Acknowledgements

The National Adult Education Professional Development Consortium (NAEPDC) was incorporated in 1990 to fulfill a desire of the state adult education staff to enhance their professional development. Organized by the state directors of adult education, NAEPDC has four main purposes:

- To coordinate, develop, and conduct programs of professional development for state adult education staffs;
- To serve as a catalyst for public policy review and development related to adult education;
- To disseminate information on the field of adult education; and
- To maintain a visible presence for the state adult education program in our nation's capitol.

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Preface

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Adult learners need basic skills, but they often have a variety of other needs not directly addressed by the Adult Education and Family Literacy Act. However, other federal and state funds are available to address those parallel needs. Because those parallel funds reside in a variety of agencies, it is often necessary to coordinate funding with those agencies in order to respond to adults' multiple needs. As a result, each agency is more successful in meeting its clients/students' needs.

This guide is set up in two parts. The main body lays out the steps and strategies for engaging partners, developing interagency agreements, and implementing programs and services that utilize multiple funding sources.

The appendix has the Spring 2002 version of partner information including their target population, enabling legislation, mission and purpose, performance standards, and other information that will help you understand your partner's world. PLEASE NOTE: We realize that this appendix becomes dated the day it is published, but you can find an up-to-date listing on our web site at www.naepdc.org/resources/cfs.

Our special thanks to the State Directors and state staff who attended NAEPDC's National Training Institute in Washington, DC in February 2002. They participated in the pilot training using the draft of the materials and in the process made numerous and significant additions and process suggestions which have been incorporated in this final version.

As with all NAEPDC publications, use it as a guide not a prescription. Adapt it to suit your state and your needs.

Keep up the good work. Let us know when we can help.

Lennox McLendon
Garrett Murphy
Kathi Polis

Coordinated Funding Streams

INTRODUCTION:
WHAT ARE COORDINATED FUNDING STREAMS AND WHY SHOULD I GO TO THE TROUBLE?

Adult learning goals are usually contextual.

Some adults come to adult education and literacy programs to learn for the sake of learning. However, most adults come to adult education to improve basic skills in order to do something—their goal is contextual.

Society wants undereducated adults to improve skills in order to do something also—help their kids with homework, get a job, maintain or advance in their jobs, transition to post-secondary education, or get off welfare.

Adult education contributes to the success of other initiatives.

Adult education does not "do" welfare, but it makes welfare programs more effective. Adult education does not "do" job training, but it enhances the impact of job training programs. Adult education does not teach toddlers or elementary children but it makes preschool and elementary children more successful.

Coordinating funding combines two or more sources of funding into one joint service activity.

Because adult education complements other social and economic programs, it only makes sense that a portion of your adult education services can be integrated with those programs. One way to accomplish that integration is to coordinate the two funding streams—bringing two sources of funding that serve the same target population together into one coordinated service activity.

Contex-tualized learning is more meaningful and efficient.

This coordination helps the adult education practitioners customize the basic skills instruction to support the goals of the partner agency. The resulting contextualized learning is more meaningful for the learner, it is easier to learn basic skills in a context, and it helps your partner agency meet its performance standards.

Coordinated funding streams bring more money to adult education services.

Some states have been successful drawing other federal funds through the adult education program to support services of mutual interest. Oklahoma pulls in Temporary Assistance for Needy Families (TANF) funds. Massachusetts pulls in special education funds. Pennsylvania pulls in Even Start funds. If you establish such partnerships at the state level giving clear direction to local programs, implementation of coordinated services is greatly enhanced.

Why isn't everyone doing it?

However, even though it makes all the sense in the world to collaborate with agency partners, creating such collaboratives can be challenging due to the complexity of developing the interagency arrangements. Thus, here is an opportunity for adult education to take the leadership role and do what many state professionals would love to be able to do but lack the "know-how" required to pull all the components into an integrated delivery system.

How do I coordinate funding streams in my state?

This book draws on the success that state adult educators have had in coordinating funding streams and purports to add you to that list. In doing so, when you finish this book and the associated training, you will have the following skills, attributes and knowledge that you can use throughout your professional career in any profession:

- Identifying a potential partner for developing a coordinated funding stream
- Conversing in your partner's "language" including understanding
  - the partner's mission
  - the partner's legislation
  - the partner's performance standards and being able to show how adult education can contribute to those performance standards (as well as your own)
  - your partner's target population requirements
  - your partner's allowable expenditures
  - how to meet the reporting requirements for you and the partner
- Navigating your state's interagency procedures including
  - fiscal procedures for interagency transfer of funds
  - interagency agreements that includes fiscal procedures
  - how to attribute appropriate costs to each partner
- Approaching potential partner agencies including
  - identifying the key personnel in the potential partner agency
  - how to approach and sell the concept to key personnel
  - how to get agency head approval from your agency and the partner agency
- Implementing coordinated projects including
  - Establishing an interagency practitioner workgroup to advise the state agencies
  - Finalizing the interagency agreement
  - Reporting to meet the partner's needs
  - Pilot testing the coordinated delivery and evaluating the results

- Going to scale – statewide implementation
- Celebrating success and giving credit.

Thus the body of this book provides you with a step-by-step guide for working through these components of developing coordinated funding streams.

Appendix A contains informational resources (legislation, purpose, funding, etc.) for a variety of potential partners. Needless to say, this appendix material will go out of date as federal legislation changes. NAEPDC will keep up-to-date information on our web site (www.naepdc.org/resources/cfs. However, the components will work with any legislation, including your state legislation. Remember: most federal legislation requires the development of state plans and state implementation policies. Be sure to review them as well.

A second resource is research-based documentation related to adult education's contributions to welfare, employment, children's reading, and public health initiatives. You can assess information on these issues in two ways. Appendix B contains fact sheets on each area. In addition, information is found in NAEPDC's PowerPoint presentation used to orient staff members of the 107th Congress (http://naepdc.org/MASTER%20POWERPOINTAdultLiteracyForum_files/frame.htm). Disk copies are available from NAEPDC.
You can use this information 1) to support your collaboration and 2) to help your partner agency personnel sell the concept to their superiors. If you develop additional documentation, please submit it to NAEPDC for inclusion on our web site so others may benefit.

DO NOT FORGET YOUR BOSS!!!!!

Interagency work requires working with your budget office, other agencies, and perhaps with your CEO to sign resulting cooperative agreements. You need to brief your boss before you start. Remember: your boss may want to take the lead or fit the partnership into a larger initiative. If your boss does take the lead, provide her or him with background information that will enhance the effort.

If your boss desires for you to take the lead, be sure to schedule regular briefings. It is her or his responsibility to brief up the chain as she or he sees fit. Bosses do not like surprises so begin early, get advice and blessing, and maintain communications. Your life will be easier in the short and long run.

Summary

It does take work and time to successfully partner with other agencies and coordinate funding streams; however, the benefits are worth it:

→Meaningful contextualized learning for undereducated adults

→Assistance with recruiting learners

→More funding into adult services

→Adult education's opportunity to provide leadership in state government.

It is important, however, for you to assess the cost benefit of pursuing the partnership in your state. Collaboration can be a time intensive process; however, the organization and effective use of a strong workgroup can greatly assist in this regard.

Reminder:
This book is a guide, not a prescription. Read through it, rearrange it, and use what seems to make sense in your instance. Forward any recommendations to NAEPDC, and we will make revisions in order to help those that follow you.

As with all projects, we encourage you to develop a workgroup of your best practitioners to help you think through these issues. Thus, when you get to the point to establish an interagency working group, you will have a cadre of knowledgeable practitioners ready to go to work.

Should you wish to discuss the components included in this book or if you would like to talk with a state staff person who has established a successful coordinated funding stream, contact NAEPDC at (202) 624-5250 or dc1@naepdc.org. Best of luck!

Developing Coordinated Funding Streams

TASK 1
Identifying a potential partner for developing a coordinated funding system

Naturally, the purpose for establishing coordinated services is to provide better services for adult learners in your state. As you will note in the Appendix of this book, there are a number of possibilities. Thus, your first TASK is to identify the partner you need most to enhance services to undereducated adults in the state.

OPTIONS:

There is no magic pill to identifying a potential partner. Each partner may make your program stronger. So, here are a few options to determine where to begin.

- **Intra-agency connections:** Depending on your governance structure, you probably have multiple funding streams and potential partners within your own agency. Examine your agency's organizational structure, and get to know the folks down the hall. If you've never worked through a coordinated funding process, this might be the best place to start! The steps will primarily be the same, but the fiscal procedures should be easier.
- **Contact in another agency:** "It is not what you know but who you know." In one case, the state director had a staff person who was in Sunday school class with the social services department's state director of family services—a natural partner for family literacy services. You still have to prepare but it is easier if the "sell" is to a familiar face.
- **Previous collaborations:** Research past history of actual and attempted collaborations. This history may provide hints for appropriate partners and development of strategies, based on what happened previously.
- **Inclination or intuition:** Because of your work with other agencies and/or your familiarity with the needs of adult learners in the state, you may have a strong desire to develop a particular facet of your program that would be enhanced by partnering with another agency. That desire to make it happen is a significant stimulus to a successful partnership. Follow that intuition.
- **Field-based need**: If there is no strong connection or intuition for a particular need, it is often helpful to confer with your staff and a workgroup of local practitioner leadership. If you have a practitioner advisory committee or create an ad hoc group for this purpose, you can ask them to read through this book, prioritize options and make recommendations to you.

Even if you begin with one of the first four options for identifying partners, it is always wise to establish a working group of state staff and local practitioners. Their input will help you think through the options as well as plan for local implementation.

✐TASK 1: Fill in the blank.

Question A: In what agencies do we have key contacts now?

Question B: In what program areas do I feel we need the most help? Which one is most critical at this point in time?

Question C: Who are the key leadership people I would like as a working group for this coordinated funding stream/partnership initiative?

Of OPTIONS A, B, and C, which strategy do I want to use?

✐ NOTES

TASK 2
Understanding the mission of the partner and conveying your ability to contribute

No self-respecting twenty first century initiative goes very far without a mission statement that guides the work. Thus, your next TASK is 1) to learn as much about your potential partner agency as possible beginning with the mission statement, and 2) to develop evidence of how adult education can help accomplish their mission more efficiently and/or effectively.

Get as close to the agency subunit as possible. For instance, if you are looking to your state social services agency as a family literacy partner, the "family services" unit may be a better bet than the entire agency.

The converse is also true; the higher up the agency you can relate adult education's contributions to mission attainment, the more potential for support. Remember: don't offer things you cannot deliver. The contributions you bring to the table should be backed by a proven performance record with measurable results that demonstrate the expertise, quality, and capacity of your agency's work. In addition to basic skills instruction, the contribution might include expertise in assessment, special learning needs, life skills management, special populations, career planning, curriculum development, staff training, and/or literacy task analysis. Be sure to demonstrate how your educational services support your partner's mission, as well as the importance of the professional development and local leadership systems you have in place to support those efforts.

✎ **TASK 2**

2A. The Partner Agency's mission statement:

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2B. Documentation regarding adult education's ability to contribute to the Agency's mission (see Appendix B for documentation examples):

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2C. The mission statement of the agency unit or bureau with whom you hope to develop a relationship:

2D. Documentation regarding adult education's ability to contribute to the unit's mission (see Appendix B for documentation examples):

NOTES

TASK 3
Understanding the partner's legislation

The second part of understanding your partner is to read through and be comfortable with the federal and state legislation that guides its work. As with the Adult Education and Family Literacy Act, most federal legislation requires the development of state plans that outline the strategies the state will use to implement the legislation. State plans are often contained on the agency's website. Workgroup members or staff members can accomplish this task as a part of the planning process.

Most federal legislation can be found on the Library of Congress web site (www.thomas.gov). Appendix A has the 2002 versions with web sites that can get you started.

TASK 3A

TASK 3A. Get copies of the partner's legislation and state plan (if applicable) which is found at__________________.

TASK 3B

TASK 3B. Identify the sections that enable partnering such as:

1. sections that allow funds to be used to support basic skills development for their clients.
2. sections that allow funds to be used for other services that would enhance the partnership (e.g., child care, transportation)
3. sections that provide funds for complementary services (e.g., occupational training, pre-employment training).
4. sections that encourage coordination with adult education (e.g., WIA Title I occupational and basic skills collaboration).

Time Savers

Contact NAEPDC to identify state staff members who have successfully coordinated funding with the same partner in their state.

Notes

TASK 4
Understanding and being able to converse in the "language" of the partner

Your goal is to be able to speak your partner's language. In a sense, your goal is to become "bilingual and bicultural" in relationship with your partner. That level of learning means that you know his/her mission and purpose, legislation, performance standards, target population, allowable expenditures, and reporting requirements.

You want to avoid the Tower of Babel. You can teach him or her your culture as the relationship develops. But, by appreciating and understanding his/her requirements, parameters, limitations, and possibilities, you make it easy for the collaboration to develop.

You may find that you need further clarification on the definitions and interpretations of a partner's regulations and terminology. For example, the terms "assessment," "progress," and "evaluation" can have multiple meanings depending on the agency and legislation.

Time Savers

Many of the "language" tasks—TASKS 5-8—can be done simultaneously. Various members of your working group can be gathering documents and practices, analyzing them, and preparing recommendations related to the various TASKs at the same time. One workgroup meeting could conceivably deal with many of these TASKs.

