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ABSTRACT

A study examined the role of the state in providing adult literacy services. Questionnaires were sent to state adult education directors, state library directors, and state literacy commission directors in the 50 states and five territories, with a varying rate of return approximating 75 percent. Each questionnaire sought information about budgetary matters, program criteria, demographics, needs assessment, program management, and evaluation. Some of the results of the surveys were as follows: (1) states are increasing their monetary commitment to literacy services; (2) state library directors estimate it costs approximately $260 to keep one adult in a library-related literacy program for one year, whereas keeping one illiterate adult in an adult-education-sponsored program for one year costs about $514; (3) adult education directors estimate that about 700,000 adults 16 years and older need literacy services in each state, but only 9 percent are receiving them; (4) state library directors estimate that for 1986 and 1987, 55,000-65,000 persons received literacy services through state and local public library programs; (5) 42 percent of the states have conducted needs assessments; and (6) insufficient funds, followed by lack of student motivation, were perceived as the greatest barriers to providing literacy services. (This report contains statistical tables and charts. Appendixes include the advisory panel, survey questionnaires, respondents by geographic region, and categories of users of literacy services.) (KC)

Solutions in Progress:

Results of a Survey of Literacy Programs and Activities

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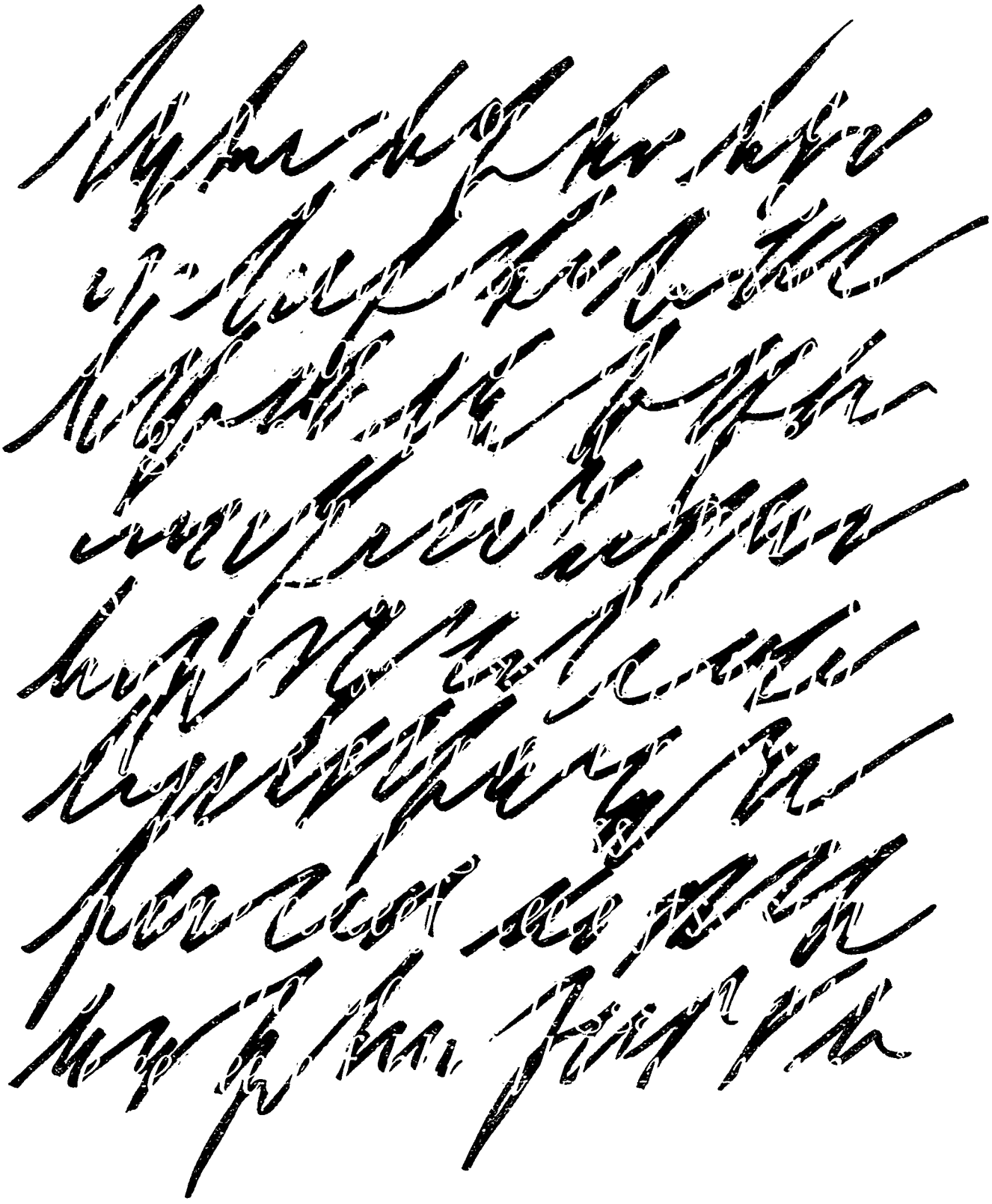

By Barbara J. Holmes, Sherry Freeland Walker and Patrick McQuaid December 1987

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The Education Commission of the States is a nonprofit, nationwide interstate compact formed in 1965. The primary purpose of the commission is to help governors, state legislators, state education officials and others develop policies to improve the quality of education at all levels. Forty-eight states, the District of Columbia, American Samoa, Puerto Rico and the Virgin Islands are members. The ECS central offices are at 1860 Lincoln Street, Suite 300, Denver, Colorado 80295. The Washington office is in the Hall of the States, 444 North Capitol Street, Suite 248, Washington, D.C. 20001.

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Highlights of Results

The Education Commission of the States Survey of Adult Literacy Programs and Activities found that:

- States are increasing their commitment to literacy services. Seventy-three percent (73%) of all survey respondents said their states add state money to federal funds earmarked for literacy services. The average amount added is $4 million, however, the range is great, with a high in 1987–88 of nearly $36 million added by Michigan and a low of $70,000 added by West Virginia. In 1986–87, California added $68 million, while West Virginia added $70,000. In 1985–86, California added $60 million, while Idaho added $80,000.
- State directors of adult education report more money is being earmarked for literacy services in their budgets. In 1985–86, the average amount was $23 million, but in 1987–88 that amount rose to $27 million.
- State library directors estimate it costs approximately $260 to keep one adult in a library-related literacy program for one year. Estimates of the costs of keeping one illiterate adult in an adult-education-sponsored program for one year are approximately $514.
- Adult education directors estimate that an average of 700,000 adults 16 years and older need literacy services in each state. Estimates range from a low of 19,000 to a high of 3.1 million. The directors estimate that, on average, only 9.1% of those needing services are, in fact, receiving them. Estimates range, however, from a low of 2% to a high of 93%.
- State library directors estimate that for 1986 and 1987, 55,000 to 65,000 people received literacy services through state and local public library programs funded through Title VI of the Library Services and Construction Act.
- According to adult education directors, 50% of the states have formally defined illiteracy. Of those with a definition, 33% tie that definition to grade level, with below 4th grade cited most often (by 13%).
- State directors of adult education, libraries and literacy commissions say the population in greatest need of literacy services is white, located in urban areas and includes all ages beyond 16 years.
- More than half of the adult education, state library and state literacy commission directors report that their states have literacy coalitions, commissions and/or task forces. When asked who initiated the group, they name a literacy services provider most often, with governors named second. Commissioners of education are named most as the "other" initiator of the state literacy commission.
- According to adult education directors, 42% of the states responding have conducted "needs" assessments. Most of these have been conducted within the last three years, but less than one-third of these assessments were conducted for the entire state. Nearly 20% of the needs assessments were conducted on those who seek literacy services, and 15% were conducted on special populations (e.g., unemployed, immigrants and/or prisoners).
- Directors of adult education divisions, state libraries and state literacy commissions ranked insufficient money, followed by lack of student motivation second as the greatest barriers to providing literacy services.

Foreword

This report examines the role of the state in providing adult literacy services. It is the first stage of the Education Commission of the States' effort to explore literacy issues that have implications for policy and practice at many levels. Because federal funds earmarked for literacy services flow from the U.S. Department of Education to adult education (and adult basic education) programs and to state libraries, ECS asked state directors of these two agencies to participate in a comprehensive survey, the results of which are presented here.

Also included are views of the statewide commissions, coalitions or task forces formed to improve the delivery of in-state literacy services. These planning and coordinating bodies are a response to increased policy-maker awareness that collaborative and coordinated efforts are necessary if literacy services are to reach those truly in need and if available resources are to be used effectively.

Although our survey focused only on adult education, state library and literacy commission efforts, numerous other agencies and individuals provide a wealth of literacy services as well. At the federal level, efforts are supported by the Departments of Defense, Health and Human Services, Housing and Urban Development, Interior and, of course, Labor and the ACTION agency. Private-sector literacy activities and services are funded and sponsored by corporations, foundations and many, often church-affiliated, volunteer efforts. These efforts are substantial, many have longer histories than the divisions of adult education and libraries reported here, and they should be involved in state efforts to improve overall coordination of literacy services. Taken together, these programs represent the range of solutions in progress.

The significance of this report does not rest with the numbers it contains. Rather, the results paint a picture of how need is projected and services delivered, who determines what data are relevant and what criteria they use to set state policy and program goals. The numbers also provide a common baseline of information for each of the participating states.

The survey was not designed to test hypotheses, but to identify and rank major areas of concern so that possible relationships between those concerns could be explored. We hope these results will be the first step in tying literacy data collection to decision making.

Frank Newman

Frank Newman
President
Education Commission of the States

Acknowledgments

This study of literacy programs and activities could not have been accomplished without assistance, insight and ideas from a number of people around the country. First among these are the members of the ECS National Advisory Panel on Adult Literacy who suggested areas in which information was needed to help improve the coordination among agencies and programs attempting to alleviate illiteracy in every state. Panel members are listed in Appendix A.

Jon Winterton and Joye Smith, both of the University of Colorado at Denver, played an invaluable role in this endeavor by providing the technical assistance necessary to plan and execute the computerized data analyses. Their knowledge of survey methods and analysis have made it possible to retain the objectivity needed for this type of investigative research.

In September 1987, ECS held a small, interpretive conference in Bethesda, Maryland, to engage literacy administrators and practitioners in a dialogue about the results of the survey Many provocative perspectives surfaced. ECS is grateful for the participation of the following attendees: Russell Kratz, Julia Seward, Mary Ann Williams, Jacqueline Cook, John Blalock, Jorie Mark, Carol Cameron and Adrienne Shute. Readers should be advised, however, that ECS assumes full responsibility for the interpretations and recommendations, implied or explicit, presented here.

Several members of the ECS staff have made valuable contributions to the development of the survey instruments, monitoring the return of the questionnaires and preparation of this report Chief among these are Robert Palaich, Van Dougherty, Patty Flakus-Mosqueda, Chris Pipho, Sherry Freeland Walker, Patrick McQuaid, Marci Reser, Lyn Hesketh, Ruth Rosauer, Anna West and Joy Miller. However, I must accept full responsibility for the survey design and its limitations.

Most of all, ECS is extremely grateful to all the respondents for the time used to complete the survey, the depth of their answers, the attention to detail and for the explanations provided so we could better interpret answers. Respondents in eight states wrote letters to clarify what kind of state activities were under way. Some felt that their particular state situation did not easily lend itself to a checklist or fill-in-the-blank survey. We deeply appreciate their desire to provide as accurate a picture as possible. The rate of return to this survey surpassed what we had anticipated. Thank you for your generosity of interest.

Barbara J. Holmes

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Director
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The Context

State efforts to provide sweeping literacy services for adults have their roots in federal action. The Economic Opportunity Act of 1964 created the Adult Basic Education Program, which provided opportunities for individuals at least 18 years of age to acquire the basic skills necessary to function in and contribute to society.

In most states, the legislation marked the first time that funds were made available for populations in need of literacy skills. Eligibility, however, was limited to local school districts until 1978 when the law was amended to include public and private nonprofit agencies. These amendments made funds available to volunteer organizations, libraries, service groups and, in some states, other public education agencies. Further amendment in 1984 made private profit-making institutions, such as proprietary schools, eligible. The intent of both amendments was to provide a pluralistic delivery system for those in need of literacy skills.

In late 1984, at the conclusion of his stint as U.S. secretary of education, Terrell Bell wrote the governors that rates of illiteracy were too high and that high-level leadership in the states was needed to address the issue. Some states responded to the secretary's call to action. However, most of the public responded with disbelief.

Other Efforts

Two years later, several efforts began to attempt to change the public view. *Literacy. Profiles of America's Young Adults,* a report on functional illiteracy in America by Irwin Kirsch and Ann Jungeblut of the National Assessment of Educational Progress, drew attention to levels of literacy, the impact of varying definitions of literacy and illiteracy and the need for intensive and cooperative efforts to alleviate the problem. Similarly, author Jonathan Kozol sounded the alarm with his report, *Where Stands the Republic? Illiteracy. A Warning and a Challenge to the Nation's Press.* While many criticized and protested Kozol's assertions as overstating the problem, it was becoming clear that illiteracy was increasing in America and that little was known about how many persons were illiterate or how to solve the problem.

The same year, several private groups initiated campaigns to fight illiteracy. The Public Broadcasting System and the American Broadcasting Corporation announced an unprecedented collaboration between commercial and public television — PROJECT LITERACY: U.S. (PLUS). The PLUS campaign (which included documentaries, movies, public service announcements, community task forces, hot lines and other activities) generated widespread awareness of the issue and led to a significant increase in the number of persons seeking literacy services.

The B. Dalton book store chain and the Gannett Foundation, which launched early private-sector, corporate commitments to eradicating illiteracy, continued funding community literacy programs. In 1986, the Gannett Foundation began requesting proposals to increase collaboration and planning among the various service providers in states. Both companies realized that state action was necessary if the problems of illiteracy were to be resolved.

These efforts and more are an acknowledgement of the seriousness of the illiteracy crisis in American society.

Elusive Collaboration

Getting the collaboration needed has proved to be a complicated, complex process. First of all, the funding, management and administration of literacy services is highly decentralized. It is difficult to think of the single institution or place within society that ought to be leading the battle against illiteracy. Questions about responsibility, action and results turn up confusing answers because there are so many groups involved (federal and state agencies, foundations, corporations, schools, libraries, volunteer groups, etc.) and sources of data.

In addition, there is no central place to seek information about literacy activities nationwide, within a region or a state. Agencies, associations and organizations can provide information only about their particular affiliates, their target populations, their interests and concerns. Because service providers must compete for the same pool of funds, they are reluctant to share information.

The result is that policy makers seeking to alleviate the illiteracy crisis often run into a stone wall of missing or incomplete information. ECS to date has responded to requests from

more than 30 states for guidance on state responsibilities models or guidelines and ways to set and assess goals.

It was in this context that ECS, in June 1987, conducted a comprehensive survey of adult literacy activities and programs in the 50 states and the American territories. Groups selected for the survey received questionnaires tailored to their particular area of service and knowledge of the literacy issue in their states. Survey questionnaires are included in Appendix B. Table 1 shows the number mailed, the number returned and the rate of response.

