

# State Staff Retreat



# Pieces of the Puzzle



**Career Development**  
Labor & Economic Growth



# State Staff Retreat # 1

- The Pieces of the Puzzle
- The Nuts and Bolts of State Management of Adult Education
- Follow up with options and applications



# Today's Agenda

- Have a broader understanding of the **evolution that federally funded adult education** has experienced since its inception in the 1960s
- Gain a view of where Congress and the administration are heading for the **future of adult education**



# Today's Agenda

- Become familiar with the **legislative (WIA) and regulatory (EDGAR) requirements** of state offices.
- For **each area of state responsibility**, discuss where Michigan is now and what changes need to be explored.




# Today's Agenda

- Identify **other areas of information needs** and look to the rest of the year to plan **follow up retreats**.



# How Did We Get Here?

Nobody comes into adult education through the front door.



How did  
you get  
here?





How did we get here?



# Federally Funded Adult Education's Evolution: *A Brief History*





# Evolution of Adult Education

- 1960s - Title III of the ESEA (The Adult Education Act), 3 R's
- 1970s
  - Adult Performance Levels (APL)
  - Laura Weisel's London Procedure



# Evolution of Adult Education

- 1980s
  - Participatory Learning – Hannah Fingeret
- 1990s
  - National Literacy Act, Voluntary State Performance Standards



1998

# The Workforce Investment

Act






# WIA

## Title II - Adult Education and Family Literacy Act

- **WIA was what we have always asked for:**
  - Limit regulations
  - Let the states assess their needs and prioritize their services
  - Eliminate set-asides




# Continuous Improvement

- You can have the flexibility to design and deliver program services to meet the needs of your state.
- However,
- You just have to get better every year at serving adult learners.



# Continuous Improvement

- **Intensity and duration of instruction**
  - The 12-hour rule
- **Research-based practices**
  - No more “Gut and Guru”



# Continuous Improvement

- **Direct and equitable access**
- **Core measures and performance standards**
  - Educational gains
  - High school credentials
  - Employment
  - Enrollment in postsecondary



# Coordination

## *Meet Your New Best Friends*

- WIA Partners
  - Title I
    - State Workforce Investment Board
    - Local Workforce Investment Boards
    - One Stop System – Michigan Works
  - Title III
    - Wagner-Peyser Act – Department of Labor
  - Title IV
    - Vocational Rehabilitation Services



# WIA

**Look into your  
Crystal Ball:**

**Where are we  
going from here?**





# Congress Perspective

- Maintain the performance indicators
- Maintain quality focus
- Perhaps expand professional development



# Administration Focus

- Limited support for adult education
- Attempts to move adult ed to DOL
- Attempts to use partner funds to support One Stops



# Planning for the Next Six Years

- Reauthorization
  - Continued emphasis on performance
    - Documentation of performance/reporting system
    - Continuous improvement
- First six years: focus on documenting student success
  - Reporting systems
  - Assessment policy
  - Follow up procedures



# Planning for the Next Six Years

##Next six years##

Focus on getting better at what we do

Continuous improvement

**How do we go about making program improvements at the state and local levels?**



# Today's Agenda—So Far

- Have a broader understanding of the **evolution that federally funded adult education** has experienced since its inception in the 1960s
- Gain a view of where Congress and the administration are heading for the **future of adult education**



# Today's Agenda--Next

- Become familiar with the
  - legislative (WIA),
  - regulatory (EDGAR), and
  - interpretations/guidance (OVAE/DAEL) requirements of state offices.



# Today's Agenda--Next

- A close look at:
  - Performance Levels
  - Financial Management
  - Grants Management
  - State Leadership
- For **each area of state responsibility**, discuss where Michigan is now and what changes need to be explored.
- Parking lot for issues needing clarification and/or further exploration



# Resources

- *Guidance for Implementing the Adult Education and Family Literacy Act* - handout
- The Law
  - [http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=105\\_cong\\_public\\_laws&docid=f:publ220.105](http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=105_cong_public_laws&docid=f:publ220.105)
- EDGAR
  - <http://www.ed.gov/policy/fund/reg/edgarReg/edgar.html>
- OVAE/DAEL Guidance
  - <http://www.ed.gov/policy/adulted/guid/qa.html>
  - <http://www.ed.gov/about/offices/list/ovae/pi/AdultEd/faqnsdrae.doc>



# Levels of Performance





# Levels of Performance

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



# Levels of Performance

- DAEL Interpretations
  - National Reporting System
  - Management Information Systems
  - Assessment policies
  - Data quality standards
  - Student follow up procedures
  - Setting/negotiating levels of performance



# Levels of Performance

## Activity 1:

- Ask the Expert: Jot down what else everyone needs to know.
- Everyone else: Jot down what else you need to know.



# Levels of Performance

- The Three P's: What do we need to strengthen related to performance levels?
  - Are adequate **policies** in place?
  - Has **professional development**/training being provided?
  - How pervasive is effective **practice**?



