

Department of Education
CAREER, TECHNICAL, AND ADULT EDUCATION

Fiscal Year 2013 Budget Request

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For carrying out, to the extent not otherwise provided, [the Carl D. Perkins Career and Technical Education Act of 2006 and] the Adult Education and Family Literacy Act (referred to in this Act as the "AEFLA"), [\$1,738,946,000] \$606,295,000, [of] which [\$947,946,000] shall become available on July 1, [2012] 2013, and shall remain available through September 30, [2013, and of which \$791,000,000 shall become available on October 1, 2012, and shall remain available through September 30, 2013] 2014¹: *Provided*, That of the amount provided for Adult Education State Grants, \$15,000,000 shall be made available to the Secretary for the Workforce Innovation Fund, as established by this Act²; and [\$74,850,000] \$74,709,000 shall be made available for integrated English literacy and civics education services to immigrants and other limited-English-proficient populations³: *Provided further*, That of the amount reserved for integrated English literacy and civics education, notwithstanding section 211 of the AEFLA, 65 percent shall be allocated to States based on a State's absolute need as determined by calculating each State's share of a 10-year average of the United States Citizenship and Immigration Services data for immigrants admitted for legal permanent residence for the 10 most recent years, and 35 percent allocated to States that experienced growth as measured by the average of the 3 most recent years for which United States Citizenship and Immigration Services data for immigrants admitted for legal permanent residence are available, except that no State shall be allocated an amount less than \$60,000⁴: *Provided further*, That of the amounts made available for AEFLA, [\$11,323,000] \$11,302,000 shall be for national leadership activities under section 243⁵. (Department of Education Appropriations Act, 2012.)

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TITLE V GENERAL PROVISIONS

Sec. 518. WORKFORCE INNOVATION FUND.

(a) From funds appropriated under this Act for the Workforce Innovation Fund—

(1) amounts shall be available to support innovative new strategies and activities, or the replication and expansion of effective evidence-based strategies and activities, that are designed to align programs and strengthen the workforce development system in a State or region, in order to substantially improve education and employment outcomes for adults and youth served by such system, cost effectiveness, and the services provided to employers under such system; and⁶

(2) amounts shall be available for awards to States or State agencies that are eligible for assistance under any program authorized under the Workforce Investment Act; consortia of States; or partnerships, including regional partnerships, which may include workforce investment boards, public agencies, or other entities, pursuant to criteria established by the Secretary of Labor and the Secretary of Education.⁷

(b) Amounts appropriated for the Workforce Innovation Fund—

(1) shall be administered by the Secretary of Labor and the Secretary of Education in accordance with an interagency agreement describing the respective roles and responsibilities of the Secretaries in administering such funds, and, as appropriate, shall be administered in consultation with other heads of departments and agencies; and

(2) may be transferred between the Department of Labor and the Department of Education.⁸

(c) Of the funds appropriated under this Act for the Workforce Innovation Fund, not more than 5 percent shall be available to the Secretary of Labor and to the Secretary of Education for technical assistance and evaluations related to the projects carried out with these funds.⁹

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(d) The Secretary of Labor and the Secretary of Education may authorize awardees to use a portion of awarded funds for evaluation, upon approval of an evaluation plan by the Secretaries.¹⁰

(e) The Secretary of Labor and the Secretary of Education shall establish requirements for the Workforce Innovation Fund to ensure that individuals with disabilities, including those with significant disabilities, benefit substantially from activities supported under the Fund.¹¹

(f) Of the funds appropriated under this Act for the Workforce Innovation Fund, \$10 million shall be used for innovative and evidence-based approaches to serving disconnected youth.¹²

(g) Of the funds appropriated under this Act for the Workforce Innovation Fund, not to exceed \$20 million may be used for Workforce Innovation Fund-related performance-based awards or other agreements under the Pay for Success program: *Provided*, That any deobligated funds from such projects or agreements shall immediately be available for the Workforce Innovation Fund.¹³

(h) Funds obligated for Workforce Innovation Fund projects may remain available for disbursement until expended, notwithstanding 31 U.S.C. 1552(a).¹⁴

(i)(1) In the case of any innovation or replication project which, in the judgment of the Secretary of Labor and the Secretary of Education, is likely to substantially improve the education and employment outcomes for adults and youth served by such system and the services provided to employers under such system and requires waiver of statutory or regulatory requirements to achieve those improvements, the Secretary of Labor, with respect to title I of the Workforce Investment Act of 1998 and the Wagner-Peyser Act, and the Secretary of Education, with respect to title II of the Workforce Investment Act of 1998 and title I of the Rehabilitation Act of 1973, may waive compliance with statutory or regulatory requirements under such Acts to the extent and for the period the respective Secretary determines necessary to carry out such

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projects.¹⁵

(2) Waivers may only be provided to projects which include—

(A) a plan, approved by the relevant Secretary, to effectively evaluate the impact of the strategies being tested on outcomes for program participants, including target populations identified by the Secretaries;

(B) a strong accountability system, including performance measures which show outcomes for program participants and demonstrate that vulnerable populations, including individuals with disabilities, are being appropriately served by the workforce system; and

(C) other required elements, as established by the Secretaries in regulation or grant solicitation.¹⁶

NOTES

No new language is included for programs authorized under the expired Carl D. Perkins Career and Technical Education Act; when new authorizing legislation for the Perkins Act is enacted, a budget request for these programs will be proposed.

Each language provision that is followed by a footnote reference is explained in the Analysis of Language Provisions and Changes document, which follows the appropriation language.

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Analysis of Language Provisions and Changes

Language Provision	Explanation
<p>¹ ...[\$1,738,946,000] <u>\$606,295,000</u>, [of] which [\$947,946,000] shall become available on July 1, [2012] <u>2013</u>, and shall remain available through September 30, [2013, and of which \$791,000,000 shall become available on October 1, 2012, and shall remain available through September 30, 2013] <u>2014</u>:...</p>	<p>This language provides for funds to be appropriated on a forward-funded basis for Adult Education programs. The language also made a portion of the funds appropriated for Career and Technical Education State grants available for obligation on an advance-funded basis.</p>
<p>² ...<i>Provided</i>, That of the amount provided for Adult Education State Grants, <u>\$15,000,000 shall be made available to the Secretary for the Workforce Innovation Fund, as established by this Act</u>:...</p>	<p>This language would make available a set-aside for the Workforce Innovation Fund from the Adult Education State Grants appropriation.</p>
<p>³ ...and [\$74,850,000] <u>\$74,709,000</u> shall be made available for integrated English literacy and civics education services to immigrants and other limited-English-proficient populations:...</p>	<p>This language earmarks funds from the Adult Education State Grants appropriation for English Literacy and Civics Education State Grants, which are not otherwise authorized under the Adult Education and Family Literacy Act.</p>
<p>⁴ <i>Provided further</i>, That of the amount reserved for integrated English literacy and civics education, notwithstanding section 211 of the AEFLA, 65 percent shall be allocated to States based on a State's absolute need as determined by calculating each State's share of a 10-year average of the Immigration and Naturalization Service data for immigrants admitted for legal permanent residence for the 10 most recent years, and 35 percent allocated to States that experienced growth as measured by the average of the 3 most recent years for which Immigration and Naturalization Service data for immigrants admitted for legal permanent residence are available, except that no State shall be allocated an amount less than \$60,000:...</p>	<p>This language specifies an allocation formula for awarding State grants for English literacy and civics education.</p>

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Analysis of Language Provisions and Changes

Language Provision	Explanation
<p>⁵ <i>Provided further</i>, That of the amounts made available for AEFLA, [\$11,323,000] <u>\$11,302,000</u> shall be for national leadership activities under section 243.</p>	<p>This language provides a specific amount for National Leadership activities authorized under section 243 of the Adult Education and Family Literacy Act, overriding the statutory set-aside of 1.5 percent of the Adult Education appropriation (not to exceed \$8 million).</p>
<p>⁶ <u>Sec. 519. WORKFORCE INNOVATION FUND.</u></p> <p><u>(a) From funds appropriated under this Act for the Workforce Innovation Fund--</u></p> <p><u>(1) amounts shall be available to support innovative new strategies and activities, or the replication and expansion of effective evidence-based strategies and activities, that are designed to align programs and strengthen the workforce development system in a State or region, in order to substantially improve education and employment outcomes for adults and youth served by such system, cost effectiveness, and the services provided to employers under such system; and...</u></p>	<p>This language establishes a Workforce Innovation Fund (WIF) and specifies that funds are intended to support practices that will improve education and employment outcomes for adults and youth served by workforce development systems. Other intended goals include improving cost effectiveness and the services provided to employers under these systems.</p>
<p>⁷ <u>(2) amounts shall be available for awards to States or State agencies that are eligible for assistance under any program authorized under the Workforce Investment Act; consortia of States; or partnerships, including regional partnerships, which may include workforce investment boards, public agencies, or other entities, pursuant to criteria established by the Secretary of Labor and the Secretary of Education.</u></p>	<p>This language describes the entities eligible for funds under the WIF.</p>

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Analysis of Language Provisions and Changes

