



**Adult Education
Coordination and Planning**

Final Report: Shared Goals, Common Ground: State and Local Coordination and Planning to Strengthen Adult Basic Education Services

June 2009

**Prepared for the U.S. Department of Education,
Office of Vocational and Adult Education
under Contract ED-01-CO-0093, Task Order No. 0003**

**Prepared by:
Judith A. Alamprese
Abt Associates Inc.**

Table of Contents

Preface	ii
Executive Summary.....	iii
I. Introduction.....	1
II. Planning and Coordination Models Guiding AECAP Demonstration.....	4
III. AECAP Project Design and Methods.....	12
IV. Training and Technical Assistance: Activities and Lessons Learned	20
V. Findings from State-Level Coordination	27
VI. Findings from Local Pilot Site Activities.....	29
VII. Conclusions.....	40
References	47

Preface

This document is the final report from the Adult Basic Education State Delivery System Strategic Planning and Service Provision Demonstration Project, also known as the Adult Education Coordination and Planning—AECAP project. Abt Associates Inc. conducted the project under funding from the U.S. Department of Education, Office of Vocational and Adult Education, Contract Number ED -01-CO-0093, Task Order No. 0003 during 2003-2008. The AECAP demonstration tested processes for state and local planning and interagency coordination as a way of facilitating the expansion and quality of adult education and workforce services. The AECAP project involved state adult education staff and partner agency staff in six states—Arizona, Florida, Georgia, Maryland, Missouri, and Washington, and local service providers from two cities in each state.

The demonstration activities undertaken in the AECAP project would not have been possible without the cooperation and gracious support from the state officials and local program providers who were part of the project. Their time and effort to participate in AECAP's training and technical assistance activities, try new processes, and carry out their out state and local demonstrations is very much appreciated.

Throughout AECAP, the project team benefitted from the advice of Cheryl Keenan, Daniel Miller, and Trudy Turner from the U.S. Department of Education's Office of Vocational and Adult Education. Thanks are given to these individuals for their assistance and recommendations. The members of AECAP's Technical Working Group also provided suggestions and reviewed the draft final report. Thanks are given to David Alexander, Jane Radunzel, Suzanne Teegarden, Thomas Owens, and Mary Weaver for their contributions.

The members of Abt Associates Inc.'s team who conducted the AECAP project are : Judith A. Alamprese, the project's director, Margaret Gwaltney, Daphne Garcia, Stephen Robblee, Roberta Pawloski, and J. Ronald Harrison.

The findings and conclusions reported in this document are those of the author and do not reflect the official position or policies of the U.S. Department of Education.

Executive Summary

The Adult Basic Education (ABE) State Delivery System Strategic Planning and Service Provision Demonstration Project, also known as the Adult Education Coordination and Planning—AECAP project, was conducted by Abt Associates Inc. under funding from the U.S. Department of Education’s Office of Vocational and Adult Education. The AECAP project was a demonstration program whose goal was to develop and test processes for state and local planning and interagency coordination to facilitate the expansion and quality of adult education and workforce services. This final report describes the planning processes and technical assistance activities that were conducted during the project, and the state and local coordination models that resulted from these activities.

Six demonstration states participated in the AECAP project: Arizona, Florida, Georgia, Maryland, Missouri, and Washington. Four of these states (FL, MD, MO, and WA) focused on coordination between adult education and workforce development, and two states (AZ, GA) concentrated on the improvement of ABE services. The state partners represented in the state demonstration sites were adult education, labor, human services, K-12 education, and juvenile justice. Each of the demonstration states had two local pilot sites that participated in the project.

AECAP Project Design and Methods

The AECAP team’s approach to implementing a demonstration project was to select state demonstration sites using a set of criteria that related to the variety of activities that states would conduct during the demonstration. The state selection process involved states’ submission of an application form and the AECAP team’s conduct of telephone interviews with the applicant states’ adult education directors to confirm their eligibility for the project. The AECAP team provided ongoing training and technical assistance that took into account the types of expertise that would be beneficial to states and local pilot sites. The team conducted a series of workshops for state and local demonstration sites to prepare sites to use the project’s planning processes and to assist them in learning about strategies for coordination and communication. They also provided ongoing technical assistance to facilitate states’ use of the processes being tested in the project and to guide their development and implementation of local service models.

Findings from State-Level Coordination

The state adult education staff and their state partners in the AECAP project used the AIDDE© planning process to analyze data and program practices to identify an area of service that could benefit from their coordinated activities. The partners worked together to support local pilot

sites in their development of service models in the areas identified by the state. The outcomes from the state partners' coordination were:

- 1) A database with data elements for reporting Workforce Investment Act (WIA), Title I outcomes and selected data elements for WIA, Title II, which ABE programs and One-Stop providers could use to track clients' referral to each others' services and clients' use of these services;
- 2) An ESOL curriculum in Customer Service Training that can be used nationally in ABE programs and One-Stop Centers and that serves as a model in the state for other curricula that integrate ESOL and occupational training; and
- 3) A statewide professional development system for program improvement for ABE that was adapted from the K-12 system. As a result of the intra-agency coordination, the ABE partner has a refined professional development system that can serve all ABE programs, and the K-12 partner has increased the number of participants using its professional development system.

Findings from Local Pilot Sites

The AECAP pilot sites used the AIDDE© process to analyze their local data and current practices to identify new or expanded practices that they could develop and test. Nine of the 12 local pilot sites in the AECAP project involved adult education staff working with their partners to develop coordinated service models, which are the following:

- Cross-referral of clients between ABE programs and One-Stop Centers (three sites);
- Targeted instructional services for specific ABE populations (three sites); and
- Provision of integrated ABE/ESL and occupational courses as a pathway to employment or postsecondary technical training (three sites).

The pilot sites developed processes and materials in their demonstration activities and conducted an initial test of these processes by collecting outcome data from clients. Of the two pilot sites that conducted client pre-post assessments, both sites' gains were statistically significant.

Three of the AECAP sites focused on using the AIDDE© process to identify areas of their programs' services that they could improve. One of the pilot sites implemented a reading

program, and the gains achieved by clients participating in this program were statistically significant. The other two pilot sites conducted extensive data collection and analysis to identify the types of improvements that were needed in their programs' services. These sites prepared program improvement plans as their products from the AECAP project.

Findings on Sites' Use of the AIDDE© Process

The analysis of information in the AECAP evaluation indicated that, overall, the pilot sites were able to use the AIDDE© process in planning and implementing activities with partners that expanded the types of clients they served or the quality of the services that they provided. One indicator of the pilot sites' use of the AIDDE© process was the extent to which the pilot sites' AECAP Final Plan was implemented as designed. The comparison between the pilot sites' AECAP Final Plan and the activities that the sites implemented as part of their AECAP project revealed that the 11 pilot sites that completed the AECAP project had implemented their Final Plans essentially as they were designed. Some of the sites made adjustments to their planned activities as they obtained new information about clients or as conditions in their agencies or in the community changed that required an alteration in activities. For two of the pilot sites whose ABE program director changed during the early part of the pilot site demonstration, some of the planned activities had to be modified to fit with new priorities that were set in the agency in which the ABE program was located. At another pilot site, adjustments had to be made in the order of the activities that were undertaken when the ABE director identified that a key factor affecting the ABE program's capacity to coordinate with the One-Stop Center was the relationship between the ABE program and the workforce division in the community college where the ABE program was located. The ABE program needed to coordinate with the workforce division within the college in order to be able to work with the One-Stop Center.

Another indicator of the pilot sites' capacity to use the AIDDE© process was the poster presentation that each pilot site gave at the final AECAP workshop. The sites were asked to complete a written poster using the steps in the AIDDE© process and to describe the process and outcomes of their pilot activities. By the end of the project, the 11 pilot sites that completed the project were able to organize information about their projects so that it corresponded to the steps in the AIDDE© process. They also were able to articulate the processes they used to examine data and to make decisions about the level of clients to serve and the types of activities they would offer to address these clients' needs. Overall, the pilot sites were able to use the AIDDE© process to identify an issue that was important to both partners and that was substantiated by data. Furthermore, the partners could work together in developing and carrying out a new service for clients to address the issue that they had identified in the project.

The information gathered through discussions during the site visits, telephone conferences, and AECAP workshops provided insights about the factors that affected pilot sites' use of the AIDDE© process. These factors are:

- **Extent of Prior Relationship.** Six of the eight local pilot sites focused on coordination between ABE and One-Stop did not have a working relationship with their partners at the beginning of the AECAP project. For these individuals, the AECAP State and Local Partner Workshop was the first opportunity for pilot site partners to get to know each other and the services each provided. It took time for partners to build a relationship so that they could work together in reviewing data, identifying a target population for coordinated services, and developing these services.
- **Quality of Pilot Site Data:** Local pilot sites were asked to bring to their first AECAP workshop data about their clients, such as background characteristics, goals for participating in ABE program, education and employment outcomes, and other relevant data related to the issue the state had identified as the focus of the pilot sites' activities. The first workshop exercise in the AIDDE© process is to analyze client and program data, and many of the pilot sites found that their data were incomplete or incorrect as they attempted to complete the exercise. Furthermore, some sites had not brought the appropriate data and thus were not able to conduct the analysis part of the exercise. While the quality of pilot sites' data affected their ability to complete the analysis component of the AIDDE© process, this problem prompted state staff to examine their states' databases and work with sites to identify appropriate data that could be used to identify learner and program issues.
- **Experience in Reviewing and Interpreting Data.** An important part of the AIDDE© process is to identify trends in data and to interpret the implication of these trends for the types of clients that are recruited and the services that are delivered. The pilot site staff varied in their experiences in reviewing and interpreting client data. For some pilot site staff, the AECAP workshop was their first opportunity to spend a focused time reviewing data, drawing initial conclusions about the data, and relating these conclusions to possible next steps in developing a coordinated service. Staff's familiarity with this process affected the time it took for them to complete the process and to plan coordinated activities.
- **Expertise in Developing New Services.** The component of the AIDDE© process that is the most complex is the development and delivery of services to address the problem that is identified from the analysis of data and current practices. Six of the eight pilot sites whose AECAP plan involved the development of new services had limited

experience in writing curricula or designing structured processes such as referring clients from one service to another. As a result, these pilot sites developed and revised several iterations of materials and processes before the services were ready to be pilot tested.

These factors partially accounted for the elongated time it took the pilot sites to conduct their activities in the AECAP project. While one assumption guiding the project was that the local pilot sites would be able to complete the analysis and initial planning steps of the AIDDE© process during the first workshop, as a result of the factors described above pilot sites had additional analysis and planning work to carry out after the workshop. As the sites gathered additional data, made adjustments in the data they had brought to the workshop, and determined a focus for their coordinated service, they were able to move ahead in using the AIDDE© process.

Sites' Use of Coordination, Communication, and Persuasion Strategies

During the AECAP workshops for states and local pilot sites, participants learned about the strategies that they might use to develop or strengthen their partnerships. Through the AECAP team's discussions with state and local pilot site staff during the site visits, telephone conferences, and AECAP workshops, project participants provided numerous examples of the ways in which these principles of coordination and communication helped to explain the success they were having in carrying out their activities, in strengthening their partnerships, or addressing challenges in the project. Examples from the states and pilot sites' applications of the coordination strategies are the following:

- **Conditions for Building Partnerships.** In Missouri, the state partners had worked together for many years and saw the AECAP project as an opportunity to carry out a new initiative together. The history of cooperation between the state partners enabled them to negotiate in adjusting the Division of Workforce Development's Toolbox database to incorporate key data elements from the ABE program database, and in pilot testing the use of Toolbox at the local ABE programs and the Career Centers to facilitate the tracking of the cross-referral of clients between the ABE programs and the Career Centers.
- **Forming Partnerships.** Developing a shared vision with agreed-upon objectives and a strategy for meeting these objectives is a key element of forming a partnership. In St. Augustine, Florida, the ABE partner—First Coast Technical Institute and the One-Stop partner—St. Augustine WorkSource, were new partners who worked to develop a service that could meet both organization's needs to increase clients' performance

outcomes. The partners examined their data and past practices and determined that a GED work readiness class that was taught by the ABE partner's staff and held at the WorkSource location would be a reasonable pilot activity for the AECAP project. The ABE partner's GED instructor coordinated with the WorkSource staff in carrying out activities for the pilot and the staff from both organizations were able to have a successful implementation due, in part, to their willingness to set objectives for the pilot project and to be persistent in carrying out activities to meet these objectives.

- **Structuring Coordination.** Developing strategies to focus and foster coordination between partners is a key factor for a successful partnership. All of the AECAP pilot sites reported that the monthly phone conferences facilitated by the AECAP team were instrumental in keeping the pilot sites focused, and provided structure to the pilot sites' participation in AECAP. Since implementing a pilot test that involved two organizations was a new experience for all of the pilot sites, the monthly telephone calls promoted ongoing communication between the partners to prepare for the calls and to follow up after the calls. The calls also encouraged many of the partners to meet in one location for the call. As the Yakima, Washington partners reported, the AECAP calls helped to keep the project on track and provided a structure for the partners' communication.
- **Developing Interpersonal Relationships.** A number of the local pilot sites worked to ensure that the benefits of their partnership outweighed the costs of being a partner. During the telephone conferences that the AECAP team facilitated with local pilot sites, the conversation among partners illustrated their flexibility in negotiating activities to keep a balance in the partnership between the benefits obtained from undertaking new or expanded activities and the costs associated with the time it took to conduct the activities. In Auburn, Washington, the ABE partner was able to provide assistance to the One-Stop partner in assessing Temporary Assistance to Needy Families (TANF) clients' basic skills as part of the state's Comprehensive Evaluation initiative in which all TANF clients were to be assessed and have a plan developed for their education and training. This activity provided the ABE partner with an opportunity to work with Employment Services staff and provide information about the ABE program. As a result, Employment Services began to refer clients to the ABE program.
- **Communicating.** Open and frequent communication is a key element in a successful partnership. For the local pilot sites with new partners, it took time to develop patterns of communication and a process for addressing challenges. In Liberty County, Georgia, the ABE provider worked with the Army Education Center at Fort Stewart to offer customized math classes to supplement the instruction that soldiers were receiving

through the U.S. Army's Functional Academic Skills Training (FAST) programs. The ABE coordinator and the Army Education Center liaison established a process for sharing information about the soldiers' progress in the math class and readiness for taking the General Technical test. Their ongoing discussions also facilitated the referral of new soldiers into the ABE program's math class and enabled the coordinator and liaison to address issues about soldiers' participation in the classes in an efficient and effective manner.

