site visit component of the study, and identify additional state-level respondents. Contacts with local adult education grantees and local one-stop service delivery agencies to arrange local visits required initial telephone discussions to identify appropriate local-level organizations and partners, and key respondents.

The site visit protocol consisted of discussion guides tailored to the type of organization (e.g., government agency, one-stop career center, educational institution) as well as to respondents' roles in their respective organizations (e.g., supervisor, data systems analyst, educator, employment counselor, etc.). A semi-structured, open-ended format allowed interviewers to probe beyond the initial answers given by respondents. Site visits were conducted by two-person teams from mid-December 2002 through early February 2003. Each visit lasted two to three days.

**Table II-2  
States Visited as Part of the Study to Assess Funding,  
Accountability, and One-Stop Delivery Systems in Adult Education**

State	Geographic Region	State Population <sup>a</sup>	Adult Ed. Admin. Agency	Total Federal Funding for Adult Ed. (FY 2001) <sup>b</sup>	Total State/Local Funding for Adult Ed. (FY 2001) <sup>c</sup>	Total Enrollment <sup>2</sup> PY 2001-2002				\$ per Student <sup>d</sup>	WIA Early Implementer
						ABE	ESL	ASE	TOTAL		
California	4—West	34,501,130	SEA	\$68,900,462	\$643,826,813	68,698	394,657	63,600	596,955	\$1,353	No
Connecticut	1—East	3,425,074	SEA	\$5,970,444	\$34,602,539	6,018	15,355	11,097	32,470	\$1,250	No
Iowa	3—Midwest	2,923,179	SEA	\$4,176,686	\$8,249,867	11,255	4,997	3,115	19,367	\$642	No
Kentucky	2—South	4,065,556	DOL	\$9,347,834	\$8,931,621	18,730	3,365	11,712	33,807	\$541	Yes
Mississippi	2—South	2,858,029	community college	\$6,330,835	\$2,110,279	25,971	1,804	7,570	35,345	\$239	No

*Source:* Study to Assess Funding, Accountability, and One-Stop Delivery Systems in Adult Education.

WIA = Workforce Investment Act

<sup>a</sup> July 1, 2001 Population Estimates, State and County QuickFacts, US Census Bureau.

<sup>b</sup> Source: U.S. Department of Education, Office of Vocational and Adult Education, Division of Adult Education and Literacy, February 22, 2005. Funding for entire 27 month period that FY 2001 funds were available to states.

<sup>c</sup> Source: U.S Department of Education. Office of Vocational and Adult Education, Division of Adult Education and Literacy, September 2003.

<sup>d</sup> Source: U.S. Department of Education Office of Vocational and Adult Education, Division of Adult Education and Literacy February 22, 2005. Funding for the entire 27 month period that FY 2001 funds were available to states. Cost per student computed as follows: total federal and non-federal expenditures excluding expenditures for state administration divided by total enrollment.

**Table II-3**  
**Local Sites Visited as Part of the Study to Assess Funding,**  
**Accountability, and One-Stop Delivery Systems in Adult Education**

State/Locality	Local Adult Education Provider Type(s)	Total Enrollment <sup>b</sup>			Setting (percent rural) <sup>c</sup>	Total Local Population <sup>d</sup>
		ABE	ESL	ASE		
<b>California</b> Los Angeles Riverside	Los Angeles has one CC and one LEA. Riverside has two LEAs in program year 2001.	9,830 613	124,816 2,386	19573 1,038	0.7 6.8	9,637,494 1,635,888
<b>Connecticut</b> <sup>a</sup> Hartford Bridgeport	Hartford has two LEAs and six CBOs. Bridgeport has two LEAs, three CBOs, and one corrections agency.	525 987	1,065 1,806	1,612 780	5.5 4.2	861,152 885,368
<b>Iowa</b> <sup>a</sup> Ankeny Ottumwa	Ankeny has one CC; suburb of Des Moines. Ottumwa has one CC.	1,469 750	1,640 230	919 330	5.8 30.2	379,029 35,794
<b>Kentucky</b> <sup>a</sup> Lexington Shelbyville	Lexington has one CC and one corrections agency. Shelbyville has a regional co-op.	642 144	846 100	1,075 300	4.3 60.1	260,414 34,120
<b>Mississippi</b> Tupelo	Tupelo has one CC.	1,008	68	339	46.2	76,680

*Source:* Urban Institute analysis of 2002 Survey of State Directors of Adult Education, National Assessment of Adult Education, Study to Assess Accountability, Funding and One-Stop Delivery Systems in Adult Education.

ABE = adult basic education

ESL = English as a second language

ASE = adult secondary education

CC = community college

LEA = local education agency

CBO = community-based organization

<sup>a</sup> Researchers also visited the state capital.

<sup>b</sup> Based on data obtained from states by Westat, Inc.

<sup>c</sup> Based on data from 2000 Urban and Rural Population, U.S. Census Bureau. Figures are calculated as the percentage of rural setting of the total site population.

<sup>d</sup> July 1, 2001 Population Estimates, State and County QuickFacts, U.S. Census Bureau.

### III. Supplemental Findings

This section includes additional detail and tables on survey findings beyond the key findings presented in volume I. Supplemental findings are presented for the three key topics addressed in the survey: funding, accountability, and one-stop service delivery.

#### A. Funding

AEFLA includes 11 provisions that change the federal allocation of adult education and family literacy funds at the state and local levels. In the survey, state directors were asked their opinion of each of these changes (from “very positive” to “very negative”), and they were asked to indicate up to three provisions that have had the greatest impact. State directors appear to generally favor the new funding provisions implemented under AEFLA, with 6 of the 11 provisions eliciting mostly positive responses (table III-1). The two provisions that were perceived as negative changes were the cap on state leadership expenditures and the requirement to support one-stop centers (table III-2). The maintenance of effort requirement, the provision permitting states to charge a fee to adult learners, and the provision authorizing incentive grants to states each received mixed or neutral responses from the state directors (table III-3).

In order to determine whether responses to the AEFLA provisions were associated with particular state characteristics, we analyzed responses by region of the country, state administering agency, federal AEFLA grant amount, state population, and percent of state population that is foreign born.<sup>3</sup> In general, no striking patterns to the responses emerged based on any of these variables, but a few significant findings are included here. Eastern, southern, and midwestern states were more likely to report a positive opinion of the provision removing the 20 percent cap on a state’s allotment for high school equivalency programs, while western states are more likely to feel neutral. SEA-administered states are more likely than other states to report a positive opinion of the following provisions: the spending cap on corrections education, removal of the 20 percent cap on the amount of a state’s allotment that may be used for high school equivalency programs, flexibility in spending on family literacy programs, and prohibition of for-profit entities from receiving AEFLA funds. SEA-administered states are also more likely to report a negative opinion of the spending cap on state leadership activities and are more likely to report a neutral response about the reduction of spending on maintenance of effort (exhibit III-1).

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<sup>3</sup> All close-ended survey questions were cross-tabulated by these variables and chi-square values were computed. Only findings statistically significant at the 0.10 level are reported here.

**Table III-1**  
**States Directors' Opinions of Various AEFLA Funding Provisions:**  
**Provisions that Elicited Mostly Positive Responses**

AEFLA Provision	Opinion of Change		
	Positive	Neutral	Negative
Under AEFLA, not more than 10% of a state's expenditures for grants and contracts may be used for <b>corrections education</b> . The previous legislation had no cap on corrections education and required that at least 10% be reserved for corrections education.	23	14	11
AEFLA removed the 20% cap on the amount of a state's allotment that may be used for <b>high school equivalency programs</b> .	25	14	6
AEFLA permits the use of funds to support services to children in <b>family literacy programs</b> after first seeking support from other programs.	25	13	10
Under AEFLA, the 5% limitation on administrative costs for local grantees applies to a broader range of specified activities than " <b>local administrative costs</b> " under the previous legislation.	29	5	11
AEFLA requires states to award <b>multiyear competitive grants</b> . The prior legislation did not specify the duration of grants.	35	8	4
<b>For-profit entities</b> cannot receive education funds under AEFLA.	36	8	12

*Source:* Urban Institute analysis of 2002 Survey of State Directors of Adult Education, National Assessment of Adult Education, Study to Assess Accountability, Funding and One-Stop Delivery Systems in Adult Education. See survey question C1.

*Notes:* Data represent the number of respondents. Three state directors did not answer this question on the survey, either in part or in its entirety. Total positive responses include those that indicated "very positive" and "somewhat positive" on the survey. Total negative responses include those that indicated "very negative" and "somewhat negative" on the survey.

**Table III-2**  
**States Directors' Opinions of Various AEFLA Funding Provisions:**  
**Provisions that Elicited Mostly Negative Responses**

AEFLA Provision	Opinion of Change		
	Positive	Neutral	Negative
AEFLA changed the percentage of grant funds that can be used for <b>state leadership activities</b> from a minimum of 15% to a maximum of 12.5%, and added professional development activities to this category of expenses.	6	3	40
Title I of WIA requires Adult Education to support the operation and maintenance of <b>one-stop centers</b> .	12	15	24

*Source:* Urban Institute analysis of 2002 Survey of State Directors of Adult Education, National Assessment of Adult Education, Study to Assess Accountability, Funding and One-Stop Delivery Systems in Adult Education. See survey question C1.

*Notes:* Data represent the number of respondents. Three state directors did not answer this question on the survey, either in part or in its entirety. Total positive responses include those that indicated “very positive” and “somewhat positive” on the survey. Total negative responses include those that indicated “very negative” and “somewhat negative” on the survey.

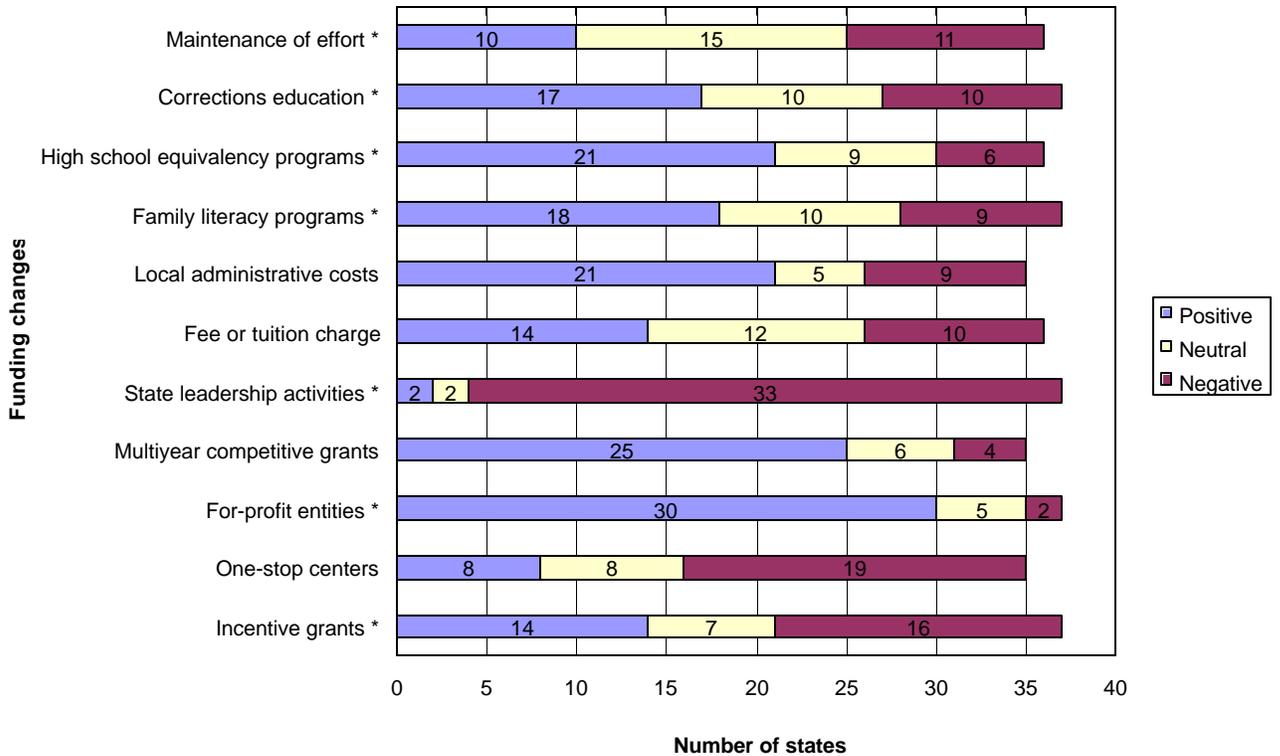
**Table III-3**  
**States Directors' Opinions of Various AEFLA Funding Provisions:**  
**Provisions that Elicited Mostly Mixed or Neutral Responses**

AEFLA Provision	Opinion of Change		
	Positive	Neutral	Negative
The <b>maintenance of effort</b> requirement has been reduced from 100% to 90% of spending in the previous year. For example, penalties are imposed if the state spends less than 90% of what it spent in the prior year.	12	22	11
U.S. Department of Education regulations no longer prohibit states from charging adult learners a <b>fee</b> for some adult education services.	19	15	12
AEFLA authorizes <b>incentive grants</b> to states exceeding expected levels of performance for specific education and job training programs. Eligible states must apply in order to receive incentive grants.	18	9	19

*Source:* Urban Institute analysis of 2002 Survey of State Directors of Adult Education, National Assessment of Adult Education, Study to Assess Accountability, Funding and One-Stop Delivery Systems in Adult Education. See survey question C1.

*Notes:* Data represent the number of respondents. Three state directors did not answer this question on the survey, either in part or in its entirety. Total positive responses include those that indicated “very positive” and “somewhat positive” on the survey. Total negative responses include those that indicated “very negative” and “somewhat negative” on the survey.

**Exhibit III-1**  
**SEA-Administered States' Opinions of the Funding Changes**



*Source:* Urban Institute cross-tabulation analysis of 2002 Survey of State Directors of Adult Education, National Assessment of Adult Education, Study to Assess Accountability, Funding and One-Stop Delivery Systems in Adult Education.

*Notes:* Other responses include “don’t know,” “not applicable,” and “missing.” Total positive responses include those that indicated “very positive” and “somewhat positive” on the survey. Total negative responses include those that indicated “very negative” and “somewhat negative” on the survey.

\* Statistically significant at the 0.10 level.

### *State Directors' Responses to Additional Provisions*

The following funding provisions under AEFLA did not appear to have had as large an impact on states, and are not discussed in volume I. Fewer than 10 state directors reported these provisions as having had the greatest impact on their states.

**Excluding For-Profit Entities from Receiving AEFLA Funds.** Most state directors (36)—the largest number of respondents favoring any provision—reported that the provision excluding for-profit businesses from receiving adult education funds is a positive change. Currently, no state adult education program contracts with for-profit providers, so this provision has had limited impact on states and reinforced their existing policies. Only two states viewed this provision negatively. Eight state directors had neither a positive nor negative opinion. For example, although Iowa administrators believed this provision is a positive change, it has had no effect at the state and local levels.

**Removal of the Spending Cap for High School Equivalency Programs.** Twenty-five state directors reported that the removal of the spending cap for high school equivalency programs was positive. For example, state administrators in both Mississippi and Iowa believed that the removal of the spending cap provides greater flexibility to those who can be served under these programs. Mississippi administrators also noted that the removal of the cap gives states the opportunity to use more of their funding for a “GED-ready” population.

**Spending on Support Services to Children in Family Literacy Programs.** As with the provision that removed the spending cap for high school equivalency programs, 25 state directors favored the provision that permits federal funds be spent on support services to children in family literacy programs. Ten state directors viewed this provision negatively, while 13 state directors noted they were neutral on this provision. In Iowa, state administrators reported that while they believe this flexibility in spending is beneficial, they do not want local service providers spending limited adult education funds on support services such as child care. In California, AEFLA has not changed the funding or operations of family literacy programs because the state’s Community-Based English Tutoring program funds most family literacy activities in the state.

**Tuition or Fee Can Be Charged for Use of Services.** Nineteen state directors favored this provision, while 12 viewed it negatively. State administrators in Iowa noted that the option of charging students a fee provides greater flexibility for the state and local service providers if the financial need arises. Although a fee is charged for certain ESL classes in Iowa to cover the costs of books, the majority of local service providers do not charge their students because this policy goes against the philosophy of their adult education system. Similarly, Kentucky state administrators do not encourage local service providers to charge tuition or fees for adult education services.

**Reduction in Spending on Maintenance of Effort (MOE).** State directors tended not to have strong opinions about the MOE provision as compared to other provisions—22 reported being neutral. Other state directors were mixed in their opinion of this provision—12 state directors favored the provision, while 11 respondents perceived it negatively. One state director responding to the survey noted that the MOE provision in AEFLA results in reduced adult education spending. The MOE requirement has had no effect on Iowa’s adult education system since federal dollars represent only about 30 percent of the total dollars expended on adult education in the state. California also provides substantial state funding for adult education, so the MOE requirement has not been a problem. However, California state administrators noted that the governor has proposed putting all state adult education dollars in a block grant. This would endanger the state’s ability to

meet its MOE requirement, since local districts could use the adult education funding for other shortfalls, such as those in special education.<sup>4</sup>

### *Changes in Local Grants*

Most state directors (25 of 44 responding to this question) reported that the number of applications received from local providers has not changed since AELFA implementation; 10 states reported an increase in applications, and 9 states reported a decrease. While the total number of applications submitted has changed little, the number of states that encourage consolidated applications or applications from consortia has increased slightly. Currently 34 states encourage such applications, as compared to 26 prior to the implementation of AEFLA. State directors did note changes in the size and type of local grant awards since AEFLA implementation (table III-4). Twenty-six states saw a change in the size of the local AEFLA grants awarded, 22 states experienced a change in per-student federal expenditures, and 16 reported a change in per-student state expenditures on other adult education services.