Language Provision	Explanation
<p><u>⁸ (b) Amounts appropriated for the Workforce Innovation Fund--</u></p> <p><u>(1) shall be administered by the Secretary of Labor and the Secretary of Education in accordance with an interagency agreement describing the respective roles and responsibilities of the Secretaries in administering such funds, and, as appropriate, shall be administered in consultation with other heads of departments and agencies; and</u></p> <p><u>(2) may be transferred between the Department of Labor and the Department of Education.</u></p>	<p>This language specifies that the Secretaries of Labor and Education will administer the WIF jointly and that funds appropriated to either agency may be transferred to the other agency.</p>
<p><u>⁹ (c) Of the funds appropriated under this Act for the Workforce Innovation Fund, not more than 5 percent shall be available to the Secretary of Labor and to the Secretary of Education for technical assistance and evaluations related to the projects carried out with these funds.</u></p>	<p>This language provides that the Secretaries of Labor and Education may use 5 percent of the funds appropriated for the WIF for technical assistance and evaluation.</p>
<p><u>¹⁰ (d) The Secretary of Labor and the Secretary of Education may authorize awardees to use a portion of awarded funds for evaluation, upon approval of an evaluation plan by the Secretaries.</u></p>	<p>This language provides that grantees may be permitted to use their funds for evaluation.</p>
<p><u>¹¹ (e) The Secretary of Labor and the Secretary of Education shall establish requirements for the Workforce Innovation Fund to ensure that individuals with disabilities, including those with significant disabilities, benefit substantially from activities supported under the Fund.</u></p>	<p>This language requires the Secretaries of Labor and Education to ensure that individuals with disabilities benefit from activities supported through the WIF.</p>
<p><u>¹² (f) Of the funds appropriated under this Act for the Workforce Innovation Fund, \$10 million shall be used for innovative and evidence-based approaches to serving disconnected youth.</u></p>	<p>This language requires the use of \$10 million of the WIF appropriation to serve disconnected youth.</p>

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Analysis of Language Provisions and Changes

Language Provision	Explanation
<p>¹³ <u>(g) Of the funds appropriated under this Act for the Workforce Innovation Fund, not to exceed \$20 million may be used for Workforce Innovation Fund-related performance-based awards or other agreements under the Pay for Success program: <i>Provided</i>, That any deobligated funds from such projects or agreements shall immediately be available for the Workforce Innovation Fund.</u></p>	<p>This language permits the Secretaries to use up to \$20 million of the WIF appropriation for performance-based awards or other agreements under the Pay for Success program and provides that funds deobligated from those agreements be available for WIF activities.</p>
<p>¹⁴ <u>(h) Funds obligated for Workforce Innovation Fund projects may remain available for disbursement until expended, notwithstanding 31 U.S.C. 1552(a).</u></p>	<p>This language makes the funds obligated for WIF projects available on a “no-year” basis.</p>
<p>¹⁵ <u>(i)(1) In the case of any innovation or replication project which, in the judgment of the Secretary of Labor and the Secretary of Education, is likely to substantially improve the education and employment outcomes for adults and youth served by such system and the services provided to employers under such system and requires waiver of statutory or regulatory requirements to achieve those improvements, the Secretary of Labor, with respect to title I of the Workforce Investment Act of 1998 and the Wagner-Peyser Act, and the Secretary of Education, with respect to title II of the Workforce Investment Act of 1998 and title I of the Rehabilitation Act of 1973, may waive compliance with statutory or regulatory requirements under such Acts to the extent and for the period the respective Secretary determines necessary to carry out such projects.</u></p>	<p>This language gives the Secretary of Labor and the Secretary of Education the authority to waive specific statutory or regulatory requirements of the following Acts: title I of WIA, Wagner-Peyser Act, title II of WIA, and title I of the Rehabilitation Act when the Secretaries believe a project has the potential to improve the education and employment outcomes for adults and youth and carrying out the project would require such a waiver.</p>

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Analysis of Language Provisions and Changes

Language Provision	Explanation
<p>¹⁶ <u>(2) Waivers may only be provided to projects which include—</u></p> <p><u>(A) a plan, approved by the relevant Secretary, to effectively evaluate the impact of the strategies being tested on outcomes for program participants, including target populations identified by the Secretaries;</u></p> <p><u>(B) a strong accountability system, including performance measures which show outcomes for program participants and demonstrate that vulnerable populations, including individuals with disabilities, are being appropriately served by the workforce system; and</u></p> <p><u>(C) other required elements, as established by the Secretaries in regulation or grant solicitation.</u></p>	<p>This language specifies the conditions under which a waiver may be granted to a project. The project must have a plan approved by the relevant Secretary, a strong accountability system, and any other elements that the Secretaries might require.</p>

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Amounts Available for Obligation
(dollars in thousands)

Appropriation and Adjustments	2011	2012	2013
<hr/>			
Discretionary appropriation:			
Appropriation	\$1,742,432	\$1,738,946	\$1,737,154
Across-the-board reduction (P.L. 112-10)	-3,485	0	0
Across-the-board reduction (P.L. 112-74)	-1,495	-1,792	0
Subtotal, adjusted discretionary appropriation	1,737,452	1,737,154	1,737,154
Advance for succeeding fiscal year	-789,505	-791,000	-791,000
Advance from prior year.....	<u>791,000</u>	<u>789,505</u>	<u>791,000</u>
Subtotal, budget authority.....	1,738,947	1,735,659	1,737,154
Unobligated balance, start of year	105,861	29,847	29,788
Unobligated balance, end of year	<u>-29,847</u>	<u>-29,788</u>	<u>-29,791</u>
Total, direct obligations	1,814,961	1,735,718	1,737,151

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Obligations by Object Classification
(dollars in thousands)

Object Class	2011	2012	2013
Personnel compensation and benefits	\$54	0	0
Travel and transportation of things	9	\$8	\$8
Other contractual services:			
Advisory and assistance services	143	150	150
Other services	2,246	2,035	2,000
Peer review.....	0	250	229
Research and development contracts	11,634	5,000	5,000
Operation and maintenance of equipment.....	<u>545</u>	<u>400</u>	<u>400</u>
Subtotal	14,568	7,835	7,779
Interest.....	1	0	0
Grants, subsidies, and contributions.....	<u>1,800,329</u>	<u>1,727,875</u>	<u>1,729,364</u>
Total, direct obligations.....	1,814,961	1,735,718	1,737,151

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Authorizing Legislation
(dollars in thousands)

Activity	2012 Authorized	2012 Estimate	2013 Authorized	2013 Request
Career and technical education: (<i>Carl D. Perkins CTEA</i>)				
State grants (<i>CTEA Title I</i>)	Indefinite	\$1,123,030	To be determined	\$1,123,030
National programs (<i>CTEA Section 114</i>)	Indefinite	7,829	To be determined	7,829
Adult education: (<i>Adult Education and Family Literacy Act (AEFLA)</i>)				
Adult basic and literacy education State grants (<i>AEFLA and WIA Section 503</i>)	0 ^{1.2}	594,993	0 ^{1.2}	594,993
National leadership activities (<i>Section 243</i>)	0 ^{1.2}	11,302	0 ^{1.2}	11,302 ³
<u>Unfunded authorizations</u>				
Grants to States for workplace and community transition training for incarcerated individuals (<i>HE Amendments of 1998, Title VIII-D</i>)	Indefinite ^{1.3}	0 ^{1.3}	Indefinite	0
National Institute for Literacy (<i>AEFLA section 242</i>)	0	0	0	0
Occupational and employment information (<i>CTEA section 118</i>)	Indefinite	0	Indefinite	0
Tech prep education State grants (<i>CTEA Title II</i>)	<u>Indefinite</u>	<u>0</u>	<u>Indefinite</u>	<u>0</u>
Total definite authorization				
Total appropriation		1,737,154		1,737,154
Portion of request subject to reauthorization				\$1,737,154

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Authorizing Legislation—continued (dollars in thousands)

NOTE: The Administration is proposing to reauthorize the Carl D. Perkins Career and Technical Education Act. FY 2013 funds for affected programs are proposed for later transmittal and will be requested once the legislation is reauthorized.

¹ Section 211(a) of the Adult Education and Family Literacy Act requires that, of the funds appropriated for Adult Education, the Secretary reserve 1.5 percent, not to exceed \$8 million, for the National Institute for Literacy; 1.5 percent, not to exceed \$8 million, for National Leadership Activities; and 1.72 percent for incentive grants (as authorized under section 503 of the Workforce Investment Act).

² The GEPA extension expired September 30, 2008. The President's FY 2013 budget proposes authorizing this program through appropriations language pending enactment of reauthorizing legislation.

³ The GEPA extension expired September 30, 2008. No appropriations language or reauthorizing legislation is sought for FY 2013.