- **Accessing Resources.** The availability of sufficient funds and materials to carry out the activities of the partnership is essential to its success. The Maryland Department of Education state partner greatly facilitated the partnership between Montgomery College—the ABE partner and Montgomery Works—the One-Stop partner by funding additional staff to work on the partners' AECAP activity in pilot testing and refining the Customer Service curriculum for ESOL adult learners. The support provided for additional staff strengthened the partnership and enabled the pilot site to complete its activities.

Lessons about Demonstration Programs

The AECAP project provided a number of lessons about processes for implementing a national demonstration project in adult basic education that involves state and local sites. These lessons are the following:

- **Application Process.** The AECAP team's identification of states for the project provided lessons about the use of an application process for selecting states for a national demonstration and for states' selection of local pilot sites for a state demonstration. One lesson is that the written application should include information related to the organizational conditions and personal characteristics that will be needed for the successful implementation of the demonstration project. To supplement the information in a written application, sometimes a telephone interview should be conducted with key state or local staff to gather additional information on topics that are difficult to describe in a written application. Examples of these topics are the alignment between the state's purpose for participating in the demonstration and the goal of the demonstration project; and the willingness of the candidate to participate in the activities that will be conducted during the demonstration project.
- **Selection of Local Pilot Sites.** National and state demonstration projects often involve local pilot sites. Criteria should be set for selecting local pilot sites, which include the staff characteristics and program characteristics that will facilitate the implementation of the pilot site's activities. Staff at a pilot site should have: the skills and knowledge that

are needed to carry out the pilot site's activities, sufficient time to conduct the activities, and the motivation and interest to participate as a pilot site. Examples of program characteristics that might be considered in pilot site selection are the quality of the program's database, the size of the programs, and the range of clients that it serves. These characteristics will vary depending on the activities that the pilot site is to undertake.

- **Project Model and Planning Phase.** The use of a specific model or process will help guide demonstration activities and allow for a comparison across sites. Training will be needed to prepare demonstration sites for using a model or process. After the training, sufficient time should be allocated for the state site and local pilot sites to develop a draft and final plan for the activities that they will conduct in the demonstration. While technical assistance will likely be needed by states and local pilot sites in their preparation of plans, the final plan should be prepared independently by the sites. This process will promote sites' commitment to carrying out the plan, and the plan can be used as a baseline for assessing the activities and outcomes from the demonstration.
- **Orientation of Replacement Staff.** Key state and local staff often change during a demonstration project, and sometimes these changes can influence the success of a project. New key staff should be oriented to the demonstration as soon as feasible so that the continuity of the demonstration's activities is not disrupted. These staff also will need time to determine how the demonstration can fit into their vision of services and what the benefits are of participating in the demonstration.
- **Provision of Technical Assistance.** The technical assistance provided to a demonstration project should be multifaceted, ongoing, and focus on the aspects of the demonstration that are the most difficult to implement. For example, when demonstration sites are implementing new activities that they do not usually conduct, such as planning and coordination, it is likely that technical assistance will be needed to guide these activities. Telephone conferences can be an effective method for providing assistance when an agenda is set prior to the call; the topics, issues, and decisions discussed during the call are documented and sent to the sites after the call; and the expectations for the activities that will be conducted prior to the next call are discussed. The documentation of the telephone discussion also can serve as implementation data. Site visits can be used to provide technical assistance when face-to-face discussions are needed to address critical issues or to determine the activities that can be implemented in the demonstration.

I. Introduction

Coordination between local adult education and workforce agencies serving undereducated and economically disadvantaged adults is the linchpin in delivering effective services that can enable adults to develop their basic skills and succeed in the workplace. Adults seeking to improve their basic skills in adult education programs often have a goal of obtaining employment and can benefit from job readiness, job search, or job placement services that are offered at a One-Stop Center. Unemployed adults who utilize job search or job placement services at a One-Stop Center may need to strengthen their basic skills to obtain their desired job. Local agencies' capacities to work together in identifying the multiple needs of their client populations and develop and deliver coordinated services that can address these needs are critical to clients' success.

An important influence on the operation of local adult basic education and workforce services is the state agencies that fund these services. Coordination among adult education, workforce development, and other state agencies concerned about undereducated and economically disadvantaged adults can facilitate the delivery of quality services at the local level and the number of clients who access these services. A well-organized adult education and workforce system is coordinated at the state level, at the local level, and between the state and local levels.

During 2003-2008, Abt Associates conducted the "Adult Basic Education (ABE) State Delivery System Strategic Planning and Service Provision Demonstration Program" project, also known as the Adult Education Coordination and Planning—AECAP Project. Funded by the U. S. Department of Education, Office of Vocational and Adult Education, the AECAP project had three purposes:

- Develop and test processes for state and local planning, leadership development, and interagency coordination to facilitate the expansion of adult education and workforce services;
- Identify factors that underlie successful state and local activities in strategic planning, leadership development, and interagency coordination; and
- Assess the outcomes from planning and coordination at the state and local levels.

The AECAP project began in the sixth year of the implementation of the Workforce Investment Act (WIA) of 1998 (Public Law 105-220). WIA requires that agencies responsible for adult basic education and workforce development work jointly on efforts to assist underemployed and

unemployed adults. In practice, interagency coordination at the state and local levels has received limited attention since the inception of WIA. The AECAP project was conceived to design and demonstrate partnership activities among agencies in order to understand the factors that promote and sustain interagency coordination. With the upcoming reauthorization of WIA, the lessons from the AECAP are timely and important for guiding state and local leaders in adult education and workforce development on strategies for enhancing their coordination.

The AECAP demonstration project involved six states and 12 local pilot sites. The goals of the demonstration activities were to provide state adult education policymakers with skills and knowledge to expand their resources, work collaboratively with other state policymakers whose programs serve undereducated and economically disadvantaged adults, and enhance the capabilities of local adult basic education programs and their partner agencies to work together effectively. The six demonstration states that participated in the project are: Arizona, Florida, Georgia, Maryland, Missouri, and Washington. Four of these states (FL, MD, MO, and WA) focused on coordination between adult education programs and One-Stop Centers, and two states (AZ and GA) concentrated on the overall improvement of ABE services. The state agencies represented in the state sites were adult education, labor, human services, K-12 education, and juvenile justice. Each of the demonstration states had two local pilot sites that participated in the project. The list of the demonstration states, local pilot sites, and the focus of the pilot sites' AECAP activities is presented in Exhibit 1.

This report presents the activities that were conducted as part of the AECAP project and the results from these activities. Discussed in the report are:

- Three processes that the AECAP team used to guide the training and technical assistance that was provided to state and local demonstration sites: the AIDDE© planning process, lessons from the implementation of demonstration projects, and research-based strategies for coordination, interpersonal communication, and persuasion;
- Training and technical assistance activities the project conducted for state and local demonstration sites;
- State partners' activities in supporting local demonstration sites' development of services, and the state-level coordination efforts in three state sites;
- Eight local pilot sites' development of three service models involving coordination with local partners, and three pilot sites implementation of program improvement activities; and

- Conclusions about the results from the AECAP project’s activities.

Exhibit 1
Demonstration States and Local Pilot Sites Participating in AECAP Project

Demonstration State	State Partners	Program Model / AECAP Focus	Local Pilot Sites
Arizona	<ul style="list-style-type: none"> • Arizona Department of Education: Adult Education & Professional Development Leadership Academy 	Program Improvement	<ul style="list-style-type: none"> • Cochise College • Northland Pioneer College
Florida	<ul style="list-style-type: none"> • Florida State Department of Education • Agency for Workforce Innovation 	Targeted Services for ABE Populations/ Cross-Referral of Clients between Adult Education and One-Stop Centers	<ul style="list-style-type: none"> • Florida Community College at Jacksonville & Jacksonville WorkSource • First Coast Technical Institute & St. Augustine WorkSource
Georgia	<ul style="list-style-type: none"> • Georgia Department of Technical and Adult Education • Georgia Department of Education • Georgia Department of Juvenile Justice 	Targeted Services for ABE Populations / Program Improvement	<ul style="list-style-type: none"> • Savannah Technical College—Liberty County ABE Program • Savannah Technical College—Savannah ABE Program
Maryland	<ul style="list-style-type: none"> • Maryland State Department of Education • Maryland Department of Labor, Licensing, and Regulation 	Pathways to Employment & Postsecondary Technical Education	<ul style="list-style-type: none"> • Montgomery College & Montgomery Works, Montgomery County • The Learning Bank of COIL (Communities Organized to Improve Life) & Southwest One-Stop Center, Baltimore City
Missouri	<ul style="list-style-type: none"> • Missouri Department of Elementary and Secondary Education • Missouri Division of Workforce Development 	Cross-Referral of Clients between Adult Education and One-Stop Centers	<ul style="list-style-type: none"> • Ozarks Technical and Community College & MO Division of Workforce Development—Field Operations, Springfield • St. Joseph Adult Education and Literacy & MO Division of Workforce Development—Field Operations, St. Joseph
Washington	<ul style="list-style-type: none"> • State Board for Community and Technical Colleges • State Association of Workforce Development Councils • Department of Social and Health Services 	Cross-Referral of Clients between Adult Education and One-Stop Centers/ Pathways to Employment & Postsecondary Technical Education	<ul style="list-style-type: none"> • Green River Community College & Seattle-King County Workforce Development Council (WDC), Auburn Work Source • Yakima Valley Community College & South Central Workforce Council, Sunnyside Community Services and Employment Security Division

II. Planning and Coordination Models Guiding AECAP Demonstration

A twofold approach to model development and testing was undertaken in the AECAP project. The AECAP project team first tested existing processes for strategic planning, interagency coordination, and the implementation of demonstration projects as part of their activities in providing technical assistance to the state and local sites that participated in the project. This approach was used to determine whether existing processes could be adapted to the context of the AECAP project and produce the intended results. The second approach was to identify new processes for coordination. This was accomplished through the AECAP team's documentation of local pilot sites' development and implementation of coordinated services between ABE programs and One-Stop Centers. This documentation resulted in the identification of emerging models for coordinated services based on the pilot sites' experiences. These two approaches reflect a typology of demonstration projects in which activities are categorized as either policy-implementing or policy-formulating. This typology provided a framework for the AECAP project in which both types of activities were undertaken. (Glennan, Hederman, Johnson, & Rettig, 1978).

Policy-implementing demonstrations test ideas by taking processes or research findings and using them in everyday life. The AECAP project tested three types of processes and research findings in working with the state and local demonstration sites: 1) the AIDDE© process for planning and program improvement, which applies the scientific method to a strategic planning process; 2) processes for providing technical assistance to support demonstration projects; and 3) research about the organizational conditions that facilitate coordination and the types of interpersonal behaviors that can prompt the development and growth of professional partnerships. The implementation of these processes and research, which are discussed in later in this chapter, enabled the AECAP project team to identify the extent to which they could be applied to the set of conditions posed by the project.

In a policy-formulating demonstration, field-based ideas are created that can be analyzed by researchers under controlled settings. The AECAP project provided local pilot site staff with an opportunity to develop and conduct an initial test of their ideas related to two types of activities: 1) coordination between ABE programs and One-Stop services in carrying out client cross-referral services and providing instructional services to facilitate clients' transition to employment, and 2) coordination between ABE programs and external consultants in improving the quality of services provided by the programs. The local pilot sites used the AIDDE© planning process and the technical assistance provided in the AECAP project to specify the activities that they would develop and test, and they collected initial data about the outcomes from these activities. The AECAP project team provided feedback to local pilot sites

on their plans, conducted site visits to document the pilot sites' demonstration activities, assisted the sites in determining the data to collect about participant outcomes, and analyzed the sites' outcome data. The pilot sites' field-based activities resulted in three service models about different aspects of coordination between ABE programs and One-Stop Centers, which are described later in this report.

The AECAP project also was guided by literature about demonstration projects that specifies three factors which should be considered in determining the processes to test in a demonstration project. These factors are: a) the utility of using a process model that provides flexibility in implementing strategies for planning and coordination (Bryson, 1995; Martinson, 1999; Alamprese, Brigham, & Sivilli, 1992); b) the importance of considering the affective component of personal change by using strategies to influence individuals' desire to change (Kotter 2002) and by providing for reciprocity in new collaborative relationships (Rhoads & Cialdini, 2002); and c) the importance of planning for long-term utilization of the processes developed in the project during the design phase of the demonstration (Knapp, 1997). These factors were used to determine the strategies for coordination, communication, and persuasion that would be tested in the project.

AIDDE© Process for Planning

The AIDDE© process was the planning model used in the AECAP project to guide state partners and local pilot sites in designing and carrying out their demonstration activities. This framework, developed by the AECAP's project director (Alamprese, 2003; Alamprese & Stickney, 1999), is derived from studies in problem-based learning (Schmidt, 1993; Norman & Schmidt, 1992), results from previous studies in interagency coordination of federal funding streams (Alamprese, Brigham, & Sivilli, 1992; Bailis, 1989), and literature on organizational exchange theory in sociology (Cook, 1977; Blau, 1964; Homans, 1961). While the AIDDE© process had been used at the state and local levels in adult education to plan and implement state improvement initiatives and local ABE program improvement, the AECAP project provided an opportunity to adapt the AIDDE© process for use in planning and carrying out interagency coordination demonstration activities at the state and local levels.