**Table III-4**  
**Changes in Local Grants Since Implementation of AEFLA**

<b>Changes</b>	<b>No. of states</b>	<b>% of states</b>
<i>Size of the local AEFLA grants</i>	26	52
Per-student <i>federal</i> expenditures on AEFLA services	22	44
<i>Types of funded services</i> (e.g., ABE, ASE, ESL)	18	36
Per student <i>state</i> expenditures on other adult education services	16	32
Mix of applications for local AEFLA grants (e.g., types of organizations, areas of the state)	14	28
<i>Types of organizations</i> that are funded (e.g., community colleges, CBOs)	14	28
<i>Percentage of applications that are funded</i>	11	22

Source: Urban Institute analysis of 2002 Survey of State Directors of Adult Education, National Assessment of Adult Education, Study to Assess Accountability, Funding and One-Stop Delivery Systems in Adult Education. See survey question C6.

ABE = adult basic education

ASE = adult secondary education

ESL = English as a second language

CBO = community-based organization

Note: Four state directors did not answer this question on the survey, either in part or in its entirety.

<sup>4</sup> As of this writing, the proposed block grant has not been enacted.

### **Local Grantee Funding Information**

States were asked to provide basic information about their local grantees (local grantee name and address, number of subgrantees [if any], and total AEFLA funding) for the program year beginning July 1, 2000.<sup>5</sup> Only six states responding to the survey did not do so.<sup>6</sup> Table III-5 summarizes the local grantee funding information provided by the 44 states that responded to this request.

**Table III-5  
Local Grantee Funding Information Provided by Survey Respondents**

<b>AEFLA funding for local grantees</b>	<b>No. of states</b>	<b>% of states</b>
For the program year (PY) beginning July 1, 2000	28	56
For another period (instead of PY 2000)	16	32
Provided the information electronically	22	44
Provided additional information beyond total AEFLA funding		
State funding	9	18
Local funding	1	2
Number of subgrantees	10	20

*Source:* Urban Institute analysis of 2002 Survey of State Directors of Adult Education, National Assessment of Adult Education, Study to Assess Accountability, Funding and One-Stop Delivery Systems in Adult Education. See survey question C12.

*Note:* Six state directors did not answer this question on the survey, either in part or in its entirety.

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<sup>5</sup> Program year refers to July 1–June 30, the U.S. Department of Education’s period for grant awards. Although respondents were instructed to provide local grantee information for the program year beginning July 1, 2000, some respondents provided information for a different time period, usually their fiscal year. State fiscal years vary, and may or may not coincide with the program year.

<sup>6</sup> Respondents were instructed to skip the question if providing the requested local grantee information would take more than 8 hours of staff time.

## B. Accountability

Implementing the AEFLA performance accountability requirements was challenging for most states and localities but has improved over time. The common theme across states and localities with regard to implementing the AEFLA performance accountability requirements is that it was difficult and costly to get started. Most states (34) reported in the survey that implementing the new performance accountability provisions of AEFLA was either “somewhat hard” or “very hard” (table III-6). The pattern of responses to this question did not vary by region, adult education administering agency, size of AEFLA grant, or percent of the state population that is foreign born.

**Table III-6**  
**Overall Implementation:**  
**States’ Experience to Date in Implementing New**  
**AEFLA Performance Accountability Provisions**

<b>Rating</b>	<b>No. of states</b>	<b>% of states</b>
Very easy	0	0
Somewhat easy	9	18
Neutral	7	14
Somewhat hard	23	46
Very hard	11	22

*Source:* Urban Institute analysis of 2002 Survey of State Directors of Adult Education, National Assessment of Adult Education, Study to Assess Accountability, Funding and One-Stop Delivery Systems in Adult Education. See survey question B1.

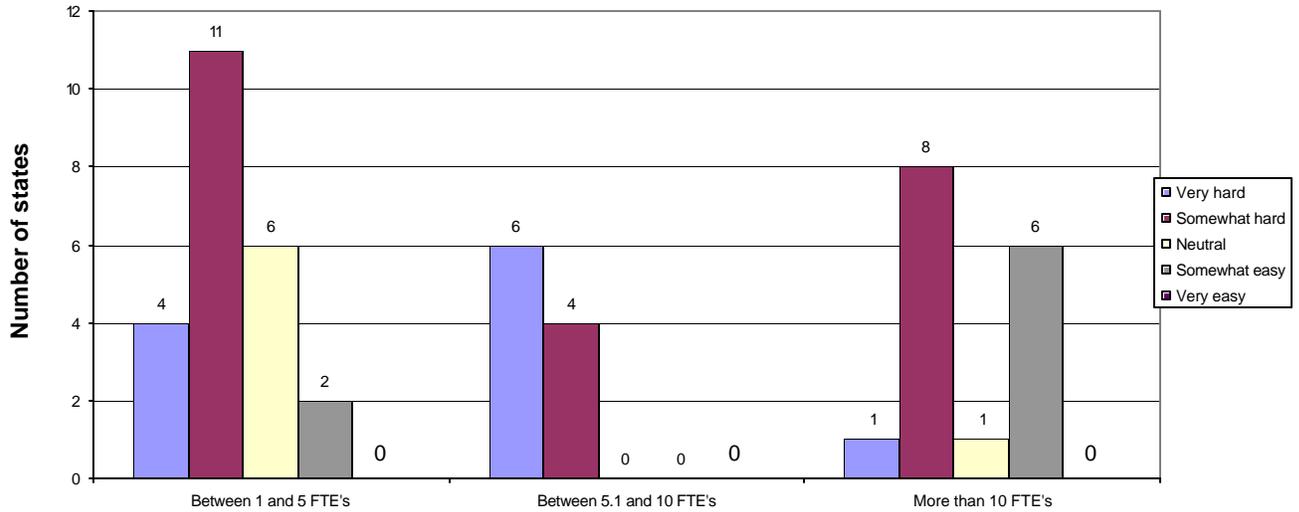
Since ease of AEFLA implementation may be related to staff resources and/or to changes in data collection procedures, we conducted further analyses of the survey data. We found that state agencies with more than 10 full-time equivalents (FTEs) devoted to adult education were more likely to report that AEFLA implementation was hard (exhibit III-2). This may reflect the fact that states with larger staffs are more complex or administer more grants, resulting in more difficult implementation.<sup>7</sup> States that reported a significant change in the way they collect data on participants also reported that implementation was hard or very hard (table III-7). States were also asked to estimate the time that state staff spend to collect data and report performance measures for the NRS. Of the 36 states that responded to this question, 12 states estimated that less than 1 FTE was spent on these tasks, 21 states used between 1 and 5 FTEs, 2 states used between 5.1 and 10 FTEs, and 1 state used more than 10 FTEs.

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<sup>7</sup> Cross-tabulations by state population and by size of AEFLA grant did not yield any statistically significant results.

**Exhibit III-2**  
**Ease of Implementing AEFLA Provisions by**  
**Professional Staff Time Devoted to Adult Education (in full-time equivalents)**

*Source:* Urban Institute cross-tabulation analysis of 2002 Survey of State Directors of Adult Education,



National Assessment of Adult Education, Study to Assess Accountability, Funding and One-Stop Delivery Systems in Adult Education.

*Notes:* One state director did not respond to any of the related questions on the survey. Numbers are statistically significant at the 0.05 level.

**Table III-7**  
**Level of Ease in Implementing AEFLA Provisions**

<b>Change in data collection since AEFLA implementation</b>	<b>Very hard</b>	<b>Somewhat hard</b>	<b>Neutral</b>	<b>Somewhat easy</b>	<b>Very esy</b>
Significant change	11	15	3	5	0
Moderate change	0	5	3	1	0
Small change	0	3	0	3	0
No change	0	0	0	0	0
Too soon to tell	0	0	1	0	0

*Source:* Urban Institute cross-tabulation analysis of 2002 Survey of State Directors of Adult Education, National Assessment of Adult Education, Study to Assess Accountability, Funding and One-Stop Delivery Systems in Adult Education.

***Data Quality***

States are monitoring data quality, but additional support is needed. Table III-8 summarizes state directors' opinions about the quality of data received from local providers and various methods used to monitor data quality.

**Table III-8**  
**Quality of Performance Data Received from Local Providers**

<b>Rating</b>	<b>No. of states</b>	<b>% of atates</b>
Excellent	4	8
Good	33	66
Fair	12	24
Poor	0	0

**Source:** Urban Institute analysis of 2002 Survey of State Directors of Adult Education, National Assessment of Adult Education, Study to Assess Accountability, Funding and One-Stop Delivery Systems in Adult Education. See survey question B17.

**Note:** One state director did not answer this question on the survey.

### *Use of Performance Data*

Table III-9 reports on state directors' views of the usefulness of outcome data in four key areas. Forty or more state directors reported that program data have been "very useful" or "somewhat useful" in motivating local service providers to improve program performance and in helping providers to achieve outcomes. Fewer directors (31) reported the same for allocating AEFLA funds, with seven saying that these data have not been useful for these purposes, and additional seven saying it is "too soon to tell."

**Table III-9**  
**States' Response to the Overall Usefulness of Outcome Data for Various Purposes**

	<b>Very useful or somewhat useful</b>	<b>Slightly useful</b>	<b>Not useful</b>	<b>Don't know</b>	<b>Too soon to tell</b>
Allocating AEFLA funds	31	5	7	0	7
Affecting state policy	35	5	3	0	7
Motivating local service providers to improve program performance	44	4	0	0	2
Helping providers to achieve outcomes	40	1	2	2	5

*Source:* Urban Institute analysis of 2002 Survey of State Directors of Adult Education, National Assessment of Adult Education, Study to Assess Accountability, Funding and One-Stop Delivery Systems in Adult Education. See survey question B9.

*Note:* Data represent the number of state directors.

## C. WIA Implementation and Adult Education Involvement in the One-Stop System

### *State Agency Guidance to Local Adult Education Grantees*

About one-half of the state directors indicated that their agencies have been either somewhat involved (13 states) or very/fully involved (13 states) in providing guidance/technical assistance. Table III-10 shows some of the areas in which guidance has been provided, including on local AEFLA-funded programs' general responsibilities for one-stops (37 states), how adult education/family literacy fits into one-stop services (37 states), and local AEFLA-funded programs' financial responsibilities toward one-stops (29 states).

**Table III-10**  
**Guidance from the State Adult Education Office to**  
**Local Communities on the One-Stop Service Delivery System**

Guidance	No. of states	% of states
Local AEFLA-funded programs' general responsibilities for one-stops	37	74
How adult education/family literacy fit into one-stop services	37	74
Local AEFLA-funded programs' financial responsibilities toward one-stops	29	58
Negotiating MOUs	21	42
Understanding MOUs negotiated by the state	16	32
Applying the principle of proportionality	11	22
Other	7	14

*Source:* Urban Institute analysis of 2002 Survey of State Directors of Adult Education, National Assessment of Adult Education, Study to Assess Accountability, Funding and One-Stop Delivery Systems in Adult Education. See survey question D8.  
 MOUs = memoranda of understanding

State directors tended to view decisionmaking and other responsibilities associated with participation in the one-stop system as a shared responsibility between the state and local levels. Slightly over half of the responding states (24 states) indicated that such decisionmaking responsibilities have been shared between the two levels, while in eight states decisionmaking authority has been retained at the state level, and in 14 states decisionmaking authority has been delegated to the local level on one-stop issues.

### *Involvement of Adult Education Programs in Local One-Stop Operations*

As part of the survey, state directors were also asked to assess how far along their states were in terms of establishing an integrated one-stop service delivery system (table III-11). Assessments of progress were quite mixed across states—about one-quarter (13 states) of state

directors responding to this question indicated that their state was “very far along” in terms of establishing an integrated one-stop system, while nearly 6 in 10 state directors (28 states) indicated that progress was mixed (far along in some areas and not in others). Four state directors indicated that their states were “just starting.”

**Table III-11**  
**How States are Doing in Establishing an Integrated**  
**One-Stop Service Delivery System**

	No. of states	% of states
Very far along	13	26
Just starting	4	8
Mixed: far along in some areas and not in others	28	56
Other	4	8

*Source:* Urban Institute analysis of 2002 Survey of State Directors of Adult Education, National Assessment of Adult Education, Study to Assess Accountability, Funding and One-Stop Delivery Systems in Adult Education. See survey question D2.

***Challenges to Integration and Collaboration***

As part of the state survey and during local visits, adult education program directors and staff were asked to identify common challenges to establishing an integrated one-stop delivery system. As shown in table III-12, state adult education administrators identified a considerable range of challenges, though just two of the challenges—“limited resources” and “turf issues”—were cited by more than half of the state adult education directors. The leading challenge to the establishment of integrated one-stop delivery systems, and one that was also cited in our interviews with state and local administrators during our site visits, is limits on resources (identified by about two-thirds of state adult education directors).

**Table III-12:  
Greatest Challenges to Establishing an Integrated One-Stop Service Delivery System  
(Challenges Identified as among Top Three)**

Challenges	No. of states	% of states
Limited resources	33	66
“Turf” issues (e.g., competition over roles or decisionmaking authority)	28	56
Different program goals	23	46
Space issues (e.g., location, long-term leases, inadequate space)	23	46
Different forms and information systems	20	40
Different performance standards	19	38
Different eligibility criteria	17	34
Different participation rules	15	30
Other	15	30
Limited staff time for collaboration	11	22
Concerns about client confidentiality	8	16
Different service area boundaries	7	14
Different definitions of special populations	4	8
Union rules and civil service regulations	1	2

*Source:* Urban Institute analysis of 2002 Survey of State Directors of Adult Education, National Assessment of Adult Education, Study to Assess Accountability, Funding and One-Stop Delivery Systems in Adult Education. See survey question D3.

The second leading challenge to close collaboration with the one-stop system from the perspective of state adult education directors is “turf issues,” identified by slightly over half of the responding states (28 of 49 states). “Turf”—a somewhat ambiguous term—is one that program administrators at the state and local levels seem to immediately recognize and often view as a critical challenge to overcome in committing staff and other resources to collaborative efforts. Such “turf” issues can arise as agency officials come together and jockey for position over agency roles and responsibilities, especially decisionmaking authority. The extent to which conflicts arise may be a function of a variety of factors—such as personalities of leading administrators, compatibility of agency/program missions and goals, past history of collaboration, and availability of resources to support collaboration.

Aside from these two main challenges, a fairly close grouping of five other challenges were cited by between one-third and less than half the state adult education directors: (1) different program goals (23 of 49 states); (2) space issues such as location, long-term leases, inadequate space (23 states); (3) different forms and information systems (20 states); (4) different performance measures (19 states); and (5) different eligibility rules (17 states).

The fourth leading factor cited by state adult education directors involves limitations related to establishing a physical one-stop where workforce development, adult education, and other

agencies can co-locate staff. Finding a location suitable and convenient to all partners can be a serious challenge. Bringing together partnering organizations in one physical location can be further complicated by other factors: (1) partnering agencies may already be committed to long-term leases, (2) programs may lack resources to pay for space, (3) partnering organizations may be reluctant to move from a long-time location easily recognized by the target population, and (4) space available in the one-stop location may be limited (e.g., in some rural areas, already-established one-stop centers may not have space to house classroom activities).

Operational issues, such as differing forms and information systems, eligibility criteria, and participation rules, can also pose additional risks and challenges when establishing and maintaining one-stop systems with a broad range of partners. For example, workforce development and adult education programs are likely to rely on quite different forms and automated management information systems (which may include constraints on sharing information across programs), which complicate efforts to integrate systems. While the WIA system may offer opportunities for students enrolled in adult education programs to obtain additional training, limits on WIA funding and requirements imposed on entry into WIA-sponsored training (including the use of voucher-like instruments called individual training accounts) may translate into referrals from the adult education system not being enrolled in WIA training.

## **Appendix A**

### **State Directors Survey Cover Letters and Introduction**

**Nancy M. Pindus**  
Senior Research Associate

phone: 202-261-5523  
fax: 202-463-8522  
e-mail: NPindus@ui.urban.org

DATE

NAME  
ADDRESS

Dear XXX:

Please find enclosed the **Survey of State Directors of Adult Education** on accountability, funding, and one-stop delivery systems in adult education. The study is being funded by the Planning and Evaluation Service of the U.S. Department of Education and is part of the **National Assessment of Adult Education**, authorized by Title II of the Workforce Investment Act (WIA) (otherwise known as the Adult Education and Family Literacy Act or AEFLA) in 1998.

This survey is the only federally sponsored study that will collect current AEFLA-related information from every Director of Adult Education in the country. The results will provide critical information to the Department as it prepares for reauthorization of AEFLA in 2003. The data will also be useful to many states and localities as they proceed with implementation of AEFLA over the coming years. A small group of your colleagues have advised us in developing and pre-testing the survey.

The survey should be completed by you or knowledgeable members of your staff. The survey should take no longer than one to three hours to complete. An identical **electronic version** of this survey is also being sent to you if you prefer to complete and/or return the survey electronically. If portions of the survey are completed by different individuals, please compile them and return them to the Urban Institute by **DATE HERE**. The survey and attachments can be mailed using the enclosed prepaid envelope or submitted electronically to [AEFLAsurvey@ui.urban.org](mailto:AEFLAsurvey@ui.urban.org).

