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Adult Education and Family Literacy Act (AEFLA): A Primer

(name redacted)

Analyst in Labor Policy

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Summary

Enacted in 1998, the Adult Education and Family Literacy Act (AEFLA) is the primary federal legislation that supports basic education for out-of-school adults. Commonly called “adult education,” the programs funded by AEFLA typically support educational services at the secondary level and below, as well as English language training. Actual services are typically provided by local entities using a combination of federal and non-federal funds. Specific curricula vary based on the needs and objectives of the local student population.

In FY2013, approximately \$575 million was appropriated for AEFLA. Of this sum, approximately \$21 million was set aside for national activities and incentive grants. The remaining \$554 million was allocated to the states via formula grants. To receive a federal grant, states are required to provide a match so that non-federal resources account for at least 25% of the total resources dedicated to adult education. Many states contribute well beyond their required match, though there is substantial variation among the states.

The statute specifies that 82.5% of each state’s grant must be subgranted to local providers of educational services. These local providers are most commonly local education agencies (typically school districts) or institutions of higher education (typically community, junior, or technical colleges). Nonprofit agencies, correctional institutions, and other entities may also receive grants.

Adult education activities provided at the local level are divided into three broad categories:

- *Adult Basic Education (ABE)*, which includes instruction for adults whose literacy and numeracy skills are below the high school level;
- *Adult Secondary Education (ASE)*, which includes instruction for adults whose literacy skills are approximately at the high school level, including adults who are seeking to pass the General Education Development (GED) test; and
- *English literacy (EL)*, which includes instruction for adults who are not proficient in the English language.

In program year 2011-2012 (the most recent year for which complete data are available), approximately 1.8 million individuals participated in state adult education activities for an average of 124 hours each. A plurality of the students (47%) participated in ABE while a smaller share (40%) participated in EL activities. The remaining share of adult education students (13%) participated in ASE activities. Non-federal funds accounted for the majority of spending on these activities.

The authorization of appropriations for AEFLA expired at the end of FY2003, though the programs it supports have continued to be funded through the annual appropriations process. AEFLA was enacted as Title II of the Workforce Investment Act of 1998 (WIA) and AEFLA reauthorization debate has also been part of broader efforts to reauthorize WIA.

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Background

Many adults in the United States have low levels of literacy or numeracy, or limited English language proficiency.¹ Under the authorization of the Adult Education and Family Literacy Act (AEFLA), the federal government has made grants to states to provide services to improve these skills among adults who are not enrolled in school. Commonly called “adult education” efforts, these investments provide educational services to adults at the secondary level and below, as well as English language training.

Adult education services are typically provided by local entities using a combination of federal and non-federal funds. Students include those seeking to develop basic skills, those seeking to obtain a secondary credential, and English language learners of various educational backgrounds. Curricula vary based on student needs and objectives. According to the most recent annual data, the average adult education student received 124 hours of instruction. Adult education instructors are a combination of full-time, part-time, and volunteer personnel.

AEFLA programs are administered by the U.S. Department of Education (ED) through its Office of Vocational and Adult Education (OVAE).² In FY2013, appropriations under the act were \$575 million. Of this appropriation, \$554 million was distributed to the states via formula grants.

This report will provide background information on AEFLA and the activities it funds. The report begins with a description of the law itself. This description focuses on AEFLA’s largest component, the state grants program. The second half of the report uses program data to describe the implementation of the state grants program, including the data on providers and participants.

AEFLA Statutory Provisions

AEFLA was enacted as Title II of the Workforce Investment Act of 1998 (WIA; P.L. 105-220). It replaced the National Literacy Act of 1991 (P.L. 102-73) and the Adult Education Act of 1966 (P.L. 89-750).

AEFLA authorized such sums as necessary to carry out its functions from FY1999 through FY2003. When the program was not reauthorized, the General Education Provisions Act (GEPA) automatically extended AEFLA authorization for one year. Since the expiration of this extension, the program has continued to be funded through the annual appropriations process. AEFLA reauthorization has been debated in the context of broader efforts to reauthorize WIA.³

¹ Defining literacy is a complex issue and, depending on definitions, the literacy rate in the United States can vary dramatically. The National Assessment of Adult Literacy (NAAL) is an occasional federally sponsored survey that measures components of adult literacy and numeracy. The most recent NAAL was conducted in 2003. The findings of this assessment illustrate the complexity of measuring literacy and are available at <http://nces.ed.gov/naal/>.

² The exception to this is Workforce Investment Act Title V incentive grants, which are funded under AEFLA and part of ED’s budget but administered by the Department of Labor.