Notes

TASK 5
Understanding the partner's performance standards and being able to show how adult education can contribute to those performance standards (as well as your own)

Your chances of developing collaborations are closely tied to your ability to show how the results will contribute to your partner's performance standards. Their legislation probably contains guidance for the development of those standards. The state agency probably has their standards in some public place like a web site, or you can call the office and ask for a copy.

Obtain a copy of the standards. Distribute it to your workgroup prior to meeting to delineate how collaboration with adult education increases your partner's ability to meet or exceed those standards.

Time Savers

1. Look for models in the state where local adult education programs are partnering with the local partner agency. Document real examples of the benefit of collaboration.

2. Contact NAEPDC for states who have already developed collaborations and who have the evidence at hand.

TASK 5A

TASK 5A. Obtain a copy of your partner's performance standards.

TASK 5B

TASK 5B. Develop evidence that collaborating with adult education will contribute to your potential partner's standards by:

a. having your workgroup develop potential benefits by examining the partner's performance standards;

b. identifying local partnerships that exist in the state and identifying examples of contributions by that local collaboration.

c. contacting NAEPDC to identify another state that has developed a partnership from whom you can identify contributions.

Notes

TASK 6
Understanding your partner's target population requirements

Even though the federal government has made much progress on streamlining services and definitions, agencies' target populations are often described in their federal legislation and in their state plan. Your task is to obtain a copy of those descriptions as well as any priorities that may occur in the legislation and in the state plan. Of course the next step is to look for overlaps with the AEFLA target populations and your own state plan priorities.

TASK 6A

TASK 6A. Obtain a copy of the target population descriptions and priorities from your partner's federal legislation and state plan.

TASK 6B

TASK 6B. Engage your workgroup in identifying where there are overlaps and where the most likely points of collaboration are.

Notes

TASK 7 Understanding your partner's allowable expenditures

What can this potential partner spend money on, and what is the partner not allowed to do? Some can subcontract for basic skills services and pay for entire ABE, ESL, GED, workplace, or family literacy programs. Others can provide transportation and child care for co-funded clients. Others can provide the pre-employment or job-training portion to complement your basic skills part. By providing more comprehensive services, the student is more successful.

You do not want to ask a partner to pay for services that are not allowable under his/her guidelines. Ignorance about allowable expenditures decreases trust and dampens enthusiasm.

Also, be clear about your allowable expenditures so you can save your partner any embarrassment.

Allowable expenditures can be found in the legislation and in the state plan. However, there are often unwritten rules on which the field relies. Therefore, in addition to the plan and the legislation, it is helpful to gather information from several local programs regarding what is allowed and what is taboo. A couple of your local practitioner members of your workgroup could gather that information for you.

TASK 7A

TASK 7A. List the allowable expenditures described in the legislation and in the state plan. Note any priorities as well as specified prohibitions.

TASK 7B

TASK 7B. Using the list from 7A, ask two of the practitioners on your working group to interview local units of the potential partner agency to gather insights into common practices, priorities, and prohibitions.

Notes

TASK 8
Understanding how to meet the reporting requirements for you and the partner

There are two important issues related to reporting requirements:

1. Nearly every local program of any kind has to report data to the state office. Some of the data will duplicate your data requirements; some will be unique to your partner. The last "bilingual-bicultural" component involves understanding what your partner's local affiliates must report. You do not have to do a lot with this information except to make sure the relationship you develop 1) does not complicate this reporting system and, if possible 2) contributes to meeting that requirement. Again, gathering this information may be a good job for a couple practitioner members of your workgroup.

2. The second issue is the "taking credit" issue. Potentially, each of the two partners is taking credit for the same student/client being successful. "Success" may be measured differently by each partner. However, it may be the same. In these days when economic development pervades government programs, many of us have "got a job" or "kept a job" as a performance indicator, for example. If you successfully collaborate with a WIA Title I program to provide basic skills to complement the occupational training, who reports that their client "got a job" as a result of the program?

TASK 8A

TASK 8A. Obtain, study, and understand your partner's local reporting requirements. The information may be gathered by a couple of the practitioner members of your working group.

TASK 8B

TASK 8B. Develop options for reporting student/client success on like performance standards.

1. Search the state for local programs that have already developed local partnerships and consider procedures they have developed.

2. Contact NAEPDC to identify states that have already broached this issue and consider the procedures they have developed.

3. Prepare an issue paper for discussion with your state partner during your second or third planning meeting.

Notes

TASK 9
Understanding your state's fiscal procedures for interagency transfer of funds

One of the challenges to coordinated funding streams is understanding what your state allows for interagency fund transfers. After all, coordinating funding streams may mean pulling funds from another agency through your budget to fund services of mutual interest and benefit. Of course, the converse is also true. You may designate funds to be transferred to another agency. In addition, the relationship may be with another unit within your own agency. In either case, meandering the maze of interagency or intra-agency transfer is essential.

There are two common sources for answers to the puzzle: your finance office and existing interagency agreements. It is not necessary to tell you that the "keepers of the keys" in your agency—your finance office—are serious people. Rarely do they whimsically agree to go out on a limb. You need to convey to them that:

1) the learners will benefit from your coordinated funding stream project, and
2) you are taking your role seriously regarding assurances that all regulations will be met for each partner agency.

YOU MIGHT EVEN SHOW THEM THIS BOOK TO REINFORCE HOW METHODICALLY AND SERIOUSLY YOU ARE APPROACHING THIS COMPLEX BUT WORTHY FINANCIAL ARRANGEMENT.

In some cases, agencies simply transfer funds from one agency to another. In others, an agency commits funds to the project and reimburses the managing agency based on documentation required in the interagency agreement. Either procedure works, but be sure to ask which the finance office uses or prefers.

You will want to get three pieces of information from the finance office:

1) interagency transfer forms and procedures (are these used across agencies or does each agency have its own?),
2) names of others in your agency who have or have had interagency relationships, and
3) the names of your finance person's colleagues in the potential partner agency along with any history of interagency receptiveness on their part.

Study the forms and understand the requirements of each. Interview your colleagues who have managed interagency relationships to determine pitfalls, shortcuts, lessons learned, advice, and warnings.

TASK 9A

TASK 9A. Meet with your finance office (take your boss if you need to) to present your plan to better meet learner needs. Show them examples of 1) local programs that you have found that are already collaborating and 2) other states that have developed such relationships.

Show them the results of your work in TASKs 1-8 so they realize you are taking this role seriously and are not flying by the seat of your pants.

Seek from them:

1) forms, written procedures, and history of practice regarding interagency relationships;
2) names of colleagues in your agency who have managed successful interagency relationships;
3) names of budget colleagues in the partner agency, advise on how to approach them, their receptivity to collaboration, and other advice; and
4) advice on when you need to confer again as the project progresses (in other words, how involved does your finance office want to be—do not be surprised if their information needs are frequent in the beginning but wane as they see you know what you are doing. You want their advice often anyway because you want to make sure this thing is working well early on.)

If your boss does not go with you, brief her or him as soon as possible regarding your discussions with the finance staff.

Notes

TASK 10 Understanding how to draft an interagency agreement

You do a lot of contracts and state plans so an inter- or intra-agency agreement is not that different. It simply designates who does what.

Here is where your boss comes in handy. He or she can find copies of previous documents for you to review.

(While this publication focuses on agreements in which actual funds are coordinated to provide expanded services, some partnerships may result in the exchange or coordination of existing services that do not necessarily require additional funding. For example, a partnering agency may want to access staff training that you are providing. In either case, it is a good idea to have a written agreement; even it is only a brief letter, that clearly outlines the parameters of the service.)

NOTE: The finance office keeps copies of the interagency agreements in their contract file because that agreement specifies who pays for what under which circumstances.

Your state may have a standard interagency agreement format. If not, a standard contract that specifies the scope of work, expected outcomes, the responsibilities of all parties, costs for all parties, time lines, and when payment is made under which conditions is useful. For some legislation, such as the Workforce Investment Act, guidance is distributed from the federal offices regarding the recommended content of interagency agreements. Be sure to check with your partner to find out if such guidance is available.

It is worth obtaining copies that other states have developed, particularly ones with the same or similar partner agency. A sample state-level interagency agreement between adult education and human services is contained on the next pages. You can also review helpful information about local agreements at http://www.able.state.pa.us/able/lib/able/policyworkforce02-03.pdf.

TASK 10A

TASK 10A. Obtain copies of existing interagency agreements from 1) your agency and 2) other states (contact NAEPDC for leads).

Notes

Sample Statement of Work

Interagency Agreement between Departments of Education and Human Services

1.01 Description of Programs and Services

The XXX Department of Education will provide two programs subject to the terms and conditions set forth in this contract:

$ Classes for academic and work-based learning instruction, including *Hit the Ground Running;* and

$ Assessment services for TANF customers.

Exhibit A provides a description of these programs and related services and is divided into three components:

1.01A Program Descriptions
1.01B Provider Responsibilities
1.01C Office Responsibilities

1.01A PROGRAM DESCRIPTIONS

<u>Classes for Academic and Work-Based Learning Instruction</u>

1. The Provider will serve up to 1500 TANF customers in classes, as funding permits. Location and hours of the classes will be mutually agreed upon by the Office and Provider.
2. The Provider will deliver twenty-five (25) hours per week of instruction and five (5) hours for combined teacher preparation and scheduled customer make-up for a total of thirty (30) hours per week.
3. The Provider will utilize a work-based curriculum that includes the following four components:
   A. academic remediation and review to prepare customers for the General Educational Development (GED) test, entrance into postsecondary education or job training programs, or employment opportunities. Instructional areas will include reading, writing, listening, speaking, math, social studies, science, literature, problem solving, critical thinking, and study skills;
   B. job readiness including career exploration, goal setting, employer expectations, job search strategies, application and resume preparation, interviewing skills, career advancement, and rights and responsibilities of the employer and employee;
   C. personal management skills including conflict resolution, teambuilding, stress management, legal rights and procedures, time and money management;
   D. computer literacy including introduction to computers, word processing, and internet/e-mail.
4. The Provider will work cooperatively with the Office in developing and implementing a program of study checklist for use by the Office in selecting the specific instructional program or individual components needed by each customer being referred to any Adult Basic Education program.
5. The Provider will work cooperatively with the Office to establish class schedules that provide designated timeframes for the job readiness component in order to maximize customer referral for that component.
6. The Provider will deliver individualized and small group tutoring to customers functioning at low literacy levels in counties identified by the Office. The Provider will

work cooperatively with the state offices of Literacy Volunteers and Laubach Literacy to employ trained literacy tutors in the designated locations.

7. The Provider will work cooperatively with the Office to identify vocational education programs, community service programs, and work experience to promote dual enrollment in Adult Basic Education classes and the aforementioned activities.
8. In addition, the Provider will work cooperatively with the Office in scheduling a minimum of ten (10) specialized, short-term job readiness classes entitled *Hit the Ground Running.* These classes will consist of 120 hours of instruction during a four-week period. Course instruction will include conflict resolution; job search; interviewing skills; teambuilding; problem solving; workplace safety; positive work habits; applied math; communication and reading skills for the workplace; employee and employer expectations, computer literacy, and other related topics.
9. The Provider will develop and issue *Ready to Work* certificates for customers who successfully complete the *Hit the Ground Running* program with the following performance criteria: (1) perfect attendance at each of the 20 class sessions; (2) punctuality for each session; (3) a minimum score of Level 4 on each of the three Work Keys8 assessments: Applied Mathematics, Reading for Information, and Locating Information; (4) a minimum of 80% on the post-test for each class session; and (5) successful completion of a job application, resume, cover letter, and mock interview.
10. The Provider will provide annual documentation of the program=s ability to meet specified performance standards related to customer achievement. The standards will address the percentage of customers achieving specified learning gains, obtaining and/or maintaining employment, enrolling in postsecondary education, and earning a high school diploma or its equivalent.
11. The Provider will maintain an open entry/open exit policy as determined by individual customer need.
12. The Provider will administer the General Educational Development (GED) test and pay corresponding fees for eligible TANF customers through this agreement budget.
13. The Provider will offer the External Diploma Program (EDP) to up to ten (10) TANF customers referred by local Office staff. EDP fees will be invoiced through this Agreement.
14. The Provider will contact local volunteer literacy providers, where available, to secure a reading tutor for TANF customers performing below grade 5.0.
15. The Provider will furnish to the local Office staff a class schedule one month in advance and inform the Office of any adjustments that may occur. The Provider agrees to furnish attendance and progress reports in the manner and on forms agreed to by the Office.
16. The Provider will submit quarterly reports in the manner and forms as directed by the Office.

<u>Assessment Services</u>

1. The Provider will administer an academic assessment for up to 7500 customers referred for ABE/TANF classes and group assessment to determine appropriate placement in work or educational activities.
2. The Provider will administer a Special Learning Needs Screening to appropriate TANF customers to identify individuals in need of referral to appropriate services, such as hearing, vision, and dental exams; psychological assessment for learning disabilities; or Adult Basic Education classes.