The information from the survey will be supplemented with case studies in several states. We may be contacting your state in the next few weeks to request your participation in the case studies.

Please feel free to call or e-mail me with any questions pertaining to this survey. I can be reached at (202) 261-5523 or via e-mail at [Npindus@ui.urban.org](mailto:Npindus@ui.urban.org). Elaine Gilby, the Project Officer for this study at the Department of Education's Planning and Evaluation Service, can also be reached at (202) 401-1026 or [Elaine.Gilby@ed.gov](mailto:Elaine.Gilby@ed.gov) for more general inquiries about this study.

Thank you in advance for your time and careful attention to this important survey.

Sincerely,

Nancy M. Pindus  
Project Director

U.S. DEPARTMENT OF EDUCATION LETTERHEAD

MONTH DAY, 2002

Name  
Title  
Agency  
Address

Dear Director \_\_\_\_\_:

AEFLA introduced many important changes to the nation's adult education and family literacy programs, and there is a critical need for preliminary information about how states are faring since the implementation of AEFLA. The Department of Education requests your response to the enclosed survey on the status of accountability, funding, and one-stop service delivery under the Adult Education and Family Literacy Act (AEFLA) of 1998.

All State Directors of Adult Education are being asked to complete the enclosed questionnaire as part of a study sponsored by the Planning and Evaluation Service (PES) of the U.S. Department of Education. We understand that many changes are still underway and that not all of the recent changes are the direct result of AEFLA alone. Nonetheless, your responses to this survey will provide the Department with important information needed for Congressional reauthorization in 2003. This is an opportunity for all states to provide input. Full participation will strengthen the survey findings.

The survey was reviewed by a panel of State Directors, who serve as advisors on the project. The questions rely on information that should be readily available to all state directors and their staffs. In completing this survey, state agencies are not expected to contact local subgrantees for new information. The survey findings will be supplemented by information collected during site visits to several states and local communities. Your state may be requested to participate in the case studies in the near future.

The study has the support of the of the Office of Vocational and Adult Education (OVAE) and the National Adult Education Professional Development Consortium (NAEPDC).

The Planning and Evaluation Service has contracted with the Urban Institute to conduct this survey, and the study has the support and endorsement of Office of Vocational and Adult Education and the National Adult Education Professional Development Consortium (NAEPDC). Elaine Gilby, of the Planning and Evaluation Service, at the Department of Education, is the Project Officer and can be contacted at 202/401-1026 if you have questions about this study. Questions about the survey itself should be directed to the study director, Nancy Pindus of the Urban Institute at 202/261-5523.

The Department thanks you for your participation and looks forward to the findings as it prepares for Congressional reauthorization.

Sincerely,

David Goodwin, Director  
Postsecondary, Adult and Vocational Education Division  
Planning and Evaluation Service  
U.S. Department of Education

Cheryl Keenan, Director  
Division of Adult Education and Literacy  
U.S. Department of Education

**National Assessment of Adult Education  
Survey of State Directors of Adult Education**

**Study to Assess Accountability, Funding, and One-Stop  
Delivery Systems in Adult Education**

Name of the person completing this form: \_\_\_\_\_

Title: \_\_\_\_\_ State: \_\_\_\_\_

Telephone: \_\_\_\_\_ Fax: \_\_\_\_\_ E-mail: \_\_\_\_\_

Best days and times to reach you, in case of questions: \_\_\_\_\_

This study is being conducted as part of the National Assessment of Adult Education as authorized by the Workforce Investment Act (WIA) of 1998, Title II (otherwise known as the Adult Education and Family Literacy Act or AEFLA). Your voluntary cooperation is needed to make the results of this survey comprehensive, accurate, and timely.

Survey responses can be handwritten or typed. If you do not have enough space to answer open-ended questions, continue answers on the back side of the page or on a separate sheet of paper. Consult with your staff or colleagues if they are better able to answer some of the survey questions. However, all responses should be provided on one copy of the survey.

IF YOU HAVE ANY QUESTIONS, PLEASE CONTACT:  
Nancy Pindus at (202) 261-5523 or [NPindus@ui.urban.org](mailto:NPindus@ui.urban.org) or  
send email to [AEFLAsurvey@ui.urban.org](mailto:AEFLAsurvey@ui.urban.org)  
Thank you very much for taking the time to provide this feedback!

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 1875-0221. The time required to complete this information collection is estimated to average 150 minutes, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate or suggestions for improving this form, please write to: U.S. Department of Education, Washington, DC 20202-4651.

**Please return by October 11, 2002**

## **Appendix B**

### **Summary of All State Survey Responses**

**Numbers in Percentage of States Responding ( $N = 50$ )**

**National Assessment of Adult Education  
Survey of State Directors of Adult Education**

**Study to Assess Accountability, Funding, and One-Stop  
Delivery Systems in Adult Education**

Name of the person completing this form: \_\_\_\_\_

Title: \_\_\_\_\_ State: \_\_\_\_\_

Telephone: \_\_\_\_\_ Fax: \_\_\_\_\_ E-mail: \_\_\_\_\_

Best days and times to reach you, in case of questions: \_\_\_\_\_

This study is being conducted as part of the National Assessment of Adult Education as authorized by the Workforce Investment Act (WIA) of 1998, Title II (otherwise known as the Adult Education and Family Literacy Act or AEFLA). Your voluntary cooperation is needed to make the results of this survey comprehensive, accurate, and timely.

Survey responses can be handwritten or typed. If you do not have enough space to answer open-ended questions, continue answers on the back side of the page or on a separate sheet of paper. Consult with your staff or colleagues if they are better able to answer some of the survey questions. However, all responses should be provided on one copy of the survey.

IF YOU HAVE ANY QUESTIONS, PLEASE CONTACT:

Nancy Pindus at (202) 261-5523 or [NPindus@ui.urban.org](mailto:NPindus@ui.urban.org) or

send email to [AEFLAsurvey@ui.urban.org](mailto:AEFLAsurvey@ui.urban.org)

Thank you very much for taking the time to provide this feedback!

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 1875-0221. The time required to complete this information collection is estimated to average 150 minutes, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate or suggestions for improving this form, please write to: U.S. Department of Education, Washington, DC 20202-4651.

**Please return by October 11, 2002**

OMB No. 1875-0221  
Expiration 07/31/2003

## Section A. Organizational Information

A1. Name of State: \_\_\_\_\_

A2. Name of State Director: \_\_\_\_\_

A3. Number of years State Director has been in this position:

Range of years	% of respondents
Less than 1	8
Between 1 and 5	44
Between 5.1 and 10	20
More than 10	26

Note: Of all survey respondents, 2 percent (or 1 state director) did not answer this question.

A4. Month and year State began implementing the Adult Education and Family Literacy Act (AEFLA):

\_\_\_\_\_

month      year

A5. Your State Adult Education Office might employ a variety of professional staff to work on adult education as well as on other program areas such as vocational education, workforce development, or higher education. Complete the following charts to show *estimated* professional staff time devoted to adult education, in annual full-time equivalents (FTE's). Include contracted professionals who are providing state office functions. Refer to the following example for additional instruction. If more space is needed, attach an additional page.

A5. Example:

*The State Director spends 30% of his/her time on adult education administration = .30 FTE.*

*The MIS director spends 15% of his/her time on the adult education information system = .15FTE*

*A staff trainer who works half-time spends 50% of his/her time on adult education = .25 FTE.*

*Estimate of Professional Staff in Adult Education, AEFLA -Supported Staff:*

Position		Annual FTEs	
Number of positions	% of respondents	Annual FTEs	% of respondents
0	4	Less than 1	8
1-2	20	1-5	46
3-4	16	5.1-10	28
5-9	38	More than 10	18
10-19	16		
20 or more	6		

FTE = full-time equivalent

*Estimate of Professional Staff in Adult Education, Staff Supported by other Funds:*

<b>Position</b>		<b>Annual FTEs</b>	
<b>Number of positions</b>	<b>% of respondents</b>	<b>Annual FTEs</b>	<b>% of respondents</b>
0	34	Less than 1	48
1-2	30	1-5	36
3-4	12	5.1-10	10
5-9	12	More than 10	4
10-19	6		
20 or more	6		

FTE = full-time equivalent

*Note: Of all survey respondents, 2 percent (or 1 state director) did not answer this question.*

**Section B. Performance Accountability**

*Section 212 of AEFLA establishes a comprehensive performance accountability system to assess the effectiveness of eligible agencies in achieving continuous improvement of adult education and family literacy activities funded by the U.S. Department of Education. This system requires states to establish expected levels of performance on a set of core indicators, and to collect and report data on each of these performance indicators. Core measures of performance include educational gain, entered employment, retained employment, receipt of secondary school diploma or GED, and placement in post-secondary education or training.*

**Overall Implementation**

B1. On a scale of 1 to 5, with 1 being "very hard" and 5 being "very easy," rate your state's experience to date in implementing the new AEFLA performance accountability provisions (which became effective for the program year beginning July 1, 2000).

Very hard 1 (22%)	Somewhat hard 2 (46%)	Neutral 3	Somewhat easy 4 (14%)	5 (18%)	Very easy 8	Don't know (0%)	(0%)
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B2. To what extent has the implementation of AEFLA accountability provisions changed the way your state collects *data* on participants of the adult education system?

- No change (0%)
- Small change (12%)
- Moderate change (18%)
- Significant change (68%)
- Don't know (0%)
- Too soon to tell (2%)

B2a. If *significant* or *moderate* change, describe key changes.

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**Performance Measures**

B3. As of December 31, 2001, were *all* local **AEFLA funded programs** submitting data on these core outcome indicators in the National Reporting System (NRS):

	Yes	No	Don't know	If No, approximately what percent of <i>local</i> AEFLA-funded programs were able to provide these data?
a. Educational gain	<input type="checkbox"/> (46%)	<input type="checkbox"/> (4%)	<input type="checkbox"/> (0%)	_____ %
b. Entered employment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____ %

	<u>(82%)</u>	<u>(18%)</u>	<u>(0%)</u>	
c. Retained employment	<input type="checkbox"/> <u>(80%)</u>	<input type="checkbox"/> <u>(20%)</u>	<input type="checkbox"/> <u>(0%)</u>	_____%
d. Receipt of a secondary school diploma or GED	<input type="checkbox"/> <u>(88%)</u>	<input type="checkbox"/> <u>(12%)</u>	<input type="checkbox"/> <u>(0%)</u>	_____%
e. Placement in post secondary education or training	<input type="checkbox"/> <u>(86%)</u>	<input type="checkbox"/> <u>(14%)</u>	<input type="checkbox"/> <u>(0%)</u>	_____%

B4. Rate each core indicator of performance in the NRS listed below in terms of its *appropriateness* for tracking the performance of AEFLA-funded programs.

Very      Somewhat                      Somewhat      Very      Don't      Too soon  
inappropriate inappropriate neutral appropriate appropriate know to tell

a. Educational gain	1	2	3	4	5	8	9
	<u>(4%)</u>	<u>(2%)</u>	<u>(0%)</u>	<u>(6%)</u>	<u>(88%)</u>	<u>(0%)</u>	<u>(0%)</u>
b. Entered employment	1	2	3	4	5	8	9
	<u>(12%)</u>	<u>(26%)</u>		<u>(10%)</u>	<u>(36%)</u>	<u>(16%)</u>	<u>(0%)</u> <u>(0%)</u>
c. Retained employment	1	2	3	4	5	8	9
	<u>(24%)</u>		<u>(20%)</u>		<u>(12%)</u>	<u>(34%)</u>	<u>(10%)</u> <u>(0%)</u> <u>(0%)</u>
d. Receipt of a secondary school diploma or GED	1	2	3	4	5	8	9
	<u>(4%)</u>		<u>(0%)</u> <u>(0%)</u>		<u>(2%)</u> <u>(94%)</u>	<u>(0%)</u>	<u>(0%)</u>
e. Placement in Post-Secondary education or training	1	2	3	4	5	8	9
	<u>(4%)</u>		<u>(4%)</u> <u>(6%)</u>		<u>(38%)</u>	<u>(48%)</u>	<u>(0%)</u> <u>(0%)</u>

B4f. Describe any *core* indicators that should be changed and how.

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B4g. Describe any *additional* indicators that should be added.

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**Attach a list of the program performance indicators and student outcomes used by your state for reporting to the NRS, how they are defined, and your state's recommended data collection procedures.**

B5. Has your State Adult Education Office required or reported on *additional* indicators of performance, either secondary indicators in the NRS or other state-defined indicators?

- Yes (44%)  
 No (56%)  
 Don't know (0%)

**Attach a copy of these secondary indicators or additional state indicators, how they are defined and operationalized, and recommended data collection procedures. Identify which are secondary indicators versus additional state indicators.**

B6. Which method(s) was your state using to collect data for core outcome indicators on employment, receipt of secondary school diploma or GED, and placement in postsecondary education or training, as of *December 31, 2001*? Check all that apply. \*

Core indicator	Matching with other State data (e.g. unemployment insurance records)	Follow-up survey of participants	Both matching & follow-up	Matching with other data (e.g., nonstate, such as GED records)
a. Entered employment	(30%)	(52%)	(12%)	(4%)
b. Retained employment	(30%)	(50%)	(12%)	(4%)
c. Receipt of HS diploma or GED	(28%)	(28%)	(10%)	(50%)
d. Placement in post- secondary ed or training	(22%)	(56%)	(6%)	(18%)

GED = general equivalency diploma

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Note: Of all survey respondents, 2 percent (or 1 state director) did not answer this question.

B6a. Describe any changes in *data collection methods* planned in the next two years.

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B7. Estimate your state's staff time (in annual full-time equivalents [FTEs]) expended to collect the data and report performance measures for the National Reporting System in the program year beginning July 1, 2000. \*

Check here if unable to estimate and *go to B8*.

Person 1 _____ annual FTEs
Person 2 _____ annual FTEs
Person 3 _____ annual FTEs
Person 4 _____ annual FTEs
Additional Persons _____ annual FTEs

<b>Annual FTEs</b>	<b>% of respondents</b>
Less than 1	24
1-5	42
5.1-10	4
More than 10	2

FTE = full-time equivalent

Note: Of all survey respondents, 28 percent (or 14 state directors) did not answer this question.

## Use of Data

B8. Has the State Adult Education Office *used* performance data as of December 31, 2001, or do they *plan to use* performance data in the future for the purposes listed in the following chart?

State use of Performance data	Actual use (by 12/31/01) <sup>a</sup>		Planned use (after 12/31/01) <sup>b</sup>	
	Yes	No	Yes	No
a. Planning purposes	Yes (78%)	No (16%)	Yes (20%)	No (78%)
b. Budgetary decisionmaking	Yes (60%)	No (30%)	Yes (32%)	No (64%)
c. Reporting to state legislature	Yes (74%)	No (18%)	Yes (22%)	No (74%)
d. Reporting to other funders	Yes (56%)	No (34%)	Yes (24%)	No (72%)
e. Reporting to students	Yes (32%)	No (54%)	Yes (28%)	No (70%)
f. Reporting to local service providers	Yes (86%)	No (12%)	Yes (6%)	No (94%)
g. Determining training and technical assistance needs	Yes (80%)	No (18%)	Yes (18%)	No (82%)
h. Allocating funds for individual programs	Yes (58%)	No (34%)	Yes (34%)	No (66%)
i. Identifying high performing programs	Yes (66%)	No (24%)	Yes (28%)	No (68%)
j. Identifying low performing programs	Yes (68%)	No (24%)	Yes (26%)	No (72%)
k. Making program improvements	Yes (74%)	No (20%)	Yes (24%)	No (76%)
l. Making comparisons across programs, regions, etc.	Yes (62%)	No (26%)	Yes (26%)	No (72%)
m. Making incentive awards	Yes (24%)	No (58%)	Yes (24%)	No (70%)
n. Sanctioning programs	Yes (24%)	No (60%)	Yes (36%)	No (62%)
p. Targeting of funds	Yes (40%)	No (48%)	Yes (34%)	No (66%)
o. Making changes to state education policy	Yes (36%)	No (48%)	Yes (28%)	No (70%)
p. Other,specify: _____ _____	Yes (8%)	No (12%)	Yes (4%)	No (20%)

<sup>a</sup> Of all survey respondents, 18 percent (or 9 state directors) did not answer this question, either in parts or in its entirety.

<sup>b</sup> This column represents states that were not actually using the data for a given purpose by December 31, 2001. Of all survey respondents, 6 percent (or 3 state directors) did not answer this question, either in parts or in its entirety.

B9. Overall, how useful do you believe the outcome data have been in each of the following areas?

	Not useful	Slightly useful	Somewhat useful	Very useful	Don't know	Too soon to tell
a. Allocating AEFLA funds	1 (14%)	2 (10%)	3 (34%)	4 (28%)	8 (0%)	9 (14%)
b. Affecting state policy	1 (6%)	2 (10%)	3 (32%)	4 (38%)	8 (0%)	9 (14%)
c. Motivating local service providers to improve program performance	1 (0%)	2 (8%)	3 (32%)	4 (56%)	8 (0%)	9 (4%)
d. Helping providers to achieve outcomes	1 (4%)	2 (2%)	3 (36%)	4 (44%)	8 (4%)	9 (10%)

B10. Overall, who do you expect to be major state and local users of the outcome data?