³ For information on reauthorization efforts in the 113th Congress, see CRS Report R42990, *Workforce Investment Act (WIA) Reauthorization Proposals in the 113th Congress: Comparison of Major Features of Current Law and H.R. 803*; and CRS Report R43265, *Workforce Investment Act (WIA) Reauthorization Proposals in the 113th Congress: Comparison of Major Features of Current Law and S.1356*.

Purpose of AEFLA and Definition of Adult Education

The statutory purpose of AEFLA is to

- (1) assist adults to become literate and obtain the knowledge and skills necessary for employment and self-sufficiency;
- (2) assist adults who are parents to obtain the educational skills necessary to become full partners in the educational development of their children; and
- (3) assist adults in the completion of a secondary school education.⁴

To fulfill this purpose, statute authorizes funds for adult education activities, which it defines as services or instruction below the postsecondary level for individuals who are at least 16 years old, are not enrolled in school nor required to be enrolled in school under state law, and either

- (i) lack sufficient mastery of basic educational skills to enable the individuals to function effectively in society;
- (ii) do not have a secondary school diploma or its recognized equivalent, and have not achieved an equivalent level of education; or
- (iii) are unable to speak, read, or write the English language.⁵

AEFLA-Funded Programs

AEFLA specifies portions of its annual appropriation that are set aside for certain programs.⁶ The remaining funds (which are typically more than 95% of the annual appropriation) are distributed to the states through formula grants.⁷

State Grants

AEFLA specifies how funds are allotted to each state as well as the proportion of each state's grant that must be allotted to various activities. The act also sets criteria for how state grant funds must be subgranted to local service providers.

Allotment of Funds Among the States

Section 211(b) of AEFLA specifies a two-step process through which state grant funds are distributed. First, there is an initial allotment of \$250,000 to each state and \$100,000 to each

⁴ Section 201 of AEFLA (20 U.S.C. 9201)

⁵ Section 202 of AEFLA (20 U.S.C. 9202)

⁶ The set-asides are discussed in the "Set-Asides for Other Purposes" section later in this report.

⁷ The formula for these funds is established in AEFLA. Since FY2000, however, appropriations legislation has reserved a portion of state grant funds for English Literacy-Civics (EL-Civics) formula grants to states. This reservation effectively creates two formula grants within the state grants program: one that allots the set-aside using the EL-Civics formula in appropriations legislation (described in the "English Literacy-Civics Grants" subsection later in this report) and a second that allots the remaining state grant funds using the formula in AEFLA.

eligible outlying area.⁸ The second step of the allotment process distributes the remainder of the funding by formula. The formula is based on each state's share of qualifying adults. Qualifying adults are those who are

- at least 16 years of age,
- beyond the age of compulsory school attendance in the states,
- without a high school diploma or the equivalent, and
- not enrolled in secondary school.

States must match their grants so that 25% of the state's total adult education resources are from non-federal sources.⁹ Non-federal matches may be cash or in-kind.¹⁰ In outlying areas, the non-federal share must be at least 12%.

AEFLA's hold harmless provisions specify that states and outlying areas shall receive grants equal to at least 90% of the grant they received in the previous fiscal year.¹¹ AEFLA's maintenance of effort provisions require each state and outlying area to expend at least 90% of what it spent in the prior year on adult education activities.¹²

Table B-1 in Appendix B lists the annual allotments to each state from FY2011 to FY2013.

English Literacy-Civics Grants

Since FY2000, appropriations legislation has set aside a portion of the AEFLA state grant funding for integrated English literacy and civics education services (EL-Civics) to limited-English-proficient populations. In FY2013, this set-aside was \$70.81 million or about 12.8% of state grants funding.¹³ The remainder of state grant funds were allotted using the formula described in the previous section.

The provisions of the EL-Civics grants are enumerated in annual appropriations legislation and are not established elsewhere in law. EL-Civics funds are distributed to the states based on recent

⁸ For the purposes of state grant allotments, the 50 states, the District of Columbia, and Puerto Rico are classified as states. American Samoa, Guam, the Northern Mariana Islands, and the U.S. Virgin Islands are classified as outlying areas. By the definition in AEFLA, the freely associated states of the Marshall Islands, Micronesia, and Palau are also considered outlying areas but their grant eligibility is governed by Compact of Free Association and does not follow the process outlined in AEFLA. Since FY2005, Palau has been the only freely associated state that receives AEFLA funding and since then, its annual grant has equaled 90% of its grant from the prior year. In FY2013, Palau's grant was \$20,590 or 0.00004% of total AEFLA state grant funding.

⁹ This matching requirement can also be viewed as states providing \$1 of resources for every \$3 in federal funding.

¹⁰ See 20 U.S.C. 9222(b). 34 C.F.R. 461.1(c) further specifies when determining non-federal contributions, ED shall consider "(1) Expenditures from State, local, and other non-Federal sources for programs, services, and activities of adult education, as defined in [AEFLA], made by public or private entities that receive from the State Federal funds made available under [AEFLA] or State funds for adult education; and (2) Expenditures made directly by the State for programs, services, and activities of adult education as defined in [AEFLA]."