3. The Provider will administer the WorkKeys assessment to match skill levels with specific jobs for up to 600 TANF customers referred by local Office staff.
4. The Provider will administer career interest and aptitude assessments if and as specified by the Office for up to 600 TANF customers referred by local Office staff.
5. The Provider will utilize assessment staff to provide GED testing for TANF customers when an emergency situation occurs in which regularly-scheduled GED testing is not available in a timeframe sufficient to meet pending employment or post-secondary entrance opportunities.
6. Quarterly reports will be submitted in accordance with the Office requirements.

1.01B PROVIDER RESPONSIBILITIES

1. The Provider guarantees the presence of qualified personnel to cover all activities at each site. The Provider agrees to provide supervision and monitoring of teachers and staff for each site.
2. The Provider agrees to develop and implement an improvement plan when ineffective classroom procedures have been observed and documented by either Office and/or Provider monitors or staff.
3. The Provider agrees to coordinate activities with the Office staff which includes notifying local Office staff when customers are absent two consecutive days and immediately when a customer fails to participate.
4. The Provider agrees to notify local Office staff when an individual is experiencing problems which might jeopardize participation.
5. The Provider agrees to notify local Office staff when a customer has other education or training deficiencies which preclude successful completion of a Provider activity.
6. The Provider agrees to participate in case staffing meetings, providing a summary of student competencies and making recommendations to Office staff concerning future placement of an individual in appropriate training and/or work-based/site learning activities, advanced educational activities or employment.
7. The Provider agrees to maintain customer records that document attendance, satisfactory progress, results of assessments, and the release of information form for each participant in a manner and on forms agreed to by the Office.
8. The Provider shall report attendance and progress for each customer to the local Office staff no later than the 5th working day of the month following the report month.
9. The Provider agrees that the current State of West Virginia's Travel Regulations will govern reimbursement for travel and travel related expenses.
10. The Provider agrees to furnish documentation for issues which are conciliated through the Office's conciliation process. Provider staff may be required to attend the conciliation conference.
11. The Provider may terminate the placement of any customer who does not cooperate in the program, after allowing the customer a reasonable opportunity to adjust to or improve in performance and after consultation with the Office. The Provider may immediately terminate the services of any student for gross misconduct and notify the Office, in writing, stating the specific reasons. Teachers will adhere to local county boards of education policy regarding customer termination or suspension.

1.01C OFFICE RESPONSIBILITIES

1. The Office agrees to determine appropriate customers through the completion of assessment and the Personal Responsibility Contract processes and refer certain TANF customers to the Provider.
2. The Office agrees to determine and make payments to TANF customers for transportation and other appropriate supportive services to enable them to participate in Provider activities.
3. The Office agrees to refer customers to appropriate local childcare staff so that child care arrangements can be established prior to the first day of participation in Provider activities.
4. The Office agrees to provide local office representatives to chair case staffing meetings.
5. The Office's staff agrees to work closely with the Provider's staff to ensure customer participation in Provider activities.
6. The Office agrees to administer the conciliation process for customers who request a problem be mediated or who fail to participate.
7. The Office shall be responsible for furnishing the Provider with pertinent information regarding the provisions of law, rules and regulations affecting the administration of the TANF program, and shall inform the Provider of all pertinent policies and instructions.
8. The Office agrees to inform the Provider, with a written request, forty-five (45) days prior to any class closure or suspension.
9. The Office understands that a minimum of a fifth grade reading level is recommended for potential Hit the Ground Running participants.
10. The Office understands that TANF staff will attend a one-day orientation with potential participants in the Hit the Ground program hosted by the Job Placement Mentors so that they can answer questions about TANF policy issues that customers may have. Scheduling the orientation will be by mutual agreement between the local office and the Provider.
11. The Office and the local office may monitor these activities.

TASK 11 Understanding how to attribute appropriate costs to each partner

A part of the financial agreement includes attributing all costs to one of the partners, making sure that each is an allowable expenditure for the partner, and that all costs are covered. Section 222 of the Adult Education and Family Literacy Act outlines the breakdown of allowable costs for adult education funds. In addition, the June 1, 1999 Program Memorandum 99-14 issued by the U.S. Office of Vocational and Adult Education provides guidance on the allowable use of adult education funds within the One Stop system. You can access the memo at http://www.ed.gov/offices/OVAE/AdultEd/adult1stop.html

Even if your current budget and capacity are stretched to the limit, there are several ways in which you can show that adult education can be a meaningful partner financially. Below are some of the items you need to consider in a state-level partnership budget.

Administrative Costs:
If you are going to implement a coordinated project that will require substantial development and oversight work, be sure that you assess your administrative capacity to do so. There are two ways that you can approach the administrative costs of a coordinated effort.

If you or another staff member will be directly overseeing the operation of the project as a regular responsibility of your job, then the percent of time dedicated to the project can be shown as one of your financial in-kind contributions. Don't forget to include associated costs, such as your clerical support, as part of that contribution.

If your current staff capacity is limited, this may be one cost that you build into your partner's budget. Build in funds for additional staff or contracted services. Don't forget to allow for fringe benefits, if applicable, and necessary support services, such as rent, supplies, telephone, etc. Most federal programs have a limit on administrative costs, so if you're going to build them into your partner's funds, be sure to know what that limit is.

Program Costs:
You will also need to assess your capacity to provide the necessary program costs. Since adult education instruction is a major part of your contribution, you will want to show that you can contribute meaningful resources to the joint endeavor. These may be additional adult education funds that you bring to the table or existing services that can accommodate the goals

of the project. When showing in-kind contributions, be sure to include all associated program costs, such as teacher salaries, instructional materials, technology, curriculum, facilities, local management and clerical costs and staff training.

As you assess the anticipated program costs, think about these questions:

- What types of services does the project involve that are appropriate for your agency to provide?
- Of those services, which ones can you provide through your current funding and capacity?
- Will the project necessitate any development work, such as new curriculum or teacher training modules for which state leadership funds might be necessary? If so, how much would those areas cost?
- Whether using existing teachers or hiring additional ones, will teachers need specialized training prior to initiating the project?
- How will you communicate this new initiative to the local programs? Will there be costs involved ?
- What type of local program management and monitoring processes need to be in place for the project? Do you have existing staff who can provide these services?
- Will there be additional instructional costs related to learning materials, supplies, technology, facility rental, etc.?

As you determine the answers to these questions, you will begin to get an idea of what services you can provide through your program and what services may require assistance from your partner.

Supportive Services:
One of the advantages of a coordinated project is that it often provides additional support services for adult learners that any one agency alone does not have the capacity to provide. For example, coordinated projects with your Department of Human Services can result in a variety of TANF support services, such as assistance with transportation, child care, clothing, and test fees. Don't forget to include any support services that your agency currently provides.

✐**TASK 11A**

Notes

TASK 11A. Develop a model budget for attributing all costs to all parties. Have that ready for presentation and revision during your discussions with your partners.

TASK 12
Understanding how to identify the key personnel in the potential partner agency

As you are no doubt aware, adult education historically has been hampered by what Burton Clark (1958) called the marginality of adult education. Generally speaking, adult education is sometimes marginal in the life of its host (e.g., Department of Education, Department of Community Colleges. Department of Labor). The mission of the host agency is not adult literacy. Therefore, adult education may have little status or rank in the agency.

These statements are not meant to be complaints, but rather a historical conceptualization of adult education's place in organizations. These statements also acknowledge the difficulty an adult education state administrator has in leveraging an audience with policy makers in his/her own agency, much less in other state agencies.

"So the first step in identifying key personnel in a potential partner agency is to believe that they want to be identified—because they do."

Once acknowledged and accepted, we can go on and determine how to identify and access colleagues in other agencies.

A second assumption relates to those colleagues in other agencies. Often those colleagues are really good people who, like you, are devoted to delivering the best services possible for their clients. When you come to them with a solid, well-planned idea that provides better service to your mutual clients, they are going to listen and want to participate. When you show them how to navigate the interagency workings of state government to coordinate the funds to improve services, they are going to be relieved. When you show them how the collaboration can help them meet their performance standards, they are going to be anxious to move the project along.

Imagine if someone from another agency came into your office with a solid, well-constructed plan to improve services to adults that effectively brought two sources of money together and helped you meet your NRS standards. Would you not be interested?

So the first step in identifying key personnel in a potential partner agency is to believe that they want to be identified—because they do.

"Who do you know" is the second step. As mentioned earlier, one state staff person was in Sunday School class with the Social Services Director of Family Services. Send an email through your agency asking if anyone knows someone who works in the target agency.

Local model collaborators are another option. Earlier we used existing local collaborations like those we wanted to develop statewide as a source of information. Use that local collaboration again. Ask the staff of that local program partnering with adult education who their contact person is in their state office—that state office person has probably encouraged that collaboration and will be a likely supporter in the other agency. He or she will be able to tell you who the key person is that you need to contact. And with a little provocation, that field person may be willing to make the introduction, meet with you the first time, and advocate for the relationship.

Cold Call—Let's do lunch: If you cannot develop a personal connection, the cold call is an option. Call the main number for the agency, ask who is in charge of the xxx program, give them a call and invite them to lunch.

TASK 12A

BRIEF YOUR BOSS BEFORE YOU GO.

TASK 12A. Determine the most effective option for identifying the key personnel in the potential partner agency and make an appointment to meet with them.

✐ **Notes**

TASK 13 Understanding how to approach and sell the concept to key personnel

Now that you have identified a point of contact, how do you approach her or him and sell the concept? Put yourself in their place. What would you want to know if you got the call? “What’s in it for me?” is a good starting point. How will it improve services? Is it going to complicate my life? What is in it for the people who are calling? How much is it going to cost me?

The first presentation of the concept should be simple. Focus on the learners/clients—what needs do they have that are not being met or that are being met inefficiently due to separated services? Delineate the contributions of each partner. Provide specific models (e.g., local partnerships or other state models).

Pose the question: Would you be interested in exploring the possibilities of an interagency partnership on a pilot basis to see if we can work together to better meet the needs of these mutual clients?

Be sure to stress that adult education doesn’t intend to take another agency’s “turf.” By working together, each partner can enhance the services of the other.

The pages that follow contain two similar briefs: one in which you have funds to commit and want to share costs and one in which you are looking for the partner to provide all of the funds.

TASK 13A

TASK 13A. Based on your research, develop a one-page brief (see models attached) as an introduction for your partner.

TASK 13B

TASK 13B. Send him or her a copy to review prior to your first meeting.

TASK 13C

TASK 13C. Have your first discussion informally. Listen and note his or her concerns. Have ready details on the local or other state models.

TASK 13D. To help your partner talk with his/her boss about

✐TASK 13D

the idea after your meeting, develop a timetable for 1) obtaining support and commitment form each of the agencies for the pilots, 2) creating the working group, 3) piloting to develop the model and options, and 4) going to scale.

SAMPLE #1: IF YOU ARE SHARING COSTS

SAMPLE ONE PAGE BRIEF IF YOU ARE SHARING COSTS:

The Need: #### adults need to be able to do xxxxx. To do that they need basic skills, and xxxxx. (You know the target population matches from TASK 6.)

ABE: Our job is to provide basic skills for adults. We design individualized learning plans to help each adult meet his or her needs. We customize basic skills to help adults keep their jobs, get their first job, help their kids with homework, ….. We can customize a basic skills program to meet the individual needs of these adults.

We have highly-trained instructional staff who are well-equipped to meet the educational needs of your clients.

Our performance indicators include basic skills, improvement, job attainment (and whatever else matches the proposed partnership)

XXX Agency: Your job is to provide ……… (You know this from your research in TASKs 2-6.)

Your performance indicators include ……(Whichever ones match from your research on TASK 5)

ABE has the funds to pay for ……..

XXX Agency has the funds to pay for ……..

Would you be interested in exploring the possibilities of an interagency partnership on a pilot basis to see if we can work together to better meet the needs of these mutual clients?

There are local examples of where this partnership is working.
Brief results: They found that ……

There are examples from other states where this partnership is working.

Brief results: They found that ……

If you are interested, I will need to go back and talk with my boss and you will too. So could we develop a timetable for obtaining support and commitment form each of the agencies for the pilots, creating the working group, piloting to develop the model and options to meet the varying needs around the state, and going to scale? Is there other information your boss would want to know?

SAMPLE #2: IF YOU ARE SEEKING ALL OF THE COSTS

SAMPLE ONE PAGE BRIEF IF YOU ARE SEEKING ALL OF THE COSTS:

The Need: #### adults need to be able to do xxxxx. To do that they need basic skills, and xxxxx. (You know the target population matches from TASK 6.)

ABE: Our job is to provide basic skills for adults. We design individualized learning plans to help each adult meet his or her needs. We customize basic skills to help adults keep their jobs, get their first job, help their kids with homework, ….. We can customize a basic skills program to meet the individual needs of these adults.

We have highly-trained instructional staff who are well-equipped to meet the educational needs of your clients.

Our performance indicators include basic skills, improvement, job attainment (and what ever else matches the proposed partnership).

XXX Agency: Your job is to provide ……… (You know this from your research in TASKs 2-6)

Your performance indicators include ……(Whichever ones match from your research on TASK 5)

We have the expertise to help you achieve your performance standards.

Would you be interested in exploring the possibilities of an interagency partnership on a pilot basis to see if we can work together to better meet the needs of these mutual clients?

There are local examples of where this partnership is working.
Brief results: They found that ……

There are examples from other states where this partnership is working.