*Check no more than three.*

- |   |   |
|---|---|
| <input type="checkbox"/> State program administrators (98%) | <input type="checkbox"/> Teachers (54%)                         |
| <input type="checkbox"/> State legislators (22%)            | <input type="checkbox"/> Students/Customers (4%)                |
| <input type="checkbox"/> Local program administrator (92%)  | <input type="checkbox"/> Special interest/advocacy groups (10%) |
| <input type="checkbox"/> Local service providers (34%)      | <input type="checkbox"/> Other, specify: _____ (10%)            |
| <input type="checkbox"/> Private vendors (0%)               | <input type="checkbox"/> Other, specify: _____ (2%)             |

### Management Information and Reporting Systems

B11. Does your State Adult Education Office have an *electronic (computerized) performance reporting system* (e.g., management information system [MIS]) for adult education?

- Yes—Go to B12 (84%)  
 No (16%)

B11a. If no, is an electronic MIS being planned?

- Yes, it will be operational: \_\_\_\_\_ Month/Year — Go to B15 (75%)  
 No, an MIS is not currently being planned — Go to B15 (25%)

B12. When did the MIS become operational?

\_\_\_\_\_ Month/Year

B12a. Is it fully operational or in transition?

Fully operational—*Go to B13* (81%)

In transition (19%)

B12b. If in transition, when is full operation expected?

\_\_\_\_\_ Month/Year

B13. Does your MIS contain individual student-level data?

Yes (93%)

Don't know (0%)

No (5%)

*Note:* Of those for which this question applied, 2 percent (or 1 state director) did not answer this question.

B14. If your MIS pre-dated implementation of the new law, did you have to make *significant changes* or *modifications* to meet the requirements of the new performance accountability system?

Yes (59%)

Don't know (0%)

No (41%)

B15. How frequently does your state require local AEFLA-funded programs to report performance data?

Annually (26%)

No data are reported (0%)

Semi-annually (22%)

Don't know (0%)

Quarterly (16%)

Monthly (18%)

Other, specify: \_\_\_\_\_ (18%)

B16. Does your State Adult Education Office request local AEFLA-funded programs to submit performance data electronically (e.g., via computer disk or through Internet)?

Yes, *Required* (80%)

Don't know (0%)

Yes, *Encouraged* (12%)

No (8%)

B16a. If yes, what percentage of local providers were submitting data electronically as of *December 31, 2001*? \_\_\_\_\_ %

**Data Quality**

B17. What is the overall quality (e.g., accuracy and reliability) of the performance data you receive from local providers?

- Excellent (8%)                       Don't know (0%)
- Good (66%)
- Fair (24%)
- Poor (0%)

Note: Of all survey respondents, 2 percent (or 1 state director) did not answer this question.

B17a. Identify NRS performance data with *highest* quality (e.g., most accurate and reliable) and describe why.

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B17b. Identify NRS performance data with *lowest* quality (e.g., least accurate and reliable) and describe why.

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## Section C: Funding and Priorities

### C1. AEFLA Provisions

AEFLA includes a number of provisions that change how states can spend their federal adult education and family literacy grant monies, as compared to the Adult Education Act as amended by the National Literacy Act of 1991. For each provision described below in Questions C1a–C1k:

(1) Indicate your opinion of the change.<sup>a</sup>

(2) Check up to three provisions that have had the greatest impact on your state.<sup>b</sup>

AEFLA provision	Opinion of Change							Greatest Impact
	Very negative	Somewhat negative	Neutral	Somewhat positive	Very positive	Don't know	Not applicable	
a. The <b>maintenance of effort (MOE)</b> requirement has been reduced from 100% to 90% of spending in the previous year; for example, penalties are imposed if the state spends less than 90% of what it spent in the prior year.	1 (8%)	2 (14%)	3 (44%)	4 (16%)	5 (8%)	8 (0%)	9 (6%)	<input type="checkbox"/> (10%)
b. Under AEFLA, not more than 10% of a state's expenditures for grants and contracts may be used for <b>corrections education</b> . The previous legislation had no cap on corrections education and required that at least 10% be reserved for corrections education.	1 (8%)	2 (14%)	3 (28%)	4 (22%)	5 (24%)	8 (0%)	9 (0%)	<input type="checkbox"/> (20%)
c. AEFLA removed the 20% cap on the amount of a state's allotment that may be used for <b>high school equivalency programs</b> .	1 (6%)	2 (6%)	3 (28%)	4 (14%)	5 (36%)	8 (2%)	9 (4%)	<input type="checkbox"/> (16%)
d. AEFLA permits the use of funds to support services to children in <b>family literacy programs</b> after first seeking support from other programs.	1 (8%)	2 (12%)	3 (26%)	4 (20%)	5 (30%)	8 (0%)	9 (2%)	<input type="checkbox"/> (14%)
e. Under AEFLA, the 5% limitation on administrative costs for local grantees applies to a broader range of specified activities than " <b>local administrative costs</b> " under the previous legislation.	1 (2%)	2 (20%)	3 (10%)	4 (30%)	5 (28%)	8 (2%)	9 (2%)	<input type="checkbox"/> (22%)
f. U.S. Department of Education regulations no longer prohibit states from charging adult learners a <b>fee</b> for some adult education services.	1 (10%)	2 (14%)	3 (30%)	4 (20%)	5 (18%)	8 (0%)	9 (4%)	<input type="checkbox"/> (8%)
g. AEFLA changed the percentage of grant funds that can be used for <b>state leadership activities</b> from a minimum of 15% to a maximum of 12.5%, and added professional development activities to this category of expenses.	1 (52%)	2 (28%)	3 (6%)	4 (6%)	5 (6%)	8 (0%)	9 (0%)	<input type="checkbox"/> (54%)
h. AEFLA requires states to award <b>multiyear competitive grants</b> . The prior legislation did not specify the duration of grants.	1 (0%)	2 (8%)	3 (16%)	4 (14%)	5 (56%)	8 (0%)	9 (0%)	<input type="checkbox"/> (36%)
i. <b>For-profit entities</b> cannot receive education funds under AEFLA.	1 (2%)	2 (2%)	3 (16%)	4 (12%)	5 (60%)	8 (0%)	9 (4%)	<input type="checkbox"/> (0%)
j. Title I of WIA requires Adult Education to support the operation and maintenance of <b>one-stop centers</b> .	1 (18%)	2 (30%)	3 (16%)	4 (16%)	5 (8%)	8 (6%)	9 (0%)	<input type="checkbox"/> (24%)
k. AEFLA authorizes <b>incentive grants</b> to states exceeding expected levels of performance for specific education and job training programs. Eligible states must apply in order to receive incentive grants.	1 (12%)	2 (26%)	3 (18%)	4 (24%)	5 (12%)	8 (4%)	9 (0%)	<input type="checkbox"/> (12%)

<sup>a</sup> Of all survey respondents, 6 percent (or 3 state directors) did not answer this question, either in parts or in its entirety.

<sup>b</sup> Of all survey respondents, 4 percent (or 2 state directors) did not answer this question, either in parts or in its entirety.

C11. Use the space below to provide any additional comments or suggestions you have on any of the provisions (a-j) described.

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**C2. State Leadership Activities**

Section 222(a)(2) of AEFLA states that each eligible agency shall use state leadership funds for one or more of the following 11 Adult and Family Literacy activities. Approximately what percentage of AEFLA state leadership funds were used for the following activities during the program year beginning July 1, 2000.

a. \_\_\_\_\_% **Professional Development:** The establishment or operation of professional development programs to improve the quality of instruction, including instruction incorporating phonemic awareness, systematic phonics, fluency, and reading comprehension, and instruction provided by volunteers or by personnel of the State or outlying area;

% of funds used for a given activity	% of respondents
0	0
1-25	24
26-50	36
51-75	22
76-100	14

b. \_\_\_\_\_% **Technical Assistance:** The provision of technical assistance to local providers;

% of funds used for a given activity	% of respondents
0	20
1-25	66
26-50	10
51-75	0
76-100	0

c. \_\_\_\_\_% **Technology Assistance**: The provision of technology assistance, for example computers, distance learning, to eligible providers, including staff training;

<b>% of funds used for a given activity</b>	<b>% of respondents</b>
0	26
1–25	64
26–50	4
51–75	2
76–100	0

d. \_\_\_\_\_% **Literacy Resource Centers**: The support of state or regional networks of literacy resource centers;

<b>% of funds used for a given activity</b>	<b>% of respondents</b>
0	36
1–25	54
26–50	2
51–75	2
76–100	2

e. \_\_\_\_\_% **Monitoring**: The monitoring and evaluation of the quality of, and the improvement in, adult education and literacy activities;

<b>% of funds used for a given activity</b>	<b>% of respondents</b>
0	36
1–25	56
26–50	4
51–75	0
76–100	0

f. \_\_\_\_\_% **State Incentives**: Incentives for program coordination and integration and performance awards;

<b>% of funds used for a given activity</b>	<b>% of respondents</b>
0	90
1–25	6
26–50	0
51–75	0
76–100	0

- g. \_\_\_\_\_% **Curriculum Development:** Developing and disseminating curricula, including curricula incorporating phonemic awareness, systematic phonics, fluency, and reading comprehension;

% of funds used for a given activity	% of respondents
0	38
1-25	54
26-50	4
51-75	0
76-100	0

- h. \_\_\_\_\_% **Statewide Significance:** Other activities of statewide significance that promote the purpose of this title;

% of funds used for a given activity	% of respondents
0	38
1-25	52
26-50	6
51-75	0
76-100	0

- i. \_\_\_\_\_% **Support Services:** Coordination with existing support services, such as transportation, child care, and other assistance designed to increase rates of enrollment in, and successful completion of, adult education and literacy activities, to adults enrolled in such activities;

% of funds used for a given activity	% of respondents
0	88
1-25	8
26-50	0
51-75	0
76-100	0

- j. \_\_\_\_\_% **Linkages with Workforce Investment:** Integration of literacy instruction and occupational skill training, and promoting linkages with employers;

% of funds used for a given activity	% of respondents
0	64
1-25	32
26-50	0
51-75	0
76-100	0

k. \_\_\_\_\_% **Post-Secondary Linkages:** Linkages with post-secondary educational institutions.

% of funds used for a given activity	% of respondents
0	80
1–25	16
26–50	0
51–75	0
76–100	0

l. \_\_\_\_\_% **Other,** Specify: \_\_\_\_\_

% of funds used for a given activity	% of respondents
0	80
1–25	16
26–50	0
51–75	0
76–100	0

**100 %** *The percentages for each activity in C2 should total 100%.*

*Note:* Of all survey respondents, 4 percent (or 2 state directors) did not answer this question.

C3. What are the *top three* criteria you use to evaluate and award AEFLA grants?

- Measurable Goals:** The degree to which the eligible provider will establish measurable goals for participant outcomes. (66%)
- Serving Those Most in Need:** The commitment of the eligible provider to serve individuals in the community most in need of literacy services, including individuals who are low-income or have minimal literacy skills. (56%)
- Past Effectiveness:** The past effectiveness of an eligible provider in improving the literacy skills of adults and families. After the adoption of a state’s performance measures, the state must also take into account whether the provider met or exceeded such performance measures, especially with respect to those adults with the lowest levels of literacy. (62%)
- Intensity of Services:** Whether the program is of sufficient intensity and duration for participants to achieve substantial learning gains. (28%)
- Effective Practice :** Whether the activities are built on a strong foundation of research and effective educational practice. (26%)
- Use of Technology:** Whether the activities effectively employ advances in technology, including the use of computers. (4%)
- Real-Life Context:** Whether the activities provide learning in real-life contexts to ensure that an individual has the skills needed to compete in the workforce and exercise the rights and responsibilities of citizenship. (16%)

- Staffing:** Whether well-trained instructors, counselors, and administrators staff the activities. (12%)
- Coordination:** Whether the activities coordinate with other resources in the community, such as elementary and secondary schools, post-secondary educational institutions, one-stop centers, job training programs, and social service agencies. (22%)
- Flexible Schedules:** Whether the activities offer flexible schedules and support services, such as child care and transportation. (4%)
- Management Information:** Whether the activities maintain a high-quality information management system that has the capacity to report participant outcomes and to monitor program performance. (22%)
- English Literacy:** Whether the local communities have demonstrated need for additional English literacy programs. (8%)
- Other** (please describe): \_\_\_\_\_ . (6%)

*Note:* Of all survey respondents, 2 percent (or 1 state director) did not answer this question.

C4. During the program year beginning July 1, 2000, how many applications did your agency receive for AEFLA grants, and how many of these were approved or disapproved?

Total number received: \_\_\_\_\_ Number approved: \_\_\_\_\_

Number of applications received	% of respondents	Number of applications approved	% of respondents
0 –10	4	0 –10	8
11 –20	14	11 –20	12
21 –49	26	21 –49	28
50 –99	24	50 –99	22
100 or more	20	100 or more	18

*Note:* Of all survey respondents, 12 percent (or 6 state directors) did not answer this question.

C4a. Since implementation of AEFLA, has the number of applications:

- Increased (20%)
- Decreased (18%)
- Remained about the same (50%)

*Note:* Of all survey respondents, 12 percent (or 6 state directors) did not answer this question.

C5. Has your state encouraged *consolidated applications* or *applications from consortia*?

Before AEFLA implementation <sup>a</sup>	Since AEFLA implementation <sup>b</sup>
<input type="checkbox"/> Yes ( <u>52%</u> )	<input type="checkbox"/> Yes ( <u>68%</u> )
<input type="checkbox"/> No ( <u>36%</u> )	<input type="checkbox"/> No ( <u>20%</u> )
<input type="checkbox"/> Don't know ( <u>4%</u> )	<input type="checkbox"/> Don't know ( <u>2%</u> )

<sup>a</sup> Of all survey respondents, 8 percent (or 4 state directors) did not answer this question.

<sup>b</sup> Of all survey respondents, 10 percent (or 5 state directors) did not answer this question.

C6. Since implementation of AEFLA, have any of the following changed:

	Yes	No	Don't know
a. The mix of applications for local AEFLA grants (e.g., types of organizations, areas of the state)?	<input type="checkbox"/> ( <u>28%</u> )	<input type="checkbox"/> ( <u>66%</u> )	<input type="checkbox"/> ( <u>2%</u> )
b. The <i>percentage</i> of applications that are funded?	<input type="checkbox"/> ( <u>22%</u> )	<input type="checkbox"/> ( <u>70%</u> )	<input type="checkbox"/> ( <u>4%</u> )
c. The <i>size</i> of the local AEFLA grants?	<input type="checkbox"/> ( <u>52%</u> )	<input type="checkbox"/> ( <u>38%</u> )	<input type="checkbox"/> ( <u>2%</u> )
d. The <i>types</i> of <b>organizations</b> funded (e.g. community colleges, CBOs)?	<input type="checkbox"/> ( <u>28%</u> )	<input type="checkbox"/> ( <u>68%</u> )	<input type="checkbox"/> ( <u>0%</u> )
e. The <i>types</i> of <b>services</b> funded (e.g. ABE, ASE, ESL)?	<input type="checkbox"/> ( <u>36%</u> )	<input type="checkbox"/> ( <u>58%</u> )	<input type="checkbox"/> ( <u>0%</u> )
f. The per student <i>federal</i> expenditures on AEFLA services?	<input type="checkbox"/> ( <u>44%</u> )	<input type="checkbox"/> ( <u>36%</u> )	<input type="checkbox"/> ( <u>14%</u> )
g. The per student <i>state</i> expenditures on other adult education services?	<input type="checkbox"/> ( <u>32%</u> )	<input type="checkbox"/> ( <u>52%</u> )	<input type="checkbox"/> ( <u>10%</u> )

ABE = adult basic education

ASE = adult secondary education

ESL = English as a second language

*Note:* Of all survey respondents, 8 percent (or 4 state directors) did not answer this question, either in parts or in its entirety.

C6h. If yes to any of these, describe the change or most important changes and the reasons for the change(s).

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C7. Since implementation of AEFLA, have there been any changes in the demographic characteristics of those receiving adult education/family literacy services (e.g., the racial or ethnic composition, individuals with special needs, etc.)?

- Yes (56%)                       Don't know (2%)  
 No (40%)

Note: Of all survey respondents, 2 percent (or 1 state director) did not answer this question.

C7a. If yes, describe the changes and who has been affected.

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C8. Since implementation of AEFLA, have adult education/family literacy *services changed by geographic area or setting*, such as by urban/rural, region in the state, etc.?

- Yes (24%)                       Don't know (2%)  
 No (72%)

Note: Of all survey respondents, 2 percent (or 1 state director) did not answer this question.

C8a. If yes, describe.

C9. Are any local programs *oversubscribed* (for example, they use waiting lists or turn people away)?

- Yes (62%)                       Don't know (6%)  
 No (30%)

Note: Of all survey respondents, 2 percent (or 1 state director) did not answer this question.

C9a. If yes, for the program year beginning July 1, 2000:

Estimate the number of people turned away:<sup>a</sup> \_\_\_\_\_

Estimate the number of people on waiting lists:<sup>b</sup> \_\_\_\_\_

Estimate the length of wait for those on waiting lists:<sup>c</sup> \_\_\_\_\_

Number of people turned away	% of respondents	Number of people on waiting lists	% of respondents
0 –149	12.5	0 –149	6.3
150 –999	3.1	150 –999	25.0
1,000 or more	15.6	1,000 or more	31.3

<sup>a</sup> Of those for which this question applied, 68.8 percent (or 22 state directors) did not answer this question.

