

Adult Education and Family Literacy Act of 1998

Annual Report to Congress 2006–07



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U.S. Department of Education
Office of Vocational and Adult Education

This report was produced under U.S. Department of Education Contract No. ED-04-CO-0025-0011 with the American Institutes for Research. Mary Jo Maralit served as the contracting officer's representative. No official endorsement by the U.S. Department of Education of any product, commodity, service or enterprise mentioned in this publication is intended or should be inferred.

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March 2011

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ABBREVIATIONS

ABE/ASE Adult basic education/adult secondary education program (consists of six

educational levels)

ABE adult basic education

AEFLAAdult Education and Family Literacy Act of 1998

ASE adult secondary education

BEST Basic English Skills Test

BEST Plus Basic English Skills Test (used exclusively with English language learners)

CASAS Comprehensive Adult Student Assessment System

Department U.S. Department of Education

DOL U.S. Department of Labor

EL English literacy

FY fiscal year

GED General Educational Development (tests)

LEA local education agency

NRS National Reporting System

OVAE U.S. Department of Education's Office of Vocational and Adult Education

Perkins III Carl D. Perkins Vocational and Technical Education Act of 1998

Perkins IV Carl D. Perkins Vocational and Technical Education Act of 2006

PY program year

SEA state educational agency

SLDS Statewide Longitudinal Data Systems

TABE Test of Adult Basic Education

TANF Temporary Assistance for Needy Families

UI unemployment insurance

WIA Workforce Investment Act of 1998

EXECUTIVE SUMMARY

The Adult Education—Basic Grants to States program authorized under the *Adult Education* and Family Literacy Act of 1998 (AEFLA), enacted as Title II of the Workforce Investment Act of 1998 (WIA) (P.L. 105-220), is the major source of federal support for adult basic education and literacy education programs. When AEFLA was authorized in 1998, Congress made accountability for student results a central focus of the new law, setting out new performance accountability requirements for state and local programs that measure program effectiveness on the basis of student academic achievement and employment-related outcomes. The U.S. Department of Education's (Department's) Office of Vocational and Adult Education (OVAE) established the National Reporting System (NRS)¹ to not only define the measures and implement the accountability requirements of AEFLA, but to act as a reservoir of data collected under these measures.

This report represents the seventh year² of implementing the AEFLA requirements using the NRS. As part of its efforts to monitor data collection procedures and promote data quality improvement, OVAE developed data quality standards to clarify the policies, processes, and materials that state and local programs should have in place to collect valid and reliable data. OVAE assisted states in meeting the congressionally enacted AEFLA standards by: (1) providing resources, training, and technical assistance activities to improve data quality and (2) refining NRS requirements, including producing guidelines for conducting follow-up surveys used to obtain data on the particular measures). OVAE also has provided individual technical assistance to states with NRS implementation.

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¹ Information regarding the National Reporting System (NRS) may be accessed on the NRS website (http://www.nrsweb.org/).

² The Adult Education–Basic Grants to States program year begins July 1 and ends June 30 of the next year. For example, PY 2006–07 refers to July 1, 2006, through June 30, 2007.

The Department is required by Sec. 212(c)(2) of AEFLA to make available and issue to Congress and the public the AEFLA annual report. Information on states' yearly performance in meeting the Adult Education—Basic Grants to States program performance measures is included in the annual report, as are aggregated data on national performance outcomes.

Highlights

The Adult Education—Basic Grants to States program enrolled 2,343,283 learners during program year⁵ (PY) 2006–07, of whom 40 percent were enrolled in adult basic education (ABE), 13 percent were enrolled in adult secondary education (ASE), and 47 percent were enrolled in English literacy (EL) programs.

Table 1 provides a comparison of actual performance on the core outcome measures for adult education under the NRS, during a three-year period from PY 2004–05 to PY 2006–07. The percentage of adults demonstrating educational gain in ABE/ASE⁶ slightly decreased from 40 percent in PY 2004–05 to 39 percent in PY 2005–06, to 37 percent in PY 2006–07, while educational gain in EL showed little change, increasing from 37 percent in PY 2004–05 and PY 2005–06 to 39 percent in PY 2006–07. Rates of high school completion showed some variation, decreasing from 58 percent in PY 2004–05 to 55 percent in PY 2005–06, and then increasing to 59 percent in PY 2006–07. The percentage of adults entering postsecondary education or training increased from 44 percent in PY 2004–05 and PY 2005–06 to 55 percent in PY 2006–07. The percentage of adults entering employment showed the largest increase, starting at 43 percent in PY 2004–05, then increasing to 51 percent in PY 2005–06, and then to 61 percent in PY 2006–07. The percentage of adults retaining employment showed little change, increasing from 73 percent in PY 2004–05 to 74 percent in PY 2005–06, and then decreasing back to 73 percent in PY 2006–07.

³ The term "State" means "each of the several States of the United States, the District of Columbia, and the Commonwealth of Puerto Rico," as defined in Sec. 203(17) of the Adult Education and Family Literacy Act of 1998.

⁴ The program funds each of the 50 states of the United States, the District of Columbia, and the Commonwealth of Puerto Rico. The program also funds the outlying areas of the United States, including the United States Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and the Republic of Palau, but they are not represented in this report.

⁵ The program year 2006–07 began July 1, 2006 and ended September 30, 2007

⁶ ABE/ASE consists of six educational levels with four levels in ABE—beginning literacy, beginning, low intermediate and high intermediate; and two levels in ASE—low secondary and high secondary.

Table 1.

Adult Education National Performance: Yearly Percentage and Total Number of Students Completing Educational Levels and Core Outcome Measures, Program Years 2004–05 to 2006–07

	Percentage Achieving Outcome (National Averages) 2004-05	Percentage Achieving Outcome (National Averages) 2005-06	Percentage Achieving Outcome (National Averages) 2006–07	Number Achieving Outcome (Three-year Total) (2004–05 to 2006–07)
Educational Gain ABE/ASE ^a	40	39	37	1,370,598
Educational Gain English Literacy ^a	37	37	39	1,250,115
High School Completion ^b	58	55	59	492,840
Entered Postsecondary Education or Training ^b	44	44	55	142,871
Entered Employment ^b	43	51	61	413,606
Retained Employment ^b	73	74	73	387,645

^a Percentage of adults enrolled who completed one or more educational levels.

Note: ABE/ASE means adult basic education and adult secondary education programs. ABE/ASE consists of six educational levels with four levels in ABE—beginning literacy, beginning, low intermediate and high intermediate; and two levels in ASE—low secondary and high secondary.

Source: U.S. Department of Education, Office of Vocational and Adult Education, National Reporting System Annual Performance and Annual Status Reports for Adult Education—Basic Grants to States under the *Adult Education and Family Literacy Act of 1998*, Program Year 2006–07 (OMB Number 1830-0027).