Brief results: They found that ……

If you are interested, I will need to go back and talk with my boss and you will too. So could we develop a timetable for obtaining support and commitment form each of the agencies for the pilots, creating the working group, piloting to develop the model and options to meet the varying needs around the state, and going to scale? Is there other information you boss would want to know?

Notes

SAMPLE FIRST MEETING AGENDA

SAMPLE MEETING AGENDA FOR TASK 13 C

1. Introductions
2. Review the draft brief (sent ahead of time)
3. Do we have enough information to continue?
4. If no,
    a. What other information do we need before we can continue discussions?
    b. Develop a time line and responsibilities for gathering and distributing that information,
    c. setting next meeting time and place.
5. If yes,
    a. sketch a timetable for
        i. obtaining each agency's support
        ii. the workgroup's development and meetings
        iii. pilot testing
        iv. going to scale
    b. prepare presentations for respective bosses
    c. develop a process for responding to bosses' information needs
    d. determine representation on the workgroup
6. Set time for next meeting

TASK 14
Understanding how to get agency head approval from your agency and the partner agency

If you briefed your boss before you went, you can now follow up and let her/him know how it went. You have the brief that you prepared and can adjust depending on your discussion with your potential partner.

Ask your boss to obtain approval for you to proceed because money is going to be changing hands, someone with fiscal authority is going to be asked to sign an interagency agreement, and you do not want that request to be a surprise.

If you do not have a process for such approvals, a sample on the next page is given for your consideration.

Attach a copy of the Brief which will help everyone up the chain understand your initiative.

TASK 14A

TASK 14A. Obtain approval to proceed from CEO or approval point. Ask your partner to do the same.

TASK 14B

TASK 14B. Call your partner agency colleague to report how your discussion went with your boss and inquire as to how hers/his went.

MEMORANDUM

TASK 14A
Sample

TO: (person of signature authority)

VIA: (chain of command)

SUBJECT: Possible interagency agreement

DATE:

adult Coloradians have ____________(these needs)_______ that are not being met. By coordinating services with _____(agency)_____ we could better meet those needs.

I have been exploring the possibility of developing an interagency initiative with ____________(person's name and position) _____ in _______(agency name)____. He (or she) is receptive to discussing the possibilities and is seeking a commitment from (his/her) agency head to proceed.

I, likewise, would like your support to continue to explore and develop the collaborative arrangement outlined in the attached brief.

✎ Notes

I have discussed the options with the finance office. With your approval to proceed, we will develop an interagency agreement that specifies all elements of the relationship. You and the ______(partner agency) agency head will need to sign the interagency agreement for it to take effect.

This collaborative arrangement promises to enable each agency to be more effective in meeting the needs of the ###### undereducated adult Coloradians who want to ______(what ever the purpose of the collaboration is)_____>

Thank you for your continued support. I appreciate your consideration of this request. If I may proceed to explore this collaboration, please authorize below.

____
signature

____
date

attachment: Copy of Brief

TASK 15
Establishing an interagency practitioner workgroup to advise the state agencies

Refer to the NAEPDC publication entitled “Going to Scale” for details on developing a workgroup to guide pilot testing.

Generally, you and your partner colleague would identify the categories of practitioners you want to serve on the workgroup. You should already have a knowledgeable group in the working group you have been using to develop the background for this collaborative.

Each of you should develop a budget to support the meeting and conference calls of the working group.

Once established, the working group can help design the components of the interagency agreement, identify funding needs, develop design of the pilots, analyze the data from the pilots, adjust the model, identify options for various sections of the state, and prepare the field for the scaling up.

TASK 15A

TASK 15A. Review the NAEPDC publication, “Going to Scale” for guidance regarding establishing a workgroup to guide pilot testing and scaling up.

TASK 15B

TASK 15B. Convene the Partnership Workgroup. Prior to the meeting, send each a copy of NAEPDC’s *Going to Scale* or your adapted version of those guidelines.

Notes

TASK 16
Finalizing the interagency agreement

In TASK 10, you developed your understanding of interagency agreements, got copies of existing agreements to use as models, and obtained standard formats, if your state has such. You studied how to specify the scope of work, outcomes, responsibilities of each partner, costs for each partner, time lines, and payment conditions.

Now is the time to take what you have learned, sit down with your partner, and draft this partnership agreement that specifies all of the arrangements. You and your partner will take the draft to 1) your respective finance/business offices and, if necessary, 2) to your legal departments for review. Be sure to let your boss know what you are doing.

Once those hurdles have been cleared, and any amendments agreed upon, produce the final format of the agreement. You OR your partner begins the process by sending the final agreement up the chain of command. If you have done TASK 14A, send a copy of the signed CEO approval along with your transmittal memo. Also attach the review from the business office and legal department so your chain of command and CEO know you have covered all the critical bases.

Once the first CEO signs, repeat the process within the other agency.

CONGRATULATIONS!!! You have a duly executed memorandum of agreement. Take a moment to reflect on your accomplishments. Then, move on to the next TASK where the real work begins.

TASK 16A

TASK 16 A. Develop the draft agreement with your partner and run it by each of your finance offices and legal departments.

TASK 16 B. Develop the final agreement for CEOs' signatures.

Notes

Celebrate!!!

TASK 17 Reporting to meet the partner's needs

A key component that usually requires special attention, and is thus given its own TASK, is the critical need to ensure that the pilots develop a way for each partner to meet its reporting requirements.

If each partner uses an electronic data system, the process becomes complicated. Usually, those customized data systems are not interchangeable and do not readily share data. The hope is not to enter the demographic data twice.

Be prepared for this complication. We wish there was an easy answer, but there is not. Just be prepared to focus significant attention here and minimize as much as possible the time requirements for the local practitioners.

It may be necessary to dedicate funds for data entry to relieve the teachers from double entry requirements.

TASK 17A

TASK 17A. Recognize the necessity to ensure that each partner gets the data it needs and minimizes the impact on the local instructional staff. Use your pilot sites to work out the details.

✐ **Notes**

TASK 18
Pilot-testing the coordinated delivery

You have identified some models from other states or from innovative local programs. With those as a base, you can set up one or two pilot sites to create the (1) models and (2) support services that will be needed to scale up the initiative.

Review the NAEPDC publication "Going to Scale" for the procedures to ensure a successful pilot.

TASK 18A

TASK 18A. Review "Going to Scale."

TASK 18B

TASK 18B. Following the procedures in "Going to Scale," complete your pilots creating your models and identifying the support system needs.

Notes

TASK 19
Going to Scale

"Going to Scale" refers to the process of expanding a piloted process statewide. Refer to the NAEPDC publication entitled "Going to Scale" for the steps in this process.

TASK 19A

TASK 19A. Go to Scale.

Notes

TASK 20
Celebrating success and giving credit

It is always appropriate to celebrate when a project is successfully completed.

TASK 20A

TASK 20A. Refer to the “Going to Scale” publication for ideas on celebrating success! Acknowledge the key players in each partner agency.

SUMMARY

Undereducated adults have multiple needs. A variety of agencies are sincerely trying to meet those needs—often in isolation from each other.

It takes a little work, but when you can bring complementary services together, everyone benefits:

- the adult student/client because two complementary services are in one place,
- the collaborating agencies because each is more successful and responsive when partnering,
- adult education because you establish adult education as a leader in state government, and adult education rarely gets to take the lead, and
- you because by doing what every state employee dreams of doing, you demonstrate skills that enhance your personal status in your organization, increase your employability in your current agency, and demonstrate your qualifications for higher policy roles in state government.

Coordinated funding streams is a win, win, win, win opportunity.

Our best wishes as you successfully negotiate the inter-workings of state government. We are standing by if you need our help.

Lennox L. McLendon
Kathi Polis
Garrett Murphy

Appendix A

Garrett Murphy

SOURCES OF FEDERAL FUNDING THAT MAY PROVIDE DOLLARS OR OTHER SUPPORT FOR ADULT EDUCATION AND FAMILY LITERACY

Up-to-date information can be found at www.naepdc.org/resources (This compilation contains 2002 programs that might provide additional funds for adult education and literacy. Obviously there are many other programs – too numerous to list here – that could not provide dollars for instruction but could provide needed support services, and for which an interagency agreement might be executed.

Even Start

U.S. Department of Education

Even Start

Enabling Legislation

Enabling Legislation: Elementary and Secondary Education Act, Title I, Part B.

Purpose

Purpose: Support family literacy projects that integrate early childhood education, adult literacy or basic education, and parenting education for families with parents who are eligible for services under the Adult Education and Family Literacy Act, or who are within the compulsory school attendance age range, and their children from birth to age 7.

Funding

Funding: $250 million. Formula funding to State education agencies who may award subgrants to partnerships between one or more LEA's and one or more public or private non-profit organizations.

Target Population

Target Population: Parents who are eligible for AEFLA or who are within the State's compulsory school attendance age range and the child or children of such parents up through age 7. Also other family members in certain circumstances and children 8 years of age or older if the program is partially supported by Reading First or Early Reading First monies.

Allowable Expenditures

Allowable Expenditures: SEA's are allowed to reserve 6% for administration and technical assistance (with administration not to exceed one half of the reservation). Local programs may expend funds to identify and recruit potential clients, conduct screening, arrange schedules and secure support services such as child care and transportation, and provide high quality, intensive instructional programs that promote adult literacy and empower parents to support the educational growth of their children, and provide developmentally appropriate early childhood educational services, and preparation of children for success in regular school programs.

Performance Indicators

Performance Indicators: For adults – learning gains, GED's, post program placements into jobs, promotions, institutions of higher education, job training or the military. For children – improvement in reading, school attendance, grade retention and promotion and others selected by the State.

Federal Contact

Federal Contact: Patricia McKee, Office of Elementary and Secondary Education, (202) 260-0826. Notes: *This Act incorporated all the amendments to Even Start contained in the preceding LIFT (Literacy Involving Families Together) Act that substantially raised the authorization level for Even Start, required State plans that encouraged LEA's to use part of their ESEA, Title I, Part A funds for family literacy, reserved an increased portion for migrant programs, Outlying Areas, and Indian tribes, provided the National Institute for Literacy with funds for family literacy research, required that funds be set aside for professional development, allowed certain children who are 8 years of age or older to participate, and eliminated the 8 year limitation for any subgrantee to receive funds. The Act also added a maintenance of effort provision.*

Prevention & Intervention Programs for Children and Youth

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

Enabling Legislation

Enabling Legislation: Elementary and Secondary Education Act, Title I, Part D, as amended.

Purpose

Purpose: Provide supplementary education services to help provide education continuity for children and youth in State-run institutions for juveniles, in adult correctional institutions, and in community day programs for neglected and delinquent children so that these youth can receive a secondary diploma via successful return to secondary school or to earn a recognized equivalent to a diploma and transition to employment once released from State institutions.

Funding

Funding: $48 million via formula grants to State education agencies who then make subgrants to designated State agencies and local educational agencies.

Target Population

Target Population: School-aged children in youth and adult correctional institutions (including community day programs for neglected and delinquent children or youth). Priority to be given to students within two years of release.

Allowable Expenditures

Allowable Expenditures: Subgrants may be made by the SEA to State agencies that operate correctional education programs and to local education agencies having a correctional institution within their boundaries. Funds may be used: to provide participants with the knowledge and skills needed to make a successful transition to secondary school completion (including both returning to regular schools or pursuing a GED), vocational or technical training, further education, or employment; and may include the acquisition of equipment. State agency operated programs must use between 15 and 30% of their grant for transition services. Programs operated by LEA's must use their funds to help incarcerated youth return to school, to operate dropout prevention programs in community day programs, coordinate health and social services, mount special programs to meet the unique academic needs of participants, and provide mentoring.

Performance Indicators

Performance Indicators: Learning gains, accrual of high school credits, transitions back to regular school, high school (or equivalency) diplomas, employment, and participation in postsecondary education or job training programs.

Federal Contact

Federal Contact: Office of Elementary and Secondary Education, (202) 260-0917. *Notes: Most children in correctional institutions are within the eligible age range for adult education. Most will not return to secondary school, opting instead to prepare for a high school equivalency diploma.*

Reading First

Enabling Legislation

Enabling Legislation: Elementary and Secondary Education Act (as amended by the "No Child Left Behind" amendments of 2002) Title I, Part B, Subpart 1.

Purpose

Purpose: Provide assistance to State education agencies and local education agencies with demonstrated needs in starting reading programs for grades K to 3 that are based on scientifically based reading research and to local private entities serving preschool aged children within the boundaries of an eligible LEA (such as a Head Start center, a child care program, or a family literacy program). Such entities may apply separately or in consortium with an eligible LEA.

Funding

Funding: $705 million with an additional 195 million assured for 2003.

Target Population

Target Population: (1) K-3 students in schools with highest percentages of students below grade level in reading. (2) Teachers of such students.

Allowable Expenditures

Allowable Expenditures: SEA's may reserve as much as 20% for State purposes. Not more than 65% of that reservation must be used for pre- and in-service professional development for teachers. Not more than 25% may be spent on technical assistance. Not more than 10% may be spent on administration, planning and reporting. At least 80% of the State's grant that must go to local agencies or consortia. "Required Uses" of funds include: selecting and administering screening diagnostic and classroom-based reading assessments; selecting and implementing a learning system or program of reading that is based on scientifically based reading research; procuring and implementing instructional materials, including technology; providing professional development; reporting data for all students; and promoting reading and library programs. There is also a category entitled "Additional Uses". Family literacy is listed under that category.