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Appropriations History (dollars in thousands)

Year	Budget Estimate to Congress	House Allowance	Senate Allowance	Appropriation
2004	\$1,597,532	\$2,101,430	\$2,101,430	\$2,109,172
2004 Advance for 2005	(791,000)	(791,000)	(791,000)	(791,000)
2005	1,602,233	2,025,458	2,102,086	2,010,949
2005 Advance for 2006	(791,000)	(791,000)	(791,000)	(791,000)
2006	215,734	1,991,782	1,927,016	1,992,159
2006 Advance for 2007	0	(791,000)	(791,000)	(791,000)
2007	579,552			1,992,170
2007 Advance for 2008	(791,000)	N/A ¹	N/A ¹	(791,000)
2008	1,189,808	2,038,220	1,894,788	1,941,642
2008 Advance for 2009				(791,000)
2009	574,590	1,951,611 ²	1,863,162 ²	1,944,348
2009 Advance for 2010				(791,000)
2010	2,018,447	2,016,447	2,018,447 ³	1,928,447
2010 Advance for 2011	(791,000)	(791,000)	(791,000)	(791,000)
2011	1,942,707	1,991,447 ⁴	1,942,541 ³	1,737,451
2011 Advance for 2012	(791,000)	(791,000)	(791,000)	(791,000)
Rescission (P.L. 112-74)				(1,495)
2012	1,683,392	1,738,946 ⁵	1,738,946 ⁵	1,737,154
2012 Advance for 2013	(791,000)	(791,000)	(791,000)	(791,000)
2013	1,737,154			
2013 Advance for 2014	(791,000)			

¹ This account operated under a full-year continuing resolution (P.L. 110-5). House and Senate Allowance amounts are shown as N/A (Not Available) because neither body passed a separate appropriations bill.

² The levels for the House and Senate allowances reflect action on the regular annual 2009 appropriations bill, which proceeded in the 110th Congress only through the House Subcommittee and the Senate Committee.

³ The level for the Senate allowance reflects Committee action only.

⁴ The level for the House allowance reflects the House-passed full-year continuing resolution.

⁵ The level for the House allowance reflects an introduced bill; the level for the Senate allowance reflects Senate Committee action only.

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U.S. DEPARTMENT OF EDUCATION FISCAL YEAR 2013 PRESIDENT'S BUDGET

(in thousands of dollars)					2013 President's Budget Compared to 2012 Appropriation	
Account, Program and Activity	Category Code	2011 Appropriation	2012 Appropriation	2013 President's Budget	Amount	Percent
Career, Technical, and Adult Education						
1. Career and technical education (Carl D. Perkins CTEA):						
(a) State grants (Title I)						
Annual appropriation	D	332,659	332,030	332,030	0	0.000%
Advance for succeeding fiscal year ¹	D	789,505	791,000	791,000	0	0.000%
Subtotal		1,122,164	1,123,030	1,123,030	0	0.000%
(b) National programs (section 114)						
Subtotal, Career and technical education	D	7,844	7,829	7,829	0	0.000%
2. Adult education:						
(a) Adult basic and literacy education State grants (AEFLA and WIA section 503)						
	D	596,120	594,993	594,993	0	0.000%
(b) National leadership activities (AEFLA section 243)						
	D	11,323	11,302	11,302	0	0.000%
Subtotal, Adult education		607,443	606,295	606,295	0	0.000%
Total, Appropriation	D	1,737,451	1,737,154	1,737,154	0	0.000%
Total, Budget authority	D	1,738,946	1,735,659	1,737,154	1,495	0.086%
Current ²		947,946	946,154	946,154	0	0.000%
Prior year's advance		791,000	789,505	791,000	1,495	0.189%

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NOTES: -Category Codes are as follows: D = discretionary program; M = mandatory program.
 -Detail may not add to totals due to rounding.

¹ Under the terms of the FY 2012 appropriations bill, a 0.189 percent across-the-board rescission is applied to budget authority available in FY 2012. As a result, FY 2011 advance appropriations available in FY 2012 are reduced by \$1,495 thousand.

² Excludes advance appropriations of \$789,505 thousand in fiscal year 2011, \$791,000 in fiscal year 2012 and at the 2013 President's Budget level that become available on October 1 of the following fiscal year.

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Summary of Request

Programs in the Career, Technical, and Adult Education account further the efforts of States and communities to improve their career and technical education programs and their adult education and literacy systems. The objective of these programs is to develop the academic, career, and technical skills of students in high schools, community colleges, adult education programs, and correctional institutions by helping States develop challenging standards; promoting the integration of academic, career, and technical instruction; and supporting State and local program improvements. Adult education programs support local efforts to provide educational services to adults who lack the basic or English literacy skills needed for them to benefit fully from job training, obtain better jobs, complete secondary education, succeed in postsecondary education, and become full participants in their children's education. The Career and Technical Education programs are authorized by the Carl D. Perkins Career and Technical Education Improvement Act of 2006. Adult Education programs would be included in the pending Workforce Investment Act (WIA) reauthorization.

The Administration requests a total of \$1.7 billion for this account, the same as the 2012 level. This request includes \$1.1 billion for **Career and Technical Education State Grants** and \$7.8 million for **Career and Technical Education National Programs**. The request also includes \$595.0 million for **Adult Education State Grants**, and \$11.3 million for **Adult Education National Leadership Activities**.

The request for the **Career and Technical Education (CTE) State Grants** program would support the first year of activity under a reauthorized Carl D. Perkins Career and Technical Education Act that would seek to ensure that all CTE programs become viable and rigorous pathways to postsecondary and career success. The Administration's reauthorization proposal would strengthen the alignment among secondary and postsecondary CTE programs and business and industry; focus funding on high-quality, academically rigorous CTE programs that span secondary and postsecondary education and provide students with well-articulated pathways to industry-recognized credentials or postsecondary degrees for in-demand industry sectors and occupations; create a better accountability system; and provide competitive funding modeled after the Investing in Innovation (i3) program to promote innovation and reform in CTE. The proposal would also support the Department's secondary school agenda and the President's 2020 college completion goal.

The request for **Career and Technical Education National Programs** would support implementation of a reauthorized Perkins Act through research, evaluation, data collection, technical assistance, and other national leadership activities aimed at improving the quality and effectiveness of career and technical education.

The request for **Adult Education State Grants** includes a \$15.0 million set-aside for a **Workforce Innovation Fund**, administered with the Office of Special Education and Rehabilitative Services, and in partnership with the Department of Labor, to provide grants for projects that encourage innovation and identify and validate effective strategies for improving the delivery of services and outcomes for all beneficiaries under the programs authorized by WIA, particularly those from the most vulnerable populations. The **Adult Education State Grants** request also includes continuation of a set-aside for English Literacy/Civics Education State Grants to support the unmet needs of immigrants learning English. The program helps States

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and communities provide limited English proficient adults with expanded access to high-quality English literacy programs linked to civics education.

The request for **Adult Education National Leadership Activities** would continue to support activities intended to increase the literacy and workforce skills of our Nation's native-born adult population, as well as the ongoing need to address the English language acquisition, literacy, and workforce skills gaps of the immigrant population.

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Career and technical education: State grants

(Carl D. Perkins Career and Technical Education Act of 2006, Title I)

(dollars in thousands)

FY 2013 Authorization: Indefinite

Budget Authority:

	<u>2012</u>	<u>2013</u>	<u>Change</u>
Annual appropriation	\$332,030	\$332,030	0
Advance for succeeding fiscal year	<u>791,000</u>	<u>791,000</u>	<u>0</u>
Total	1,123,030	1,123,030	0

PROGRAM DESCRIPTION

Under the Carl D. Perkins Career and Technical Education Act of 2006 (Perkins IV), State Grants for Career and Technical Education (CTE) assist States and Outlying Areas in expanding and improving career and technical education in high schools, technical schools, and community colleges. Each State uses program funds to support a variety of career and technical education programs developed in accordance with its State plan.

The Department allocates funds to States, including the District of Columbia, Puerto Rico, and the Virgin Islands, through a formula based on State per-capita income and population in three age cohorts (15-19, 20-24, and 25-65). The formula provides for a minimum State allocation of at least 0.5 percent of the total, and a "hold-harmless" provision in the formula ensures that no State's share of the appropriation is less than its share of the fiscal year 1998 appropriation. A special provision limits the increase a State with an initial allocation of the 0.5 percent minimum may receive, resulting in a number of States that receive an allocation of less than 0.5 percent of the total. If appropriations result in the amount of funds for allocation to States exceeding the amount of funds allocated to States from the fiscal year 2006 appropriation, up to one-third of the additional funds is to be allotted to States with fiscal year 2006 grant awards that were less than the minimum 0.5 percent grant amount and the remainder is to flow to the other States.

In addition, the Pacific territories receive 0.13 percent of the total appropriated for State Grants to operate the same kinds of career and technical education programs as the States. Within that set-aside, Guam receives \$660,000, American Samoa and the Northern Mariana Islands each receive \$350,000, and Palau receives \$160,000. Any remaining funds are distributed among Guam, American Samoa, and the Northern Mariana Islands in equal shares. Also, 1.25 percent of the total appropriation for State Grants is set aside for grants to federally recognized Indian tribes and tribal organizations, and 0.25 percent is set aside for competitive grants to organizations that primarily serve and represent Hawaiian Natives.