<sup>b</sup> Of those for which this question applied, 37.5 percent (or 12 state directors) did not answer this question.

Time period	% of respondents
1 month	3.1
2 months	6.3
3 months	6.3
4 months	0.0
5 months	3.1
6 months	15.6
Varies	18.8

<sup>c</sup> Of those for which this question applied, 46.9 percent (or 15 state directors) did not answer this question.

C9b. Use the space below to provide any additional comments or suggestions you have regarding oversubscribed programs.

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## Local Grantee Funding Information

C10. Use the first column to describe your agency's current financial information system. If changes are planned in the next two years, complete the second column as well.

	Current system <sup>a</sup>	Planned in the next two years <sup>b</sup>
a. Does your agency's financial information system include funding information for each local grantee?	<input type="checkbox"/> Yes (98%) <input type="checkbox"/> No (0%) <input type="checkbox"/> Don't know (0%)	<input type="checkbox"/> Yes (28%) <input type="checkbox"/> No (skip to Section D) (2%) <input type="checkbox"/> Don't know (0%)
A(i). If yes, does the system separately identify information on federal, state, and local funding at the local grantee level? Check all that apply.	<input type="checkbox"/> Federal funding (94%) <input type="checkbox"/> State funding (94%) <input type="checkbox"/> Local funding (44%) <input type="checkbox"/> None of the above (0%)	<input type="checkbox"/> Federal funding (24%) <input type="checkbox"/> State funding (28%) <input type="checkbox"/> Local funding (16%) <input type="checkbox"/> None of the above (0%)
b. Is your agency's financial information system manual (paper) or electronic (computerized)?	<input type="checkbox"/> Manual (paper) (6%) <input type="checkbox"/> Electronic (56%) <input type="checkbox"/> Hybrid (36%) <input type="checkbox"/> Other, specify: _____ (0%)	<input type="checkbox"/> Manual (paper) (2%) <input type="checkbox"/> Electronic (18%) <input type="checkbox"/> Hybrid (10%) <input type="checkbox"/> Other, specify: _____ (0%)
c. Is local grantee funding information linked to data on <i>student characteristics</i> ? For example, is it <b>possible</b> to analyze local grantee funding by student age, race, or ethnicity?	<input type="checkbox"/> Yes (44%) <input type="checkbox"/> No (50%) <input type="checkbox"/> Don't know (2%)	<input type="checkbox"/> Yes (20%) <input type="checkbox"/> No (20%) <input type="checkbox"/> Don't know (12%)
d. Is local grantee funding information linked to <i>program performance data</i> ? For example, is it <b>possible</b> to analyze local grantee performance outcomes by source of funding?	<input type="checkbox"/> Yes (44%) <input type="checkbox"/> No (44%) <input type="checkbox"/> Don't know (10%)	<input type="checkbox"/> Yes (26%) <input type="checkbox"/> No (16%) <input type="checkbox"/> Don't know (6%)

<sup>a</sup> Of all survey respondents, 4 percent (or 2 state directors) did not answer this question, either in parts or in its entirety.

<sup>b</sup> Of all survey respondents, 72 percent (or 36 state directors) did not answer this question, either in parts or in its entirety.

C11. How far back are financial data available through the information system described in C10a?

Indicate earliest program year for which data are available: \_\_\_\_\_

Earliest year	% of respondents
1993 or earlier	16
1994 –1995	8
1996 –1997	20
1998 –1999	18
2000 or later	20

*Note:* Of all survey respondents, 18 percent (or 9 state directors) did not answer this question.

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Expiration 07/31/2003



## Section D. One-Stop Delivery System and Coordination Provisions

*Prior to WIA, adult education providers were not required to partner with other workforce development or education programs. Under Section 121 of WIA, adult education and literacy activities authorized under Title II must be made available through the one-stop delivery system in each state. Local workforce investment boards must establish at least one physical one-stop center where adult education activities and a range of other employment and training services are made available to the public. Local AEFLA-funded programs must participate in the operations of the one-stop system consistent with a memorandum of understanding (MOU) between the local workforce investment board and one-stop partners.*

D1. Prior to WIA, did your State Adult Education Office coordinate or collaborate with the *state workforce development board/agency*?

- Yes, extensively (18%)
- Yes, somewhat (48%)
- Very little or no coordination (30%)
- Don't know (2%)

Note: Of all survey respondents, 2 percent (or 1 state director) did not answer this question.

D2. How far along would you say your state is in establishing *an integrated one-stop service delivery system*?

- Very far along (26%)
- Just starting (8%)
- Mixed: far along in some areas and not in others (56%)
- Other, specify: \_\_\_\_\_ (8%)
- Don't know (0%)

Note: Of all survey respondents, 2 percent (or 1 state director) did not answer this question.

D3. What, if any, have been the greatest challenges to establishing an integrated one-stop service delivery system? *Check no more than five.*

<input type="checkbox"/> Different program goals (46%)
<input type="checkbox"/> Different service area boundaries (14%)
<input type="checkbox"/> Different eligibility criteria (34%)
<input type="checkbox"/> Space issues, for example location, long-term leases, inadequate space (46%)
<input type="checkbox"/> Different participation rules (30%)
<input type="checkbox"/> Limited resources (66%)
<input type="checkbox"/> Different definitions of special populations (8%)
<input type="checkbox"/> Union rules and civil service regulations (2%)
<input type="checkbox"/> Different performance standards (38%)
<input type="checkbox"/> "Turf issues," for example competition over roles or decisionmaking authority (56%)

<input type="checkbox"/> Different forms and information systems (40%)
<input type="checkbox"/> Limited staff time for collaboration (22%)
<input type="checkbox"/> Concerns about client confidentiality (16%)
<input type="checkbox"/> Other, specify: _____ (24%)
<input type="checkbox"/> Other, specify: _____ (6%)

Note: Of all survey respondents, 2 percent (or 1 state director) did not answer this question.

D4. Who represents state adult education/family literacy on the *state workforce development board*?

\*

- State Director of Adult Education (10%)
- Head of State Education Agency (44%)
- Head of Community College System (10%)
- Other, specify: \_\_\_\_\_ (30%)
- Don't know (4%)

\* Of all survey respondents, 2 percent (or 1 state director) did not answer this question.

D4a. Is this representative sufficiently familiar with the perspectives and concerns of the adult education/family literacy community?

- Yes (63.8%)
- Somewhat (17.0%)
- No (12.8%)
- Don't know (4.3%)

Note: Of those for which this question applied, 2.1 percent (or 1 state director) did not answer this question.

D4b. Does this representative have sufficient policymaking authority with regard to *coordination of adult education and one-stops*?

- Yes (76.6%)
- Somewhat (8.5%)
- No (6.4%)
- Don't know (6.4%)

Note: Of those for which this question applied, 2.1 percent (or 1 state director) did not answer this question.

D5. Has the development of the *state one-stop plan* generally involved key adult education providers, administrators and consumers?

- Yes (36%)
- Somewhat (30%)
- No (30%)
- Don't know (0%)

Note: Of all survey respondents, 4 percent (or 2 state directors) did not answer this question.

D6. On a scale of 1 to 5, with 1 being "not well at all" and 5 being "extremely well", how well are *workforce and adult education/family literacy programs* currently being coordinated at the state level?

Not well at all	Somewhat well	Neutral well	Moderately well	Extremely know	Don't
1	2	3	4	5	8
(20%)	(18%)	(18%)	(30%)	(10%)	(0%)

\*Note: Of all survey respondents, 4 percent (or 2 state directors) did not answer this question

D7. *Since implementation* of WIA, how involved has the State Adult Education Office been in the following aspects of the one-stop delivery system?

	Not involved	Minimally involved	Somewh at involved	Very involved	Fully involved	Not applicable
a. Planning the one-stop system	1 (26%)	2 (24%)	3 (26%)	4 (14%)	5 (8%)	9 (0%)
b. Negotiating MOUs	1 (26%)	2 (20%)	3 (16%)	4 (22%)	5 (12%)	9 (2%)
c. Funding one-stop development/operations	1 (40%)	2 (26%)	3 (12%)	4 (12%)	5 (8%)	9 (0%)
d. Providing guidance/ technical assistance	1 (28%)	2 (18%)	3 (26%)	4 (18%)	5 (8%)	9 (0%)

MOUs = memoranda of understanding

Note: Of all survey respondents, 2 percent (or 1 state director) did not answer this question.

D8. Has your *State Adult Education Office* provided any of the following types of guidance to local communities concerning one-stops? *Check all that apply.*

- Local AEFLA-funded programs' general responsibilities for one-stops (74%)
- Local AEFLA-funded programs' financial responsibilities toward one-stops (58%)
- How adult education/family literacy fit into one-stop services (74%)
- Applying the principle of proportionality (22%)
- Negotiating MOUs (42%)
- Understanding MOUs negotiated by the state (32%)
- Other, specify: \_\_\_\_\_ (14%)
- Other, specify: \_\_\_\_\_ (0%)

Note: Of all survey respondents, 6 percent (or 3 state directors) did not answer this question.

D9. *Since AEFLA went into effect, has your State Adult Education Office made any contributions to one-stop center operations?*

- Yes, monetary contributions (transfer of funds) only (10%)
- Yes, in-kind contributions only (12%)
- Yes, both monetary and in-kind contributions (30%)
- No — *Go to D10* (40%)
- Don't know — *Go to D10* (4%)

*Note:* Of all survey respondents, 4 percent (or 2 state directors) did not answer this question.

D9a. To whom were the contributions made? *Check all that apply.*

- State Labor Agency/Department (17.9%)
- Other state agency/committee overseeing one-stop center(s) (21.4%)
- Local one-stop center(s) (21.4%)
- Local AEFLA-funded programs who support one-stops (57.1%)
- Other, specify: \_\_\_\_\_ (0%)

*Note:* Of those for which this question applied, 10.7 percent (or 3 state directors) did not answer this question.

D9b. Has the *level of annual contributions* changed since WIA implementation?

- Substantial decrease in contributions (0%)
- Moderate decrease in contributions (0%)
- Same or about the same level of contributions (32.1%)
- Moderate increase in contributions (32.1%)
- Substantial increase in contributions (10.7%)
- Not applicable (3.6%)
- Don't know (10.7%)

*Note:* Of those for which this question applied, 10.7 percent (or 3 state directors) did not answer this question.

D10. Are decisionmaking and other responsibilities associated with adult education/family literacy's participation in the one-stop system retained at the state level or delegated to the local level?

- State level (16%)
- Local level (28%)
- Both state and local levels (48%)
- Other, specify: \_\_\_\_\_ (0%)
- Don't know (6%)

*Note:* Of all survey respondents, 2 percent (or 1 state director) did not answer this question.

D11. Under WIA, each local workforce investment board is responsible for developing and entering into a MOU with one-stop partners establishing roles and responsibilities of each party. Who has negotiated your MOUs with local boards (with respect to local AEFLA-funded programs)?

- State adult education office, on the behalf of all local AEFLA-funded programs (16%)
- Local AEFLA-funded programs or agencies (60%)
- Other, specify: \_\_\_\_\_ (16%)
- Don't know — Go to D12 (6%)

Note: Of all survey respondents, 2 percent (or 1 state director) did not answer this question.

D11a. If your *State Adult Education Office* negotiated MOUs, has the state:

- Used a single MOU with all local boards in the state (50%)
- Used multiple MOUs, tailored to the specific needs of each community (25%)
- Other, specify: \_\_\_\_\_ (25%)
- Don't know (0%)

D11b. What have been the biggest challenges to negotiating/executing MOUs with local boards?

Check up to five.

- Agency/program representation on boards (38.7%)
- Different program rules (19.4%)
- Cost sharing issues (71.0%)
- Concerns about client confidentiality (12.9%)
- Different program measures (38.7%)
- Different service area boundaries (16.1%)
- Different performance standards (29.0%)
- Union rules and civil service regulations (0%)
- "Turf issues," for example competition over roles or decisionmaking authority (41.9%)
- Other, specify: \_\_\_\_\_ (32.3%)
- Other, specify: \_\_\_\_\_ (9.7%)



**Thank you for completing this survey!**

**Remember to attach the following items:**

- Program Performance Indicators and Student Outcomes (*Question B4*)
- Additional/Optional Performance Indicators or Secondary Measures (*Question B5*)
- Local Grantee Funding Information (*if not entered directly on table in Question C12*)

Using the enclosed self addressed stamped envelope,  
Return completed survey by October 11, 2002 to:

Shinta Herwantoro  
The Urban Institute  
2100 M Street, NW  
Washington, DC 20037

Email: [AEFLAsurvey@ui.urban.org](mailto:AEFLAsurvey@ui.urban.org)

OMB No. 1875-0221  
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## **Appendix C**

### **Survey Responses for Outlying Areas**

## Survey Responses for Outlying Areas

The following tables reflect the survey responses from the three outlying areas that submitted a completed Survey of State Directors of Adult Education—American Samoa, Puerto Rico, and the Virgin Islands. As only three of the eight outlying areas submitted surveys, results for the territories are tabulated separately from those for the 49 states and the District of Columbia. Each table corresponds to a table for the responding states in volume I or II of the report. We are reporting only the number of respondents because of the small sample size.

### Exhibit III-1 (table in lieu of map in Volume I)

#### State-Level Funding Commitment to Adult Education

Percentage of adult education funding coming from state and local sources	No. of states
67% or more	2
33%–66%	0
32% or less	0
No data	1

*Source:* Urban Institute analysis of 2002 Survey of State Directors of Adult Education, National Assessment of Adult Education, Study to Assess Accountability, Funding, and One-Stop Delivery Systems in Adult Education.

**Table C-1 (Volume II)**  
**State Directors' Opinions of Various AEFLA Provisions:**  
**Provisions that Elicited Mostly Positive Responses**

AEFLA provision	Opinion of change		
	Positive	Neutral	Negative
AEFLA removed the 20% cap on the amount of a state's allotment that may be used for <b>high school equivalency programs</b> .	3	0	0
AEFLA requires states to award <b>multiyear competitive grants</b> . The prior legislation did not specify the duration of grants.	3	0	0
AEFLA changed the percentage of grant funds that can be used for <b>state leadership activities</b> from a minimum of 15% to a maximum of 12.5%, and added professional development activities to this category of expenses.	2	0	0
AEFLA permits the use of funds to support services to children in <b>family literacy programs</b> after first seeking support from other programs.	2	0	0
<b>For-profit entities</b> cannot receive education funds under AEFLA.	2	0	0
U.S. Department of Education regulations no longer prohibit states from charging adult learners a <b>fee</b> for some adult education services.	2	0	1

*Source:* Urban Institute analysis of 2002 Survey of State Directors of Adult Education, National Assessment of Adult Education, Study to Assess Accountability, Funding and One-Stop Delivery Systems in Adult Education. See survey question C1.

*Notes:* Data represent the number of respondents. One state director did not answer this question on the survey, either in parts or in its entirety. Total positive responses include those that indicated "very positive" and "somewhat positive" on the survey. Total negative responses include those that indicated "very negative" and "somewhat negative" on the survey.

**Table C-2 State Directors' Opinions of Various AEFLA Provisions: Provisions that Elicited Mostly Negative Responses** was not reproduced because the three territory respondents had opinions that were mostly positive (table D.III-1) or mostly mixed or neutral (table D.III-3).

**Table C-3 (Volume II)**

**State Directors' Opinions of Various AEFLA Provisions:  
Provisions that Elicited Mostly Mixed or Neutral Responses**

AEFLA Provision	Opinion of Change		
	Positive	Neutral	Negative
The <b>maintenance of effort</b> requirement has been reduced from 100% to 90% of spending in the previous year. For example, penalties are imposed if the state spends less than 90% of what it spent in the prior year.	1	1	0
Under AEFLA, not more than 10% of a state's expenditures for grants and contracts may be used for <b>corrections education</b> . The previous legislation had no cap on corrections education and required that at least 10% be reserved for corrections education.	1	1	0
Title I of WIA requires Adult Education to support the operation and maintenance of <b>one-stop centers</b> .	1	1	0
AEFLA authorizes <b>incentive grants</b> to states exceeding expected levels of performance for specific education and job training programs. Eligible states must apply in order to receive incentive grants.	1	1	0
Under AEFLA, the 5% limitation on administrative costs for local grantees applies to a broader range of specified activities than " <b>local administrative costs</b> " under the previous legislation.	1	0	1

*Source:* Urban Institute analysis of 2002 Survey of State Directors of Adult Education, National Assessment of Adult Education, Study to Assess Accountability, Funding and One-Stop Delivery Systems in Adult Education. See survey question C1. *Notes:* Data represent the number of respondents. One state director did not answer this question on the survey, either in parts or in its entirety. Total positive responses include those that indicated "very positive" and "somewhat positive" on the survey. Total negative responses include those that indicated "very negative" and "somewhat negative" on the survey.

**Table C-4**  
**AEFLA Provisions with the Greatest Impact on States**  
 (corresponds to discussion on pages 12–15 of volume I)

AEFLA provisions	No. of states
AEFLA removed the 20% cap on the amount of a state's allotment that may be used for <b>high school equivalency programs</b> .	2
U.S. Department of Education regulations no longer prohibit states from charging adult learners a <b>fee</b> for some adult education services.	2
AEFLA requires states to award <b>multiyear competitive grants</b> . The prior legislation did not specify the duration of grants.	1
Title I of WIA requires Adult Education to support the operation and maintenance of <b>one-stop centers</b> .	1

*Source:* Urban Institute analysis of 2002 Survey of State Directors of Adult Education, National Assessment of Adult Education, Study to Assess Accountability, Funding, and One-Stop Delivery Systems in Adult Education. See survey question C1.