Performance Indicators

Performance Indicators: Schools will be evaluated on the math and reading achievement of (1) economically disadvantaged students, (2) major racial groups, (3) students with disabilities and (4) those with limited proficiency in English. Federal Contact: ________________ *Notes: Information dissemination for Reading First and Early Reading First is made the responsibility of the National Institute for Literacy and is supported by a $5 million reservation.*

Early Reading First
Enabling Legislation

Early Reading First

Enabling Legislation: Elementary and Secondary Education Act, (as amended by the "No Child Left Behind" amendments of 2002) Title I, Part B, Subpart 2.

Purpose

Purpose: Support local efforts to enhance the early language, literacy, and prereading development of preschool age children; provide these children with cognitive learning opportunities in high quality language and literature environments; demonstrate language and literacy activities based on sound scientifically based reading research that supports a phonics-based approach; use screening assessments effectively to identify at-risk children; integrate such scientific reading research-based materials and activities into existing programs of preschools, child care agencies and family literacy services.

Funding

Funding: $75 million.

Target Population

Target Population: Preschool aged children, especially those from low income families.

Allowable Expenditures

Allowable Expenditures: The Secretary may make direct grants to eligible applicants to (1) provide preschool age children with high quality oral language and literature-rich environments; (2) to provide professional development that is based on scientifically based reading research that will assist children to recognize the letters of the alphabet, to acquire an expanding reading vocabulary, to understand sound-symbol relationships, to improve spoken language, and to learn the purposes and conventions of print; (3) to identify and provide activities that are based upon scientifically based reading research; (4) to acquire, and provide training for implementing, assessments based on scientifically based reading research; and (5) to integrate all of the above.

Performance Indicators

Performance Indicators: Improvement of pre-reading skills; effectiveness of professional development, particularly that provided to early childhood teachers; identification of effective practices and how pre-reading instructional materials and literacy activities based on scientifically based reading research is being integrated into preschools, child care agencies and programs, and programs carried out under Head Start and family literacy programs.

Federal Contact

Federal Contact: ________________

21st Century Community Learning Centers

21st Century Community Learning Centers

Enabling Legislation

Enabling Legislation: Elementary Education and Secondary Education Act of 1965, as amended, Title IV, Part B.

Purpose

Purpose: Grants may support after school and summer academic enrichment and other complementary services for school aged children (particularly those in low performing schools), and offer "families of students served by community learning centers opportunities for literacy and related educational development."

Funding

Funding: $1 billion administered at the Federal level to SEA's in proportion to their relative share of Title I, Part A, Subpart 2 funds.

Target Population

Target Population: (1) K-12 students who primarily attend schools eligible for schoolwide programs under Section 1114 of ESEA and (2) students in schools that serve a high percentage of students from low income families and, (3) the families of the students in both (1) and (2).

Allowable Expenditures

Allowable Expenditures: From its grant a State may reserve 5% of the grant for administration, monitoring, capacity building, evaluation, and training – of which no more than 2% may be spent on administration. 95% goes out to eligible applicants for grants from 3 to 5 years. Eligible applicants are LEA's, community based organizations, or other public or private entity or a consortium thereof. There is no requirement that an LEA be a member of an applicant consortium. Allowable activities for local programs are: (1) remedial education activities, (2) mathematics and science education activities, (3) arts and music education activities, (4) entrepreneurial education programs, (5) tutoring services, (6) language assistance for LEP students, (7) recreational activities, (8) telecommunications and technology education programs, (9) expanded library service hours, (10) programs that promote parental involvement and family literacy, (11) programs that provide assistance to students who have been truant, suspended, or expelled to allow the students to improve their academic achievement, and (12) drug and violence prevention programs, counseling programs, and character education programs.

Performance Indicators

Performance Indicators: States are required to propose a set of indicators in their State plans. The law specifies three (3) "Principles of Effectiveness" for evaluating activities: (1) Be based upon an assessment of objective data (2) Be based upon an established set of performance measures, and (3) if appropriate, be based upon scientifically based research that provides evidence that the program will help students meet State and local academic achievement standards.

Federal Contact

Federal Contact: Carol J. Mitchell or Amanda Clyburn, Office of Elementary and Secondary Education, (202) 260-3804. *Notes: In a recent evaluation of these Centers the typical overall number of students served by a school district's grant is 696, and an average of 248 adults is served by each grantee as well.*

Carl D. Perkins Vocational and Technical Education Act

Vocational/Technical Education

Carl D. Perkins Vocational and Technical Education Act

Enabling Legislation

Enabling Legislation: Carl D. Perkins Vocational and Technical Education Act of 1998, Public Law 103-332.

Purpose

Purpose: To develop more fully the academic, vocational and technical skills of secondary students and postsecondary students who elect to enroll in vocational and technical education.

Funding

Funding: $1.108 billion for the Basic State Grant Program administered by State Education agencies; $108 million for Tech Prep grants also administered by SEA's.

Target Population

Target Population**:** secondary and postsecondary students who elect to enroll in vocational and technical education programs.

Allowable Expenditures

Allowable Expenditures**:** At the state level, of the annual appropriation, not more that 5% may be retained for administration and 10% for leadership activities which include--assessment of the programs carried out in the state; developing, improving or expanding the use of technology in vocational and technical education; professional development programs for VTE, academic, guidance and administrative personnel; support for VTE programs that improve the academic and VTE skill of those students participating in programs; preparation for non traditional employment; support of partnerships among LEAs, higher education, adult education providers and other entities such as labor and parents to help students achieve high academic and VTE skills; service to students in state institutions, such as corrections and institutions that serve individuals with disabilities; and support for programs for special populations that lead to high skill, high wage careers. Remaining 85% must be distributed to locals.

Local Use of Funds: Required Uses

Local Use of Funds: Required Uses: Provide programs that are of sufficient size, scope and quality to be effective; strengthen the academic and vocational technical skills of students through the integration of academics and VTE courses through a coherent sequence of courses to ensure learning; provide all students with strong experience in understanding all aspects of an industry; develop, improve or expand the use of technology in VTE; provide professional development programs; develop and implement evaluations, including an assessment of how the needs of special populations are being met; initiate, improve, expand and modernize vocational and technical education; and link secondary and post secondary education.

Performance Indicators

Performance Indicators**:** Student attainment of challenging state established academic and vocational and technical skill level proficiencies; student attainment of a secondary diploma or its recognized equivalent, a proficiency credential in conjunction with a secondary school diploma or a post secondary degree or credential; placement in, retention and completion of secondary education or advance training, placement in military services or placement or retention in employment; and student participation and completion of VTE programs that lead to nontraditional training and employment.

Federal Contact

Federal Contact: Ronald Castaldi, Office of Vocational and Adult Education, (202) 205-9441. *Notes: The program also assists with the preparation for nontraditional training and employment as well as providing support for partnerships among local education agencies, institutions of higher education, adult education providers, and as appropriate other entities. Funding may be used for both degree creditable and certificated postsecondary programs while promoting the integration of academic, vocational and technical instruction.*

Indian, Native Hawaiian, and Alaskan Native Education

Indian Education

Indian Education

Enabling Legislation

Enabling Legislation: Elementary and Secondary Education Act, Title VII is called "Indian, Native Hawaiian, and Alaskan Native Education.
ESEA Part A, Sec.7101, *et seq.*, is Indian Education. Sec. 7136 deals with "Improvement of Educational Opportunities for Adult Indians."

Purpose

Purpose: Improve employment opportunities; provide basic literacy services and opportunities to earn a secondary diploma, or its recognized equivalent; support research and the conduct of surveys; and encourage dissemination of information about effective practices.

Funding

Funding: This activity shares an authorization of $24 million with a number of similar projects for Indian children's education. I have been unable to find its appropriation for the coming year.

Target Population

Target Population: Adult Indians (Native Americans).

Allowable Expenditures

Allowable Expenditures: The Secretary may make grants to SEA's, LEA's, and Indian tribes, institutions and organizations to support planning, pilot, and demonstration projects

Performance Indicators

Performance Indicators: None.

Native Hawaiian Education

Native Hawaiian Education

Enabling Legislation

ESEA Part B, Sec.7201, *et.seq*., is Native Hawaiian Education.

Purpose

Purpose: Provide direction and guidance to appropriate federal, State and local agencies to focus resources on Native Hawaiian education; supplement and expand existing programs in the area of education for Native Hawaiians; encourage the maximum participation of Native Hawaiians in planning and management of Native Hawaiian education programs.

Funding

Funding: Native Hawaiian education has an appropriation of $30,500,000 for FY 2002.

Target Population

Target Population: Native Hawaiians.

Allowable Expenditures

Allowable Expenditures: The Secretary is authorized to make grants to Native Hawaiian education organizations, Native Hawaiian community based organizations, experienced public and private nonprofit organizations, and consortia of the above. Sec.7205(a)(3)(H)(iii) permits operators of community based learning centers to conduct vocational and adult education programs. Sec. 7205(a)(3) cites as priorities the development of academic and vocational curricula to meet the needs of Native Hawaiian children and adults as well as family literacy services and "other activities, consistent with the purposes of this part, to meet the needs of educational needs of Native Hawaiian children and adults."

Performance Indicators

Performance Indicators: None.

Alaskan Native Education

Alaskan Native Education

Enabling Legislation

ESEA Part C, Sec.7301, *et seq.*, is Alaskan Native Education.

Purpose

Purpose: Recognize the unique educational needs of Alaska Natives; develop supplemental educational programs to benefit Alaska Natives.; provide direction and guidance to appropriate federal, State, and local agencies to focus resources on meeting the educational needs of Alaska Natives.

Funding

Funding: Part C is appropriated at $24 million for FY 2002.

Target Population

Target Population: Alaska Native children and adults.

Allowable Expenditures

Allowable Expenditures: Sec.7304(a)(2)(E) makes family literacy services a permissible activity. Sec.7304(a)(2)(G) does the same for research and data collection activities to determine the educational status and needs of Alaskan Native children and adults.

Federal Contact

Federal Contact: (for all three above programs) Cathie Martin (202) 260-1683

Vocational Rehabilitation

Vocational Rehabilitation

Enabling Legislation

Enabling Legislation The Rehabilitation Act of 1973 as amended by the Workforce Investment Act of 1998.

Purpose

Purpose Empower individuals with disabilities to maximize employment, economic self-sufficiency, independence and inclusion and integration into society through (A) State workforce investment systems, (B) independent living centers and services, (C) research, (D) training, (E) demonstration projects and, (F) the guarantee of equal opportunity.

Funding

Funding: $2.954 billion.

Target Population

Target Population: Persons with disabilities who need vocational rehabilitation to prepare for, secure, retain, or regain employment.

Allowable Expenditures

Allowable Expenditures: There are three types of services that States must provide that may be of interest to State directors of adult education. The first is Basic Vocational Rehabilitation Services. Such services include: assessment; counseling and guidance; referral to other needed services; job search, placement and retention services; vocational and other training services; last dollar funding of diagnosis and treatment of physical and mental impairments; maintenance while participating in assessment and while receiving services under an individualized plan for employment; transportation; on-the-job or other personal assistance services; interpreter services; rehabilitation teaching services and orientation and mobility services for individuals who are blind; occupational licenses, tools and equipment; technical assistance to conduct market analyses; rehabilitation technology, transition services; supported employment services; services to the family of a disabled individuals; and post employment services. The second is Employment Opportunities for Individuals with Disabilities. It supports projects with industry. Such projects are to create and expand job and career opportunities for individuals with disabilities by partnerships with private industry and labor unions. Grants may be used to identify employment opportunities and the skills necessary to take advantage of those opportunities, training in realistic settings, job development, modification of facilities and equipment, and support services. The third is Independent Living Centers for individuals with significant disabilities. These may be operated by State agencies or other eligible agencies. The applicant agency must describe the services intended to be provided.

Performance Indicators

Performance Indicators: These are identical to those of Title I of the Workforce Investment Act (below). The reason for placing Vocational Rehabilitation in the Workforce Investment Act was to better align rehabilitation with the Nation's workforce investment system.

Federal Contact

Federal Contact: U.S. Department of Education, OSERS, Rehabilitation Services Administration
400 Maryland Ave., S.W., Washington, DC 20202-2500 Phone (202) 966-3720.

U.S. DEPARTMENT OF AGRICULTURE

Food Stamp Employment Program

Food Stamp Employment Program

Enabling Legislation

Enabling Legislation: Food Stamp Act of 1977 as amended by the Balanced Budget Act of 1997.

Purpose

Purpose: Provide training and work activity to primarily able-bodied adults without dependents to help them become self sufficient.

Funding

Funding: $212 million for 100% reimbursed projects to State agencies administering Temporary Assistance to Needy Families (TANF). (States may get additional funds by matching them 50/50.) The State agency then suballocates funds to local social service districts.

Target Population

Target Population: Able-bodied adults without dependents.

Allowable Expenditures

Allowable Expenditures: Activities approved in the State's employment and training plan approved by the Secretary of Agriculture.

Performance Indicators

Performance Indicators: 1) The number of filled and offered workfare slots; 2) the number of filled and offered qualifying education and training slots; 3) the amount of Federal 100 percent E&T funding spent on workfare slots that meet the requirements of section 6(o)(2)(C) of the Food Stamp Act. 4) the amount of Federal 100 percent E&T funding spent on education and training slots that meet the requirements of section 6(o)(2)(B) of the Food Stamp Act.

