AN ANALYSIS OF THE FUNDING PATTERNS AND SOURCES OF COMMUNITY BASED ORGANIZATIONS WHO DELIVER ADULT BASIC EDUCATION

by

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(ABSTRACT)

The purpose of this study was to explore the funding
patterns and sources of adult basic education(ABE)
provided by community based organizations(CBOs) and to
determine their success in attracting funding from
external sources such as corporations, foundations,
charitable and philanthropic organizations. This study
sought to develop an understanding of the involvement of
community based organizations in delivering adult basic
education services, their funding sources and patterns by
identifying who the funders were, and why they made
financial contributions to CBOs.

This study was exploratory and descriptive in
nature, designed to deal with the lack of methodical
inquiry regarding the funding pattern and sources of CBOs
who deliver ABE. It was designed to bridge the gap

between the assumed notions of the importance of CBOs and their actual levels of funding from a variety of sources.

The research questions guiding the inquiry were, (a) What are the major sources of funding for CBOs who deliver ABE (specifically at the federal, state and local level)? (b) How does the funding pattern differ across CBOs with different demographic characteristics? (c) What is the relationship between the "successfulness" of CBOs in attracting funding and selected characteristics? (d) What are private funders looking for in CBOs when they decide to fund ABE?

The study was conducted in two phases. Phase One consisted of a mail questionnaire that was designed to collect financial and demographic data about community based organizations and their ABE programs. Phase Two consisted of in-depth interviews with foundation officials to gain insight into why and how they fund CBOs.

The majority (46.9%) of the organizations who responded were in their communities for at least 20 years and served constituencies that were predominantly local (county, city, or town) and neighborhoods. About one-fifth (19.4%) had income between $100,000 and $249,999, and 16.1 percent had income between $250,000 and $499,999. Respondents in the income group $1.5 million and over accounted for 22.6 percent. Thirty one

organizations also provided information about their total expenses which indicated that about half of the respondents had expenses less than $750,000 and half had expenses in excess of $750,000. The state government was the most important source of income for these CBOs, followed by the local and federal government, income from tuition, and funding from foundations.

The data show that creating a diverse funding base is important but lacking among CBOs. The data also show that private funders support a wide variety of CBOs; these CBOs are chosen "a priori", do work that are germane to the mission of the foundation, show substantial promise, and are fulfilling a need within their communities.

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CHAPTER 1

INTRODUCTION

The number of adult literacy programs as well as providers is growing prompted by an increase in federal, state, community and philanthropic awareness of illiteracy as an economic and social affliction. Public programs comprises the largest sector, serving an estimated 80 to 90 percent of those who sign up for adult literacy instruction (Office of Technology Assessment (OTA), 1993). Estimates by the U.S. Department of Education (1992) indicate that state and local government support for adult literacy has grown more than eightfold since 1980.

Federal funding based on 1993 estimates for adult literacy and basic skills education was about $362 million, more than double the figure five years ago. More recent and accurate estimates are difficult to find. These increases in funding have led to the development of new programs and service, and also led to the expansion of existing ones. Despite the growth, adult literacy operates at the boundary. Unlike elementary and secondary education, which has a clearly defined and long-established tradition of control by state departments of education and local school districts, adult education has no "system" (OTA, 1993, p. 9).

Although federal literacy dollars are a critical source of sustenance for state and local programs, these dollars are small in comparison with other federal education programs and paltry in terms of the total population in need. According to Rosen (1994) a serious underfunding of adult basic education exists. An infusion of significant new funding is needed from state, local and federal governments as well as from the private sector, to provide adult basic education in this country (Kappner, 1995; Rosen, 1994). According to the Office of Technology Assessment (1993), 60 percent of the funding under the Adult Education Act (AEA) state grant program goes to Local Education Agencies (LEAs) and about 22 percent goes to higher education institutions, and a combination of intermediate agencies, other state agencies and community based organizations (CBOs). Due to amendments in 1972, 1974, 1975, 1978, 1983, 1986 to the AEA that encouraged greater funding for non-school providers of adult literacy programs, there appears to be a shift away from local education agencies (LEAs), schools, and other traditional providers (OTA, 1993). CBOs are perceived as playing a larger role in the delivery of adult literacy services.

It is clear that these amendments expanded service delivery to include CBOs (Bitterman, 1984). A CBO may receive funding from various federal and state programs and private sources. It is also required to adhere to the requirements of the many different agencies or organizations that administer these programs. The substantiation of the seriousness of community based organizations as equal contenders for private and public sources of funding for ABE through research are important to the knowledge base of the field of adult education. Community based literacy programs hold substantial promise in combating illiteracy and in contributing to the alleviation of poverty. These programs operate outside the traditional educational delivery system (local education agencies, community colleges, etc.) and have strong ties to their communities. With the help of these programs, people are able to make education relevant to their needs, as well as make their community a better place in which to live.

However, these CBOs often experience a lack of funding in order to operate these literacy programs and as a result their relevance is questioned. Very little has been written about the role of community based literacy based programs in fighting illiteracy and innumeracy, their role in the community, and their funding sources. In addition, very

little has been written on the nature of the funding sources
of CBOs who provide Adult Basic Education (ABE). A need
therefore exists for research that deals with an analysis of
the funding sources of CBOs who provide ABE. Research
dealing with the funding of CBOs who deliver ABE can provide
valuable information about the sources and patterns of
funding, and can also provide a vehicle for CBOs to create a
diverse funding base.

Background of the Study

The problem of adult literacy and numeracy in the
United States is a serious one (Kappner, 1995). The Office
of Technology Assessment (OTA) in 1993 estimated that at
least 35 million adults have difficulties with common
literacy tasks. It was further estimated by OTA that
government sponsored programs, the largest sector of
literacy providers, are at present serving approximately 4
million adults. About 34 percent were enrolled in ABE, 26
percent in adult secondary education programs leading to a
GED or high school credential, and 40 percent in English
language programs (Kappner, 1995). The problem of
inadequate literacy skills among adults is expected to grow
over the next several decades. High rates of immigration
and rising rates of poverty indicate that the number of

children and families who are educationally at risk will continue to grow. These and other indicators suggest that literacy can be most effectively addressed through a "life-span" perspective that encompasses both remediation and prevention (OTA, 1993).

According to Limage (1993), the earliest formal measures to deal with adult illiteracy came with the introduction of the Manpower Development and Training Act in 1962. This Act established a program with a functional literacy component, adult basic education, for workers who were not in a position to take advantage of retraining schemes that existed at the time. The Economic Opportunity Act followed in 1964 with the objective of making direct funding available for adult literacy. It included target groups such as the unemployed, the under-educated; socially, culturally, and economically deprived adults; and migrant and seasonal workers.

In 1965, the federal government further intervened through the form of the Higher Education Act which allowed training of teachers to work in economically deprived areas. This action resulted in the Adult Literacy Act of 1966, with a specific focus on adult literacy. Limage (1993) further contended that all this legislation, including the 1971 National Right to Read Program, was directed at making

adults more employable, and societally self-sufficient, and at creating a better informed citizenry.

The passage of the Adult Education Act in 1966 changed the role of the federal government and created a categorical grant program for adult literacy and basic skills education. This Act and ensuing legislative initiatives have helped define key features of the delivery system today (OTA, 1993). Although local school districts continue to be the primary (traditional) providers of adult literacy education, programs operated by CBOs have increased and a slight shift away from school-based programs has occurred (Bitterman, 1984; OTA, 1993).

Funding is a constant concern for providers of adult literacy education. Federal spending on adult literacy lags behind state expenditures and is treated as a low national priority. According to OTA (1993) the funding for adult education for Fiscal Year 1992 was $0.27 billion dollars, whereas vocational education received $1.2 billion and student aid $6.9 billion dollars. Compared to the other programs, adult education programs operate on a shoe string.

Public funding for adult education at all levels (federal, state, local) have started to shrink beginning in the mid 1980s. Harris (1984), stated that the federal government was reducing the amount of aid or grant money,

state governments were unwilling to fund local adult

education projects, and county councils were refusing to be

involved in the financing of adult education. Many local

programs are dependent on the Federal adult education grant

for the vast majority of their funding (Kappner, 1995). The

ability of most of these CBOs to provide quality ABE

services is largely dependent on their ability to attract

external sources of funding which include both the private

and public sector. For this study, the term "ABE" is key to

understanding the funding structures at the federal, state

and local government level, and the community based

organizations who provide it.

Adult Basic Education

Adult basic education (ABE) is a generic term to

describe the building blocks of the lifelong learning

structure. It refers to the basic areas of reading and

writing. According to Taylor (1990) "the rubric of adult

literacy and basic education" especially in North America

implies a field of practice that includes programs of ABE

and in some communities English as a Second Language (ESL).

ABE very often strives to develop competence not only in

printed English but also with computational and other coping

skills (Taylor, 1990, p. 465). ABE is but one program of

many (such as Adult Secondary Education, GED preparation, ESL, etc.) that deals with the problem of illiteracy and innumeracy.

Adult Basic Education is a categorical program with goals, objectives and outcomes that are clearly defined. ABE is sometimes referred to as "below the 8th-grade level," and is typically divided into three levels: level 1 refers to students functioning at reading grade levels 0 to 3; level 2 for those at the 4th-to-6th-reading grade levels, and level 3 for the 6th-to-8th-reading grade level (OTA, 1993, p. 110).

ABE is the largest provider of adult literacy tuition in the United States. It enjoys federal funding but does so at a level that prevents its future expansion (Limage, 1993; OTA, 1993). According to Norris (1993) ABE has the opportunity to become a more significant agent of change for both individuals and communities than it has in the past. By thinking differently about what literacy programs could be, reimagining their curriculum, redesigning training, and reformulating funding, ABE can strengthen not only its current presence but also its future. An understanding of the provision of adult basic education at the federal, state, and local level is imperative to this study.

Federal Involvement in Adult Education Provision

The role of the federal government in the provision of education has always been a de facto one. According to Delker (1987) all federal government planning for education is conditioned by the principle that education is the responsibility of the separate states. This principle is explicit in the U.S. Constitution which prescribe no specific educational function to the federal government. The role of the federal government broadly speaking is to set policy, to enact laws as they relate to ABE, to make sure that the states adhere to these mandates and to provide federal funding.

It is very difficult to quantify trends in federal appropriations for support of adult education programs. From a historical perspective it is important to mention that in real dollars, adjusted for inflation, the upward trend in appropriations was more apparent than real during the Carter and Reagan presidency. Much of the limited increase in dollar amounts has been eroded by losses in purchasing power (Delker, 1987; Collins & Long, 1990). The dollar amounts appropriated for a variety of adult education programs have increased over the years. However, the growth in dollars has been small and actual improvements in the

financial health of these programs that are entirely
dependent upon federal appropriations have been weak
(Collins & Long, 1990).

Section 313 of the Adult Education Act authorized
appropriations of $260 million for fiscal year 1992, and
"such sums as may be necessary for each of the fiscal years
1993, 1994 and 1995. The allocation of funds is determined
by a Congressional formula (the number of persons 16 or over
without a high school diploma, available from census data).
According to the Office of Technology Assessment (OTA,
1993), at least 29 different federal programs in seven
agencies support adult literacy and basic skills education
as one of their primary purposes and many more include adult
education as a peripheral goal. The Department of Education
(ED) is taking the lead in this regard, but other agencies
such as the Department of Health and Human Services (HHS)
and the Department of Labor (DOL) are also beginning to play
more prominent roles. According to estimates provided by
OTA, spending for adult literacy totaled close to $362
million dollars in fiscal year 1992.

State Involvement in Adult Education Provision

The states have de jure responsibility for education in
the United States. The state is the unit through which

federal funds for adult basic education programs are administered (Grotelueschen, Gooler & Knox, 1976; Collins & Long, 1990). In order for states to qualify for federal funds under the Adult Education Act they have to submit and have approved a comprehensive State Plan for Adult Education. These State Plans must cover a period of at least three years. The requirements in the Adult Education Act for these State Plans can either be "prescriptive" or "enabling" which is very common of federal formula programs in education since 1917. Prescriptive State Plan requirements are very restrictive and set specific guidelines as to how these plans should be developed. Enabling State Plan requirements are less restrictive and leave a lot of room for the states to determine the specifics determinations of the Plan. Enabling State Plans only require a general description of the system and that the States comply with basic conditions within the law (Delker, 1987, p. 67).

It is clear from the above that what is meant by "prescriptive" and "enabling" is very unclear and controversial, and diminishes the purpose and intent of the State Plan. As a result of the dichotomy that exists between "prescriptive" and "enabling" requirements, these State Plans are regarded by the states as a compliance

mechanism to receive funding. Thus, the Adult Education Act is without a doubt seen as falling within the area of "enabling."

State expenditure on adult education in general has surpassed that of the federal government (Delker, 1987, OTA, 1993). Between 1980 and 1990 federal expenditures for adult education increased from $100 to $158 million, while state and local expenditures rose from $74 to $622 million. All 50 states participate in the major federal literacy-related programs and other related federal Programs. In addition to these programs, states also finance their own programs, both to fulfill their matching responsibilities under federal programs (10 percent of State dollars) and to carry out state-identified priorities (OTA, 1993, 95).

Private Sources of Funding

Private support for adult basic education is diverse. Sources of such support include religious organizations, unions, private individual contributions, foundations, corporations and many more.

Bitterman (1984) who at the time she wrote the article was the Coordinator of Adult and Continuing Education for the New York City Board of Education, posits that the logical implication of state adherence to federal guidelines

with respect to expansion is that the local ABE program
would be increasingly cut back to support the competitive
community based organization operations. She further states
that a greater amount of federal money should be set aside
for the delivery of adult basic education through community
based organizations (1984, p. 168).

Local Involvement in Adult Education Provision

In most communities the local adult basic education
programs have traditionally been conducted by the adult
education division of the public schools. In many other
communities the local sponsor was a community college which
typically reflected greater state financial subsidies
(Grotelueschen, Gooler & Knox, 1976). In ABE the
acknowledged problem of the past decade has been to devise
ways to reach and serve the "most in need", those
individuals of the population that are most deficient in
basic skills and hence condemned to participate marginally
in the predominant society and economy (Bitterman, 1984, p.
160). In 1978 and thereafter amendments to the Adult
Education Act were introduced to remedy this problem which
required state governments to involve both public and
private organizations and agencies to provide adult basic
education. These amendments called for the decentralizing

of the delivery of ABE, with the assumption that such a diffusion of service would be more effective in addressing the problem of illiteracy. They had important implications for the funding of ABE in general. Today, the providers of ABE are more diverse and include local school districts, community colleges, community based organizations(CBOs), libraries, literacy volunteer organizations, prisons, labor unions, business and industry, preschool and Head Start programs and coalitions of the above.

At the local level CBOs are playing a pivotal role in the provision of adult basic education and literacy programs and they hold considerable promise in helping to fight illiteracy. The Association for Community Based Education (ACBE, 1995) states that community based literacy programs view individual and community development from a holistic perspective. Community based literacy programs are designed to move participants from a sense of being acted upon to a sense of being able to take greater control over their lives.

Community based literacy programs are strongly linked to community change, economic development, urban renewal and revitalization, and more (Hunter & Harman, 1979; Bitterman, 1984; ACBE, 1995). Community based programs are regarded as being more "action oriented" and able to deliver more

comprehensive service to those who are on the periphery of the mainstream culture and considered "marginal" (Hunter and Harman in Bitterman, 1984). The unique features of CBOs provide a useful framework for research in understanding their contribution and role in the delivery of ABE.

Statement of the Problem

Goal 5 of the National Education Goals states that by the year 2000 "Every adult American will be literate and will possess the knowledge and skills necessary to compete in a global economy and exercise the rights and responsibilities of citizenship" (United States Department of Education, 1993). Very little indication of how this goal is to be achieved is given. There is no massive campaign underway to indicate that the federal government is treating this problem seriously.

Education of children is mandated either by law or the constitution in most states. Adult Education does not have that legal mandate. Without the vehicle of law, when it comes time for the local government to balance its budget, education (particularly, adult education) is an easy target for cuts (Harris, 1984).

The lack of research in the area of funding of adult literacy is a major obstacle in understanding and improving

the effectiveness of the delivery of adult literacy. In particular, research is needed as it relates to CBOs and their funding patterns, to help understand how they are funded, and who the major funding sources are in an effort to inform practice and the improvement of the various approaches to ABE already operative in the field. Although CBOs are becoming important providers of ABE in the United States, very little about them is known from an ABE perspective. Research in this area can help facilitate a better understanding of the role of CBOs, and improve the flow of funding and provision of ABE.

Although an extensive literature base exists on ABE in general and budget information from the states and federal government on ABE is readily available, the literature does not include any formal study on CBOs general funding streams and patterns and their ability to attract private and public sources of funding. This is an important piece of the puzzle to facilitate a better understanding of funding and expenditure patterns, and to help foster closer ties between funders (private or public) of ABE services and those organizations who deliver such services.

Unless the issue of CBOs as providers of ABE and their funding patterns and streams are better understood, their contributions to the delivery of ABE may be ignored, their

purpose and significance may be misconstrued and the research that is critically needed to improve funding and strengthen adult literacy may be denied.

Purpose

The primary purpose of this study was to investigate the funding patterns and sources of adult basic education of community based organizations(CBOs) and to determine if they (CBOs) have been successful in attracting external sources of funding. A related purpose was to determine the composition of the various sources of funding which include corporations, foundations, charitable and philanthropic organizations, etc. A further purpose was to investigate how funding differed across different types of CBOs and what criteria funders employed when selecting CBOs who deliver ABE.

This study sought to develop an understanding of the involvement of community based organizations in delivering adult basic education services, their funding sources and patterns by identifying who the funders are, why they contribute, and to see if there was a relationship between funding and the provision of ABE services.

Research Questions

Given that community based organizations are regarded as important agents for the delivery of ABE in the future and given that they will require funding not as traditional school based programs four major questions will be explored in this study:

1. What are the major sources of funding for community based organizations who deliver adult basic education? Specifically, how much of the budget is derived from:

    a. the federal government.

    b. the state government.

    c. the local government.

    d. Foundations, corporations and philanthropic organizations.

2. How do the funding pattern differ across community based organizations with different demographic characteristics?

3. What is the relationship between the "successfulness" of CBOs in attracting Federal funding and selected characteristics of CBOs. What is the relationship to:

    a. The stated mission?

b. The variety of programs offered by CBOs?

c. The number of participants in ABE served by CBO?

4. What are funders looking for in funding community based organizations who deliver adult basic education?

a. Why are they giving to community based organizations who deliver adult basic education?

b. How do they make the decision as to the percent of their budget that is allocated to CBOs who deliver ABE?

Significance

The results of this study will provide urgently needed information about the role, activities, delivery of ABE, purpose and funding mechanisms of nonprofit organizations in general and community based organizations in particular. The study will allow leaders of community-based organizations who work with adult learners to better understand the importance of funding from external sources in order to provide quality ABE programs in their fight against illiteracy.

Definition of Terms

The following terms are defined for this study:

Adult: A person who has reached the age of 16 years or who is beyond the age of compulsory schooling under state law.