TABLE 1. Rate of Survey Participation

State Office	Number Mailed	Number Returned	Rate of Return
Adult education directors	55	48	87%
State library directors	47	34	72
State literacy commission directors[1]	34	23	68

The Data Analyses

Although different in focus and depth, each questionnaire sought information about the same six major themes or areas. Those were:

- **Budgetary matters** — to determine which state agency is primarily responsible for administering adult literacy services, to what extent states add to federal funds and how state contributions to literacy services may have changed during the past three years
- **Program criteria** — to find out how programs qualify for literacy funding
- **Demographics** — to determine the characteristics of populations who need literacy services within states and across regions
- **Needs assessment** — to compare formal definitions of literacy and what kinds of statistics states gather
- **Program management** — to find out what methods of literacy instruction are most common and what kind of formal training states offer tutors, to understand how much programs cost per student and what barriers exist to providing programs to those who need them
- **Evaluation** — to determine what tools states are using or could use to measure program efficacy

Items representing the same themes have been grouped and analyzed by the three responden groups and by geographic regions (see Appendix C for a list of the states within each region responding to the survey). For example, several discrete items from the three questionnaires have been combined to make the category called Program Management. Within this category are responses about literacy services, mode of instruction, program costs, resources, materials and training of tutors and administrators.

Results presented in this report are accurate within a plus- or minus-5% margin of error. Significant responses of "other" for various questions will be tabulated later.

Not every item has been assigned to a category. For example, responses to questions about VISTA volunteers, hot-line referrals and other items will be compiled and reported later through the *ECS Clearinghouse Notes,* which present 50-state data bases.

State literacy commission directors were asked fewer, and different, questions than the other two groups because they have been in existence less time and are advisory, rather than programmatic. Because of this, their perceptions also are often quite different from that of the other two groups.

During the survey, ECS also collected information on effective programs which will be used in future efforts to examine the literacy programs and activities provided by the vast network

[1]*At the time of this survey, ECS identified 26 states as having statewide literacy coalitions, commissions or task forces. However, in seven of these, two or more groups identified themselves as the statewide literacy commission. Nineteen different states responded to the questionnaire, although 23 questionnaires were returned.*

of community-based organizations (CBOs). ECS will study CBO programs funded by state education agencies and state libraries and affiliated with national volunteer literacy groups and other private-sector organizations. The results of that survey will be published in the summer of 1988. In addition, ECS will follow up some of the findings presented in this report by publishing at least two papers which examine the pros and cons of various state policy positions on literacy.

Chapter I

Budgetary Matters

Note: *Questions and to whom they were directed are followed by tables or graphs that break down the results by respondent group and by region. Tables show the answers that each respondent was asked to choose from and the percentage of respondents choosing each answer. In some cases, figures do not add up to 100% because some of those surveyed did not answer the question. In others, percentages total more than 100% because respondents could select more than one answer. When several questions relate to the same issue, the discussion follows the last question. A brief summary concludes each section.*

Abbreviations are used for the respondent groups in some of the tables and discussions. AELs (adult education directors), SLDs (state library directors) and SLCs (state literacy commission directors).

Budget decisions are critical to program establishment and development. A number of items sought insight into the choices states make in funding and administering adult literacy programs.

Question to adult education directors:
In your state, what agency receives and administers federal adult education funds?

	Northeast-Atlantic Is.	South-Southeast	Central-Midwest	West-Pacific
	(Percentages)			
Community college system	—	8	—	8
State education agency	100	92	100	92
Public school districts	—	—	—	—
Vocational education agency	—	—	—	—
Other	—	—	—	—

Question to state literacy commission directors:
What agency primarily oversees monies for adult literacy services?

	Northeast-Atlantic Is.	South-Southeast	Central-Midwest	West-Pacific
	(Percentages)			
Community college system	—	22	—	25
State education agency	100	44	71	100
Public school districts	—	—	14	25
Vocational education agency	—	11	—	50
Other	—	22	29	75

Discussion: With few exceptions, adult education and state literacy commission directors said the state education agency is the principal provider of adult literacy programs. However, outside of the Northeast, they identified significant contributions by community colleges and vocational agencies.[1]

[1]*According to the Business Council for Effective Literacy, a publicly supported foundation that encourages business involvement in literacy issues, community colleges constitute the exclusive system for delivery of basic skills to out-of-school adults in Iowa, North Carolina, Oregon, Washington and Wisconsin. In seven states, community colleges are the predominant source of adult basic education instruction. Alaska, Idaho, Kansas, Nebraska, Nevada, New Mexico and Wyoming.*

Question to adult education and state literacy commission directors:
Does your state "match" the federal adult education funds earmarked for literacy services? If so, what is the amount of the match and what percent of the budget is that amount?

	Northeast-Atlantic Is.	South-Southeast	Central-Midwest	West-Pacific
	(Percentages)			
AEDs				
Yes, state matches	46	33	36	39
Amount of state contributions	none given	none given	$700,000 (1 case)	none given
% of total adult education budget	13	10	31	66
SLCs				
Yes, state matches	100	44	86	50

Discussion: The survey asks respondents if their states match or add to federal funds. "Match" is defined as the nine-to-one maintenance of effort required to participate in the federal progr ms. Funds "added to" are over and beyond the amount required to "match" and are considered the key indicators of interest. Adult education directors and literacy commissioners reported that about half the states match federal funds for adult literacy programs. All state literacy commissions in the Northeast reported that their states do so. This was followed by the Central states, 86% of which match federal funds, according to literacy commissions. Only 50% of the Western and 44% of the Southern states do so.

Question to adult education directors:
Does your state "add to" the federal adult education funds earmarked for literacy services? If so, how much, and what percentage of the adult education budget is that amount?

	Northeast-Atlantic Is.	South-Southeast	Central-Midwest	West-Pacific
	(Percentages)			
Yes, state adds funds	82	82	73	69
Amount added	$4,050,000	$6,719,000	$3,733,000	$2,084,000
% of total adult education budget	46	41	46	21*

**The percent of total adult education budget for the West does not include Utah's unusually high cont ition of 600%, the highest in the nation.*

Discussion: About 80% of AEDs said their states add to federal funding, with $4 million the average. Southern states lead the way with an estimated $6.7 million-plus contributed. The Western regions add slightly more than $2 million per state. For fiscal years 1987–88 and 1986–87, Arizona, Arkansas, Georgia, Idaho, Kansas, Montana, Nebraska, Nevada, New Mexico, New York, Pennsylvania and Utah each added 100% to federal funding. Delaware added 100% in 1987–88. At the other extreme, West Virginia added only 6% to federal funds. The pattern was similar in 1985, when South Carolina added only 7% to federal monies. Table 2 shows the range of state funds added to federal funds.

TABLE 2. **Highest and Lowest Dollar Amounts Added by States to Federal Funds for FY 87–88, FY 86–87 and FY 85–86**

	High State	$ Amount	Low State	$ Amount
FY 87–88	Michigan	$35.7 million	West Virginia	$70,000
FY 86–87	California	$68 million	West Virginia	$70,000
FY 85–86	California	$60 million	Idaho	$80,000

Question to adult education directors:
What percentage of the state's total adult education budget has been earmarked for literacy services?

	Northeast-Atlantic Is.	South-Southeast	Central-Midwest	West-Pacific
	(Percentages)			
FY 87–88	69	69	69	90
FY 86–87	63	63	67	82
FY 85–86	61	57	66	91

Discussion: All states across the last three years designated from 57% to 91% of their adult education funds for literacy programs, respondents reported. This means that an average of three-fourths of adult education funds go to literacy services. Increases for the current fiscal year were consistently small across all regions.

These findings suggest a considerable commitment to adult literacy programs, both in dollar amounts added to federal funds and in percentage of increase over the past three years.

Questions to adult education directors:
What is the dollar amount of the state adult education budget earmarked for literacy services?

	Northeast-Atlantic Is.	South-Southeast	Central-Midwest	West-Pacific
	(Means, in millions)			
FY 87–88	$30,051	$28,135	$27,796	$24,779
FY 86–87	$29,719	$23,034	$25,690	$27,866
FY 85–86	$26,277	$22,502	$24,679	$20,082

What is the average amount spent per student?

	Northeast-Atlantic Is.	South-Southeast	Central-Midwest	West-Pacific
	(Means)			
FY 87–88	$185.60	$126.67	$213.67	$155.10
FY 86–87	$164.02	$121.00	$197.14	$150.67
FY 85–86	$159.78	$335.63	$205.92	$128.07

Question to state literacy commission directors:
What is the amount of state funds appropriated to implement adult literacy legislation over any of the last 10 years?

	Northeast-Atlantic Is.	South-Southeast	Central-Midwest	West-Pacific
		(Means)		
Amount appropriated	$450,000 (1 case)	No response	$4,200,000	$3,050,000

Discussion: AEDs reported that the amounts budgeted for adult literacy services ranged from a low of just over $20 million per state in the Western region for fiscal year 1985–86 to more than $30 million for states in the Northeast during 1987–88 — an average of about $28 million per state nationwide. State budgets increased between 1985–86 and 1987–88 with the exception of the Western region, where this year's estimated budget is down nearly $3 million from 1986–87. However, states in that area reported an increase of nearly $8 million between 1985–86 and 1986–87.

This item produced very distinct responses from the much smaller SLC sample, although there were a number who did not answer the question. Nevertheless, the disparities between answers of the AEDs and the SLCs are both striking and unexplained by this investigation.

The survey found a remarkable consistency across years and states regarding the amount of state money spent per student. In most cases, states spent from $100 to $200 in each of the three years examined per adult who wished to become literate. This seems a remarkable bargain for any social program. The Job Corps Program, for example, spends $9,500 per student, but is more inclusive.[2]

There were extremes, however, in the estimated cost of keeping one student in a state-sponsored literacy program for one full year. Utah's AED estimated the actual per-year cost per student at a high of $3,013, while Iowa's estimated it cost only $82. Such discrepancies in per-student cost are likely due to differences in perceived level of need and state commitment. Moreover, states may have based their responses on computations arrived at through different cost estimates.

Following is the range of annual per-student costs over the three-year period studied.

TABLE 3. Highest and Lowest Annual Per-Student Costs of State-Sponsored Literacy Programs

High State	$ Amount	Low State	$ Amount
Utah	$3,013	Iowa	$82
Michigan	$2,400	Nebraska	$96
Florida	$2,007	Puerto Rico	$98
California	$1,308	Arizona	$98

Summary: States show great interest in literacy services according to information provided on funding. Most contribute in two ways. by budgeting the matching funds necessary to receive federal monies and then adding money on top of that. Respondents reported that the average amount added is $4 million. However, how much is done runs the gamut from state to state and region to region. The South leads the way at $6.7 million contributed, while the West adds about $2 million. Some individual states, such as Michigan and California, contribute considerably more than others, and some contribute very little, with the amount budgeted depending on the state's commitment and the factors used to determine need and cost. Per-student expenditures also cover the extremes, ranging from less than $100 to more than $3,000, although the majority of states annually spend from $100 to $200 per person.

[2] *A. Hahn and J. Danzberger with B. Lefkowitz,* Dropouts in America. Enough Is Known for Action. *Washington, D.C.. Institute for Educational Leadership, March 1987.*

Chapter II

Program Criteria

Questions in this category looked at how literacy programs apply and qualify for funding.

Question to adult education directors:
How do programs apply for funding from your state?

	Northeast-Atlantic Is.	South-Southeast	Central-Midwest	West-Pacific
	(Percentages)			
Written request/proposal	91	50	58	62
Standard application form	9	58	67	39

Question to state library directors:
How do public libraries apply for literacy program funding?

	Northeast-Atlantic Is.	South-Southeast	Central-Midwest	West-Pacific
	(Percentages)			
Written request/proposal	25	13	36	29
State-library-developed application form	63	50	36	43
Other	25	13	9	86

Discussion: AEDs in 10 of the 11 Northeastern states reported that programs use a written request or proposal to apply for funding. States throughout the rest of the nation were split about 50–50 on procedure with slightly more in the West relying on proposals.

About half of public libraries use state-library-developed application forms to apply for funding, according to SLDs.

Question to adult education directors:
What criteria should programs meet in order to qualify for adult literacy funds?

	Northeast-Atlantic Is.	South-Southeast	Central-Midwest	West-Pacific
	(Percentages)			
Compliance with regulations about special populations	64	67	83	62
Facilities	55	67	67	39
Qualifications of tutors	55	33	75	39
Qualifications of directors	55	33	75	39
Literacy gains by students	82	50	83	54
Procedures for recordkeeping	73	58	92	62
Clearly defined instructional methods	91	50	83	69
Other factors	18	50	17	31

Question to state library directors:
What criteria must public library-based programs meet to qualify for Title I funding?

	Northeast-Atlantic Is.	South-Southeast	Central-Midwest	West-Pacific
	(Percentages)			
Service to special populations	25	38	37	29
Facilities	25	50	27	29
Qualifications of tutors	—	25	18	14
Qualifications of directors	25	38	18	29
Procedures for recordkeeping	13	38	36	29
Clearly defined instructional methods	13	38	27	14
Other factors	38	13	36	57

Discussion: In this multiple-response question, more than half the Northeastern AEDs cited all seven criteria desirable for programs to qualify for adult literacy funding. Those in the Central states were even more likely to check each category, with facilities receiving the fewest answers. Only three criteria were mentioned by more than half the Southern AEDs: compliance with regulations, facilities and procedures for recordkeeping. More than half the Western AEDs listed compliance with procedures for recordkeeping and regulations, clearly defined instructional methods and literacy gains by students. The range of responses suggests that throughout the nation AEDs ask programs to meet a considerable number of standards to qualify for funding.

SLDs uniformly reported fewer criteria than AEDs for public library literacy programs to qualify for Title I monies (Title I funds are provided through the federal Elementary and Secondary Education Act). Facilities was the only listed criterion to be selected by 50% of the respondents, and this occurred only in the South. The other criteria were mentioned from 13% to 38% of the time.

Question to adult education directors:
How many state-funded literacy programs are run by community-based organizations affiliated with a national volunteer program?

Region	Percentage of Programs Affiliated With National Volunteer Programs: Less than 25%	25–49%	50–74%	75–100%
	(Percentage of respondents choosing each category)			
Northeast-Atlantic Is.	36	18	18	18
South-Southeast	67	8	—	17
Central-Midwest	67	—	8	8
West-Pacific	77	8	—	—

Question to state library directors:
How many public library literacy programs are affiliated with a national volunteer program?

	Percentage of Programs Affiliated With National Volunteer Programs: Less than 25%	25–49%	50–74%	75–100%
	(Percentage of respondents choosing each category)			
Literacy Volunteers of America				
Northeast-Atlantic Is.	38	13	—	50
South-Southeast	13	—	—	—
Central-Midwest	18	—	18	9
West-Pacific	14	29	—	—

Laubach Literacy Action				
Northeast-Atlantic Is.	63	—	—	13
South-Southeast	—	13	—	38
Central-Midwest	18	18	—	36
West-Pacific	71	14	14	—

Discussion: Two-thirds of AEDs said state-funded programs are affiliated, at least to some degree, with a national volunteer program. However, the most frequent response was that it occurs "less than 25% of the time."

The pattern of responses from SLDs was unclear. Readers are invited to draw their own conclusions.

In neither case were respondents given the opportunity to answer "0%," but some respondents failed to answer the question.

Question to adult education directors:
How are community-based organizations (CBOs) accountable to the adult education office?

	Northeast-Atlantic Is.	South-Southeast	Central-Midwest	West-Pacific
	(Percentages)			
Budgetary reporting	100	92	67	62
Program quality	100	75	50	69
Recruitment procedures	64	33	25	23
Other methods	18	33	25	39

Discussion: Nearly all of the respondents in the Northeastern and Southeastern areas audit CBOs according to budgetary and program-quality criteria. Two out of three Central and Western respondents said their states require CBOs to report budgetary information, while nearly the same number ask for evidence of program quality. Two out of three Northeastern states examine recruitment procedures, according to the AEDs, while only about a quarter of the states in the rest of the nation concern themselves with this area of quality control. It would appear that the Northeast leads the nation in the comprehensiveness of program evaluation.