Federal Contact

Federal Contact: Susan Carr Gossman, Acting Deputy Administrator, Food Stamp Program *Notes: 80% must be spent on able-bodied adults without dependents.*

U.S.DEPARTMENT OF HEALTH AND HUMAN SERVICES

Head Start

Head Start

Enabling Legislation

Enabling Legislation: Communities, Accountability, and Training and Educational Services Act of 1988, title I, Sections 101-119. The Head Start program is administered by the Head Start Bureau, the Administration on Children, Youth and Families (ACYF), Administration for Children and Families (ACF), Department of Health and Human Services (DHHS). Grants are awarded by the ACF Regional Offices and the Head Start Bureau's American Indian and Migrant Program Branches directly to local public agencies, private organizations, Indian Tribes and school systems for the purpose of operating Head Start programs at the community level.

Purpose

Purpose: To provide health, educational and social services to disadvantaged pre-school children and their families.

Funding

Funding: $6.538 billion is provided to public and private not for profit Head Start Agencies.

Target Population

Target Population: Children from birth to age five from families that meet the Federal poverty guidelines are eligible for Head Start services. Programs throughout the country establish priorities for enrolling children based on community needs and available funds.

Allowable Expenditures

Allowable Expenditures: Comprehensive and high quality services designed to foster healthy development in low-income children. Head Start grantees and delegate agencies provide a range of individualized services in the areas of education and early childhood development; medical, dental, and mental health; nutrition; and parent involvement. In addition, the entire range of Head Start services is responsive and appropriate to each child's and family's developmental, ethnic, cultural, and linguistic heritage and experience. The Head Start Bureau is initiating efforts to support all programs in implementing comprehensive family literacy services, defined in Head Start's recent legislation as (a) age-appropriate education services to prepare children for success in school and life experiences; (b) interactive literacy activities between parents and children; (c) training for parents in being the primary teacher for their children and full partners in the education of their children; and (d) parent literacy training that leads to economic self sufficiency. Such efforts may be supported by Head Start funds or through collaboration with other funding resources.

Performance Indicators

Performance Indicators: The Secretary has issued very comprehensive regulations in Section 1304 that establish performance standards and minimum requirements with respect to health, education, parent involvement, nutrition, social transition, and other Head Start and Early Head Start services as well as administration and financial management, facilities and other appropriate program areas.

Federal Contact

Federal Contact: Headquarters Office (202) 205-8572. *Notes: Head Start agencies may offer (directly or though referral to local entities, such as entities carrying out Even Start programs, family literacy services and parenting skills training) services to parents of participating children.*

Temporary Assistance to Needy Families

Temporary Assistance to Needy Families (TANF)

Note: TANF may be re-authorized to take effect 10/01/2002. If Congress is unable to agree on reauthorization, the existing provisions could apply for another year.

Enabling Legislation

Enabling Legislation: Personal Responsibility and Work Opportunity Reconciliation Act of 1996.

Purpose

Purpose: Eliminate open-ended entitlement for welfare; create a block grant for States to provide time-limited cash assistance to needy families so that children can be cared for in their own homes; to reduce dependency by promoting job preparation, work, and marriage; to prevent out-of-wedlock pregnancies; and to encourage the formation and maintenance of two-parent families.

Funding Funding: $16.556 billion in block grants to States. States have broad flexibility to determine eligibility, method of assistance, and benefit levels. States must maintain non Federal effort at 80%. States may use some funds for State-level or special purpose programs. The balance goes out by formula to local social services agencies.

Target Population Target Population: Families that meet the eligibility requirements set by the State.

Allowable Expenditures Allowable Expenditures: Cash assistance and the costs of any activity reasonably associated with meeting the Act's purposes. In FY 2002 not less than 50% of families must be engaged in work activities. Costs thereof are supportable under the Act. Work activities are: unsubsidized employment; subsidized private sector employment; subsidized public sector employment; work experience (including work associated with the refurbishing of publicly assisted housing) if sufficient private sector employment is not available; on-the-job training; community service programs; provision of child care services to an individual who is participating in a community service program; vocational educational training, not to exceed 12 months for any individual, and provided that not more than a total of 30% of persons counting toward the participation rate for a month can satisfy the requirements either by participating in vocational educational training or by being a teen parent head of household attending school; job search and job readiness assistance, but only for 6 weeks, and not for a week after four consecutive weeks; provided that job search will be countable for 12 weeks if the State's unemployment rate is at least 50% greater than the unemployment rate of the United States. On not more than one occasion, the State may count an individual as having participated in job search for a week if the individual participated for three or four days For the all-families rate, hours in excess of 20 (and for the two-parent rate, hours in excess of 30) may be counted when an individual participates in: job search and job readiness assistance in excess of the above-specified limits; job skills training directly related to employment; education directly related to employment, in the case of a recipient who has not received a high school diploma or a certificate of high school equivalency; or satisfactory attendance at secondary school or in a course of study leading to a certificate of general equivalence, in the case of a recipient who has not completed secondary school or received such a certificate. There is also a special rule affecting teen parent heads of households. For purposes of meeting the all-families rate, a single head of household under age 20 will be deemed to count toward the rate if the recipient maintains satisfactory attendance at secondary school or the equivalent during the month; or participates in education directly related to employment for at least the number of hours required for the applicable year, e.g., 20 hours a week (on average) in years before FY 99, 25 hours a week in FY 99, and 30 hour a week in FY 2000 and thereafter. Note, however, that not more than a total of 30% of persons counting toward the participation rate for a month can satisfy the requirements either by participating in vocational educational training or by being a teen parent head of household attending school.

Performance Indicators

Performance Indicators: Caseload reduction, work participation rates, child support from non custodial parents, maintenance of effort, reduction in out-of-wedlock pregnancies.

Federal Contact

Federal Contact: Director, Office of Family Assistance, Administration for Children and Families, 5th floor, Aerospace Bldg., 370 L'Enfant Promenade, SW, Washington, D.C. 20447. *Notes: Basic skills education is limited to the last 10 hours weekly of a client's 30 hour work activity requirement unless the State defines other work activities as including a basic skills instruction component. Some States define "vocational educational training" and "community service" to include basic skills instruction. Programs funded wholly from maintenance of effort funds are allowed more flexibility. TANF regulations issued in August 1999 exempt basic skills instruction from the 60 month limit on TANF assistance that applies to 80% of the caseload and allow service to poor working adults and former recipients who may earn as much as 200% of the Federal poverty level. Also State MOE expenditures are not constrained by the 60 month limit.*

Refugee and Entrant Assistance

Refugee and Entrant Assistance - State Administered Programs

Enabling Legislation

Enabling Legislation: Refugee Act of 1980, Section 412:

Purpose

Purpose: Subsidize States for assistance to refugees, asylums, Cuban and Haitian entrants. One form of assistance is "training", which can include English language training. State social services agencies may purchase training from provider agencies.

Funding

Funding: $480 million.

Target Population

Target Population: Refugees, asylees, and Cuban and Haitian entrants.

Allowable Expenditures

Allowable Expenditures: In addition to cash assistance and social and health services, make available sufficient resources for employment training and placement in order to achieve economic self-sufficiency among refugees as quickly as possible; provide refugees with the opportunity to acquire sufficient English language training to enable them to become effectively resettled as quickly as possible; insure that cash assistance is made available to refugees in such a manner as not to discourage their economic self-sufficiency; and insure that women have the same opportunities as men to participate in training and instruction.

Performance Indicators

Performance Indicators: (1)The number of refugees placed in employment (by county of placement) and the expenditures made in the year under the grant or contract, including the proportion of such expenditures used for administrative purposes and for provision of services; (2) the proportion of refugees placed by the agency in the previous year who are receiving cash or medical assistance; (3) the efforts made by the agency to monitor placement of the refugees and the activities of local affiliates of the agency; (4)) the extent to which the agency has coordinated its activities with local social service providers in a manner which avoids duplication of activities and has provided notices to local welfare offices and the reporting of medical conditions of certain aliens to local health departments; (5) such other information as the administering agency deems to be appropriate in monitoring the effectiveness of agencies in carrying out their functions under such grants and contracts.

Federal Contact

Federal Contact: Loren Bussert, Office of Refugee Resettlement, Administration for Children and Families, Department of Health and Human Services, (202) 401-4732.

Library Services and Technology Act

LIBRARY SERVICES AND TECHNOLOGY ACT

Enabling Legislation

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

Purpose

Purpose: To consolidate Federal library services programs; to stimulate excellence and promote access to learning and information resources in all types of libraries for individuals of all ages; to promote library services that provide all users access to information through State, regional, and international electronic networks; to provide linkages among and between libraries; and to promote targeted library services to people of diverse geographic, cultural, and socioeconomic backgrounds, to individuals with disabilities, and to people with limited functional literacy or information skills.

Funding

Funding: $168 million distributed by formula to State library administrative agencies that may be spent directly or through subgrants. (There are also setasides which total an additional $29 million

Target Population

Target Population: All populations, but with special emphasis on those for whom library use requires special effort, those with low literacy, and those with disabilities.

Allowable Expenditures

Allowable Expenditures: supporting literacy and lifelong learning; organizing and providing access to federal/state/local government information and other community information; undergirding economic development by providing jobs information and supporting small businesses; providing consumer health information ; adapting new technologies to identify, preserve, and share library and information resources across institutional, local, and state boundaries; extending outreach to those for whom library service requires extra effort or special materials (such as new readers, those with disabilities); and supporting education, research, and demonstrations in the library and information science field.

Performance Indicators

Performance Indicators: None.

Federal Contact

Federal Contact: Institute of Museum and Library Services, Office of Library Services, (202) 606-5252. *Notes: This bill is up for reauthorization in 2002. There will likely be performance indicators in the new legislation.*

U.S. DEPARTMENT OF LABOR

Welfare to Work Formula Grants

Welfare-to-Work Formula Grants, Governors' Setasides, and Competitive Grants

Enabling Legislation

Enabling Legislation: Title VIII of H.R. 3424,enacted as part of the Consolidated Appropriations Act for FY2000, contains the "Welfare to Work and Child Support Amendments of 1999" (1999 Amendments)

Purpose

Purpose: Provide transitional employment assistance to hardest-to-employ TANF recipients and non custodial parents of low income children.

Funding

Funding: Approximately $1 billion (FY 1999) for formula grants to State Labor agencies and three rounds of national competitive grants averaging about $275 million each. Funds are good for five years, and many States have funds remaining from previous years. Governors may retain up to 15% of the State formula allocation for discretionary activities. The remaining 85% must be suballocated to local Workforce Investment Areas.

Allowable Expenditures

Allowable Expenditures There are two segments to the population eligible to receive services. Seventy percent (70%) of each allocation is to be expended upon persons meeting the following qualifications: (a)(1) (S)he is currently receiving TANF assistance under a State TANF program, and/or its predecessor program, for at least 30 months, although the months do not have to be consecutive; or (2) (S)he will become ineligible for assistance within 12 months due to either Federal or State-imposed time limits on the receipt of TANF assistance. This criterion includes individuals (as well as children of noncustodial parents) exempted from the time limits due to hardship or due to a waiver because of domestic violence, who would become ineligible for assistance within 12 months without the exemption or waiver; (b) (S)he is no longer receiving TANF assistance because (s)he has reached either the Federal five-year limit or a State-imposed time limit on receipt of TANF assistance; or (c) (S)he is a noncustodial parent of a minor child if: (1) The noncustodial parent is: (i) ``Unemployed,'' , (ii) ``Underemployed,'' as defined by the State in consultation with local boards and WtW competitive grantees, or (iii) ``Having difficulty paying child support obligations,'' as defined by the State in consultation with local boards and WtW competitive grantees and the State Child Support Enforcement (IV-D) Agency, and (2) At least one of the following applies: (i) The minor child, or the custodial parent of the minor child, meets the long-term recipient of TANF requirements; (ii) The minor child is receiving or is eligible for TANF benefits and services; (iii) The minor child received TANF benefits and services during the preceding year; or (iv) The minor child is receiving or eligible for assistance under the Food Stamp program, the Supplemental Security Income program, Medicaid, or the Children's Health Insurance Program; and (3) The noncustodial parent is in compliance with the terms of a written or oral personal responsibility contract. (d) For purposes of determining whether an individual is receiving TANF assistance, TANF assistance means any TANF benefits and services for the financially needy according to the appropriate income and resource criteria (if applicable) specified in the State TANF plan. Thirty percent of any allocation must be expended upon any individual if (s)he: (a) is currently receiving TANF assistance and either: (1) has characteristics associated with, or predictive of, long- term welfare dependence, such as having dropped out of school, teenage pregnancy, or having a poor work history. States, in consultation with the operating entity, may designate additional characteristics associated with, or predictive, of long term-welfare dependence; or (2) has significant barriers to self-sufficiency, under criteria established by the local board or alternate administering agency; (b) was in foster care under the responsibility of the State before s(he) attained 18 years of age and is at least 18 but not 25 years of age or older at the time of application for WtW. Eligible individuals include those who were recipients of foster care maintenance payments under part E of the Social Security Act, or (c)(1) is a custodial parent with income below 100 percent of the poverty line, determined in accordance with the most recent HHS Poverty Guidelines established under section 673(2) of the Omnibus Budget Reconciliation Act of 1981 (Pub. L. 97-35), including any revisions required by such section, applicable to a family of the size involved. (2) For purposes of paragraph (c)(1) of this section, income is defined as total family income for the last six months, exclusive of unemployment compensation, child support payments, and old-age and survivors benefits received under section 202 of the Social Security Act. (3) a custodial parent with a disability whose own income meets the requirements of a program described in paragraph (c)(1) but who is a member of a family whose income does not meet such requirements is considered to have met the requirements of paragraph (c)(1) of this section.