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^b Percentage of adults who set the education, training, and/or employment goals they would like to achieve and who achieved those goals.

INTRODUCTION

Adult education programs under Adult Education and Family Literacy Act of 1998 (AEFLA) address the critical national needs of improving the literacy skills of adults and enhancing their abilities to be more productive members of society and the workforce. AEFLA, enacted as Title II of the Workforce Investment Act of 1998 (WIA) (P.L. 105–220), is the principal source of federal support for adult basic skills programs. The purposes of AEFLA, as defined in Sec. 202, are 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."

The state administered grant program provides educational assistance for adults, as defined in Sec. 203(1) of WIA, who are aged 16 and older, are not currently enrolled or required to be enrolled in secondary school under state law; and who lack sufficient mastery of basic educational skills to enable the individuals to function effectively in the workplace or to be self-sufficient in their daily lives; and do not have a secondary school diploma or its recognized equivalent, and have not achieved an equivalent level of education; or are unable to speak, read, or write the English language. These state grants are allocated by formula based upon the number of adults, as "qualifying adult" is defined in Sec. 211(d) of WIA as one who is aged 16, beyond the age of compulsory school attendance under the law of the state or outlying area, does not have a secondary school diploma or its recognized equivalent, and is not enrolled in high school. These qualifying-adult education data are drawn from the U.S. Census of Population and Housing. The federal allocation for AEFLA

grants⁷ to states for PY 2006–07 was \$553,950,035. States⁹ distribute at least 82.5 percent of the federal funds competitively to local adult education providers, using 12 considerations identified in Sec. 231(e) of AEFLA.¹⁰

The local provider network includes a variety of agencies—local educational agencies (LEAs), community colleges, community-based organizations, and volunteer literacy organizations. Many adult education programs also work with welfare agencies at the state and local levels to provide instruction to adults needing basic skills who are receiving Temporary Assistance for Needy Families (TANF) benefits, a U.S. Department of Labor (DOL) program intended to promote self-sufficiency. In addition, AEFLA state grants may support adults in job training programs through partnerships with One-Stop Career Centers, a system that DOL oversees, and other job training programs in the community.

Courses of instruction offered by local providers include:

- Adult basic education (ABE) instruction for adults whose literacy skills range from the lowest literacy levels to just below the high school literacy level,
- Adult secondary education (ASE) instruction for adults whose literacy skills are at approximately the high school level and who seek to pass the General Educational Development (GED) test or obtain an adult high school credential, and
- English literacy (EL) instruction for adults who lack proficiency in English and who seek to improve their literacy and competence in English.

Adult Education Enrollment and Participant Status

In PY 2006–07, the program enrolled 2,343,283 learners, with 40 percent of learners enrolled in ABE, 13 percent enrolled in ASE, and 47 percent enrolled in EL programs, as indicated in table 2.

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⁷ This includes funds allocated to the outlying areas of the United States, including the United States Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and the Republic of Palau, but they are not represented in this report.

⁸ The \$553,950,035 federal allocation for AEFLA grants to states for PY 2006-07 includes \$\$67,896,180 for EL/Civics.

⁹ The term "State" means "each of the several States of the United States, the District of Columbia, and the Commonwealth of Puerto Rico," as defined in Sec. 203(17) of the Adult Education and Family Literacy Act of 1998.

¹⁰ See appendix B of this report for the considerations.

Table 2.

Number and Percentage of Students Enrolled in Adult Education by Program Type, Program Year 2006–07

Program Type	Enrollment Number	Enrollment Percentage
Adult Basic Education	927,425	40
Adult Secondary Education	318,129	13
English Literacy	1,097,729	47
Total enrollment	2,343,283	100

Source: U.S. Department of Education, Office of Vocational and Adult Education, National Reporting System Annual Performance and Annual Status Reports for Adult Education—Basic Grants to States under the *Adult Education and Family Literacy Act of 1998*, Program Year 2006–07 (OMB Number 1830-0027).

Adult education serves varied populations. Table 3 shows the number of learners by program type and age. Overall, 36 percent of students were under age 25, and 82 percent were under age 45. Only 4 percent were aged 60 or older. Age distribution, however, varied by program type. ASE students, with 61 percent under age 25, tended to be younger than both ABE and EL students, with 46 percent and 22 percent, respectively, under age 25. EL students, with 22 percent over age 44, tended to be older than both ABE and ASE students with 15 percent and 8 percent, respectively, over age 44. It is interesting to note that 56 percent of EL students were in the 25–44 age range, compared to 31 percent of ASE and 39 percent of ABE students in this age range.

Table 3.				
Number and Percentage of Students by Program Type and Age,				
Program Year 2006–07				

Program T, and	Age Group 16–18 Number	Age Group 16–18 %	Age Group 19–24 Number	Age Group 19–24 %	Age Group 25–44 Number	Age Group 25–44 %	Age Group 45–59 Number	Age Group 45–59 %	Age Group 60 and Older Number	Age Group 60 and Older %	Total Number	Total %
Adult basic education	166,111	18	256,920	28	363,596	39	115,419	12	25,379	3	927,425	100
Adult secondary education	95,820	30	98,525	31	97,887	31	22,379	7	3,518	1	318,129	100
English Literacy	30,532	3	203,255	19	617,498	56	187,593	17	58,851	5	1,097,729	100
Total	292,463	12	558,700	24	1,078,981	46	325,391	14	87,748	4	2,343,283	100

Notes: The percentage totals are summative horizontally. The percentage totals reflect rounded figures and, therefore, may not equal 100 percent.

The participation of 16- to 18-year-olds in adult education is of particular interest to policymakers because earning a high school diploma through the regular elementary and secondary education system is the traditional path for these youths. In PY 2006–07, as indicated in table 3 and appendix C, respectively, 12 percent of participants were between the ages of 16 and 18, with little change in the percentage of this population participating since PY 2004–05. Fifty-seven percent of all 16- to 18-year-old participants were in ABE, compared to 33 percent in ASE and 10 percent in EL. Therefore, a plurality of 16- to 18-year-olds entered into adult education programs at a level that suggests they lacked the literacy skills expected of a high school student.

Table 4 provides disaggregate information regarding learners categorized by race/ethnicity and age. Hispanics or Latinos represent the largest group enrolled in adult education with 45 percent in PY 2006–07, followed by whites with 26 percent and black or African-Americans with 19 percent. A plurality of 16- to 18-year-olds with 43 percent was white, while a plurality of 19- to 24-year-olds with 42 percent, 25- to 44-year-olds with 52 percent, 45- to 59-year-olds with 41 percent, and people aged 60 and older with 33 percent were Hispanic or Latino.

Table 4.