Question to state library directors:
What regulatory procedures do SLDs recommend or require public libraries using Title I literacy money to follow?

	Northeast-Atlantic Is.	South-Southeast	Central-Midwest	West-Pacific
	(Percentages)			
Recordkeeping	50	75	36	57
Evaluation of student progress	38	50	18	14
Evaluation of tutors	38	25	18	14
Evaluation of project	50	63	36	57
Recruitment	38	25	18	14
Student intake	38	25	18	14
Pretest/posttest	25	38	9	14
Follow-up of students	38	25	9	14
Other	13	13	46	29

Discussion: SLDs prefer that public libraries using Title I literacy money keep records, however, other than in the South, where six of eight states require or recommend recordkeeping, only about half of the directors checked this response. About half seek evaluation procedures of some kind.

Summary: The survey found that most funds are awarded on the basis of written requests or proposals rather than on standard application forms. Numerous criteria are used to award funds, with most respondents listing a variety, ranging from compliance with regulations to instruction methods to facilities. Library programs must meet fewer criteria, with facilities the only one to be mentioned by at least half the respondents.

Fewer than 25% of state-funded programs are affiliated to some degree with national literacy efforts, the survey found. Those run by community-based organizations are accountable to the state primarily for budgeting and program-quality criteria. State libraries tend to look for recordkeeping.

Chapter III

Demographics

Demographics were examined to determine characteristics of those who need literacy services.

Questions to adult education and state literacy commission directors:
How many adults, age 16 and over, need literacy services in your state? What percent of those are being served?

	Northeast-Atlantic Is.	South-Southeast	Central-Midwest	West-Pacific
AEDs				
Number needing services	651,000	921,000	782,000	485,000
% being served	5.6%	6.4%	14.1%	10.3%
Number being served (extrapolated)	36,456	58,944	110,262	49,955
SLCs				
Number needing services	1,583,333	875,555	942,818	3,130,000
% being served	3.7%	6.5%	5.8%	12.3%
Number being served (extrapolated)	58,583	56,911	54,683	38,499

Discussion: AEDs reported that half a million to more than 900,000 persons age 16 and older need literacy services in their states, an average of nearly 700,000 per state nationwide. However, they say that only 6–14% of these people, or approximately 36,000 to 110,000, actually receive assistance.

SLCs reported much higher figures — from nearly 900,000 to more than 3 million people in their respective states needing literacy services. This averages out to more than 1.6 million in each state, although they estimated, however, that only 4–12% are getting such services.

This information strongly suggests that literacy providers have very different perceptions of how many people require literacy services in their states. There is, however, an interesting consistency regarding the percentage of people served. These findings call for more information-sharing within state boundaries by those serving the same population. They also consistently call for strengthening literacy programs.

Questions to state library directors:
How many people are served by Title I literacy projects in your state?

	Northeast-Atlantic Is.	South-Southeast	Central-Midwest	West-Pacific
Number served by Title I	12,701	19,243*	3,966	3,700

**The Title I average does not include Texas, which reported 61,500 adults served by Title I, considerably more than other states.*

How many are served by Title VI funds?

	Northeast-Atlantic	South-Southeast	Central-Midwest	West-Pacific
Via state libraries (1986)	1,800 (1 case)	50,000	—	—
Via local public libraries (1986)	1,150	134,670	2,209	—
Via state libraries (1987)	40 900*	—	1,750	—
Via local public libraries (1987)	1,400	6,924	2,427	95,583

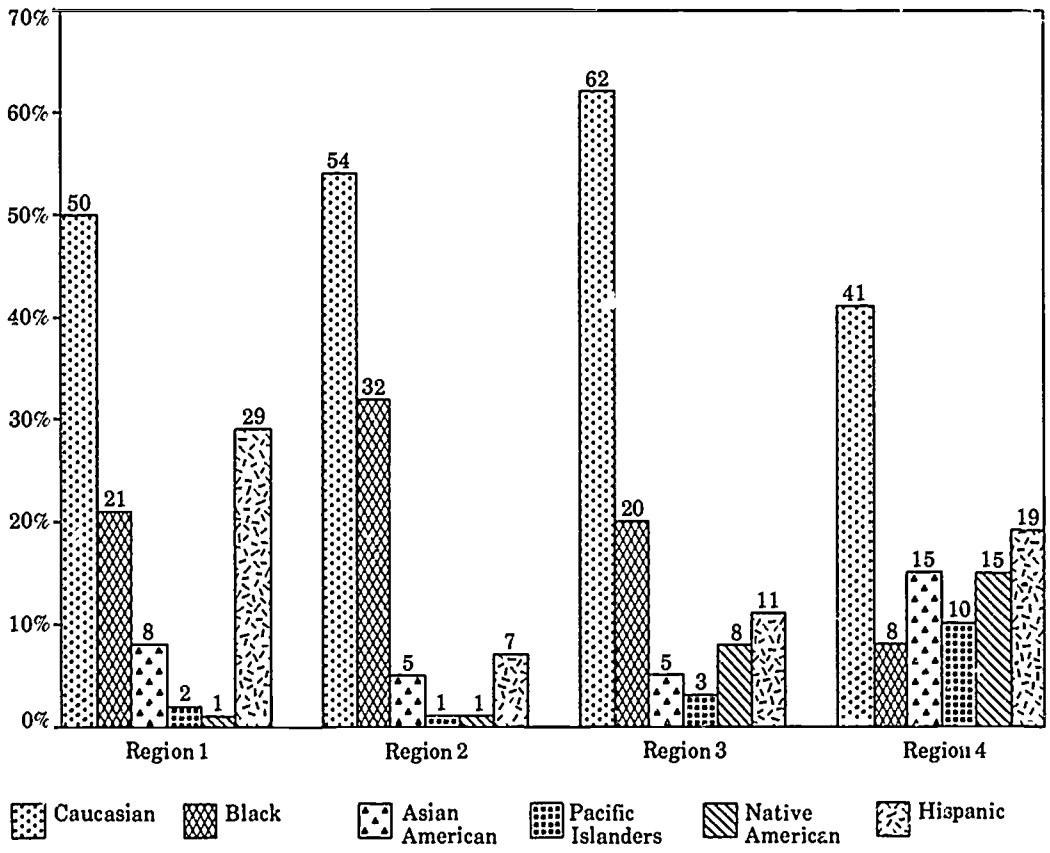
**The New Hampshire SLD estimates 80,000 persons served by Title VI, which is significantly higher than other states in the region. This is not figured in so as not to present a misleading average.*

Discussion: SLDs said from 3,700 to 19,000 people are served by Title I literacy projects in their states. Data on the number of people served by Title VI funds (the Library Services and Construction Act) are suspect because a number of regions failed to respond to this question. There were only four cases in which states within a region reported widely varying numbers of people served. For example, New Hampshire reported 80,000 people who benefited from these funds, while Maine cited only 1,800. This difference suggests that the question itself may have led to varied interpretations.

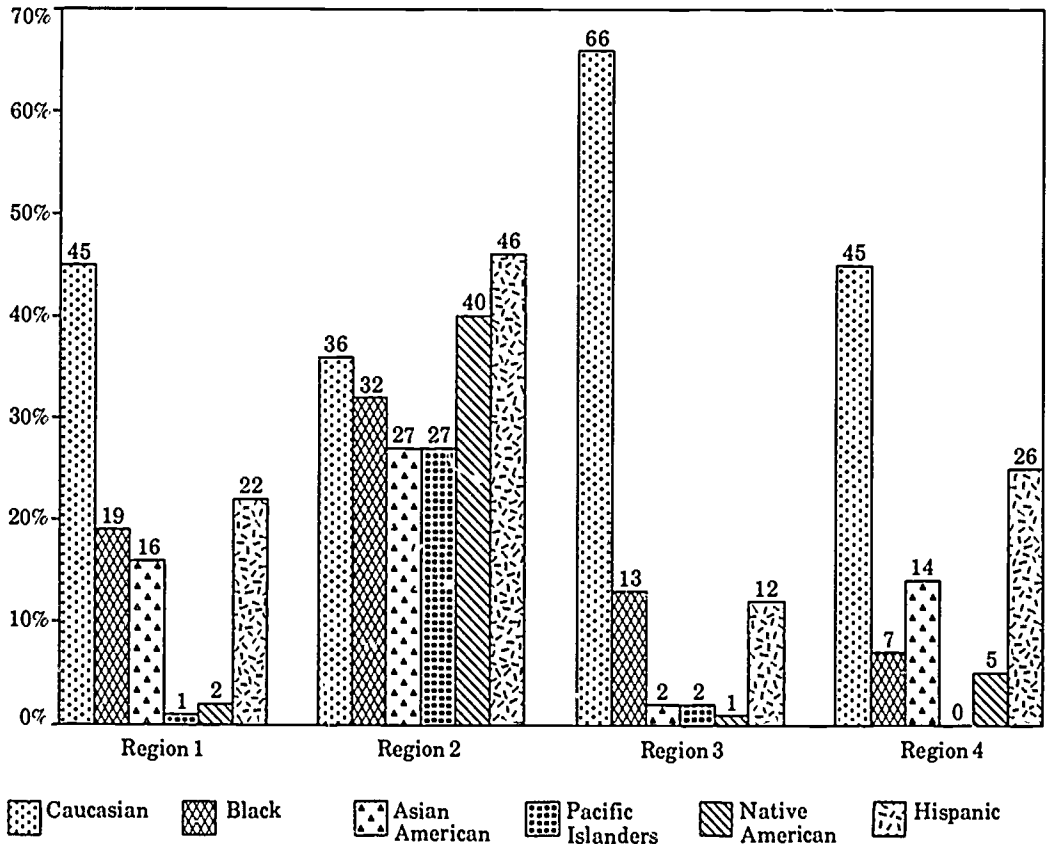
However, these findings, when compared to those from the AEDs, continue to suggest that only a small portion of those in need of adult literacy services are actually being served.

Question to adult education, state library and state literacy commission directors.
How would you characterize the population of greatest need in your state by ethnicity?

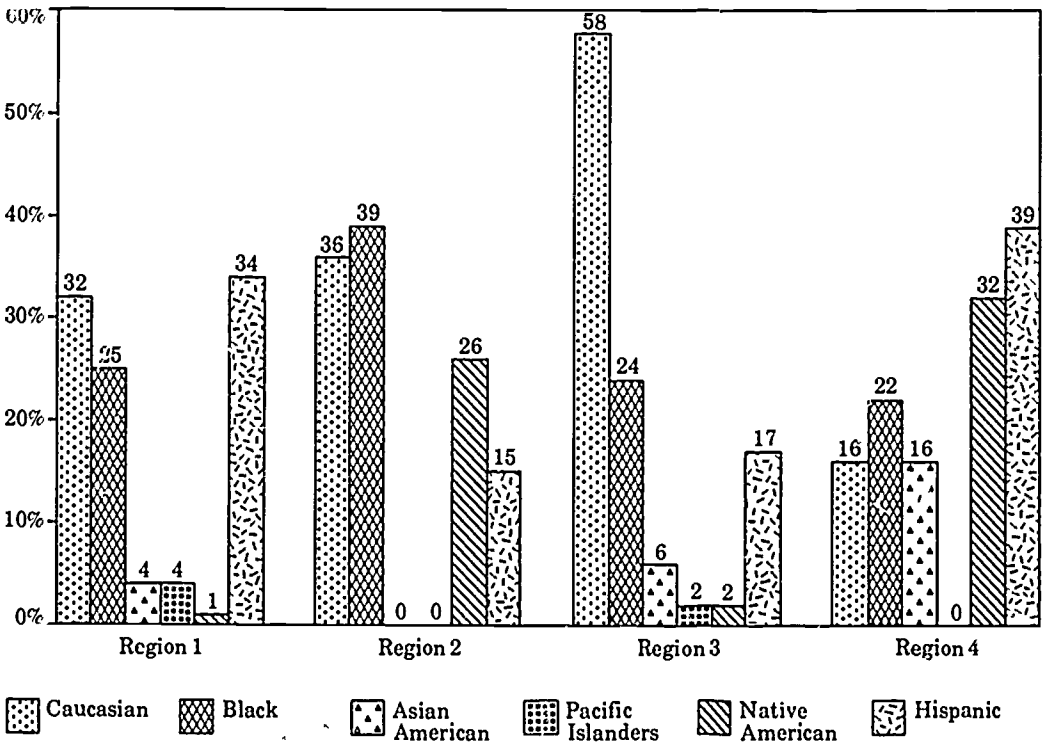
Ethnic Population of Greatest Need
Estimates by Adult Education Directors



Ethnic Population of Greatest Need
Estimates by State Library Directors



Ethnic Population of Greatest Need
Estimates by State Literacy Commission Directors



Discussion: AEDs reported that whites are the population in greatest need of literacy services across all the states and territories sampled. Whites were identified as making up 41% of that population in the West to 62% in the Central states. Blacks and Hispanics alternated second and third place throughout the country. Blacks ranged from a high of 32% of the population most in need of literacy services in the South to a low of 8% in the West.

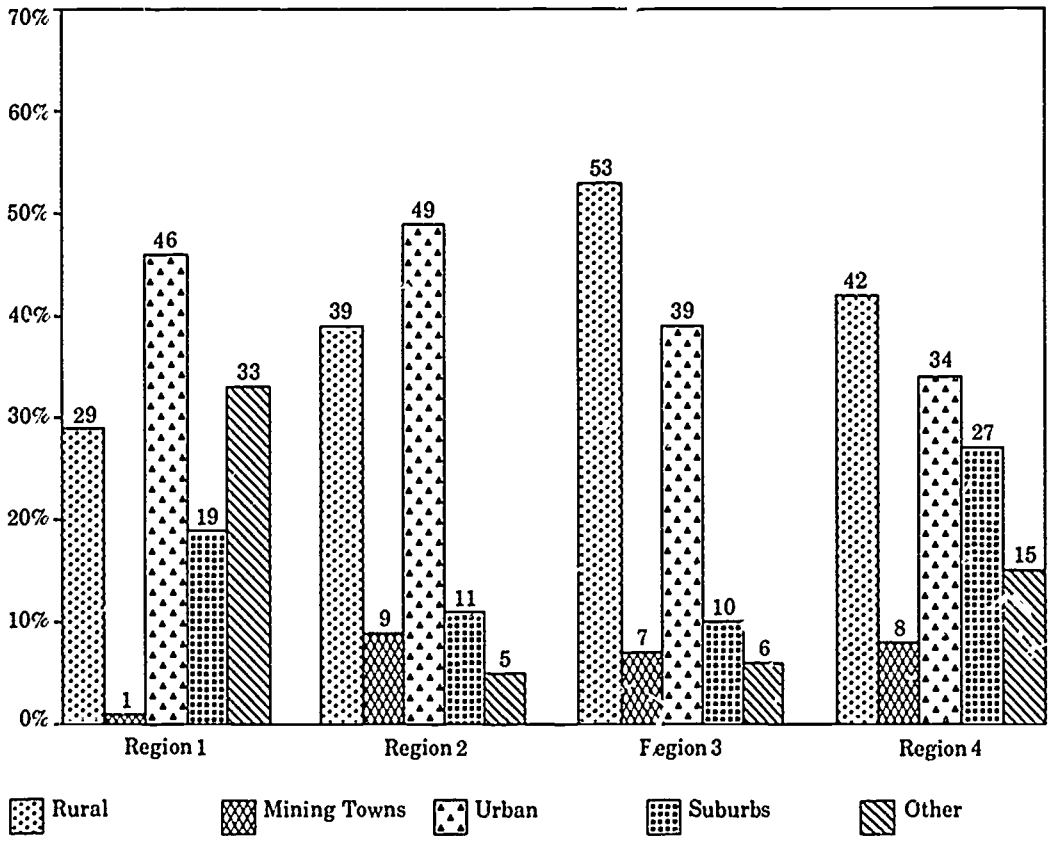
SLDs, with the exception of those in the South, also identified whites as the population of greatest need. In the South, this group trailed Hispanics and Native Americans. Hispanics traded second, third and fourth place with Blacks and Native Americans. Asian-Americans were cited frequently as having the greatest need in all but the Central states.