Adult Education: Services or instruction below the college level for adults who lack mastery of basic skills which results in an inability to speak, read or write the English language which comprise a substantial impairment of their ability to get or retain employment commensurate with real ability, and therefore are in need of programs to help eliminate such inability and raise the level of education of such individuals with a view to making them less likely to become dependent on others.

Adult Basic Education: Instruction at the level of 8th grade or below. Any purposeful effort toward self-development in the basic skills of communication, computation, health, consumer development, and citizenship carried on by an adult who is generally classified as functionally illiterate or undereducated.

Community-Based Organizations: Private nonprofit organizations which are representative of a community or significant segments of a community and which provide

education, vocational education or rehabilitation, job training, or internship services and programs and includes neighborhood groups and organizations, community action agencies, community development corporations, union related organizations, employer related organizations, tribal governments, and organizations serving Native Alaskan and Indians.

Community: A group of people who are socially interdependent, who participate together in discussion and decision-making, and who share certain practices that both define the community and are nurtured by it.

Literacy: A person's ability to read, write and speak in English, and compute and solve problems at levels of proficiency necessary to function on the job and in society, to achieve one's goals, and develop one's knowledge and potential.

Non-profit organizations: Refer to organizations who have a legal form, a board of directors and officers, pay compensation, is allowed to receive a profit, make investments, produce goods and services. The organization is not allowed to distribute the profit (net earnings) to those who control and/or financially support it. The profit should be used for some end that is beneficial to society at large. These organizations are usually exempted from paying

federal taxes.

Numeracy: Numeracy is the understanding and the application of the mathematics that a person requires for work, study and everyday life.

Success: Refers to the following measures or criteria: the number of students participating in adult basic education, the number of full-time and part-time teachers, training and development activities for staff, types of instructional methods used, and the number of volunteers the utilized by the organization.

Assumptions

The primary focus of most adult basic education is skills training that is performed on a part-time basis. Research is needed but should remain a subsidiary activity to the practice and delivery of ABE. Funding is critical and important to the longevity of ABE. It is assumed that the data provided by the respondents would be valid, in spite of being self-reported, based on financial statements and quarterly and annual report as well as memory. It is also assumed that directors and executive directors of CBOs are the staff members that are best-equipped to answer the questions that relate to funding and other aspects of their organizations. It is further assumed that community based

organizations have a diverse funding base. It is also assumed that foundation, corporation, and philanthropic organization officials would best be able to answer questions that relate to funding provided for ABE.

Delimitations

This study was descriptive in nature. The research questions were designed to help shed light on the patterns and sources that are relevant to the intricacies of funding to CBOs. All the data that were collected in this study are based on the responses of officials at community based organizations, foundations, and other grantmaking institutions. To that end, the data will only be as valid and complete as the officials' recollections, their willingness to share their perceptions, and their straightforwardness in providing responses.

CHAPTER II

REVIEW OF THE RELATED LITERATURE

Introduction

An abundance of literature related to Adult Basic Education (ABE), community based education, and community development was identified based on searches in ERIC, Dissertation Abstracts, PsycInfo, the Association for Community Based Education and numerous other sources. Despite this abundance, very little of it had direct application to adult basic education provided by community based organizations (CBOs). Most of the literature was theoretical in nature and no single study in essence dealt with the role of community based organizations of interest to this study.

The related literature in essence can be classified into ABE and CBOs. The literature on ABE dealt with the law, particularly the Adult Education Act and funding practices. In Chapter One, these themes were considered as part of the issues dealing with funding and CBOs. This chapter reviews the related literature with the objectives of (a) presenting a theoretical framework for understanding the importance of funding to CBOs and (b) to review the body of knowledge concerning the delivery of ABE by CBOs.

Historical Evolution of the Adult Education Act

Historically the federal government's involvement in adult literacy has been very limited. From the 19th through the early part of the 20th century, the federal government did not regard itself as a custodian of general literacy instruction. According to the OTA adult education programs were conducted by a host of organizations such as religious groups, settlement houses, charitable organizations, public schools and a host of other private and public organizations. The federal role was limited to documenting literacy and illiteracy rates through the decennial censuses and providing some adult education for selected civil servants (1993, p.129).

As a result of the surge of immigrants that came to the United States during the first half of the 20th century, the federal government had to rethink its role toward adult education. This resulted in the enactment of an education program for immigrants in 1918 and for adult Native Americans in 1921, the inception of a literacy campaign in 1936, as well as the development of literacy materials for military personnel at the end of World War II (OTA, 1993).

The early 1960's marked a turning point in the role of the Federal government in education. In 1963, the United States Congress amended the Manpower Development and

Training Act to provide basic skills education for unemployed adults. In 1964 a State adult education program under the Economic Opportunity Act was created (OTA, 1993; Limage, 1993; Collins and Long, 1990) to fight the War on Poverty which was overseen by the Office of Economic Opportunity (OEO). The modern Federal role in adult education really took shape in 1966 with the passage of the Adult Education Act (Table 1, pages 29, 30). It is worth noting that prior to 1966, very few States had invested in adult basic education on their own.

The Adult Education Act

The Act is known as the Adult Education Act(AEA) and can be found in Title III. According to Section 311 (p.1) the purpose of the Adult Education Act is to "assist the States to improve the educational opportunities for adults who lack the literacy skills required for effective citizenship and productive employment, to and expand improve the current delivery for delivering adult education services including delivery of such services to educationally disadvantaged adults, and to encourage the establishment of adult education programs that will":

(1)   enable these adults to acquire the basic

educational skills necessary for literate
functioning;

(2) provide these adults with sufficient basic
     education to enable them to benefit from job
     training and retraining programs and to obtain and
     retain productive employment so that they might
     more fully enjoy the benefits and responsibilities
     of citizenship; and

(3) enable students who desire to continue their
     education to at least the level of completion of
     secondary education.

It should also be noted that since 1986 the Federal
Adult Education stopped, but has undergone various
amendments and reauthorizations.

Table 1:Federal Role in Adult Literacy: 1771 to 1986.

1771	First expenditure of Federal funds to provide instruction in mathematics and military skills to Continental Army soldiers.
1840	U.S. Census collects first literacy data by asking heads of families how many white persons over age 20 in household cannot read and write.
1879	Federal School for Engravers provides first education and training to civil servants.
1914	WWI testing reveals 25% of draftees are illiterate.
1917	Legislation requires potential immigrants over 16 to pass literacy test.
1918	Passage of Immigration and Nationality Act: funds public schools programs: English, history, and government for naturalized candidates.
1921	Passage of On-Reservation Indian Adult Education Act: literacy training for Native Americans.
1929	President Hoover appoints Advisory Committee on National Illiteracy; committee spearheads campaign with goal of teaching 5 million adults to read.
1933	President Franklin Delano Rooseveldt initiates three employment programs with basic skills components: Federal Emergency Relief Administration, Civilian Conservation Corps, and Works Progress Administration. In 1936, Works Administration starts 4-year literacy campaign.
1945	The military develops literacy material with functional approach based on military life.
1955	The U.S. Office of Education establishes an Adult Education section.
1963	Congress passes Library Services Act; amends Manpower Development and Training Act to support basic skills for unemployed adults and out-of-school youth; and passes Vocational Education Act.

1964	Passage of Economic Opportunity Act: establishes Adult Basic Education State grant program for adults 18 and over whose inability to read or write English impairs their employment opportunities. Congress also approves Library Services and Construction Act.
1966	Congress passes the Adult Education (AEA): establishes Adult Basic Education program with broader mission than OEO program. Shifts responsibility to U.S. Office of Education.
1969	U.S. Office of Education initiates Right to Read campaign. Its goal: eradicating illiteracy by 1980.
1970	Congress amends AEA to encourage States to establish secondary-school completion programs for adults without high school diploma.
1972	Amendments to AEA expand programs for Native American adults.
1974	Further amendments to AEA limit share for adult secondary programs, create special programs for limited-English-speaking adults and the elderly, reserve funds for teacher training programs.
1975	Federally sponsored Adult Performance Level study declares that 20 percent of adult Americans are functionally incompetent and another 34 percent are marginally competent.
1978	Amendments to AEA seek to expand service delivery system, encourage support services, give special attention to adult immigrants, and authorize several new research activities.
1982	Census Bureau survey estimates between 17 and 21 million American adults-nearly 13% are illiterate.
1983	U.S. Department of Education establishes the Adult Literacy Initiative.
1986	National Assessment of Educational Progress concludes that great majority of young adults ages

Section 313 of the Adult Education Act has authorized appropriations of $260 million for fiscal years 1992, and "such sums as may be necessary for each of the fiscal years 1993, 1994 and 1995.(p.6)" Programs authorized under this title include the following categories: academic programs(basic education, special education programs, ESL programs, secondary school credit programs); vocational training programs, library development and library service programs; corrections education programs, guidance and counseling programs; supportive programs for criminal offenders; and, cooperative programs with educational institutions, community-based organizations of demonstrative effectiveness, and the private sector.

In the United States the responsibility of the federal government as it relates to education is very clear. According to Paul Delker (1987, p. 65) "all Federal government planning for education is conditioned by the principle that education is the responsibility of the separate states. This principle is explicit in the U.S. Constitution with no specific educational function prescribed to the Federal Government." The role of the Federal Government broadly speaking is to set policy, enact laws as it relates to ABE, making sure that the states adhere to these mandates and to provide federal funding.

Federal support for adult basic education and adult
secondary education according to Delker, essentially takes
place in two forms. The first form takes the place of
federal dollars that are provided for education for adults
when their education is related to achieving a national
goal. The second form, deals with federal dollars that are
designed primarily to develop and increase the capacity of
the fifty States to provide educational services already
constitutionally designated to them. The latter form of
support is very often general and aimed at all citizens or
it may be categorical and be directed at specific target
populations(p. 65).

In a federal system the provision of education becomes
the responsibility of the various states that comprises the
federal system. To avoid any confusion about the Adult
Education Act of 1966 in the United States, it might be
prudent to briefly point out the purpose of the Act. It is
essential to note that the Act authorizes only Adult Basic
and Adult Secondary level programs and refers to these
collectively as "Adult Education". Other legislation such
as the "Higher Education Act", post-secondary level
education is referred to as "Continuing Education". For
purposes of this study, the former definition will apply.
At the time the Adult Education Act and its antecedent Title

IIB of the Economic Opportunity Act of 1964 became law, there were virtually no adult basic education programs generally available to citizens of any State (Delker 1987, p. 66). As a result of this situation, it is important to single out two provisions of the Act. The first provision allows Federal funds to cover up to ninety percent of total program costs and the participants in basic education programs are exempted from paying any fees. The second provision does not set a cap or limit on the amount allowed for state administration costs. What these two provisions in particular have done, were to assist States in developing adult basic education capacity that did not exist before.

Section 322, Subpart 1 of Part B of the Adult Education Act explicitly states that each State educational agency receiving financial assistance shall provide assurance that local educational agencies, public or private nonprofit agencies, community based-organizations, correctional education agencies, postsecondary educational institutions, and institutions which serve educational disadvantaged adult will be provided direct and equitable access to all Federal funds provided under this subpart. Failure to provide the assurance required by the preceding sentence shall disqualify a State from receiving assistance.

Section 323 further states that of the amount provided by the State agency to adults who are eligible, at least 95 percent must be expended for adult education instructional services. The rest shall be used for planning, administration, personnel development, as well as interagency coordination.

State Plans

In order to qualify for Federal funds under the Adult Education Act, states are required to submit and have approved a comprehensive State Plan for Adult Education (Delker, 1987, p. 67). The State Plan cover a period of four years. In developing the four year State plan, each State is required to make a thorough assessment of the needs of adults, including educationally disadvantaged adults, eligible to be served as well as adults proposed to be served, those being served and the capability of existing programs and institutions to meet those needs.

The State Plan requirement as outlined in the AEA is typical of Federal formula programs in education since 1917 (Delker, 1987). In formulating the State Plan, it is required that the State agency meet with and utilize the State advisory council. The State Advisory Council is permitted, but not required, and its size, composition,

representation, frequency of meeting, and functions are left to the discretion of the State.

State Administrative Responsibilities

The AEA stipulates that the State Educational agency is the sole State agency charged with the responsibility for administration and supervision of the various programs under Title III. The State agency inter alia is responsible for the development, submission, and implementation of the State application and plan. The State Educational agency is also charged with the responsibility of evaluating whether programs under this title are effective and successful in recruiting, retaining and improving the literacy skills of the individuals served in such programs.

The State Educational agency is also responsible to consult with the State advisory council and other appropriate agencies, groups, and individuals who are involved in the planning, administration, evaluation, as well as coordination of programs that are funded under this title. Another responsibility of the State Educational agency is to assign personnel as may be necessary to carry out the programs under this title.

Federal Administrative Responsibilities

The AEA states that the Federal share of expenditures
to carry out a State plan must be paid from a State's
allotment available for grants to that State. The Federal
share is 75 percent of the costs of carrying out the State's
programs for fiscal year 1995 and for each fiscal year
thereafter. With regard to the maintenance effort, the Act
states that no payment to any State from its allotment for
any fiscal year will be made unless the Secretary of
Education finds that the fiscal effort per student or the
amount available for expenditure by such State for adult
education from non-Federal sources "for the second preceding
fiscal year was not less than such fiscal effort per student
or such amount available for such expenditure for such
purposes from such sources during the third preceding fiscal
year" (AEA, 1986). It is the responsibility of the
Secretary of Education in consultation with appropriate
educators, experts and administrators to develop indicators
of program quality that State and local programs can use to
help them in receiving federal assistance. Table 2 outlines
enrollment of the various States in ABE, ESL, and Adult
Secondary Education; funding sources; funding allocation;
the ranking of the state; and the percent of target
population served. The target population used are the

number of persons 16 and older who do not have a high school credential (and are not currently enrolled in school). The national rankings indicated in the table are based on the number of high school credentialed individuals. The table is helpful in indicating the level of activity of State and Federal support for literacy in general and for ABE in particular. The table also indicates that the State and local support for adult literacy surpasses that of the Federal government for most of the fifty States. Funding sources for Montana and New York were not available. It could also be inferred from the table that illiteracy and innumeracy is considered to be a responsibility of the individual States which is evident from the level of funding from the Federal government. States with high national rankings for illiteracy such as California, Florida, Illinois, Michigan, New York, Texas, allocated more than 50 percent of their total funding for fiscal year 1994 to ABE/ESL.

Table 2: Funding Sources and Funding Allocation of States under the Adult Education Act for 1993

State	% Pop Without High School	Nat'l Rank	Enrollment ABE	Enrollment ESL	Enrollment ASE	Funding Sources (Thousands) Federal	Funding Sources (Thousands) State	Funding Sources (Thousands) Total	Funding Allocations (Thousands) ABE/ESL	Funding Allocations (Thousands) ASE	Funding Allocations (Thousands) Institutional	Funding Allocations (Thousands) Demonst	Funding Allocations (Thousands) Admin
Alabama	35%	16th	34,184	2,135	9,381	$2,777	$2,800	$5,577	$4,031	$870	$525	$339	$338
Alaska	15%	51st	3,125	1,303	911	$378	$1,761	$2,139	$1,580	$379	$38	$120	$60
Arizona	24%	25th	11,054	15,655	10,008	$1,487	$2,725	$4,212	$2,844	$1,115	$254	$150	$103
Arkansas	35%	27th	16,524	913	13,408	$1,782	$7,442	$9,224	$4,025	$4,583	$581	$186	$431
California	28%	1st	189,573	572,064	200,946	$10,966	$216,952	$227,949	$140,356	$84,525	$1,800	$2,493	$575
Colorado	18%	33rd	7,073	3,691	2,918	$1,343	$358	$1,701	$1,234	$266	$244	$135	$67
Connecticut	22%	29th	10,660	21,457	25,071	$1,773	$11,922	$13,694	$11,940	$882	$182	$241	$632
Delaware	24%	46th	1,501	666	460	$545	$630	$1,175	$557	$74	$55	$55	$83
District of Columbia	30%	44th	1,899	5,308	7,102	$605	$4,221	$4,825	$3,407	$927	$133	$105	$387
Florida	28%	4th	147,528	113,233	176,005	$5,611	$52,680	$58,291	$56,162	$945	$586	$902	$282
Georgia	31%	10th	45,072	14,035	21,012	$3,743	$2,601	$6,344	$4,102	$1,019	$398	$352	$871
Hawaii	21%	41st	14,378	15,430	23,235	$609	$1,389	$2,018	$1,838	$0	$95	$86	$93
Idaho	22%	43rd	7,053	1,354	1,808	$648	$180	$828	$514	$186	$95	$65	$63
Illinois	26%	6th	27,842	46,054	15,740	$6,291	$7,305	$13,596	$9,305	$2,898	$677	$968	$425
Indiana	26%	14th	27,519	3,582	19,382	$3,132	$21,749	$24,881	$9,635	$14,337	$8,667	$528	$381
Iowa	21%	32nd	24,630	3,379	10,909	$1,589	$3,330	$4,918	$3,557	$1,068	$615	$212	$50
Kansas	20%	34th	7,137	1,740	2,302	$1,289	$261	$1,576	$1,176	$216	$129	$129	$55

Table 2 (continued)

State	% Pop Without High School	Nat'l Rank	Enrollment			Funding Sources (Thousands)			Funding Allocations				
			ABE	ESL	ASE	Federal	State	Total	ABE/ESL	ASE	Institution (Thousands)	Demonstr	Admin
Kentucky	36%	18th	16,388	295	6,565	$2,509	$284	$2,793	$1,595	$399	$278	$306	$493
Louisiana	34%	17th	21,095	1,242	21,095	$2,839	$6,244	$9,083	$4,511	$4,192	$343	$284	295
Maine	22%	39th	6,050	1,455	9,068	$814	$4,351	$5,166	$2,769	$1,755	$343	$216	$426
Maryland	23%	21st	25,984	23,820	3,701	$2,458	$3,601	$6,060	$4,639	$579	$275	$794	$48
Massachusetts	22%	19th	8,707	9,582	4,929	$2,877	$9,621	$12,495	$6,626	$1,473	$1,359	$2,600	$1,800
Michigan	25%	8th	56,087	19,810	129,648	$4,905	$123,452	$128,357	$63,482	$63,430	$557	$1,199	$246
Minnesota	19%	28th	21,181	10,783	16,889	$2,025	$10,714	$12,740	$8,234	$3,960	$991	$393	$153
Mississippi	37%	23rd	16,682	587	2,746	$1,902	$334	$2,238	$1,502	$318	$237	$190	$227
Missouri	28%	15th	24,130	4,081	4,849	$3,056	$1,607	$4,663	$3,498	$603	$469	$306	$256
Montana	19%	47th	3,475	190	---	---	---	---	---	---	---	---	---
Nebraska	19%	37th	4,602	1,184	811	$924	$190	$1,114	$820	$138	$108	$93	$63
Nevada	23%	38th	1,775	4,554	13,353	$592	$466	$1,058	$853	$0	$131	$134	$70
New Hampshire	19%	42nd	3,054	1,228	2,855	$667	$536	$1,203	$709	$151	$67	$219	$124
New Jersey	25%	11th	16,985	26,179	22,317	$4,085	$19,519	$23,604	$9,830	$12,764	$410	$170	$250
New Mexico	28%	35th	9,309	7,845	13,133	$888	$1,357	$2,244	$1,665	$416	$276	$105	$57
North Carolina	31%	9th	67,167	12,474	40,706	$4,220	$19,312	$23,532	$10,932	$5,304	$1,038	$1,136	$160
North Dakota	23%	48th	2,247	478	1,128	$575	$258	$832	$601	$132	$73	$22	$78
Ohio	26%	7th	71,836	10,466	20,451	$5,836	$6,471	$12,308	$9,229	$2,165	$658	$621	$239
Oklahoma	27%	26th	17,026	3,447	6,234	$1,831	$286	$2,117	$1,595	$286	$191	$146	$92
Oregon	21%	31st	10,389	14,462	15,494	$1,218	$7,345	$8,563	$5,293	$3,014	$136	$155	$102
Pennsylvania	26%	5th	27,076	10,978	10,536	$6,785	$1,215	$7,999	$5,251	$952	$937,	$976	$818