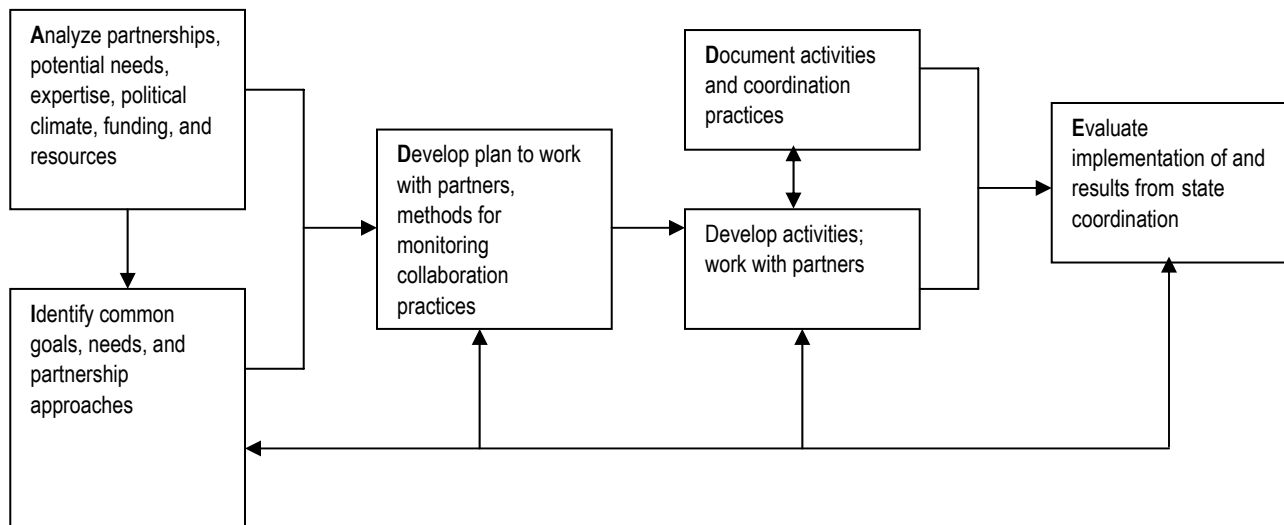
AIDDE© is a problem-based learning process that has the following *generic* steps:

- Analyze data, current practices, and related information to clarify an issue or problem and to set priorities for addressing the problem;
- Identify new practices or programs to address the problem;
- Develop a plan for using the new practices or programs;
- Document the activities that are implemented in the use of the practice or programs; and

- Evaluate the implementation of the practices or programs and the results from these activities.

The steps in the AIDDE© process as adapted to the AECAP project reflected the key coordination activities that the states and local pilot sites would undertake. Depicted in Exhibit 2 are the steps in the AIDDE© process for state-level coordination activities. The state partners in the AECAP project used the AIDDE© process to *Analyze* current partnerships within and between state agencies, the potential needs of the state partners and the capacity that each partner brought to address the other agency’s needs, the expertise that the partners had to work together on a common problem, the political environment and other factors that may influence the development or expansion of their relationship, and funding and other resources that partners brought to address a common need. Based on the results of these analyses, the state partners *Identified* activities that they could undertake to address the common issue that they would work on together, as well as the resources that were available to support the activities. Next, the state and local partners *Developed* a plan to specify the activities they would undertake in working together. The state partners also *Documented* their activities and coordination processes and identified preliminary outcomes from their coordination activities as a first step to *Evaluate* the implementation and outcomes from these activities.

Exhibit 2: AIDDE© Process Model for State-Level Interagency Coordination



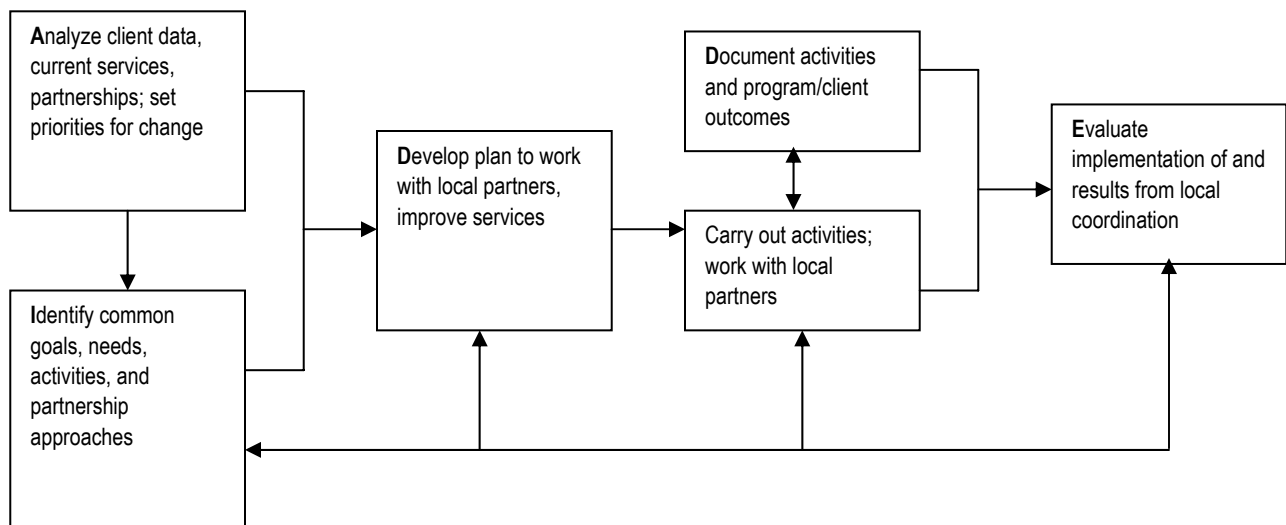
The AIDDE© process also served as the planning model for the AECAP project’s local pilot sites. Eight of the 12 local pilot sites involved ABE program staff and One-Stop Center staff, and the focus of the demonstration for these sites was to develop a new or enhance an existing partnership to carry out services involving both organizations. Four of the local pilot sites had a

goal of improving the operation of their ABE services, and the participants in these pilot sites were ABE program staff.

ABE and One-Stop Sites. The eight pilot sites that involved ABE programs and One-Stop Centers used a version of the AIDDE© process that was adapted for coordination activities, which is shown in Exhibit 3. These local pilot site partners worked together in *Analyzing* their client data, their current services to address these clients’ needs, and their current partnership activities. They then *Identified* a common need that they could address through a coordinated activity. Next they *Developed* an AECAP plan to determine how they would work together to carry out this coordinated activity. Seven of the eight pilot sites were able to carry out coordinated activities, *Document* these activities, and *Evaluate* clients’ outcomes from participating in the coordinated services that were delivered as part of the pilot project. One of the organizations at the eighth pilot site, the One-Stop partner, was consolidated with a service provider at another location during the early months of the pilot test. As a result, the AECAP demonstration activities were not able to proceed at this site.

Program Improvement Sites. During the AECAP project, the four pilot sites working on ABE program improvement used the *generic* AIDDE© process, whose steps are listed on page 6, to *Analyze* their ABE program data and the quality of the ABE program services and *Identify* an area of the program that could benefit from improvement based on the results of their data review and their analysis of their current services. The programs then *Developed* an improvement plan and two of the pilot sites conducted and *Documented* their improvement activities and *Evaluated* the results from their improvement activities. The other two pilot sites collected additional data to validate their areas of program improvement but did not implement improvement activities during the period of the AECAP project.

Exhibit 3: AIDDE© Process Model for Local-Level Interagency Coordination



Guidance on Implementing Demonstration Projects

The design of the AECAP project included the provision of guidance to state partners about two aspects of implementing state demonstration projects: 1) selecting local pilot sites, and 2) supporting the activities of local pilot sites. This guidance was derived from previous research on the implementation of demonstration projects in state adult education systems which found that these processes were critical factors in the success of the projects (Alamprese, 1993; Alamprese & Stickney, 1999).

Selection of Pilot Sites. The lessons from previous research about selecting local pilot sites were customized to the conditions of the AECAP project in which the ABE program was to serve as the lead agency in the local pilot site. The following guidance was provided to state adult education directors about their selection of local ABE programs to serve as pilot sites for the AECAP project. The ideal lead agency for the pilot site would have:

- Staff who have skills and knowledge related to the issue that is the focus of the state's demonstration project;
- Staff who have available time to conduct pilot activities;
- A data collection system and database that can provide the necessary data about pilot site outcomes;
- Staff who have positive or neutral relationships with their interagency partners; and
- Staff who are interested and motivated to participate in the AECAP project.

Supporting Local Pilot Sites. The research on demonstration projects also points to a number of activities that state staff could conduct to support their local pilot sites. For the AECAP project, these activities involved:

- 1) Organizing the pilot sites by explaining the conditions of their participation and the activities they would undertake, and developing an agreement with the sites about these activities;
- 2) Participating with the pilot sites in the AECAP workshops and conducting training that was needed for the pilot sites;

- 3) Providing technical assistance and support through visits to the sites, meetings with both sites, and telephone conferences with the sites; and
- 4) Monitoring the pilot sites' activities and supporting the AECAP project in the collection of local pilot site data and participation in the site visits conducted by the AECAP team.

As described in Section III of this report, the AECAP team incorporated these lessons from research in the first two state workshops that were conducted at the beginning of the AECAP project. In these workshops guidance was provided to state partners about their selection of local pilot sites and the activities that they could conduct to support the local pilot sites' participation in the project.

Strategies for Coordination, Communication, and Persuasion

The AECAP project tested research-based strategies for coordination, interpersonal communication, and persuasion that have been discussed in the sociology and psychology literature and in studies of adult education, job training, and social services. Based on the review of the literature that the AECAP team conducted, a number of strategies were identified and used by the team to develop the project's technical assistance materials (Alamprese, Stickney, & Ricciuti, 2003). These strategies also were incorporated into the AIDDE© planning process in the steps involving state and local pilot sites' development of a coordination plan and their implementation of activities based on the plan.

Coordination. The literature on coordination is lengthy and extends over several years. A starting point for the AECAP project was to define the concept of coordination that would guide the project's activities. The definition used in the AECAP project is that coordination consists of two or more organizations working together, through formal or informal arrangements, to meet one or more goals, such as improving effectiveness and/or cost effectiveness of programs and avoiding duplication of services (Martinson, 1999).

One of the few studies to examine coordination in adult basic education across state agencies, between state and local agencies and across local agencies was that conducted by Alamprese, Brigham, and Sivilli (1992). This study examined coordination in the adult basic education system from the perspective of the structural arrangements that lead to interagency coordination and the strategies that agencies use to facilitate coordination. Three levels of relationships were examined in that study:

- The state adult education office's relationship to other state agencies in exchanging information and resources (fiscal and non-fiscal) in support of adult education services;

- A state-local program relationship in funding the delivery of local adult education services that involves some federal adult education monies; and
- A local adult education agency's relationship to other local agencies in exchanging information and resources (fiscal and non-fiscal) in support of adult education services.

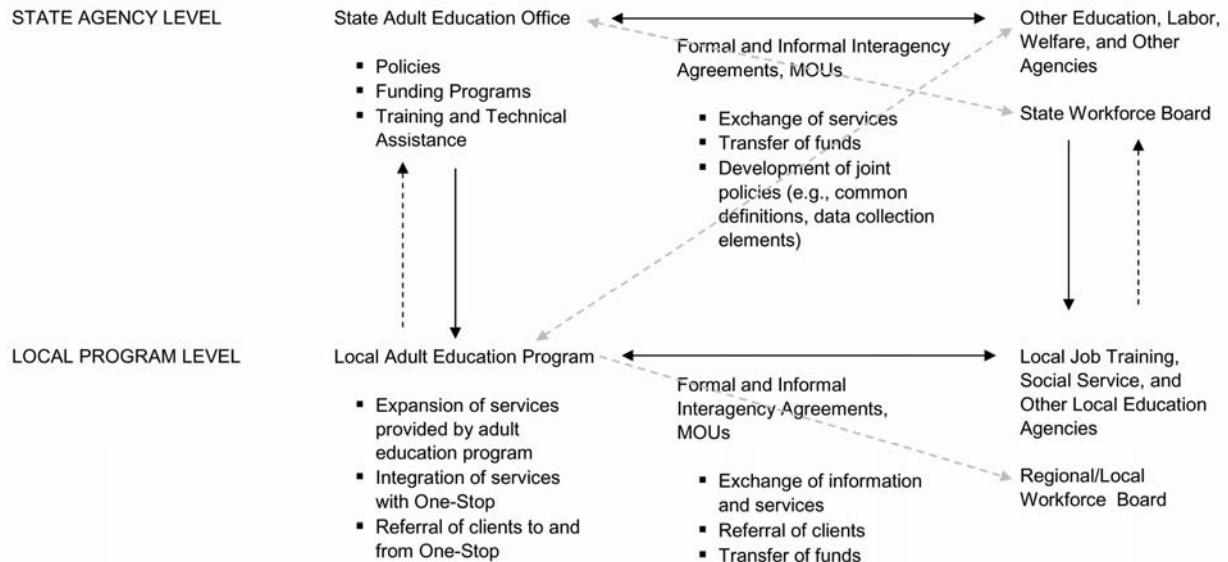
These three relationships are displayed in Exhibit 4. Alamprese et al. found that the state and local agencies examined in the study used three types of strategies to establish and sustain relationships with each other. These were:

- **Organizational strategies:** a) written agreements to provide coordinated services, share staff, and transfer funds within and between state agencies, b) state adult education incentives to encourage interagency coordination between local adult education programs and other education and training service providers, and c) state adult education-funded training and technical assistance to assist local programs in carrying out coordination activities;
- **Interpersonal communication strategies:** mechanisms for promoting ongoing communication across agencies and for clarifying agency members' goals and needs, such as joint staff meetings, cross-training of staff, and cross-agency committees and task forces; and
- **Resource identification strategies:** identification of new organizational and fiscal resources for strengthening state and local coordination activities, such as partnerships between adult basic education programs and employers to delivery work-based literacy instruction and coordination between adult basic education and social service providers to expand the types of resources that can address the non-educational needs of adult basic education program participants.