¹¹ If federal appropriations are insufficient to meet this threshold, each grantee's share of current year funding will be ratably reduced.

¹² See 20 U.S.C. 9251(b).

¹³ Appropriations legislation set aside \$74,850,000 for EL-Civics activities and the appropriation was reduced under sequestration.

immigration data from the United States Citizenship and Immigration Services (USCIS).¹⁴ Typically, 65% of the EL-Civics funding is distributed based on each state's relative share of immigrants admitted for legal permanent residence in the 10 most recent years and 35% is distributed based on each state's relative share of immigrants admitted for legal permanent residence in the three most recent years.

Table B-2 in Appendix B lists the annual EL-Civics allotments to each state from FY2011 to FY2013.

Uses of State Grant Funds

Section 222 of AEFLA specifies several requirements on how states must allocate their grant funds:

- At least 82.5% of the state allotment must be competitively subgranted to local service providers. Up to 10% of the 82.5% may be granted to entities that provide services to individuals in correctional facilities or other institutionalized individuals.
- Up to 12.5% of the state's allotment may be allocated to state leadership activities (i.e., programs of statewide relevance such as the development and dissemination of curricula).¹⁵
- No more than 5% of the total grant or \$65,000, whichever is greater, may be used for administrative expenses.

All recipients of local subgrants must use funds for the provision of one or more of the following services: adult education and literacy services, family literacy services, and/or English literacy programs. Entities eligible to receive local subgrants include local educational agencies, community and faith-based organizations, institutions of higher education, and other nonprofit organizations.¹⁶

AEFLA requires states to consider certain factors when selecting local subgrant recipients. Most of these considerations relate to a subgrantee's ability to successfully serve qualifying adults (particularly high-need populations) and accurately report performance data.¹⁷

State Plans

Section 224 of AEFLA specifies that, to receive a grant, each state must submit, or have on file, a state plan. Plans are five years in duration. State plans must contain¹⁸

- an assessment of adult education needs in the state, including high-need and hard-to-serve individuals;

¹⁴ EL-Civics funds are limited to the 50 states, the District of Columbia, and Puerto Rico.

¹⁵ Allowable state leadership activities are listed in Section 223 of AEFLA (20 U.S.C. 9223).

¹⁶ The full list of eligible providers is available in Section 203(5) of AEFLA (20 U.S.C. 9202(5)).

¹⁷ The 12 statutory considerations are listed in Section 231(e) of AEFLA (20 U.S.C. 9241(e)).

¹⁸ In addition to the components below, state plans must also contain several assurances that the state will comply with certain provisions of AEFLA. See 20 U.S.C. 9224(b) for complete required contents.

- a description of the adult education activities that will be funded by AEFLA;
- a description of how the state will annually evaluate and improve its activities using standardized reporting measures (see “Performance Accountability and Reporting Requirements” subsection later in this report);
- a description of the process that the state will use for public participation and comment in the development of its state plan;
- a description of how the state will develop program strategies for certain populations such as individuals with disabilities and single parents;
- a description of how AEFLA-funded activities in the state will be integrated with other adult education, career development, and employment training services; and
- a description of steps the state will take to ensure equitable access to funds among local adult education providers.

As an alternative to developing a specialized AEFLA plan, WIA allows states to develop a unified plan that combines AEFLA requirements with other federally funded workforce development programs.¹⁹

Performance Accountability and Reporting Requirements

Section 212 establishes a performance accountability system for grantees under AEFLA. It requires grantees to track participation and other core indicators of performance. These core indicators are

- improvement in literacy skill levels in reading, writing, and speaking the English language; numeracy; problem solving; English language acquisition; and other literacy skills;
- placement or retention in, or completion of, postsecondary education, training, employment, or career advancement; and
- receipt of a secondary school diploma or the equivalent.

States report their performance via the online National Reporting System (NRS). Reports from the NRS provide the program data presented in the “AEFLA Implementation and Program Data” section later in this report.

Set-Asides for Other Purposes

Section 211(a) of AEFLA specifies several set-asides from sums appropriated under the act.

- The lesser of 1.5% of the appropriation or \$8 million for *National Leadership Activities* (NLA). These activities can include (1) technical assistance to the states such as assistance in developing performance measures or professional development for instructors, and (2) national research activities such as

¹⁹ See 20 U.S.C. 9271.