Table 2 (continued)

State	% Pop Without High School	Nat'l Rank	Enrollment			Funding Sources (Thousands)			Funding Allocations				
			ABE	ESL	ASE	Federal	State	Total	ABE/ESL	ASE	Institutional (Thousands)	Demonst	Admin
Puerto Rico	----	----	7,163	19,682	0	$2,630	$308	$2,939	$51,796	$568	$253	$154	$420
Rhode Island	30%	36th	3,609	1,822	1,833	$821	$1,101	$2,222	$1,550	$207	$101	$516	$150
South Carolina	33%	20th	34,257	1,654	50,865	$2,351	$7,790	$10,141	$5,787	$4,007	$553	$242	$105
South Dakota	24%	45th	2,220	129	730	$590	$164	$754	$552	$89	$111	$68	$45
Tennessee	34%	12th	35,035	2,669	8,854	$3,114	$526	$3,640	$2,435	$497	$0	$329	$379
Texas	31%	2nd	78,850	71,472	69,705	$8,487	$7,609	$16,046	$9,821	$4,841	$1,254	$847	$536
Utah	17%	40th	3,340	3,448	17,240	$723	$3,484	$4,207	$598	$3,484	$72	$74	50
Vermont	20%	49th	4,588	274	468	$484	$2,086	$2,570	$1,809	$584	$64	$50	$128
West Virginia	35%	30th	16,329	574	6,174	$1,528	$1,286	$2,814	$2,165	$354	$153	$151	$145
Washington	18%	24th	14,385	13,367	6,649	$1,632	$5,208	$6,840	$5,518	$853	$415	$303	$167
Virginia	26%	13th	9,844	4,600	11,000	$3,494	$3,111	$6,605	$5,524	$565	$445	$334	$172
Wisconsin	23%	22nd	49,406	4,118	17,411	$2,511	$4,360	$8,374	$1,029	$1,470	$377	$260	$115
Wyoming	19%	50th	1,363	589	1,385	$412	$268	$680	$407	$127	$114	$79	$66

Sources: United States Department of Education, 1993; National Adult Education Professional Development Consortium, 1994

Note: ---- = Figures not available.

ABE = Adult Basic Education; ASE = Adult Secondary Education; ESL = English as a Second Language.
Demonstr = Special Demonstration Projects.
Amdmin = Administration.

It is clear that the Adult Education Act was originally very limited in scope and did not include a diverse array of providers to deliver adult education services. Through the various amendments, community based organizations were included to deliver adult education services. This was important and had significant implications especially from a funding perspective. Since the 1978 amendment to the AEA great diversity is observable in the funding of adult education.

In a study conducted by Moore, Dicarlo, Elliott and Rice (1995) on the allocation of funds for adult education it was found that for states with a high level of funds from state sources, federal funds supplement a state-dominated program of adult education. While state funds in these states are channeled to school districts and community colleges, federal funds often are directed to nontraditional providers (such as CBOs) that are ineligible for state funds. They also found that differences in state policies for awarding federal and state funds are evident in the providers that receive grants. Because several state funds in these states are channeled to school districts and community colleges, the majority of funds for adult education are allocated to school districts. It is clear

that funding for adult education is still geared toward traditional providers of adult education such as local education agencies, school districts.

The study also found that states allocate 90 percent of their own funds to LEAs and community colleges and only 10 percent to other providers. They also award 71 percent of federal funds, on the other hand to LEAs and community colleges and 29 percent to other providers. CBOs, in particular, are significant recipients of this 29 percent (1995, p. 55).

Adult Basic Education

The Adult Basic Education (ABE) Program, established by the Economic Opportunity Act of 1964, provides adults with a second chance to master the basic skills necessary to function more effectively in society. ABE has been regarded as becoming a pivotal agent of change (Norris, 1993; Ellis, 1984; and, Grotelueshen, Gooler & Knox, 1976) for both individuals and communities than it has in previous years. According to Cervero (1981), there were nearly sixty-five million people sixteen years and older who did not have a high school diploma and who were not in school. This figure has increased steadily during the last 15 years. Many of

these people are hampered by the lack of a high school
credential in terms of fulfilling the multiple roles of
their adult lives, and many enroll in ABE programs with the
hope of either receiving a high school completion
certificate or making significant progress toward that goal
(1981, p. 68). As a categorical program, with well defined
goals, objectives, and outcomes, the policy-makers have an
established hierarchical command structure and, for the most
part, only technical authority is delegated to the
implementors (Ellis, 1984).

Ellis (1984) further contends that ABE began as a
redistributive policy because it allocated something of
value to persons who lack literacy. ABE provides tangible
benefits to a small group of people (See Table 2) based on
certain criteria (age and education level). According to
Norris, of all the strengths of ABE, the ability to sustain
itself through periods of "financial scarcity" is one of its
greatest barriers. For ABE to have a likelihood of
effecting change in locations where it is perhaps most
needed and the fewest are served, funding flexibility is
pressing. It is clear that the success of ABE to reach the
"hard to reach" clearly depends on funding. But even more
important is the issue of the proper instructional focus of

adult literacy education in general and ABE in particular. Widespread opinion as it relates to instruction of people who are illiterate is that the instruction should focus on "functional" tasks as they relate to work and everyday life, instead of focusing on more traditional and school-like curriculum that emphasizes purely academic reading, writing and mathematic skills.

Financial considerations are important, not only to students but also to local ABE programs and to the federal, state and local funding agencies and institutions. Each ABE program is required to file a financial report for each year of instruction. In a study conducted by Mahaffy (1983) that dealt with the evaluation of ABE participation outcomes, using the costs for all programs sampled, the average figure in 1982 was $.76 per student hour of instruction. Mahaffy (1983) also found that in terms of the student's own income, that one dollar invested in the ABE program resulted in increased earnings of $11.43 within a five year period following attendance, which clearly suggests that the ABE program is very cost effective.

Haley and Hoover (1985) found that after adults completed and received their GED they became more involved in their community. The sample size consisted of 1,000. It

was found that 30% registered to vote, 25% voted for the first time, 22% became more involved in community activities, 33% worked on a church community project and 25% worked on a community project or joined a community group for the first time. According to this study adult education seems to foster good citizenship and community involvement.

The study also found that respondents felt very positive about their adult education experiences. Most accomplished the goals they had established for themselves, and showed improvement in a number of abilities, which the respondents ascribed directly to the program. Haley and Hoover (1985) recommended that funding for adult education in Texas be increased substantially to a level which would afford the educational opportunity for all eligible undereducated adults in the state who wish to improve their educational level.

It is clear that public policy has been instrumental in allowing access to higher education for non-traditional students, however policy also made the survival of these programs which were designed to meet the needs of these students very difficult. According to Malcolm-King (1979), a double-standard has existed in public policy especially in the demand for accountability of non-traditional programs

which is not required of traditional programs. She further states that CBOs have long led the way in serving non-traditional students. This is possibly one of the reasons why CBOs are not considered as serious contenders for funding as was reported by Haley and Hoover.

Public policy as it relates to adult illiteracy and innumeracy is helpful in shaping public perceptions about the problems, it dimension and scope and how to fight the problem at a macro-level. However, understanding the issue at a micro-level is equally important. In this regard, the Adult Performance Level (APL) study holds particular importance to this study in detailing the functional competencies, individuals require to make an effective contribution to society.

The Adult Performance Level (APL) Study

The APL study was funded by the U.S. Office of Education in 1990, and was designed to define "functional competence". The original aim of the study was "...to foster through every means the ability to read, write, and compute with the functional competence needed for meeting the requirements of adult living" (OTA 1993, p. 34). In order to establish a comprehensive basis for defining important skills, the APL study held conferences on adults'

needs, surveyed Federal, State and foundation officials as to what should be taught in adult education classes, conducted a literature review, and interviewed undereducated adults.

This resulted in a two-dimensional definition of functional competence. Five general knowledge areas were identified: which included consumer economics, occupational knowledge, community resources, government and law, and health. In addition, four primary skills were identified that consisted of communication skills (reading, writing, speaking and listening), computational skills, problem-solving skills, and interpersonal relations skills (OTA, 1993).

This study was severely criticized for the procedures that were used to identify the 65 "functional competences" (Cervero, 1981; Hayes & Valentine, 1989). The APL study did not purportedly describe these sources in detail nor did they specify the kind of information obtained from each source. In addition, not discussed were the number and characteristics of the undereducated adults interviewed or if the needs they identified were incorporated into the APL survey (Hayes & Valentine, 1989, p. 2). This APL study resulted in a great rift between the academic community and

the practitioner oriented study. The study was criticized

by the academic community on the basis of logic and

methodological errors. The principal criticism of the APL

study according to Hayes and Valentine (1989, p. 2) revolved

around a single issue: the APL study sought to discover the

functional tasks in which middle and upper middle class

Americans engaged, and through some rather suspect and

culturally-insensitive logic, concluded that these were the

"competencies needed by all Americans." It is clear from

the above criticism that disadvantaged individuals in

distressed communities were not considered. The APL study

assumed that all people were alike and attempted to develop

a list of competencies and functional tasks around that.

The instruments used in the APL study were standardized and

did not account for social, economic, political and

environmental differences.

Another criticism of the APL study was that it failed

to address social changes in the context of ABE, and it left

no room for evolution of societies/mankind. The APL study

was also perceived as too economically based/empirically

determined - weighted too heavily on the societal side (Todd

& Martin, 1987). The relevance of the APL study to this

study points out the divergent views and opinions voiced,

indicate the difficulty of addressing the problem at the societal level. Illiteracy at the societal or community levels is multifaceted and requires every resource (financial, technological, human, and intellectual) to fight it. Too much emphasis has been placed on the financial side, and very little on the human and community side. The APL study furthermore seems to suggest that learning is an individualized activity, whereas literacy as a problem needs to be tackled at the societal or community level and requires every resource available. Despite the focus of the APL study, it left out the "community" focus which is an important part of fighting literacy.

Community

Funding is inextricably linked to community. Community based organizations have to provide a rationale for why they are going to use the money and the people they are going to serve. Despite the importance of community in addressing social ills, no universally shared concept of "community" exists, but only articulations that overlap or complement each other. The term "community" according to Young (1986) is used in a non-normative and descriptive sense. Kahn (1991) also contends that the term community is used in a

variety of ways and mean different things to different
people. The common notion in the 1960s according to Wellman
and Berkowitz (1991) was the belief in the disappearance of
"community." They argue that contemporary communities were
not lost but that the "community" was transformed. New
forms of community have come into existence and have
replaced old ones. Wellman and Berkowitz (1991) further
contend that "communities" were transmuted into "social
networks". Treating communities as "networks" makes
solidarity as a pattern possible.

Sociological Perspective of Community

The sociologists define community as any area in which
people with a common culture share common interests. Such a
definition of community can be applied to a rural village
with a few hundred families and at the same time it can also
apply to a large metropolitan area such as any one of our
major cities (Fessler, 1976; Kahn, 1991). It is clear that
this conception of community for the purposes of this study
is too flexible and almost anything can qualify as a
community. It should be noted that people are at the core
of community and the two(people and community) are
interdependent. Sandel maintains that people are always

embedded in a social context and they are encumbered by community ties: "...we cannot conceive of our personhood without reference to our roles as citizens, and as participants in a common life" (1984, p. 129).

The communitarian movement argues that the rights of the individual must be balanced against the right of the society as a whole. Amitai Etzioni, the most prominent spokesperson for this movement observed that the community and individuals must work toward telos, a common purpose or goal, that is lacking in society today (1991, p. 132). Communitarians in essence are concerned with the community and the common good, and tend to focus on institutions or systems, that embody their moral values. Etzioni advances the position that both the individual and the community have the same basic primary moral standing. According to Etzioni, a basic observation of sociology and psychology is that the individual and the community "make" one another and that individuals are not able to function effectively without deep links to each other, to community (1991, p. 139). The I (meaning the individual) and the We (meaning the community) require one another. The I and We paradigm advocated by Etzioni builds on the idea of what he calls the responsive community, one that appeals to the

values of the members that they already possess. These values are ones that the members of such a society have internalized rather than accepted. The perspective advanced by Etzioni is imperative to our understanding of the role of institutions in community and provides an important framework for understanding the role of CBOs. It also provides an important theoretical context for dialogue and thinking about the interdependency of individuals and their community and the telos that drive CBOs in their ethics, values, responsibility and mission. This view is in line with CBOs as responsive or compassionate institutions and its role in a responsive community.

Fessler (1976), another sociologist, states that, if we only look at community as a geographical locality, we tend to ignore the suitable locus for change efforts. Fessler postulates that in order for community to serve as a locus for change efforts, it must have a sufficient degree of primariness in order to make authentic interpersonal communication possible. People, from a community perspective who are involved in change efforts must have adequate knowledge or awareness of the background of the associates. Fessler (1976) does not advocate a set of standards of primariness that will fit neatly into all

communities. He states that variables such as the age of the community, the rigidity of its class structure, the size and nature of its geographical setting and the degree of mobility of the people in and out of an area will differ. He contends that where a sufficient degree of primariness does exist, there will be that sense of community that is essential to cooperative action.

Social Work Perspective of Community

The term "community" has been used to mean different things to different people in a variety of settings. From a social work perspective the community is considered an interface between society and microsystems and is of concern to all social disciplines and professions. The community is regarded as an important building block of society, while at the same time being society. According to Anderson and Carter (1984) communities differ in several aspects. Firstly, communities are held together by two sorts of bonds - gemeinschaft and gesellschaft. A gemeinschaft community is one that is identified by tacit connections or links that include common values and beliefs, mutual interdependence, respect, and a shared sense of status hierarchy. Rules are not formalized but rest in cultural traditions such as "an

American Indian tribal community." A gesellschaft community on the other hand is characterized by links that are both formal and specific where members relate to one another through formally structured relations within community institutions such as professions, and civic organizations.

Secondly, Anderson and Carter state that communities differ from one another to the degree of attachment to a specific location. They differentiate between three types of communities that include "place community", "nonplace community" and "kinship." Place community refer to a "locality" which in essence refer to a geographical or spatial community. It is based upon common habitat and ownership of nearby properties. Examples of place community "are neighborhoods, villages, towns, and cities". Nonplace communities on the other hand refer to a "mind community." This implies that only cooperation and coordinated action for a common goal without any specific reference to "place" (1984, p. 64). Other examples of nonplace communities include the scientific community, the academic community, the press, racial and ethnic community such as the "black community", etc. Kinship is described as a community in which members have blood relationships. These three communities are not exclusive. The examples about community

cited provide an important conceptual framework for how people have been thinking about the idea of communities. Communities are living "organisms" which contract and expand when faced with problems and challenges. Community is not just defined by place, but by culture, people, and socio-economic factors. Communities are not just geographical, but are essentially an outgrowth of people. It could be argued that where people are, community is a natural extension. People are at the center of community, and hence people are community.

Thirdly, Anderson and Carter point out that communities also differ in the breadth of activities, interest, and the needs that they encompass. The place community encompasses virtually all human interests and needs; the nonplace community is usually concerned with one, or a few, of these (1984, p. 65). Anderson and Carter define community as:

> " a population whose members consciously identify with each other. They may occupy common territory; they engage in common activities. They have some form of organization that provides for differentiation of functions, which allows the community to adapt to its environment, thereby meeting the needs of its components. Its

components include the institutions it forms to meet its needs...(1984, p. 65)."

Kahn (1991) agrees with his counterparts in sociology and others (Hall, 1996; Fessler, 1991; Etzioni, 1991; Meyer and Scott, 1983) that the notion of community is used in different ways and mean different things to people and groups. It is clear that anything under this scheme can qualify as a community. Kahn (1991, p. 71) provides a definition of community that is based on the notion of a "community of interest." People have certain interests in common that can provide the basis for bringing them together within an organization. This community of interest can and may be based on where people live. Kahn (1991) contends that people who live near each other do have certain interests in common.

In a city, the people in a poor neighborhood will share certain problems such as unrepaired streets, under-funded neighborhood schools, high unemployment, high illiteracy rates, pollution from industrial facilities. These problems affect everybody in that immediate area and can be the basis for building a neighborhood organization. Very often neighborhoods are divided by natural or manmade barriers such as a river, a large highway, a railroad track, a busy

street. Kahn (1991) further contends that all the different ways that urban areas are divided will influence the development of common interests that help define a community. Communities are divided by manmade barriers as was seen but are linked together by common interests that surrounds them such as illiteracy, unemployment, education, and more. This is especially relevant to this study, because it indicates that manmade barriers serve as indicators that informs us about the quality and character of a community.

Community as Social Networks

Both sociologists and social workers have been concerned with the notion of community from a "social network" perspective. Social workers still debate the issue of whether "social networks" are nonplace communities. Anderson and Carter (1984, p. 64) drawing on the earlier work of Barnes (1954) whose definition of social networks is perspectivistic; each person has an unique social network defined by the dyadic relationships the person has. Network is also a phenomenon that is closely related to social change. Community is regarded as ideological networks that provides meaningful action that is rich in shared

relationships and devoid of subservience on anyone's part.

The shift in focus from community to network allows us
to examine the extent to which large-scale social changes
have simultaneously created new forms of association and
altered the structure of older interpersonal bonds such as
kinship. They continue to assert that it facilitates the
analytical linkage of community networks to other structures
of interaction - such as relations on the job and in the
household - or links with bureaucratic institutions. This
linkage is important because it helps us to get a clearer
understanding of the role of community based organizations
to funding agencies such as federal, state and local
governments, which are often highly bureaucratic; and,
private funding agencies and organizations. Wellman,
Carrington and Hall (1991, p. 126) consider each person as
the central node of a potentiality complex network of
community ties. It is their conjecture that all "personal
communities" may have competing elements; that community
ties or links may stretch beyond local boundaries and that
the overall structure of such ties within a community may be
a web of partly concrete, partly ramified relationships.
Personal communities hardly have well-defined boundaries.
The boundaries of personal communities are often fuzzy,

because it is difficult to separate members from nonmembers
of a community. This assertion that boundaries of
communities are important and has relevance to organizations
who are involved in community issues or community based
organizations.