The state-local approach to examining coordination used in the Alamprese, Brigham, and Sivilli (1992) study is supported by other research on coordination in vocational education, workforce development, and welfare reform. Grubb, Badway, Bell, and Chi (1999) note that the true test of state policies on coordination is whether local programs implement change. Martinson (1999) points out that among the factors that foster coordination are: a) state provision of technical assistance and problem resolution to help local localities, b) cross-training of state and local staff, and c) communication about the benefits of coordination from the federal government to state agencies and from state agencies to local programs. Holcomb, Seefelt, Trutko, and Barnow

(1993) also argue for federal encouragement of coordination, but note that the local initiatives to implement changes are critical.

Exhibit 4 Conceptual Model of Interorganizational Relationships



Communication, Persuasion, and Other Success Factors. A number of “success factors” from the literature and studies in adult education, job training, and human services was discussed in the AECAP workshops to guide state and local pilot sites in their partnership building and expansion. These factors are the following:

- **Environmental Conditions:** There is a history of cooperation between partners that enables them to work together effectively; the political and organizational climate is favorable for cross-agency coordination;
- **Partnership Formation:** Individuals who have the experience, authority, and other characteristics pertinent to the issue involving coordination are involved in the partnership and committed to participating in it. The goals and objectives set for the partnership are concrete and attainable; and the partners develop a shared vision with agreed-upon objectives and a strategy for meeting these objectives;

- **Structure of Coordination:** Partners set goals that they are committed to achieving; multiple organizational levels are involved in the partnership; and clear roles and guidelines are developed for coordination activities;
- **Interpersonal Relationships:** Partners can develop mutual respect, understanding, and trust; the benefits of the partnership are perceived as offsetting the costs; and partners are able to compromise and are flexible;
- **Communication:** There is open and frequent communication between partners; there is an established communication process so that partners can address successes as well as challenges in the partnership; and
- **Resources:** There is skilled leadership in the partnership; and there are sufficient funds, staff, materials, and time to carry out the activities of the partnership.

Summary

The design of the AECAP project was drawn from research in social science and education as well as from lessons from previous adult education demonstration projects. The intent of the project was to test the utility of the AIDDE© planning process applied to the process of interagency coordination and to assess the utility of research-based strategies in coordination, communication, and persuasion in developing and expanding interagency relationships in adult education and workforce development at the state and local levels. This approach was expected to facilitate the implementation of the project's activities and to maximize the project's likelihood of success in producing models for state and local coordination.

III. AECAP Project Design and Methods

The AECAP team's approach to implementing the demonstration project was to: a) select state demonstration sites using criteria that reflected the types of activities that states would undertake during the project; b) provide ongoing training and technical assistance to facilitate project participants' use of the planning and coordination models that guided the project; and c) facilitate the local pilot sites' collection of evaluation data to assess the outcomes from their demonstration activities. The state selection process involved states' submission of an application form and the AECAP team's conduct of telephone interviews with the applicant states' adult education directors to confirm their eligibility for the project. After the state sites were selected, the AECAP team conducted a series of workshops for state and local demonstration sites to prepare them to apply the project's planning processes and to assist them in learning about strategies for coordination and communication. The team provided ongoing technical assistance to states to facilitate their support of local pilot sites and to local pilot sites to guide their development and implementation of local service models. The team also developed an evaluation process that included the collection of information to document the implementation of state and local pilot sites' activities and to assess the outcomes from the local pilot site demonstrations.

Selection of State Demonstration Sites

The AECAP project team developed criteria for selecting state demonstration sites to ensure that state staff would have the time and experience to participate in the project and the capacity to carry out the activities planned for the project. The states were selected based on the experience of the state's adult education staff and capacity of the state adult education office. The criteria for state selection were that state ABE staff had:

- Prior experience in coordinating with at least one state agency;
- A working knowledge of WIA, Title I and the operation of the state's One-Stop Centers;
- Positive or neutral existing relationships with potential state partners;
- Available local pilot sites and the time to support local pilot sites' participation in the project;
- Adequate data collection system and database to gather data about local pilot site activities; and

- Willingness to participate in project’s training and technical assistance activities.

Interested state adult education directors were asked to complete an application on which they described their current and recent interagency activities, the state’s ABE database, and their goals for the project. The AECAP team rated each application and conducted telephone interviews with the adult education state director in the six most highly rated states. The purpose of the telephone interview was to collect in-depth information about the state directors’ current relationships with candidate state partners, their goals for the project, and their willingness to participate in the project’s activities. Based on the ratings of the applications and the information collected during the telephone interviews that confirmed the ratings of the applications, six AECAP states were selected.

From the responses that states provided to the questions on the AECAP application, project staff were able to identify states for which the AECAP project was not a good match. These included state adult education leaders whose goals for the project did not align with AECAP’s goals (e.g., assistance in developing an ABE data reporting system) or whose activities were focused on improving their state ABE system to meet federal requirements as a result of the Office of Vocational and Adult Education’s monitoring review. As a result of this two-step application process involving the completion of a form and participation in a telephone interview, appropriate states were selected and the state adult education leaders were well positioned for the project’s initial activity.

AECAP’s Technical Assistance Activities

The AECAP project team provided technical assistance to state demonstration sites and local pilot sites to support their activities during the project. The technical assistance was designed to:

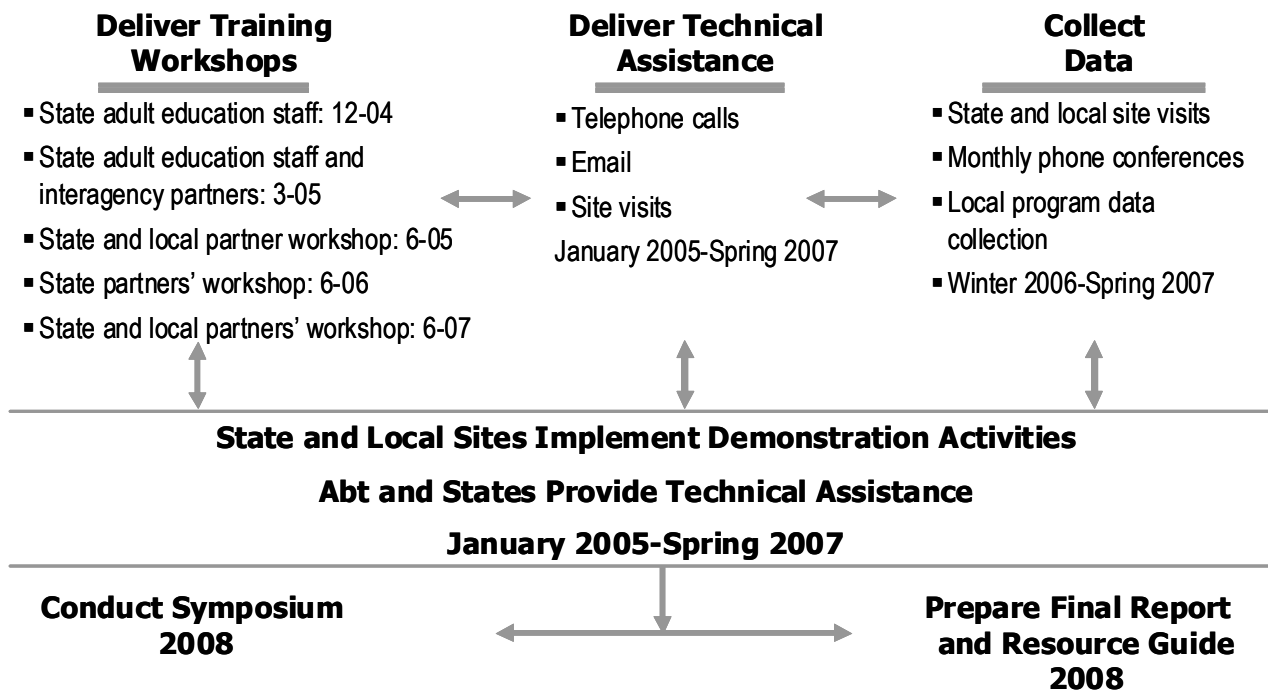
- Guide ABE state directors in confirming their state partners and in selecting local pilot sites;
- Facilitate state partners’ and local pilot sites’ use of the AIDDE© planning process and strategies for coordination and communication;
- Develop and share materials and information that would assist states and local pilot sites in their AECAP project planning and implementation efforts; and
- Provide suggestions and feedback to states and local pilot sites about their plans and the activities that they conducted.

The AECAP team provided four types of technical assistance during the project:

- 1) Workshops for the state and local demonstration sites;
- 2) Monthly telephone calls with local pilot sites and their AECAP state coordinators to facilitate the local pilot demonstration activities;
- 3) Electronic mail (email) to provide information and feedback on sites' activities, respond to questions, and notify project participants about AECAP workshops and other project activities; and
- 4) Site visits to each state to document the demonstration sites' activities and to provide technical assistance. Each state received a stipend from Abt Associates that was used to pay for the pilot sites' staff time in submitting program data to Abt regarding the local pilot sites' demonstration activities. The stipend also supported pilot site travel and meetings that the AECAP state coordinators convened during the demonstration period.

The workshops that the project conducted and the technical assistance that the project provided are discussed in Section IV. The timeline for the project's activities is presented in Exhibit 5.

**Exhibit 5
AECAP Project Activities and Timeline**



Evaluation

The AECAP team developed an evaluation component for the project that was designed to document: a) the implementation of the project's activities at the state and local levels, and b) the outcomes from the activities that the local pilot sites carried out during the project. Since the demonstration project was a test of the AIDDE© planning process with a new application—interagency coordination, process data were collected to understand the ways in which the state and local pilot site participants used the AIDDE© process to identify or clarify the focus of their coordination activities. Process data also were gathered to understand whether the research-based coordination and communication strategies that were disseminated to state and local project participants were useful in facilitating their coordination activities.

The main purpose of the local pilot site demonstration was to develop and test new coordinated services or program processes to expand the number of clients served. Because the AECAP project was the first time that the sites' services were being implemented, the evaluation was designed to collect preliminary data about client outcomes from these services. The intent of the data gathering was to determine whether the sites' services showed initial positive results and thus would warrant a further, more rigorous test if the services were disseminated beyond the pilot site.

Evaluation Questions. The four questions that guided the evaluation were:

1. To what extent are the AIDDE© planning process and the strategies for coordination, interpersonal communication, and persuasion tested in the AECAP project viable processes for states and local pilot sites to use in developing partnerships and in expanding or improving local services?
2. What types of outcomes were state partners able to achieve as a result of their interagency coordination activities?
3. What were the outcomes for the clients from the local pilot sites who participated in the new or expanded services offered as part of the AECAP project? and
4. What were the outcomes for the local pilot sites' program services as a result of their AECAP activities?

Data Collection and Analysis. The types of data collected for the AECAP evaluation, the sample of respondents from whom data were collected, and the processes used to collect data are provided in Exhibit 6. Four types of data were gathered and analyzed to address the

Exhibit 6

Data Collection Measures, Sample, and Methods

Evaluation Question	Measures	Sample	Data Collection Sources, Forms, & Processes
1. To what extent are the AIDDE planning process and the research-based strategies tested in the AECAP project viable processes for states and local pilot sites to use in developing partnerships and in expanding or improving local services?	Quality of Final AECAP Plans that local pilot sites prepared Participants' report of use of the processes and development of partnerships	State Partners Local Pilot Site Staff	Review of Final AECAP Plans and whether Final Plans were implemented as designed Discussions with staff during site visits, monthly phone conference Participants' presentations at AECAP final workshop
2. What types of outcomes were state partners able to achieve as a result of their interagency coordination activities?	Activities undertaken by state partners	State Partners	Discussions with state staff during site visits, phone conferences, and workshops
3. What were the outcomes for clients from the local pilot sites who participated in the services developed under the AECAP project?	Client outcomes-increase skills, obtain a GED, obtain a job	Local Pilot Site Clients	Pilot sites' collection of client demographic data, CASAS and TABE pre-post test scores, GED attainment, and attainment of employment data
4. What were the outcomes for the local pilot sites' program services?	Changes in populations of clients served Types of products developed	Local Pilot Site Staff	Pilot sites' collection of client data about clients' referral between ABE and One-Stop services Review of products developed by pilot sites

evaluation questions: 1) implementation data about the state partners' and local pilot sites' activities; 2) AIDDE© process plans, known as the AECAP Plan, which demonstrated the extent to which the local pilot sites used the AIDDE© process in specifying their project activities; 3) outcome data about clients' preliminary outcomes from participating in local pilot sites' services; and 4) Materials and products that were developed by the pilot sites as part of their AECAP Activities.

Implementation Data. The AECAP team's site visits to the state offices and local pilot sites participating in the project were the main source of implementation data collected during the project. The AECAP team conducted one site visit to each state's adult education office to meet with state ABE staff and their state partners to discuss the ABE state system and their partner's system, their prior coordination (if applicable), their current AECAP activities at the state level, their efforts to support local pilot sites, and their planned activities for the AECAP project. The team visited each local pilot site twice during the project. During the first site visit, which was conducted after the local sites' AECAP plans were developed, the AECAP team met with the pilot site ABE staff and their AECAP partner(s) to discuss the services that each local site partner provided, the AECAP activities that they had begun to implement, any challenges they had encountered, and their planned activities and data collection. The AECAP team made a

second site visit toward the end of the local pilot site demonstration period. During this visit, the team discussed the local sites' activities, the data staff were collecting to document local site outcomes, any changes that had occurred in their planned activities, and their plans for continuing their coordination after the end of the project. The information collected during the site visits was compiled in a qualitative database and used in preparing the descriptions and analyses of the states' activities and local pilot sites' models that are discussed in this report.

A second source of implementation data was the monthly telephone conference calls that the AECAP team facilitated with each pilot site and their state AECAP coordinator(s). While the main purpose of the telephone conferences was to provide technical assistance, the conversation during the calls included reports of activities that the site had conducted and challenges that they had encountered. This information was combined with the implementation data collected during the site visits.