*Notes:* This table shows those provisions that were listed by at least one territory as having had the greatest impact. One state director did not answer this question on the survey, either in parts or in its entirety.

**Table C-5 (Volume II)**  
**Criteria Used to Evaluate and Award AEFLA Grants**  
 (Criteria Identified as Top Three)

Criteria	No. of states
Measurable goals	3
Serving those most in need	2
Intensity of services	1
Effective practice	1
Staffing	1
Coordination	1

*Source:* Urban Institute analysis of 2002 Survey of State Directors of Adult Education, National Assessment of Adult Education, Study to Assess Accountability, Funding, and One-Stop Delivery Systems in Adult Education. See survey question C3.

*Note:* This table shows those criteria that were listed by at least one territory as having been used to evaluate and award AEFLA grants.

**Table C-6 (Volume II)**  
**Changes in Local Grants Since Implementation of AEFLA**

Characteristics	No. of states
Per student <i>federal</i> expenditures on AEFLA services	3
Per student <i>state</i> expenditures on other adult education services	3
<i>Size</i> of the local AEFLA grants	2
<i>Types</i> of <b>services</b> that are funded (e.g., ABE, ASE, ESL)	2
Mix of applications for local AEFLA grants (e.g., types or organizations, areas of the state)	2
<i>Types</i> of <b>organizations</b> that are funded (e.g., community colleges, CBOs)	2
<i>Percentage</i> of applications that are funded	2

*Source:* Urban Institute analysis of 2002 Survey of State Directors of Adult Education, National Assessment of Adult Education, Study to Assess Accountability, Funding, and One-Stop Delivery Systems in Adult Education. See survey question C6.

ABE = adult basic education

ASE = adult secondary education

ESL = English as a second language

CBO = community-based organization

*Note:* One territory reported that demographic changes occurred since AEFLA implementation, and one territory reported that geographic changes occurred.

**Table C-7 (Volume I)**  
**State Leadership Activities Funded by AEFLA State Leadership Funds**

State Leadership Activities	Percentage of Funds Used for Activities				
	0%	1-25%	26-50%	51-75%	76-100%
Professional development	0	2	1	0	0
Technical assistance	0	3	0	0	0
Technology assistance	0	3	0	0	0
Monitoring activities	0	3	0	0	0
Statewide significance	0	3	0	0	0
Linkages with workforce investment	0	3	0	0	0
Literacy resource centers	1	2	0	0	0
Curriculum development	1	2	0	0	0
Support services	1	2	0	0	0
Post-secondary linkages	1	2	0	0	0
Other	2	1	0	0	0
State incentives	3	0	0	0	0

*Source:* Urban Institute analysis of 2002 Survey of State Directors of Adult Education, National Assessment of Adult Education, Study to Assess Accountability, Funding, and One-Stop Delivery Systems in Adult Education. See survey question C2.

*Note:* Data represent number of respondents.

**Table C-8 (Volume II)**  
**Local Grantee Information in State Financial Information Systems**

State adult education agencies reporting that their current system:	No. of states
Includes funding information for each local grantee	2
Separately identifies information on federal funding at the local grantee level	2
Separately identifies information on state funding at the local grantee level	2
Separately identifies information on local funding at the local grantee level	2
Can link local grantee funding information to data on student characteristics	1
Can link local grantee funding information to program performance data	1
Is electronic (computerized)	0

*Source:* Urban Institute analysis of 2002 Survey of State Directors of Adult Education, National Assessment of Adult Education, Study to Assess Accountability, Funding, and One-Stop Delivery Systems in Adult Education. See survey question C10.

**Table C-9 (Volume II)**  
**Overall Implementation:**  
**States' Experience to Date in Implementing New**  
**AEFLA Performance Accountability Provisions**

<b>Rating</b>	<b>No. of states</b>
Very easy	0
Somewhat easy	1
Neutral	0
Somewhat hard	2
Very hard	0

*Source:* Urban Institute analysis of 2002 Survey of State Directors of Adult Education, National Assessment of Adult Education, Study to Assess Accountability, Funding, and One-Stop Delivery Systems in Adult Education. See survey question B1.

**Table C-10 (Volume I)**  
**Overall Implementation:**  
**Extent to Which Implementation of AEFLA Accountability Provisions**  
**Has Changed the Way States Collect Data on Adult Education Students**

<b>Rating</b>	<b>No. of states</b>
Significant change	0
Moderate change	3
Small change	0
No change	0
Too soon to tell	0

*Source:* Urban Institute analysis of 2002 Survey of State Directors of Adult Education, National Assessment of Adult Education, Study to Assess Accountability, Funding, and One-Stop Delivery Systems in Adult Education. See survey question B2.

**Table C-11 (Volume I)**  
**Number of States Reporting that All Local AEFLA-Funded Programs Submitted Data On Core Outcome Indicators in the National Reporting System**

<b>Core Indicators</b>	<b>Yes</b>	<b>No</b>
Educational gain	2	1
Entered employment	2	1
Retained employment	2	1
Receipt of secondary school diploma or GED	2	1
Placement in post-secondary education or Training	2	1

*Source:* Urban Institute analysis of 2002 Survey of State Directors of Adult Education, National Assessment of Adult Education, Study to Assess Accountability, Funding, and One-Stop Delivery Systems in Adult Education. See survey question B3.  
*Note:* As of December 31, 2001.

**Table C-12 (Volume I)**  
**Ratings of the “Appropriateness” of National Reporting System Core Outcome Indicators For Tracking the Performance of AEFLA-Funded Programs**

<b>Core Indicators</b>	<b>Positive</b>	<b>Neutral</b>	<b>Negative</b>
Educational gain	3	0	0
Entered employment	3	0	0
Retained employment	3	0	0
Receipt of secondary school diploma or GED	3	0	0
Placement in post-secondary education or Training	2	0	1

*Source:* Urban Institute analysis of 2002 Survey of State Directors of Adult Education, National Assessment of Adult Education, Study to Assess Accountability, Funding, and One-Stop Delivery Systems in Adult Education. See survey question B4.  
*Notes:* Data represent number of respondents. Total positive responses include those that indicated “very appropriate” and “somewhat appropriate” on the survey. Total negative responses include those that indicated “very inappropriate” and “somewhat inappropriate” on the survey.

**Table C-13 (Volume I)**  
**Methods States Use to Collect Data for Core Outcome Indicators on**  
**Employment, Receipt of Secondary School Diploma or GED, and**  
**Placement in Post-Secondary Education or Training**

<b>Core indicators</b>	<b>Matching with other state data (e.g., unemployment, insurance records)</b>	<b>Follow-up survey of participants</b>	<b>Both matching &amp; follow-up</b>	<b>Matching with other data (e.g., nonstate, such as GED records)</b>
Entered employment	1	1	0	0
Retained employment	0	1	0	0
Receipt of high school diploma or GED	1	1	1	2
Placement in post-secondary education or training	0	1	0	1

*Source:* Urban Institute analysis of 2002 Survey of State Directors of Adult Education, National Assessment of Adult Education, Study to Assess Accountability, Funding, and One-Stop Delivery Systems in Adult Education. See survey question B6.

*Notes:* As of December 31, 2001. Data represent the number of respondents.

**Table C-14 (Volume II)**  
**Overall Quality of Performance Data Received from Local Providers**

<b>Rating</b>	<b>No. of states</b>
Excellent	0
Good	1
Fair	1
Poor	0

*Source:* Urban Institute analysis of 2002 Survey of State Directors of Adult Education, National Assessment of Adult Education, Study to Assess Accountability, Funding, and One-Stop Delivery Systems in Adult Education. See survey question B17.

*Note:* One state director did not answer this question on the survey.

**Table C-15 (Volume I)**  
**Methods States Use to Monitor Data Quality**

<b>Data monitoring methods</b>	<b>Site visits</b>	<b>Formal audits of program data</b>	<b>Validity checks</b>	<b>Conduct training/ provide technical assistance</b>
What procedures, if any, are used to check data before they are sent to the U.S. Department of Education/Governor's Office?	1	1	2	1
Have any of these procedures changed since the implementation of AEFLA?	0	1	1	1
What activities do you engage in to improve the quality of data reported locally?	1	1	1	2

*Source:* Urban Institute analysis of 2002 Survey of State Directors of Adult Education, National Assessment of Adult Education, Study to Assess Accountability, Funding, and One-Stop Delivery Systems in Adult Education. See survey question B18.

*Note:* Data represent the number of respondents.

**Table C-16 (Volume II)**

**States' Response to the Overall Usefulness of Outcome Data for Various Purposes**

	<b>Very useful or somewhat useful</b>	<b>Slightly useful</b>	<b>Not useful</b>	<b>Don't know</b>	<b>Too soon to tell</b>
Allocating AEFLA funds	3	0	0	0	0
Affecting state policy	2	1	0	0	0
Motivating local service providers to improve program performance	3	0	0	0	0
Helping provides to achieve outcomes	3	0	0	0	0

*Source:* Urban Institute analysis of 2002 Survey of State Directors of Adult Education, National Assessment of Adult Education, Study to Assess Accountability, Funding, and One-Stop Delivery Systems in Adult Education. See survey question B9.

*Note:* Data represent the number of respondents.

**Table C-17 (Volume I)**  
**Use of Performance Data by State Office of Adult Education**

<b>State performance use</b>	<b>Actual use (by 12/31/01)</b>	<b>Planned use (after 12/31/01)<sup>a</sup></b>
Planning purposes	3	--
Budgetary decisionmaking	3	--
Reporting to local service providers	3	--
Determining training and technical assistance needs	3	--
Allocating funds for individual programs	3	--
Identifying high performing programs	2	1
Identifying low performing programs	2	1
Making comparisons across programs, regions, etc.	2	1
Targeting of funds	2	1
Making changes to state education policy	2	1
Reporting to other funders	2	0
Reporting to students	2	0
Making program improvements	2	0
Making incentive awards	1	1
Sanctioning programs	1	1
Reporting to state legislatures	1	0

*Source:* Urban Institute analysis of 2002 Survey of State Directors of Adult Education, National Assessment of Adult Education, Study to Assess Accountability, Funding, and One-Stop Delivery Systems in Adult Education. See survey question B8.

*Notes:* As of December 31, 2001. Data represent the number of respondents.

<sup>a</sup>This column represents states that were not actually using the data for a given purpose by December 31, 2001.

**Table C-18 (Volume II)**  
**Level of Involvement of State Adult Education Office in the**  
**One-Stop Service Delivery System Since Implementation of AEFLA**

	<b>Not involved</b>	<b>Minimally involved</b>	<b>Somewhat involved</b>	<b>Very involved or fully involved</b>	<b>Not applicable</b>
Planning the one-stop system	1	0	1	1	0
Negotiating MOUs	1	2	0	0	0
Funding one-stop development/operations	1	1	1	0	0
Providing guidance/technical assistance	1	0	2	0	0

*Source:* Urban Institute analysis of 2002 Survey of State Directors of Adult Education, National Assessment of Adult Education, Study to Assess Accountability, Funding, and One-Stop Delivery Systems in Adult Education. See survey question D7.

MOUs = memoranda of understanding

*Note:* Data represent the number of respondents.

**Table C-19 (Volume II)**  
**Guidance from the State Adult Education Office to**  
**Local Communities Concerning the One-Stop Service Delivery System**

<b>Guidance</b>	<b>No. of states</b>
How adult education/family literacy fit into one-stop services	3
Local AEFLA-funded programs' general responsibilities for one-stops	2
Local AEFLA-funded programs' financial responsibilities toward one-stops	2
Negotiating MOUs	0
Understanding MOUs negotiated by the state	0
Applying the principle of proportionality	0
Other	0

*Source:* Urban Institute analysis for 2002 Survey of State Directors of Adult Education, National Assessment of Adult Education, Study to Assess Accountability, Funding, and One-Stop Delivery Systems in Adult Education. See survey question D8.

MOUs = memoranda of understanding

**Table C-20 (Volume I)**  
**Representation of State Adult Education/Family Literacy**  
**on the State Workforce Development Board**

<b>Representative</b>	<b>No. of states</b>
State director of adult education	2
Head of state education agency	0
Head of community college system	1
Other	0

*Source:* Urban Institute analysis of 2002 Survey of State Directors of Adult Education, National Assessment of Adult Education, Study to Assess Accountability, Funding, and One-Stop Delivery Systems in Adult Education. See survey question D4.

**Table C-21 (Volume II)**  
**How States are Doing in Establishing an Integrated**  
**One-Stop Service Delivery System**

	<b>No. of states</b>
Very far along	0
Just starting	0
Mixed: far along in some areas and not in others	2
Don't know	1

*Source:* Urban Institute analysis of 2002 Survey of State Directors of Adult Education, National Assessment of Adult Education, Study to Assess Accountability, Funding, and One-Stop Delivery Systems in Adult Education. See survey question D2.

**Table C-22 (Volume II)**  
**Greatest Challenges to Establishing an Integrated One-Stop Service Delivery System**  
**(Challenges Identified as Top Three)**

Challenges	No. of states
Limited resources	3
Different service area boundaries	2
Limited staff time for collaboration	2
Different program goals	1
Space issues (e.g., location, long-term lease, inadequate space)	1
Different participation rules	1
Different definitions of special populations	1
“Turf” issues (e.g., competition over roles or decision making authority)	1
Different forms and information systems	1
Other	1
Different eligibility criteria	0
Union rules and civil service regulations	0
Different performance standards	0
Concerns about client confidentiality	0

*Source:* Urban Institute analysis of 2002 Survey of State Directors of Adult Education, National Assessment of Adult Education, Study to Assess Accountability, Funding, and One-Stop Delivery Systems in Adult Education. See survey question D3.

**Appendix D**  
**Local Site Profiles**

## **California**

### **Organizational Background**

Adult education programs, and state and federal adult education funds, are administered by the California Department of Education (CDE). CDE is represented on the California Workforce Investment Board, which is now under the California Department of Labor, by the state superintendent of public instruction. Within the Department of Labor, the Workforce Investment Division, Employment Development Department (EDD) is responsible for Workforce Investment Act (WIA) programs and services and one-stop implementation.

In 1998, California enacted the Regional Workforce Preparation and Economic Development Act. The legislation mandates collaboration between the state's health and human services agency, labor and economic development agency, the community college system, and the public education system to create an integrated workforce development system. This state legislation did not address WIA requirements, but it did start some interactions that helped in collaboration under WIA

#### ***Los Angeles***

Los Angeles Unified School District (LAUSD) is the major adult education grantee in Los Angeles and operates 36 adult schools (which also operate satellite locations). Other adult education grantees include two community-based organizations (CBOs), the larger of which also operates a one-stop career center, and Los Angeles Mission Community College, the primary local recipient of the AEFLA funds distributed to the community college system. The City of Los Angeles, Community Development Department, Workforce Development Division (WDD) is the local workforce development agency.

#### ***Riverside***

Riverside Unified School District (RUSD) is the single adult education grantee in Riverside and serves about 10,000 students per year. The school district also operates community classes in about 60 off-site facilities as well as an occupational skills training center that is not funded by Title II. RUSD also serves students who were previously served by the Alvord school district, a small adjoining school district that is no longer providing adult education services. A full-service Workforce Development Center (the term for certified centers in Riverside County) in Riverside includes a computer learning lab that is used for adult education classes and is supported by RUSD and Riverside Community College.

### **Funding**

California provides substantial state funding (\$600 million) to adult education based on average daily attendance (ADA). Federal funding is about \$9.50 for every \$100 of state adult education funding. For example, Title II funding is about \$14 million for the Los Angeles Unified School District (LAUSD) while state adult education funding is about \$140 million. However, adult education funding has been cut back substantially due to state budget shortfalls.

Federal funding is supplemental, and is allocated to local agencies based on performance. All local agencies must collect data and provide documentation of student outcomes for all students for whom they receive federal supplemental funding. The federal funds are important for providing the funding needed to support satellite classes with smaller enrollment, instructional materials, and professional development. Title II has not changed the funding or operations of family literacy programs in California. The state's Community-Based English Tutoring legislation is what funds most family literacy services in California.

## **Accountability**

CDE uses learners' attainment of approved Core Performance Indicator benchmarks as the basis of funding for AEFLA local provider programs. Local programs are required to use the Comprehensive Adult Student Assessment System (CASAS) to assess student achievement. CDE contracts with CASAS to provide data collection and reporting support as well as technical assistance to local adult education agencies.

Agencies can earn up to three benchmark payments per learner within the annual grant period. These three "payable" benchmarks result when a learner achieves the following successes:

- makes a significant gain,
- completes two instructional levels, or
- receives a GED certificate or an adult high school diploma.

Agencies must also report on three follow-up core outcome measures for those students indicating these outcomes as primary or secondary measures. The three outcomes are: entered employment, retained employment, and placement in post-secondary education or training. This is mostly student self-report data from surveys, but local adult education administrators indicate that the surveys do not yield very good response rates. Because the California Department of Education (CDE) maintains that it does not have authority under state law to collect students' social security numbers, there is no matching to unemployment insurance records and no statewide system for sharing this information between adult education providers and the workforce development system. As a result, CDE feels they can't provide good measures outside the education realm. However, community colleges, which are administered by the Chancellor of Community Colleges and are not part of CDE, do collect social security numbers, so they can participate in a state-based performance accountability system that includes employment outcomes.