Nonprofit Sector Perspective of Community

Robert Greenleaf(1977) presents a discussion about
community, leadership and institution in a very different
light. He offers a philosophical, thought provoking
discussion about the idea of servant leadership. This
excellent work provides a deeper understanding about the
role of leadership and institutions and its ties to its
community. According to Greenleaf (1977) the servant-leader
is servant first. A person who is a servant first, is more
apt to endure and refine a particular hypothesis on what
serves another's highest priority needs than is the person
who is leader first and who later serves out of promptings
of conscience or in conformity with normative expectations.

One of Greenleafs' primary concerns was the
disintegration of community as a result of development. He
does not diminish the work of institutions such as
orphanages, penal institutions, hospitals, schools,

institutional care, etc. but suggests that these institutions require love that cannot exist apart from community (1977, p. 34). For these services to be satisfactorily delivered, the community component is critical if not the single most important ingredient in the delivery process. Greenleaf asserts the view that all that is needed to rebuild community as a viable form of life form for large numbers of people is for enough servant-leaders to show the way, not by mass movements, but by each servant-leader demonstrating his own liability for a quite specific community-related group.

John Gardner(1990) agrees with Greenleaf that there is indeed a breakdown of community and that it is linked to a failure of leadership. Gardner asserts that the disintegration of communities and the loss of the sense of community are clearly detrimental to the accomplishment of group purpose (1990, p. 113). He continues by stating that if a sense of community is to exist today, it will have to be nurtured in many diverse settings. He provides the following elements of community such as: (a) wholeness incorporating diversity; (b) a shared culture; (c) good internal communication; (d) caring, trust and teamwork; (e) group maintenance and government; and (f), participation and

the sharing of leadership.

According to James Joseph (1995, p. 15) the boundaries
of community are changing conceptually, demographically and
functionally. Conceptually, there is a paradigm shift away
from the idea of a network of strangers to a company of
strangers. Demographically, according to Joseph as the
world is becoming more alike - with our economies, more
interdependent and our lifestyles, values, and inspirations
more similar - people are increasingly turning inward,
seeking to return to smaller, more intimate forms of
community. Functionally, for profit organizations are
engaged in the delivery of social services for a profit and
nonprofit organizations employing profit making measures to
compensate for the loss in government income. One of the
chief reasons according to Joseph why this is occurring is
due to financial insufficiency. Most nonprofit
organizations and community based organizations are unable
to generate resources on a level that is both adequate and
consistent enough to cope with the social needs of an
advanced industrial society.

According to Smith and Lipsky (1993) the term
"community" refers to a group of people who are socially
interdependent, who participate together in discussion and

decision-making, and who share certain practices that both
define the community and are nurtured by it (1993, p. 22).
The above definition refers to nonprofit organizations as
tangible and corporeal, and pivotal evidence of community.
They continue to identify three attributes that are
primarily important in understanding the significance of
community to nonprofit organization, First, a community is
self-identifying. People belong in communities if they see
themselves as members. The second attribute of communities
is that they are fueled by voluntary action. People
contribute time and money, extend their influence and
otherwise make community organizations work because they
want to make a difference. Third, communities are important
because it is in their midst that our most deeply held
values are expressed - literally so, since it is "where we
engage with other people in common enterprises of the
highest value" (1993, p. 23).

Community Based Organizations

A community constitutes people, organizations, groups,
places, and landmarks, among many other, which provide the
identity of that community. Organizations as one aspect of
a community serve different interests, purposes and groups.

Community based organizations are one such group. They
serve a particular group or groups of people and deal with
problems or issues that are at the heart of that community.

Community based organizations are usually concerned
with a wide variety of interests and needs as oppose to a
nonplace community which focuses on a narrower range of
interests such as the "academic community", the "scientific
community", etc. CBOs as a community very often are action
oriented, address a wide variety of social and environmental
issues, and organizes around a set of issues that are of
interest to a geographical location, but often extends
beyond that community, sometimes even nationally. The idea
of CBOs as social networks is an appropriate way of thinking
about CBOs as community.

Community based organizations operate outside the
domain of traditional educational delivery systems.
According to the Clearinghouse for Community Based Free
Standing Educational Institutions, which refers to CBOs who
deliver educational services as Community Based Educational
Institutions (CBEIs), these institutions have taken on many
forms such as colleges without walls, learning cooperatives,
free universities, community development corporations, urban
and rural learning centers (U.S. Department of Education,

1981). These organizations are characterized by their strong ties to the communities they serve and their deep conviction that education should be accessible to the community and work for its betterment. These organizations have provided the spark that has mobilized community wide awareness, organization, action and change. Regretfully, these accomplishments have often been ignored outside the immediate environment in which they operate.

A CBEIs commitment to providing accessible, relevant education will be expressed in different ways. Those CBEIs serving poverty communities have tended to focus on their constituencies' need for empowerment by emphasizing "concurrent individual and community development". Those CBEIs serving more diverse groups have tended to underscore provision of low cost, widely accessible lifelong education (U.S. Department of Education, 1993, p. iii).

Generally, CBOs are geared toward developing indeginious leadership and to empower their communities to determine their future. CBOs are very diverse and provide an array of services which include adult literacy services (ABE, family literacy, ESL, intergenerational literacy, etc.), economic development, job training, advocacy, rural development, etc. CBOs have been active in the fight

against illiteracy. Their premise is that illiteracy is a major handicap that affects both the individual and society. Correcting illiteracy will open new vistas as well as opportunities and will push the individual toward a more self-reliant and productive life.

According to the ACBE, community based education programs approach to literacy training is part of a larger struggle to empower individuals to improve their economic condition and quality of life. Literacy has social, economic, political as well as basic skills dimension. CBOs see literacy, self-esteem, self-determination, and the ability to affect change in the community as being tied together (Annual Report, 1987/88).

Community based literacy programs take place in action-oriented settings that allow literacy to develop in the context of the learners' whole lives. It is clear that the community based approach is critical to reaching those people that more traditional programs cannot serve. CBOs achieve this through their community based education approach.

Community Based Organizations and Community Based Education

Many CBOs regard their mission as one that reaches beyond education to goals of individual and community empowerment. CBOs in many respects are not merely vehicles that transmit the knowledge of the dominant culture. Rather, they work actively for rediscovery and integration of the community's own culture, and ultimately for the creation of a new vitality, a new sense of self-determination within the community (U.S. Department of Education, 1992).

CBOs as non traditional institutions of adult education emphasize learner needs and competencies, individualized and experiential instruction, learning through work, and implementation of student-created projects. CBOs link community education to individual and community development. According to Hunter (1979) the issue of power is inextricably linked to community development and community education. She perceives power as consisting of two aspects. The first aspect of power is as it relates to individuals, not only as they perceive it but also as it is perceived by those with whom individuals and particularly CBOs work. The second aspect of power is as it relates to

the majority culture, vis-a-vis the fringe communities.

According to Rene Cardenas community based education can be defined as a field. Community based education qualifies as a field with the following elements: locally-based or control; humanistic rather than technical curricula; teaching self-sufficiency as oppose to interlocking dependencies; intrinsic rather than extrinsic values; conviction of learning rather than connection of learning; and a deep interest in local self-improvement (1979, p.10). It is clear from the above that CBOs fall within this definition because they have as their aim community self-sufficiency.

Boucouvalas (1979, p. 41) defines community education as "the ultimate goal of community education is the development of self-guiding, self-directing communities which are able to identify and satisfy the needs of all their community members through the cooperation, coordination and collaboration of all community sources." The idea of community education embraces the notion of action by the collective in order to address the concerns and needs of a community by focusing on the individuals within that community. Community action, social or community change, community self-sufficiency and community

development are closely linked to community education. To think of community in terms of a geographic location is important, but it is not enough. Most of the issues such as poverty, economic distress, housing, unemployment, illiteracy, education and others to a large extent are borderless. Finding ways to deal with these issues that lead to self-sufficiency within a community are important.

Summary of Related Literature

The relevant literature more than adequately makes the case for the investigation of community based organizations who deliver adult basic education. It is clear that their work is an important part of how funding occurs and at what level they receive funding, relative to adult basic education which is significant to the substantiation and development of the knowledge as it relates to community based organizations. Community based organizations have demonstrated great resilience in the delivery of adult basic education which is a laudable purpose of adult learning.

Although the framework for viewing the role of community based organizations as instruments of social and community change have been well established by many scholars, what this review of the literature has revealed is

that to date the funding patterns and profiles of these organizations has been missing, and have been dealt with in passing - no specific or concrete situation has been documented as it relates to funding for ABE. The body of literature in this regard would benefit from a formal study of how funding work and shed light on the nuances and expectations from funders.

CHAPTER III

METHODS

The purposes of this chapter are to (a) describe the research design of this study including a discussion of the methods used and a description of the population, (b) explain the data collection and instrumentation, and (c) provide an explanation of the statistical procedures used to analyze the data. The procedures that were used for analyzing the data are also discussed.

The research questions guiding the inquiry were as follows:

1.   What are the major sources of funding for community based organizations who deliver adult basic education? Specifically, how much of the budget is derived from:

   a.   the Federal government

   b.   the State government

   c.   the Local government

   d.   Foundations, corporations, and philanthropic organizations

2.   How does the funding pattern differ across community based organizations with different

demographic characteristics or profiles?

3. What is the relationship between the "successfulness" of the of CBOs in attracting Federal funding and selected characteristics of CBOs. What is their relationship to:

a. The stated mission?

b. The variety of programs?

c. The number of participants in ABE served by a CBO?

4. What are funders looking for in funding community based organizations who deliver adult basic education?

a. Why are they giving to community based organizations who deliver adult basic education?

b. How do they make the decision as to the percent of their budget that is allocated to CBOs who deliver ABE?

Research Design

The research design consisted of two methodological phases. Phase One consisted of a mail questionnaire and phase two of in-depth interviews. The two phases were

needed and were imperative to the design and in essence complemented each other in answering the research questions. Both phases had their individual instruments that will be outlined in detail next. Without phase one it would have been difficult to carry out phase two, because phase one laid the foundation and set the framework for phase two. Employing two phases were very important and useful in acquiring data and in recording the diverse opinions and perceptions from foundation officials, corporate executives, philanthropic organization leaders.

Phase One

Phase One consisted of a mail questionnaire that was used to collect quantitative data to help answer the research questions and to provide numerical data from an organizational perspective. Because the subjects of the study were geographically dispersed across the United States, a mail questionnaire was not only appropriate but very helpful. The in-depth interviews in Phase Two provided a qualitative picture, based on perceptions of officials, directors, and other persons who have contact with community based organizations. Using a mail questionnaire targeted at CBOs who delivered ABE also provided rich numerical data

about their organizations, their respective ABE programs, and student and teacher information.

Census of the Population

The 1995 list of organizational members of the Association for Community Based Education (ACBE) was used to identify community based organizations who delivered Adult Basic Education as one of their major programs. The directory consisted of 76 voting members and 30 associate members. The entire population in the directory was targeted and mailed a questionnaire. The ACBE list of organizational members provided the names, addresses, telephone numbers and descriptive information on voting and associate members. The directory also provided a regional breakdown and program service index. Questionnaires were mailed to the respective executive director of each CBO as listed in the directory.

Data Collection

Data were collected through a mail survey questionnaire. Appendices A and B contain copies of the cover letters and questionnaire that was developed. The method followed was modified from Louis Rea and Richard

Parker's *Designing and Conducting Survey Research: A Comprehensive Guide* (1992). Rea and Parker recommend eleven stages of the survey research process. Stage One dealt with the identification of the focus of the study and method of research. The recommendations provided were followed. Stage Two dealt with outlining the research schedule and budget. After the parameters and objectives of the study had been identified, a timetable for completion of the research project was established. This recommendation was followed and proved useful in outlining dates but flexible enough to accommodate unforeseen delays. Even though a formal budget was not prepared for the purposes of this study, the recommendations were noted. In Stage Three Rea and Parker suggested the establishment of an information base. Preliminary information from various sources were collected and proved useful in devising a questionnaire for the formal survey research process.

Stage Four according to Rae and Parker dealt with the sampling frame and stage five dealing with the determination of the sample size and sample selection were also noted even though this study will be conducting a census of the population. Stage Five focused on the design of the survey instrument or questionnaire and its importance in the survey

research process. Rea and Parker provided useful insight into the development of unbiased and well-constructed questions. They recommend that the questionnaire be easy to understand and internally consistent and must lend itself to appropriate and meaningful data analysis. This recommendation was followed in the construction of this questionnaire. Stage Six stated that the questionnaire be pretested. According to Rea and Parker, after a draft questionnaire has been prepared, it is important to pretest the instrument under actual survey conditions. The pretest is an attempt to fine tune poorly worded questions and to ensure that the quality of the instrument will be refined. This was also followed. Stage Eight which dealt with the selection and training of interviewers, was not applicable.

Stage Nine which dealt with the implementation of the survey is regarded as the most critical phase of the research process. Rae and Parker made some important recommendations and suggestions that were taken into account when the survey was conducted such as ensuring privacy and confidentiality, following ethical standards, etc. Stage Ten focused on the codification of the completed questionnaires and computerized data entry.

Rae and Parker also stated that the final questionnaire must be formatted in such a way so that the responses can be entered directly into the computer for data processing. Once the questionnaires have been returned, the very important process of "cleaning up" the forms begin. According to Rea and Parker this necessitates that the appropriate number of entries have been marked for each question, ensuring that there are no extraneous responses, and making sure that enough questions have been answered to validate the questionnaire. This was followed very meticulously. Stage Eleven dealt with data analysis and the final report. These were also followed and are discussed in Chapter Four.

In February of 1996 a cover letter (Appendix B) detailing and explaining the purpose and nature of the research study was delivered to the office of the Association for Community Based Organizations(ACBE) in Washington, DC. This letter was followed up by a telephone call during March of 1996 to the Executive Director of ACBE. A copy of the questionnaire (Appendix A) was requested for submission to the Board of ACBE and approval for involving the members(both voting and non-voting) was granted. The questionnaire was mailed to ACBE a week after the telephone

call. The approval process took approximately three to four
weeks.

Instrumentation

Very few instruments were available in the literature
that dealt with the funding patterns and sources of
nonprofit organizations in general. Of those instruments
that were available three were chosen to represent the types
of items and content that this study sought to investigate.
Some of the questions were adapted for the purpose of this
study. In general these instruments (discussed in the next
section) assessed the following: the funding sources of
organizations, programs, and activities for which the money
was used; students and teacher/tutor information; adult
basic education and demographic information.

The variables of importance to this study were grouped
into four areas:(a) financial data, (b) geographic and
demographic data, (c) adult basic education related
information, and (d) information related to community based
organizations who delivered adult basic education. Based on
the focus of the study which was to determine the
relationship between funding and the delivery of ABE,
funding sources was designed as the independent variable.

The dependent variables included demographic information, adult basic education related information and community based organization profile information. The following questionnaire detailed below was developed to collect data about the preceding variables .

New Mexico Literacy Service Provider Survey. Funding sources and patterns as outlined by the New Mexico Literacy Service Provider Survey (NMLSPS), designed by the New Mexico Coalition for Literacy were adapted for purposes of this study. Copies of the NMLSPS for 1990-1991, 1991-1992, 1992-1993 were used. The surveys for the three reporting years differed very little in terms of length and content. The NMLSPS for 1992-1993 contained fourteen questions. Very briefly, questions One to Four consisted of general information about the organization. Question Five referred to the number of persons being served under the various programs offered by the organization. Questions Six to Eleven focused on the demographic information about the number of teachers and students. Questions Twelve and Thirteen focused on the funding sources and patterns. Question Fourteen dealt with the various instructional sites.

Connecticut Adult Performance Program(CAPP). During
the past decade, the national concern about literacy levels
of the adult population has resulted in the expansion of the
United States adult education system and in the development
of new programmatic initiatives at all levels of government.
Adult education programs at the state level in particular
have been the focus of efforts to improve the quality of
education programs available to adults. In 1986 the
Connecticut Adult Performance Program (CAPP), a five-year
initiative to enhance basic skills education services in the
State of Connecticut was introduced. CAPP was envisaged as
both a program improvement process and a management system
that would provide basic skills and English-as-a-second-
language (ESL) program staff with training and technical
assistance in the use of competency-based adult
education(CBAE) assessment methodologies. The CAPP
administration survey was developed to collect information
about basic skills from program administrators and CAPP
facilitators.

The CAPP administrator survey was designed to collect
information about the Adult Education Programs in
Connecticut. It consists of three sections with questions
concerning: (a) program administration; (b) staff

development activities; and (c) program operations. The
CAPP survey proved helpful in terms of the formulation of
certain items such as the programs that CBOs operate and
funding sources.

ABE Impact Evaluation Student Interview Questionnaire.
The purpose of this instrument was to collect data on how
well adult education was working in Montana. Adult Basic
Education Program was defined as both adult basic education
and high school equivalency. The instrument consisted of
Eight Sections. Section One dealt with the reasons why
students attended Adult Basic Education Program. Section
Two focused on the educational impact of Adult Basic
Education Program. Section Three dealt with the skills the
students acquired, and Section Four with the personal
changes that have occurred in the lives of the students
since they started attending the ABE Program. Section Five
dealt with the economic benefits the students derived since
they attended the ABE Program. Section Seven focused on the
demographic information of the students, specifically sex
and ethnicity. These studies proved useful in constructing
the questions and in the development of the instrument for
this study as discussed next.

Instrument Development

This section provides a detailed description of the questionnaire developed for this study, which consists of three separate sections designated as Parts A through C. Parts A through C correspond to the first three research questions presented in Chapter One.

The questionnaire was designed to generate numerical data from the numerically-scaled financial and demographic items. The questionnaire is six pages long and designed for the exclusive use of this study. Content reflects the major themes that emerged following a review of the literature pertaining to adult basic education and community based organizations. In addition to the available literature, resources from the National Center on Adult Literacy(NALS) on the internet on Federal, State and Local funding under the Adult Education Act for the fiscal year 1994 were utilized. Also, the National Opinion Research Center General Social Survey, 1972-1994 from the Roper Center proved to be a valuable asset in the construction of this questionnaire. The General Social Survey were helpful in constructing the Likert scale questions in Part C. Studies by the INDEPENDENT SECTOR and the Association for Community

Based Education(ACBE) also provided invaluable content suggestions in the design of the questionnaire.

   Part A: Funding Patterns and Sources

   Part A of the questionnaire included questions concerning financial and budgetary information about community based organizations. Part A corresponded to the first research question and consisted of five questions that dealt with the annual budget of community based organizations, the various sources of funding for the entire organization and for ABE particularly. Question One specifically asked the respondents for the period they reported their finances in 1995. The rationale for asking the respondents for a specific period as opposed to a general period was that they would have more accurate information at hand given the fact that most of the organizations just completed their financial and other reports for fiscal year 1995. Question Two asked respondents for the total funding for the reporting period (1995) from all sources. This question was designed to get useful and needed information about the budget of community based organizations. Question Three asked respondents for their total spending for fiscal year 1995. This question was helpful in determining if organizations had a surplus or if

they were spending more than their income. This question allowed for helpful comparisons as it related to income.