AECAP Plan. Each local pilot site prepared initial and revised AECAP Plans, which described the:

- Area of the local program's services that was the focus of their AECAP coordination activity;
- Problem or issue that the local partners intended to address;
- Data or information that the local partners reviewed to verify the issue that would address and activities that they would conduct;
- Local practices or processes that were to be developed or expanded in the AECAP project;
- Group of clients that was the target population for the project; and
- Expected outcomes from the use of the new or expanded practices.

The AECAP team reviewed the iterations of the pilot sites' AECAP plans and provided comments to the sites. During this feedback process, the team noted the difficulties that the pilot sites had in completing the different sections of their plans and the reasons for the difficulties. These data were analyzed as part of the assessment of the utility of the use of the AECAP planning process.

Client Outcomes. The AECAP team worked with the pilot sites and AECAP state coordinator(s) to identify the client outcomes that would be expected from their participation in the services developed during the AECAP project and the data that could be used to measure these outcomes. The local pilot sites collected the data from the clients and sent the data to the AECAP team at Abt Associates for analysis. Most of the pilot sites gathered three types of data, depending on the services that they offered:

- Client background characteristics (e.g., gender, date of birth);
- Pre-post assessments of reading, math, or listening; and
- Client outcomes such as attainment of the General Educational Development (GED), job placement, attainment of an industry credential (e.g., CNA certificate), or enrollment in ABE (for pilot sites focused on cross-referral of clients).

The results from the client outcome data analyses are discussed in Section VI.

Program Services' Outcomes. Some of the pilot sites' AECAP activities focused on developing processes for the cross-referral of clients between ABE programs and One-Stop Centers. These sites collected information about the numbers of clients that were referred to each local partner's services and the types of services that they received, and sent the data to the AECAP team for analysis. The results from the analyses are presented in Section VI.

Three of the AECAP pilot sites developed products as part of their project activities, including an ESOL Customer Service curriculum and a Fast Track GED course. These products were reviewed by the AECAP team and feedback was given to the pilot sites.

IV. Training and Technical Assistance: Activities and Lessons Learned

The AECAP team used a variety of training and technical assistance approaches to assist state and local pilot sites. These included multi-day workshops, telephone technical assistance, and site visits. Described are the activities that were conducted to support participants in using the AIDDE© process and coordination strategies, and the lessons learned from these activities.

Workshops to Support AECAP Planning and Implementation

The AECAP workshops were the principal mechanism to prepare state partners and local pilot sites to use the AIDDE© planning process, develop preliminary plans for the state and local demonstration activities, and apply strategies for coordination, communication, and persuasion in developing and sustaining partnerships. The final workshop for the project also provided an opportunity for local pilot sites to share information about their demonstration activities and the outcomes that they were documenting from these activities.

The project conducted five AECAP workshops during the period December 2004-June 2007, each of which was two days in length. Three workshops were focused on state staff and two workshops involved state partners and local pilot sites. The first workshop in December 2004 involved adult education staff from the six demonstration states, and trained staff to use the AIDDE planning process for state-level coordination and provided guidance regarding strategies for developing and sustaining state partnerships.

During the second workshop in March 2005, both state adult education staff and their state partners worked together to develop an AECAP state plan, identify the types of state outcomes that their project would achieve, and consider criteria for selecting local pilot sites. States' selection of local pilot sites was a critical step in the AECAP project. Each demonstration state was to select two pilot sites, and the sites in four of the states involved staff from ABE programs and One-Stop Centers while the other two states' pilot sites involved only ABE staff. The purposes of the pilot sites were to:

- Test "solutions" to the issues identified by the state partners and that were important to the operation of local pilot sites;
- Develop processes and materials that had the potential of being replicated within the state after the pilot test; and

- Provide lessons learned about the processes for addressing the issues that had been identified in the AECAP project.

During the second workshop, the AECAP team provided criteria to AECAP state partners to use in selecting ABE programs as the lead agency in the local pilot site, and suggested a number of activities that the state staff participating in AECAP could conduct to support their local pilot sites (discussed in Section II).

The purpose of the third AECAP workshop in June 2005 was to train the local pilot site partners to use the AIDDE© process to develop an AECAP plan for the local pilot sites' activities and to learn about strategies for forming new partnerships or strengthening existing relationships. Of the eight local pilot sites that involved One-Stop partners, three sites had existing partnerships. The other five sites used the AECAP project as the opportunity to develop a working relationship with partners. Both state partners and local pilot site staff participated in this workshop. While the adult education state director was the lead individual for the state demonstration, each state director appointed a state adult education staff person to function as the AECAP coordinator and both individuals attended the workshop. During the three months between the second and third AECAP workshops, two of the adult education state directors and the state partner in a third state had changed, and the state director in a fourth state was in transition. The new state director of adult education and state staff participated in this third workshop, during which they were oriented to the project

After the third workshop, the pilot sites were engaged in an extensive planning period in which the local site partners worked together for several months to gather and analyze data, clarify a common issue that they could address, and plan the activities that they would conduct in the local AECAP demonstration. The local partners, working with their state AECAP coordinators, prepared several iterations of an AECAP plan. The AECAP team provided extensive guidance and feedback on the plans through telephone conferences and email. The team also conducted the first site visit to each local pilot site and state office during this period. In order to begin the demonstration activities, a pilot site had to submit a final plan that had been reviewed by the state AECAP coordinators and the plan had to be approved by the AECAP team. By late winter 2006, all of local pilot sites had their final plans approved and had begun their demonstration activities. During the year after the third workshop, one pilot site experienced a change in the ABE director and a reduction in funding for the One-Stop partner. As a result, this pilot site ended its participation in the AECAP project.

The fourth workshop was held in June 2006 and was attended by the states' partners. The focus of this workshop was on the coordination activities that state partners could conduct during the final year of the states' demonstration activities, and the technical assistance that the states

would provide to the local pilot sites in the remaining pilot period. After the second workshop, the state partners had focused on selecting pilot sites and preparing the sites to begin the project. The state partners continued this focus after the third workshop as they supported the pilot sites in developing their AECAP plans and implementing their AECAP project activities. By the time of the fourth workshop, the AECAP team encouraged the state partners to assess their progress in state-level coordination and to determine whether any further coordination activities could be implemented. The partners in three of the states had worked together to coordinate activities that supported the local pilot sites and that had potential for further dissemination at the local level.

The fifth workshop was held in June 2007 after the local pilot sites' demonstration activities were completed. The state and local pilot site partners participated in this workshop. Each of the 11 pilot sites prepared a poster about their pilot activities and outcome data, and shared this information with the group. State leaders also discussed the factors that had facilitated and hindered their state partnership activities. This workshop was an opportunity for the state and local sites in each state to plan the further implementation of the activities that had been pilot tested in the local sites and to prepare an initial dissemination plan

Telephone Technical Assistance

The AECAP project team held monthly telephone calls with local pilot sites during the period when the pilot sites were developing their AECAP plans and implementing their activities. Both local partners, the state ABE representative, and often the other state partner participated in the calls. Prior to the calls, the AECAP team sent an agenda to call participants to prepare them for the discussion. The calls addressed three topics: 1) the activities that had taken place since the last call, 2) activities that were planned for the next month, and 3) issues concerning planned activities and data collection. The calls also were an opportunity for AECAP's project director to provide suggestions about activities that could be implemented or strategies for addressing issues that had arisen. After each telephone call, the AECAP team sent to the participants a written summary of the call and a list of the activities that the pilot site was to conduct during the next month. This telephone technical assistance process that the AECAP team used was instrumental in keeping the pilot sites focused on their activities, addressing issues in a timely manner, and providing ideas and strategies that the sites could use in their AECAP project.

Site Visits

The site visits that the AECAP team conducted to the local pilot sites, described in Section III, were an opportunity for the team to provide technical assistance as well as to collect project implementation data. Some of the local pilot sites used the site visit as an occasion to include local partners who were involved in the site's AECAP activities but who did not participate in the AECAP workshops or in the discussions with the AECAP team. Additional staff from the ABE program and workforce partner also attended the site visit meetings.

During the first site visit, the AECAP team confirmed the activities that the local pilot sites would conduct during the project and provided suggestions about the planned activities. The relationship established between the AECAP team and the pilot site participants during the first site visit facilitated the subsequent monthly telephone conferences calls that were held, during which project challenges were discussed. During the second site visit, the AECAP team discussed the client outcome data that the local sites were collecting, the sites' activities for the remainder of the project, and their plans for continuing the activities after the end of the project.

Factors Affecting the Implementation of AECAP

Several factors affected the AECAP project's timeline local pilot sites' planning and implementation of activities. These were personnel changes, staff experience required for project activities, matching of clients to services, and local economic conditions.

Personnel Changes. The shifting of staff in both the state partnerships and the local pilot sites affected the pace at which the AECAP project proceeded. During the planning phase of the project, changes in the state adult education director in three of the demonstration states resulted in additional time for the new state partners to establish a working relationship regarding the focus of the state coordination and for planning local pilot site coordination activities. The involvement of state adult education staff as well as the state adult education director in the AECAP project facilitated the provision of state leadership in the project during this time of transition.

Within the local pilot sites, personnel moves affected the progress of the pilot sites. The change of the ABE program director in three of the pilot sites resulted in an unanticipated delay as the new ABE directors learned how to work with the One-Stop partners in these sites. In another pilot site, the One-Stop coordinator who had helped to organize the local partnership had a change in position and the One-Stop services were reorganized. This affected the ongoing relationship between the ABE program and the One-Stop Center and the AECAP project's activities.

Staff Experience. The local pilot site partners' process of working together to develop their AECAP Plan that included the review of data was a new experience for most staff and required more time than anticipated. In some sites, the data necessary for analyzing the problem that the coordinated services would address were not available and the sites had to identify additional data that could be reviewed. While the planning period was longer than scheduled, the result was that the final AECAP plans were well conceptualized and the partners had a strong commitment to implementing them.

Once the local pilot sites began to implement their plans, there were other challenges related to staff experience. For pilot sites whose AECAP plan required the development of new or revision of existing ABE or English-as-a-second language (ESL) curricula, the time period for development or revision was longer than expected. In two pilot sites, the ABE staff members had limited experience in curriculum development or refinement; in another site, the amount of curriculum refinement that was necessary required more time than had been scheduled.

Matching of Clients to Services. The identification of clients who were the appropriate population for the interventions that the pilot sites were testing also required more time than local pilot site staff had anticipated. While the pilot sites had specified the anticipated target populations for their interventions in their AECAP plans, an initial test of the curriculum intervention was necessary to determine whether the anticipated target population was the appropriate skill level of clients for the service. Two sites had to refine their criteria for the skill levels of the target population after the first test of the service.

Local Economy. Another factor that affected some pilot sites' activities was a change in the local economy. As the unemployment rate decreased in the cities in which two of the pilot sites were located, fewer clients were accessing the services of the One-Stop Centers and the funds available for One-Stop centers decreased. As a result, the two sites had a difficult time recruiting appropriate clients for the AECAP services that were being tested.

Summary. Many of the challenges that the state and local pilot sites experienced in the AECAP project could not be anticipated, such as the personnel changes that affected the timeline, the project's momentum at some demonstration sites, and the change in economic conditions in two local pilot sites that influenced the capacity of the One-Stop Centers. Other factors, such as the experience needed by pilot site staff to develop curriculum or the need to calibrate client skill levels with instructional services can be expected and addressed in the planning for the project. While the state partners and local pilot site staff in all of the sites had to address some challenges that extended the period of the demonstration activities, overall the project participants were able to carry out their AECAP plans and report on the outcomes from their activities.

Lessons Learned

The AECAP team's experience in delivering training and technical assistance to project participants provided a number of lessons about providing support to adult education and workforce development staff in a demonstration program. These lessons concern the structure of technical assistance and strategies for integrating new or replacement participants into the project.

Structure of Technical Assistance. A multifaceted approach to technical assistance that involved a series of workshops with frequent telephone conference calls and emails as well as periodic site visits provided an environment of continuous communication between the AECAP participants and the project team. The targeted workshops were critical to the transfer of the planning process and coordination strategies that were being tested in the project. Furthermore, the telephone conferences were a mechanism for the AECAP team to reinforce the work of the local pilot sites, assist project participants in addressing challenges, and in monitoring the progress of the local partnerships. The site visits also enabled the AECAP team to meet with a range of individuals directly or tangentially involved in AECAP project, which provided to be beneficial to the pilot site partners.

Based on the experience of the state partners in working together and the local pilot sites in developing their AECAP Plans, one change in the schedule for technical assistance that would have been helpful is if the AECAP team had conducted the site visit to the state partners and the first site visit to the local pilot sites earlier in the project. The state site visit likely would have been more instrumental in facilitating the development of the state partnership if the AECAP team had made the visit soon after the second AECAP workshop when the state partners began to develop their AECAP plans. The AECAP team's direct assistance to the state partners at that point might have encouraged them to focus on their state-level activities while planning the local pilot site activities.

Similarly, the local pilot sites would have benefitted from a site visit soon after the third AECAP workshop when the pilot sites were first introduced to the project. The AECAP team's focused on-site work with each pilot site might have expedited the timeline for their development of AECAP plans.

Integration of New Staff. The AECAP project experienced a high turnover of state and local pilot site leadership during the project. Half of the state adult education leaders changed during AECAP's early months and five of the pilot site ABE directors were replaced during the project. The timing of the change of the state leaders was particularly important since it occurred during the period when the state partners were determining their focus for the project and their selection of local pilot sites. While AECAP's project director communicated with the new state leaders shortly after they were appointed, it took some time for these leaders to become involved in the AECAP due to other priorities. Perhaps the new state directors might have benefitted from more direct technical assistance from the AECAP team soon after their appointment.

The AECAP team's approach for working with the new local pilot site ABE directors was to discuss the AECAP project with the ABE directors shortly after they assumed their position and to involve them in the monthly telephone calls. These calls helped to integrate the new ABE directors into the AECAP project and to minimize the gap in local leadership for the project's activities.