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Career and Technical Education: State grants

Under the statute:

- Programs must, among other things, integrate academic and career and technical education, promote student attainment of challenging academic and career and technical standards, provide strong linkages between secondary and postsecondary education, and provide professional development for teachers, counselors, and administrators.
- States and local recipients must offer at least one program of study. Programs of study are coherent sequences of non-duplicative CTE courses that progress from the secondary to the postsecondary level, include rigorous and challenging academic content along with career and technical content, and lead to an industry-recognized credential or certificate at the postsecondary level or to an associate or baccalaureate degree.
- The Secretary and each State must reach agreement on annual levels of performance for a number of “core indicators” specified in the law.
 - The core indicators for secondary education programs focus on student attainment of challenging academic standards, as measured by attainment of the proficient level or above on the statewide assessments required under Title I of the Elementary and Secondary Education Act (ESEA); high school graduation; student attainment of career and technical skill proficiencies; student attainment of a secondary school diploma or its recognized equivalent, or a proficiency credential in conjunction with a secondary school diploma; student placement in postsecondary education, advanced training, military service, or employment; and student participation in and completion of career and technical education programs that lead to employment in fields that are traditionally dominated by one gender.
 - The core indicators for postsecondary education programs focus on student attainment of challenging career and technical skill proficiencies; student attainment of an industry-recognized credential, certificate, or degree; student retention in postsecondary education or transfer to a baccalaureate degree program; student placement in the military or in apprenticeship programs, or placement or retention in employment; and student participation in and completion of career and technical education programs that lead to employment in fields that are traditionally dominated by one gender.
- Within States, at least 85 percent of funds must be allocated by formula to local educational agencies (LEAs) and postsecondary institutions, except that a State may reserve up to 10 percent of those funds to make grant awards to local agencies in rural areas and areas with high percentages or high numbers of career and technical education students.
- States may use up to 10 percent of their allocations to carry out State leadership activities, such as professional development, activities to expand the use of technology, assessing career and technical education services, activities to further the integration of academic and career and technical education in order to improve student achievement, preparing students for employment in fields that are traditionally dominated by one gender, delivering career and technical education in correctional institutions, and providing services for special populations.

This is a forward-funded program that includes advance appropriations. A portion of the funds becomes available for obligation on July 1 of the fiscal year in which the funds were appropriated

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and remains available for 15 months through September 30 of the following year. The remaining funds become available on October 1 of the fiscal year following the appropriations act and remain available for 12 months, expiring at the same time as the forward-funded portion.

Funding levels for the past 5 fiscal years were as follows:

	(dollars in thousands)
2008.....	\$1,160,911
2009.....	1,160,911
2010.....	1,160,911
2011.....	1,122,164
2012.....	1,123,030

FY 2013 BUDGET REQUEST

For fiscal year 2013, the Administration requests \$1.1 billion for the Career and Technical Education (CTE) State Grants program, the same amount as the 2012 appropriation. The fiscal year 2013 appropriation would support the first year of activity under a reauthorized Carl D. Perkins Career and Technical Education Act that would dramatically strengthen provisions of the current statute and provide States, local educational agencies, and postsecondary institutions with the support required to help ensure that all students leave their CTE programs well prepared for further education or employment in high-skill and high-demand occupations, including for the technical jobs that are currently going unfilled, even in a time of high unemployment. The reauthorization proposal would also support the President's goal that the United States lead the world in college completion by 2020.

A reauthorized CTE State Grants program will have the potential to contribute to the U.S. economy and its global competitiveness and increase the employment rate by addressing a persistent skills gap in the employment market. As early as 1991, respondents to a National Association of Manufacturers (NAM) survey reported a shortage of workers with necessary skills. In 2009, 32 percent of NAM survey respondents said that they still faced moderate to serious shortages of qualified workers, and 51 percent reported moderate to serious shortages in skilled production occupations such as machinists, operators, and technicians (*People and Profitability: A Time for Change. A 2009 People Management Practices Survey of the Manufacturing Industry. [Supplement to the 2005 Skills Gap Report]*). Fifty-three percent of business leaders surveyed separately in September 2010 said that, despite the high unemployment rate, their companies were finding it difficult to find qualified workers (*Across the Great Divide: Perspectives of CEOs and College Presidents on America's Higher Education and Skills Gap. March 2011.*) This skills gap is affecting American productivity. Eighty-three percent of manufacturers responding to the 2005 NAM survey said that the lack of sufficiently skilled employees was affecting their ability to serve customers; 56 percent reported that they had trouble maintaining production levels consistent with customer demand; 43 percent reported that they were having trouble achieving productivity targets; and 33 percent reported that they were having trouble achieving or maintaining target levels of customer satisfaction.

Moreover, the demand for skilled workers is not likely to decrease over time. The Georgetown University Center on Education and the Workforce projects that low-skills jobs will not come

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back during or after the United States' economic recovery. Rather, as has happened in past economic downturns, new technologies will likely emerge to increase efficiency, and these technologies will require skilled workers to operate them. The activities that can be supported through the Perkins Act, if strategically restructured through reauthorization, would have the potential not only to help meet long-term educational and economic needs but also to address more immediate labor force needs during a period of high unemployment.

Under the current Perkins Act, it has been difficult to determine the program's effectiveness, and difficult to hold States accountable for performance, since States can establish their own definitions, performance measures, and goals. Moreover, the current structure of the CTE State Grants program—with funds allocated from States to local recipients largely by formula, insufficient connection to fields most needed by local economies, and inadequate linkages between secondary schools, postsecondary institutions and employers—does not ensure that program funds are used most effectively. However, we believe that high-quality CTE programs can have a significant, positive impact on student achievement, high school graduation and college completion rates, and labor market outcomes. The reauthorization proposal would achieve that vision and address the current program's shortcomings through three major statutory reforms: (1) strengthening the alignment among secondary and postsecondary CTE programs and business and industry; (2) creating a better accountability system; and (3) providing funding to promote innovation and reform in CTE. The Department could use the funds for innovation to carry out "pay-for-success" projects (including projects that make use of "social impact bonds") under which private nonprofit or for-profit entities would undertake activities to achieve cost-effective outcomes in CTE and receive payments from the Department based on the extent to which they achieve those outcomes.

The Administration is also considering revisions to the State allocation formula to improve and simplify the process for calculating allocations and to ensure that the formula drives funds to States based on current data.

PROGRAM OUTPUT MEASURES (dollars in thousands)

<u>Measures:</u>	<u>2011</u>	<u>2012</u>	<u>2013</u>
<u>Formula funds:</u>			
State grants	\$1,103,873	\$1,104,724	\$1,003,404
Range of awards to States	\$576-\$119,054	\$577-\$119,163	\$564-\$107,495
Territories allocation	\$1,459	\$1,460	1,326
Indian set-aside	\$14,027	\$14,038	\$12,750
Number of grants	30	30	30
Native Hawaiian grant	\$2,805	\$2,808	\$2,550
Number of grants	10	10	10
<u>Other funds</u>	0	0	\$103,000

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PROGRAM PERFORMANCE INFORMATION

Performance Measures

This section presents selected program information, including, for example, GPRA goals, objectives, measures, and performance targets and data; and an assessment of the progress made toward achieving program results. Achievement of program results is based on the cumulative effect of the resources provided in previous years and those requested in FY 2013 and future years, and the resources and efforts invested by those served by this program.

In 2007, the Department adopted new performance measures in order to achieve alignment with the core indicators of performance specified in section 113 of the reauthorized Perkins Act. As part of the transition to the requirements of Perkins IV, the Department immediately implemented the measures that were based on ESEA requirements (CTE student achievement on the statewide assessments of reading/language arts and mathematics that States must administer under ESEA Title I, and the graduation rate for high school CTE students), and provided States with an additional year to implement the remaining measures (secondary education measures for technical skill attainment; secondary school completion; placement; and nontraditional participation and completion; and postsecondary education measures for technical skill attainment; attainment of credentials, certificates, or diplomas; student retention or transfer; student placement; and nontraditional participation and completion).

Goal: Increase access to and improve educational programs that strengthen education achievement, workforce preparation, and lifelong learning.

Objective: *Ensure that secondary and postsecondary CTE concentrators, including special populations, meet rigorous academic standards, attain technical skills, and make successful transitions to further education and employment.*

Measure: The percentage of CTE concentrators meeting the State-established reading/language arts standards.

Year	Target Percentage	Actual Percentage
2009	64	67
2010	69	75
2011	70	
2012	71	
2013	76	

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Measure: The percentage of CTE concentrators meeting the State-established mathematics standards.

Year	Target Percentage	Actual Percentage
2009	57	64
2010	63	71
2011	64	
2012	65	
2013	72	

Measure: The percentage of CTE students who graduated in the reporting year.

Year	Target Percentage	Actual Percentage
2009	78	90
2010	91	90
2011	91	
2012	91	
2013	91	

Additional information: As required in the statute, States measure reading/language arts and mathematics achievement by determining the percentage of CTE students (of those who took State assessments) who attained a level of proficient or advanced on the assessments administered by the State under Title I of ESEA. The program-level targets are based on the targets negotiated with individual States under section 113 of Perkins IV. The source of data is the Consolidated Annual Report that State agencies submit to the Department. Note that many CTE students take the State assessments before they begin their coursework in CTE.