Number and Percentage of Students by Age and Race/Ethnicity,

Program Year 2006–07

Race/Ethnicity	Age Group 16–18 Number	Age Group 16–18 %	Age Group 19–24 Number	Age Group 19–24 %	Age Group 25–44 Number	Age Group 25–44 %	Age Group 45–59 Number	Age Group 45–59 %	Age Group 60 and Older Number	Age Group 60 and Older %	Total Number	Total %
American Indian or Alaskan Native	5,578	2	9,923	2	13,742	1	3,504	1	598	1	33,345	1
Asian	5,976	2	24,001	4	87,557	8	44,099	14	20,661	24	182,294	8
Black or African- American	64,309	22	122,136	22	186,405	17	60,892	19	11,606	13	445,348	19
Hispanic or Latino	87,525	30	236,648	42	560,703	52	134,068	41	28,899	33	1,047,843	45
Native Hawaiian or Other Pacific Islander	3,799	1	5,039	1	6,179	1	1,853	1	570	1	17,440	1
White	125,276	43	160,953	29	224,395	21	80,975	25	25,414	29	617,015	26
Total	292,463	100	558,700	100	1,078,981	100	325,391	100	87,748	100	2,343,283	100

Notes: The percentage totals reflect rounded figures and, therefore, may not equal 100 percent.

Source: U.S. Department of Education, Office of Vocational and Adult Education, National Reporting System Annual Performance and Annual Status Reports for Adult Education—Basic Grants to States under the *Adult Education and Family Literacy Act of 1998*, Program Year 2006–07 (OMB Number 1830-0027).

The extent to which 16- to 18-year-olds participated in adult education varied widely among states. Table 5 shows five participating entities with the highest numbers and percentages of young adults aged 16 to 18. Although some states with the largest populations, such as California and Florida, have the highest number of adult education students aged 16 to 18, some states with smaller populations, such as Vermont and Wyoming, have a higher percentage, despite relatively low numbers overall, of students aged 16 to 18.

Table 5.
Five States With the Highest Number and Highest Percentage of Adult Education
Students Aged 16–18, Program Year 2006–07

State	Number 16–18-year-olds	State	Percentage 16-18-year-olds
California	49,794	Puerto Rico	45
Florida	40,049	Louisiana	34
North Carolina	19,446	Vermont	32
Puerto Rico ^b	15,871	Wyoming	30
Georgia	15,416	Maine	28

^a The term "state" means "each of the several States of the United States, the District of Columbia, and the Commonwealth of Puerto Rico," as defined in Sec. 203(17) of the Adult Education and Family Literacy Act of 1998.

^b In the funding formula under the Adult Education and Family Literacy Act of 1998 (AEFLA), Puerto Rico receives a state formula grant.

Adults enter adult education programs from a variety of circumstances. Table 6 indicates that in PY 2006–07, 966,317 students self-reported entering the program while employed; 820,451 students self-reported entering the program while unemployed; 272,644 students self-reported entering the program while on public assistance; 229,591 students self-reported entering the program while in correctional facilities; and 55,591 students self-reported entering the program while in other institutional settings.

Table 6. Number of Students Enrolled by Participant Status, Program Year 2006–07					
Status	Number				
Employed	966,317				
Unemployed	820,451				
On public assistance	272,644				
In correctional facilities	229,591				
In other institutional settings	55,591				

Note: The participant status of each student is self-reported. Not all students self-reported their status, and some students reported in more than one category (i.e., a student can be unemployed and on public assistance).

ACCOUNTABILITY SYSTEM—THE NATIONAL REPORTING SYSTEM (NRS)¹¹

Since PY 2000–01, the NRS has been the national accountability and data reporting system on student outcomes for federal adult education programs. The Department's NRS Implementation Guidelines identify defined measures for national reporting, establish methodologies for data collection, and maintains standards for reporting. Each state has established a performance accountability system that meets NRS requirements. The NRS data are the basis for assessing the effectiveness of states in achieving continuous improvement of adult education and literacy activities to optimize the return on investment of federal funds. The NRS includes the following three core indicators of performance, identified in Sec. 212(b)(2)(A) of AEFLA, that are used to assess state performance:

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

These indicators of performance are represented and defined by the five following outcome measures of the NRS, which are designed to measure learner outcomes:

Educational Gain—The percentage of adult learners in basic and English literacy
programs who acquired the basic or English language skills needed (as validated through
standardized assessments) to complete the educational functioning level in which they
were initially enrolled.

To demonstrate NRS improved skill levels as required in Sec. 212(b)(2)(A)(i) of *AEFLA*, the U.S. Department of Education's Office of Vocational and Adult Education (OVAE) established a hierarchy of six educational functioning levels¹² to measure basic literacy from beginning literacy through high school completion, and six levels for English literacy, from beginning literacy to the advanced level. The levels are defined

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¹¹ Information regarding the NRS may be accessed on the NRS website (http://www.nrsweb.org/).

¹² The educational levels are listed in figure 1 on p. 11.

through reading, writing, numeracy, and functional and workplace skills (and, for English literacy, speaking and listening skills) at each level. Included for each level is a corresponding set of benchmarks of commonly used standardized assessments, such as the Test of Adult Basic Education (TABE) and the Comprehensive Adult Student Assessment System (CASAS), as examples of how students functioning at each level would perform on these tests.

- High School Completion—The percentage of adult learners with a high school completion goal who earned a high school diploma or recognized equivalent after program exit.
- Entered Postsecondary Education or Training—The percentage of adult learners with a postsecondary education goal who entered postsecondary education or training after program exit.
- Entered Employment—The percentage of unemployed adult learners (in the workforce) with an employment goal who obtained a job within one quarter¹³ after program exit.
- **Retained Employment**—The percentage of adult learners with (1) a job retention goal at the time of enrollment and (2) an employment goal who obtained work by the end of the first quarter after exiting the program and who were employed at the end of the third quarter after program exit.

States also may identify additional performance indicators for adult education and literacy activities and incorporate these indicators, as well as corresponding annual levels of performance, in their state plans.

Incentive Grants

States that achieve superior performance implementing the programs under Title I and Title II 14 of WIA and the Carl D. Perkins Vocational and Technical Education Act of 1998 (Perkins III) are

¹³ One quarter refers to the first academic quarter after program exit.

¹⁴ The Adult Education and Family Literacy Act of 1998 (AEFLA) was enacted as Title II of the Workforce Investment Act of 1998 (WIA).

eligible for state incentive grants. ¹⁵ The numbers of states receiving those grants and the amounts distributed over the past three years are presented in table 7. The number of states that exceeded their adult education performance levels (Title II of *WLA*) appears, followed by the number that also exceeded Title I of *WLA* and *Perkins III* program performance levels. ¹⁶ States receive incentive grants only if they exceed annual performance levels, as negotiated between the state, OVAE, and DOL for all three programs. The determination of whether a state has exceeded its adjusted levels of performance is based on each state's cumulative achievement across all measures. This is done by calculating the percentage of the state-adjusted level achieved for each measure, and then averaging the percentage achieved across all measures. When the cumulative average exceeds 100 percent, the state is deemed to have exceeded the overall adjusted performance levels. In PY 2006–07, eight states received incentive awards.