# Financial Management





# Financial Management

- State Issues
  - Matching
  - Maintenance of Effort
  - Carry-over Funds
- Local Issues
  - Administrative Cap
  - Maintaining Local Records
  - Local Program Income
  - Non-compliance



# Financial Management

- Federal Funds
  - Supplement, not supplant state or local funds
- Matching
  - Non-federal in-kind or cash contributions
  - 25 percent of the total amount of funds expended for adult education and literacy activities
  - Examples:
    - State adult education budget
    - Donated services (volunteer tutors)
    - Donated supplies, equipment, or space



# Financial Management

- Maintenance of Effort
  - State's non-Federal share used to meet matching requirements cannot be reduced more than 10 percent without an accompanying reduction in Federal funding
  - Can be calculated by state aggregate contribution or expenditure/student



# Financial Management

- Maintenance of Effort (MOE)
  - Example:
    - Current year: 2006
    - 2003 (third preceding year) – state contribution: \$30,000,000
    - 2004 (second preceding year) – state contribution: \$25,000,000
  - Reduction of 16.6% - exceeds 10% - would not meet MOE
  - 2004 is 83% of 2003 contribution; federal funding could be reduced by 7% (90 – 83)



# Financial Management: Your Turn



## Match or No Match

Third preceding year: \$16,000,000

Second preceding year:  
\$14,000,000

Did they meet their MOE?

What percent of federal funds could  
be lost?



# Financial Management

- Carry-over funds
  - Tydings amendment
  - 27 months to obligate federal funds
  - Example:
    - Federal funds received for July 1, 2006 – September 30, 2007 grant period
    - Have until September 30, 2008



# Financial Management

- State Administrative Costs
  - No more than 5 percent of federal grant funds
  - Management and supervisory activities such as salaries, rent, supplies, and travel.
- Local Administrative Costs
  - No more than 5 percent for planning, administration, staff development, and interagency coordination.
  - Exceptions



# Financial Management

- Exceptions to local 5% cap
  - If too restrictive to allow for adequate planning...
  - Eligible provider can negotiate with DLEG to determine an adequate level of funds for non-instructional purposes



# Financial Management

- **Maintaining local records**
  - Three years from date the grantee submits its final expenditure report
  - **NOTE:** If an audit or other action involving the records has been started before the expiration of the three-year period, the records must be retained until completion and resolution of the action.



# Financial Management

- **Maintaining local records**
  - Three years from date the grantee submits its final expenditure report
  - **NOTE:** If an audit or other action involving the records has been started before the expiration of the three-year period, the records must be retained until completion and resolution of the action.



# Financial Management

- **Local program income**
  - Gross income received by the grantee directly generated by a grant-supported activity
  - Fees should:
    - Be necessary and reasonable and
    - Not impose a barrier on the participation of disadvantaged persons



# Financial Management

- **Local program income**
  - Program income generated by federal adult education funds must be used for allowable costs to the federal adult education program
  - Can not be used toward meeting matching or maintenance of effort requirements



# Financial Management

## Activity 2:

- Ask the Expert: Jot down what else everyone needs to know.
- Everyone else: Jot down what else you need to know.



# Financial Management

- The Three P's: What do we need to strengthen related to performance levels?
  - Are adequate **policies** in place?
  - Has **professional development**/training being provided?
  - How pervasive is effective **practice**?



# Grants Management





# Grants Management

- Eligible providers – public and non-profit

- Local educational agencies
- Community-based organizations of demonstrated effectiveness
- Volunteer literacy organizations of demonstrated effectiveness

- Institution of higher education
- Public or private nonprofit agency
- Libraries
- Public housing authorities
- Other nonprofit institutions
- Consortium of above entities



# Grants Management

- Multi-year grants on a competitive basis
  - Up to states to determine # of years
- Direct and equitable provision
  - Same grant announcement process and application process for ALL providers
  - Same amount of time to respond and be judged by same criteria
  - May have different applications for different competitions (e.g., English literacy, family literacy)
  - All eligible providers must receive ALL applications



# Grants Management

- **The grant application**
  - **12 criteria defined by law**
  - Question #43
  - May give each criterion a different weight
- “Sufficient intensity and duration to achieve substantial learning gains”
  - States need to define what this means



# Grants Management

## Activity 3:

- Ask the Expert: Jot down what else everyone needs to know.
- Everyone else: Jot down what else you need to know.



# Grants Management

- The Three P's: What do we need to strengthen related to performance levels?
  - Are adequate **policies** in place?
  - Has **professional development**/training being provided?
  - How pervasive is effective **practice**?



# State Leadership





# State Leadership

- May not expend more than 12.5% of federal allocation
- 11 eligible activities

# Name That Tune!





# State Leadership

How many of the eligible state leadership activities can you name?



# State Leadership

- Professional development
- Technical assistance
- Technology assistance
- State or regional literacy resource centers
- Monitoring and evaluation
- Incentives for program coordination and performance awards



# State Leadership

- Developing and disseminating curricula
- Coordination with existing support services and other assistance to increase rates of enrollment and successful completion
- Integration of literacy instruction and occupational skill training and promoting linkages with employers
- Linkages with postsecondary education
- Other activities of statewide significance



# State Leadership

- One mandatory function (with federal or state leadership dollars)
  - Monitoring and evaluation



# State Leadership

## Activity 4:

- Ask the Expert: Jot down what else everyone needs to know.
- Everyone else: Jot down what else you need to know.