Question Four asked respondents to select from a list the various monetary sources from which community based organizations received funding in 1995 and their dollar amounts. This question was included to provide some insight into the various sources and is helpful in facilitating comparisons among CBOs with different sources of income. Furthermore, this question provided a break-down of the various sources of the funding as suggested by Kahn (1991)

Question Five consisted of a multi-item response question and specifically asked respondents to rank order the services their organization supports in relation to the total budget of the organization. A list of nine services was provided with a number ten being "other" for any service that was not included. One line was available for "other". This question provided opportunity for comparisons to funding sources as well as student information. Question Six of Part A asked respondents about the various activities of their organization in relation to the total budget of the organization. Specifically, the question asked respondents "Approximately what percentage of your annual budget is normally allocated for the following: administrative costs,

program activities, fund-raising expenses, and all other costs?" One line was available for "all other costs." It was expected that responses to this question would provide valuable insight into the distribution and allocation of financial resources in community based organizations.

Part B: Organization Profile Information

Part B of the questionnaire inquired about the general activities of community based organization, as well as information about various programs and services. Part B corresponded to the second research question that focused on the demographic profiles of community based organizations.

Question One asked the respondents to indicate the year in which their organization was founded. This question was valuable to the extent that it provided information about the maturity of the organization and its ability to provide service(s) indicated in Question Four of Part One. Question Two elicited information from respondents about the mission and purpose of their organization. Specifically, the question asked respondents "In terms of the primary mission(s) and purpose(s) of your organization would you please indicate what percentage of time the organization devotes to the following areas to achieve its mission(s). A list of nine areas were provided and the respondents had to

indicate the percentage of time the organization devoted to the areas applicable to their organization. The distribution of the percentage of the various areas added to one hundred percent. This question provided valuable insight into the focus of community based organizations and where they directed their time and energy as suggested by Harris (1984).

Question Three asked respondents to select from a list of sponsoring agencies those applicable to their organization. This question was included to provide some insight into the types of sponsoring agencies associated with the organization. The fourth question asked respondents to describe the geographic area covered by the organization. This question was included to provide useful comparisons about the geographical area covered by the organization and their financial resources. Respondents were requested to select only one of the geographic areas provided in the list of seven.

The following section in Part B consisted of nine questions and specifically asked information about the students and teachers who are associated with the organization. Question Five consisted of two parts. Respondents were asked in Question Five (a) to answer either

"Yes" or "No" to the question if the services the organization provides were limited to any defined group. If the Answer "Yes" they were further asked to indicate the defined group(s) from a list of eleven. Four lines were provided for the "Other named/defined group(s)" the respondents were asked to specify. If the respondents answered "No" they were asked to skip the second part of Question Five and had to continue with Question Six.

Question Six asked the respondents to provide information about the gender, age and race\ethnicity composition of their students and teachers. This question was useful for comparisons about students and teachers. Respondents were also asked to indicate the number of students and teachers by age groups. Age is classified into five groups and is useful for comparisons with the previous question. This question also asked the respondents to indicate the number of students and teachers by ethnicity. A list of six racial and ethnic groups were provided and the respondents were requested to indicate the number of students that fell into the different racial/ethnic groups. Three lines were provided for the respondent to specify the "Named ethnic group, regardless of race" if students did not fall into the listed categories.

Question Seven asked for the percentage of teachers/tutors who were certified as teachers. This question provided insight into the professional standards of teachers and provided for interesting comparisons to funding. Question Eight asked a general question about the training activities of the organization. Specifically, the question asked "Does your organization provide teacher/tutor training?" If the respondents answered "No" to this question they were asked to skip Questions thirteen and fourteen. If the respondents answered "Yes" to this question they were asked to complete questions thirteen and fourteen in order to get a complete profile of the training activities of the organization.

Question Nine asked the respondents to indicate the type of training their organization provided in 1995. A list of five types of training was provided. One line for "Other" was also provided. The respondents could indicate multiple responses to this question. Question Ten asked the respondents to indicate the number of teacher/tutors that received training in fiscal year 1995. Question Eleven asked the respondents to indicate the total number of teachers/tutors the organization had as of the last day of fiscal year 1995. Question Twelve asked the respondents to

indicate the number of teachers who received training in 1995.

Question Twelve asked the respondents to indicate the number of teacher/tutors that were full time. This information was required to get an idea of the full time teacher complement in the organization and the ability of the organization to attract funding for the various services and programs. Support services (i.e. in-service training, meetings, etc.) information were collected in Question Thirteen. This information was required to determine the ability of the organization to provide support to teachers/tutors and staff.

Part C: Adult Basic Education Activities

Part C of the questionnaire related to research question three that examined the Adult Basic Education program of community based organizations. Question One asked respondents for the total funding allocated to Adult Basic Education for the reporting period (1995) from all sources. This question was designed to get useful and needed information about the budget of community based organizations for adult basic education. Question Two asked respondents to select from a list the various monetary sources for Adult Basic Education from which community based

organizations received funding in 1995 and their respective dollar amounts. This question was included to provide some insight into the various sources and was intended to facilitate comparisons. This question also provided a breakdown of funding sources as suggested by Kahn (1991) and Harris (1984).

Question Three asked the respondents to indicate the number of students who were enrolled in ABE. This question was included to provide insight into the number of students who were enrolled in ABE and to make comparisons to the total funding of ABE. Question Four asked respondents to indicate the number of ABE students who actually received ABE instruction in 1995. Question Five asked the respondents to indicate the number of paid staff who were involved in ABE in 1995. Total hours of ABE instruction information in Question Six were collected. This information was important in measuring the relationship of hours of instruction to the total funding allocated to ABE. Volunteer information was collected in Question Seven. This information was required to determine the organization's dependency on volunteers to deliver Adult Basic Education.

Questions Eight and Nine asked respondents to rank order their responses. Question Eight asked the

instructional methods as to frequency of use. A list of five instructional methods was provided and the respondents could have multiple responses. One line for "other" was included. Question Nine asked the respondents about the instructional strategies the organization employed to deliver ABE. A list of six instructional strategies was provided and the respondents could have multiple responses. One line for "other" was included.

Question Ten asked the respondents to check all the instructional sites that applied in the delivery of ABE. A list of six instructional strategies was provided and the respondents were allowed multiple responses. One line for "other" was included. Question Eleven asked the respondents to rank order the top three training needs in the organization. Questions Twelve through Twenty consisted of a five point Likert scale with "1" being "Not Important" and "5" being "Very Important". This set of questions were important in that they asked the respondents their perception about funding from various sources.

Question Twelve asked the respondents about federal support. Specifically, the question asked "How important is federal support to ABE in your organization?" Question Thirteen asked the same question as Question Twelve but for

funding the state government. Question Fourteen asked the same question but for funding at the local level. Question Fifteen asked the same question as Question Fourteen but for the private sources of funding other than government. Question Sixteen asked about the importance of the role of community based organizations in the delivery of ABE. This set of questions were considered important for comparison purposes.

Questions Seventeen through Twenty sought information about the importance of community. Given the fact that funding for ABE has been on the decline, Question Seventeen sought to obtain information from the respondents about the importance of diverse funding bases. Question Eighteen asked respondents to provide information about the role of ABE in self-empowerment to determine if ABE served as a liberatory tool from social ills. Question Nineteen sought information about the importance of community problems to funders. Question Twenty asked the respondents to detail the importance of the notion of "community" in dealing with ABE. Question Twenty-one was an open-ended question.

Distribution of the Questionnaire

A cover letter was sent to respondents (Appendix B) which explained the study and its importance to both the researcher and to the person receiving it in the mail. Also, the letter stated that anonymity would be ensured and further explained how the respondent should complete the instrument with instructions on how to return the completed questionnaire. The cover letter invited respondents to contact the researcher or his chair if desired.

Table 3 contains a summary of the data collection procedures. Before the questionnaire was mailed to the respondents it was be precoded to allow the researcher to enter the responses directly from the survey instrument without a need for an intermediate step. Data collection was accomplished in three phases as suggested by Rae and Parker (1991) with a slight variation: telephone follow-up calls was not made to all respondents, following Phase Two. This was considered to be too costly given the fact that the sample was geographically spread across the United States. However, telephone calls were placed to twenty nonrespondents to determine the reasons for why they did not respond.

Table 3
Summary of Questionnaire Data Collection

Date	Activity	Comments
*May 27, 1996	**Begin Phase One** Part One: Mail 106 questionnaires and request return by July 12, 1996	**Phase one Comments**
*June 14, 1996	Send reminder postcards to all respondents	
*June 28, 1996	Part Two Send out letters to foundation officials for interviews	
*June 28, 1996	**Begin Phase Two** Part One: Second questionnaire mailed to all respondents and request return by July 25, 1996	**Phase Two Comments**
*July 10, 1996	Part Two: Reminder postcards mailed to all respondents	
*July 17, 1996	Part Three: Contacting foundation officials to set up interviews	
*July 24, 1996	**Begin Phase Three** Third packet mailed to non-respondents request response by August 18, 1996	**Phase Three Comments**
*August 25, 1996	**End all data** **collection**	**Comments**

Pilot testing for content validity

Questionnaire items were distributed to a group of nonprofit organization program directors and staff who had extensive knowledge of Federal Programs and the Acts under which they are administered as well as extensive survey research in the INDEPENDENT SECTOR. The purpose of pilot testing the instrument was to determine how long it would take for potential respondents to complete and to improve the content and the sequence of the questions. Suggestions were made to improve content and certain items in order to ensure that accurate information was obtained.

Phase Two

Phase One was important and helped set the stage for the questions that were asked in Phase Two to some extent. Phase Two of the research related to question four and was qualitative in nature. The number of persons for this phase was be limited to between 4 to 8 persons and consisted of convenience sampling given the fact that the interviews were telephonic. Two directories published by ACBE were used to select corporation and foundation officials for the in-depth interviews. The first was the Directory of Corporate Funding Sources which listed corporations with a strong

history of support for community based educational
organizations. The Directory provided general information
about the corporations' areas of interest, examples of
projects funded, application guidelines, as well as the
types of assistance provided. The second, was the Directory
of Foundation Funding Sources. This directory provided a
compilation of foundations that have supported community
based educational initiatives. Information was indexed
geographically, by areas of interest, and by the average
size of the grant.

Data Analysis

For Phase One statistical analysis was accomplished
with the assistance of (SPSS) software. Measures of central
tendency and variability were applied to all data where
appropriate. Qualitative, open ended items were analyzed
with the Ethnographic software for analysis of text-based
data. Written responses to "other" items were not
numerically treated and instead were reported in tables that
appear in the Appendix D.

The data were doubled-checked for accurate input and
screened by calculating univariate descriptive statistics.
The descriptive statistical results were meticulously

inspected for skwedness and kurtosis, outliers, variance and meaningful standard deviations. As a result of this inspection, any questionable values were further investigated against the data for any input or other errors, and corrected where relevant. The demographic data were illustrated by descriptive statistics such as frequency distributions, means, variances and standard deviations.

In an effort to answer research question two, comparisons were made with regard to total funding. Community based organizations were grouped into small(less than $250,000), medium(more than 250,00 and less than $1,000,000), and large(more than $1,000,000) income categories. The income groups, were intended to ensure that enough organizations were present in each group to allow for meaningful comparisons. Comparisons were also made with regard to the various monetary sources. Comparisons were made between the top two percent of organizations to the middle 20%. Comparisons were also made with federal to private; federal to state, foundations to federal, local government to private.

Comparisons were made with the various services such as Adult Basic Education to Workplace Literacy; ESL/ESOL to ABE; and ABE to SLIAG (State Legalization Impact Assistance

Grant) instruction. Community based organizations were also compared across regions such as North East Region, the Midwest, the South and the West.

The initial plan was to run a MANOVA to test if the mean difference between funding and geographic area had occurred by chance. However, due to small numbers to run the mean differences between funding and geographical area, the original plan proved unfeasible.

Summary

This chapter has outlined the method that was used for this study. The study's design, instrumentation, and procedures for data collection were presented. Using Rae and Parker's Design and Conducting Survey Research, a survey questionnaire was developed and mailed to community based organizations that are members of the Association of Community Based Education. Techniques for data analysis and management were also introduced. The results of the study are introduced in Chapter Four.

CHAPTER IV

RESULTS

In this chapter the population and sample are described and the results corresponding to the study's four major questions presented. The analyses incorporated: (a) descriptive statistics to obtain item means and standard deviations; (b) frequency tables for establishing proportions to the various items in the questionnaire (Appendix A); and (c) qualitative analysis to distinguish specific patterns and themes of written responses to formulate constructs and meaning.

Questionnaires were mailed to 106 community based organizations which comprised the total population. A total of 22 questionnaires were returned, yielding a response rate of 23 percent. In an effort to increase the response rate, telephone calls were placed to 20 respondents selected at random from the non-respondents to determine why they did not respond to the questionnaire, and to encourage them to participate by completing the questionnaire and to mail it. Twelve of those 20 respondents contacted by telephone, completed the questionnaire and either mailed or faxed their responses. As a result of telephone follow-up, final

analysis were performed on 34 respondents which yielded a response rate of 32 percent.

Non-Response Bias

Some of the reasons provided by a sample of 20 non-respondent as to why they did not complete and/or respond to the questionnaire included: "The questionnaire was too long;" "At the time I received the questionnaire it was a very busy period and I had other deadlines;" "I forgot all about the questionnaire;" "I'm sorry but the questionnaire was sent to the wrong person in the organization and by the time I received it the due date had already passed;" "I did not have all the information at hand to complete the questionnaire."

The 20 non-respondents were selected out of convenience and were spread throughout the 50 states, without any attempt made to have them represent the geographic region as it is displayed in the member Directory. The reasons provided by the 20 non-respondents appear to be reasonable and would not cause alarm. The 12 respondents who completed the questionnaire after they were contacted varied among themselves in income, expenses, geographic region, number of students served, and in their definition of community.

However, there were no differences between the 12 and the first 22 respondents, thus there is no reason to suspect that the non-respondents would differ from the 34.

Organizational Profile Information

In this section Part B of the questionnaire (Appendix A) is discussed. A distribution of the population and respondents by geographic region is presented in Table 4. The information presented in this table is very helpful in describing the population. The distribution between the number of questionnaires mailed and those returned is the same except in three regions. East North Central has slightly lower representation in the sample, and South Atlantic and Pacific slightly higher. This finding seems to suggest that the breakdown of respondents is consistent with the population, and does not show any potential bias.

Years CBOs were Founded

The distribution of the years in which the organizations were founded is described in Table 5. The mean number of years of operation of the CBOs was 24 and the median number of years was 20.

Table 4.
Distribution of Survey Respondents by Region

Region*	Questionnaires Mailed to Population		Questionnaires Returned	
	N	**%**	**N**	**%**
New England	11	10.4	3	8.8
Middle Atlantic	23	21.7	7	20.6
East North Central	15	14.2	3	8.8
West North Central	4	3.8	1	2.9
South Atlantic	21	19.8	8	23.5
East South Central	8	7.5	3	8.8
West South Central	3	2.8	1	2.9
Mountain	7	6.6	2	5.9
Pacific	14	13.2	6	17.6
Total**	**106**	**100.0**	**34**	**100.0**

***New England** includes Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, and Vermont. **Middle Atlantic** includes New Jersey, New York, and Pennsylvania. **East North Central** includes Illinois, Indiana, Michigan, Ohio, and Wisconsin. **West North Central** includes Iowa, Kansas, Minnesota, Missouri, Nebraska, North Dakota, and South Dakota. **South Atlantic** Delaware, District of Columbia, Florida, Georgia, Maryland, North Carolina, South Carolina, Virginia and West Virginia. **East South Central** includes Alabama, Kentucky, Mississippi, and Tennessee. **West South Central** includes Arkansas, Louisiana, Oklahoma and Texas. **Mountain** includes Arizona, Colorado, Idaho, Montana, Nevada, New Mexico, Utah, Wyoming. **Pacific** includes Alaska, California, Hawaii, Oregon and Washington.

**Note: Total may not add to 100.0 because of rounding.

Table 5.
Distribution of the Years in Which Organizations were Founded

Year	Frequency	Percent
1901 to 1909	2	6.3%
1960 to 1969	4	12.5%
1970 to 1979	15	46.9%
1980 to 1989	10	31.3%
1990 to 1995	1	3.2%
Total	**32**	**100.0%**

*Note: Total may not add to 100.0 because of rounding.

The majority (46.9%) of the organizations who responded were founded during the period 1970 to 1979, followed by the period 1980 to 1989 (31.3%). It should also be noted that only 3.2 percent of those organizations who responded were established during the period 1990 to 1995. This finding is interesting because about two-thirds of the respondents have been in their communities for more than 20 years and it is reasonable to assume that they have demonstrated an understanding of the community and its problems as well as their role within those communities. These organizations have also demonstrated a sense of longevity as well as the ability to survive in difficult and competitive times. None of the CBOs responded that they were established during the

period 1910 to 1959.

Geographic Area Served by CBOs

The distribution of the geographic area served by the organizations is displayed in Table 6. The geographic area served by CBOs was considered to be a useful variable in describing the population. The majority (64.7%) of the respondents indicated that they serve a local constituency (county, city or town). One-fifth (20.6%) of the respondents indicated they served a neighborhood or community, and less than 10 percent indicated that the geographic area served by them is regional or multi-county, statewide or national respectively. This finding is not surprising because historically the focus of CBOS has been local and the data show the trend still continues.

Table 6.
Distribution of Geographic Area Served by CBO

Geographic Area	Frequency	Percent
Neighborhood/Community	7	20.6%
Local (County, City, Town)	22	64.7%
Regional	3	8.8%
Statewide	1	3.0%
National	1	3.0%
Total	**34**	**100.0%**

*Note: Total may not add to 100.0 because of rounding.

Mission of CBOs and Sponsoring Agency

Before discussing the various programs and services, it is of note to mention that 44 percent (19 of 34) of the respondents indicated that some part of their mission as CBOs was directed toward empowerment of individuals and the people they serve. The amount of time devoted to this activity ranged from one percent to 50 percent.

The results also indicated that 50 percent of the respondents indicated that some aspect of their mission included Adult Basic Education (ABE) instruction; 50 percent indicated that some aspect of their mission was General Education Diploma (GED) preparation; and 44 percent indicated that some aspect of their primary mission included literacy/reading instruction. This finding is helpful, because it seems to indicate that CBOs are driven by their mission and purpose within their community. Table 7 displays the distribution of those CBOs who indicated they had a sponsoring agency and the defined groups they served. Slightly more than four-fifths (81.8%) of the respondents indicated that at least on of their sponsoring agency was a community based organization.

Table 7.
Sponsoring Agency of Community Based Organizations and the Defined Groups Being Served

Sponsoring Agency	Frequency*	Percent
Local Literacy Council	2	6.1%
Community Based Organization**	27	81.8%
Adult Education Cooperative	2	6.1%
Independent School District	1	3.0%
Church Group	2	6.1%
Other	5	15.2%
Total	**33**	--
Defined Groups	**Frequency**	**Percent**
Permanently Physical Disabled	1	3.4%
Homeless	4	13.8%
Immigrants	3	10.3%
Migrant Workers	1	3.4%
Offenders/Ex-Offenders	2	6.9%
Refugees	3	10.3%
Single Parents	4	13.8%
Welfare Recipients	4	13.8%
Substance Abuse	2	6.9%
Other	5	17.2%
Total	**29**	**100.0%**

* Multiple responses allowed.
--Does not add to 100 percent because of multiple responses.