V. Findings from State-Level Coordination

In the AECAP project, the ABE state partners in the six states used the AIDDE© process to identify an area of service that could benefit from coordination with a state partner, the potential partner's needs, their history of collaboration with the potential partner, and possible short- and long-term outcomes from coordination. Once their state partnership was formed, the state partners concentrated on establishing local pilot sites that could implement a coordinated activity related to the state partners' focus of activity. The state partners worked with the pilot sites to assist them in developing their partnerships and provided ongoing support to the sites. As the pilot sites implemented their activities, state partners in three states continued their cross-agency work to develop outcomes at the state level. The outcomes that these states achieved were:

- 1) A database with data elements for reporting Workforce Investment Act (WIA), Title I outcomes and selected data elements for WIA, Title II, which ABE programs and One-Stop providers could use to track clients' referral to each others' services and clients' use of these services;
- 2) An ESOL curriculum in Customer Service Training that can be used nationally in ABE programs and One-Stop Centers and that serves as a model in the state for other curricula that integrate ESOL and occupational training; and
- 3) A statewide professional development system for program improvement for ABE that was adapted from the K-12 system. As a result of the intra-agency coordination, the ABE partner has a refined professional development system that can serve all ABE programs, and the K-12 partner has increased the number of participants using its professional development system.

A number of factors accounted for these three states' successful state coordination activities. There was a history of prior collaboration between the state adult education and workforce partners in two states that provided a basis from which the partners could work together on a new activity for the AECAP project (expanded database and ESOL curriculum). Because the state partners had a prior relationship in which they had worked together to analyze information and develop solutions for common issues of concern, they were able to use the AIDDE© process efficiently to refine their focus for their AECAP state coordination and assist their pilot sites in implementing new services. While both states came to the AECAP project with a specific activity they wanted to implement, their use of the AIDDE© process to examine client data and information about current local program services helped the state partners

identify new services that were needed or to refine the target population for the services that were tested in the local sites.

In a third state, the adult education staff had been working with the K-12 agency partner on implementing a professional development system targeted for K-12 teachers when the AECAP project was announced. The AECAP project provided an opportunity for the ABE state partner to expand her current work on the professional development system and strengthen the relationship between the ABE state partner and the K-12 partner. This expanded relationship helped to build trust between the partners, and one result was that the adult education partner was able to integrate information from the ABE system into the K-12 professional development process, which benefitted both partners.

In the three states where the state coordination was less robust, three factors accounted for the limited coordination. In one state, the departure of the key adult education partner resulted in a time period with no adult education leadership in the state, which restricted the coordination activities that the state adult education AECAP coordinator could undertake with the partner agency. In another state, the departure of the state adult education director followed by the departure of the state workforce partner resulted in a lack of key state staff that could move ahead with state coordination. In the third state, the priorities of the partner agency shifted after the second AECAP workshop, which restricted the types of state-level coordination activities that could be conducted during the timeline of the AECAP project.

VI. Findings from Local Pilot Site Activities

Coordination Service Models from Local Pilot Sites

The AECAP project involved the development and initial testing of coordination service models by nine of the local pilot sites. The models were intended to expand the population of clients served by ABE programs and their partners, increase their quality of services, or enhance the outcomes achieved by clients. Eight of the nine sites completed the AECAP project. The coordination models were identified by pilot site staff as they used the AIDDE© process to review data and examine the issues suggested by the data. In developing services, local pilot site partners worked together to identify a solution that would benefit both partners. The models and the number of pilot sites that implemented the models are the following:

- Cross-referral of clients between ABE programs and One-Stop centers (three sites);
- Targeted instructional services for specific ABE populations (three sites); and
- Provision of integrated ABE/ESL and occupational courses as a pathway to employment or postsecondary technical training (three sites).

Descriptions of illustrative examples of each model from the AECAP project are presented below. Included in the description is the issue or problem that can prompt an ABE program to have a need for the service, the data and information that ABE programs might examine that point to the need, and illustrative services for each of the models that were developed by the AECAP pilot sites.

Cross-referral of Clients. Often clients come to ABE programs with the goal of obtaining employment after they have enhanced their basic skills. Sometimes ABE clients also need a job to support themselves while they participate in ABE services. From the perspective of a One-Stop Center, clients seeking employment may not have the skills or credential necessary to obtain a job and could benefit from participating in ABE services.

Data to Examine. These issues can come to the attention of ABE staff when they review the number of clients that have specified employment as a primary or secondary goal or when staff talk with clients during the program's intake process and clients identify lack of employment as a barrier to their participation in the ABE program. At One-Stop Centers, staff will identify clients' need for basic skills education during enrollment when prior education is reviewed or

when clients are searching for jobs and find that they cannot meet the educational or skill qualifications for the jobs they are seeking.

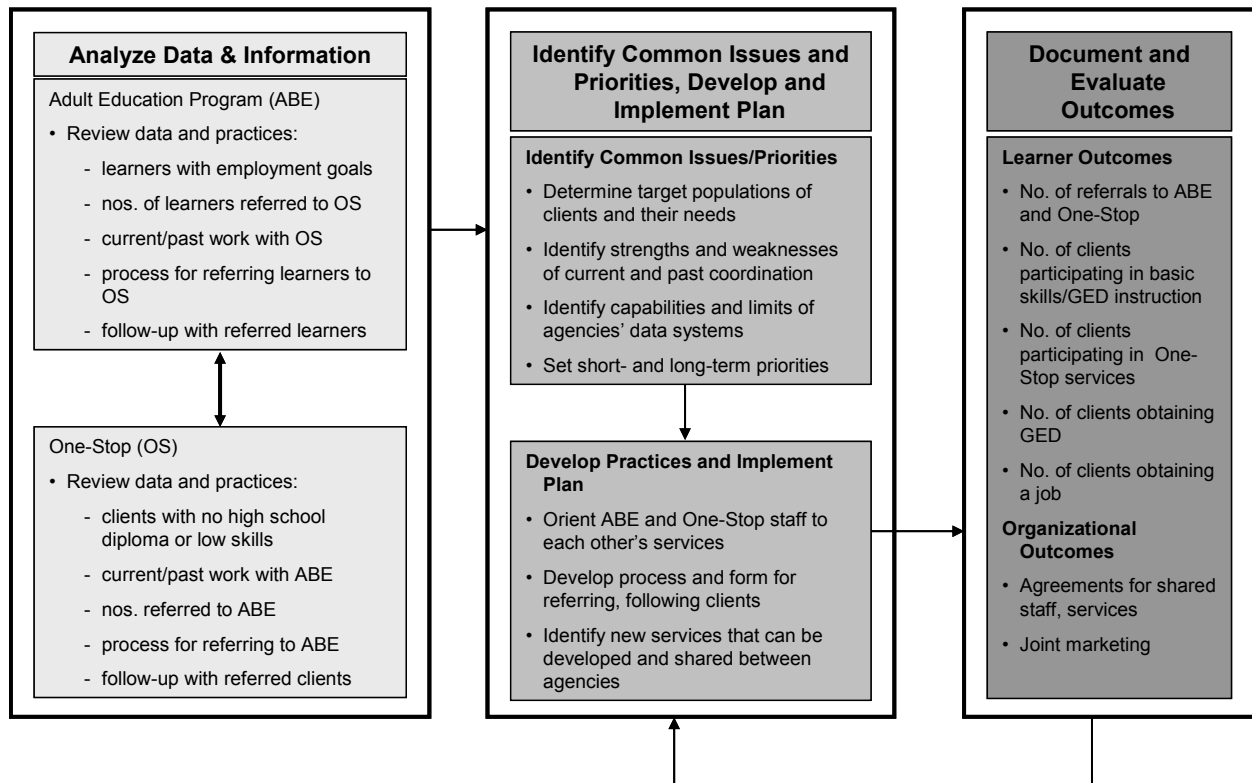
Description of Service. The AECAP project's two Missouri pilot sites, under the guidance of the state adult education and workforce development partners, developed and tested a client cross-referral process between the local ABE programs and the Career Centers—Missouri's local One-Stop service. While the ABE programs and Career Centers in the ABE pilot sites had referred clients to each others' service prior to the AECAP project, they had no tools for tracking the clients referred or for gathering information about the outcomes from referral. To address this issue, a model was developed in the AECAP project that has two components: 1) staff's use of a common client database to track clients' referral to and from the programs and clients' use of services at the programs, and 2) processes for staff to identify clients who might benefit from being referred to the ABE program or the Career Center and to persuade clients that they should access these services.

The first component, the client database, existed prior to the AECAP project and was the Missouri Division of Workforce Development's Toolbox database that the Career Centers used to track clients. As part of the AECAP project's activities in Missouri, the state adult education staff and workforce development staff coordinated the expansion of Toolbox to include key data elements for adult education program reporting. ABE pilot site staff were trained to use Toolbox, and were given access to sections of Toolbox where they could record the types of services that Career Center clients received at the ABE program. Career Center pilot site staff were informed about the addition of the new ABE data elements and participated in training with ABE staff to enhance their use of Toolbox.

For the second component of the service, identifying clients that could benefit from referral, the ABE program and Career Center staff met to orient each others' staff about the services each organization provided and the types of clients who participated in these services. Staff discussed the strategies that they could use to identify clients who should be referred to the other service, the staff who would have responsibility for identifying candidate clients for referral, the time in a client's participation at which to discuss referral to the other services, and the types of information that they could use in talking with clients to persuade them to access the service to which they were being referred. ABE and Career Center staff conducted an initial test of the cross-referral process in working with clients and in using Toolbox and they refined their activities based on their initial test. Both pilot sites increased the numbers of clients who were referred to each others' services during the period of the AECAP project. The state adult education office is planning to disseminate the client cross-referral process to other ABE programs.

A model of the AIDDE© process applied to the cross-referral model is shown in Exhibit 7. This exhibit illustrates the activities that were undertaken by the sites that developed cross-referral processes.

Exhibit 7
AIDDE© Process Model for Local-Level Interagency Coordination
Framework for Adult Education - One-Stop Coordination



Targeted Instructional Services. ABE programs often need to increase their enrollments or may have an opportunity to provide basic skills services to a client population that is not reaching its goals under another service, such as the One-Stop Center. Sometimes employers in a community have a need for better skilled employees, or other community agencies may have an influx of clients who could benefit from developing their basic skills or English-language skills.

Data to Examine. ABE staff can identify these potential issues when they examine a variety of data about client populations regarding individuals' work status or age. The work status of individuals may signal a possible need for ABE services, such as when employed adults have jobs that require a higher level of skills than they currently possess or when adults are seeking a job promotion that requires a new skill set. Dislocated workers or unemployed adults often

need further basic skills education to obtain employment. Age is another variable that can indicate a potential target population for ABE services. As the number of older workers increases in the next 15 years, there is likely to be an increased need for worker retraining that will involve a component of basic skills instruction.

Description of Service. The First Coast Technical Institute (FCTI) and WorkSource in St. Augustine, FL worked together to address two issues: 1) FCTI –the area’s ABE provider, wanted to increase the number of clients attaining their General Educational Development (GED), and 2) WorkSource—north Florida’s One-Stop provider, wanted to increase the number of clients it was able to place in jobs. WorkSource found that the low (3%) unemployment rate of the region meant that employers were requiring job applicants to have a GED. Some clients coming to WorkSource in search of a job did not have a GED, and while they were encouraged to obtain a GED at FCTI, most did not want to attend GED instruction there because FCTI served primarily young adults.

FCTI and WorkSource worked together in developing a GED-Work Readiness Class for clients without a GED and who were unemployed or were seeking better jobs. WorkSource and FCTI both advertised the class to their clients and WorkSource reviewed past client files to identify individuals who might be candidates for the class. WorkSource staff also wrote and taught a work-readiness component for the class. FCTI trained WorkSource staff to administer the TABE placement test, developed and taught the GED preparation component of the class, and assisted WorkSource in developing the work readiness component. WorkSource provided space for the class and worked with employers to identify jobs for clients completing their GED.

Critical steps in the success of FCTI’s and WorkSource’s coordination were:

- Specifying the appropriate client population for the GED-Work Readiness class based on the TABE score and employment goal;
- Customizing the instruction to address clients’ needs for GED preparation coursework and work readiness information; and
- Working together to plan activities, address challenges, recruit clients, and engage clients while they waited for their GED results.

Integrated ABE/ESL and Occupational Courses. As the skills and educational requirements for jobs increase, ABE programs have an opportunity to provide basic skills instruction that can facilitate adults’ pathways to employment or further education. As local labor markets change, ABE programs may be able to develop customized instruction

incorporating basic skills and occupational information that can address the needs for new skills prompted by these labor market changes.

Data to Examine. ABE staff can review local labor market data, the types of training programs offered by postsecondary institutions, and requests from businesses for customized training to determine the potential for developing basic skills instruction that integrates occupational information. This information combined with client’s employment goals and employment status may indicate the need for new instructional services.

Description of Service. Montgomery College and Montgomery Works worked together to increase the number of English Speakers of Other Languages (ESOL) clients referred from Montgomery College to the Montgomery Works’ Sales and Service Learning Center (SSLC). Montgomery Works—the local One-Stop provider, offered an ESOL Customer Service Training course in the SSLC that had been developed by the National Retail Federation and Equipped for the Future, and which integrated training on customer service job skills with ESOL instruction. Montgomery College—the local ABE provider, had ESOL clients who needed employment-related services that were not provided by the college. Furthermore, the ESOL customer service classes at the SSLC were not fully subscribed, while at the same time some learners were being placed on a waiting list for ESOL classes at Montgomery College.

Montgomery College and Montgomery Works conducted a number of activities that were part of the service. After an initial pilot test of the Customer Service curriculum they set entrance scores for the class, using the Comprehensive Adult Student Assessment System (CASAS) Reading and Listening tests, and targeted intermediate-level ESOL learners (as defined by the National Reporting System). They offered a series of classes at the SSLC that were eight weeks long and had a total of 100 hours of instruction. To assist clients in using the One-Stop services and preparing for job interviews, staff developed a component to the class called “Support for Education and Employment” (SEE). The SEE included tours for class participants at the One-Stop Center to learn about their services and job fairs that were held at the SSLC. After completing the customer service class and the SEE activities, several clients were placed in jobs. The Montgomery College and Montgomery Works staff revised the Customer Service Curriculum to increase the ESOL content in the context of sales and service applications to meet Maryland’s ESOL standards, incorporated job readiness content, and developed a Teacher’s Guide. The curriculum is now available to the public.