- curriculum development, program evaluation, and dissemination of best practices.²⁰
- The lesser of 1.5% of the appropriation or \$8 million for the *National Institute for Literacy* (NIFL).²¹ NIFL operates under an interagency agreement between ED, DOL, and the Department of Health and Human Services (HHS). Its purposes are to (1) provide national leadership regarding literacy, (2) coordinate literacy services and policy, and (3) serve as a national resource for adult education and literacy programs.²²
 - 1.72% for *WIA Title V Incentive Grants*.²³ Incentive grants are available to states that achieve superior performance in both Title I and Title II of WIA.²⁴ Annual performance levels are negotiated by the states, DOL, and OVAE. The maximum incentive grant for each qualifying state is \$3 million and the minimum is \$750,000.

Actual appropriations activities have varied from these statutory directives. For example, NIFL has not received funding since FY2009 and some of its functions have been consolidated into National Leadership Activities. Since NIFL stopped receiving AEFLA funding, the set-aside for National Leadership Activities in appropriations legislation has exceeded 1.5% of AEFLA appropriations. Annual set-asides are listed in **Table A-1** in **Appendix A**.

AEFLA Implementation and Program Data

As discussed in the prior section, AEFLA specifies certain requirements for state grants (and local subgrants) but leaves many decisions to the states and localities. This section will use program data from the NRS to illustrate the nature of states' and localities' adult education services, providers, students, and outcomes.²⁵ NRS data are typically reported by program year (PY), which runs nine months behind the fiscal year (e.g., PY2011-2012 was from July 1, 2011, to June 30, 2012). As such, the data discussed in this section will not align precisely with fiscal year information discussed elsewhere in this report.

When interpreting the data in this section, it is important to note that many states contribute beyond their AEFLA-required match. Localities and private entities may also contribute to adult education activities, and federal funds subsequently account for only a minority of the funds used to provide local adult education services.

²⁰ For details on permissible activities, see AEFLA Section 243 (20 U.S.C. 9253).

²¹ ED has not allocated funds to NIFL since FY2009. NIFL's priority activities have been consolidated into AEFLA's National Leadership Activities.

²² For additional details on NIFL, see AEFLA Section 242 (20 U.S.C. 9252).

²³ In the ED budget, incentive grants are part of the state grants program.

²⁴ Incentive grants are authorized under Section 503 of WIA. Prior to PY2007, states also needed to achieve superior performance under Title III of the Carl D. Perkins Vocational and Technical Education Act of 1998 to receive an incentive grant.

²⁵ All data in this section were generated using the user-directed NRS database at <http://wdcrobcolp01.ed.gov/CFAPPS/OVAE/NRS/reports/>.

Characteristics of Local Services

AEFLA-funded adult education services are typically administered at the local level. NRS data (and most other adult education literature) divides these services into three primary categories.

- *Adult Basic Education* (ABE) includes instruction for adults whose literacy skills are below the high school level. In PY2011-2012, about 47% of adult education students were enrolled in ABE classes.
- *Adult Secondary Education* (ASE) includes instruction for adults whose literacy skills are approximately at the high school level. This includes adults who are seeking to pass the General Education Development (GED) test or obtain a high school credential. In PY2011-2012, about 13% of adult education students were enrolled in ASE courses.
- *English literacy* (EL) is instruction for adults who are not proficient in the English language. In PY2011-2012, about 40% of adult education students were enrolled in EL courses.

States have diverse adult education populations and there are large variations among the states in terms of enrollment levels in each program. For example, in PY2011-2012, Nevada reported that 80% of its adult education students were enrolled in EL courses while Louisiana reported that 81% of its adult education students were enrolled in ABE courses.

Types of Service Providers

Eligible providers of AEFLA-funded services include both public and private entities. **Table 1** presents data on the allotment of federal AEFLA funds and state funds to eligible providers in PY2011-2012. Local education agencies (typically school districts) were the largest recipients of both federal and state adult education funding.

Table 1 may exclude some non-federal, non-state contributions to adult education activities such as local funding and in-kind contributions. Comprehensive estimates of non-federal effort are available from each state's annual Financial Status Report (FSR). States' final FSR reports for the 2011-2012 program year will be available after September 2013. Aggregated data on non-federal effort from prior years' FSRs are not readily available.²⁶

²⁶ Individual states' final FSRs from PY2010-2011 and prior years can be generated from the NRS database at <http://wdcrobcolp01.ed.gov/CFAPPS/OVAE/NRS/FSRtables/index.cfm>.