The percentage of CTE students who graduate from high school is obtained by extracting data on the CTE students who were included in the State's computation of the graduation rate as required under Title I of ESEA. This rate has been higher than the average graduation rate for all students. Moreover, States have been revising their graduation rate calculations to meet the requirements of the 2008 ESEA Title I regulations. These revisions will likely result in significant changes in the reported rates both for CTE students and for students as a whole. Data for 2011 will be available in May 2012.

Measure: The percentage of secondary CTE concentrators attaining technical skills.

Year	Target Percentage	Actual Percentage
2009	80	77
2010	80	80
2011	81	
2012	82	
2013	82	

CAREER, TECHNICAL, AND ADULT EDUCATION

Career and Technical Education: State grants

Measure: The percentage of secondary CTE concentrators earning a diploma, GED, or proficiency credential in conjunction with a secondary school diploma.

Year	Target Percentage	Actual Percentage
2009	84	84
2010	84	94
2011	85	
2012	86	
2013	94	

Measure: The percentage of secondary CTE concentrators placed in postsecondary education, advanced training, military service, or employment.

Year	Target Percentage	Actual Percentage
2009	86	84
2010	86	81
2011	87	
2012	88	
2013	81	

Measure: The percentage of secondary CTE concentrators participating in programs in nontraditional fields.

Year	Target Percentage	Actual Percentage
2009	30	30
2010	30	35
2011	31	
2012	32	
2013	31	

Measure: The percentage of secondary CTE concentrators completing programs leading to nontraditional fields.

Year	Target Percentage	Actual Percentage
2009	19	30
2010	19	32
2011	20	
2012	21	
2013	30	

CAREER, TECHNICAL, AND ADULT EDUCATION

Career and Technical Education: State grants

Measure: The percentage of postsecondary CTE concentrators attaining technical skills.

Year	Target Percentage	Actual Percentage
2009	68	81
2010	68	80
2011	69	
2012	70	
2013	82	

Measure: The percentage of postsecondary CTE concentrators earning an industry-recognized credential, certificate, or degree.

Year	Target Percentage	Actual Percentage
2009	56	53
2010	56	53
2011	58	
2012	60	
2013	56	

Measure: The percentage of postsecondary CTE concentrators remaining in postsecondary education.

Year	Target Percentage	Actual Percentage
2009	58	67
2010	58	72
2011	60	
2012	62	
2013	60	

Measure: The percentage of postsecondary CTE concentrators placed in further postsecondary education, advanced training, military service, or employment.

Year	Target Percentage	Actual Percentage
2009	74	77
2010	74	74
2011	75	
2012	76	
2013	74	

CAREER, TECHNICAL, AND ADULT EDUCATION

Career and Technical Education: State grants

Measure: The percentage of postsecondary CTE concentrators participating in nontraditional programs.

Year	Target Percentage	Actual Percentage
2009	20	21
2010	20	23
2011	21	
2012	22	
2013	23	

Measure: The percentage of postsecondary CTE concentrators completing nontraditional programs.

Year	Target Percentage	Actual Percentage
2009	16	20
2010	16	20
2011	17	
2012	18	
2013	19	

Additional information: In order to encourage consistency in how States collect data for the performance indicators, the Department published non-regulatory guidance providing suggested measures, measurement approaches, and data definitions for each indicator. However, not every State has opted to adopt the Department's suggested approaches. While the Department continues to work with States and provide technical assistance on improving the quality of performance data, the data that the States currently submit have limited validity.

Performance targets reflect agreements with State agencies. The targets for the percentages of secondary and postsecondary concentrators placed in postsecondary education, advanced training, military service, or employment, and for the percentage of postsecondary CTE concentrators retained in postsecondary education or transferring to a baccalaureate degree program have been adjusted downward due to economic conditions in the States. The poor economy is affecting employment prospects, and more students may be opting to find work rather than to stay in their CTE program or to enter into longer, degree-granting programs. Data for 2011 will be available in May 2012.

Efficiency measures

The Department has adopted cost per participant as the efficiency measure for this program. This is also the efficiency measure included in the job training common measures adopted by the Department and other agencies. Although the Department is able to calculate this measure at the national and State levels, the validity and reliability of the data used for these calculations are questionable. State definitions of participants vary, limiting the validity of comparisons across States. The following chart shows national-level costs per secondary student and per postsecondary student for fiscal years 2005 through 2009. Cost data for postsecondary

CAREER, TECHNICAL, AND ADULT EDUCATION

Career and Technical Education: State grants

students were not collected for 2008, which was the period of the 1-year transition from Perkins III requirements to Perkins IV requirements. Data for fiscal year 2010 will be available in early 2012.

Measure: Average time, in days, to complete monitoring report.

Year	Cost per secondary student	Cost per postsecondary student
2005	\$75	\$83
2006	77	77
2007	77	86
2008	62	Not collected
2009	75	77

CAREER, TECHNICAL, AND ADULT EDUCATION

Career and technical education: National programs

(Carl D. Perkins Career and Technical Education Act of 2006, Section 114)

(dollars in thousands)

FY 2013 Authorization: Indefinite

Budget Authority:

	<u>2012</u>	<u>2013</u>	<u>Change</u>
	\$7,829	\$7,829	0

PROGRAM DESCRIPTION

The Carl D. Perkins Career and Technical Education Act of 2006 (Perkins IV) includes an authority for National Programs to support research, development, demonstration, dissemination, evaluation, and assessment activities aimed at improving the quality and effectiveness of career and technical education (CTE). Within this authority, Perkins IV specifically calls for the operation of a national center to carry out scientifically based research in career and technical education and a national assessment of career and technical education programs operated under the Act. An interim report on the current National Assessment of Career and Technical Education was due to Congress on January 1, 2010, and a final report was due to Congress on July 1, 2011.

The Department generally uses National Programs funds to support the National Career and Technical Education Research Center and for activities to assist States in implementing key provisions of the Perkins Act, such as the requirement that States implement at least one “program of study” that provides a coherent sequence of courses that links secondary and postsecondary education, provides rigorous and challenging content, and leads to a degree or an industry-recognized credential. Fiscal year 2005-2008 funds were also used to conduct the national assessment of CTE programs.

This is a forward-funded program. Funds become available for obligation from July 1 of the fiscal year in which they are appropriated and remain available through September 30 of the following year.

Funding levels for the past 5 fiscal years were as follows:

	(dollars in thousands)
2008	\$7,860
2009	7,860
2010	7,860
2011	7,844
2012	7,829

CAREER, TECHNICAL, AND ADULT EDUCATION

Career and Technical Education: National programs

FY 2013 BUDGET REQUEST

For fiscal year 2013, the Administration requests \$7.8 million for Career and Technical Education National Programs, the same amount as the 2012 appropriation. This funding would support implementation of the reauthorized Perkins Act through research, evaluation, data collection, technical assistance, and other national leadership activities aimed at improving the quality and effectiveness of career and technical education (CTE).

The Administration's reauthorization proposal will call for revising the current National Programs authority to make it a better vehicle for funding a steady program of research and evaluation along with other activities that support implementation of new requirements within the reauthorized program. As one example, a broader research activity, which does not presume a particular mechanism for conducting research, would help the Department pursue the research questions that are most relevant and important for the improvement of CTE. Further, the areas currently designated by the statute for inclusion in the evaluation have focused mainly on implementation issues, and a broader evaluation authority would assist the Department in carrying out an evaluation agenda that examines the effectiveness of CTE programs along with the implementation of CTE programs.

PROGRAM OUTPUT MEASURES (dollars in thousands)

<u>Measures</u>	<u>2011</u>	<u>2012</u>	<u>2013</u>
National Career and Technical Education Research Center	\$2,500	\$2,500	0
Improving program performance	1,500	1,500	\$1,500
Promoting rigorous programs of study	1,500	1,500	0
Other program improvement activities	2,344	2,329	6,329

PROGRAM PERFORMANCE INFORMATION

Performance Measures

This section presents selected program information, including, for example, GPRA goals, objectives, measures, and performance targets and data; and an assessment of the progress made toward achieving program results. Achievement of program results is based on the cumulative effect of the resources provided in previous years and those requested in FY 2013 and future years, and the resources and efforts invested by those served by this program.

Goal: Increase access to and improve programs at the high school and community and technical college levels that raise academic achievement, strengthen workforce preparation, and promote economic development and lifelong learning.

CAREER, TECHNICAL, AND ADULT EDUCATION

Career and Technical Education: National programs

Objective: *The use of rigorous research findings to inform program direction and improve State and local practices through the identification of research-based education practices and communicating what works to practitioners, parents, and policymakers will increase.*

Measure: The percentage of scientifically based research studies conducted by the National Research Center for Career and Technical Education that are of high relevance to career and technical education practices as determined by expert panels.

Year	Target Percentage	Actual Percentage
2009	Baseline	67
2010	67	67
2011	69	
2012	70	
2013	71	

Measure: The percentage of products (e.g., instructional approaches, methods, and programs, models, and strategies) disseminated to practitioners by the Center that were judged by expert panels to be of high quality.

Year	Target Percentage	Actual Percentage
2009	Baseline	84
2010	92	90
2011	94	
2012	95	
2013	96	

Measure: The percentage of technical assistance services provided by the Center that are judged to be of high usefulness to educational policy or practice by target audiences.