Table 7.

Numbers of States^a Exceeding Performance Standards and Amount of Award Funds Available, Program Years 2004–05 to 2006–07

Program Year	Exceeded Title II, of WIA	Exceeded Titles I, II of WIA, and Perkins III	Amount of Award Funds Available
2006–07 ^b	18	8	\$9.9 million
2005–06	35	10	\$16.3 million
2004–05	37	23	\$16.6 million

^a The term "State" means "each of the several States of the United States, the District of Columbia, and the Commonwealth of Puerto Rico," as defined in Sec. 203(17) of the *Adult Education and Family Literacy Act of 1998*.

Notes: *WIA* means the *Workforce Investment Act of 1998*. Title I of *WIA* is the workforce investment systems program. Title II of *WIA* is the adult education and literacy program. *Perkins III* means the *Carl D. Perkins Vocational and Technical Education Act of 1998*. The fiscal year 2007 funds support the program year 2006–07 incentive grant awards.

Source: U.S. Department of Labor, Employment Training Administration, Federal Register Notice of Incentive Funding Availability for Program Year (PY) 2004–05, 2005–06 and 2006–07 Performance (http://www.doleta.gov/performance/results/incentives_sanctions.cfm).

Sec. 503 of WIA indicates that state incentive grants are to be issued in an amount not less than \$750,000 and not more than \$3,000,000, to the extent that funds are available; otherwise, prorated amounts are to be awarded. Funds¹⁷ for the incentive grants set-aside under Title II of

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^b Because *Perkins III* performance data were no longer being collected in program year 2006 –07, it was determined that Title I and Title II (*AEFLA*) of *WIA* qualified states that exceeded their performance levels for only these two programs.

¹⁵ Incentive grants were not included under the Carl D. Perkins Career and Technical Education Improvement Act of 2006 (Perkins IV).

¹⁶ Each state separately negotiated its performance levels with the Department for its programs under WLA and Perkins III.

¹⁷ The fiscal year (FY) 2007 funds support the PY 2006-07 incentive grant awards.

WIA totaled \$9,968,491 in PY 2006–07. No funds for the incentive grants were set aside under Title I of WIA.

Measuring Educational Gain

For the NRS, each state must establish standardized assessment procedures that local programs must use—first at enrollment to identify an adult learner's educational functioning level, and then after a period of instruction to measure educational gain (level advancement). States are free to use the assessments that best address the needs of their students and delivery system, but they must use standardized assessments. Consequently, each state assesses students somewhat differently, using different assessments and administering posttests of students at different times. The most frequently used assessments are the TABE, CASAS, and the Basic English Skills Test (BEST or BEST Plus), the last used exclusively with EL learners.

ABE/ASE¹⁸ and EL each have six educational levels: four levels in ABE, two levels in ASE, and six levels in EL as indicated in figure 1. Figure 1 presents PY 2006–07 adult education enrollment figures by educational level as determined by a standardized pretest administered to each student upon program entrance. The majority of students were enrolled in the programs of ABE and ASE. Within ABE and ASE, the largest percentage of student enrollment was 30 percent in the ABE high intermediate level, and the smallest percentage of student enrollment was 7 percent in the ABE beginning literacy level. The plurality of ABE/ASE students, 53 percent, was enrolled in the combined ABE intermediate levels. In EL, the largest percentage of student enrollment was 24 percent in the EL low intermediate level, and the smallest percentage was 13 percent in the EL advanced level. The plurality of EL students, 48 percent, was enrolled in the combined beginning levels.

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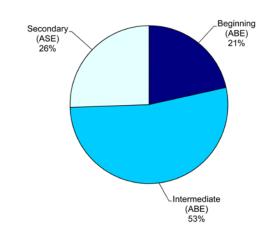
¹⁸ ABE/ASE means adult basic education/adult secondary education. ABE/ASE consists of six educational levels with four levels in ABE—beginning literacy, beginning, low intermediate and high intermediate; and two levels in ASE—low secondary and high secondary.

Figure 1. Number and Percentage of Students Enrolled by Educational Functioning Level, Program Year 2006–07

ABE/ASE

Educational Functioning Level	Number	%
Beginning Literacy	81,095	6
Beginning	187,079	15
Low Intermediate	285,716	23
High Intermediate	373,535	30
Low Secondary	180,658	15
High Secondary	137,471	11
Total ABE/ASE	1,245,554	100

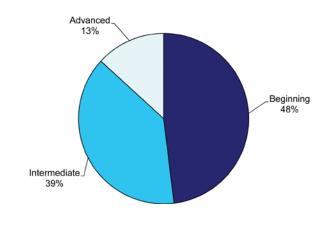
ABE/ASE by Beginning, Intermediate, and Secondary Levels PY 2006–07



EL

Educational Functioning Level	Numbar	0/
	Number	<u>%</u>
Beginning Literacy	191,693	17
Low Beginning	150,745	14
High Beginning	188,602	17
Low Intermediate	257,984	24
High Intermediate	162,660	15
Advanced	146,045	13
Total EL	1,097,729	100
Total All	2,343,283	

English Literacy by Beginning, Intermediate, and Advanced Levels PY 2006–07



Notes: ABE/ASE means adult basic education/adult secondary education. ABE/ASE consists of six educational levels with four levels in ABE—beginning literacy, beginning, low intermediate and high intermediate; and two levels in ASE—low secondary and high secondary. EL means English literacy. The percentages related to each number reflect rounded figures and, therefore, are not exact percentage figures of their corresponding numbers.

Measuring Other Outcomes

Setting and measuring goals for the four outcome measures, as discussed in the NRS section of this report (excluding educational gain, which is a performance measure goal for all students), allows adult education students to specify what they want to accomplish and provides a benchmark for both individual goals and program performance measures. There is no requirement in the NRS for students to set any of these goals related to the performance measures, but, once set, adult education programs are held accountable for determining whether students who chose these goals related to the program measures, attained the goals during the program year. States may collect data on these measures by matching administrative records or through follow-up student surveys. The use of administrative records is clearly preferred because of the greater accuracy and lower cost, and such record use is possible in most states for the high school completion measures.

Figure 2 identifies the methods by which states, including the District of Columbia and the Commonwealth of Puerto Rico, currently collect data for the four measures that require programs to follow up after a student leaves the adult education program. In PY 2006–07, 36 states used administrative records to determine student outcomes for high school completion, 12 states used student surveys, and four additional states used a combination of administrative records and student surveys.