Outcomes from Pilot Site Coordination Models

The eight sites that developed coordination service models collected data about outcomes achieved by clients who participated in their sites’ AECAP activities. Since the pilot sites’

activities were initial tests of new services, the classes and other activities for the pilot test served small numbers of clients. The data collected from these clients also was a pilot test of preliminary outcomes from the new services, and were not intended to be a formal outcome evaluation.

Cross-referral of Clients. The two pilot sites in Missouri and the pilot site in Auburn, Washington focused on the cross-referral of clients between the ABE partner and the One-Stop service provider. The Missouri sites were able to examine the number of clients referred to each others' services, as well as performance outcome data for these clients. The Washington state site was able to track the number of clients referred to the ABE/GED program before and after the AECAP project.

Missouri Sites. The two pilot sites in Missouri did not have any baseline data from which to assess the changes in the number of clients referred as a result of their AECAP activities, but were able to track the number of clients referred between the ABE program and the Career Center in each location during the period of the AECAP pilot test. Over the three quarters of the AECAP project period in which the pilot sites were testing their cross-referral processes, approximately one-third of the combined clients from the Career Centers in the two pilot site locations were referred to the two pilot site ABE programs during each quarter. Of the 719 clients who were referred to the ABE programs, approximately one-quarter (181) enrolled in ABE services during each quarter. The percent of clients enrolled in ABE that attained a GED during their period of participation in ABE varied slightly over the three quarters: 25 percent (Quarter 1), 19 percent (Quarter 2), and 21 percent (Quarter 3).

The data on clients who were referred from the ABE program to the One-Stop showed an increase over the three quarters: 17 percent (Quarter 1), 35 percent (Quarter 2), and 49 percent (Quarter 3). Of the 121 clients who were referred from ABE to the Career Center, the percent that were served and obtained a job were the following: 45 percent (Quarter 1), 50 percent (Quarter 2), and 19 percent (Quarter 3).

Auburn, WA Site. The Auburn, Washington pilot site was able to collect data on the number of One-Stop clients that were referred to the ABE/GED program during the year prior to AECAP and during the AECAP pilot-test year. The focus of this pilot site's activity was to increase the number of TANF clients that were referred to and then enrolled in ABE/GED services. Of the One-Stop TANF clients who enrolled in Basic Skills Program (ABE/GED and ESOL), the percent placed in ABE/GED increased from 39 percent during the year prior to AECAP to 63 percent during the AECAP pilot year. Of the clients who were placed in ABE/GED, the percent who participated in instruction more than 12 hours increased from 42 percent during the year prior to AECAP to 58 percent during the AECAP pilot year.

Targeted Instructional Services. The two pilot sites in Florida and one pilot site in Georgia developed instructional services that were targeted at subpopulations of clients who could benefit from ABE instruction. The pilot sites in Florida were aimed at serving ABE clients who had employment as a goal. The Liberty, County Georgia pilot site served soldiers from Fort Stewart who needed to enhance their basic skills in order to be eligible for promotion.

Florida Sites. The St. Augustine pilot site developed and offered a GED-work readiness course that was aimed at serving clients who were close to obtaining a GED and who had employment as a goal. The pilot test of this course served ten clients, seven of whom participated in the course for more than 12 hours. One barrier encountered in recruiting clients for the course was finding clients that met the criterion skill level (10th grade equivalent in reading) for the course. Two of the three clients who left the class before completing 12 hours had reading skills much lower than the criterion level. Of the seven clients who remained in the class, four of them took the test, and two of the clients attained a GED.

The ABE and One-Stop partners in the Jacksonville pilot site worked to develop a cross-referral process for clients who could benefit from ABE and One-Stop services. The instructional component of this pilot activity was a Career Breakthrough class for clients with reading skills at the 9th grade equivalent, which prepared clients for the GED and had a work readiness component to facilitate their transition to employment. Sixteen clients were enrolled in the AECAP Career Breakthrough pilot class. Of the 16 clients, ten were pre- and post-tested using the Test of Adult Basic Skills (TABE) test, and eight of these clients had increased reading or math skills at post-test. Of the 13 clients who were eligible to be referred to the One-Stop Center, seven had been referred by the end of the AECAP project and one client had become employed, while the other six were in the process of meeting with the One-Stop Center's case managers at the end of the project.

Liberty, Georgia Site. The Liberty County AECAP site offered customized math classes to soldiers from Ft. Stewart who needed to enhance their skills in order to become eligible for promotion. The soldiers participated in a 36-hour class that was focused on enhancing their math skills so that they could improve their scores on the General Technical (GT) Test of the Armed Services Vocational Aptitude Battery. The Army requires that soldiers achieve a score of 110 on the GT test to be eligible for promotion.

The pre-post test results for 128 soldiers who participated in the classes are presented in Exhibit 8. The soldiers made statistically significant gains in both the TABE Math and TABE Reading tests. Of the soldiers who participated in the class, 66 percent took the GT test after completing the TABE post-test. Of these individuals, 33 percent achieved a score of 110 or higher.

Exhibit 8**Learner Pre-Post Outcomes: Liberty County, GA**

Outcome	Average Pre Test Scale Score (SD)	Average Post Test Scale Score (SD)	Average Gain (SD)	P-Value
TABE Reading	N=128 593 (50.6)	N=128 601 (39.2)	8.8 (39.5)	0.0133
TABE Math	N=128 554 (48.7)	N=128 593 (38.9)	38.6 (36.7)	<.0001

Integrated ABE/ESL and Occupational Courses. The third AECAP model was instruction that integrated ABE or ESL and occupational information. One pilot site in Maryland and one site in Washington conducted these activities.

Maryland Site. Montgomery College and Montgomery Works revised and offered an ESOL Customer Service Training course that had been developed by the National Retail Federation and Equipped for the Future, and which integrated training on customer service job skills with ESOL instruction. During the AECAP pilot test, the pilot staff revised the course and conducted six classes, each of which was offered for 100 hours over an eight-week period. Sixty-six clients participated in the classes for an average of 85 hours, and 86 percent (57) of clients were post-tested. The clients' pre-post test results on the CASAS Reading and CASAS Listening tests are presented in Exhibit 9. The clients achieved gains on both the Reading and the Listening tests, and these gains were statistically significant. Of the participants who were unemployed or looking for work, 43 percent were hired or received a job offer as a result of participating in the class.

Exhibit 9**Client Pre-Post Outcomes: Montgomery College-Montgomery Works Pilot Site**

Outcome	Average Pre Test Scale Score (SD)	Average Post Test Scale Score (SD)	Average Gain (SD)	P-Value
CASAS Reading	N=57 222 (9.48)	N=57 226 (10.13)	4 (7.28)	0.0001
CASAS Listening	N=57 218 (6.9)	N=57 220 (6.9)	2 (6.2)	0.0429

Yakima, Washington Site. Yakima Valley Community College (YVCC) and the South Central Workforce Council worked together to enhance clients' basic skills and their transition to employment. The main activity for the AECAP project was to refer clients that had been assessed through the governor's Comprehensive Evaluation initiative and who had an interest

in the health care sector to a Nurses' Assistant Certification (NAC) training program that was conducted by YVCC. The NAC program had three components: 1) classroom instruction, 2) clinical instruction, and 3) a certification test. For the AECAP pilot, 16 clients participated in the NAC training. The results are presented in Exhibit 10.

Exhibit 10

Class Participation, Progress, and Employment Information on Clients Enrolled in YVCC's Nurses' Assistant Certification (NAC) Training Program during Spring 2006

Enrolled in NAC Class N=16	Completed NAC Class Instruction N=13	Completed Class, Enrolled in NAC Clinical Instruction N=13	Completed Clinical Instruction N=11	Completed Class and Clinical Instruction, Took NAC Certification Test N=11	Took and Passed NAC Certification Test N=11	Obtained Employment After NAC Class N=8
	81% of those who enrolled completed the class	100% of those who completed the class enrolled in clinical instruction	85% of those enrolled in clinical instruction completed clinical instruction	100% of those who completed clinical instruction took the NAC test	100% of those who took the NAC test passed the test	73% of those of passed the NAC test obtained employment

Overall, of the 16 individuals who began the class, 50 percent completed all components of the program and obtained employment in the health sector. The completion rates for each component of the program are described in the exhibit.

Program Improvement Sites

Three of the AECAP pilot sites focused on using the AIDDE© process to identify areas of their programs' services that they could improve. One of the three sites implementing program improvement processes also collected data about client outcomes. This site tested a reading curriculum in fluency and vocabulary for adult learners with reading skills in the 6th to 8th grade equivalence range. The other two pilot sites conducted extensive data collection and analysis to identify the types of improvements that were needed in their programs' services. These pilot sites prepared revised program improvement plans as their product from the AECAP project.

The Savannah, Georgia pilot site focused on improving reading instruction for adult learners with reading skills in the 6th-8th grade equivalence range. Two instructors from Savannah Technical Institute's ABE program were trained to use the *Adult Fluency and Vocabulary (AFV)* curriculum developed by Mary Beth Curtis. The AFV has ten units, and the ABE program integrated the AFV units into a three-hour block of classes that was held on Monday and

Wednesday over a ten week-period. The AFV was taught during each class for one hour, for a total of 30 hours over the ten weeks. During the other time in the class, language arts and math were offered in a lab setting. Nine learners from two classes participated in the pilot test of the AFV curriculum. They were pre- and post-tested using the TABE Reading test and the Diagnostic Assessment of Reading (DAR). The results for the TABE are presented in Exhibit 11. The reading gains for the learners who participated in the AFV class were statistically significant. The analysis of the DAR indicated that two of the nine learners increased their scores by at least one level on the four DAR tests that were administered (Word Recognition, Oral Reading, Word Meaning, and Spelling). The other seven learners improved their scores by at least one level on three of the four tests.

Exhibit 11

Learner Pre-Post Outcomes: Savannah Technical College ABE Program

Outcome	Average Pre Test Scale Score (SD)	Average Post Test Scale Score (SD)	Average Gain (SD)	P-Value
TABE Reading	N=9 541 (13.0)	N=9 575 (17.3)	34.1 (15.3)	0.0002

Outcomes for Pilot Sites’ Program Services

In addition to client outcomes, the pilot sites also had outcomes at the program level as a result of their work in the AECAP project. The program-level outcomes for the AECAP pilot sites were of two types: 1) changes in the populations of clients served and 2) new products or processes that they could use in the delivery of services. The pilot sites that implemented processes for the cross-referral of clients between ABE programs and One-Stop services all documented that they were able to refer clients who utilized the services of the organization to which they were referred, and thus broadened their population of clients. The pilot site that worked with Fort Stewart also expanded its client population to include soldiers from the base, in addition to soldiers’ family members that had been accessing the ABE services.

Curricula were the main products developed for the project, as well as client referral processes. As a result of the AECAP project, the Customer Service Training curriculum was revised and the GED-Work Readiness Course was developed. The Adult Fluency and Vocabulary curriculum, a newly adapted curriculum for use with adults, was pilot tested and the preliminary data on its use are positive. The Career Breakthrough course that includes basic skills taught in the context of work readiness also was pilot tested, and the preliminary results from the pilot test for this course were positive.

The AECAP pilot sites whose partners worked on the cross-referral of clients now have processes that they can implement to continue the cross-referral. Across the sites, staff reported that the interventions that they developed and tested had strengthened their overall program services.

Summary

Nine of the 11 pilot sites that completed the project were able to test their interventions with clients, and the length of these services ranged from 30 hours to 100 hours. These pilot sites also were able to collect client data as a preliminary assessment of the interventions' outcomes. In three of the sites that used new curricula and were able to conduct pre-post assessments, the gain results all were statistically significant, which suggests that these curricula warrant further testing. In all cases, the pilot sites' experiences in developing services, determining the types of data to collect to assess the effects of these services, and collecting and analyzing these data were learning opportunities for the pilot sites and resulted in strengthened partnerships within the sites.

VII. Conclusions

The AECAP project's goal was to test models for planning and coordination through the implementation of state and local demonstration sites. The experiences of the state and local pilot sites in implementing the project's activities provided information about the use of the AIDDE© process, the application of research principles in coordination, communication, and persuasion, and processes for implementing demonstration projects. These results are described in this section.

Sites' Use of the AIDDE© Process

The analysis of information in the AECAP evaluation indicated that, overall, the pilot sites were able to use the AIDDE© process in planning and implementing activities with partners that expanded the types of clients they served or the quality of the services that they provided. One indicator of the pilot sites' use of the AIDDE© process was the extent to which the sites' AECAP Final Plan was implemented as designed. The comparison between the pilot sites' AECAP Final Plan and the activities that the sites implemented as part of their AECAP project revealed that the 11 pilot sites that completed the AECAP project had implemented their Final Plans essentially as they were designed. Some of the sites made adjustments to their planned activities as they obtained new information about clients or as conditions in their agencies or in the community changed that required an alteration in activities. For two of the pilot sites whose ABE program director changed during the early part of the pilot site demonstration, some of the planned activities had to be modified to fit with new priorities that were set in the agency in which the ABE program was located. At another pilot site, adjustments had to be made in the order of the activities that were undertaken when the ABE director identified that a key factor affecting the ABE program's capacity to coordinate with the One-Stop Center was the relationship between the ABE program and the workforce division in the community college where the ABE program was located. The ABE program needed to coordinate with the workforce division within the college in order to be able to work with the One-Stop Center.