Among literacy commissions, only those in the Central region cited whites as the population in greatest need of literacy services, where they were said to make up about 58% of those in need. (This region consistently mentioned whites as the population of greatest need across all three questionnaires.) SLCs in the Northeast and West listed Hispanics as most in need of aid. Blacks were most often mentioned by SLCs in the South. Native Americans received a considerable mention in the South and West, as did Asian-Americans in the West. Pacific Islanders were scarcely mentioned anywhere.

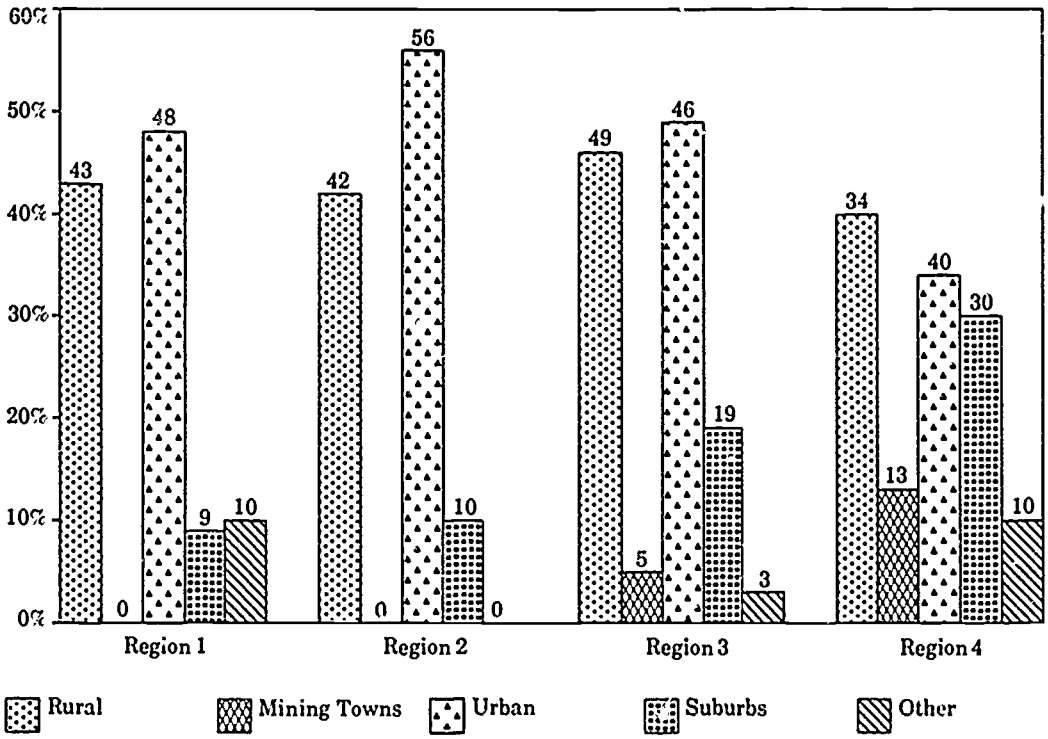
Observation: While these data illustrate much consistency across responding groups as to perceptions of need, there is enough variation to call for more information-sharing in identifying who needs to be served within each state. It is also clear that populations of need vary from region to region.

Question to adult education, state library and state literacy commission directors.
How would you characterize the population of greatest need in your state by **location?**

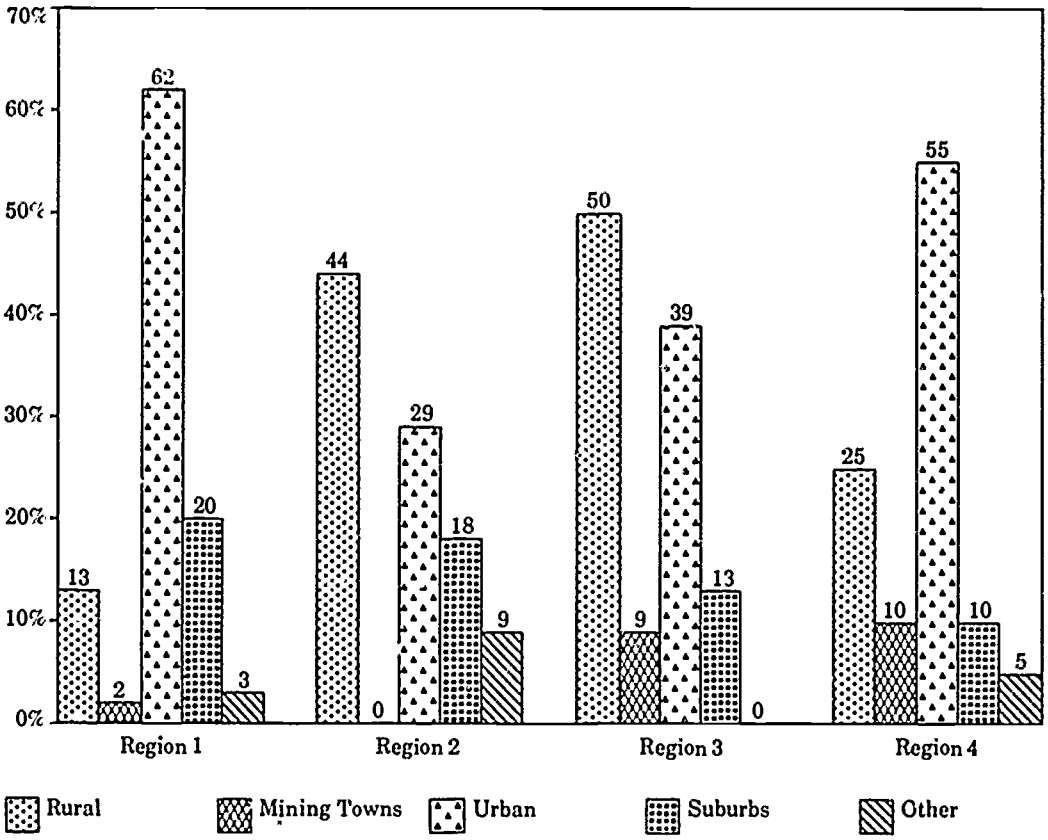
Location of Population of Greatest Need
Estimates of Adult Education Directors



Location of Population of Greatest Need
Estimates by State Library Directors



Location of Population of Greatest Need
Estimates by State Literacy Commission Directors



Discussion: AEDs in two regions (the Northeast and the South) clearly cited urban areas as having the greatest need for literacy services, with rural areas second. Rural locations were first in the Midwest and West, with urban centers second. Suburban areas consistently came in third.

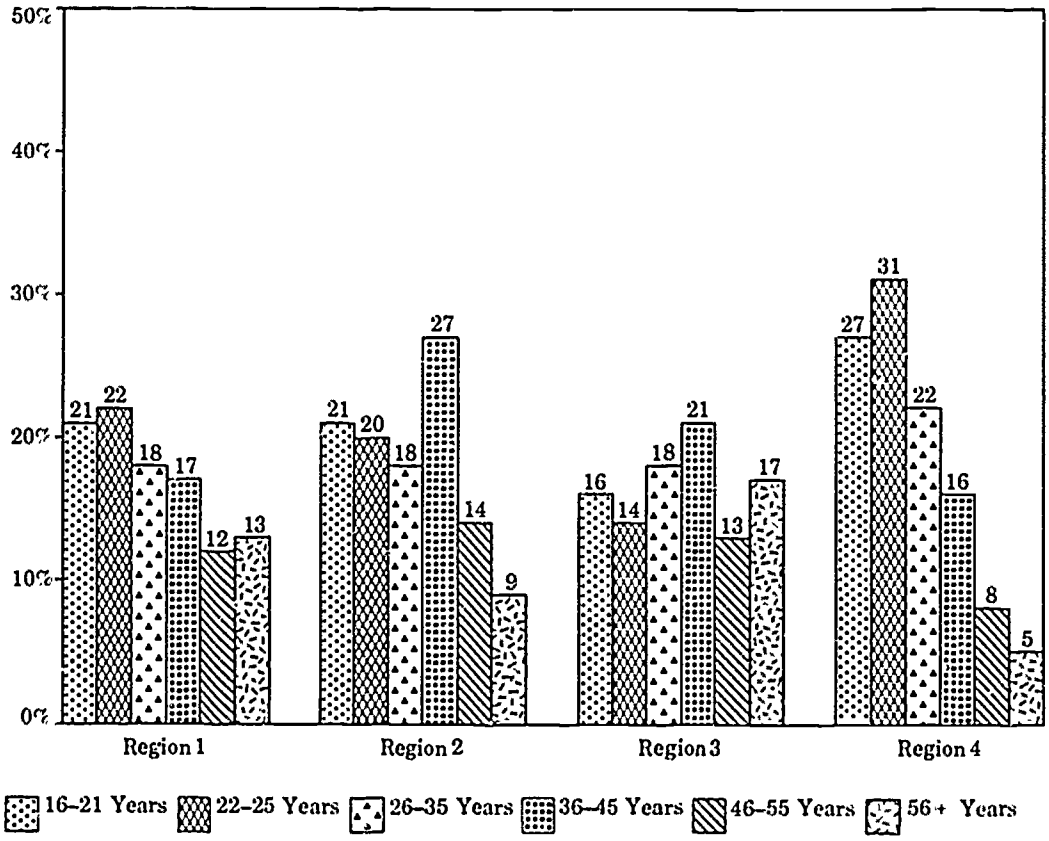
SLDs across the nation suggested that urban and rural areas share in the magnitude of their need. Suburban areas came in a distant third except in the West where they nearly tied rural areas.

There was considerably greater variation among responses by heads of literacy commissions. Urban areas strongly led as having the greatest need in the Northeast and West, however, SLCs named rural areas first in the South and Central Regions.

Observation: These findings once again point to the need for information-sharing among those who serve adults in literacy programs. They also suggest that adult literacy efforts should be concentrated in urban and rural areas because needs are generally greater there.

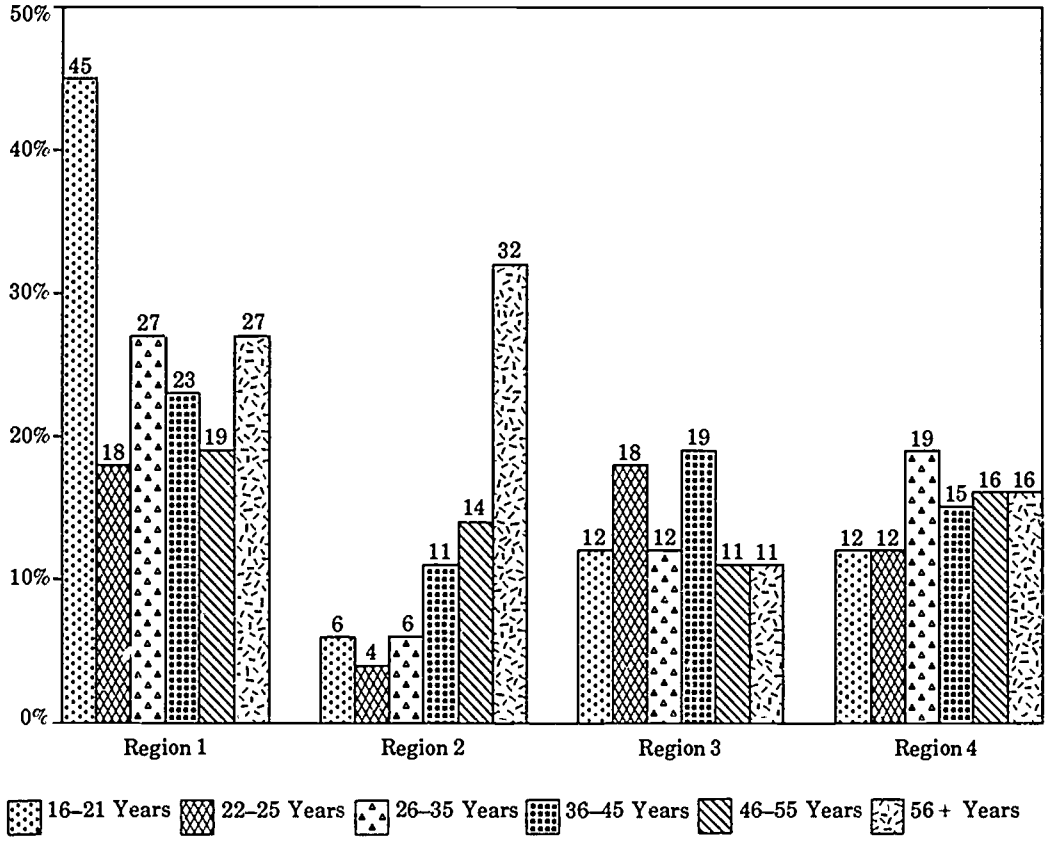
Question to adult education, state library and state literacy commission directors.
How would you characterize the population of greatest need in your state by **age?**

Age of Population of Greatest Need
Estimates by Adult Education Directors



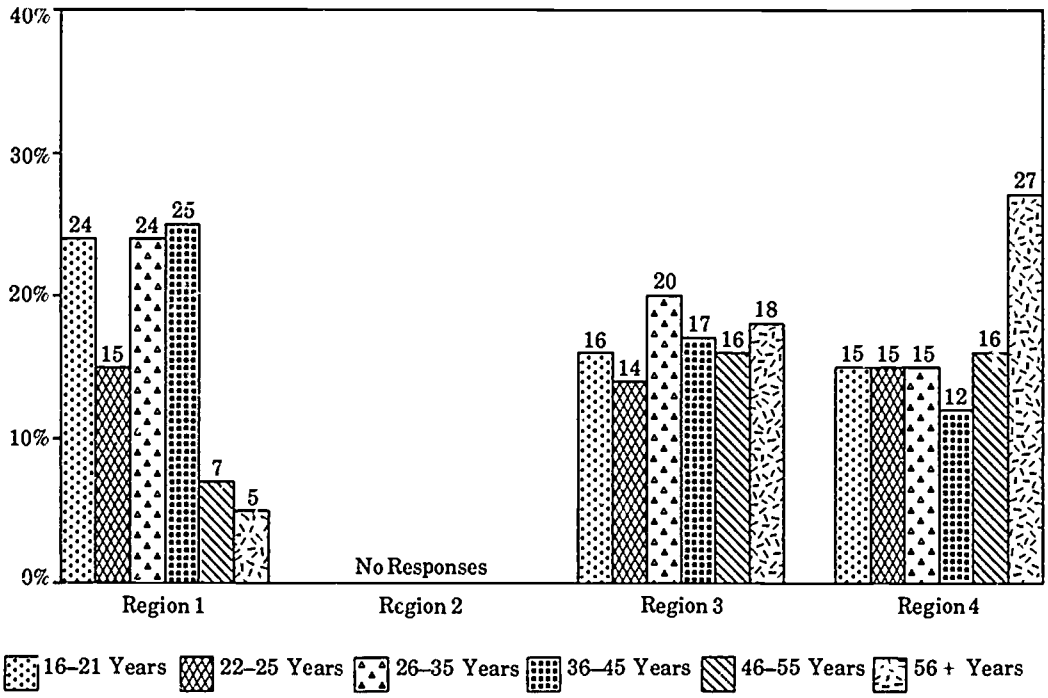
Age of Population of Greatest Need

Estimates by State Library Directors



Age of Population of Greatest Need

Estimates by State Literacy Commission Directors



Discussion: Because responses to this question ran the gamut across respondent groups, it is difficult to get a sense that any particular age group is more in need of literacy services than others. It is fair to say that responses show that adults of all ages need aid.