This finding is significant because it seems to suggest that CBOs have a vested interest in their communities and work in concert with other organizations in the community in dealing with community problems.

Table 7 also displays the various defined groups served by CBOs. Of the 29 respondents who indicated that they served a limited group, 13.8 percent stated that they served homeless persons, single parents, or persons who received welfare. Other groups served by the respondents included low-income individuals, residents of public housing, persons suffering from HIV, and adults who were chronically mentally ill. The findings were helpful in indicating that CBOs serve a wide variety of groups which very often were the most marginalized groups in communities or neighborhoods.

Characteristics of Participant Students and Teachers

Table 8 displays the characteristics of participant students and teachers. On average 62.9 percent of the students in each CBO were female. Also, more than two-thirds (68.6%) of the teachers in each CBO were female.

Table 8.
Characteristics of Participant Students and Teachers
Involved with CBOs

Participant Characteristics	Students		Teachers	
	$\overline{X}$	%	$\overline{X}$	%
Gender: (N=31)				
Females	777	62.9%	35	68.6%
Males	458	37.1%	16	31.4%
Age Groups: (N=21)				
Less than 16 years	263	16.2%	0	0.0%
16 - 24	275	17.0%	7	6.8%
25 - 44	787	48.5%	52	50.5%
45 - 59	218	13.4%	16	15.5%
60+	79	4.9%	28	27.2%
Race/Ethnicity (N=34):				
Asian/Pacific Islander	123	7.8%	5	6.2%
African American	308	19.5%	15	18.5%
Hispanic/Latino	568	35.9%	7	8.6%
Black Hispanic	2	0.1%	3	3.7%
White/Caucasian	314	19.8%	40	49.4%
Named Ethnic Group*	268	16.9%	11	13.6%

* Name Ethnic Group regardless of race include for example
  Russians, Bosnians, Native Americans.

When asked about the age of their students the respondents indicated that the majority of the students in each CBO were in age groups 25 to 44(48.5%). About fifty percent (50.5%) of the teachers in each CBOs were in age group 25 to 44, followed by the age group 60+. This finding seems to suggest that the teachers in age group 60+ might be people who are concerned about their community, perhaps in their second careers and prefer to work part-time.

The majority of the students served by each CBO were Hispanic, White and African American. The majority of the respondents for each CBO indicated that their teachers were White (49.4%) and 18.5 percent indicated that their teachers were African American. It should be noted that just because a CBO has responded that their students are of a certain age group or ethnic group does not mean that the number of students are consistent for each CBO. One CBO may respond if they have one student from a certain ethnic group, whereas another CBO only if they have 10 or more.

Table 9 indicates the types of training provided by the respondents. Many of the respondents provided multiple responses, therefore the number of frequencies is greater than 34. Of those respondents who indicated that they provided training, ABE and Literacy training was cited as

the most frequent in 1995, which was followed by ESL
(English as a Second Language) training. Other forms of
training included GED preparation, staff development and
supervisory training.

Table 9.
Types of Training Provided by CBO in 1995

Type of Training	Frequency*	Percent of 34 CBOs	Percent of 40 Responses
ABE Training	12	35.3%	30.0%
Literacy Training	12	35.3%	30.0%
ESL Training	11	32.4%	27.5%
Intergenerational Literacy Training	1	2.9%	2.5%
Other	4	11.8%	10.0%

* Multiple responses allowed.

The respondents also indicated that the number of
teachers/tutors in their organizations varied from 1 to 170.
Slightly over 80 percent of the respondents indicated that
they had full-time teachers on staff and the number of
teachers ranged from 1 to 54.

General Funding Patterns and Sources

This section corresponds with Part A of the
questionnaire and focuses on total income and expenses of
respondents which varied and is displayed in Table 10.

Table 10.
Distribution of Total Income and Expenses of Community
Based Organizations

Total Income of CBOs	Frequency	Percent
Less than $100,000	3	9.7%
$100,000 to $249,999	6	19.4%
$250,000 to $499,999	5	16.1%
$500,000 to $749,999	2	6.5%
$750,000 to $999,999	1	3.2%
$1,000,000 to $1,249,999	3	9.7%
$1,250,000 to $1,499,999	4	12.9%
$1,500,000 and Over	7	22.6%
Total Income	**31**	**100%**
Total Expenses of CBOs	**Frequency**	**Percent**
Less than $100,000	4	12.9%
$100,000 and $249,999	6	19.4%
250,000 to $499,999	4	12.9%
$500,000 to $749,999	2	6.5%
$750,000 to $999,999	1	3.2%
$1,000,000 to $1,249,999	2	6.5%
$1,250,000 to $1,499,999	5	16.1%
$1,500,000 and Over	7	22.6%
Total Expenses	**31**	**100%**

About one-fifth (19.4%) had income between $100,000 and $249,999, and 16.1 percent had income between $250,000 and $499,999. Respondents in the income group $1.5 million and over accounted for 22.6 percent. It should be pointed out that respondents in this income group usually have other programs in addition to ABE, which is why the income reported for the entire organization is "high", compared to other CBOs who reported lower income. This finding shows that the majority (55 percent) of the CBOs had income in fiscal year 1995 that was less than $1 million dollars. This finding is also interesting because it points out that those organizations with income over $1 million dollars have been successful in offering a diverse number of programs. Sixty-seven percent (23 of 34) of the respondents indicated that they had other sources of income. Thirty one organizations also provided information about their total expenses which indicated that about half of the respondents had expenses less than $750,000 and half had expenses in excess of $750,000.

The modal expense category in the lower half was between $100,000 and $250,000. In the upper half, it was $1.5 million and over. These two categories represented 42 percent of the sample.

Table 11 contains the mean, minimum and maximum dollar amounts for the various sources received by community based organizations in general. The actual frequencies for the responses of the individual items can be found in Appendix C. A majority of the respondents (27 of 34) indicated that they received funding from the State government, followed by other (24 of 34), foundations (22 of 34) as a significant source of income, the federal government (19 of 34), corporate grants (18 of 34), one-time donations (17 of 34), and the local government (14 of 34).

The mean income from the various sources indicated the following: the funding source with the highest mean income was the state government, followed by the local government, the federal government, income from tuition, and funding from foundations. Even though the average income from foundations was lower compared to the income from the federal and local government, and tuition, more CBOs responded that they received funding from foundations. Even though the average funding from libraries as a source of funding appears significant, only one of the respondents received funding from this source. Other sources of funding included: the United Way, special events, program related investments(PRI's), loan from funders, real estate,

Table 11.
Sources of Funding for Community Based Organizations in General

Source	Mean	Minimum	Maximum	Number
Federal Government	$318,257	$15,000	$870,000	19
Amnesty/SLIAG	---	---	---	---
JTPA	121,654	24,000	356,237	4
State Government	517,214	10,220	6,316,779	27
Local Government	329,911	0	2,300,000	14
One-time Donations	107,258	4,000	500,945	17
Corporation Grants	48,608	2,520	195,000	18
Foundation Grants	159,064	1,320	6,300,000	22
Tuition	174,309	2,000	904,402	11
Library	200,000	200,000	200,000	1
Civic Organization	20,300	5,000	45,776	3
Private Contracts	22,189	3,000	34,866	5
Other	141,332	887	750,000	24

interests, carry-over funds, fundraising, churches and religious organizations, etc. Corporation grants is also an important source of funding for some (14 of 34) of the respondents. It is interesting to note that none of the respondents indicated receiving funding from SLIAG (State Legalization Impact Assistance Grant).

Adult Basic Education

This section corresponds with Part C of the questionnaire and consists of Tables 12 to 15. Twenty four CBOs (73.5%) provided information about the number of students enrolled in their adult basic education program in 1995.

The mean number of students enrolled in ABE was 400 and the total number of students ranged from 25 to 3500. Table 12 indicates that for each CBO 61.0 percent of the respondents had more than 1000 students who were enrolled in ABE and those who actually received ABE instruction, and that for each CBO, 7.4 percent had less than 400 students enrolled in their ABE program. This finding is not surprising and it shows that the majority of the CBOs on average serve a large number students who participate in ABE.

Table 12 further indicates that the number of students who enrolled and the number of students who actually completed seems to be the same. This may indicate that very few students actually leave without completing the program. It may also imply that spaces are fixed and that the number enrolled each year cannot exceed the number graduating.

Table 12.
Number of Students Who Were Enrolled and Who Completed ABE
Instruction in 1995 and the Number of Paid Staff Involved in
ABE Instruction in 1995

	Enrolled		Actually Completed	
Number of Students: (N=24)	$\overline{X}$	%	$\overline{X}$	%
Less than 50 students	39	0.7%	39	0.7%
Between 50 and 200 students	125	2.2%	125	2.2%
Between 201 and 400 students	261	4.5%	261	4.5%
Between 401 and 600 students	475	8.3%	475	8.3%
Between 601 and 800 students	650	11.3%	650	11.3%
Between 801 and 1000 students	687	12.0%	687	12.0%
More than 1000 students	3500	61.0%	3500	61.0%
Number of Paid Staff: (N=22)	$\overline{X}$		Percent	
Less than 5 Paid Staff	9		1.6%	
Between 5 and 20 Paid Staff	18		9.5%	
Between 21 and 40 Paid Staff	34		17.9%	
Between 41 and 60 Paid Staff	34		28.4%	
More than 60 Paid Staff	81		42.6%	

Table 12 also displays the number of paid staff
involved in ABE. The mean number of paid staff for those
CBOs who responded was 22, and the number of staff ranged
from 2 to 120. The distribution of the number of paid staff
in Table 12 was categorized and show that 22 of the

respondents (64.7%) provided information about the number of paid staff (full and part-time) involved in ABE in 1995. On average, 42.6 percent of CBOs had more than 60 teachers on staff teaching ABE. This finding is important because most CBOs are small and the number of teachers who teach ABE are small and teach part-time.

The results of the number of hours of ABE instruction in 1995 is displayed in Table 13. The same respondents who provided information about paid staff also provided information about the number of total number of ABE instruction. The total number of ABE hours in 1995 ranged from 75 to 24,000 hours. On average, 80 percent of the respondents had more than 3000 ABE hours instruction per year

Table 14 also displays the number of volunteers involved in the delivery of ABE. Twenty two respondents indicated that they made use of volunteers in the delivery of ABE. The number of volunteers used in the delivery of ABE ranged from 1 to 160, with CBOs reporting a mean of 31.3 volunteers. This finding is important because it seems to suggest that volunteers are an important source of ABE instruction. Volunteers very often do not receive monetary

Table 13.
Hours of Adult Basic Education Instruction and the Number
of Volunteers Involved in ABE in 1995

Number of ABE Hours	Frequency	Percent
Less than 500 Hours	153	0.8%
Between 500 and 1500 Hours	1167	6.0%
Between 1501 and 3000 Hours	2583	13.1%
More than 3000 Hours	15581	80.0%
Number of Volunteers	**Frequency**	**Percent**
No Volunteers	0	0.0%
Less than 10 Volunteers	5	3.1%
Between 11 and 20 Volunteers	0	0.0%
Between 21 and 30 Volunteers	25	15.4%
Between 31 and 40 Volunteers	33	20.4%
More than 40 Volunteers	99	61.1%

compensation and are recruited from the local community.

To address the importance of funding from the various sources (federal, state, and local governments; private foundations, corporations, etc.) respondents were asked to respond to six statements (Table 14). Slightly more than 60 percent stated that creating a diverse funding is important

Table 14.
Distribution of Respondents About the Importance of Funding to Community Based Organizations from Various Sources

Statement	Response* (N=27)									
	5		**4**		**3**		**2**		**1**	
Importance of:	N	(%)	N	(%)	N	(%)	N	(%)	N	(%)
Diverse Funding Base	21	61.8	3	8.8	1	2.9	0	0.0	1	2.9
Role of CBOs in the Delivery of ABE	18	52.9	4	11.8	2	5.9	1	2.9	0	0.0
State Government Support	14	47.1	3	8.8	3	8.8	1	2.9	4	11.8
Private Support	15	44.1	7	20.6	4	11.8	0	0.0	1	2.9
Federal Government Support	13	38.2	1	2.9	4	11.8	4	11.8	5	14.7
Local Government Support	9	26.5	6	17.6	2	5.9	3	8.8	6	17.6

*Response Rate: 5 = Very Important
                        4 = Important
                        3 = Indifferent
                        2 = Somewhat Important
                        1 = Not Important

and more than half (52.9%) indicated that they belief the role of CBOs are important in the delivery of ABE. Close to four-tenths (38.2%) stated that federal government support is very important to them. About fifty percent (47.1%) of the respondents stated that state government support to federal funding to deliver ABE is very important to them, and less than a third (26.5%) of the respondents stated that local government support was important to the delivery of ABE. Slightly more than four- tenths (44.1%) of the respondents stated that private foundations and corporate giving support are important to them in the delivery of ABE. These data show that it is very important for organizations to maintain a diverse funding base in order to deliver ABE. The data also show that most CBOs received funding from a variety of sources.

Respondents Definition of Community

The written comments of the respondents about the notion of community also provided some interesting results. Fifty nine percent (20 of 34) of the respondents provided their working definition of "community". Following a qualitative content analysis, five categories emerged to describe the respondents' definition of community. The five

categories were: (a) community as a geographic location; (b) community as relationships; (c) community as common interests or needs; (d) community as lifelong learning or adult education. A complete list of the respondents definition of community can be found in Appendix D.

Community as a geographic location was defined as a specific "neighborhood with clear defined boundaries and includes all the different stakeholders in that community." One respondent suggested that community is a combination of neighborhood residents, nonprofit staff, merchants and associations who come together to enhance their surroundings. The geographic location also referred to the place where people live and work.

Community as relationships consisted of the networks that resulted as people learn together. Other ways that people related to each other included culture, history or friendship. One respondent indicated that as a result of these relationships people develop shared goals and experiences.

Community as common interests or needs that are common to a group of people who are not to each other geographically. One respondent described community as "a self-defined network of mutual support - a network of

individuals and groups who provide support and assistance to one another."

Community as a lifelong learning process regards the CBO as the vehicle or mechanism who bring learners, teachers and staff together in an effort to make learning a reality. Learning is also regarded as adult education within the overall community.

Sources of Funding for Community Based Organizations

Research question one dealt with the major sources of funding for community based organizations who provide adult basic education. Sub-questions included: How much of the budgets of these community based organizations are derived from (a) the Federal government; (b) the State government; (c) the local government; and (d) Foundations, corporations and philanthropic organizations.

Types of Funding Sources

Table 15 displays the funding sources for adult basic education provided by community based organizations in particular. Seventeen respondents provided information on their total funding for ABE, with a mean total funding for ABE of $257,104 and ranging between $2,500 and $1,025,000

for the 17 respondents. The mean, range and total number of respondents by the different sources of income for ABE in 1995 is displayed.

Table 15.
Sources of Income for ABE in 1995 (based on 17 CBOs)

Source	Mean	Minimum	Maximum	Number
Federal Government	$116,479	$2,500	$408,000	17
Amnesty/SLIAG	---	---	---	---
JTPA	48,275	24,000	72,549	2
State Government	128,947	2,500	1,025,000	12
Local Government	50,687	2,000	184,000	7
One-time Donations	39,167	2,000	140,000	6
Corporation Grants	11,904	2,000	40,000	5
Foundation Grants	48,617	5,000	167,000	11
Tuition	32,000	6,000	65,000	3
Library	200,000	200,000	200,000	1
Civic Organization	---	---	---	---
Private Contracts	---	---	---	---
Other	268,555	2,500	116,000	9

Even though most of the respondents indicated they received funding from the federal government with a mean income of $116,479, the average funding from the State government was higher ($128,947). The mean income from the local government as a source of funding was $50,687, and for

foundations was $48,617. This finding seems to suggest that this funding picture does present both challenges and opportunities for CBOs in terms of creating a more diverse income base for ABE and other programs. Only one CBO responded that they received income from this source, but this amount was higher than all but one mean contribution for ABE. The above pattern of funding is consistent with the fact that state and federal governments still remain an important source of funding for ABE.

None of the respondents indicated that they received any income from the Job Training Partnership Act (JTPA), Civic Organization and Private Contracts. Of the nine respondents who indicated that they received income from other sources, five received income from the United Way, one received income from a religious organization, two raised income from special events (fund-raising), and one CBO received income for assistance from community based education.

Comparison of CBOs by Demographic Characteristics

Research question two dealt with how the funding pattern differed across community based organizations with different demographic characteristics or profiles. Community based organizations were grouped into three groups: small, medium, and large based on their total income. Small CBOs were those with income less than $250,000, medium CBOs were those with income greater than $250,000 and less than $1,000,000, and large CBOs with income larger than $1,000,000. The reason for these groupings were to ensure that enough respondents were present in each group to make meaningful comparisons across the three groups.

Figure 1 contains the proportional frequencies of the respondents who fell into the three income groups. A general glance of Figure 1 show that of the 31 CBOs who responded, nine CBOs had income less than $250,000 with a mean income of $119,342, eight CBOs had income greater than $250,000 and less than $1,000,000 with a mean income of $521,110, and 14 CBOs had income greater than $1,000,000 with a mean income of $2,257,415. The finding that 45.2% (14 of 31) had income greater than $1,000,000 may indicate that many CBOs are still small if one considers income as
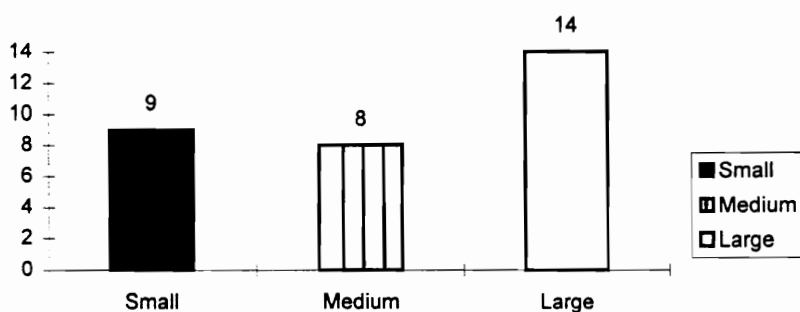
the criterion to determine size.

Figure 1: Comparison of CBOs by Income Group

Figure 2 displays the proportional frequencies of the various income groups by the geographical constituencies they served. Four of the respondents indicated that they served neighborhood/community area (2 by small CBOs and 2 by large CBOs respectively). Twenty-two of the respondents indicated that they served local/county areas (5 by small CBOs, 7 by medium CBOs, and 10 by large CBOs respectively).