Allowable Activities: (a) job readiness activities; (b) vocational educational training or job training. A participant is limited to six calendar months of such training if (s)he is not also employed or participating in an employment activity, as described in paragraph (c) of this section; (c) employment activities which consist of any of the following: (1) community service programs; (2) work experience programs; (3) job creation through public or private sector employment wage subsidies; and (4) on-the-job training; (d) job placement services; (e) post-employment services which are provided after an individual is placed in one of the employment activities listed in paragraph (c) of this section, or in any other subsidized or unsubsidized job, post- employment services include such services as: (1) basic educational skills training; (2) occupational skills training; (3) English as a second language training; and (4) mentoring; (f) job retention services and support services that are provided after an individual is placed in a job readiness activity, as specified in paragraph (a) of this section; in vocational education or job training, as specified in paragraph (b) of this section; in one of the employment activities, as specified in paragraph (c) of this section, or in any other subsidized or unsubsidized job. WtW participants who are enrolled in Workforce Investment Act (WIA) or JTPA activities, such as occupational skills training, may also receive job retention and support services funded with WtW monies while they are participating in WIA activities. Job retention and support services can be provided with WtW funds only if they are not otherwise available to the participant. Job retention and support services include such services as: (1) transportation assistance; (2) substance abuse treatment (except that WtW funds may not be used to provide medical treatment); (3) child care assistance; (4) emergency or short term housing assistance; and (5) other supportive services; (g) individual development accounts which are established in accordance with the Act; (h) Outreach, recruitment, intake, assessment, eligibility determination, development of an individualized service strategy, and case management may be incorporated in the design of any of the allowable activities.

Performance Indicators

Performance Indicators: Since the elimination of a bonus for high performing States, there has been little attention paid to indicators for this temporary program.

Federal Contact

Federal Contact: Office of Adult Services, Division of Welfare-to-Work, (202) 219-7694, Ext. 132 *Notes: Of a number of potential uses of the funds are pre-placement vocational education for a period of 12 months (some States may define vocational education as having a basic skills or ESL component), and basic skills or ESL delivered as a post-employment service. This is a temporary program. No funds have been appropriated since the first two years of the program, but there are still large amounts of this funding in State labor agencies and in local workforce areas.*

Statewide Workforce Investment Activities for Youth, Adults, and Dislocated Workers

Statewide Workforce Investment Activities for Youth, Adults and Dislocated Workers

Enabling Legislation

Enabling Legislation: Workforce Investment Act of 1998, Title I.

Purpose

Purpose: Provide workforce investment activities through statewide systems that increase skill attainment by participants and, as a result, improve the quality of the workforce, reduce welfare dependency, and enhance the productivity and competitiveness of the Nation.

Funding

Funding: Adults - $950 million; Dislocated workers - $489 million with approximately $1 billion advanced from a prior year, Youth $1.127 billion. These funds are allocated by the Secretary of Labor to State labor agencies. Of that formula distribution of monies for youth, adults, and dislocated workers, the Governor may retain as much as 15% to be used in behalf of any or all of the populations for which the funds were authorized. At least 85% of formula funding to a State is further distributed to local Workforce Investment Areas to be used to operate One-Stop systems.

Target Populations	<u>Target Populations:</u> (1) **For adults and dislocated workers** - To be eligible to receive core services an individual must be 18 years of age or older. To be eligible to receive core services as a dislocated worker in the adult and dislocated worker programs, an individual must meet the definition of ``dislocated worker'' found in the Act. To be eligible for intensive services (a) adults and dislocated workers who are unemployed, have received at least one core service and are unable to obtain employment through core services, and are determined by a One-Stop operator to be in need of more intensive services to obtain employment; and (b) adults and dislocated workers who are employed, have received at least one core service, and are determined by a One-Stop operator to be in need of intensive services to obtain or retain employment that leads to self-sufficiency. Training services may be made available to employed and unemployed adults and dislocated workers who: (a) have met the eligibility requirements for intensive services, have received at least one intensive service, and have been determined to be unable to obtain or retain employment through such services; (b) after an interview, evaluation, or assessment, and case management, have been determined by a One-Stop operator or One-Stop partner, to be in need of training services and to have the skills and qualifications to successfully complete the selected training program; (c) select a program of training services that is directly linked to the employment opportunities either in the local area or in another area to which the individual is willing to relocate; (d) are unable to obtain grant assistance from other sources to pay the costs of such training, including such sources as Welfare-to-Work, State-funded training funds, Trade Adjustment Assistance and Federal Pell Grants established under title IV of the Higher Education Act of 1965, or require WIA assistance in addition to other sources of grant assistance, including Federal Pell Grants. Individuals whose services are provided through the adult funding stream are determined eligible in accordance with the State and local priority system, if any, in effect for adults. (2) **For youth** - an individual who: (a) is age 14 through 21; (b) is a low income individual, as defined in the WIA section 101(25); and (c) is within one or more of the following categories: (1) Deficient in basic literacy skills (essentially performing below 8th grade level) ; (2) school dropout; (3) homeless, runaway, or foster child; (4) pregnant or parenting; (5) offender; or (6) is an individual (including a youth with a disability) who requires additional assistance to complete an educational program, or to secure and hold employment. There is a 5% window for youth

who do not meet the normal income criteria.

Allowable Expenditures

Allowable Expenditures: (A) Statewide Activities – (a) State administration of the adult, dislocated worker and youth workforce investment activities, consistent with the five percent administrative cost limitation; (b) providing capacity building and technical assistance to local areas, including Local Boards, One-Stop operators, One-Stop partners, and eligible providers, which may include: (1) staff development and training; and (2) the development of exemplary program activities; (c) conducting research and demonstrations; (d) establishing and implementing: (1) innovative incumbent worker training programs, which may include an employer loan program to assist in skills upgrading; and (2) programs targeted to Empowerment Zones and Enterprise Communities; (e) providing support to local areas for the identification of eligible training providers; (f) implementing innovative programs for displaced homemakers, and programs to increase the number of individuals trained for and placed in non-traditional employment; (g) carrying out such adult and dislocated worker employment and training activities as the State determines are necessary to assist local areas in carrying out local employment and training activities; (h) carrying out youth activities Statewide; (i) preparation and submission to the Secretary of the annual performance progress report; (j) rapid response activities. (B) Activities conducted by local Workforce Investment Boards via One-Stop Delivery Systems - FOR ADULTS AND DISLOCATED WORKERS - **Core services** - 1) determinations of whether the individuals are eligible to receive assistance under subtitle B of title I of WIA; (2) outreach, intake (which may include worker profiling), and orientation to the information and other services available through the One-Stop delivery system; (3)initial assessment of skill levels, aptitudes, abilities, and supportive service needs; (4) job search and placement assistance, and where appropriate, career counseling; (5) provision of employment statistics information, including the provision of accurate information relating to local, regional, and national labor market areas, including-- (i) job vacancy listings in such labor market areas; (ii) information on job skills necessary to obtain the listed jobs; and (iii) information relating to local occupations in demand and the earnings and skill requirements for such occupations; (6) provision of program performance information and program cost information on: (i) eligible providers of training services; (ii) eligible providers of youth activities; (iii) providers of adult education described in title II; (iv) providers of postsecondary vocational education activities and vocational education activities available to school dropouts under the Carl D. Perkins Vocational and Applied Technology Education Act; and (v) providers of vocational rehabilitation program activities described in title I of the Rehabilitation Act of 1973; (7) provision of information on how the local area is performing on the local performance measures and any additional performance information with respect to the One-Stop delivery system in the local area; (8) provision of accurate information relating to the availability of supportive services, including, at a minimum, child care and transportation, available in the local area, and referral to such services, as appropriate; (9) provision of information regarding filing claims for unemployment compensation; (10) assistance in establishing eligibility for-- (i) Welfare-to-work activities authorized under section 403(a)(5) of the Social Security Act available in the local area; and (ii) programs of financial aid assistance for training and education programs that are not funded under this Act and are available in the local area; and (11) follow-up services, including counseling regarding the workplace, for participants in workforce investment activities authorized under subtitle (B) of title I of WIA who are placed in unsubsidized employment, for not less than 12 months after the first day of the employment, as appropriate. **Intensive Services** – (1)comprehensive and specialized assessments of the skill levels and service needs of adults and dislocated workers which may include: diagnostic testing and use of other assessment tools; (2) in-depth interviewing and evaluation to identify employment barriers and appropriate employment goal; (3) development of an individual employment plan to identify the employment goals, appropriate achievement objectives, and appropriate combination of services for the participant to achieve the employment goals; (4) group counseling; (5) individual counseling and career planning; (6) case management for participants seeking training services; (7) short term prevocational services, including the development of learning skills, communication skills, interviewing skills, (8) and professional conduct to prepare individuals for unsubsidized employment or training and other intensive services, such as out-of-area job search assistance, literacy activities related to basic workforce readiness, relocation assistance, internships; and work experience may be provided, based on an assessment or individual . **Training services –** Training services include, but are not limited to: (1) occupational skills training, including training for nontraditional employment; (2) on-the-job training; (3) programs that combine workplace training with related instruction, which may include cooperative education programs; (4) training programs operated by the private sector; (5) skill upgrading and retraining; (6) entrepreneurial training; (7) job readiness training; (8) adult education and literacy activities provided in combination with of the above listed training activities; and (9) customized training conducted with a commitment by an employer to employ an individual upon successful completion of the training. FOR YOUTH - 1) tutoring, study skills training, and instruction leading to secondary school completion, including dropout prevention strategies; (2) alternative secondary school offerings; (3) summer employment opportunities directly linked to academic and occupational learning; (4) paid and unpaid work experiences, including internships and job shadowing; (5) occupational skill training; (6) leadership development opportunities, which include community service and peer-centered activities encouraging responsibility and other positive social behaviors; (7) supportive services; (8) adult mentoring for a duration of at least twelve (12) months, that may occur both during and after program participation; (9) followup services; and (10) comprehensive guidance and counseling, including drug and alcohol abuse counseling, as well as referrals to counseling, as appropriate to the needs of the individual youth. (b) Local programs have the discretion to determine what specific program services will be provided to a youth participant, based on each participant's objective assessment and individual service strategy. A local program must offer all of the above.

Performance Indicators

Performance Indicators: (i) in general, (I) entry into unsubsidized employment; (II) retention in unsubsidized employment 6 months after entry into the employment; (III) earnings received in unsubsidized employment 6 months after entry into the employment; and (IV) attainment of a recognized credential relating to achievement of educational skills, which may include attainment of a secondary school diploma or its recognized equivalent, or occupational skills, by participants who enter unsubsidized employment, or by participants who are eligible youth age 19 through 21 who enter postsecondary education, advanced training, or unsubsidized employment. (ii) Core indicators for eligible youth.--The core indicators of performance (for participants who are eligible youth age 14 through 18) for youth activities authorized under section 129, shall include-- (I) attainment of basic skills and, as appropriate, work readiness or occupational skills; (II) attainment of secondary school diplomas and their recognized equivalents; and (III) placement and retention in postsecondary education or advanced training, or placement and retention in military service, employment, or qualified apprenticeships. (B) Customer satisfaction indicators.--The customer satisfaction indicator of performance shall consist of customer satisfaction of employers and participants with services received from the workforce investment activities authorized under this subtitle. Customer satisfaction may be measured through surveys conducted after the conclusion of participation in the workforce investment activities. (C) Additional indicators.--A State may identify in the State plan additional indicators for workforce investment activities authorized under this subtitle.

Federal Contact

Federal Contact: Eric Johnson, Director, Workforce Investment Act Implementation Taskforce, Room S5513. Telephone: (202) 219-0316. *Notes: Basic skills instruction is allowable as a service to youth. Youth is defined as ages 14-21 and some differences in treatment are prescribed for younger youth (14-17) and older youth (18-21). Basic skills instruction is authorized in Title I only if delivered as part of "intensive services" as short term prevocational instruction or in combination with another authorized training activity. When Title I funds are used to support basic skills instruction, providers are subject to the employment-oriented performance measures of Title I rather than the more education-oriented measures of WIA Title II, the Adult Education and Family Literacy Act.*

Appendix B

FAST FACTS on Literacy

SCOPE...

- More than 20 percent of adults read at or below a fifth-grade level -- far below the level needed to earn a living wage. The National Adult Literacy Survey found that over 40 million Americans age 16 and older have significant literacy needs.

- The National Literacy Act defines literacy as "an individual's ability to read, write, and speak in English, compute and solve problems at levels of proficiency necessary to function on the job and in society, to achieve one's goals, and develop one's knowledge and potential."

LITERACY & CHILDREN...