Summary: The number of persons in need of literacy services and the number receiving them are two distinct issues, the survey found. And neither is easily determined. Adult education directors estimated that an average of 700,000 need aid in each state, compared to 1.6 million estimated by literacy commission heads. However, the two groups' estimates on how many persons are being served were quite similar, ranging from 6–14% to 4–14%, respectively.

Who needs literacy services varies somewhat according to region. Overall, white Americans were the group most often cited as in greatest need of aid. Blacks and Hispanics traded second and third place throughout the country.

Urban areas were listed as the location with the greatest demand for literacy services, followed by rural areas and then suburbs. As with ethnicity, the location varied according to region, however.

Respondents dispersed their answers fairly equally among all age group categories. The exceptions were the Northeast, where almost half of the state library directors pointed to ages 16–21, and the South, where age 56 and over was cited by one-third of the library directors.

Chapter IV

Needs Assessment

Questions were asked about how states determine needs for literacy services, how they define illiteracy and what kinds of statistics they gather.

Question to adult education and state literacy commission directors:
Has illiteracy been formally defined in your state? If so, how is it defined?

	Northeast-Atlantic Is.	South-Southeast	Central-Midwest	West-Pacific
	(Percentages)			
AEDs				
Yes, formally defined	46	67	50	39
If yes, how defined:				
By grade level:	18	50	33	31
6th grade or less	18	17	34	24
7th or 8th grade	—	25	—	—
Lack of high school diploma	27	—	—	15
Other definitions	—	33	25	15
SLCs				
Yes, formally defined	—	38	71	40
If yes, how defined:				
By grade level:	—	38	29	—
6th grade or less	—	26	14	—
7th or 8th grade	—	—	—	—
Lack of high school diploma	—	13	14	—
Other definitions	—	25	29	20

Discussion: Nearly half of the AEDs reported that illiteracy has been defined in their states, with most relying on grade level to define the population needing literacy services.

SLCs responded with something less than vigor to this item. No one in the Northeastern part of the country provided an answer, and only in the Central states did more than 50% say their states had defined illiteracy. Half of those cited school-related definitions. Only 38% of the South and 40% of the Western states even attempted definitions, according to the SLCs.

Observation: These results suggest that more attention should be given to defining and/or describing illiteracy in terms that relate to the outcome desired by clients. The lack of clear definitions contributes to the problem of determining how many persons need literacy services.

Question to adult education and state literacy commission directors:
Is there a literacy coalition, commission and/or task force[1] in your state? If so, who originated it?

	Northeast-Atlantic Is.	South-Southeast	Central-Midwest	West-Pacific
	(Percentages)			
AEDs				
Yes, there is a commission	73	83	92	92
Initiated by:				
A literacy services provider	18	42	8	15
Governor or designee	27	33	25	46
Legislature	—	17	—	—
Other	36	25	58	54
SLCs				
Yes, there is a commission	100	75*	100	80*
Initiated by:				
A literacy services provider	100	13	—	20
Governor or designee	67	63	43	20
Legislature	—	13	14	—
Other	33	13	71	40

**The SLC percentage for the South and West reflects states where literacy commissions are in transition.*

Discussion: Four of five AEDs said their states have literacy coalitions. In the South, literacy service providers were the primary originators. In the other three regions, the "other" category was cited most often and usually referred to the commissioner of education. The governor's office came in second in all regions. State legislatures were not a factor anywhere outside of the South.

Question to state library directors:
Does your state have a statewide or regional literacy coalition?

	Northeast-Atlantic Is.	South-Southeast	Central-Midwest	West-Pacific
	(Percentages)			
Yes, statewide literacy coalition	75	63	82	43
Yes, regional literacy coalition	63	50	64	43

Discussion: With the exception of the Western region, the majority of SLDs said their states have literacy coalitions. More than half indicated that regional literacy coalitions are in place as well.

Question to adult education directors:
Has your state conducted a literacy needs survey? If so, when?

	Northeast-Atlantic Is.	South-Southeast	Central-Midwest	West-Pacific
	(Percentages)			
Yes, survey conducted	36	50	42	39
When:				
1974–79	9	8	—	8
1980–85	—	16	8	16
1986–87	18	17	25	16

Discussion: AEDs reported that nearly 40% to 50% of their states surveyed literacy needs in the last 13 years. In most cases, the survey was conducted in the last two years.

[1]A survey conducted by the State Literacy Initiatives Network, a Minnesota-based ad hoc committee formed to encourage statewide planning of literacy activities, found 36 states with "a formal statewide adult literacy initiative in place which coordinates provider systems and state agencies with governors' support and leadership." Fifty-one respondents said their governor has publicly endorsed literacy efforts.

Question to state literacy commission directors:
Has your state conducted a literacy needs survey? If so, by whom and when?

	Northeast-Atlantic Is.	South-Southeast	Central-Midwest	West-Pacific
	(Percentages)			
Yes, survey conducted	33	33	33	60
Conducted by whom:	Adult education department	Literacy coalition; state university	State library; adult literacy campaign	State education department
When:	1985	1986 and 1987	1980 and 1985	1987 and 1986

Discussion: Forty percent (40%) of SLCs reported that their states have conducted needs surveys. This has occurred in only one of three states outside the West, where two of three SLCs said such surveys have been done. These findings suggest that states need to do more to assess needs, levels of literacy and populations requiring literacy services.

Question to adult education and state literacy commission directors:
What was the target and scope of the needs survey conducted in your state?

	Northeast-Atlantic Is.	South-Southeast	Central-Midwest	West-Pacific
	(Percentages)			
AEDs				
Scope of survey:				
Entire state	18	42	33	31
Pilot project	9	—	25	8
Target of survey:				
Those who seek literacy services	36	—	25	15
Those who seek state social services	—	—	17	—
Special populations (unemployed, immigrants, etc.)	9	—	25	23
SLCs				
Scope of survey:				
Entire state	33	25	29	60
Pilot project	—	—	—	20
Target of survey:				
Those who seek literacy services	—	—	14	—
Those who seek social services	—	—	—	20
Special populations (unemployed, immigrants, etc.)	33	—	—	20

Discussion: Less than half of the states have conducted statewide literacy needs surveys, according to AEDs. SLC respondents in three regions reported that about a third of their states conduct statewide surveys. Those from the West reported that 60% of their states do so, most in the past three years.

Of states that have conducted needs surveys, only 31% of AEDs and 37% of SLCs said they were done statewide. Surveys most often were of persons seeking literacy services, according to AEDs, while SLCs listed special populations.

Question to adult education directors:
How does the division of adult education project future service needs?

	Northeast-Atlantic Is.	South-Southeast	Central-Midwest	West-Pacific
	(Percentages)			
U.S. Census data	72	92	92	85
Survey of school districts (dropouts)	46	58	42	31
Formula based on previous year's numbers	46	50	42	62
Referrals from social service agencies	27	50	50	39
Analysis of "hot-line" referrals	45	17	42	15
Formula based on state population	27	17	17	31
Survey of counties	18	50	8	23
Combination of above	9	8	17	39
Other	9	—	18	23

Discussion: AEDs rely most heavily on U.S. census data to project need, followed by school district surveys, a formula based on the previous year's numbers, social service agency referrals and an analysis of "hot-line" referrals. Note that in the South and Central regions, half of the AEDS cited referrals from social service agencies, a step that has proved effective in identifying persons in need of literacy services.

Question to state library directors:
How does your library plan its strategy in the area of adult literacy?

	Northeast-Atlantic Is.	South-Southeast	Central-Midwest	West-Pacific
	(Percentages)			
Input from other literacy providers/ agencies/ associates	100	100	91	86
Input from other government agencies concerned with adult literacy	100	88	91	86
Survey data from other sources	63	63	88	86
Library survey data	63	50	55	29
Formal solicitation of community input	63	25	36	29
Consultation with illiterates/former illiterates	25	—	55	29

Discussion: SLDs use a variety of methods to collect the information they need to plan adult literacy programs, with input from other literacy providers and other government agencies used most often. They also rely heavily on data generated by other sources.

Question to state literacy commission directors:
What is the goal of the statewide coalition, commission and/or task force?

	Northeast-Atlantic Is.	South-Southeast	Central-Midwest	West-Pacific
	(Percentages)			
Linkages between service providers	7	75	100	80
Coordination of state resources	100	75	100	60
Advocacy for adult illiterates	100	75	71	40
Advisory panel for state policy makers	100	75	71	20
Other	—	75	43	60

Discussion: Three-fourths of the SLCs see themselves as closely involved with all four goals listed in the questionnaire. The Western states showed some variability, with 80% of the commissions saying they help to link service providers but only 20% reporting that they serve as an advisory panel.

These items suggest that the three respondent groups have spent considerable time thinking through future planning and present goals.[2]

Question to state library directors:
What does your state library plan in the near future in regard to adult literacy instruction?

	Northeast-Atlantic Is.	South-Southeast	Central-Midwest	West-Pacific
	(Percentages)			
To continue the current level of services and instruction	13	38	36	14
To reduce level and/or variety of services	—	—	—	—
To increase number of public libraries providing instruction	75	63	73	71
To increase type of literacy services	75	50	36	71
Other	25	38	36	29

Discussion: Nearly three of four SLDs plan to increase the number of public libraries offering services to adult literacy programs. More than half hope to increase the variety of literacy programs they offer. No one wants to reduce services.

[2]*The State Literacy Initiatives Network (see footnotes 1, this chapter) found the primary purposes of statewide literacy initiatives to be public awareness, coordination of state public and private service providers, private-sector involvement, resource development, direct service and policy development.*

Question to adult education, state library and state literacy commission directors:
What are the greatest barriers to providing comprehensive literacy instruction to all adults in your state who need it?

Rankings of Top Three Perceived Barriers*
1 = greatest barrier

	(1)	(2)	(3)
AEDs			
Northeast-Atlantic Is.	Money	Lack of student motivation, career guidance/counseling for students	Lack of communication between programs
South-Southeast	Money	Lack of student motivation	Transportation
Central-Midwest	Money	Lack of student motivation	Lack of resources for training tutors
West-Pacific	Money	Lack of student motivation	Transportation, publicity about programs
SLDs			
Northeast-Atlantic Is.	Money, lack of student motivation	Lack of communication between programs	Career/guidance counseling for students, publicity about programs
South-Southeast	Money	Lack of student motivation, lack of communication between programs, lack of resources for training tutors	Lack of ability/commitment of volunteer tutors, publicity about programs
Central-Midwest	Money, lack of student motivation	Transportation	Career/guidance counseling for students, transportation
West-Pacific	Money, lack of student motivation	Lack of communication between programs	Publicity about programs, career/guidance counseling for students, lack of resources for training tutors
SLCs			
Northeast-Atlantic Is.	Money, lack of student motivation	Publicity about programs	Career/guidance counseling for students, lack of communication between programs
South-Southeast	Money, lack of student motivation	Lack of tutors, publicity	Lack of research on teaching methodologies, transportation, career/guidance counseling for students
Central-Midwest	Money	Lack of student motivation, publicity about programs	Transportation
West-Pacific	Money	Lack of student motivation, lack of tutors, publicity about programs	Lack of resources for training tutors, career/guidance counseling for students, transportation

**Two or more items indicates a tie in number of responses.*

Discussion: All three respondent groups cited money as the greatest barrier to providing comprehensive adult literacy programs in their states. Likewise, lack of motivation of students or potential students came in second in all areas.

Library directors also noted that lack of communication among programs and publicity about programs are also problems. Literacy commission directors ranked publicity, transportation and career/guidance counseling for students high as well.

Observation: After monetary needs and how to motivate program clients, there is a striking lack of uniformity. However, it should be noted that publicity about programs, transportation and the lack of communication between programs all rank quite high.

These findings suggest that providers of adult literacy programs see themselves as caught between funding problems and the need to energize their clients.

Summary: Adult education directors responding to the survey reported that about half the states have defined illiteracy, generally in terms of grade-level completed. Only in the Central states did state literacy commission heads say that more than half their states had defined illiteracy.

The majority of states also have set up commissions or coalitions to address the problems of illiteracy, most through the leadership of their governors or the desire of literacy providers.

Although most states have panels to focus on illiteracy problems, they are not doing as well in determining what the state's needs are. Only about one-third to one-half have surveyed literacy needs, according to respondents, with much of that activity having taken place fairly recently. Less than one-third of those states have surveyed needs statewide.

Asked how they project future service needs, adult education directors said they rely most heavily on U.S. Census data, followed by surveys of school district dropout rates. State libraries use information supplied by other literacy providers or other government agencies and reported that they plan to increase the variety and number of literacy services they provide.

However, all three respondent groups said barriers exist to providing the literacy services needed by adults in their states. Money headed the list, followed by a perceived lack of motivation on the part of potential students, evidence that providers find themselves caught between providing the necessary services and inspiring potential clients to take advantage of them.

Chapter V

Program Management

Management questions sought to find out what methods of literacy instruction are used most often, what kind of training tutors receive, how much programs cost and what barriers exist to providing programs for those in need.

Question to adult education directors:
What kind of literacy training is provided through the division of adult education?

	Northeast-Atlantic Is.	South-Southeast	Central-Midwest	West-Pacific
		(Percentages)		
0–4 grade-level equivalent reading instruction	82	100	100	100
4–8 grade-level equivalent reading instruction	82	100	100	100
GED grade-level equivalent instruction	73	92	92	85
Life-coping skills	73	67	100	77
Math instruction	82	92	100	69
Computer literacy	27	75	75	54
Writing	82	92	100	77
English as a Second Language (ESL)	82	100	100	100

Question to state library directors:
What kind of literacy instruction is provided by the state or its public libraries?

	Northeast-Atlantic Is.	South-Southeast	Central-Midwest	West-Pacific
		(Percentages)		
0–4 grade-level equivalent reading instruction	100	38	82	72
4–8 grade-level equivalent reading instruction	75	38	73	57
GED grade-level equivalent instruction	63	25	64	43
Life-coping skills	50	25	55	14
Math skills	38	25	55	29
Computer-assisted instruction	38	38	73	57
Writing	38	25	64	43
English as a Second Language (ESL)	88	50	73	71

Discussion: The majority of AEDs provide several kinds of literacy instruction, ranging from elementary-level reading instruction to writing. In the Northeast, only 27% of respondents cited offerings in computer literacy, while computer literacy is used frequently in the other regions. The consistency in answers among respondents from various states illustrates the comprehensiveness of adult literacy programs provided through divisions of adult education.

This item also produced a tremendous range of responses from SLDs. All SLDs in the Northeast reported that bringing students up to fourth-grade level is a central goal. ESL ranks second highest in this region, followed closely by 4–8-grade-level reading and GED-equivalent instruction. The Southern part of the country spreads its commitment fairly evenly, with ESL receiving the most attention. The Central states match the Northeast, while the West concentrates on the 0–4 grade level and ESL.

Question to adult education directors:
Education funds provided under the federal Job Training Partnership Act require that the governor choose a state agency to handle JTPA funds. Which agency has your governor selected?

	Northeast-Atlantic Is.	South-Southeast	Central-Midwest	West-Pacific
	(Percentages)			
Department of Labor	55	8	33	39
Adult education	9	8	17	8
Library services	—	—	—	—
Vocational education	18	50	67	39
Other	27	42	8	23

Discussion: AEDs in the Northeast reported that the Department of Labor is the primary overseer of JTPA funds. In the Southern and Central states, the vocational education agency is chosen more often. Money was split between these two agencies in the West. ECS will follow up this issue in its work on occupational literacy.