Consulting state unemployment insurance (UI) wage records, as an example of an administrative record used, is the most efficient, accurate, and cost-effective approach to determining the post-program employment outcomes. However, not all states have the capability to use the UI system due to data privacy or technical issues. In PY 2006–07, 31 states used the UI system method solely, (compared to 30 states in PY 2005–06), 17 states used surveys, and an additional four states used the UI system method in combination with surveys. For entrance to postsecondary education, few comprehensive databases are available to states for measuring postsecondary enrollment. Nevertheless, PY 2006–07 was the first year that more states used administrative records of some sort than individual student surveys to collect data on this follow-up measure. To assist states in addressing the challenges associated with data matching for the postsecondary follow-up measure, the Statewide Longitudinal Data Systems (SLDS) Grant

program¹⁹ was designed to aid state education agencies (SEAs) in the development and implementation of SLDSs through a competitive discretionary grants process. These data systems securely follow students from early education through the workforce and facilitate the disaggregation, reporting, and analyses of longitudinal data.

¹⁹The SLDS Grant program is administered by the Institute of Education Sciences (IES)'s National Center for Education Statistics (NCES) in the U.S. Department of Education

Figure 2.

Number of States* by Selected Data Collection Methods for the National Reporting
System Performance Assessment Follow-Up, Program Year 2006–07

Performance Measure	Data Collection Methods Administrative Records/ Data Matching	Data Collection Methods Survey	Data Collection Methods Both	Summary of Data Collection Methods
High school or recognized equivalent completion	36	12	4	Survey, 12 Matching , 36
Entered postsecondary education or training	24	21	7	Survey, 21 Matching , 24
Entered employment	31	17	4	Survey, 17 Matching, 31
Retained employment	31	17	4	Survey, 17 Matching, 31

^{*} The term "State" means "each of the several States of the United States, the District of Columbia, and the Commonwealth of Puerto Rico," as defined in Sec. 203(17) of the Adult Education and Family Literacy Act of 1998.

Note: The educational gain performance measures do not require data collection methods for follow-up, and as such are not included in this figure.

Source: U.S. Department of Education, Office of Vocational and Adult Education, National Reporting System Annual Performance and Annual Status Reports for Adult Education—Basic Grants to States under the *Adult Education and Family Literacy Act of 1998*, Program Year 2006–07 (OMB Number 1830-0027).

14

FEDERAL INVESTMENTS TO IMPROVE DATA QUALITY AND ITS USE FOR PROGRAM IMPROVEMENT

OVAE has provided states with training and technical assistance to improve the quality and increase the use of NRS data. This assistance has included multiday training sessions and the development of guidebooks that address: (1) implementation of NRS requirements, (2) the conducting of follow-up student surveys, and (3) other data-quality and program improvement issues. Since 2001, OVAE also has made training resources available online for adult educators. OVAE, as part of its oversight responsibility to monitor improvements in data quality, has continued to use state NRS data-quality standards, which identify the policies, processes, and materials that state and local programs should have in place to collect valid and reliable data. The standards define quality data policies and procedures and also provide guidance to states on how to improve their systems.

Federal Implementation Assistance in PY 2006–07

OVAE's assistance to states during the first few years of the NRS focused on the implementation of NRS requirements, development of data systems, and the improvement of data quality. In PY 2006-07, OVAE built on earlier data quality development activities and assisted state and local programs in using the data for their own reporting, program management, and program improvement. In the summer of 2007, OVAE held a training session entitled "Desk Monitoring: Improving Program Performance." A total of 92 state and local staff from 43 states and outlying areas attended this three-day training, which provided hands-on opportunities for states to examine desk-monitoring methods. Participants selected measures and performance targets or other benchmarks for their desk-monitoring tool, created a rubric for ranking program performance, planned how to use the desk-monitoring process, and generated ideas for using desk monitoring to motivate performance and identify technical assistance needs. Also, due to high demand for a training held in 2005, the NRS project staff held an intensive three-day summer institute for a small group of 20 state and local staff from seven states in which each state team developed a state and a local report card draft. Report cards are used by states for accountability purposes, and the states selected by OVAE's Division of Adult Education and Literacy to attend the workshop were required to develop and implement their report cards within one year after the training.

"The [Desk Monitoring] training was excellent; the team from Montana that attended your training left with a proposed desk top monitoring tool and rubric. ... We accomplished in three days what would have taken months for us to do on our own."

-- Margaret Bowles, Montana State Adult Education Director

OVAE supports technical assistance, which includes in-person workshops, hands-on experiences, and a website, called NRSWeb (http://www.nrsweb.org). NRSWeb is the adult education field's source for NRS policies and procedures, changes to the federal accountability requirements and guidelines, publications and related information, direct online training, materials from face-to-face training, webinars (short seminars delivered through the combined use of the Internet and conference calls), and a calendar of events. The website was redesigned in PY 2005–06 to improve its design, functionality, accessibility, and usability. Webinars were used to convey important information to those in the field.

The trainers who conduct the NRS training are extremely professional, very well prepared, and bring a wealth of knowledge and experience to the sessions.

—Ajit Gopalakrishnan, Connecticut Department of Education

NRS Tips are produced and distributed in the form of briefs as part of OVAE's effort to provide states with timely and user-friendly information related to the NRS. In PY 2006–07, OVAE issued a brief on the revised NRS Implementation Guidelines. OVAE also provided direct technical assistance to many states on meeting NRS requirements, improving data quality, and using data.

NRS Implementation by States

Many states can now rely on real-time data to set performance standards, monitor local performance, and implement performance-based funding because the state data systems have become more sophisticated. The data are being used more meaningfully by administrators, teachers, and support staff to make decisions that help them design more effective programs to meet student needs. States also use the data-based information to improve standard- and goal-setting for program participants.

Training supported by OVAE has prepared local staff in many states to access and use their data on a regular basis. Staff now can use data as part of their research to identify effective practices for classroom instruction, professional development, and goal setting, and to determine which support mechanisms will help learners persist long enough to reach their education, training, and employment goals. Staff members now can become more directly involved in using data, begin to

more fully trust the data, and participate more effectively in the program improvement process. As a result of the training, some states reported that teachers are using these data for their classes and posting graphs of these data outside their classrooms for their students and other teachers to exhibit progress.

States also are beginning to address larger programmatic questions using their data. For example, some states are beginning to examine whether a managed or open enrollment²⁰ policy would be better for the students. In addition, states are developing ways to account for program efficiencies and outcomes in per-cost units.