# State Leadership

- The Three P's: What do we need to strengthen related to performance levels?
  - Are adequate **policies** in place?
  - Has **professional development**/training being provided?
  - How pervasive is effective **practice**?



It's time to play!





# Today's Agenda—Last Part

- Identify **other areas of information needs** and look to the rest of the year to plan **follow up retreats**.



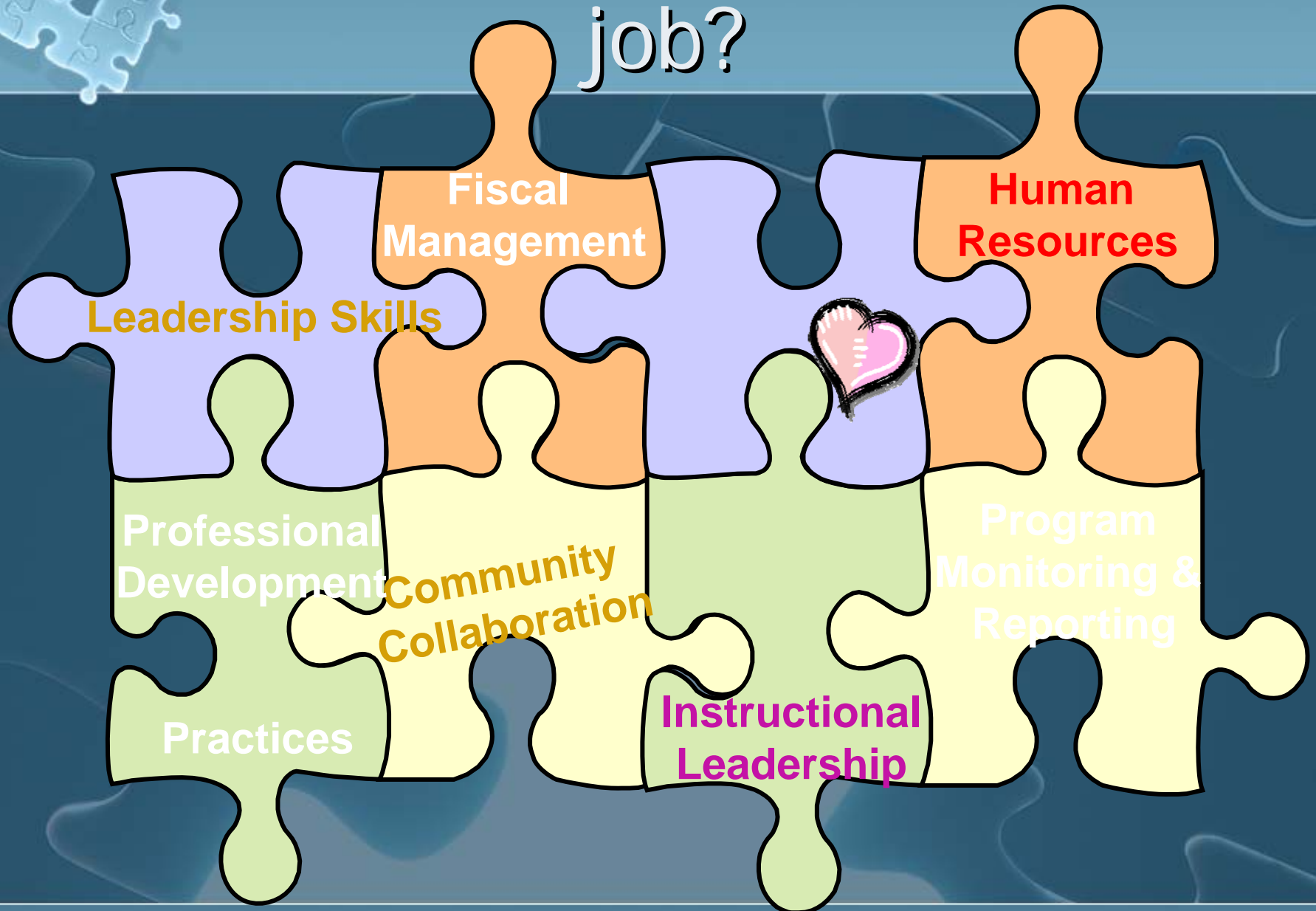
- What kind of flexibility do we have at the state?
- How do we build state system support?
- The annual time table
  - Self assessments
  - Program monitoring
  - Data analysis
  - Research
- Managing state initiatives
  - Task force work
  - State staff initiatives



# Next Steps

- How do we help local programs?
- Establishing a structure and process for them to improve
  - Assessing their strengths and weaknesses
  - Finding alternative strategies to address the weaknesses
  - Pilot testing them
  - Taking them to scale
- The hard nut—intervening in weak programs

# So what's it take to do the job?





# Always willing to help...

- Lennox McLendon
  - [lmclendon@naepdc.org](mailto:lmclendon@naepdc.org)
- Kathi Polis
  - [klpolis@charter.net](mailto:klpolis@charter.net)