Question to adult education and state library directors:
Using percentages, what modes of literacy instruction are used most in your state?

	Northeast-Atlantic Is.	South-Southeast	Central-Midwest	West-Pacific
	(Percentages)			
AEDs				
Small-group instruction	52	54	39	50
One-on-one tutoring	32	16	53	19
Combinations of the above	1	51	34	61
Computer-assisted	1	10	4	9
SLDs				
One-on-one tutoring	94	85	73	75
Classroom instruction	20	20	23	23
Small-group instruction	5	8	11	26

Discussion: Adult education and state library personnel depend on different instructional strategies for much of their literacy training. AEDs reported use of both small-group instruction and one-on-one tutoring (Laubach), with the small-group method predominant in the South, West and Northeast. All regions except the Northeast tend to combine these methods. There was little use of computer-assisted instruction anywhere in the country.

SLDs reported a dependence on one-on-one tutoring. There was a modest use of classroom instruction and even less use of small-group instruction.

Question to adult education directors:
Has the division of adult education generated resource materials for use by in-state literacy programs?

	Northeast-Atlantic Is.	South-Southeast	Central-Midwest	West-Pacific
	(Percentages)			
Yes, has generated materials	64	75	83	77
If yes, specify:				
Training materials for tutors	36	58	92	62
Training materials for students	46	42	58	46
Videotapes	36	58	50	46
Recordkeeping	36	67	33	62
Computer software	9	33	33	39
Resource journals, books	18	33	33	15
Speakers' bureau	18	25	17	23

Question to state library directors:
Have your state and public library literacy projects generated resource materials?

	Northeast-Atlantic Is.	South-Southeast	Central-Midwest	West-Pacific
	(Percentages)			
Yes, resources generated	75	63	73	57
If yes, specify:				
Training materials for tutors	75	50	64	43
Training materials for students	50	25	36	29
Videotapes	50	38	36	29
Recordkeeping	—	13	36	43
Computer software	13	13	18	29
Research journals, books	—	13	18	14
Speakers' bureau	38	25	36	43
Other	38	75	36	29

Discussion: Three of four AEDs said their programs generate resource materials for in-state program use. What they provide is fairly evenly dispersed among the seven resources listed. The Central region tends to concentrate on training materials for tutors, while the South focuses on recordkeeping.

Again, most (67%) of the SLDs responded that they do create resource materials. In all regions, the development of training materials for tutors was cited first, closely followed by training materials for students, videotapes and a speakers' bureau. Once again, there was almost universal interest in all seven categories.

Observation: The consistency of these data across both groups suggests a strong state interest in developing a wide range of materials for adult literacy programs.

Question to adult education and state library directors:
What does your agency estimate that it costs to keep one illiterate adult in a literacy program for one year?

	Northeast-Atlantic Is.	South-Southeast	Central-Midwest	West-Pacific
	(Per-person annual costs)*			
AEDs	$274.25	$444.71	$512.00	$827.88
SLDs	$305.00	$225.67	$316.83	$163.75

**Estimated costs of providing all services as opposed to current per-pupil expenditures.*

Discussion: AEDs estimated that it would cost from $274 to $827 to keep one adult in a literacy program for a year, depending on the region. The West reported the highest cost and the Northeast states the lowest.

SLDs in three regions reported lower estimates to keep an adult in literacy training for a year, ranging from $164 per person in the West to $317 in the Central region.

Observation: Overall estimates of the AEDs versus the SLDs are not extremely disparate except in the West. In this case, actual cost or perception of cost seems to make programs more than four times as expensive under adult education as opposed to state library supervision. In addition, states use different factors to compute needs and costs, although the survey did not seek that information. Estimates also reflect commitment and leadership from state officials. However, findings underscore how economical it is to serve adults who wish to become literate.

Summary: Literacy programs provide a variety of services for their clients. Respondents reported that they offer clients training ranging from primary-grade-level reading instruction to life-coping skills to computer training.

One-on-one tutoring and small-group instruction are the predominant methods of providing literacy training, according to those surveyed. Classroom and computer-assisted instruction are seldom used.

Both adult education and library directors generate much of their own resource materials. These range from training materials for tutors to computer software.

The costs of providing such a wide range of literacy services are almost as varied as the services offered. Estimates of how much it would cost to provide all needed services were quite different depending on region and and provider. Adult education directors estimated costs ranging from $274 per person annually to $827, while library directors in most of the country tended to give smaller estimates.

Chapter VI

Evaluation

Evaluation questions dealt with how states determine the efficacy of their programs.

Questions to adult education and state library directors:
How are community-based and public-library literacy programs evaluated?

	Northeast-Atlantic Is.	South-Southeast	Central-Midwest	West-Pacific	National Average
			(Percentages)		
AEDs					
No. of students enrolled at at any point	73	33	50	39	81
% of target population served	36	50	50	15	50
No. of students retained until goals are met	46	67	33	39	61
No. of students placed in next level or in jobs	27	50	25	39	47
No. of hours required to progress to next reading level	27	42	8	21	36
Average no. of hours required to progress to next reading level (in hours)	45 hrs.	50 hrs.	—	70 hrs.	53 hrs.
SLDs					
No. of students enrolled at any point	63	75	36	43	53
% of target population served	38	38	18	57	35
No. of students retained until goals are met	50	38	27	—	29
No. of students placed in next level or in jobs	25	25	—	29	18
No. of hours required to progress to next reading level	13	25	9	57	12
Pre-test/post-test	38	25	18	29	27
Average no. of hours required to progress to next reading level (in hours)	50 hrs.	11 hrs.	30 hrs.	—	30 hrs.

Discussion: AEDs in most of the country said the number of students enrolled is the key to evaluating a program. However, in the West and South, the average number of hours required for a student to progress one grade level stands out as the main evaluation method. All of the possible categories were well represented across the country, indicating that AEDs take a comprehensive approach to evaluation.

SLDs take a similar approach to evaluation. The number of students enrolled or the percentage of a target population served is central.

Question to adult education and state library directors:
What methods are used to monitor community-based and library-based literacy programs?

	Northeast-Atlantic Is.	South-Southeast	Central-Midwest	West-Pacific
	(Percentages)			
AEDs				
Site visits	82	92	75	69
Self-reports	64	67	58	31
SLDs				
Fiscal reports	75	63	55	71
Narrative reports	75	75	55	86
Site visits	50	63	30	29

Discussion: AEDs across the country reported that site visits are the most popular form of evaluation, although self-reporting also is used frequently.

SLDs prefer fiscal and narrative reports, according to respondents. Site visits seem to be frequently used, although they clearly remain third as a project evaluation tool.

Question to adult education and state library directors:
How often are programs evaluated?

	Northeast-Atlantic Is.	South-Southeast	Central-Midwest	West-Pacific
	(Percentages)			
AEDs				
Annually	73	75	67	39
Semi-annually	18	—	—	—
Quarterly	—	17	25	—
Monthly	—	17	8	8
Every 3 years	9	8	—	39
SLDs				
Annually	38	50	27	29
Semi-annually	25	—	18	14
Quarterly	25	25	18	14
Monthly	—	13	—	14

Discussion: AEDs reported that they evaluate their programs one or more times each year. This is a pattern for most of the country, with the exception of the West, where 39% of respondents said their states evaluate literacy programs about every three years.

From 27% to 50% of all state library-sponsored programs are evaluated annually. Most of the remainder are evaluated even more frequently, although a few literacy efforts "slip through the cracks."

Observations: These evaluative efforts and strategies should be shared among groups and programs to fine tune methods of collecting information and to determine the best methods of program evaluation in light of program type and objectives.

Summary: Literacy programs tend to be judged largely on the basis of how many students they enroll, respondents said. However, adult education directors also listed other criteria, including percent of population served, number of students retained and number of students placed in the next level of services or in jobs.

States also monitor community-based and library-based literacy programs. This is most often done by adult education directors through site visits and self-reports, while library directors perfer fiscal and narrative reports. Generally, programs are evaluated at least once a year.

In Perspective

The need for this kind of investigation of literacy efforts and the broad public discourse it should stimulate has become more apparent and more urgent over the past few years. Efforts to address the literacy needs of young and mature adults too often have bogged down in fruitless spats over numbers, the drive for budgetary compliance, simplistic assumptions and deep-seated, though often subtle, biases about such matters as who actually needs service.

Time and again, the state officials and program administrators ECS surveyed expressed frustration that, as one adult education director put it, adult education is not often considered important or necessary by those in the mainstream of education. Yet, adult educators have provided a vast array of centralized literacy services, at low costs, to significant numbers of people — 31.3 million — since 1965.[1] A rapidly changing society makes these services as essential today as when they began.

Program Difficulties

The survey turned up several problems that make it difficult to plan and deliver literacy services to all who need them. The majority of state-sponsored literacy initiatives are *not* organized around clearly defined objectives, reliable methods of assessing need and accurate ways of measuring whether they have been successful or not. Rather, most are loosely structured, their focus determined primarily by the availability of funds and the strings attached to them.

The survey also documented considerable variance between federal and state estimates of adults in need of literacy services. In one state, for example, local authorities estimate that 800,000 adults need services, while the federal government's estimate is 1.9 million. In another, the state suggests that nearly 200,000 residents are in need, while federal sources say the estimate is closer to 1.1 million adults.

In eight sample states, local authorities estimate that a combined 7.5 million adults could use literacy services, but the U.S. Department of Education figure is 16 million adults within those same states. The variation in estimates is due to differences in definitions of illiteracy and the manner of determining need (high school diploma, age of clients, etc.). These figures illustrate the complexity of determining how, where, for whom and how much it will cost to provide literacy services.

FIGURE 1. Estimates of Adults in Need of Literacy Services: State and Federal Sources

State Name	State Estimate*	Federal Estimate**
Alabama	220,000***	1.1 million
California	3.1 million	4.5 million
Florida	637,395	2.3 million
Louisiana	176,857	1.1 million
Michigan	800,000	1.9 million
Nevada	55,000	142,000
New Jersey	700,000	1.6 million
Texas	1.8 million	3.5 million

**ECS Survey of Literacy Programs and Activities, 1987.*
***State Profile Data, U.S. Department of Education, based on 1980 U.S. Census.*
****25 years and older; all others 16 and older.*

The survey results indicate that states also plan for the future on the basis of information gathered in the past. Most adult education directors (85%) cite U.S. Census data as the primary source of information for projecting future need for literacy services. Yet, local-level data often are no longer available, limiting the effectiveness of U.S. Census data as a basis for projecting need for services.

[1] *Annual statistical reports submitted to the U.S. Department of Education by state education agencies.*

The use of varying numbers can lead not only to different approaches to interpreting the scope of the problem, but also to different approaches for dealing with it. Large disparities make it difficult to project program costs. From the start, the entire planning process (including design and management, mode of instruction, number of tutors needed) may be skewed. The result is that within states and across regions, programs may be determined not by level of need, but by eligibility criteria and spending guidelines.

Adding yet another dimension to the problem is the variety and number of agencies involved in literacy services. Consider that in every state the following groups, agencies and programs have varying degrees of responsibility for adult literacy:

- State education agencies
- Community colleges
- Libraries
- Local school systems
- Vocational-technical-occupational education systems
- Community-based organizations with a literacy component, such as Volunteers of America
- Volunteer networks, such as Laubach Literacy Action and Literacy Volunteers of America
- Formal volunteer agencies, such as VISTA or RSVP
- The military
- Private Industry Councils under the Job Training Partnership Act
- State "welfare-to-work" programs, such as those adopted by Massachusetts, New Jersey and California
- State corrections departments, which sponsor various "no-read, no-release" parole programs
- Corporate America, with its company training programs, ranging from basic skills to high-level management training, which constitute the single-largest, single-costliest venture now under way
- Foundations, funding local community-based organizations and state efforts to improve coordination

Additionally, diverse programs offered through a host of federal offices, such as the Bureau of Indian Affairs or the Department of Agriculture, come with their own budgets and administrative procedures, which in turn determine what targeted populations will be served and how. For example, the director of a statewide adult education program in the Northeast says that to qualify for federal grants under a new homeless assistance program, his organization would have to offer literacy services "on city street-corners, over steaming grates."

Complicating an already complex picture is a public perception that all that is needed to solve the literacy crisis is a "degree of caring," a situation exacerbated by the mistaken belief that volunteer coalitions, the commercial media and corporate America are picking up the slack. Anecdotal evidence and federal reports suggest that the two largest national literacy organizations — Laubach Literacy Action and Literacy Volunteers of America — are together able to reach only about 127,000 clients per year when estimates of need range as high as 70 million.[2]

[2]Volunteerism in Adult Education. *U.S. Department of Education, Clearinghouse of Adult Education (March 1987). The fact sheet noted:*

- *Laubach Literacy Action (LLA) uses about 60,000 trained volunteer tutors to provide basic literacy and English as a Second Language (ESL) instruction to 70,000 students. This is done on a one-to-one basis in 45 states.*
- *Literacy Volunteers of America (LVA) uses 15,000 trained volunteer tutors to provide more than 19,000 adult students with basic literacy and ESL instruction in 12 states.*

In addition, the Gannett Foundation reported in a September 25, 1987, news release that:

- *The number of students in LVA programs increased by 42% in a year — from 19,000 students and 18,000 volunteer tutors in 1986 to more than 27,000 students and 24,000 tutors in 1987.*
- *In 1986, LLA served about 86,000 students and expected to serve 100,000 in 1987. The number of tutors increased from 64,000 in 1986 to 73,000 in 1987.*

Implications for State Policy Makers

Within a state, programs are not often linked by common, shared information. Indeed, the high degree of responsiveness, as evidenced by diversity and coverage of programs, appears to work against information-gathering. This finding does not argue against diversity in literacy programs; it simply underlines the need for improved information-gathering techniques and information sharing. For example, the state literacy commission might encourage identification of the key *common* variables all service providers could use as a basis for data gathering.

A statewide needs assessment, conducted periodically, would lead to more accurate planning and services tailored to the needs of the population and based on current economic conditions. Such an assessment should be based on a more realistic definition of literacy than one tied to grade level. While grade levels provide a way to standardize and to measure, definitions tied to clients' current literacy and needs for particular kinds and levels of services would allow a more accurate match between services and what clients really want and need (see Appendix D).

Collaboration and coordination among adult education literacy providers, libraries and the private sector must be extended to include various social-service agencies through programs designated for youth at risk (dropout prevention, teen pregnancy, drug abuse), welfare recipients, the homeless and other populations requiring special services.

Results of this survey suggest that states should improve the links between agencies and attempt to build aggregated state-level data so that:

- Level of need (and the population) can be identified and met
- Duplication can be minimized
- Access to services can be expanded and distributed adequately throughout the state
- Utility of services to clients can be enhanced
- Information can be accessible and shared across all programs.

These steps would improve the state's capacity to offer a full range of literacy services and to make them more accessible to more people. The perception that lack of motivation among clients is a barrier to literacy services might be proved fallacious if the match between clients' need, their desired outcomes and program design were improved.

Occupational literacy

That "match" means providing programs that give clients the skills they are going to need in the future, a future that is already here in some cases. That need is for occupational and workplace literacy, which, ECS found, has become the focus of the adult literacy crusade sweeping the country.

The literacy needs of our society are multiple, diverse and everchanging. Reading and writing one's name are no longer sufficient to meet the demands of a complex society. Literacy today means the ability to perform a wide range of diverse tasks and comprehend a vast array of symbols.