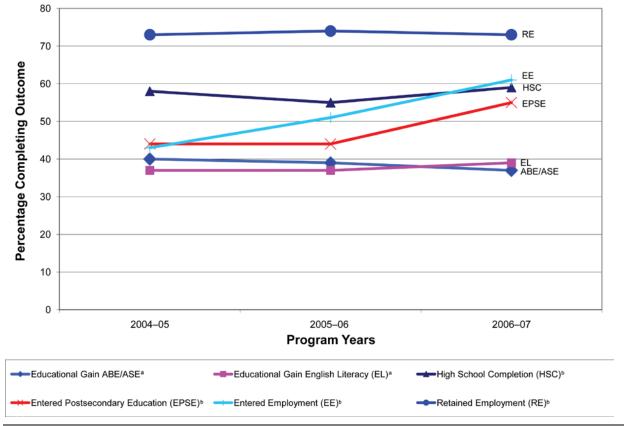
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²⁰ A managed enrollment policy allows a student to enter an instructional program only during specific enrollment periods. An open enrollment policy allows a student to enter a program at any time (see http://www.ncsall.net/fileadmin/resources/research/op_comings4.pdf, p.5).

SUMMARY OF NATIONAL PERFORMANCE RESULTS

PY 2006–07 marked the seventh year of implementation of the NRS accountability requirements. Figure 3 provides a comparison of actual performance on each of the outcome measures for adult education under the NRS. The percentage of adults achieving educational outcomes in ABE/ASE decreased slightly. The rate of adults achieving educational outcomes in EL and the rate of high school completion both showed a small increase of 2 percent and 1 percent, respectively, over the three years. The percentage of adults entering employment showed the largest increase, 18 percent, over the three years. The percentage of adults entering postsecondary education or training showed a substantial increase, 11 percent, and the percentage of adults retaining employment was steady, ranging between 73 and 74 percent. More information on the performance as indicated by each of these measures is in figures 4 through 9.





^a Percentage of adults enrolled who completed one or more educational levels.

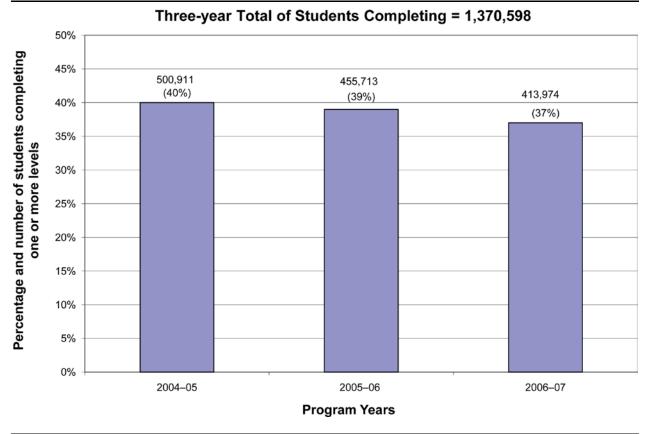
Note: ABE means adult basic education. ASE means adult secondary education.

^b Percentage of adults enrolled who achieved this outcome.

Figure 4 shows the number and percentage of enrolled adults who acquired the basic literacy skills needed to complete at least one ABE/ASE educational level.²¹ The percentage of students advancing one or more educational levels showed a small decrease from 40 percent in PY 2004–05 to 37 percent in PY 2006–07. A total of 1,370,598 adults advanced at least one educational level over the three years.

Figure 4.

Number and Percentage of Students Completing One or More Educational Functioning
Levels in Adult Basic and Secondary Education, By Program Years 2004–05 to 2006–07



Notes: Percentage totals reflect rounded figures. Number and calculations do not include the number of students that completed high adult secondary educational levels. This is not standardized, and, thus, not comparable across all states and as such, it is not reported in the raw numbers. The educational functioning levels for adult basic and secondary education are beginning literacy, beginning, low intermediate, high intermediate, low secondary and high secondary.

Source: U.S. Department of Education, Office of Vocational and Adult Education, National Reporting System Annual Performance and Annual Status Reports for Adult Education—Basic Grants to States under the *Adult Education and Family Literacy Act of 1998*, Program Year 2006–07 (OMB Number 1830-0027).

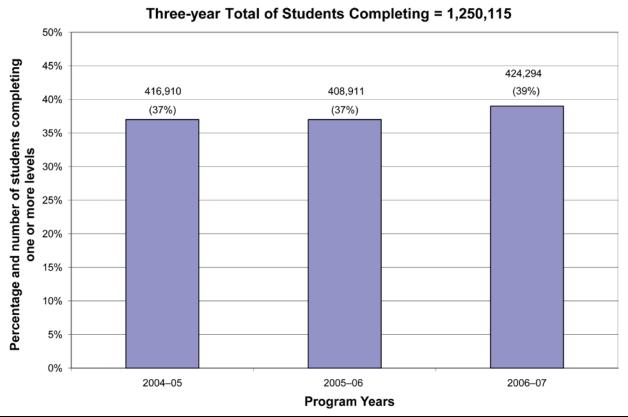
²¹ See subsection "Measuring Educational Gain" and figure 1 in this report for the meaning of educational level.

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Figure 5 shows the percentage and number of enrolled adults acquiring the basic English literacy skills needed to complete at least one educational functioning level. The percentage of students acquiring English literacy skills showed a slight increase from PY 2004–05 to PY 2006–07. The number of students acquiring English literacy skills also increased over the three-year period. The total number of students advancing one or more levels over the three years was 1,250,115.

Figure 5.

Number and Percentage of Students Completing One or More Educational Functioning
Levels in English Literacy, by Program Years 2004–05 to 2006–07

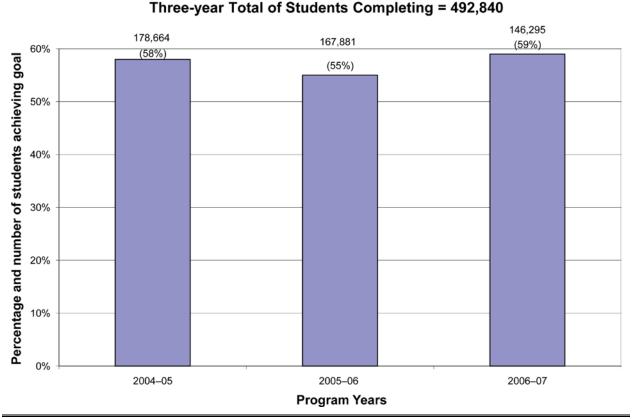


Notes: Percentage totals reflect rounded figures. The educational functional levels for English literacy are beginning literacy, beginning, low intermediate, high intermediate, low advanced, and high advanced.

Earning a high school diploma or a GED is one of the four outcome-related goals that students can set. Figure 6 shows the percentage and number of enrolled adults who set and accomplished the goal of completing high school or a recognized equivalent. Though variable, the percentage of students achieving this goal did not change significantly over the three program years. However, the number of students achieving this over the three program years decreased by 18 percent. The total number of students achieving this goal over the three years was 492,840.

Figure 6.