- As the education level of adults improves, so does their children's success in school. Helping low-literate adults improve their basic skills has a direct and measurable impact on both the education and quality of life of their children.

- Children of adults who participate in literacy programs improve their grades and test scores, improve their reading skills, and are less likely to drop out.

LITERACY & POVERTY...

- Forty-three percent of people with the lowest literacy skills live in poverty.
- Seventeen percent receive food stamps, and 70 percent have no job or a part-time job.

- Workers who lack a high school diploma earn a mean monthly income of $452, compared to $1,829 for those with a bachelor's degree.

EFFORTS TO PROMOTE LITERACY...

- The federal government provided $345 million dollars for adult education and family literacy programs in 1998. The State and local investment combined was an estimated $958 million for FY 1998. This funding enables millions of families to participate in basic education programs that help people help themselves.

Source: The National Institute For Literacy

FACT SHEET

Family Literacy

By using a comprehensive and holistic approach to education, family literacy programs are making great strides in helping families break the cycle of low literacy, poverty, and hopelessness.

Need

- Children's literacy levels are strongly linked to the educational level of their parents, especially their mothers.
- Parental income and marital status are both important predictors of success in school, but neither is as significant as having a mother (or primary caregiver) who completed high school.
- Children of parents who are unemployed and have not completed high school are five times more likely to drop out than children of employed parents.

Solution

The National Center for Family Literacy supports programs that include four essential components for family literacy:

- *Early Childhood Education:* focuses on pre-literacy skills such as vocabulary building and verbal expression.
- *Adult Literacy Education:* helps parents enhance their own reading, math and language skills.
- *Parent and Child Together (PACT):* brings parents and children together in the pre-school classroom in order to teach parents how to best fulfill their role as their child's most important teacher.
- *Parent Time:* offers topics for study and discussion, including child nurturing, managing and coping with child behavior, self-esteem, career options, and community resources.

Outcomes

- Adults stay enrolled in family literacy programs longer than in most adult-only programs, and their attendance rate is higher.

- Children participating in family literacy programs in 15 cities made gains at least three times greater than would have been expected based on their pre-enrollment rate of development.

- Adults significantly improve their self-confidence, confidence in their parenting abilities, and in their employment status (29 percent increase).

- Children showed an 80 percent increase in reading books, and made twice as many trips to the library.

- Long-term National Center for Family Literacy follow-up studies[1] found the following: Fifty-one percent of adults participating in family literacy programs earned their GED or the equivalent.

    - Forty-three percent became employed, compared with 14 percent before enrolling.

    - Thirteen percent enrolled in higher education or training programs and another 11 percent continued in GED programs.

    - Twenty-three percent of those who were on public assistance when they enrolled are now self-sufficient.

Source: The National Institute For Literacy

[1] "The Power of Family Literacy," 1996 Edition *(available by calling 502/584-1133).*

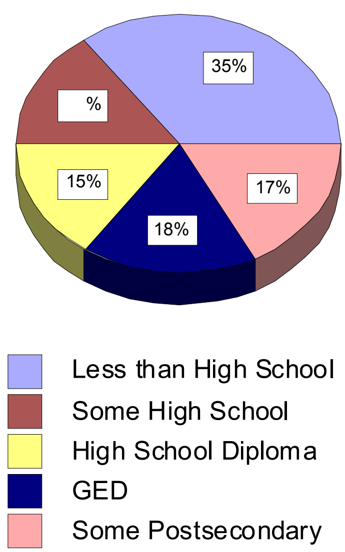
FACT SHEET
Correctional Education

Prisoners generally have significantly lower literacy skills than the general population. Those who improve their skills return to prison less often.

Need

- Only 51 percent of prisoners have completed high school or its equivalent, as compared with 76 percent of the general population.
- Seventy percent of prisoners scored in the two lowest literacy levels of the National Adult Literacy Survey. This means that while they have some reading and writing skills, they are not adequately equipped to perform tasks like writing a letter, explaining an error on a credit card bill, or understanding a bus schedule.
- Inmates who have a high school diploma demonstrate lower basic skills than members of the general public with a high school diploma.
- Eleven percent of prisoners self-report having learning disabilities, compared with three percent of the general population.

Education Level of Prisoners



Delivery System

- The federal prison system began mandatory literacy training in 1982, and in 1991 raised the achievement standard from 8th to 12th grade.
- The percentage of inmates with low literacy skills who actually receive literacy education is estimated at 7 to 10 percent.

Outcomes

· Various studies have found that education diminishes the rate of recidivism. A study by the Federal Bureau of Prisons concluded that "the more actively the inmates successfully participated in prison education programs, the less likely they were to recidivate."

  - A Virginia study found that out of a sample of 3,000 inmates, 49 percent of those who did not participate in correctional education programs were reincarcerated, compared to 20 percent of those who did participate in these programs.
  - A 1996 Ohio study of 18,062 inmates recorded a 14 percent reduction in recidivism for inmates who received a GED in prison, a 10 percent reduction for those inmates with some college, and an 8.3 percent reduction for students who earned a vocational certificate.

Sources: "Literacy Behind Prison Walls," National Center for Education Statistics, "Prison Literacy Programs," ERIC Digest No. 159, "Literacy in Corrections," Correctional Education Association.

Source: The National Institute For Literacy

FACT SHEET
Literacy and Welfare

Improving basic literacy skills can be the key to long-term self-sufficiency for welfare recipients.

Welfare recipients generally have low education skills.

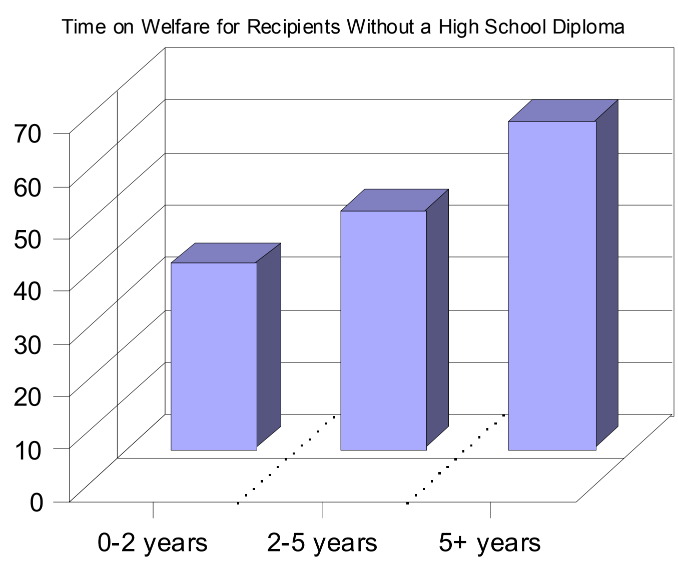
- Welfare recipients ages 17-21 read, on average, at the sixth grade level. When single parents drop out of school, they are likely to drop in to the welfare system.

- Almost 50 percent of adults on welfare do not have a high school diploma or GED.

Welfare recipients with low education skills stay on welfare the longest; those with stronger education skills become self-sufficient more quickly.

- Over 60 percent of those who spend more than five years on welfare enter AFDC with less than a high school education.

- Over 65 percent of people on welfare who have a high school diploma or GED leave welfare and become self-sufficient within two years.



The education level of welfare recipients is closely linked to their income level.

- Adults with low literacy skills earn the least. As literacy skills improve, average weekly wages of welfare recipients increase.
- Workers who lack a high school diploma earn a mean monthly income of $452, compared to $1,829 for those with a bachelor's degree.
- Among adults with low literacy skills, 43 percent live in poverty and 17 percent receive food stamps. In contrast, among adults with strong literacy skills, fewer than five percent live in poverty and fewer than one percent receive food stamps.
- Welfare recipients with low literacy skills work 11 weeks per year, on average, compared to 29 weeks for those with stronger literacy skills.

Helping welfare recipients improve their basic education and literacy skills improves our economic competitiveness.

- Ninety percent of Fortune 1000 executives expressed concern in a recent survey that low literacy is hurting their productivity and profitability.
- Forty million American adults need to improve their literacy skills. While they can read some basic information, they cannot locate an intersection on a map or read a newspaper article. Until they improve their basic education skills, these adults cannot effectively compete for today's jobs.

Source: The National Institute For Literacy

FACT SHEET
Workforce Literacy

In order to stay competitive in the global economy, employers need workers who can read, write, compute, solve problems, and communicate well.

Need

- American businesses are estimated to lose over $60 billion in productivity each year due to employees lack of basic skills.
- About 20 percent of America's workers have low basic skills, and 75 percent of unemployed adults have reading or writing difficulties.
- Workers who lack a high school diploma earn a mean monthly income of $452, compared to $1,829 for those with a bachelor's degree.
- The number of companies reporting skilled worker shortages more than doubled between 1995 and 1998, from 27 percent to over 47 percent.
- A survey of more than 300 executives found that, while 71 percent reported that basic written communication training was critical to meeting their workplaces' changing skill demands, only 26 percent of companies offered this kind of training. While 47 percent of the executives reported the need for workers to improve basic math skills, only 5 percent of companies offered basic math skills training.

Solution

- Workplace literacy programs provide workers with the skills needed to get or retain a job, advance in their careers, or increase productivity.
- Workplace literacy programs do not have to be expensive. Federal and state grants and tax credits are available.

Source: The National Institute For Literacy

FACT SHEET
Literacy and Health

This emerging area -- new for both the literacy and medical fields -- has grown out of the recognition that there is a significant overlap in the populations served and that better literacy skills can contribute to greater well being.

Overview

- Individuals with low literacy skills are at risk of not being able to understand materials distributed by health care providers.
- Low birth weight is a condition that may increase a child's risk of developing health, learning, and behavioral problems.
- Children who are born at a low birth weight are more likely to be enrolled in special education classes, to repeat a grade, or to fail in school.
- Family literacy programs provide parents with an opportunity to learn about child development, good health, and proper nutrition through parent support groups that enable them to discuss health issues with specialists.
- Partnerships between literacy and health providers are making a difference in low literate communities.

Source: The National Institute For Literacy

FACT SHEET
English for Speakers of Other Languages

English for Speakers of Other Languages (ESOL) is the fastest growing area of the adult basic education system.

Need

- Nearly 32 million people in the United States speak languages other than English -- a 38 percent increase over 1980.
- More than 50 percent of adults learning English as a second language are Hispanic. Other common first languages of ESOL participants are the following: French, Portuguese, Polish, Russian, Chinese, and Vietnamese.
- There is not enough space in programs to serve everyone who wants to learn English. Most cities have waiting lists of several months to several years, and some rural areas have no available classes.

ESOL Programs

- **ESOL programs vary in scope and content. Some programs, especially those for recent arrivals, emphasize life skills and focus on improving listening and speaking abilities. Others stress vocational topics, citizenship education, family literacy, or academic or GED preparation.**

- Over one million adults are enrolled in federally funded ESOL instruction. Many more are tutored by volunteers in churches, libraries, local businesses and unions, community colleges, and other community-based organizations.

FACT SHEET
Literacy and Learning Disabilities

Talk to any adult literacy teacher and you are likely to hear of an apparently bright and able student who does not achieve to potential. The student who shows this unexpected underachievement may have a learning disability.

Overview

- "Learning disability" is an umbrella term that encompasses a wide variety of disorders, including basic psychological processes involved in understanding or using spoken or written languages.
- Learning disabilities may manifest themselves as an inability to effectively listen, think, speak, read, write, spell, or compute -- skills needed by adults to function effectively as parents, family members, employees, and citizens.
- People with learning disabilities are recognized as having a disability under federal law. This means that they are entitled to "reasonable accommodation" and certain other federally-supported services.

Scope

Many people have learning disabilities. Estimates range from:

- Fifty to 80 percent of all students in literacy and basic education programs.
- Fifteen to 30 percent of all participants in job training programs.
- Twenty-five to 40 percent of all adults on welfare.

Assessment

- Only diagnostic testing can accurately determine the presence of a learning disability.
- Literacy practitioners can be trained to help students with learning disabilities, including those who have not been formally diagnosed.
- Most participants in adult literacy programs are unable to afford formal testing administered by trained professionals.

Consequences

Education

- Learning disabilities may manifest themselves as difficulties in spoken or written language, arithmetic, reasoning, and organization skills will affect adults in adult basic education, literacy, postsecondary, and vocational training settings. Many adults with learning disabilities have achieved academic and vocational success when appropriate accommodations have been provided.

Employment

- Adults with learning disabilities commonly make errors in completing employment applications because of poor reading or spelling skills. Some may not reach employment at all. Job-related problems may arise for adults with learning disabilities as a result of their difficulties with tasks that require organizing, planning, scheduling, or monitoring; difficulties with language comprehension and expression; poor social skills; and inattentiveness. Accommodation for these problems may increase employability.

Self-esteem

- Being criticized, put down, teased, or rejected because of failures in academic, vocational, or social endeavors often contribute to low self-esteem and depression in the adult with learning disabilities. However, some adults with learning disabilities have also shown a tremendous ability to overcome the low self-esteem and achieve great success.

Social Interactions

- Adults with learning disabilities may misinterpret others' moods and attitudes and appear to be less sensitive to others' thoughts and feelings.

Independent Living

- Basic responsibilities such as writing checks, filling out tax forms, or recording phone messages may present problems for adults with learning disabilities.

Source: The National Institute For Literacy