The general level of literacy is high in America if one means people comprehending symbols well enough to take the bus, write their own name or perform a variety of routine daily tasks. Indeed, many illiterates hold jobs — jobs that enable them to participate in and contribute to society. Many have demonstrated a high degree of tenacity in their quest for independence and participation and have shown great skill in masking the degree of their illiteracy. The key is that literacy is situational and contextual. When demands of employment and society change, illiterates often are unable to function effectively.

Such a shift is occurring in the country's economy and is being played out daily in the workplace, as illustrated by the finding that white Americans, not minorities, are most in need of literacy services. Foreign competition and changing technologies have created major employment losses in automobile, oil and gas, mining and other industries that have supported the nation for so many years. For the first time since the great depression, large numbers of white workers have been displaced. While they were able to perform previous jobs satisfactorily, their literacy skills often are not sufficient for new jobs. Changing demands result in the need to retrain an existing work force. Also, shifts in the work situation mean that a higher level of literacy is needed for entry-level jobs. Some of the changes taking place include:

- Plant closings
- Technological changes in the work environment
- Industry shutdowns (e.g., textiles, mining, automobile manufacturing, oil and gas)
- Reconfiguration of job competencies (e.g., where two or three persons performed aspects of a job in the past, presently only one person is needed to perform the entire job)
- Union/management demands

This situation indicates a need for new types of literacy training. Providers of literacy services, such as community-based organizations receiving federal funds through state education agencies, should be encouraged to continue working with small-and medium-sized businesses to accommodate displaced workers, to train new workers and generally to provide literacy services. ECS's survey found evidence that this does, in fact, occur. But those efforts do not yet reach the numbers of people already being affected by major workplace changes.

Other Needs Not Going Away

At the same time, however, policy makers and literacy providers must not jump to the conclusion that occupational literacy classes alone will solve today's problem. As is the case in all aspects of the literacy picture, the image is complex.

Because Hispanics and blacks often have not been part of the work force, they are not the major portion of the population presently displaced and identified as requiring literacy services. However, unemployment among black and Hispanic Americans remains high. According to the Bureau of Labor Statistics, the rate of unemployment peaked in 1983 when the overall rate for the nation was 9.6%. In that year, the rate for whites was 8.4%; for blacks, 19.5%; and for Hispanics, 13.7%. Although the rate of unemployment decreased, the relative position of the groups remained the same in 1986. The overall rate of unemployment for the nation was 7%, with the rate for whites, 6.0%; for blacks, 14.5%; and for Hispanics, 10.6%.

Moreover, the number of persons below the poverty level increased from 24.5 million in 1978 to 32.4 million in 1986.[3] Minority groups have remained disproportionately represented, and, in fact, the percentage of blacks and Hispanics living in poverty rose during that period. In 1986, blacks made up 31.1% of those below the poverty level, up from 30.6% in 1978. Hispanics accounted for 27.3% of persons in poverty. That figure was up from 21.6% in 1978, although down from 29% in 1985.

Persons living below the poverty level require various types of aid and assistance from social service agencies. Too many Americans do not possess sufficient levels of literacy to be employed and re-employed. And in the present era, an individual can move very quickly from employed to unemployed and homeless. The description of who most needs literacy services ("the stationary poor" as they have been called in the past) has changed (see Appendix D).

The next stage of the literacy effort in this country must confront these massive changes and others to come if it is to continue to occupy the energies and minds of those currently leading the crusade.

ECS will continue to explore how literacy services are provided and monitor examples of increased interagency cooperation in states. Other plans include maintaining a state-based clearinghouse on items not included in this report and surveying the community-based organizations providing literacy services. ECS is particularly interested in working with the corporate sector and state leaders to make available literacy services that are more responsive to the economic development needs of states.

[3]Money, Income and Poverty Status of Families and Persons in the United States. 1986 (*Washington, D.C.. U.S. Department of Commerce, Bureau of the Census), pp. 4–5.*

Appendix A

National Advisory Panel on Adult Literacy

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Appendix B

Survey Questionnaires

Adult Education Directors

1. In your state, what agency receives and administers federal adult education funds?
   _____Community college system
   _____State education agency
   _____Vocational education system
   _____Other (name)_____

2. Does your state "match" or "add to" the federal adult education funds earmarked for literacy services?
   _____Match
   _____Amount or percentage
   _____Other basis (explain)_____
   _____Add to (as through legislative appropriations)
   _____Amount or percentage

3. What percentage of the state's total adult education budget is earmarked for literacy services to adults?
   Percentage of total adult education budget
   _____FY 87–88
   _____FY 86–87
   _____FY 85–86
   How many dollars does this represent?
   _____FY 87–88
   _____FY 86–87
   _____FY 85–86
   Average amount spent per student?
   _____FY 87–88
   _____FY 86–87
   _____FY 85–86

Note: The term "community-based organizations" (CBOs) is used in referring to local community programs funded by federal and state dollars flowing through the state's adult education office. The term is used also in referring to local affiliates of national volunteer literacy programs such as Literacy Volunteers of America, Laubach Literacy Action or others who may also receive funding from the state's adult education budget. Items 4 through 12 seek information about both types of CBOs.

4. What percentage of community-based organizations are funded by the state?
   _____% partially
   _____% fully

5. On what basis is funding awarded to community-based literacy programs? (You may check more than one response.)

	Yes	No
Number of clients (students)	_____	_____
Geographic location	_____	_____
Potential for research	_____	_____
Expertise of director	_____	_____
Kinds of literacy services provided	_____	_____
Quality of program	_____	_____
Other (please specify)_____	_____	_____

6. How do programs apply for funding from your office?
   _____Written request (e.g., proposal)
   _____Standard application form
   _____Other (please specify)_____

7. Does the fact that you are funding a CBO literacy program preclude that program from receiving funds from other sources?
   _____Yes
   _____No

8. What criteria should programs meet in order to qualify for adult literacy funding? (You may check more than one response.)
   _____Compliance with regulations about special populations (e.g., income, ethnicity)
   _____Facilities
   _____Qualifications of tutors
   _____Qualifications of the director
   _____Literacy gains by students
   _____Procedures for keeping records
   _____Clearly defined method of instruction
   _____Other (please specify) _____

9. How many programs funded by the state office of adult education are community-based organizations affiliated with a national volunteer program?
   _____75–100%
   _____50–74%
   _____25–49%
   _____Less than 25%

10. How are CBOs accountable to your office?
   _____Budgetary reporting
   _____Program quality (e.g., instruction mode, content of program, etc.)
   _____Recruitment procedure
   _____Other (please specify)

11. Do you provide technical assistance (e.g., editing of proposals, etc.) to CBOs wishing to apply for grants?
   _____Yes
   _____No

12. Has illiteracy been formally defined in your state?
   _____Yes
   _____No
   If yes, how is it defined?
   _____By grade level (please specify (circle) 3 4 5 6 8)
   _____High school diploma
   _____Other definitions (please specify) _____
   If yes, who defined it for your state? (name of agency) _____

13. How many adults (age 16 and over) are in need of literacy services in your state? _____

14. What percentage of those needing services are receiving them? _____%

15. How would you characterize the population of greatest need in the state?
   Ethnicity (give %)
   _____% Caucasian
   _____% Black of African origin
   _____% Asian-American
   _____% Pacific Islanders
   _____% Native American (including Eskimo)
   _____% Hispanic/Spanish surnamed
   Age (give %)
   _____% 16–21
   _____% 22–25
   _____% 26–35
   _____% 36–45
   _____% 46–55
   _____% 56 and over
   Location in the state (give %)
   _____% Rural, agricultural sectors
   _____% Mining towns
   _____% Urban, manufacturing
   _____% Suburbs
   _____% Other

16. Please indicate what program term you apply (e.g., GED, Adult Basic Education) to students in classes that correspond to the following grade-level skills:
1st–3rd grade _____
4th grade _____
5th grade _____
6th grade _____
7th grade _____
8th grade _____
9th grade _____
10th–12th grade _____

17. Is there a literacy coalition, commission and/or task force in the state?
_____Yes
_____No
If yes, who initiated or formed the group?
_____A literacy services provider (e.g., a local CBO or volunteer organization)
_____The governor or designee
_____The legislature
_____Other (please specify)

18. Has a literacy needs survey ever been conducted in your state?
_____Yes
_____No
If yes, when? _____
If yes, by whom? _____
If yes, please specify the following:
_____Survey conducted for the entire state
_____Survey conducted for a pilot project
_____Survey conducted on those who seek literacy services
_____Survey conducted on those who seek social services from the state
_____Survey conducted on those of special populations — e.g., chronically unemployed, immigrants/refugees, prison population, etc.

19. How does the division of adult education project future need of services?
_____Survey of counties
_____Survey of school districts (dropout data)
_____Analysis of "hot-line" referrals
_____Referrals from social service agencies
_____U.S. Census data
_____Formula based on population of state
_____Formula based on previous year's numbers
_____A combination of the above (explain) _____

20. Does the division of adult education provide literacy training for in-state business/industry or for social services agencies?
_____Yes
_____No
If yes, specify:
_____Social services (e.g., Aid to Families with Dependent Children, etc.)
_____Department of Labor
_____Correctional institutions
_____Other assistance programs
_____Business/industry
_____Large — 500 employees or more
_____Medium — 40–499 employees
_____Small — less than 40 employees

21. What kind of literacy training is provided through the division of adult education?
_____0–4 grade-level equivalent reading instruction
_____4–8 grade-level equivalent reading instruction
_____GED grade-level equivalent instruction
_____Life-coping skills (please specify types) _____
_____Math instruction
_____Computer literacy
_____Writing
_____English as a Second Language (ESL)
_____Other (please specify) _____

22. What does your agency estimate that it costs to keep one illiterate adult in a literacy program for one year?
$_____

23. Where are the majority of the literacy classes sponsored by adult education held?
_____Schools
_____Libraries
_____Offices/workplaces
_____Churches
_____Community centers
_____Other (please specify) _____

24. Use percentages to estimate the mode of instruction used in the literacy programs in your state.
_____% One-on-one tutoring (e.g., Laubach method)
_____% Small-group instruction (3–4 or more people)
_____% Computer-assisted (interactive disk programs such as Principles of the Alphabet
_____ Literacy System)
_____% Combinations of the above (explain)
_____% Other modes (please specify) _____

25. The Job Training Partnership Act (JTPA) 8% set-aside program for literacy says that the governor of the state shall choose a state agency to handle the JTPA funds. What agency has your governor selected?
_____Department of Labor
_____Adult education
_____Library services
_____Vocational education
_____Other (explain) _____

26. Has the division of adult education generated resource materials (e.g., videotapes, computer programs, training manuals, workbooks, etc.) for use by in-state programs?
_____Yes
_____No
If yes, specify:
_____Training materials for tutors
_____Training materials for students
_____Videotapes
_____Recordkeeping
_____Computer software
_____Research journals, books
_____Speaker's bureau
If yes, where is the resource center? (address) _____
If yes, who has access to the center? _____

27. Does the division of adult education provide training for CBO administrators?
_____Yes
_____No

28. Does the division of adult education provide literacy training for prospective tutors in the community-based organizations?
_____Yes
_____No

29. Does the division of adult education assess or evaluate CBOs?
_____Yes
_____No

30. How are community-based programs evaluated?
_____Number of students enrolled at any point
_____Percentage of target population served
_____Number of students retained until goals are met
_____Number of students "placed" in next level or in jobs
_____Number of hours required to progress from one reading level to another (Please specify average number of hours required for a student to progress one grade level in reading. _____

31. What method do you use for monitoring community-based programs?
_____Site visit (specify from whom) _____
_____Self-report
_____Other (please specify) _____

32. How often are programs evaluated?
_____Annually
_____Semi-annually
_____Quarterly
_____Monthly

33. Do you have VISTA volunteers working on adult illiteracy in your state?
_____Yes
_____No
If yes, how many _____

34. Is there a statewide hotline for referrals?
_____Yes
_____No

35 Are there any literacy instruction providers/organizations currently operating in your state that you believe provide particularly exemplary services? Please specify a contact person, title, name of program and phone number.
_____Rural _____
_____Urban _____
_____Suburban _____
_____Technology _____
_____Tutor training _____
_____Learning disabled/handicapped _____
_____English as a Second Language (ESL) _____

36 What are the greatest barriers to providing comprehensive literacy instruction to all adults in your state who need it? *(Please rank in order from 1–10, "1" denotes the greatest need.)*
_____Money
_____Motivation of students and potential students
_____Lack of printed materials/resources for teaching students
_____Lack of resources for training tutors
_____Lack of ability/commitment on the part of volunteer tutors
_____Insufficient access to computer technology
_____Transportation
_____Career/guidance counseling for students
_____Publicity about programs
_____Lack of research on teaching methodologies
_____Lack of communication between programs within the state and across other states
_____Other (please specify) _____

State Libraries

SECTION I. GENERAL INFORMATION

1. How would you characterize the population in greatest need of literacy services in your state?
   Ethnicity (give %)
   _____% Caucasian
   _____% Black of African origin
   _____% Asian-American
   _____% Pacific Islanders
   _____% Native American (including Eskimo)
   _____% Hispanic/Spanish Surnamed
   Age (give %)
   _____% 16–21
   _____% 22–25
   _____% 26–35
   _____% 36–45
   _____% 46–55
   _____% 56 and over
   Location in the state (give %)
   _____% Rural, agricultural sectors
   _____% Mining towns
   _____% Urban, manufacturing
   _____% Suburbs
   _____% Other

2. How does your state library plan its strategy in the area of adult literacy? (Please check all that apply.)

	Yes	No
Consultation with illiterates/former illiterates	_____	_____
Formal solicitation of community input	_____	_____
Use of survey data of projected needs generated by the library	_____	_____
Use of survey data of projected needs generated by other sources	_____	_____
Input from other literacy providers/agencies/associations	_____	_____
Input from other government agencies concerned with adult literacy	_____	_____
Other (please specify) _____	_____	_____

3. What do you estimate it costs to keep one adult illiterate in a library-related literacy program for one year?
   $_____

4. Use percentages to estimate the instructional setting used in state and public library literacy programs in your state.
   _____One-on-one tutoring
   _____Small-group instruction
   _____Classroom instruction
   _____Other (please specify) _____

5. Use percentages to estimate the teaching method used in state and public library literacy programs in your state.
   _____Literacy Volunteers of America materials/methods
   _____Laubach materials/methods
   _____Locally developed materials/methods
   _____Other (please specify) _____

6. Have your state and public library literacy projects generated resource materials?
   _____Yes _____No
   If yes, please check all that apply:

	Yes	No
Training materials for tutors	_____	_____
Training materials for students	_____	_____
Videotapes	_____	_____
Recordkeeping	_____	_____
Computer software	_____	_____
Research journals, books	_____	_____
Speakers' bureau	_____	_____
Other (please specify) _____	_____	_____

7. What are the greatest barriers to providing comprehensive literacy instruction to all adults in your state who need it? (Please rank in order from 1–10, "1" denotes the greatest need.)
   _____Money
   _____Motivation of students and potential students
   _____Lack of printed materials/resources for teaching students
   _____Lack of resources for training tutors
   _____Lack of ability/commitment/training on the part of volunteer tutors
   _____Insufficient access to computer technology
   _____Transportation
   _____Career/guidance counseling for students
   _____Publicity about programs
   _____Lack of research on teaching methodologies
   _____Lack of communication between programs within our state and across other states
   _____Other (please specify)_____

8. What are your state library's plans in the area of adult literacy instruction in the near future? (You may respond to more than one choice.)