It is interesting to further note that only three respondents indicated that they served geographic areas that were regional. This finding is important because it seems to suggest that irrespective of the size of CBOs, most of them are serving communities that are local to them.
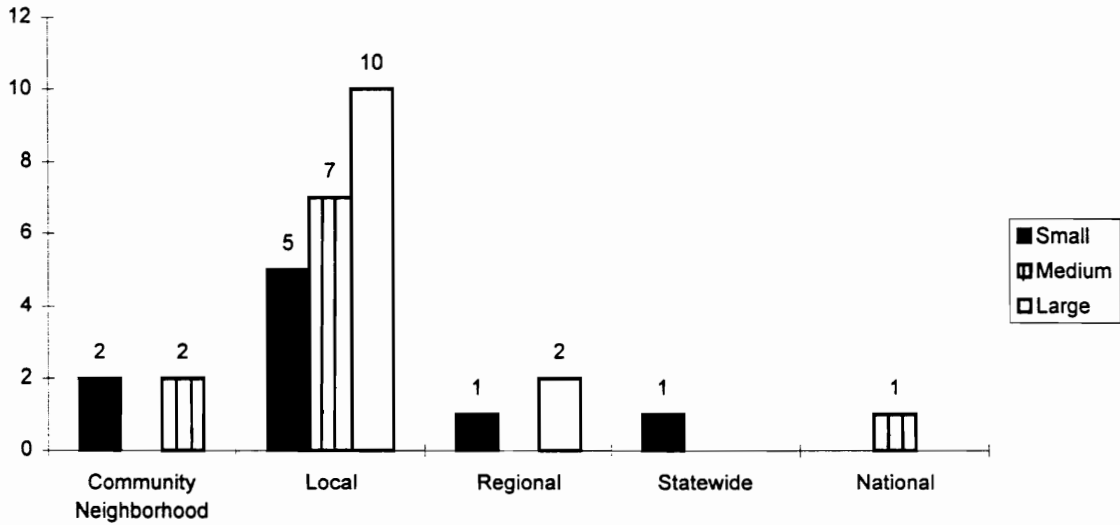
Figure 2: CBOs by Geographic Areas

are neighborhoods or local to them. It should be pointed out that neighborhoods are to some extent part of local or county areas, but from an identity standpoint, neighborhoods prefer to be distinct from local areas, because it gives them greater legitimacy in dealing with their problems. In terms of sponsoring agencies, community based organizations were the most frequently cited across the various CBOs.

Comparing the top two percent of respondents with the middle 20 percent of the respondents revealed some interesting results. Of those respondents who had income more than $3,000,000, only two respondents fell into this group. The top two percent of the respondents had a mean

income of $5,461,656 with a standard deviation of
$2,607,876. The number of respondents who had income
greater than $2500,000 and less than $750,000 were seven and
comprised the middle 20 percent, had a mean income of
$468,529 and a standard deviation of $133,949. This finding
is interesting and seems to suggest that the top two percent
of CBOs had income that was significantly higher than the
middle 20 percent of CBOs.

Successfulness of CBOs in Attracting Federal Funding

Research question three dealt with the relationship
between the "successfulness" of CBOs in attracting federal
funding in general and selected characteristics of CBOs.
Sub-questions included: What is their relationship to (a)
the stated mission; (b) the variety of programs; (c) the
number of participants in ABE served by a CBO?

The data show that there was no apparent relationship
between a community based organization's ability or
successfulness in attracting federal funding and their
mission, the variety of programs they offer, and the number
of participants enrolled in ABE. The respondents who
provided a dollar amount for federal government funding was
19 of 34 (56%). The finding that only 56% of the

respondents indicated that they received federal funding may reflect that the rest of the respondents were unsuccessful in their ability to attract federal funding.

There was no relationship between federal government funding and the mission (r=-.0530)of the organizations in terms of empowerment, advocacy, community development, general education, public education and adult basic education instruction. Also, no relationship was established between federal government funding and the different services delivered by CBOs (r=-0.0415)which includes ABE, Literacy/Basic Reading, GED preparation, English as a second language/English speakers of other languages, workplace literacy, and life skills.

A weak negative relationship was discovered between federal government funding and the number of students enrolled in ABE (r=-0.37).

Private Funders Who Support CBOs Delivering ABE

This section refers to phase two of the study and dealt with research question four about what private funders were looking for when they provide financial assistance to CBOs who deliver ABE. Subquestions included: (a) Why are private funders giving to community based organizations who deliver

adult basic education?; and (b) How funders make the decision as to the percent of their budget that is allocated to CBOs who deliver ABE?

Five funders were interviewed and asked about their funding activities in general, and specifically as it related to community based organizations; why they made funding available to these CBOs and what percent of their budget was directed towards CBOs. The interviews lasted about 30 minutes and provided a wide spectrum of responses as it related to their work with CBOs.

These five interviewees represented foundations that were very different in terms of mission, board composition, staff size, assets, grants made, the geographic areas they served, and their approach to funding in general. Therefore, any attempt to generalize what they do and how they do it will be highly futile. The purpose of the interviews however, was to gain an understanding of how funders do what they do and to determine if there was any similarities in their approach to funding in general; their decision to fund CBOs in particular; and, their notions of community. Some of the funders supported organizations across their state, one made funding available nationally, and one foundation made funding available to organizations

in a particular geographic area of the state they were in.
Most of the funders indicated that they supported
organizations that were both urban and rural.

Two of the funders indicated that their foundations had
recently (within the last two to three years) gone through a
design and planning process in an effort to focus on the
future and to best affect change in their communities where
they fund projects and society as a whole.

Most of the funders indicated that they supported a
wide variety of organizations and institutions who do work
germane to the mission of their foundation or organization,
and that fell within the general grantmaking areas. The
boards of these foundations played a pivotal role in what
they funded and also provided leadership, oversight and
authorization in many of the activities of the foundation.
One of the respondents indicated that the types of
organizations they supported were really determined "a
priori". When funders provided financial assistance to these
organizations they were very often looking at organizations
and groups who "were doing significant work and were showing
great promise; organizations who were struggling but yet
fulfilling that need" within their communities.

One of the interviewees stated that they used certain criteria or yardsticks to fund organizations that furthered their mission or do work in a specific area such as literacy. One of the respondents noted that they "gave a low priority to organizations who obtained 51 percent of their funding from state and federal government sources, or organizations who have $50 million in endowments". Issues of independence and autonomy were raised as important concerns by the funder, especially when most of an organizations funding comes from government sources.

Funding Community Based Organizations. Most of the funders agreed that funding community based organizations were not just important but cardinal at the grassroots level. It was clear that CBOs have a local understanding of the problems their communities face, they were closer to the problems and CBOs were directed and represented by people in their communities; governed by the community and was sees as less hierarchical. One of the respondents indicated that they fund "CBOs because of their skills and talents. We go out of our way to level the playing field so that many groups can compete."

One of the funders was more critical and stated that most CBOs get involved in literacy work because it was a

topical subject "but there is no accountability for
organizations offering literacy work. There is no uniform
set of standards. Literacy to these organizations is just
another program added in order to get funding. There is no
serious commitment to literacy by CBOs in some cases."
It was also pointed out that most teachers who were teaching
ABE or literacy in general lacked certification.

Some funders did not directly fund CBOs. They provided
funding to national networks who then distributed the money
because of the diffused nature of organizations who dealt
with literacy in general. As a result of this diffused and
fragmented nature of literacy, funders have a difficult time
deciding whom they want to support and they have to do it in
a very strategic way without compromising their mission and
goals.

Some of the funders indicated that they work very
closely with CBOs and encouraged their work. Part of that
relationship involved conducting regular site visits,
improving the quality of ABE instruction, technical
assistance, and management support. One of the respondents
stated that "we put up a sincere effort to with the CBOs who
provide ABE. If they do not reach their goals we ask them
to critically reflect on their experience." Another funder

noted that the issue is one of sustainability. If the work of CBOs is going to continue that relationship between funder and CBOs has to be cultivated, avoiding any appearance of paternalism, and implementing systems that allow CBOS to grow and asking them to critically reflect on their learning and to improve their systems if and when required.

Funding Allocated to CBOs. The amount of funding made to CBOs ranged from a high of 80 percent to a low of 15 percent among the funders. One of the funders indicated that money was less valuable in dollar terms but more important in its affirmation of its impact in the community. In an effort to increase the number of CBOs one of the funders indicated that they were doing fairly innovative grantmaking in the sense that they were seeking out CBOs through intermediaries. It was further indicated that they do things like town hall meetings, bidders conference and open forums to encourage CBOs to apply for funding.

Another funder indicated that they made use of challenge grants to increase the number of CBOs involved in literacy. The challenge grant strategy is viewed as a way to encourage CBOs to create a diverse funding base.

For CBOs and organizations to have only one funding source was viewed as a sense of obligation and can impinge on a CBOs ability to solve problems in their communities. The notion is that problems are solved at the community level, not at the state or federal level. Community ownership of problems and assets is what is important. One of the funders also noted that community assets is an idea that is very often ignored by communities. Community assets (such as a strong commitment to family, a strong nonprofit sector, a diverse population base, etc.) were viewed as important and not community liabilities (such as unemployment, teenage pregnancies, illiteracy, crime, etc.).

Summary

Four questions guided the inquiry of this study in an endeavor to describe the funding patterns and sources of community based organizations who provided adult basic education. Thirty four respondents completed the questionnaire with the South Atlantic and the Pacific showing slightly higher representation in the sample than in the population. Almost half (46.9%) of the organizations who responded were founded during the period 1970 to 1979 and three-tenths (31.3%) were established during the period

1980 to 1989.

The majority (64.7%) of the respondents indicated that they served a constituency that was local (county, city or town). One-fifth (20.6%) of the respondents indicated they served a neighborhood or community.

Fifty nine percent (20 of 34) of the respondents provided their working definition of "community". Following qualitative analyses, five categories emerged to described the respondents definition of community. The five categories were: (a) community as a geographic location; (b) community as relationships; (c) community as common interests or needs; (d) community as lifelong learning or adult education.

CHAPTER V

SUMMARY, CONCLUSIONS, IMPLICATIONS, AND RECOMMENDATIONS

Introduction

After summarizing the method of this study, this chapter puts forth the study's conclusions based on the results established in Chapter 4. The implications of the conclusions for funding to community based organizations who provide adult basic education are then further discussed and concludes with certain recommendations for future research.

Summary of the Study

The purpose of this study was to investigate the funding patterns and sources of adult basic education offered by community based organizations and to determine if they (CBOs) have been successful in attracting external sources of funding. A related purpose was to determine the composition of the various sources of funding such as corporations, foundations, charitable and philanthropic organizations, etc. A further purpose was to investigate how funding differed across different types of CBOs and some

of the important criteria funders employ when selecting CBOs who deliver ABE.

Although an extensive literature base exists on ABE in general; and budget information from the states and federal government on ABE are readily available, the literature does not include any formal study about the funding sources and patterns of CBOs in general and their ability to attract private and public sources of funding. Many regard the role and work of CBOs to be important in the fight against illiteracy, but very little financial assistance has been forthcoming to confirm that importance. A divide seems to exist between the federal, state, and local governments and the perspectives of CBOs about the importance of funding.

This study was exploratory and descriptive in nature, designed to deal with the lack of methodical inquiry regarding the funding pattern and sources of CBOs who deliver ABE. It was designed to bridge the gap between the assumed notions of the importance of CBOs and their actual levels of funding from a variety of sources. This study sought to develop an understanding of the involvement of community based organizations in delivering adult basic education services, their funding sources and patterns by identifying who the funders are, why funders contribute to

CBOs, and to see if a relationship between funding in general and the provision of ABE services in particular.

To achieve this, a questionnaire designed for this study was mailed to CBOs that were members of the Association for Community Based Education (N=106). A total of 34 completed questionnaires were returned, generating a response rate of 32 percent.

The majority (46.9%) of the organizations who responded were founded during the period 1970 to 1979, followed by the period 1980 to 1989 (31.3%). Only two organizations (6.3%) of those who responded were established during the period 1901 to 1909 and are still in existence today, providing ABE. Also, the majority (64.7%) of the respondents indicated that they served a constituency that was local (county, city or town). One-fifth (20.6%) of the respondents indicated they served a neighborhood or community, and less than 10 percent indicated that the geographic area served by them was regional or multi-county, statewide or national respectively.

Based on the results about two-thirds of the respondents have been in their communities for more than 20 years, it is reasonable to assume that they have demonstrated an understanding of their communities and its

problems as well as their role within these communities. These organizations have also demonstrated a sense of longevity as well as the ability to survive in difficult, turbulent and competitive times. Furthermore, CBOs served local communities predominantly, and the data show the trend still continues.

The majority (55%) of the CBOs had income in fiscal year 1995 that were less than $1 million dollars. This study also suggested that most CBOs are small if we use income as a criterion to define size. Those organizations with income over $1 million dollars appeared to have been successful in offering a diverse number of programs. The number of teachers teaching ABE was relatively small with many lacking proper certification which was consistent with the findings of Shanahan, Meehan and Mogge (1994) that the professionalization of teachers of ABE was considered important but was still lacking in many CBOs. Most CBOs were devoting a large part of their resources to ABE instruction and were making use of volunteers to help teach ABE and literacy.

Creating a diverse funding base was important but lacking in CBOs even though they believed it played an important role in the delivery of ABE to their communities.

This result was consistent with the findings of Bielefeld, 1994; Chang and Tuckman, 1993; and, Kingma, 1994) that a diversified funding base reduced the dependence on a single funding source and helped organizations to cope during financially stressed times. A majority (47.1%) of CBOs believed that funding from the state was an important source.   The results of this finding was consistent with findings by OTA, (1993) and Moore, Dicarlo, Elliott and King Rice (1995) that states were still the predominant source of funding, and outspend federal funding four to one.

Conclusions

A number of specific conclusions may be drawn from the study's findings. The following conclusions are presented with regard to the research question with which it corresponds.

Community Based Organizations' Definition of Community

Fifty nine percent of the respondents provided their definition of community. The definitions provided by the respondents provided a rich "quilt" and context for the role of CBOs and how they view community. These definitions also provided an added dimension for understanding the

quantitative analyses. The similarities and differences among the respondents supported the findings of Young (1986) and Khan (1991) in that the concept of community is varied.

This finding is also consistent with the works of Sandel (1984) and Etzioni (1992, 1994) which placed people at the center of community. The notion of "community as relationships" was very encouraging and is consistent with the work of Anderson and Carter (1984). Also, community cast in the context as adult education from a CBO perspective was very illuminating and was consistent with the work of Wellman, Carrington and Hall (1991) in that communities have boundaries in which adults operate.

What are the Major Funding Sources for CBOs?

The first research question dealt with the general question of what the major sources of funding for CBOs were who delivered ABE. Part C of the questionnaire dealt with adult basic education and funding for ABE. Based on the responses several inferences can be drawn as they related to the sources of income from CBOs. It can be concluded that CBOs received a majority of their funding from government sources and to some extent from nongovernment sources which is consistent with the assertion by the OTA (1993) that

about two-thirds of the funding of CBOs came from government sources and about a third came from nongovernment sources.

Federal Government as a Source of Income. The Federal government remains an important source of funding for CBOs who delivered ABE even though it lagged behind the states and other sources of funding in general. Most of the respondents who provided financial data indicated that they received income from the Federal government. This finding was interesting and encouraging given that the Federal government has numerous restrictions to which federal basic grants are subjected when application is made. The results are consistent with the findings of Smith and Lipsky (1993) who indicated that for the majority of nonprofit organizations public funding remains a significant revenue source.

State Government as a Source of Income. The state government still remains the number one source of income for CBOs who deliver ABE. For those CBOs who provided information on funding from the state government, the maximum dollar amount was 250 percent higher than that of the federal government. The results of this finding was in direct contradiction to that of Moore, Dicarlo, Elliot, and King Rice (1995) who found that "federal funds are used more

frequently to support ABE instruction" (p. 61). One possible explanation for this difference is that the respondents in this study were asked to self-report their financial information, and they might have reported federal "pass-through" money as state money. Furthermore, in the Moore, Dicarlo, Elliot and King Rice study, various data sources were utilized, whereas this study primarily depended on financial data from the respondents.

Local Government as a Source of Income. Local governments also gave to CBOs and remain an important and primary source of funding for ABE, but not at the same rate as the federal and state government. Looking only at the dollar amounts from the local government without taking into consideration the context in which the monies are allocated understates the role that the local governments play. In communities where local governments are the only source of income for CBOs who deliver ABE, they are deemed an important source of income.

Private Funders as Sources of Income. A wide array of organizations can be classified as private sources of income which included nonprofit organizations, foundations, the United Way, corporate giving programs, etc. These organizations have always been and continue to be an

important source of funding to CBOs. However, based on the findings of this study, private funders need to do more to support CBOs who fight illiteracy. About the same number of CBOs reported receiving income from foundations and other private sources. This finding seems to suggest that private sources of funding are important but only a few CBOs are to some extent creating a diverse funding base. The findings of this study agreed with the Haley and Hoover's (1985) contention that CBOs are not considered as serious contenders for funding.

How Does the Funding Pattern Differ Across CBOs?

The aim of the second research question was to group the CBOs based on their funding and to compare these groups to each other by focusing on different demographic characteristics. Based on the mean dollar amounts of the three groups, 14 of the respondents had income that was more than $1 million, whereas the majority of the respondents (17 of 31) were small and medium, and had income less than $1 million. This finding seems to suggest that the majority of the CBOs are small if one considers income as an important characteristic of size. This finding was consistent with that of Norris (1993) who asserted that

these organizations have a difficult time to sustain themselves during financial scarcity because they are small. However, because CBOs are small do in no way imply that they are inconsequential.

The majority of CBOs irrespective of their income size still served geographic areas that were either neighborhoods, local or county. This finding seems to suggest that despite the income of CBOs in general, they still have a local focus in terms of the geographic areas they served. This study also seems to suggest that CBOs have a direct relationship with the local communities in which they operate and have a direct impact in the betterment, empowerment and "upliftment" of such communities.

What is the Relationship Between Attracting Federal Funding and Selected Characteristics of CBOs?

Research question three dealt with the relationship between the "successfulness" of CBOs in attracting Federal Funding and selected characteristics of CBOs. Three broad conclusions about a CBO's "successfulness" can be drawn based on the numerical findings. First, the ability of a CBO to seek federal funding has very little to with the

mission of that organization. Second, irrespective of how

many programs a CBO offers, it is no guarantee or assurance

of federal funding. Third, irrespective of the number of

students a CBO serves, no positive relationship to federal

funding was apparent. These three broad conclusions are

discussed below.

The Mission of CBOs and Federal Funding. Fifty-six

percent of the respondents indicated that they received

federal income. No relationship existed between federal

funding and the mission of the CBOs. This finding is

significant because CBOs are often regarded as non

traditional providers of ABE. CBOs very often link their

mission as one that reaches beyond the education to goals of

individual and community empowerment as discussed by

Schroeder (1980) that their mission is to "render service to

individuals and groups in need of service." CBOs also

reflect what is known as "the creation of a new vitality, a

new sense of self-determination" (U.S. Department of

Education, 1992). Even where basic skills were the explicit

mission of CBOs (OTA, 1993) they are still in the minority

as it relate to federal funding.

Service Delivery and Federal Funding. The different

programs offered by CBOs have very little to do with their

ability and success in attracting federal funding. It appears that the federal dollars are being "passed through" the various states under strict guidelines and purposes, which makes it hard for CBOs to compete effectively, especially as nontraditional providers of ABE.