Table 1. Local Adult Education Grantee Types by Funding Source, PY2011-12

Provider Agency	AEFLA Funding Total	AEFLA Funding % of Total	State Funding Total	State Funding % of Total
Local Education Agencies	\$254,239,492	50.6%	\$1,082,312,982	77.8%
Institutions of Higher Education	\$158,903,708	31.6%	\$214,474,276	15.4%
Community Junior or Technical Colleges	\$144,122,868	28.7%	\$209,969,359	15.1%
Four-Year Colleges or Universities	\$6,041,315	1.2%	\$3,109,273	0.2%
Other Institutions of Higher Education	\$8,739,526	1.7%	\$1,395,644	0.1%
Public or Private Nonprofit Agencies	\$68,670,126	13.7%	\$52,600,030	3.8%
Community-Based Organizations	\$54,036,910	10.8%	\$47,210,692	3.4%
Faith-Based Organizations	\$10,701,670	2.1%	\$4,811,538	0.3%
Libraries	\$3,931,545	0.8%	\$577,801	<0.1%
Other Agencies	\$20,345,302	4.1%	\$41,067,663	3.0%
Correctional Institutions	\$12,904,283	2.6%	\$29,943,503	2.2%
Other Institutions (non-correctional)	\$732,725	0.1%	\$4,640,433	0.3%
All Other Agencies	\$6,708,293	1.3%	\$6,483,728	0.5%
Total	\$502,158,628	100.0%	\$1,390,454,951	100.0%

Source: National Reporting System, Aggregate NRS Table 14 for PY2011-2012. Tables generated at <http://wdcrobcolp01.ed.gov/CFAPPS/OVAE/NRS/reports/> on April 4, 2013. Data for Maine have not yet been approved by ED and were not included in this table.

Note: Due to rounding, the sum of subgroups may not equal totals. Since funds are reported on a program year basis, they may not correspond with fiscal year funding levels discussed elsewhere in the report. State funding may not include local, private, or in-kind contributions to adult education activities.

AEFLA services are provided by a combination of paid staff and volunteers. **Table 2** presents data on state and local adult education personnel in PY2011-2012. Local teachers were the largest personnel group and almost 85% of this group was either part-time or volunteers. As is the case with other program components, the characteristics of each state's adult education personnel varied by state. For example, nearly 50% of Kentucky's teachers are full-time while more than 70% of the teachers in Pennsylvania are volunteers.

Table 2. Characteristics of Adult Education Personnel, PY2011-12

Position	Number	Share of Personnel			Total
		Full-Time	Part-Time	Unpaid Volunteer	
Local Teachers	72,202	14.5%	59.2%	26.3%	100.0%
Local Paraprofessionals	17,600	13.9%	28.4%	57.7%	100.0%
Local Administrative, Supervisor, and Ancillary Services	12,256	41.2%	41.0%	17.8%	100.0%
Local Counselors	2,242	30.8%	59.1%	10.1%	100.0%
State Administrative, Supervisory, and Ancillary Services	482	76.8%	22.0%	1.2%	100.0%

Source: Calculations by CRS based on data from National Reporting System, Aggregate Table 7 for PY2011-2012. Tables generated at <http://wdcrobcolp01.ed.gov/CFAPPS/OVAE/NRS/reports/> on April 4, 2013.

Characteristics of Participants

Data on the demographics and other characteristics of AEFLA participants are available from NRS. **Table 3** presents data on the approximately 2 million individuals that participated in adult education programs in PY2011-2012.

The characteristics of adult education participants vary by the type of services. For example, the ASE population tended to be younger (57% under the age of 25) and have a higher concentration of white students (48%) than the overall adult education population. Conversely, the EL population tended to be older (84% age 25 or over) and have a higher concentration of Hispanic or Latino students (65%) than the overall adult education population.

Table 3. Characteristics of AEFLA Participants, PY2011-2012

	Number	Share of Population
Age	1,818,806	100.0%
16-18	184,085	10.1%
19-24	433,776	23.8%
25-44	834,485	45.9%
45-59	295,586	16.3%
60+	70,874	3.9%
Race	1,818,806	100.0%
White	480,789	26.4%
Black or African American	407,383	22.4%
Hispanic or Latino	709,213	39.0%
Asian	148,968	8.2%
Other ^a	72,453	4.0%
Employment Status	1,818,806	100.0%
Employed	579,815	31.9%
Unemployed	734,233	40.4%
Not in the Labor Force	504,758	27.8%

Source: National Reporting System, NRS Aggregate Table 2 for PY2011-2012; Longitudinal Report Table 10 for PY2011-2012. Tables generated at <http://wdcrobcolp01.ed.gov/CFAPPS/OVAE/NRS/reports/> on April 4, 2013.

- a. "Other" aggregates three categories: American Indian or Native Alaskan; Native Hawaiian or Pacific Islander; and two or more races.

Treatment and Outcome Data

AEFLA requires grantees to track the nature and duration of their services as well as student outcomes. Data on educational gains are available for all participants. Data on other outcomes (such as entering employment or postsecondary education) are more limited.