Number and Percentage of Students Achieving High School Completion or Recognized Equivalent, by Program Years 2004–05 to 2006–07



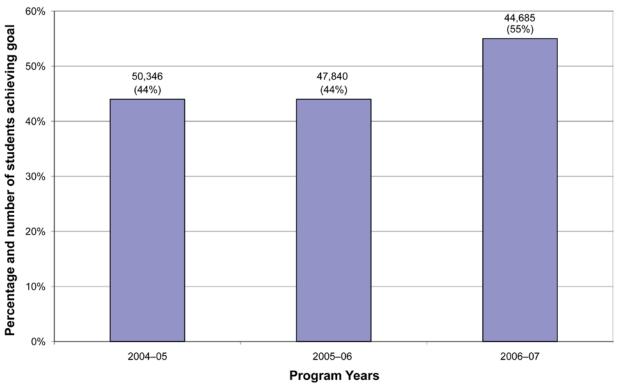
Note: Percentage totals reflect rounded figures.

As figure 7 indicates, the percentage of students who set the goal of entering postsecondary education or training and achieved this goal increased from 44 percent in PY 2004–05 to 55 percent in 2006–07. The number of students achieving this goal slightly decreased over the three program years. The total number of students achieving this goal over the three years was 142,871.

Figure 7.

Number and Percentage of Students Who Set and Achieved the Goal of Entering Postsecondary Education or Training, By Program Years 2004–05 to 2006–07

Three-year Total of Students Completing = 142,871

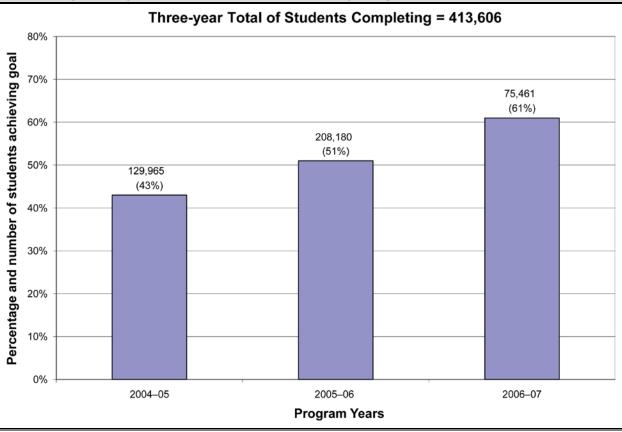


Note: Percentage totals reflect rounded figures.

The percentage of unemployed adults who set a goal of entering employment and achieved it increased over the three-year period, with a large jump between PY 2004–05 and PY 2006–07. However, during this same period, the number of students has varied greatly, increasing by 60 percent between PY 2004–05 and PY 2005–06 and then decreasing by nearly 64 percent between PY 2005–06 and PY 2006–07. Note that because setting and achieving this goal is partially dependent on fluctuations in the general employment rate, the shifts in percentage and number of students who set the goal of entering employment and achieved it should be interpreted carefully. The three-year total of students achieving this goal was 413,606. (See figure 8.)

Figure 8.

Percentage and Number of Unemployed Students Who Set and Achieved the Goal of Entering Employment One Quarter After Exit, By Program Years 2004–05 to 2006–07

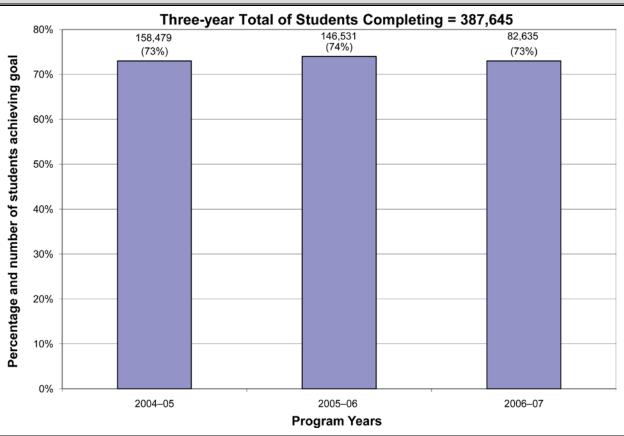


Notes: Percentage totals reflect rounded figures. "One-quarter" means one-quarter of a year.

Figure 9 shows the percentage of students who set the goal of retaining employment. Although the percentage of students who achieved the goal of retaining employment was steady between PY 2004-05 and PY 2006-07, the number of students who achieved the goal dropped by nearly 44 percent. Again, because setting and achieving this goal is partially dependent on fluctuations in the general employment rate, this change should be interpreted carefully. A total of 387,645 students achieved the goal over the three years.

Figure 9.

Number and Percentage of Students With a Retained Employment Goal, By Program
Years 2004–05 to 2006–07



Notes: Percentage totals reflect rounded figures. To be included under the retained employment measure, the goal must have been set at the time of enrollment. An adult learner must have been employed at the end of the third quarter after program exit.

Source: U.S. Department of Education, Office of Vocational and Adult Education, National Reporting System Annual Performance and Annual Status Reports for Adult Education—Basic Grants to States under the Adult Education and Family Literacy Act of 1998, Program Year 2006–07 (OMB Number 1830-0027).

APPENDIX A: NATIONAL AND STATE PROFILES OF SELECTED ADULT EDUCATION PROGRAM AND STUDENT INFORMATION, PROGRAM YEARS 2004–05 TO 2006–07

This appendix provides selected program and student information at the national level and for each of the 50 states, the District of Columbia, and Puerto Rico for program year (PY) 2004-05, PY 2005-06 and PY 2006-07 and shows performance trends over the last three program years. The first page of each profile provides student demographic and enrollment data. The Participant Status figure shows the number of students who were employed, or unemployed, or in a correctional setting, or on public assistance, or other institutional setting for PY 2004-05, PY 2005-06, and PY 2006-07. The FY 2006 Federal Allocation to States funding figure displays the total Adult Education—Basic Grants to States program allocation for FY 2006, and, in each of the state profiles, this is shown relative to the state's basic grant and English literacy (EL)/civics²² allocations. The Enrollment by Race/Ethnicity figure displays PY 2006–07 adult basic education (ABE), adult secondary education (ASE), and EL enrollment numbers and percentages broken down by race/ethnicity, and includes the percentage change from PY 2004-05. The Retention and Completion figure shows, for PY 2004-05, PY 2005-06, and PY 2006-07, a side-by-side figure of the number of participants who advanced to the next educational functioning level, remained in the same level, completed a level and separated from the program, and separated from a program without advancing based on posttest results and enrollment data. Lastly, the Enrollment by Age figure shows participant enrollment by age for each of the three program years.

The second page of the national profile as well as each of the state profiles details participant performance, on a percentage basis, for each of the five performance measures²³ in the NRS for PY 2004–05, PY 2005–06, and PY 2006–07, including a three-year student total for each performance measure. The performance measures are: Demonstrated Improvement in Literacy Skills, High School Completion, Entered Postsecondary Education or Training, Entered Employment, and Retained Employment. The total number of participants completing at least one level or one outcome for each performance measure is also included for PY 2006–07.