Year	Target Percentage	Actual Percentage
2009	Baseline	100
2010	88	100
2011	89	
2012	90	
2013	91	

CAREER, TECHNICAL, AND ADULT EDUCATION

Career and Technical Education: National programs

Measure: The percentage of professional development activities offered by the Center that are judged to be of high quality by participants.

Year	Target Percentage	Actual Percentage
2009	Baseline	100
2010	87	100
2011	88	
2012	89	
2013	100	

Additional information: All data are collected, analyzed, and reported by an independent third-party evaluator. The evaluator developed procedures for selecting external panel members, rubrics for reviewing and rating Center studies and products, and methods for examining inter-rater reliability. Usefulness of technical assistance was determined through surveys of participants; the response rate for 2010 was 58 percent. Quality of professional development was determined through surveys of participants; the response rate for 2010 was 67 percent. Data for 2011 will be available in late 2012.

CAREER, TECHNICAL, AND ADULT EDUCATION

Adult education: Adult basic and literacy education State grants

(Adult Education and Family Literacy Act and Workforce Investment Act, Section 503)

(dollars in thousands)

FY 2013 Authorization: To be determined¹

Budget Authority:

<u>2012</u>	<u>2013</u>	<u>Change</u>
\$594,993 ²	\$594,993 ²	0

¹ The GEPA extension expired September 30, 2008. The President's FY 2013 budget proposes authorizing this program through appropriations language pending enactment of reauthorizing legislation for FY 2013.

² FY 2012 appropriations language provides a \$75 million set-aside for English Literacy and Civics Education grants. The request for FY 2013 would include a \$75 million set-aside for English Literacy and Civics Education grants through reauthorizing language.

PROGRAM DESCRIPTION

Under the Adult Education and Family Literacy Act (AEFLA), adult education grants to the States and Outlying Areas support programs that assist adults in becoming literate and in obtaining the knowledge and skills necessary for employment and self-sufficiency; assist adults who are parents in obtaining the educational skills necessary to become full partners in the educational development of their children; and assist adults in the completion of a secondary education.

Adult Education State Grants

The Department awards formula grants to the States and Outlying Areas. The formula provides an initial allotment of \$250,000 for each State and \$100,000 to each Outlying Area. Any additional funds are distributed on the basis of each State's share of qualifying adults. Qualifying adults are defined in AEFLA as individuals aged 16 and older who are without a high school diploma or the equivalent, who are beyond the age of compulsory education in their States, and who are not currently enrolled in school. AEFLA also includes a "hold-harmless" provision that ensures that each State receives at least 90 percent of its previous year's amount. If funding is insufficient to satisfy the hold-harmless provision, each State receives the same proportion of available funding as in the previous year.

States may use up to 12.5 percent of their grant for State leadership activities and an additional 5 percent or \$65,000 (whichever is greater) for State administration. At least 82.5 percent of a State's grant must be used for local awards; of this amount, up to 10 percent may be used to educate incarcerated and other institutionalized individuals. Of the funds provided by the State agency to eligible entities, at least 95 percent must be used for instructional activities.

CAREER, TECHNICAL, AND ADULT EDUCATION

Adult education: Adult basic and literacy education State grants

States make grants to local entities that provide adult basic education, English literacy, adult secondary education, workplace literacy, and family literacy services. Local service providers include local educational agencies, community colleges, and community- and faith-based organizations. In distributing funds, States must give equitable access to all types of eligible agencies and institutions that have the ability to operate adult education programs. States, in awarding funds to local providers, must consider the extent to which these providers offer programs that, among other things, have measurable goals for client outcomes, can demonstrate past effectiveness in improving the literacy skills of adults and families, serve individuals who are most in need of literacy services, are built on a strong foundation of research about effective practices, and coordinate with other available resources in the community.

The State's leadership funds are used for State activities to improve adult education and literacy services, including professional development to improve the quality of instruction, technology assistance for local providers, and monitoring and evaluating the quality of local programs. States may also use a portion of their State leadership funds for financial incentives to reward local programs for high performance or exemplary program coordination.

To promote continuous program improvement, the Secretary and each State must reach agreement on annual performance targets for a number of core indicators in the areas of literacy skill improvement; placement in postsecondary education or training; entry into and retention in unsubsidized employment; and attainment of a secondary school diploma or its recognized equivalent.

The Secretary reserves 1.72 percent of the total Adult Education appropriation to award incentive grants to States that exceed the agreed-upon performance levels for the AEFLA and other employment programs. Funds are transferred to the Secretary of Labor and are awarded along with funds reserved from the other programs.

English Literacy and Civics Education (EL/Civics) State Grants

The Department also awards formula grants to States for English literacy and civics education from funds set aside from the Adult Education appropriation. Using data from the Department of Homeland Security's Office of Immigration Statistics on the number of legal immigrants, the Department allocates 65 percent of funds based on each State's share of a 10-year average of immigrants admitted for legal permanent residence. The remaining 35 percent is allocated to States that have experienced recent growth in immigration, as measured by the average of the number of immigrants in the 3 most recent years. No State receives an award of less than \$60,000. States have received EL/Civics formula grants each year since fiscal year 2000.

This is a forward-funded program. Funds become available for obligation from July 1 of the fiscal year in which they are appropriated and remain available through September 30 of the following year.

CAREER, TECHNICAL, AND ADULT EDUCATION

Adult education: Adult basic and literacy education State grants

Funding levels for the past 5 fiscal years were as follows:

	(dollars in thousands)
2008.....	\$554,122
2009.....	554,122
2010.....	628,221
2011.....	596,120
2012.....	594,993

FY 2013 BUDGET REQUEST

The Administration requests \$595.0 million for Adult Education State Grants, the same as the fiscal year 2012 appropriation. The request includes a \$74.7 million set-aside for English Literacy/Civics Education State Grants, also the same as the fiscal year 2012 level, as well as a \$15 million set-aside for the proposed Workforce Innovation Fund. The request would fund the first year of the program's operation under a reauthorized Workforce Investment Act (WIA).

There is a persistent need for adult education services in the U.S. Findings from the most recent National Assessment of Adult Literacy (NAAL), published in 2003, showed that the overall percentage of adults who scored "proficient" in prose and document literacy on the NAAL declined between 1992 and 2003. Approximately 30 million American adults, or 14 percent of the adult population, have difficulty reading. These adults may struggle to read because they are non-literate in English or because they lack some of the required skills to read and comprehend connected text. In addition, approximately 22 percent of the adult population have limited quantitative skills and can use their knowledge only to complete simple quantitative operations. Further, a supplemental study of the NAAL, *Basic Reading Skills and the Literacy of America's Least Literate Adults*, found that of the adults who scored "Below Basic" in prose literacy on the NAAL, the largest percentage were those with the least amount of schooling (less than a high school degree); 44 percent of the same group lived in families with incomes below the poverty line. State enrollment data for the Adult Education State Grants program indicate that the greatest need for services is among the adults with the lowest skill levels, including those needing to learn English. Approximately 2.2 million adults were enrolled in adult education during the 2009-2010 program year and, of those, approximately 87 percent were enrolled in adult basic education programs or English literacy programs; only 13 percent were in adult secondary education programs.

Some students drop out of school for the very reason they need school: because they lack the skills to be successful and graduate on time. Some of these students may be immigrants without the English language skills or formal education background to succeed in a traditional secondary school. The Census Bureau reports a "status dropout rate," which represents the proportion of young people, ages 16 through 24, who are out of school and who have not earned a high school diploma or equivalent. In October 2000, nearly 11 percent of individuals in that age group were not enrolled in high school and had not received a high school diploma or equivalent. In October 2009, the status dropout rate for the same age group had declined to 8.1 percent, but a major high school non-completion problem persists for some minority groups. For example, the 2009 rates were 17.6 percent for Hispanics as a whole, and more than 32 percent for Hispanics born outside of the United States. Rates for these groups indicate

CAREER, TECHNICAL, AND ADULT EDUCATION

Adult education: Adult basic and literacy education State grants

some improvement in the last 6 years, but continue to raise serious concerns for the future. These data underscore the need both to continue to serve this population and to work to improve the effectiveness of the services provided.

Further, the economic downturn has highlighted the evolution of the requisite levels of educational attainment for jobs that pay wages sufficient to support a family. A 2010 report released by Georgetown University's Center on Education and the Workforce, *Help Wanted: Projections of Job and Education Requirements Through 2018*, predicts that approximately 63 percent of the 46.8 million job openings created by 2018 will require workers with at least some college education. In 1973, 25 million jobs, or 28 percent of the 91 million jobs held, required applicants to have at least some college education; by 2007, that number had risen to 91 million jobs, or 59 percent of the 154 million jobs held.

The Department has significant evidence that Adult Education is an effective program and has made significant improvements in program management and in the quality of participant data. The Department has dramatically improved the quality and breadth of data collected through the program's National Reporting System. The data demonstrate that the program has achieved consistent improvements on measures of student performance and other program goals, such as job attainment and retention. Also, the Department has increased the availability of research-based instructional materials for adult education teachers, and all States are now using standardized assessments to measure student-learning gains.