	Yes	No
To continue the same level of services and instruction to adult illiterates as is currently provided	_____	_____
To reduce level and/or variety of services from what is currently offered	_____	_____
To increase number of public libraries providing instruction	_____	_____
To increase type of literacy services	_____	_____
Other (please specify)_____	_____	_____

9. Does your state have a statewide literacy coalition?
   _____Yes _____No
   If yes, please provide name of coalition, name, address and telephone number of contact person for future follow-up:
   _____
   _____
   _____

10. Does your state have regional literacy coalitions?
    _____Yes _____No
    If yes, please provide names of coalitions and names, addresses and telephone numbers of contact person/persons for future follow-up:
    _____
    _____
    _____

11. How many public library literacy programs in your state are affiliated with a national volunteer program? Please specify "other" programs.

	LVA	Laubach	Other
75%–100%	_____	_____	_____
50%–74%	_____	_____	_____
25%–49%	_____	_____	_____
Less than 25%	_____	_____	_____

12. What kind of literacy instruction is provided by the state or public libraries in your state? (Please check all that apply.)
    _____0–4 grade-level equivalent reading instruction
    _____4–8 grade-level equivalent reading instruction
    _____GED grade-level equivalent instruction
    _____Life-coping skills
    _____Math skills
    _____Computer-assisted instruction
    _____Writing
    _____English as a Second Language (ESL)
    _____Other (please specify)_____

13 Please indicate what program term you apply (e.g., GED, Adult Basic Education, preliteracy training, family literacy) to students in classes that correspond to the following grade level skills:
1st–3rd grade _____
4th grade _____
5th grade _____
6th grade _____
7th grade _____
8th grade _____
9th grade _____
10th–12th grade _____

14. Do you coordinate your literacy programs with other agencies/organizations?
_____Yes
_____No
If yes, please specify the types of agencies:
_____
_____
_____

15. Which of the following sources of funds do you use for your literacy projects?
_____Federal:
_____LSCA Title I
_____LSCA Title VI
_____LSCA Title III
_____310
_____Other (please specify) _____
_____State
_____Local
_____Other (please specify) _____

16 Do any public libraries in your state provide adult literacy instruction even if they receive no federal monies to do so?
_____Yes
_____No
If yes, please estimate how many public libraries in your state would fall into that category and amount of funds these sources provide. _____

SECTION II. LSCA TITLE I

17 Has your state library used any monies from the Library Services and Construction Act (LSCA), Title I, to serve illiterates and/or English as a Second Language (ESL) students?
_____Yes
_____No
If yes, please continue with the survey. If no, please skip to Question 28.

18 How much LSCA Title I program money do you estimate was spent in your state for literacy services in the following years?

	Federal	State	Local	Total
FY 87	_____	_____	_____	_____
FY 86	_____	_____	_____	_____
FY 85	_____	_____	_____	_____

19 How do you and public library literacy projects use LSCA Title I literacy funds (check all that apply):
_____Print materials
_____Computer hardware
_____Computer software
_____Promotion or publicity of literacy programs
_____Evaluation of literacy programs
_____Service to special populations. Please specify:
_____handicapped
_____limited English speaking
_____elderly
_____institutionalized
_____family literacy
_____Literacy coalitions
_____Training of tutors
_____Tutoring of illiterates

20. How do public libraries in your state apply for funding for literacy projects from the state library?
_____Public libraries complete a state library-developed application form, general information given (i.e., amount requested, outline of activities).
_____Public libraries develop and submit a substantive written proposal providing detailed information on their proposed project.
_____Other (please specify) _____

21. What criteria do public library literacy programs need to meet in order to qualify for LSCA Title I monies from your state library?
_____Service to special populations (e.g., disadvantaged, elderly)
_____Adequacy of facilities
_____Qualifications of tutors
_____Qualifications of the program director
_____Procedures for keeping records
_____Clearly defined method of instruction
_____Other (please specify) _____

22. How many people are served by LSCA Title I literacy projects in your state?
_____

23. How are public library literacy programs accountable to your office?
_____Fiscal report
_____Narrative report
_____Site visits
_____Other (please specify) _____

24. Do you recommend or require that public libraries using LSCA Title I literacy money follow prescribed procedures for: (check all that apply)

	Yes	No
Recordkeeping/statistics	_____	_____
Evaluation of student progress	_____	_____
Evaluation of tutors	_____	_____
Evaluation of project	_____	_____
Recruitment	_____	_____
Student intake	_____	_____
Pretest/posttest	_____	_____
Follow-up of students	_____	_____
Other (please specify)_____	_____	_____

25. How are public library literacy programs evaluated? (Check all that apply.)
_____Number of students enrolled at any point
_____Percentage of target population served
_____Number of students retained until goals are met
_____Number of students "placed" in next level or in jobs
_____Number of hours required to progress from one reading level to another (Please specify average number of hours required for a student to progress one grade level in reading. _____)
_____Pretest/posttest

26. What method do you use for monitoring public library literacy programs?
_____Telephone monitoring
_____Site visit (specify from whom) _____
_____Self-report
_____Outside evaluation
_____Other (please specify) _____
_____Audit

27. How often are programs evaluated?
_____Annually
_____Semi-annually
_____Quarterly
_____Monthly
_____Less (please specify) _____

SECTION III. LSCA TITLE VI

28. Did your state library apply for funds under the Library Literacy Program, LSCA Title VI?

FY 86	_____Yes	_____No
FY 87	_____Yes	_____No

29. Do you know of any local public libraries in your state that applied for LSCA Title VI funds?
_____Yes _____No
If yes, please specify the number of libraries that applied, the number that were funded and the total amount of funds they received.

	No. applied	No. funded	$ Amount Rec'd.
FY 86	_____	_____	_____
FY 87	_____	_____	_____

30. How many people in your state do you estimate are served by LSCA Title VI funds?

	FY 86	FY 87
Via state library	_____	_____
Via local public libraries	_____	_____

31. How do you use LSCA Title VI funds (check all that apply):
_____Coordinating and planning library literacy programs
_____Assisting public libraries in conducting adult literacy programs
_____Training librarians or volunteers in use of literacy materials
_____Assisting or training librarians or volunteers in providing literacy services to groups and individuals not adequately served by existing programs
_____Other (Please specify)_____

32. Did you also receive LSCA Title I funds for a literacy project?
_____Yes _____No
If yes, were LSCA Title I funds and LSCA Title VI funds used for the same project?
_____Yes _____No

33. How do you think the LSCA Title VI program affects literacy activities under LSCA Title I?
_____LSCA Title VI supplements LSCA Title I literacy activities
_____LSCA Title I literacy funds supplement LSCA Title VI projects
_____LSCA Title VI has caused a decrease of emphasis on literacy under LSCA Title I
_____LSCA Title VI has caused an increase of emphasis on literacy under Title I
_____LSCA Title VI has not affected LSCA Title I literacy
_____Other (please specify)_____

34 What has been the impact of federal funding on state, local and private sources of funding? Please comment:
_____
_____
_____

35 Are there any outstanding library literacy programs in your state? Please identify name of program, and name, address and telephone number of contact person.
_____
_____
_____

State Literacy Commissions

NOTE. This survey questionnaire has been mailed to states we have reason to believe have formed a statewide commission, coalition or task force on literacy programs and activities within the states. If we are mistaken about your state, please respond "no" to item 1, but indicate whether such a group *is likely to be formed during the next six months and if so, by whom.*

1. Is there a literacy coalition, commission and/or task force in the state?
   _____Yes
   _____No
   If yes, who initiated or formed the group
   _____A literacy services provider (e.g., a local community-based or volunteer organization
   _____The governor or designee
   _____The legislature
   _____Other (please specify)_____
   If no, is one planned?
   _____Yes
   _____No
   If yes, who will likely form the group?
   Please write in:_____

2. What is the goal of the statewide literacy coalition, commission and/or task force? Please check all that apply.

	Yes	No
Linkages between service providers	_____	_____
Coordination of resources within the state	_____	_____
Advocacy for adult illiterates	_____	_____
Advisory panel for state policy makers	_____	_____

3. Has illiteracy been formally defined in your state?
   _____Yes
   _____No
   If yes, how is it defined?
   _____By grade level (please specify (circle) 3 4 5 6 8)
   _____High school diploma
   _____Other (please specify)_____
   If no, then how has future need of literacy services been projected?
   _____Survey of counties
   _____Survey of school districts (dropout data)
   _____Analysis of "hot-line" referrals
   _____Referrals from social service agencies
   _____U.S. Census data
   _____Formula based on population of state
   _____Formula based on previous year's numbers
   _____A combination of the above (explain)_____
   If yes, when was survey conducted?_____
   If yes, by whom?_____
   If yes, please specify the following:
   _____Survey conducted for the entire state
   _____Survey conducted for a pilot project
   _____Survey conducted on those who seek literacy services
   _____Survey conducted on those who seek social services from the state
   _____Survey conducted on those of special populations — e.g., chronically unemployed, immigrants, refugees, prison population, etc.

5. How many adults (age 16 and over) are in need of literacy services in your state?
   _____

6. What percentage of those needing services are receiving them?
   _____.

7. How would you characterize the population of greatest need in the state?
Ethnicity (give %)
_____Caucasian
_____Black of African origin
_____Asian-American
_____Pacific Islanders
_____Native American (including Eskimo)
_____Hispanic/Spanish surnamed
Age (give %)
_____16–21
_____22–35
_____26–35
_____36–45
_____46–55
_____56 and over
Location in the state (give %)
_____Rural, agricultural sectors
_____Mining towns
_____Urban, manufacturing
_____Suburbs
_____Other

8 Has your state attempted to pass legislation pertinent to adult literacy in the past 10 years? (ECS will appreciate receiving a copy or a description of any such legislation.)
_____Yes
_____No
If yes, year: _____
Did it pass?
_____Yes
_____No
Does this legislation seek to link literacy with other incentives (such as parole, driving license, welfare benefits)?
_____Yes
_____No
Were funds appropriated for the implementation of that legislation?
_____Yes
_____No
How much? $_____

9. Is new literacy legislation currently under consideration in your state?
_____Yes
_____No

10. Is there a statewide hot-line telephone service for referrals to literacy programs?
_____Yes
_____No

11. Does your state receive federal funds for adult literacy?
_____Yes
_____No
If yes, specify:
Which agencies in your state receive those funds? _____
Does your state match any of those funds? _____
Does your state participate in the Job Training Partnership Act (JTPA) 8% set-aside funds for literacy? _____
Do you have a system for tracking federal monies within your state's programs? _____

12. Has your state sought funding from sources other than government education agencies?
_____Yes
_____No
If yes, please specify:
_____Government agency other than education
_____Foundation
_____Civic association
_____Business/corporate
_____Other (please specify) _____

13. What agency will primarily oversee the use of the monies appropriated for adult literacy services?
_____Community college system
_____State education agency
_____Public school districts
_____Vocational education system
_____Other (please specify)_____

14. Does your state set any requirements for private sector and/or volunteer, local literacy programs?
_____Yes
_____No

15. What are the greatest barriers to providing comprehensive literacy services to all adults in your state who need it? (Please rank in order from 1–10, "1" denotes the greatest need.)
_____Money
_____Motivation of students and potential students
_____Lack of printed materials/resources for teaching students
_____Lack of resources for training tutors
_____Lack of tutors
_____Lack of ability/commitment on the part of volunteer tutors
_____Insufficient access to computer technology
_____Transportation
_____Career/guidance counseling for students
_____Publicity about programs
_____Lack of research on teaching methodologies
_____Lack of communication between programs within the state and across other states
_____Other (please specify)_____

Appendix C

Number of Respondents by Geographic Regions* and Identification

	State Name	AEDs	SLDs	SLCs
Region 1:	**Northeast-Atlantic Islands**			
	Connecticut	1	1	1
	Delaware	1	0	0
	Maine	1	1	0
	Maryland	0	1	0
	Massachusetts	1	0	0
	New Hampshire	1	1	0
	New Jersey	1	1	0
	New York	1	1	1
	Pennsylvania	1	1	0
	Puerto Rico	1	0	0
	Rhode Island	1	1	1
	Vermont	0	1	0
	Virgin Islands	1	0	0
	Subtotal:	11	9	3
Region 2:	**South-Southeast**			
	Alabama	1	1	0
	Arkansas	1	0	0
	Florida	1	1	1
	Georgia	1	0	1
	Louisiana	1	1	0
	Mississippi	1	1	1
	North Carolina	1	0	2
	Oklahoma	1	1	1
	South Carolina	1	1	1
	Tennessee	1	1	1
	Texas	1	1	0
	Virginia	1	0	0
	Subtotal:	12	8	8
Region 3:	**Central-Midwest**			
	Illinois	1	1	1
	Indiana	0	1	0
	Iowa	1	1	0
	Kansas	1	1	0
	Kentucky	1	1	1
	Michigan	1	0	2
	Minnesota	1	1	1
	Missouri	1	0	1
	Nebraska	1	1	0
	North Dakota	1	1	0
	Ohio	1	1	0
	South Dakota	1	0	0
	West Virginia	1	1	1
	Wisconsin	0	1	0
	Subtotal:	12	11	7

These regions correspond to the U.S. Department of Education "Areas."

	State Name	AEDs	SLDs	SLCs
Region 4:	**West-Pacific**			
	Alaska	1	1	0
	Arizona	1	0	1
	California	1	0	3
	Colorado	1	1	0
	Hawaii	1	0	0
	Idaho	1	1	0
	Montana	1	0	0
	Nevada	1	0	0
	New Mexico	1	0	0
	Oregon	1	0	0
	Utah	1	1	0
	Washington	1	1	1
	Wyoming	0	1	0
	Subtotal:	12	6	5

Appendix D

Users of Adult Literacy Services

In 1973, George Eyster and Ann Hayes of the Appalachian Adult Education Center (AAEC)[1] reviewed seven years of research and observations to draw portraits of people who seek adult education and/or literacy services. Today their broad-brush picture remains instructive. They found, for example, that positive attitudes are the keys to success. That remains true. Adult education directors participating in the ECS survey ranked lack of student motivation second only to money as a barrier to providing comprehensive literacy services to all adults who need them.

Eyster and Hayes described four groups of users, cautioning that their descriptions were based upon individual characteristics.

Group I: Secure, Self-Directed

Individuals in this group tend to be secure economically and personally. Understanding the benefits of literacy services, they are relatively easy to recruit through the media. They profit most from individualized instruction. Among disadvantaged adults, almost all library-card holders are found in this group.

Group II: Time Problems

Group II includes those who are undereducated and underemployed. They are the "star performers" of literacy instruction, making large achievement gains and/or dramatic changes in economic levels and lifestyles as the result of literacy instruction. Mostly, people in this group need services that take their time needs into consideration. This is the group that has swing shift, overtime, seasonal work and large families. Any service with rigid hours is virtually unusable to them.

Group III: One-To-One

Group III includes those who are a long way from mastering both the critical reading and advanced computational skills required for high school equivalency and a living wage. However, they still believe they can benefit from public services. Group III needs individualization above all. The AAEC studies found that this group can be reached only through one-to-one recruitment (either door-to-door or agency referrals) and one-to-one services.

Group IV: The Stationary Poor

The smallest group, Group IV includes those with the greatest need. AAEC terms these individuals the "stationary poor" (a phrase that may not describe many of those who need literacy services today. Many more people than in previous years may be one job away from Group IV). These persons tend to disbelieve that they can have any control over their own futures. They often exhort their children not to hope or set a model of not hoping — thereby perpetuating the cycle of poverty. They are unemployed and unemployable.

[1] *"The Interrelating of Library and Basic Education Services for Disadvantaged Adults. A Demonstration of Four Alternative Working Models" (Washington, D.C.. U.S. Department of Health, Education and Welfare, Office of Education, June 1973).*

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