Educational Gains

Table 4 presents data on participants' hours of attendance and educational progress. Educational progress is defined as completing a level of curriculum within the ABE, ASE, or EL tracks. The ABE program has four levels, the ASE program has two, and the EL program has six.²⁷ Progress is determined through a pre-test administered to a participant at intake and subsequent post-tests at specified intervals.²⁸

²⁷ For detailed descriptions of each educational level, see tables at 34 C.F.R. 462.44.

²⁸ Testing procedures are not uniform across the states. For information on how states establish their tests other testing (continued...)

Table 4. AEFLA Enrollment and Educational Progress, PY2011-2012

Entering Educational Functioning Level	Total Number Enrolled	Average Hours of Participation per Enrollee	Share			Total
			Completing Level	Separating Before Completing Level	Remaining within Level	
Total, All Programs and Levels	1,818,806	124	43.8%	32.4%	23.7%	100.0%
Adult Basic Education (ABE)	853,213	109	43.4%	35.2%	21.4%	100.0%
Adult Secondary Education (ASE)	231,969	88	39.2%	36.9%	23.9%	100.0%
English Literacy (EL)	733,624	153	45.8%	27.8%	26.4%	100.0%

Source: Shares calculated by CRS based on Aggregate Table 4 Data for PY2011-2012. Table generated at <http://wdcrobcolp01.ed.gov/CFAPPS/OVAE/NRS/reports/> on April 4, 2013.

Notes: There are four levels within ABE, two levels within ASE, and six levels within EL. For definitions of each educational functioning level, see tables at 34 C.F.R. 462.44.

Other Outcomes

In addition to educational gains, AEFLA requires states to track participant outcomes regarding employment, the completion of a secondary degree, and entrance into postsecondary education.²⁹ Unlike the fairly comprehensive data on demographics and educational progress, data on these post-school outcomes are somewhat limited. These data are limited by two primary factors:

- Follow-up outcomes are only tracked when a client states an objective beyond education. Otherwise, only the default “educational progress” indicator is tracked. As **Table 5** shows, a relatively small portion of AEFLA participants state a follow-up objective. Participants may decline to state an objective beyond educational progress for a variety of reasons. They may have already attained a goal (for example, **Table 3** in a prior section shows that 32% of AEFLA participants were employed at intake), educational progress may be their only goal, or they may simply choose not to state a follow-up objective.
- In some cases, follow-up outcomes may be tracked with surveys that have varied response rates. Coupled with the fact that only a subset of the population’s follow-up outcomes are tracked, this may result in follow-up outcome data based on only a small number of participants.

Due to these limitations, the available data on follow-up measures in **Table 5** should be interpreted with caution. While the available data can provide some insight into the subsequent outcomes for some AEFLA participants, using these data to evaluate program efficacy may be difficult.

(...continued)

requirements and procedures, see 34 C.F.R. 462.1-44.

²⁹ See 20 U.S.C. 9212(b)(2)(A). These post-program outcomes are often described as “follow-up objectives.”

Table 5. Core Follow-Up Measures for AEFLA Exiters, PY2011-2012

Core Follow-Up Outcome Measures	Number of Participants			
	Population with Main or Secondary Goal	Outcome data Available via Survey or Data Matching	Achieving Outcome	Percent Achieving Outcome
Entered Employment ^a	221,799	170,104	80,938	47.6%
Retained Employment ^b	169,799	133,170	87,172	65.5%
Obtained a GED or Secondary School Diploma ^c	250,579	234,341	143,816	61.4%
Entered Postsecondary Education or Training ^d	101,343	82,222	47,731	58.1%

Source: National Reporting System, NRS Aggregate Table 5 for PY2011-2012; generated at <http://wdcrobcolp01.ed.gov/CFAPPS/OVAE/NRS/reports/> on April 4, 2013. Data for the District of Columbia, Iowa, New Hampshire, and Maine were not yet approved by ED at the time of retrieval and may be subsequently revised.

Notes: Percent achieving outcome is the number of participants achieving the outcome divided by the number of participants for which outcome data are available. Participants for which outcome data are not available are excluded from these calculations. Definitions for PY2011-2012 are from the November 2011 edition of *Implementation Guidelines: Measures and Methods for the National Reporting System for Adult Education*, published by ED. Definitions for subsequent program years may vary somewhat.

- a. Population includes participants who are not employed at the time of program entry, have a goal of entering employment, and exited the program during the program year. To achieve the outcome, participants must enter employment by the end of the first quarter after program exit. A job obtained while the student was still enrolled can be counted as achieving the goal if the participant is still employed the quarter after program exit.
- b. Population includes participants who either (1) are not employed at the time of program entry, have a goal of obtaining employment, and enter employment by the end of the first quarter after exit; or (2) are employed at entry and have a goal of improved or retained employment. To achieve the outcome, a participant must remain employed in the third quarter after exit.
- c. Population includes participants with a goal of passing the GED test or obtaining a secondary school diploma (or equivalent) who exit during the program year. To achieve the outcome, a participant must attain a passing score on a GED test or obtain a diploma or state recognized equivalent, documenting satisfactory completion of secondary studies.
- d. Population is all participants with a goal of placement in postsecondary education or training who exit during the program year. To achieve the outcome, participants must enroll in a postsecondary education or occupational skills training program, regardless of whether the adult education services were completed.