²² EL/civics is integrated English literacy and civics education services to immigrants and other limited English proficient populations.

²³ The performance measures are discussed in the accountability system section, starting on page 7.

APPENDIX B: THE 12 CONSIDERATIONS IN AWARDING GRANTS

The 12 considerations in awarding grants or contracts under Sec. 231(e) of AEFLA that the eligible agency must consider are:

- "(1) the degree to which the eligible provider will establish measurable goals for participant outcomes;
- (2) the past effectiveness of an eligible provider in improving the literacy skills of adults and families, and, after the 1-year period beginning with the adoption of an eligible agency's performance measures under section 212, the success of an eligible provider receiving funding under this subtitle in meeting or exceeding such performance measures, especially with respect to those adults with the lowest levels of literacy;
- (3) the commitment of the eligible provider to serve individuals in the community who are most in need of literacy services, including individuals who are low-income or have minimal literacy skills;
- (4) whether or not the program—(A) is of sufficient intensity and duration for participants to achieve substantial learning gains; and (B) uses instructional practices, such as phonemic awareness, systematic phonics, fluency, and reading comprehension that research has proven to be effective in teaching individuals to read;
- (5) whether the activities are built on a strong foundation of research and effective educational practice;
- (6) whether the activities effectively employ advances in technology, as appropriate, including the use of computers;
- (7) whether the activities provide learning in real life contexts to ensure that an individual has the skills needed to compete in the workplace and exercise the rights and responsibilities of citizenship;
- (8) whether the activities are staffed by well-trained instructors, counselors, and administrators;
- (9) whether the activities coordinate with other available resources in the community, such as by establishing strong links with elementary schools and secondary schools, postsecondary educational institutions, one-stop centers, job training programs, and social service agencies;

- (10) whether the activities offer flexible schedules and support services (such as child care and transportation) that are necessary to enable individuals, including individuals with disabilities or other special needs, to attend and complete programs;
- (11) whether the activities maintain a high-quality information management system that has the capacity to report participant outcomes and to monitor program performance against the eligible agency performance measures; and
- (12) whether the local communities have a demonstrated need for additional English literacy programs."

APPENDIX C: Number of Young Adults Aged 16–18 Enrolled and Percentage of Total Participants in Adult Education by State, Program Years 2004–05 to 2006–07

Number of Young Adults Aged 16–18 Enrolled and Percentage of Total Participants in Adult Education by State,* Program Years 2004–05 to 2006–07

State or Outlying Area	PY 2004–05 Number of 16- to 18-Year- Olds Enrolled	PY 2004–05 Percentage of Total Participants	PY 2005–06 Number of 16- to 18-Year- Olds Enrolled	PY 2005–06 Percentage of Total Participants	PY 2006–07 Number of 16- to 18-Year- Olds Enrolled	PY 2006–07 Percentage of Total Participants
Alabama	4.915	25	4.587	26	4.860	26
Alaska	660	17	746	20	691	21
Arizona	2,180	8	2,136	9	2,169	9
Arkansas	5,759	16	4,392	13	4,305	13
California	50,976	9	48,895	8	49,794	8
Colorado	1,677	11	1,617	11	1,465	10
Connecticut	6,430	20	5,647	22	5,911	22
Delaware	1,034	16	954	16	784	16
District of Columbia	297	8	293	9	250	7
Florida	82,451	24	97,217	32	40,049	17
Georgia	18,115	19	17,050	20	15,416	22
Hawaii	1,449	19	1,216	17	1,346	17
Idaho	1,360	18	1,048	15	1,206	15
Illinois	8,869	7	8,122	7	8,020	7
Indiana	11,694	27	11,479	27	10,317	25
Iowa	2,045	17	1,763	17	1,744	18
Kansas	1,924	20	1,912	21	1,917	21
Kentucky	3,340	11	3,670	12	3,870	12
Louisiana	7,481	25	6,135	28	7,973	34
Maine	2,148	26	2,425	26	2,289	28
Maryland	4,025	15	4,310	14	4,639	14
Massachusetts	1,144	5	1,190	5	1,605	7
Michigan	1,269	4	1,031	3	1,040	3
Minnesota	2,025	4	1,474	3	1,553	3
Mississippi	5,107	20	4,495	23	4,971	23
Missouri	4,529	12	4,450	12	4,372	13
Montana	739	22	751	24	668	25
Nebraska	1,614	16	1,512	16	1,249	14

Number of Young Adults Aged 16–18 Enrolled and Percentage of Total Participants in Adult Education by State,* Program Years 2004–05 to 2006–07 (continued)

State or Outlying Area	PY 2004–05 Number of 16- to 18-Year- Olds Enrolled	PY 2004–05 Percentage of Total Participants	PY 2005–06 Number of 16- to 18-Year- Olds Enrolled	PY 2005–06 Percentage of Total Participants	PY 2006–07 Number of 16- to 18-Year- Olds Enrolled	PY 2006–07 Percentage of Total Participants
Nevada	497	5	489	5	432	5
New Hampshire	799	14	1,092	18	1,046	18
New Jersey	2,708	7	2,403	6	2,340	7
New Mexico	3,790	16	3,163	15	3,407	17
New York	6,472	4	6,499	4	5,416	4
North Carolina	19,245	18	18,924	18	19,446	18
North Dakota	476	23	467	24	272	15
Ohio	4,661	9	4,514	9	4,584	10
Oklahoma	3,041	15	3,402	17	3,572	19
Oregon	2,945	14	2,683	12	2,589	12
Pennsylvania	6,426	12	6,154	11	6,113	11
Puerto Rico	15,229	46	16,758	44	15,871	45
Rhode Island	759	11	523	9	521	8
South Carolina	7,039	11	7,452	12	8,576	15
South Dakota	520	15	635	19	622	21
Tennessee	9,535	19	7,856	17	7,080	16
Texas	13,410	11	12,413	11	11,732	11
Utah	3,068	10	3,354	12	2,959	12
Vermont	604	30	640	30	770	32
Virginia	2,560	9	2,394	8	2,431	7
Washington	2,592	5	2,718	5	2,984	6
West Virginia	1,804	19	1,688	18	1,348	15
Wisconsin	3,300	13	3,207	12	3,174	12
Wyoming	671	28	671	28	705	30
U.S. Total	347,407	13	350,616	14	292,463	12

^{*} The term "State" means "each of the several States of the United States, the District of Columbia, and the Commonwealth of Puerto Rico," as defined in Sec. 203(17) of the Adult Education and Family Literacy Act of 1998.

Source: U.S. Department of Education, Office of Vocational and Adult Education, National Reporting System Annual Performance and Annual Status Reports for Adult Education—Basic Grants to States under the *Adult Education and Family Literacy Act of 1998*, Program Year 2006–07 (OMB Number 1830-0027).



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