California was assessing student performance on samples, using CASAS, and was implementing TOPSpro software statewide for both state and federally funded programs before Title II. The vast majority of local agencies used TOPSpro for scoring and were using student profiles and class profiles prior to 1998. The most significant change with the National Reporting System (NRS)/Title II was the requirement to complete the assessments for all students/all programs/all year—most are open entry–open exit programs, so this is very difficult. Respondents at both CDE and CASAS noted that reporting requirements are difficult for small

agencies, and they are experimenting with ways to reduce this burden, such as having a roving/itinerant test/data collector across several small districts.

State officials acknowledge that paperwork is the biggest drawback and “data collection is an unfunded mandate for the local districts.” At first, there were reductions in all categories of providers applying for AEFLA funds, with significant reductions in community-based organizations (CBOs) and small school districts especially, but this has come back up again. Before 1999, 42 CBOs were receiving AEFLA funds; in 1999–2000 only 12 CBOs were. But in 2000–2001, 26 CBOs were AEFLA grantees. Overall, CDE administrators feel that the system has been well accepted.

At the state level, CDE uses the accountability information for a rationale for continued funding and for statewide policy decisions. They have not done as much as they would like on setting benchmarks; the state is moving to a report card next year for their report to Congress—in the future, they plan to do more with the local districts in negotiating benchmarks, noting that this has been a weak area for CDE

Some local respondents indicated that the benchmark system (performance-based funding) is a disincentive for schools to generate other customized performance information. However, the measures in CASAS, which are common across the state, are being used by teachers to plan what to emphasize in classes, identify weaknesses in curricula, and so on. At LAUSD, local administrators have been revising course curricula to better address the CASAS benchmarks. And some teachers in LA and in Riverside indicated that they look at reports to identify areas that need more emphasis in the classroom. However, in some Los Angeles schools, these reports are not timely, making the information less useful to teachers.

Respondents noted that benchmarks are easier to achieve at lower levels of the educational system. There was some concern that at some point, as all districts improve, less supplemental funding will be given to districts that are performing well now. Note, also, that benchmarks are aggregates, not reported by individual. So, if one individual gets three benchmarks, and four individuals get no benchmarks, the collective group of five appears to get three benchmarks among them. Some respondents noted that, since a student is not included in the benchmarks until after 80 hours of participation, the adult education agency doesn’t “get credit” for some of their efforts. They would like to see some reporting and payment for intermediate outcomes.

Both local sites expressed some dissatisfaction with the state-imposed performance accountability reporting system. The responsibility for the accountability system is delegated to a contractor (CASAS) by the California Department of Education (CDE). Overall, respondents supported the concept of performance accountability, but thought the state did not solicit sufficient local input in developing the system. Respondents were in favor of accountability and believed it was improving their programs. In the places we visited, accountability had resulted in increased funding because respondents did well on their benchmarks. Much of the data is used

somewhat informally and at the discretion of individual teachers (as to what kind of reports they want and how often they receive them).

The comments and concerns about the accountability system expressed by local respondents dealt mostly with the process and logistics of the system. All agreed that the first year of the system was a “nightmare” because of the increased workload, software problems, and insufficient support from CASAS. Most agreed that things had gotten “much better,” but workload, software incompatibility, customer support, and duplication of effort issues persist. Different adult education providers seemed to find different ways to deal with the CASAS system, a function of the volume of students, staffing considerations, and their ability to take a more systematic view of implementation.

Data collection is a major financial burden in Los Angeles, but even in Riverside, the adult school principal estimates that labor costs for data collection are about \$60,000 to \$65,000 per year. According to one respondent, a number of small school districts found that they could not afford to support the data collection requirement and therefore did not apply for the AEFLA grants from the state.

Data collection is very repetitive. This was particularly true at LAUSD, because LAUSD has its own data system that overlaps with CASAS requirements. LAUSD has its own ESL exit tests as well as CASAS, so both students and teachers report that too much time is spent on testing. LAUSD believes its data system—in place before AEFLA and performance-based funding—is good and accurate, and that the TOPSpro forms and software required by the state are inefficient. However, since they have not been able to get their system to read data into the state system, they are operating two reporting systems. LAUSD indicated that they could reduce data collection costs by 70 percent if changes were made to avoid duplication. Specifically, LAUSD administration recommended that federal funds not be used to recollect data that already exists in another format and that the federal government encourage states to require an open-systems architecture to allow compatibility between systems. LAUSD administrators also indicated that their system contains almost 80,000 more students than shown on the CASAS reports. (On their own system, LAUSD reported 265,000 enrolled students in FY 2002, but their benchmark report to the state for the same period include only 187,000 students.) There is concern that NRS is requiring grantees to certify that the reported data are valid, yet LAUSD knows that the CASAS information is not complete.

Several issues appeared to be underlying the difficulties expressed at LAUSD, including the size and bureaucratic structure of LAUSD, communication difficulties with CASAS, and resentment about the state’s unilateral approach to reporting requirements. In contrast, after initial implementation difficulties, the state-mandated reporting system appears to be working well in Riverside (although it is costly). The large number of students and classroom locations served by LAUSD is an issue in terms of sheer logistics, and LAUSD may not be able to afford the per-school investment in CASAS that Riverside can (e.g., computer programming and staff support). Notably, however, state administrators indicated that other large urban school districts in the state, such as Oakland, manage to use the CASAS system with no major problems.

## **One-Stop Coordination**

Coordination between adult education and the workforce delivery system varies widely across the state. At the state level, coordination is not very good, but efforts are being made to improve collaboration. Local-level coordination depends largely on earlier relationships under JTPA and other employment and training programs. There is no state level policy on the Title I and Title II relationship.

CDE does not fund one-stops directly. At the local level, where there are collaborative efforts, substantial in-kind support is provided by Title II agencies. Respondents at the CDE and the Workforce Development Branch of the Employment Development Department differed in their perceptions of the coordination efforts and the barriers noted, but both agreed that they have more work to do to improve state-level coordination.

At the local level, some incompatibilities between Title I and Title II of WIA created barriers to coordination. One-stop respondents noted that they do not get “credit” for universal services, and most are barely documenting these services’ utilization— that they do not get credit for this in the WIA performance measures creates a disincentive for tracking referrals to and from adult education. Furthermore, data collection focuses on core assisted services—a student must be registered to be included in the data, and student outcomes are the basis for the WIA performance measures. If a client’s need for adult education (e.g., literacy, ESL) poses a barrier to employment, the one-stop is likely to refer the client directly to adult education (which may be on site or at an adult school or satellite location) rather than register them. Thus, this client would not be tracked by the one-stop. Clients are told to come back to the one-stop after they have completed their adult education course(s). Clearly, at some of the local one-stops, concern about performance measures resulted in discouraging the registration of adult education participants.

To be a certified eligible training provider under WIA, the provider must report on all students in a class. Some local providers noted this as an added burden, since the WIA may only support a few students in some classes. Officials in the state Workforce Development Department noted that WIA Title I allows “substantially similar data” to be used in aggregate (instead of individual records), and so have used aggregate data to protect the privacy of adult education students.

Two factors that promote coordination between adult education and one-stops were identified on the local site visits. One trend, noted particularly in Los Angeles, is the move away from private training toward public training providers such as LAUSD and community colleges. The shift is budget driven—last year the L.A. Workforce Development Division cut back on training funds for one-stops. Secondly, it was pointed out that Carl Perkins programs are required to document their required contributions to one-stops. The local one-stop director and adult school principal in Riverside were using this to leverage support for adult education programs at the one-stop.

## Connecticut

### Organizational Background

The Bureau of Career and Adult Education of the Connecticut State Department of Education (SDE) administers adult basic education (ABE), English as a second language (ESL), general equivalency diploma (GED), citizenship, high school credit diploma, and external diploma programs. The SDE uses an outside vendor for data evaluation, but actual data are housed at the state agency. The major changes in program administration since AEFLA implementation include the following:

- School districts are required to offer the above programs free of charge.
- Schools can operate by themselves or with another school district.
- Schools are reimbursed on a sliding scale based on the number of people in the district without a high school diploma.

The Office for Workforce Competitiveness (OWC) in the Connecticut Department of Labor coordinates employment and training activities and staffs the workforce investment board (WIB). The Office of Program Operations in the Department of Labor is responsible, with the WIB, for managing one-stops (e.g., planning, budgeting).

#### *Hartford*

The Capital Region Education Council (CREC) and Hartford Adult Education Services are the two federally supported adult education agencies in Hartford. Hartford has one full-service one-stop and two portals overseen by the Capital Region Workforce Development Board (CRWDB). The one-stop has 18 mandated partners; all must be located at the one-stop. Non-mandated partners bring staff to the one-stop. Adult education (GED and ABE) classes are held in a conference room at the one-stop. Family literacy programs are not offered at the one-stop—two schools offer family literacy separately, under program improvement grants awarded by the state using AEFLA funding.

#### *Bridgeport*

In Bridgeport, although 49 percent of city residents do not have a high school diploma, the local share of funding for adult education programs is considerably lower than in other locales. This may be attributed in part to the great wealth disparities in Bridgeport. Career Resources, Inc. (CRI) operates the full-service one-stop center in Bridgeport. Most local adult education grantees are located at the one-stop center. Most of the services available at the one-stop center are targeted towards TANF and WIA Title I recipients. For adult education learners, a computer lab is open for CASAS initial assessment testing and an ESL/GED class is held four hours per week. These classes are operated by Bridgeport Adult Education, the major adult education grantee operating under the Bridgeport School District. This provider partners with 15–20 different organizations for outreach, referrals, and volunteer work.

## **Funding**

Core support for adult education services in Connecticut comes from state appropriation and local match. The state legislature requires that schools offer ASE, ABE, citizenship, ESL and high school completion programs. The state program was described as an entitlement program, in that funds are not competitively awarded and there is a sliding rate of reimbursement for localities (ranging from 0 percent in the wealthiest towns to 65 percent in the poorest towns). Each town represents a local school district and is eligible to apply for state adult education funding. The school district determines how much funding is available locally and makes an application to the state. Up until this year the state appropriation was uncapped. For every dollar raised locally in Hartford or Bridgeport, for example, the state provided \$1.65. Due to budget shortfalls at both state and local levels, local adult education programs have been hit hard—both due to a decrease in local revenues, which translates into less money through the state reimbursement share, and also to a cap imposed on the overall appropriation. Current state legislation is set to expire on June 30, 2003.

In addition to the state/local grant, federal AEFLA funds are typically provided competitively through program improvement grants. A typical grant is about \$75,000. Federal funds are used to emphasize (1) family literacy, (2) work with nontraditional providers, (3) workforce and worksite programs, and (4) technology.

Generally speaking, local school districts and service providers do not differentiate programs or services by funding source. This may be because the vast majority of funds come from local and state sources. Most program administrators knew whether or not they had a program improvement grant—if so, it generally permitted a more intensive level of service for the program participants. Otherwise, locals had very little direct experience with or opinion about AEFLA provisions, impact, and the like. Locals were most concerned with the loss of funding due to budget shortfalls locally and at the state level.

## **Accountability**

The history of Connecticut's accountability system dates back to a 1984 blue-ribbon commission. The state worked with CASAS to develop assessment tools, with emphasis on matched pairs data (the perception of state administrators is that this approach is more rigorous than that of many other states). At the local level, there were complaints about limitations of the new data system and the state's data system contractor. Respondents indicated that reports were harder to access than under the previous system, noting increased lag times to obtain reports. Most programs entered data on two separate systems, so that they could have access to data locally—local adult education programs (currently) cannot get individual-level data (only aggregate data)—although the new data system in theory is expected to have this capacity. Local providers want more immediate access to data.

## **One-Stop Coordination**

Under WIA, federal funds are distributed to local workforce investment areas by formula, and the services for adults are provided primarily through one-stop career centers. A memorandum of understanding (MOU) is negotiated between SDE and each workforce investment board in the state. Connecticut currently has eight workforce investment areas but is in the process of consolidating them into five. State officials indicated that Connecticut was an early implementer and started using one-stop centers in 1993 or 1994, when the Job Training Partnership Act was still in effect.

WIA led to changes in the relationship between adult education and the workforce development system. The SDE retains an important role in the system in several ways. For example, the commissioner is a member of the state workforce investment board, providing an effective voice for adult education in state-level WIA matters. State employees also serve on the local workforce investment boards, and the local boards set policies for the one-stops. The state also negotiates an MOU and a contract with each of the local boards, specifying the activities that adult education will provide for the one-stops and the financial contribution the state will make toward funding the one-stops. The state provides 4.9 percent of its federal grant, formerly 3.9 percent, to support the one-stops. Essentially 4.9 percent of the AEFLA grant is held back by the state from program operations. The one-stops have complete freedom to determine how this contribution should be spent. At the two one-stops we visited, adult education was the only partner to provide cash support for the one-stops. (The state Department of Labor provides significant in-kind resources by paying for much of the space at the two one-stops we visited.)

Each workforce investment area in Connecticut decides who should operate its one-stop centers. The Hartford SDA was moving to a consortium model where the one-stop is managed by several of the one-stop partners. In Bridgeport, on the other hand, the one-stop center is managed by Career Resources, Inc., a nonprofit firm.

The role of local adult education agencies varies considerably across the state. In Hartford, the relationship was strong. One indication of the relationship is that one of the local adult education providers had a contract to conduct assessments at the one-stop center. In Bridgeport, on the other hand, the relationship was not as strong. The adult education system provides a course on site at the Bridgeport one-stop, but it only meets for four hours per week. In both sites, the WIA and adult education programs maintained completely separate management information systems. In Bridgeport, only 19 WIA participants were also enrolled in adult education.

Determine the impact AEFLA has had on adult education/WIA relationships is difficult. Department of Labor staff indicated that WIA fostered good relations, but Department of Education officials indicated that under the prior one-stop system, relations were stronger. That adult education is the only paying partner likely contributes to their being welcome at the one-stops. In Bridgeport, a majority of adult education services provided at the one-stop are provided to TANF recipients through WIA funds, not AEFLA or even state and local SDE funding.

## Iowa

### Organizational Background

In Iowa, adult education services are administered by the Department of Education and are distributed through the state's 15 community college districts. Each district includes at least one main campus and a number of satellites. Community college districts have a fair amount of autonomy and operate independently of one another. The community colleges we visited did not subcontract out service provision, but did provide adult basic education (ABE), general equivalency diploma (GED), and English as a second language (ESL) instruction in a variety of community-based settings including corrections, public schools, libraries, and community-based organizations. The Iowa Department of Workforce Development oversees the state's system of one-stops in 16 regional Workforce Investment Areas.

Iowa's population shrunk/stagnated in the 1980s. An influx of the foreign born in recent years has resulted in surging ESL enrollments. Iowa has a relatively high percentage of high school graduates, but a low percentage of four-year graduates. The state is looking to expand four-year graduations to support the new economy, but has problems with "brain drain"—half of all four-year graduates leave the state. The state's economy has historically been dominated by family farms and not much industry; however, family farms have been disappearing over the last 20–30 years, and the state is looking to diversify the economy with light manufacturing and a growing service sector. The governor and others are interested in how adult education (and the education system as a whole) can better prepare the state's residents to fit into its economic development strategies (i.e., to attract new employers bringing high-paying jobs).

#### *Des Moines*

The adult education program is administered by Des Moines Area Community College (DMACC). DMACC provides adult education services at 21 locations across Des Moines and surrounding counties. This includes six DMACC campuses (the main campus in Des Moines and five satellite campuses), as well as high schools, libraries, faith-based community organizations, an alternative school, a county jail, a detention center, a women's service center, and a local one-stop career center (where they offer two ABE/GED prep classes). Most of those enrolled in classes at the one-stop (though not all) are welfare recipients.

The one-stop serving Des Moines is operated by Central Iowa Employment and Training Consortium (CIETC), the local WIB. This full service one-stop is one of eight one-stops serving the WIB's region, which stretches across seven counties. The other seven one-stops in the region are small satellites and do not have the space to accommodate adult education classrooms.

#### *Ottumwa*

Adult education programs in Ottumwa are provided by the Indian Hills Community College. This community college serves a predominantly rural 10-county area in southeast Iowa. Twenty-three adult education locations are spread across the service area, including classroom sites at the community college, libraries, churches, local schools, correctional facilities, and community locations. The adult education program serves about 1,500 students per year. The

Indian Hills Workforce Development agency operates two full-service one-stop centers in Ottumwa (one of which is located on the campus of the Indian Hills Community College), as well as four other satellite one-stop centers within the same 10-county area. Although the one-stop is located on the campus of the Indian Hills Community College, adult education classes are taught in another building on the campus (within easy walking distance of the one-stop). The one-stop provides referrals to the adult education program, as well as to employment and training services for students referred from the adult education program.

## **Funding**

The Department of Education funds (by formula) the 15 community colleges to administer adult education programs. The funding formula is based on several factors, including a two-year average of “contact hours” for ABE and enrollment in ABE. AEFLA had little, if any, impact on state structure and funding, including coordination with one-stops and awarding local ABE grants. Traditionally services have been provided by the community colleges, and continue to be under AEFLA. The state does not set enrollment targets for local AE/ESL programs—rather the state stresses quality of outcomes over number of enrollments. The grant process includes a requirement to use the CASAS/TOPSPRO system, which according to state respondents, dissuades smaller organizations from pursuing grants.