Still, the needs of adult learners have shifted since the Workforce Investment Act (WIA) was enacted in 1998, and additional opportunities are needed for adult learners to re-enter the education system and exit prepared for college or a high-demand 21st-century career. The reauthorization of the Adult Education and Family Literacy Act, Title II of WIA, provides the Administration and Congress with the opportunity to better align the Adult Education program with Federal job training programs and the postsecondary education system, helping to meet the goal of all program graduates being college- and career-ready and the President's 2020 goal of the United States becoming the top Nation in college graduation and completion.

The \$15 million set-aside to support the Workforce Innovation Fund (WIF) will be jointly administered by the Departments of Education and Labor. The WIF would provide an opportunity to work across program and Agency lines, as well as to encourage partnerships among State, local, and private entities, in order to identify the most promising approaches for improving the delivery of services and achieving better basic skills and employment outcomes of individuals, particularly those from the most vulnerable populations, served under WIA, the Rehabilitation Act, or the Wagner-Peyser Act.

WIF funds would be dedicated primarily to bold systematic reforms initiated by States, regions, and localities in order to produce better employment and education outcomes at a lower cost and would also be used to evaluate the effectiveness of those reforms in meeting the goals. Grants would be competitively awarded to States that are willing to undertake bold reforms, more effectively link training to employers' needs, and establish the data, reporting, and funding systems needed to ensure that programs are fully accountable for the employment and education outcomes they produce—including for individuals with disabilities and other individuals with barriers to employment. In order to encourage applicants to propose innovative ideas and

CAREER, TECHNICAL, AND ADULT EDUCATION

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facilitate substantial changes in service delivery, the Administration is requesting authority to waive statutory and regulatory requirements relating to WIA, the Rehabilitation Act, and the Wagner-Peyser Act. Waivers would be granted only when they are necessary for project implementation, and this additional flexibility would be accompanied by requirements for accountability and plans for rigorous evaluation.

The Administration developed an AEFLA reauthorization proposal in 2010 and continues to work with the Department of Labor, OMB, the Domestic Policy Council, and Congress towards a reauthorization of WIA that streamlines service delivery, ensures the engagement of workforce and adult education providers with employers within regions and workforce sectors, strengthens accountability requirements, and promotes innovation while replicating best practices. Specifically, the Administration's adult education proposal would:

- Improve the coordination and integration of WIA programs administered by the Departments of Labor and Education by requiring States to complete a comprehensive needs assessment of adult job seekers without a high school diploma and to work toward implementing a shared accountability system that covers job training and adult education programs.
- Require each State to develop rigorous content standards and aligned assessments for their adult education programs that reflect accepted standards for college- and career-readiness and require the State, in making subgrants or entering into contracts with eligible providers, to consider the provider's ability to implement programs aligned with these standards.
- Enhance the current accountability system by requiring the Secretary to establish indicators and levels of performance that emphasize educational outcomes and workforce-readiness skills, and providing the Secretary with the authority to hold States accountable for making progress against these indicators.
- Require States to assess the quality of the adult education teaching workforce in their States and to take actions to improve that quality by setting higher standards for individuals teaching in adult education programs (and those who supervise volunteers) and by working with colleges and institutions to improve the quality of preparation of adult educators.
- Codify in the authorization the existing English Literacy and Civics program, which is currently authorized under annual appropriations language. Services would address the needs of immigrant and other limited English proficient adults, including high-skilled immigrants with degrees and credentials in their native countries.
- Include the development and implementation of career pathways programs as a required State-level activity and an authorized use of funds at the State and local levels. The National Leadership Activities authorization would also include a new provision to allow the Secretary to make competitive grants to eligible agencies to develop or enhance career pathways programs in States.
- Require that States expend a minimum of 10 percent of their allocations on programs for incarcerated and other institutionalized individuals (pre- and post-release). As noted in the

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program description, current law specifies that States spend no more than 10 percent of their allocations on this population.

The Administration strongly supports States investing more in educational services to individuals who have been incarcerated or have recently left correctional institutions. States often provide only a minimal level of educational services to those individuals, but these services can be essential to enabling their successful reentry into society once released from incarceration and in reducing recidivism rates. One estimate is that 39.9 percent of incarcerated adults lack a high school diploma compared to 14.6 percent of the general adult population. The Administration's WIA proposal supports the Administration's larger goal of improving prisoner reentry outcomes and reducing rates of recidivism among this high-need population.

PROGRAM OUTPUT MEASURES (dollars in thousands)

<u>Measures</u>	<u>2011</u>	<u>2012</u>	<u>2013</u>
Adult basic and literacy State grants	\$510,822	\$509,856	\$494,856
Range of awards to States	\$245-\$72,826	\$247-\$74,428 ¹	\$243-\$72,186 ¹
Number of participants (estimated)	2,522,007	2,517,239	2,443,179
English literacy and civics education State grants	\$74,850	\$74,709	\$74,709
Range of awards to States	\$60-\$16,939	\$60-\$16,506 ¹	\$60-\$16,506 ¹
Number of participants (estimated)	254,052	253,572	253,572
Incentive grants (maximum)	\$10,448	\$10,428	\$10,428
Workforce Innovation Fund	0	0	\$15,000

¹ Grant estimates for 2012 and 2013 assume formulae under current law.

PROGRAM PERFORMANCE INFORMATION

Performance Measures

This section presents selected program performance information, including, for example, GPRA goals, objectives, measures, and performance targets and data; and an assessment of the progress made toward achieving program results. Achievement of results is based on the cumulative effect of the resources provided in previous years and those requested in fiscal year 2013 and future years, and the resources and efforts invested by those served by this program.

The Adult Education and Family Literacy Act identifies three core indicators that must be used to assess State performance. These are: (1) demonstrated improvements in skill levels in

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reading, writing, and speaking English; numeracy and problem-solving; English language acquisition, and other literacy skills; (2) placement in, retention in, or completion of postsecondary education, training, unsubsidized employment, or career advancement; and (3) receipt of a secondary school diploma or a recognized equivalent. The statute requires that the Department report annually to Congress on State performance; the Department's most recent report, released in January 2011, provided 2007-08 State data on the performance of all adult education students on each of the indicators. In addition to the statutory indicators, the Department is collecting data for two other measures, described below.

Goal: To support adult education systems that result in increased adult learner achievement in order to prepare adults for family, work, citizenship, and future learning.

Objective: *Provide adult learners with opportunities to acquire basic foundation skills (including English language acquisition), complete secondary education, and transition to further education and training and to work.*

Measure: The percentage of adults in Adult Basic Education programs who acquire the level of basic skills needed to complete the level of instruction in which they enrolled.

Year	Target	Actual
2008	44	39
2009	46	40
2010	48	40
2011	50	
2012	52	
2013	54	

Additional information: States report data annually against the core indicators required under the statute. The most recent State-reported student outcomes are from the 2009-10 school year.

Measure: The percentage of adults enrolled in English literacy programs who acquire the level of English language skills needed to complete the levels of instruction in which they enrolled.

Year	Target	Actual
2008	42	39
2009	44	41
2010	46	44
2011	48	
2012	50	
2013	52	

Additional information: States report data annually against the core indicators required under the statute. The most recent State-reported student outcomes are from the 2009-10 school year.

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Measure: The percentage of adults with a high school completion goal who earn a high school diploma or recognized equivalent.

Year	Target	Actual
2008	53	62
2009	54	64
2010	55	52
2011	56	
2012	57	
2013	58	

Additional information: States report data annually against the core indicators required under the statute. The most recent State-reported student outcomes are from the 2009-10 school year. The significant decrease in 2010 is likely due to a reporting error in one large State. The Department has contacted the State for clarification and the State's data team is investigating the cause.

Measure: The percentage of adults with a goal to enter postsecondary education or training who enroll in a postsecondary education or training program.

Year	Target	Actual
2008	39	55
2009	41	59
2010	43	60
2011	45	
2012	47	
2013	49	

Measure: The percentage of adults with an employment goal who obtain a job by the end of the first quarter after their program exit quarter.

Year	Target	Actual
2008	41	61
2009	42	55
2010	42	48
2011	43	
2012	43	
2013	44	

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Measure: The percentage of adults who retain employment in the third quarter after exit.

Year	Target	Actual
2008	66	69
2009	66	65
2010	68	59
2011	70	
2012	70	
2013	70	

Additional information: States report annually on three of the common job training common measures. States have consistently exceeded the targets for two of these measures. The third measure was added in 2006. The recent increase in adults entering postsecondary education and training as well as the decrease in adults obtaining and retaining employment may be related to the economic downturn.

Efficiency Measures

The Department developed two efficiency measures for the Adult Education State Grants program. The first measure, annual cost per participant, was established under the Federal Government's common performance measures initiative for job training programs, and the Department has collected sufficient data to report this measure through the National Reporting System. The second measure, cost per student learning gain, captures the average Federal cost for a student to advance to at least the next educational level in an Adult Education program or to earn a high school diploma or General Educational Development (GED) credential.

Measure: The annual Federal cost per participant.