Another indicator of the pilot sites' capacity to use the AIDDE© process was the poster presentation that each pilot site gave at the final AECAP workshop. The sites were asked to complete a written poster using the steps in the AECAP process and to describe the process and outcomes of their pilot activities. By the end of the project, the 11 pilot sites that completed the project were able to organize information about their projects so that it corresponded to the steps in the AIDDE© process. They also were able to articulate the processes they used to examine data and to make decisions about the level of clients to serve and the types of activities they would offer to address these clients' needs. Overall, the pilot sites were able to use the

AIDDE© process to identify an issue that was important to both partners and that was substantiated by data. Furthermore, the partners could work together in developing and carrying a new service for clients to address the issue that they had identified in the project.

The information gathered through discussions during the site visits, telephone conferences, and AECAP workshops provided insights about the factors that affected pilot sites' use of the AIDDE© process. These factors are:

- **Extent of Prior Relationship.** Six of the eight local pilot sites focused on coordination between ABE and One-Stop did not have a working relationship with their partners at the beginning of the AECAP project. For these individuals, the AECAP State and Local Partner Workshop was the first opportunity for pilot site partners to get to know each other and the services each provided. It took time for partners to build a relationship so that they could work together in reviewing data, identifying a target population for coordinated services and developing these services.
- **Quality of Pilot Site Data:** Local pilot sites were asked to bring to their first AECAP workshop data about their clients, such as background characteristics, goals for participating in ABE program, education and employment outcomes, and other relevant data related to the issue the state had identified as the focus of the pilot sites' activities. The first workshop exercise in the AIDDE© process is to analyze client and program data, and many of the pilot sites found that their data were incomplete or incorrect as they attempted to complete the exercise. Furthermore, some sites had not brought the appropriate data and thus were not able to conduct the analysis part of the exercise. While the quality of pilot sites' data affected their ability to complete the analysis component of the AIDDE© process, this problem prompted state staff to examine their states' databases and work with sites to identify appropriate data that could be used to identify learner and program issues.
- **Experience in Reviewing and Interpreting Data.** An important part of the AIDDE© process is to identify trends in data and to interpret the implication of these trends for the types of clients that are recruited and the services that are delivered. The pilot site staff varied in their experiences in reviewing and interpreting client data. For some pilot site staff, the AECAP workshop was their first opportunity to spend a focused time reviewing data, drawing initial conclusions about the data, and relating these conclusions to possible next steps in developing a coordinated service. Staff's familiarity with this process affected the time it took for them to complete the process and to plan coordinated activities.

- **Expertise in Developing New Services.** The component of the AIDDE© process that is the most complex is the development and delivery of services to address the problem that is identified from the analysis of data and current practices. Six of the eight pilot sites whose AECAP plan involved the development of new services had limited experience in writing curricula or designing structured processes such as referring clients from one service to another. As a result, these pilot sites developed and revised several iterations of materials and processes before the services were ready to be pilot tested.

These factors partially accounted for the elongated time it took the pilot sites to conduct their activities in the AECAP project. While one assumption guiding the project was that the local pilot sites would be able to complete the analysis and initial planning steps of the AIDDE© process during the first workshop with pilot sites, as a result of the factors described above pilot sites had additional analysis and planning work to carry out after the workshop. As the sites gathered additional data, made adjustments in the data they had brought to the workshop, and determined a focus for their coordinated service, they were able to move ahead in using the AIDDE© process.

Sites' Use of Coordination, Communication, and Persuasion Strategies

During the AECAP workshops for states and local pilot sites, participants learned about the strategies that they might use to develop or strengthen their partnerships. Through the AECAP team's discussions with state and local pilot site staff during the site visits, telephone conferences, and AECAP workshops, project participants provided numerous examples of the ways in which these principles of coordination and communication helped to explain the success they were having in carrying out their activities, in strengthening their partnerships, or addressing challenges in the project. Examples from the states and pilot sites' applications of the coordination strategies are the following:

- **Conditions for Building Partnerships.** In Missouri, the state partners had worked together for many years and saw the AECAP project as an opportunity to carry out a new initiative together. The history of cooperation between the state partners enabled them to negotiate in adjusting the Division of Workforce Development's Toolbox database to incorporate key data elements from the ABE program database, and in pilot testing the use of Toolbox at the local ABE programs and the Career Centers to facilitate the tracking of the cross-referral of clients between the ABE programs and the Career Centers.

- **Forming Partnerships.** Developing a shared vision with agreed-upon objectives and a strategy for meeting these objectives is a key element of forming a partnership. In St. Augustine, Florida, the ABE partner—First Coast Technical Institute and the One-Stop partner—St. Augustine WorkSource, were new partners who worked to develop a service that could meet both organization’s needs to increase clients’ performance outcomes. The partners examined their data and past practices and determined that a GED work readiness class that was taught by the ABE partner’s staff and held at the WorkSource location would be a reasonable pilot activity for the AECAP project. The ABE partner’s GED instructor coordinated with the WorkSource staff in carrying out activities for the pilot and the staff from both organizations were able to have a successful implementation due, in part, to their willingness to set objectives for the pilot project and to be persistent in carrying out activities to meet these objectives.

- **Structuring Coordination.** Developing strategies to focus and foster coordination between partners is a key factor for a successful partnership. All of the AECAP pilot sites reported that the monthly phone conferences facilitated by the AECAP team were instrumental in keeping the pilot sites focused, and provided structure to the pilot sites’ participation in AECAP. Since implementing a pilot test that involved two organizations was a new experience for all of the pilot sites, the monthly telephone calls promoted ongoing communication between the partners to prepare for the calls and to follow up after the calls. The calls also encouraged many of the partners to meet in one location for the call. As the Yakima, Washington partners reported, the AECAP calls helped to keep the project on track and provided a structure for the partners’ communication.

- **Developing Interpersonal Relationships.** A number of the local pilot sites worked to ensure that the benefits of their partnership outweighed the costs of being a partner. During the telephone conferences that the AECAP team facilitated with local pilot sites, the conversation among partners illustrated their flexibility in negotiating activities to keep a balance in the partnership between the benefits obtained from undertaking new or expanded activities and the costs associated with the time it took to conduct the activities. In Auburn, Washington, the ABE partner was able to provide assistance to the One-Stop partner in assessing Temporary Assistance to Needy Families (TANF) clients’ basic skills as part of the state’s Comprehensive Evaluation initiative in which all TANF clients were to be assessed and have a plan developed for their education and training. This activity provided the ABE partner with an opportunity to work with Employment Services staff and provide information about the ABE program. As a result, Employment Services began to refer clients to the ABE program.

- **Communicating.** Open and frequent communication is a key element in a successful partnership. For the local pilot sites with new partners, it took time to develop patterns of communication and a process for addressing challenges. In Liberty County, Georgia, the ABE provider worked with the Army Education Center at Fort Stewart to offer customized math classes to supplement the instruction that soldiers were receiving through the U.S. Army’s Functional Academic Skills Training (FAST) programs. The ABE coordinator and the Army Education Center liaison established a process for sharing information about the soldiers’ progress in the math class and readiness for taking the General Technical test. Their ongoing discussions also facilitated the referral of new soldiers into the ABE program’s math class and enabled the coordinator and liaison to address issues about soldiers’ participation in the classes in an efficient and effective manner.
- **Accessing Resources.** The availability of sufficient funds and materials to carry out the activities of the partnership is essential to its success. The Maryland Department of Education state partner greatly facilitated the partnership between Montgomery College—the ABE partner and Montgomery Works—the One-Stop partner by funding additional staff to work on the partners’ AECAP activity in pilot testing and refining the Customer Service curriculum for ESOL adult learners. The support provided for additional staff strengthened the partnership and enabled the pilot site to complete its activities.

Lessons about Demonstration Programs

The AECAP project provided a number of lessons about processes for implementing a national demonstration project in adult basic education that involves state and local sites. These lessons can be used by states in developing and implementing a demonstration program that includes local pilot sites’ design and testing of new services. The lessons are the following:

- **Application Process.** The AECAP team’s identification of states for the project provided lessons about the use of an application process for selecting states for a national demonstration and for states’ selection of local pilot sites for a state demonstration. One lesson is that the written application should include information related to the organizational conditions and personal characteristics that will be needed for the successful implementation of the demonstration project. To supplement the information in a written application, sometimes a telephone interview should be conducted with key state or local staff to gather additional information on topics that are difficult to describe in a written application. Examples of these topics are the alignment between the state’s purpose for participating in the demonstration and the goal of the

demonstration project; and the willingness of the candidate to participate in the activities that will be conducted during the demonstration project.

- **Selection of Local Pilot Sites.** National and state demonstration projects often involve local pilot sites. Criteria should be set for selecting local pilot sites, which include the staff characteristics and program characteristics that will facilitate the implementation of the pilot site's activities. Staff at a pilot site should have: the skills and knowledge that are needed to carry out the pilot site's activities, sufficient time to conduct the activities, and the motivation and interest to participate as a pilot site. Examples of program characteristics that might be considered in pilot site selection are the quality of the program's database, the size of the programs, and the range of clients that it serves. These characteristics will vary depending on the activities that the pilot site is to undertake.
- **Project Model and Planning Phase.** The use of a specific model or process will help guide demonstration activities and allow for a comparison across sites. Training will be needed to prepare demonstration sites for using a model or process. After the training, sufficient time should be allocated for the state site and local pilot sites to develop a draft and final plan for the activities that they will conduct in the demonstration. While technical assistance will likely be needed by states and local pilot sites in their preparation of plans, the final plan should be prepared independently by the sites. This process will promote sites' commitment to carrying out the plan, and the plan can be used as a baseline for assessing the activities and outcomes from the demonstration.
- **Orientation of Replacement Staff.** Key state and local staff often change during a demonstration project, and sometimes these changes can influence the success of a project. New key staff should be oriented to the demonstration as soon as feasible so that the continuity of the demonstration's activities is not disrupted. These staff also will need time to determine how the demonstration can fit into their vision of services and what the benefits are of participating in the demonstration.
- **Provision of Technical Assistance.** The technical assistance provided to a demonstration project should be multifaceted, ongoing, and focus on the aspects of the demonstration that are the most difficult to implement. For example, when demonstration sites are implementing new activities that they do not usually conduct, such as planning and coordination, it is likely that technical assistance will be needed to guide these activities. Telephone conferences can be an effective method for providing assistance when an agenda is set prior to the call; the topics, issues, and decisions discussed during the call are documented and sent to the sites after the call; and the

expectations for the activities that will be conducted prior to the next call are discussed. The documentation of the telephone discussion also can serve as implementation data. Site visits can be used to provide technical assistance when face-to face discussions are needed to address critical issues or to determine the activities that can be implemented in the demonstration.

References

- Alamprese, J.A. (2003). *Implementing quality adult basic education programs: Systemic change strategies*. Paper presented at the Twentieth Annual Rutgers Invitational Symposium on Education. Bethesda, MD: Abt Associates Inc.
- Alamprese, J.A., Stickney, E.M., & Ricciuti, A. (2003). *Adult basic education state delivery system strategic planning and service provision demonstration program: Final literature review and updated federal funding sources*. Bethesda, MD: Abt Associates Inc.
- Alamprese, J.A. & Stickney, E.M. (1999). *Improving programs through policy and professional development: Lessons learned from project Educational Quality in Adult Literacy (EQuAL)*. Bethesda, MD: Abt Associates Inc.
- Alamprese, J.A. (1993). *Systematizing adult education: Final evaluation report of the Connecticut Adult Performance Program (CAPP)*. Washington, DC: COSMOS Corporation.
- Alamprese, J.A., Brigham, N., & Sivilli, J.S. (1992). *Patterns of promise: State and local strategies for improving coordination in adult education programs*. Washington, DC: COSMOS Corporation.
- Bailis, L. (1989). *An assessment of the JTPA role in state and local coordination activities*. Arlington, VA: James Bell Associates, Inc.
- Blau, P.M. (1964). *Exchange and power in social life*. New York, NY: Wiley and Sons.
- Bryson, J.M. (1995). *Strategic planning for public and nonprofit organizations: A guide to strengthening and sustaining organizational achievement*. San Francisco, CA: Jossey-Bass.
- Cook, K. (1977). "Exchange and Power in Networks of Interorganizational Relations." *Sociology Quarterly*, 18: 62-82
- Glennan, T.K., Hederman, W.F., Johnson, L.L., & Rettig, R.A. (1978). *The Role of demonstrations in federal R & D policy*. Washington, DC: Rand Corporation.
- Grubb, W.N., Badway, N., Bell, D., & Chi, B. (1999). *Toward order from chaos: State efforts to reform workforce development systems*. Berkeley, CA: National Center for Research in Vocational Education.

Holcomb, P.A., Seefeldt, K.S., Trutko, J., & Barnow, B. (1993). *One stop shopping service integration: Major dimensions, key characteristics, and impediments to implementation*. Washington, D.C.: The Urban Institute.

Homans, G. (1961). *Social behavior: Its elementary forms*. New York, NY: Harcourt Brace.

Knapp, M. (Summer 1997). "Between Systemic Reforms and the Mathematics and Science Classroom: The Dynamics of Innovation, Implementation, and Professional Learning." *Review of Educational Research*, Summer 1997, 67 (2), 227-266.

Kotter, J.P. (2002). *The heart of change*. Boston, MA: Harvard Business School Press.

Martinson, K. (1999). *Literature review on service coordination and integration in the welfare and workforce development systems*. Washington, D.C.: The Urban Institute.

Norman, G. & Schmidt, H. (September 1992). "The Psychological Basis of Problem-based Learning: A Review of the Evidence." *Academic Medicine*, Volume 67, No. 9, 557-565.

Rhoads, K.V.L., & Cialdini, R.B. (2002). "The Business of Influence: Principles that Lead to Success in Commercial Settings." In J.P. Dillard & M. Pfau, *The persuasion handbook: Developments in theory and practice*. Thousand Oaks, CA: Sage Publications.

Schmidt, H. (1993). "Foundations of Problem-based Learning: Some Explanatory Notes." *Medical Education*, 27, 422-432.



**Adult Education
Coordination and Planning**



**Abt Associates Inc.
4550 Montgomery Avenue
Suite 800 North
Bethesda, Maryland 20814**