Community College “contact hours” generate substantial additional funds to support adult education programs. In Des Moines, for example, the overall budget for the adult education program was about \$2 million, but the state supplied only about one-quarter of this amount through its federal grant funds. Community college funding comes out of the state’s general fund; funding appears fairly flexible—it typically covers costs of classroom and supplies, but also covers some instructional costs. The state does not contribute additional match to the federal funds (beyond what is contributed by the community colleges).

## **Accountability**

Iowa is one of six states using the CASAS system and has been doing so for almost 10 years. In 2001, the state implemented the TOPSPRO software, which includes fairly sophisticated report generation capabilities (enabling the state to produce reports necessary to meet National Reporting System [NRS] requirements). The state disseminates comparisons of local programs on key outcomes. Local programs can also do their own analyses of data and generate reports. ABE coordinators at each school were using data reports to monitor progress—in some cases progress of individual teachers and/or students. Several reports may be sent to instructors after forms are scanned to assist instructors in monitoring progress. Instructors at Indian Hills Community College appeared to use reports much more frequently than those at DMACC. NRS activities take up a considerable amount of time at both the state and local levels, and NRS reporting is not inexpensive—each community college has at least a part-time staff person that serves as the TOPSPRO coordinator.

TOPSPRO has undergone several changes/improvements, but problems remain. For example, the entry sheet cannot be scanned without CASAS test scores, but the CASAS tests

cannot be electronically scored if the entry form was not previously scanned into the computer. So, teachers end up hand scoring the tests and entering the scores on the entry sheets. Over time, instructors and administrators have developed various work-arounds for the system. Also, teachers have to make sure that skill level, instructional level, and class number match—which is difficult to update when skill level changes due to testing, but class level doesn't.

The state obtains and matches administrative data annually to produce necessary data for NRS reports on (1) employment and retention (unemployment insurance wage record data), (2) GED attainment (GEDtesting.com), and entry into post-secondary education (match to the community college management information system, but not the university system). Matching with unemployment insurance (UI) wage record data is very easy and inexpensive (\$200 per year), and the state would never consider doing a survey; the only drawback to matching with UI records is that students who work in another state or do not have a valid social security number cannot be matched. The community college data is readily obtained because the state Department of Education is the state grantee and community colleges are substate grantees. This system misses the small numbers that enroll in four-year schools (state officials believe that most ABE/ESL students would enter the four-year system through the community college system).

Benchmarks are negotiated annually with each of the 15 community colleges and must be within 5 percent plus or minus of the federal benchmarks. State administrators view NRS performance goals as fair and good for guiding the program toward results and continuous improvement. They have some worries that ABE programs may in the future be judged solely on employment outcomes, which would be a mistake—"we believe that there is no better vehicle for improving performance than benchmarks." State and local adult education administrators acknowledge that instructors need much training on setting realistic and achievable goals, and completing forms.

### **One-Stop Coordination**

Iowa has 16 Regional Workforce Investment Areas—generally coinciding with the 15 community college regions (with the exception of one newly formed area that has pulled several counties from several community college regions to form a new Regional Workforce Investment Board [RWIB]). Iowa grandfathered its boards, so RWIBs have a different composition than most other states, with the exception of the newly formed RWIB (which follows WIA rules on composition). The adult education program is represented by a community college official on the state WIB (grandfathered, with just nine members and other ex-officio nonvoting members). The adult education program is usually represented on local RWIBs by a community college dean.

Prime one-stop funders are WIA, Wagner-Peyser, and the state's TANF work program. Adult education contributes very little (if anything) to one-stop operation—any contribution is typically in-kind—(the adult education program in Des Moines does pay a nominal amount (\$300/month) toward rent, but this doesn't cover much of the cost of the two classrooms at the one-stop. The adult education program director indicated that if the program had to pay more, it would probably leave the one-stop

Across community college regions, the extent of linkages between adult education and one-stops varies. For example, adult education representatives do not have signed memoranda of understanding in each RWIB. One-stops in 10 of the 16 regions are contracted to the community colleges. Being administered by the community college, however, did not appear to foster greater coordination of services. Adult education programs may or may not locate a classroom at a full-service one-stop, but regardless of whether the adult education program has a classroom at the one-stop, it typically receives small numbers of referrals from one-stops. From the perspective of one-stops, having a classroom at the one-stop makes it easier to refer a client lacking basic skills for services and improves chances that a referral will show up for services.

## Kentucky

### Organizational Background

In addition to the Department of Adult Education and Literacy, the Council on Post-Secondary Education, which meets quarterly or bimonthly, plays an important role in the Kentucky adult education system. Kentucky has 120 counties, and each mounts its own adult education/family literacy programs. The Kentucky Department for Training and Reemployment is responsible for administering WIA Title I and overseeing the state's one-stop delivery system. Funds are passed to the state's 10 local Workforce Investment Boards (WIBs).

A big push is underway to increase enrollment in adult education by 2010. Senate Bill 1 (passed by the Kentucky legislature in 2000) places a focus on adult education and increasing enrollment. Of four million people in the state, it is estimated that 1 million are at the lowest literacy levels and need services. A recent study showed that only about 5 percent of those in need of services were being served. Enrollment targets set by the state are based on a University of Kentucky study conducted during the late 1990s. The goal is to reach 30 percent of the target population (or 300,000 individuals) by 2010. Local programs are very worried about their ability to expand the program to reach this goal—they think the target is unreasonable (last year's goal was 7.5 percent; this year it is 9.0 percent). The state has two new strategies for boosting enrollment—workplace learning and distance learning—however, neither count within the National Reporting System (NRS) (because they do not measure learning gains and may not qualify under the 12-hour rule).

#### *Shelbyville*

The Ohio Valley Educational Cooperative (OVEC), a consortium of 14 public school districts, is the adult education grantee for Shelbyville (and Shelby County). The “satellite” one-stop in Shelbyville is one of five one-stop locations serving the seven-county local Workforce Investment Area that includes Shelbyville (population 10,085 in 2000). As a satellite office, the Shelbyville one-stop center has limited space available. While not having an adult education classroom on-site, the one-stop does regularly refer clients to adult education programs offered by OVEC and also provides employment and training services for clients referred by OVEC.

#### *Lexington*

The Central Kentucky Technical College (which is part of the state's community and technical college system) is the local adult education grantee for Fayette County and the City of Lexington. The Central Kentucky Jobs Center in Lexington is a comprehensive one-stop and also has an adult education classroom on site (one of about 20 such adult education classroom sites in the county).

### Funding

Adult education funding for the program year July 2002 through June 2003 is \$32 million (\$9.3 million federal [Title II], \$11million state department of education, and \$12 million from the state Council on Post-Secondary Education for adult education). Each of the 120 local programs in the state receive substantial state funds (60–70 percent of funding for local programs

comes from the state). Family Literacy is funded at \$4 million—Kentucky was only the second state in the nation to fund family literacy activities in all counties.

The state received federal incentive grants for the last two years—Kentucky is one of 12 states to receive incentive grants in both years. They received \$3 million in 2002 (\$1.05 million went to adult education, \$1.4 million went to Title I, and \$.5 million went to Perkins programs). Adult education is using its performance funds for working with one-stops and placing a distance learning staff person in one-stops. The 2001 incentive grant was \$1.4 million, but none went to the adult education program; rather, the money was put into the one-stop system to buy assisted learning technology and train front-line staff to use it.

Local program grantees receive two-year grants—because of its biennial legislative process, the state cannot issue contracts longer than two years. The state’s grant application process is about the same as it was prior to AEFLA implementation—although more attention is paid to setting enrollment and performance goals and to how these goals will be attained. Funds most typically are awarded to local school boards (95 of 120 county adult education programs are run by local school boards or educational co-ops (which combine several counties); several technical colleges and a few CBOs are also local grantees.

### **Accountability**

Kentucky has a rewards system for adult education, using only state funds. In 2002, \$800,000 was distributed to 71 counties (in the prior year, 86 counties received rewards). Local programs can use the incentive rewards for anything allowable under the adult education program (e.g., attending conferences, upgrading technology). The rewards system uses the same measures as NRS, but adds several additional ones. The main performance indicators are educational gains for adult basic education (ABE) and English as a second language (ESL), post-secondary attendance, general equivalency diploma (GED) attainment, entry into jobs, and hitting enrollment targets. Local programs must hit the enrollment target to qualify for incentive rewards. If the enrollment target is hit, then the local adult education grantee receives up to 10 percent of its annual allocation, based on the percentage of measures attained. All local programs face the same standards on each goal, which are set at the same level as the state’s negotiated goals under NRS.

The State is beginning to look at targeting technical assistance to the 49 counties that did not get rewards last year—possibly targeting technical assistance on the lowest performers, especially around boosting enrollment. State adult education programs have regional consultants to assist local programs (i.e., assess program, target technical assistance on performance deficiencies); and use regional consultants to “cross-pollinate” or share best practices.

Data are entered online by local program staff (usually instructors) into the state mainframe system. The state then generates summary reports (called Blue/Gold reports). Data and additional reports are not generally distributed to local programs, although programs may

request a data extract (as the Lexington adult education program did) to produce additional analyses, such as measuring individual instructors' performance.

State and local adult education officials say that tracking employment outcome data (placement/retention) is important, but that their core business is upgrading ABE/ESL skill levels. State and local adult education staff sometimes wonder whether they should be held accountable for employment outcomes when so much depends on the local economy. Currently, local program instructors indicate whether employment/retention goals are appropriate to the client (during assessment) and then collect data on employment retention outcomes through client self-reports and word of mouth—the data may not be all that reliable. The state is thinking about matching UI data to check employment outcomes, but they are not doing this yet (they indicated that this should be easy because adult education and UI programs are in same state department, but some officials worry about lags in receiving data).

The small numbers of enrollments and the need to identify specific goals for individuals mean that very small numbers of individuals are considered on some measures. Individuals with “assessment-only” assignments can help boost enrollments (for state's performance-based system only). Individual goals for learning gains are assigned based on testing results (which leads to a reasonably objective placement of individuals); assignment of employment goals and post-secondary education goals is left more to the judgment of local instructors.

### **One-Stop Coordination**

The local programs vary significantly in links between one-stops and adult education programs. Local grantees were not involved in the MOU process. Some adult education classrooms are located at comprehensive one-stops—in Lexington, the one-stop is one of about 20 adult education classroom locations in Fayette County. The classroom at the one-stop serves 100 of the about 3,800 students a year served in the county. Where one-stops are run by community college systems, links between adult education and one-stops appear easier. One problem is that full-service one-stops do not exist in all 120 counties (in fact most counties are served only by satellite centers, which lack space for ABE/ESL classrooms).

Mostly, the relationship between adult education and one-stops is characterized by referrals back and forth between the two systems (e.g., every day in Shelbyville a client visiting the satellite one-stop will be assessed as not having a GED or high school diploma; these clients will almost always be referred to the local adult education program, several miles away, for further assessment and classes). Adult education programs will send students to the one-stop for job leads, to use resource rooms, for job readiness workshops, and for referral to training. There is no reliable way to track the referrals back and forth between the systems—or to track independent use of one-stops by adult education participants.

Adult education programs are accustomed to not paying for space (typically they have donated space for their classes). Adult education programs do not pay for space at one-stops, although there is talk now of adult education programs beginning to pay for space (either through

cash or in-kind contributions). A cost allocation model is being discussed at the state level, but there is concern that local adult education programs do not have the resources—90 percent of adult education funds are used for instruction. Local program officials we interviewed were not optimistic about their ability to pay for space at one-stops. Local adult education programs are faced with the dilemma of “moving into the one-stop and paying \$20,000 versus staying in a previous location which is rent-free.” Local respondents indicated that this problem may be resolved at a systemwide (state) level rather than at a county level.

Impediments to closer collaboration between adult education and one-stops include local adult education programs’ lack of funds, and lack of classroom space at one-stops. Small staff size in adult education programs means that outstationing adult education staff can be a problem.

## Mississippi

### Organizational Background

Adult education services are administered by the State Board for Community and Junior Colleges (SBCJC) in Mississippi and distributed by competitive grant. WIA Title I is administered by the Employment and Training Division of the Mississippi Development Authority, which distributes funding to six Workforce Investment Areas in the state. Poverty and illiteracy are severe in Mississippi, and funding for adult education is very limited.

#### *Tupelo*

In Tupelo, Title I and Title II funds are jointly administered—the funding streams meet at the local community college Itawamba Community College (ICC). The Three Rivers Planning and Development District is the WIA administrative entity for the 27-county region known as the Mississippi Partnership. ICC, the adult basic education (ABE) provider for Tupelo, is one of four one-stop leads for the Mississippi Partnership.

### Funding

Federal AEFLA funds go to the State Board for Community and Junior Colleges (SBCJC) and are then granted to 32 local programs, including a variety of community colleges, local education agencies (i.e., public schools), and community-based organizations. Requests for proposals are issued for a three-year period; awards are not based on performance. Grantees submit a budget extension annually and have the option to include any changes in their plans. Funding priorities are determined locally by ABE programs, including decisions about staff development.

While no additional state funds are granted for adult education, ICC does contribute resources and financial support to the ABE program. The college contributes to salaries for one teacher and one administrative staff person. ICC also makes an in-kind contribution of facilities. ICC also gets small amounts of additional grant funding for adult education programs from local businesses such as Wal-Mart. The local adult education director believes that they could serve more people if WIA funded child care and transportation for clients.

### Accountability

Respondents indicated that AEFLA brought a clearer sense of the importance and utility of accountability data to local adult education staff, especially teachers. The state initiated an accountability system with AEFLA implementation, which remains predominantly a state function. While mostly manual, the state was scheduled to migrate to a statewide automated data system in July 2003. All test scores will be read into the system and some forms will be scannable.

Tupelo's adult education administrator noted that the bad economy has had an impact on their students and therefore on performance measures. She also noted that there are significant variations between Titles I and II, including different performance measures and different goals—Title I's goal is to move people into work, while the goal of AEFLA is to improve basic skills.

Locally, programs collect, report on, and use the information specified by the National Reporting System (NRS). They do not collect much information beyond what NRS requires. Staff rely primarily on the Test of Adult Basic Education (TABE) for testing. They also use SORT (Slosson Oral Reading Test) and BEST (Basic English Skills Test). Respondents noted that the TABE works well for ABE/GED testing. Under a new managed enrollment system, students are enrolled every Friday. Students are not entered into the system (or reported on) until after 12 hours of instruction. Posttests are administered after 50 or more hours of instruction. Local program staff maintain a record of TABE scores for each student, as well as his or her core NRS outcomes (GED receipt, employment status, etc.).

Teachers maintain a large paper file for every student with the student's relevant test scores and outcome information, and are encouraged to send data monthly to the central ICC office (they are required to send it every semester). The information is then keyed into the database system.

At the time of our visit, local programs were responsible for their own data systems. ICC's computer system allowed them to generate weekly reports of students' mastered objectives. It also tracked pre- and posttesting and movement between centers. Monthly rolls, including students who need to be posttested based on their hours in class, were also system-generated.

All data is sent from the local ABE providers to the state office at least twice a year. NRS data is reviewed at the state level, and feedback is shared locally. The state office monitors local data, and at least once every two to three years SBCJC conducts a full on-site audit of local accountability data.

Locally, program administrators use NRS data to estimate future benchmarks and make decisions on class placement, curriculum, staff development, and student recruitment. They also print the federal NRS reports monthly to see if one particular class or instructor needs additional help. In Tupelo, one of the adult education teachers is also a "lead teacher" for the state—one of three in Mississippi—with staff development responsibilities. This lead teacher is also on the NRS committee, which heavily influences the accountability system in Tupelo. The lead teacher sets up staff development programs, including in-services on accountability issues for teachers statewide. An ICC vice president uses accountability data to promote the college.

All follow-up/tracking data is gathered by an informal verbal "survey" in Tupelo. Basically, they depend on self-reporting and teachers seeing their students in town and asking

them if they're working. Some instructors also used postcards and phone calls for tracking. The State Adult Education Director indicated that in rural areas, keeping up with students is much easier because teachers bump into them all the time. In places like Jackson and the Gulf area, it's harder in part because the student population is transient.

### **One-Stop Coordination**

According to the state director, turf issues complicated the integration of adult education with the one-stop system. WIA created new one-stops that did not necessarily complement the existing community college system infrastructure and resources. For example, some job centers were opened within blocks of existing ABE labs that were fully equipped for computer access and classroom settings.

Locally, staff in Tupelo have worked through their turf issues. There is one primary one-stop in Tupelo and several access sites around the region, including one on the ICC campus. Tupelo has an interesting arrangement—ICC, which is the local ABE entity, is also the local one-stop operator. Title II (ABE) services are administered by the same person responsible for administering WIA services. While responsible for one-stop operations, she is not located at the one-stop; a local representative of the Mississippi Employment Security Commission is the day-to-day one-stop manager and is the subcontractor responsible for providing core services and operating the resource center. This arrangement has led to a high level of coordination between WIA and ABE. Community college staff and customized-job training specialists are located at the one-stop and provide WIA-intensive services and on-the-job training. ICC also offers ABE classes at the one-stop. While there is no formalized day-to-day interaction between WIA and ABE, WIA staff are aware of ABE services and staff refer back and forth between programs. The co-location of adult education at the one-stop has increased enrollment in adult education programs locally.