Year	Target	Actual
2008	\$215	\$227
2009	215	
2010	215	
2011	215	
2012	215	
2013	250	

Additional information: This measure reflects the average annual Federal cost per participant for Adult Education programs. Data do not include State and local resources, which account for a large proportion of Adult Education funds. Because funds are available for 27 months, States will report fiscal year 2009 costs by February 2012. Given the increase in the cost of providing services to adult learners over the past 10 years, the Department has adjusted the targets for future years.

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Measure: The annual Federal cost per student learning gain or high school diploma/GED attainment.

Year	Target	Actual
2008	\$407	\$479
2009	407	
2010	407	
2011	407	
2012	407	
2013	512	

Additional information: This measure examines the annual Federal cost for Adult Education students who advance to at least the next higher educational level or who attain a high school diploma or GED certificate. However, because funds are available for 27 months, States will report fiscal year 2009 costs by February 2012. Given the increase in the cost of providing services to adult learners over the past 10 years, the Department has adjusted the targets for future years. However, as improved assessment and scientifically based curricula are implemented in more Adult Education programs, the cost per learning gain or high school/GED attainment may decrease.

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(Adult Education and Family Literacy Act, section 243)

(dollars in thousands)

FY 2013 Authorization: To be determined¹

Budget Authority:

	<u>2012</u>	<u>2013</u>	<u>Change</u>
	\$11,302	\$11,302	0

¹ The GEPA extension expired September 30, 2008. The President's FY 2013 budget proposes authorizing this program through appropriations language pending enactment of reauthorizing legislation for FY 2013.

PROGRAM DESCRIPTION

Adult Education national leadership and evaluation activities, as authorized under the Adult Education and Family Literacy Act (AEFLA), address major policy priorities in adult education, including program improvement, accountability, professional development, and increasing access to learning opportunities for adults. Under this authority, the Department supports applied research, development, dissemination, evaluation, and program improvement activities to assist States in their efforts to improve the quality of adult education programs. Examples of these activities include: evaluations of the effectiveness of adult education programs, training institutes, national and international adult literacy surveys, and technical assistance on using technology to improve instruction.

This is a forward-funded program. Funds become available for obligation from July 1 of the fiscal year in which they are appropriated and remain available through September 30 of the following year.

Funding levels for the past 5 fiscal years were as follows:

	(dollars in thousands)
2008	\$6,878
2009	6,878
2010	11,346
2011	11,323
2012	11,302

FY 2013 BUDGET REQUEST

For fiscal year 2013, the Department requests \$11.3 million for National Leadership Activities, the same as the fiscal year 2012 level. The request would fund the first year of the program's

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operation under a reauthorized Adult Education and Family Literacy Act, Title II of the Workforce Investment Act.

The 2013 request would support activities designed to upgrade the skills and effectiveness of adult educators in teaching English language content and skills to adult learners, with particular emphasis on adults working to complete a high school diploma or equivalent, adults learning English, and adults with learning disabilities. Funds would also be used to continue to support States in implementing the Adult Education State Grant program's uniform data collection and accountability system, including by providing assistance on using data for program improvement. New investments would include activities to support the development of consistent State-level college- and career-ready standards for adult education programs.

With the elimination in 2010 of the National Institute for Literacy (NIFL), the Department has taken over a few of NIFL's priority activities and consolidated them, as appropriate, with Adult Education National Leadership Activities. The Department recognizes the need for a strong, centralized effort to improve research, dissemination, and technical assistance for adult education and literacy programs. Activities that the Department is carrying out include:

- The *Literacy Information and Communications System (LINCS)*, which served as NIFL's primary vehicle for collecting and disseminating resources to the adult literacy field. The Department has continued support for LINCS, which includes a resource collection, regional professional development centers, and the development of a technology infrastructure to support the collection, maintenance, and dissemination of resources previously undertaken by NIFL. A new cohort of grantees and contractors to implement LINCS was announced in September 2011.
- A *National Adult English Language Learning Professional Development Network*, also known as English Language Learning University (ELLU), to help States address the challenges of improving the adult English language instructional workforce. The capacity of State agencies to support teacher quality in adult English language learning varies considerably across the States. ELLU identifies, enhances, and develops resources that support teacher development and, in so doing, helps upgrade the quality of English language instruction for adult learners. ELLU coordinates closely with LINCS to ensure the efficient dissemination of materials.
- *Designing Instruction for Career Pathways*, to assist State and local adult education providers in developing and delivering sector-specific "bridge" or integrated education and training (IET) classes that help low-skilled adults progress on a career pathway and transition to postsecondary education. In addition to developing and disseminating a range of "how to" professional development materials in the area of IET, the project is also assembling a collection of extant course materials and making them available for adaptation or use nationally. The project supports implementation of these career pathways courses by establishing and nurturing an extensive, nationwide community of practice that uses social networking information technologies.
- Expansion on prior investments in standards-based educational reform in adult education by supporting State and local adult educators' efforts to develop or adopt and implement

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rigorous college- and career-ready standards that can both strengthen pathways to postsecondary education and promote work-readiness. This activity will support the development of processes for validating rigorous college- and career-ready standards for use in adult education and will continue to provide professional development that helps teachers use content standards to guide instruction and assessment.

- *Promoting Teacher Effectiveness in Adult Education*, a project to identify the research base, in both K-12 and adult education, and current practice in terms of States' use of teacher performance standards and teacher induction systems. The project will create model teacher performance standards and a teacher induction model as well as a toolkit of resources to support implementation of the standards. Additionally, the project will analyze data from several States and the National Reporting System (NRS) to inform the understanding of the relationship between teacher and learner characteristics and student achievement in adult education.
- Investments to improve the quality of the adult education teaching force, including the *Student Achievement in Reading (STAR)*, *Teaching Excellence in Adult Literacy (TEAL)*, and *Learning to Achieve (L2A)* projects. STAR continues to help adult educators expand their capacity to provide high-quality, evidence-based reading instruction. TEAL is helping adult educators to better understand how to apply such evidence-based strategies as explicit strategy instruction, differentiated instruction, and self-regulated learning for writing instruction. L2A is helping adult educators to improve their ability to better serve adults with learning disabilities in both educational and workplace settings. Each of these projects, like ELLU, coordinates with LINCS in order to optimize dissemination of materials.

PROGRAM OUTPUT MEASURES (dollars in thousands)

<u>Measures</u>	<u>2011</u>	<u>2012</u>	<u>2013</u>
National dissemination system (LINCS)	\$3,211	\$3,270	\$3,250
Adult English language learning professional development network	609	670	670
Designing instruction for career pathways	1,074	1,074	1,079
Support for standards-based education	788	788	800
Investments to improve teacher quality	2,155	2,100	2,100
Additional technical assistance	3,486	3,400	3,403

PROGRAM PERFORMANCE INFORMATION

Performance Measures

This section presents selected program performance information, including, for example, GPRA goals, objectives, measures, and performance targets and data; and an assessment of the progress made toward achieving program results. Achievement of program results is based on the cumulative effect of the resources provided in previous years and those requested in fiscal year 2013 and future years, and the resources and efforts invested by those served by this program.

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Goal: To support research, evaluation, information dissemination, and other activities to help States improve adult education and literacy programs.

Objective: To support adult education systems that result in increased adult learner achievement in order to prepare adults for family, work, citizenship, and future learning.

Measure: The percentage of States submitting high-quality learner assessment data under the National Reporting System (NRS).

Year	Target	Actual
2008	100	88
2009	100	88
2010	100	92
2011	100	
2012	100	
2013	100	

Additional information: The targets have not been met for this measure, although 52 of 57 States, including DC, Puerto Rico, and the Outlying Areas, now report high-quality data. Through National Leadership Activities, the Department offers technical assistance and guidance designed to help all States meet high standards for the collection and reporting of these data. The program office has developed a data quality review process for States based on the Department's "Standards for Evaluating Program Performance Data." This process leads to a determination of whether each State has submitted high-quality learner assessment data.

Other Performance Information

Beginning in 2008 the Department, in collaboration with the National Institute of Child and Human Development, supported a study of adult and adolescent research through the National Academies of Science. The resulting report, *Improving Adult Literacy Instruction: Options for Practice and Research*, explores in depth the factors that affect literacy development in adolescence and adulthood and examines the implications for strengthening literacy instruction for those populations. The report covers such topics as technologies that can assist with multiple aspects of teaching, assessment, and accommodations for learning; use of evidence-based practices and professional development; improving learner persistence through the use of technologies, social service support, and incentives; and, improved coordination of program improvement, evaluation, and research. The final report along with companion documents that can be used by practitioners will be released in May 2012.

The Department is continuing discussions on the development of an adult education research agenda that would enhance systemic capacity at the Federal, State, and local levels so as to expand the body of knowledge available for the adult education and literacy field. Findings from an interagency panel that addressed Executive Order 13445, "Strengthening Adult Education," and a U.S. Government Accountability Office study on ESL students focused on the importance of a coordinated research function across all Federal agencies in order to maximize scarce resources. IES held a competition in fiscal year 2011 for a National Research and Development Center on Cognition and Adult Literacy, which closed at the end of September 2011. This center

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will gather evidence on the cognitive processes that underlie adult acquisition of literacy and/or numeracy and use the evidence to develop and test instructional approaches for adult learners. Depending on the quality of the applications received, IES would award a grant for the new center in the third quarter of 2012.