Appendix A. AEFLA Funding, FY1999-FY2013

Table A-1. AEFLA Funding FY1999-FY2013

(all funding in thousands)

Fiscal Year	AEFLA Total	State Grant Funds		National Institute for Literacy	National Leadership Activities
		Total	EL-Civics Set-Aside		
1999	\$385,000	\$345,339	n/a	\$6,000	\$14,000
2000	470,000	450,000	25,500	6,000	14,000
2001	560,500	540,000	70,000	6,500	14,000
2002	591,060	575,000	70,000	6,617	9,500
2003	587,217	571,262	69,545	6,517	9,438
2004	590,233	574,372	69,135	6,692	9,169
2005	585,406	569,672	68,582	6,638	9,096
2006	579,552	563,975	67,896	6,572	9,005
2007	579,563	563,975	67,896	6,583	9,005
2008	567,468	554,122	66,710	6,468	6,878
2009	567,468	554,122	67,895	6,468	6,878
2010	639,567	628,221	75,000	0	11,346
2011	607,443	596,120	74,850	0	11,323
2012	606,295	594,993	74,709	0	11,302
2013	574,667	563,955	70,811	0	10,712

Source: Department of Education FY2000 through FY2014 budget justifications. Additional details on Congressional Action from FY2011 to FY2013 are available at <http://www2.ed.gov/about/overview/budget/tables.html>.

Note: State grant funds include set-asides for WIA Title V incentive grants. Appropriation levels were taken from subsequent years' budget documents and include sequestration, rescissions, and other post-appropriation adjustments, where applicable.

Appendix B. AEFLA Grants to States and Outlying Areas, FY2011-2013

Table B-1. AEFLA Grants to States, FY2011-2013
(excludes EL-Civics Grants, which are listed in **Table B-2**)

Grantee	FY2011 Actual	FY2012 Actual	FY2013 Estimate
Alabama	\$9,520,213	\$9,579,239	\$9,088,850
Alaska	918,644	929,924	898,919
Arizona	11,450,928	10,590,633	9,980,874
Arkansas	5,712,738	5,676,617	5,297,517
California	72,825,539	74,427,797	71,230,654
Colorado	6,133,088	6,094,776	5,739,165
Connecticut	4,527,412	4,662,122	4,439,837
Delaware	1,471,150	1,518,064	1,478,724
District of Columbia	1,137,010	1,103,228	1,070,355
Florida	30,662,909	31,038,637	29,670,257
Georgia	17,139,168	16,815,540	15,982,788
Hawaii	1,588,671	1,659,543	1,626,247
Idaho	2,147,294	2,182,925	2,067,540
Illinois	18,893,675	18,640,584	17,408,635
Indiana	9,661,398	9,571,412	8,982,766
Iowa	3,355,410	3,391,695	3,226,015
Kansas	3,355,192	3,422,191	3,274,835
Kentucky	8,850,695	8,766,623	8,203,425
Louisiana	8,972,585	9,055,340	8,594,550
Maine	1,769,175	1,741,358	1,603,257
Maryland	7,691,436	7,888,511	7,357,666
Massachusetts	8,257,777	8,099,621	7,689,541
Michigan	13,419,141	12,623,242	11,935,152
Minnesota	5,022,396	5,085,523	4,804,353
Mississippi	6,389,755	6,272,954	5,932,954
Missouri	9,039,282	8,820,305	8,266,224
Montana	1,284,020	1,242,934	1,162,247
Nebraska	2,131,202	2,165,498	2,033,764
Nevada	4,829,004	4,943,602	4,725,873
New Hampshire	1,575,928	1,523,454	1,445,444

Grantee	FY2011 Actual	FY2012 Actual	FY2013 Estimate
New Jersey	11,887,152	11,890,448	11,212,010
New Mexico	3,910,247	3,966,322	3,811,142
New York	32,694,835	32,579,394	30,968,520
North Carolina	16,219,755	16,510,505	15,567,536
North Dakota	947,550	959,829	914,175
Ohio	15,698,631	15,288,148	14,429,143
Oklahoma	5,865,864	5,897,105	5,614,916
Oregon	4,933,855	5,009,468	4,774,550
Pennsylvania	17,311,298	16,983,158	15,900,404
Rhode Island	2,064,796	2,055,919	1,936,550
South Carolina	8,476,144	8,400,669	8,032,414
South Dakota	1,183,101	1,145,317	1,110,518
Tennessee	11,779,315	11,581,647	10,886,025
Texas	49,255,542	49,815,407	47,675,857
Utah	2,766,570	2,779,187	2,703,616
Vermont	881,946	875,060	831,224
Virginia	11,458,209	11,737,155	10,813,789
Washington	7,745,973	7,915,685	7,617,021
West Virginia	3,823,017	3,831,120	3,557,393
Wisconsin	6,478,733	6,408,082	6,031,232
Wyoming	763,770	751,008	719,322
American Samoa	245,248	247,297	241,549
Guam	429,887	434,542	421,486
Northern Mariana Islands	355,982	359,594	349,463
Puerto Rico	13,301,621	12,284,314	11,320,719
Virgin Islands	510,463	516,254	500,009
Freely Associated States	25,420	22,878	20,590
Indian set-aside	0	0	0
Non-state allocations	10,522,611	10,505,395	9,963,675
Total	\$521,270,370	\$520,284,799	\$493,143,276

Source: Department of Education, <http://www2.ed.gov/about/overview/budget/statetables/index.html>, accessed December 18, 2013; 2011 data available from <http://www2.ed.gov/about/overview/budget/history/index.html>.

Note: Non-state allocations are allotted to WIA Title V Incentive grants.

Table B-2. AEFLA EL-Civics Grants to States, FY2011-FY2013

Grantee	FY2011 Actual	FY2012 Actual	FY2013 Estimate
Alabama	\$232,214	\$240,648	247,550
Alaska	106,998	107,857	108,253
Arizona	1,303,665	1,321,765	1,274,870
Arkansas	188,079	190,420	184,178
California	16,938,499	16,506,124	14,717,879
Colorado	840,142	860,625	851,064
Connecticut	914,336	900,821	867,149
Delaware	148,260	150,161	149,326
District of Columbia	193,848	195,777	187,457
Florida	8,209,887	8,014,070	7,432,428
Georgia	1,750,656	1,755,573	1,729,364
Hawaii	467,286	464,169	462,362
Idaho	174,342	179,156	168,509
Illinois	3,100,243	3,033,889	2,779,095
Indiana	507,376	536,663	531,205
Iowa	277,347	288,163	285,103
Kansas	329,071	340,044	330,513
Kentucky	330,088	339,920	335,050
Louisiana	252,309	263,031	264,759
Maine	105,723	104,292	100,287
Maryland	1,722,519	1,758,941	1,696,411
Massachusetts	2,142,083	2,153,860	2,097,150
Michigan	1,352,634	1,341,874	1,253,164
Minnesota	1,018,670	1,012,407	913,794
Mississippi	104,699	107,246	106,278
Missouri	503,750	507,770	474,361
Montana	60,000	60,000	60,000
Nebraska	241,794	259,463	266,771
Nevada	776,346	768,631	723,943
New Hampshire	176,879	179,332	170,063
New Jersey	3,895,302	3,931,658	3,692,762
New Mexico	252,901	250,826	237,856
New York	9,467,113	9,631,839	9,632,498
North Carolina	1,060,840	1,084,518	1,094,024
North Dakota	60,000	60,000	60,000
Ohio	999,640	1,002,874	947,137

Grantee	FY2011 Actual	FY2012 Actual	FY2013 Estimate
Oklahoma	302,595	301,878	296,576
Oregon	634,531	624,338	554,382
Pennsylvania	1,591,838	1,610,056	1,617,285
Rhode Island	252,725	261,809	256,603
South Carolina	283,817	287,174	280,801
South Dakota	60,000	63,075	73,058
Tennessee	547,183	549,487	548,026
Texas	6,022,770	6,139,529	6,032,333
Utah	376,941	390,706	385,831
Vermont	60,000	60,000	60,000
Virginia	1,989,433	1,995,018	1,909,680
Washington	1,664,784	1,658,631	1,561,581
West Virginia	60,000	60,000	60,000
Wisconsin	490,349	479,705	437,104
Wyoming	60,000	60,000	60,000
American Samoa	0	0	0
Guam	0	0	0
Northern Mariana Islands	0	0	0
Puerto Rico	247,495	262,721	245,366
Virgin Islands	0	0	0
Freely Associated States	0	0	0
Indian set-aside	0	0	0
			0
Total	\$74,850,000	\$74,708,534	\$70,811,239

Source: Department of Education, <http://www2.ed.gov/about/overview/budget/statetables/index.html>, accessed December 18, 2013; 2011 data available from <http://www2.ed.gov/about/overview/budget/history/index.html>.

Author Contact Information

(name redacted)
Analyst in Labor Policy
[redacted]@crs.loc.gov, 7-....

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