Number of Participants and CBOs. A weak negative relationship existed between the number of CBOs enrolled in ABE and federal funding. This meant that CBOs with fewer students had greater federal funding. This finding also seems to indicate that CBOs as providers of ABE appeared less likely to succeed in attracting federal funding, even if we consider the target population reached by them and the number of students they served.

What are Private Funders Looking for in CBOs Who Deliver ABE?

The fourth research question examined the issue of what funders were looking for in CBOs who deliver ABE. Private funders support a wide variety of CBOs; these CBOs are chosen "a priori", do work that were germane to the mission of the foundation, showed substantial promise, and were fulfilling a need within their communities. This finding is important because it suggests that CBOs must make the case

as to why funders should support their work and their relevance within communities.

Some funders go out of their way to "level the playing field" so that CBOs can compete effectively for funding and work closely with CBOs in the area of management, technical assistance, and consultation. This finding seems to suggest that some funders regard CBOs as lacking these skills and offer assistance to make them more effective in competing in the future.

Despite the important role CBOs play at the grassroots level, they still received a small amount of the grants made from private funders. This finding is consistent with the findings of Moore, Dicarlo, Elliot and King Rice (1995) and the OTA (1993) that funding to CBOs is in the minority and comprise a small percent of an organization's total budget. It should be noted that funders were selective with regard to who they funded and this has several implications for ABE in particular and adult education in general.

Implications

The study has shown that community based organizations as non-tradional providers of adult basic education still receive funding from government and private sources of

funding, that the majority of CBOs are still small, and that their ability to attract federal funding has little to do with their mission or the number of programs they offered. The findings, consequently, have pivotal implications for federal, state, and local governments, private organizations and CBOs who provide basic skills training.

The provision of ABE ultimately leads back to funding from the various sources. A CBO's ability to address the adult literacy problems in its community depends on its ability to attract funding and the decision of funders to provide funding. It is therefore logical, necessary, and imperative to view the implications for this study from the standpoint of funding sources and CBOs as delivery systems.

Funding Sources

This study was exploratory in nature and combined the perspective of both CBOs and foundation officials. It should also be pointed out that this study relied basically on figures provided by CBOs. Even though other material such as annual reports were requested from CBOs, they were never provided. Thus, this has the potential for misrepresenting the sources of funding, especially where federal and state funds are combined in the grants awards process. Despite the array of compliance and other

restrictions, federal governments are still an important source of funding for CBOs who provide basic skills training.

More federal dollars should be made available to CBOs because they compete in an environment that favors traditional providers such as school districts, local educational agencies, and community colleges. If the playing field for funding between CBOS and traditional providers is not leveled the number of adult who are illiterate will increase even further. It can also be speculated that this increase in the number of adults will further lead to an increase in crime, the number of adults who are unemployed, and those who are on welfare, etc. It can further be speculated that the social costs needed to solve these problems in the future might be higher. Also, the opportunity costs (solving literacy problems today rather than in the future) of involving CBOs as a serious contender for federal funding might be lower compared to that of traditional providers of ABE, because of their unique understanding of local problems and issues.

Another finding that has direct implications for CBOs has to do with the level of state government funding to CBOs. State government funding is still the predominant

funding source for CBOs. States should experiment with new ways to address the imbalance of funding involving CBOs. A further implication is that because CBOs in this study are dependent on government funding which might lead them to compromise their mission in an effort to provide ABE services. CBOs have a unique and local understanding of the problem and are uniquely situated to deal with some of the basic skills problems faced by their communities. This has further implications for poorer states where the concentration of funding can be more targeted, and the distribution of funds more equitable and diverse. It can be speculated that poor levels of state funding for ABE and basic skills training is a direct and clear message to CBOs and communities that they are not serious about illiteracy as a social problem. It is a traditional problem that requires unorthodox, new, bold, and innovative ways of dealing with it and CBOs need to be involved in it.

Local governments appear to be less able to support CBOs who deliver ABE. Given that local governments have less income than their state and federal counterparts, it would appear to be feasible to involve more CBOs in dealing with the basic skills problems in the local communities. There appears to be a gap between the local government funds

and their ability to utilize the unique situation of CBOs in local communities. CBOs on the other hand have a responsibility to educate local governments about their role, purpose and unique position, and understanding of local problems, etc. and form collaborative initiatives to fight adult illiteracy and innumeracy in their communities. Despite the inroads state and local governments are making in terms of funding, it is clear that they need to do more.

Private sources of funding are also important sources of funding to CBOs. Findings regarding private sources of funding seem to indicate that more should be done to fight illiteracy and innumeracy through CBOs. It can be speculated that private funders have not seen best practices from CBOs that move them to invest in and fund CBOs. Despite the bold and innovative ways that are employed by funders, it can be speculated that some funders are still hesitant to fund CBOs. Private funders as it appear are involved in ABE, but at the periphery. This could be because of structural, procedural, delivery of ABE, or other differences between CBOs and private funders.

Different Types of CBOs

It is clear that the majority of CBOs are small when looking at income as the criterion to define size. This finding suggests that because of their size, CBOs can deal more effectively with smaller groups and make greater inroads into the basic skills problems in their communities. This finding also has a negative effect in that because CBOs are small, it might tend to lead to a duplication of services, a waste of resources and funding, and the approach of multiple provides may be viewed as ineffective within a community. Thus, more should be done to coordinate ABE services provided by CBOs. Furthermore, some CBOs have been more successful in attracting funding from a variety of sources. However, a diverse funding base has not been a panacea among CBOs.

A CBO as an operational system can affect the learning ability and styles of learners involved in ABE. ABE as a means of instruction can and should be viewed as a process that link CBOs and adult learners for the purpose of establishing direction and procedures for programs of adult learning (Schroeder, 1980). It can be speculated that through ABE the role of CBOs are legitimized, and adult learners become "equip" to be effective citizens which might

have a residual effect in helping solve community problems.

The various funding sources should understand that they and CBOs should work together in order to become more effective in fighting illiteracy and innumeracy from a societal standpoint. CBOs and funders are not mutually exclusive but co-exist under to provide adult basic education and other services. As a result of these implications of this study a number of questions should be asked:

1. What is the "community" of community based organizations? Who "owns" the community and what the perspectives of the stakeholders?

2. How does community based organization satisfy funding requirements without sacrificing its mission in the process?

3. What funding practices of funders and state governments hinder and aid CBOs?

4. Are CBOs effective in their communities to warrant government (federal, state and local) financial support? What are appropriate outcome measures to determine effectiveness? Who should determine these measures? Do we measure outcomes based upon budget considerations and service accomplishments?

5. What are the structural, organizational and design elements that prevent or aid a CBO from receiving funding from government or private sources?

6. What are the roles, responsibilities and skills of board members in the fundraising or development efforts of CBOs?

Recommendations for Further Research

The conclusions from this descriptive study suggest that CBOs are important providers of adult basic education and that the majority of them are small. Despite their importance, more research detailing the work of CBOs at the local level is needed. This study has raised a number of additional questions which include: Is there a relationship between compliance and federal, and state funding? Does this "compliance requirement" place an added burden on community based organizations and does it encroach on their ability to deliver effective services? Are smaller CBOs more vulnerable than larger CBOs during periods of economic scarcity? During periods of financial scarcity, does a business approach to fundraising and financial management apply to CBOs?

First, it would be of great significance to conduct a study that focuses on the nature of a community based organization. One of the most important reasons for further study is that it will help clarify and aid in understanding what is meant by being community based, its focus and impetus for staying in that community.

The current study provided the "how" information as it related to funding of CBOs. It is certainly of merit in determining what CBOs can do to improve the funding flow from the state government, because they received less than two percent of their funding from state governments (Moore, DiCarlo, Elliot and King Rice, 1995) a finding corroborated by this a study. This study found that CBOs have great potential to combat illiteracy at the local level, therefore it would be helpful to get their views, perceptions, experiences and observations on funding practices at the state government level, as well as funding from private funders. Such a study could be performed involving CBOs in states with large and small target populations in need of basic skills.

Another very useful study would be to investigate the community based organization directors and their boards of directors. Because of their grassroots focus, local

representation and local understanding of the problems their communities face, it would be important to investigate aspects such as history of the CBOs, its governance structure, board composition, roles and responsibilities of board members and officers, and its fundraising practices. This could be achieved through in-depth interviews from both the internal and external customers of the CBOs.

Finally, because the current study merely reported the funding sources and patterns of CBOs, a more in-depth study is recommended, which investigates a wider number of CBOs and their fundraising practices. This could be accomplished by obtaining a list of ABE providers from the Adult Education directors in the fifty states, and also request additional pieces of financial information such as their Form 990's if they were filers with the Internal Revenue Services, annual reports, audits, etc. to have multiple data sources. This study could also be replicated by focusing on the differences between the funding patterns and sources of voting and non-voting members of ACBE.

CBOs should further have a clearer understanding of when funds are federal and when it is state funding. It can be speculated that a reasonable assumption would be that rather than complying with an array of restrictions, CBOs

would rather forego such funding because of the lack of ability to deal with such restrictions. Furthermore, it might be inferred that CBOs have become more skilled at fundraising and are going after every source of income available to them, especially income that was "difficult" to obtain because of compliance and other bureaucratic requirements.

From a policy perspective, the federal government should take a more proactive and direct role in the fight against illiteracy. It is apparent that the federal government takes its de facto role in the provision of education very seriously. The fact that federal funding for literacy has decreased over the years, while the number of adult who are illiterate has increased seems to indicate that a clear relationship exists between funding and illiteracy. The Adult Education Act should be strengthened by increasing the funding levels; less stringent guidelines should be adopted, communicated, and implemented to the various states; process and procedures should be implemented in a collaborative effort among the different branches of government; and CBOs should be seriously considered as an important partner and stakeholder in the fight against illiteracy.

Summary

This study has provided critical information regarding the funding sources of community based organizations who provide adult basic education. Even more importantly, the study has endeavored to report current practices of funding for community based organizations, levels of funding, and opinions from funders as to why the make funding to these CBOs.

Implications were outlined for Federal, State, and local government involvement in supporting CBOs who are nontraditional providers of ABE. While more research is needed to understand the funding practices, this study has been the first step and has opened a new vista for future research. This study has also presented perspectives of private funders (more specifically foundation officials) to help understand what they look for when CBOs apply to them for funding of ABE.

This study has also generated a number of recommendations at the federal and state level which can impact and strengthen policy and the delivery of ABE service. As a result of the findings and implications a number of questions have been raised that could be explored for future research and added to the debate about the role,

responsibility and resolve of CBOs from a community

perspective.

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Appendix A

Final Copy of the Questionnaire

SURVEY ON FUNDING PATTERNS AND SOURCES FOR COMMUNITY BASED ORGANIZATIONS
PART A: FUNDING PATTERNS AND SOURCES

Part A includes questions concerning financial and budgetary information your organization. Please read each question carefully and supply the appropriate information associated with the best possible answer to each question.

1. Fiscal year for 1995 (from month)_____to_____

2. **TOTAL** funding for the above reporting period from **ALL SOURCES: $**_____

3. **TOTAL** spending for the above reporting period: **$**_____

4. Please indicate the **AMOUNT** of funding received from the following sources.

Monetary Sources		Dollar Amount
a.	Federal Government	a. $_____
	Amnesty/SLIAG	$_____
	JTPA	$_____
b.	State Government	b. $_____
c.	Local Government	c. $_____
d.	One-time Donations	d. $_____
e.	Corporations/Business Grants	e. $_____
f.	Foundation Grants	f. $_____
g.	Tuition	g. $_____
h.	Library	h. $_____
i.	Civic Organization	i. $_____
j.	Private Contracts	j. $_____
k.	Other_____	k. $_____

5. Please indicate the different **SERVICES** your organization supports. Please rank order the services in terms of their budget allocation (for example: 1= greatest; 2 = 2nd greatest, etc.) (SEE FORM 990 OR FORM EZ 990)

Services		
a.	Adult Basic Education	a. _____
b.	Literacy/Basic Reading	b. _____
c.	GED Preparation	c. _____
d.	ESL/ESOL Instruction	d. _____
e.	Amnesty/SLIAG	e. _____
f.	Intergenerational Literacy	f. _____
g.	Workplace Literacy	g. _____
h.	Life Skills	h. _____
i.	Prevocational	i. _____
j.	Other_____	j. _____

6. Approximately what percentage of your budget is allocated to each of the following areas?
   - a. Administrative Costs   a. _____
   - b. Program Activities   b. _____
   - c. Fundraising Expenses   c. _____
   - d. Operating Expenses   d. _____
   - e. Other_____   e. _____

PART B: ORGANIZATION PROFILE INFORMATION

This part of the questionnaire inquires about the general activities of your organization in an effort to learn more about the program(s) and the group(s) you serve. Please answer each question to the best of your ability.

1. In what year was your organization founded?   _____

2. In terms of the primary mission(s) and purpose(s) of your organization would you please indicate what percentage of time the organization devotes to the following areas below to achieve its goals.

                                                           % of Time
   - a. Empowerment   a. _____
   - b. Advocacy   b. _____
   - c. Community Development   c. _____
   - d. General Education   d. _____
   - e. Public Education   e. _____
   - f. ABE Instruction   f. _____
   - g. GED Preparation   g. _____
   - h. Literacy/Basic Reading Instruction   h. _____
   - i. Other _____   i. _____

3. **SPONSORING AGENCY (Please indicate the most accurate description). Please mark all that apply to your organization.**
   - a. Local Literacy Council   a. _____
   - b. Community-Based Organization   b. _____
   - c. Adult Education Cooperative   c. _____
   - d. Community College   d. _____
   - e. Independent School District   e. _____
   - f. Church Group   f. _____
   - g. Library   g. _____
   - h. Other _____   h. _____

4. How would you describe the geographic area served by your organization?
   - a. Neighborhood/Community   a. _____
   - b. Local, County, or City   b. _____
   - c. Regional (within state, multi-county)   c. _____
   - d. Statewide   d. _____
   - e. National   e. _____
   - f. International   f. _____
   - g. Do Not Know   g. _____

STUDENT INFORMATION

Questions 5 to 13 deals with student and teacher information. Please read each question carefully and answer accordingly.

5a.   Are any of your services identified in **Part A, Question 5**, limited to any defined group?

Yes _____

No **(Go to Question 6)** _____

5b.   If you answered **Yes to 5a, please indicate the defined groups in the following list:**

a.   Permanently Physical Disabled/Handicapped/Challenged   a. _____
b.   Permanently Mentally Disabled/Handicapped/Challenged   b. _____
c.   Homeless   c. _____
d.   Immigrants   d. _____
e.   Migrant Workers   e. _____
f.   Offenders/Ex-Offenders   f. _____
g.   Refugees   g. _____
h.   Single Parents   h. _____
i.   Welfare Recipients   i. _____
j.   Substance Abuse   j. _____
k.   Other Named/Defined Group(s). Please specify_____   k. _____

6.   Please give the number of students and teachers who participated in the activities if the organization for fiscal year 1995:

		Students	**Teachers**
by Gender:	Males	_____	_____
	Females	_____	_____
by Age:	Less than 16 years old	_____	_____
	16- 24 years old	_____	_____
	25 - 44 years old	_____	_____
	45 - 59 years old	_____	_____
	60+ years old	_____	_____
by Race/Ethnicity	Asian/Pacific Islanders	_____	_____
	African American/Black	_____	_____
	Hispanic/Latino	_____	_____
	Black Hispanic	_____	_____
	White/Caucasian	_____	_____
	Named Ethnic Group, regardless of race_____	_____	_____
	_____	_____	_____

7.   What percent of teachers are certified in your organization?   _____

8.   Does your organization provide teacher/tutor training?

Yes _____

No **(Go to Question 11)** _____

9. What type of training did your organization provide in 1995. Please check all that apply.
    a. ABE Training   a. _____
    b. Literacy Training   b. _____
    c. ESL Training   c. _____
    d. Intergenerational Literacy Training   d. _____
    e. Other_____   e. _____

10. How many teachers/tutors did your organization train during Fiscal Year 1995? _____

11. How many active teachers/tutors did you have as of the last day of the
    Fiscal Year 1995   _____

12. How many of your teachers are full-time?   _____

13. Does your organization provide support services (i.e. in-service training, meetings, etc) for your
    teachers/tutors. **Yes or No?** Please specify.   _____

PART C: ADULT BASIC EDUCATION
**Part C should only be completed if your organization has an Adult Basic Education
(ABE) program. Please respond by supplying the relevant information?**

1. **TOTAL** funding for **Adult Basic Education (ABE)** for Fiscal Year 1995 from
    ALL SOURCES: _____

2. Please indicate the **AMOUNT** of funding received from the following sources for ABE in 1995:

<u>Monetary Sources</u>			<u>Dollar Amount</u>
a.	Federal Government	a. $_____	
	Amnesty/SLIAG		$_____
	JTPA		$_____
b.	State Government		b. $_____
c.	Local Government		c. $_____
d.	One-time Donations		d. $_____
e.	Corporations/Business Grants		e. $_____
f.	Foundation Grants		f. $_____
g.	Tuition		g. $_____
h.	Library		h. $_____
i.	Civic Organization		i. $_____
j.	Private Contracts		j. $_____
k.	Other_____		k. $_____

3. How many students were enrolled in ABE in 1995?   _____

4. How many students actually received ABE instruction in 1995?   _____

5. How many paid staff were involved in ABE in 1995?   _____

6. Total number of hours of ABE instruction in 1995?   _____

7. Number of volunteers used for ABE instruction in 1995? _____

8. Please rank the instructional methods as to the frequency of use (**indicate the most frequently used method as #1, the second as #2, etc.)**
    a.   One-to-One Tutoring   a. _____
    b.   Small Groups (4 or less) Tutoring   b. _____

    c.   Computer Assisted   c. _____
    d.   Class Instruction   d. _____
    e.   Other _____   e. _____

9. Please rank the instructional strategy as to the frequency of use (indicate the most frequently used method as #1, the second as #2, etc.)
    a.   Computer Assisted Systems   a. _____
    b.   Commercially Prepared Materials   b. _____
    c.   LVA (Literacy Volunteers of America)   c. _____
    d.   LLA (Laubach Literacy of America)   d. _____
    e.   Locally Developed Materials   e. _____

10. Please check all the **instructional sites** that are currently in use:
    a.   Public Schools   a. _____   e.   Churches   e. _____
    b.   Adult Learning Centers b. _____   f.   Libraries   f. _____
    c.   Community Centers   c. _____   g.   Rehab Centers   g. _____
    d.   Business/Industry Site d. _____   h.   Other _____

11. Please rank your **top three** training needs
    a.   Volunteer Recruitment   a. _____   h.   Public Relations   h. _____
    b.   Volunteer Retention   b. _____   i.   ESL/ESOL   i. _____
    c.   Board Development   c. _____   j.   Record Keeping   j. _____
    d.   Student Recruitment   d. _____   k.   Program Evaluation k. _____
    e.   Student retention   e. _____   l.   Staffing   l. _____
    f.   Funding   f. _____   m   Planning   m. _____
    g.   ABE Training   g. _____   n.   Other _____

12. How important is **federal government**   Not Important   Very Important
    support to ABE in your organization?   1   2   3   4   5

13. How important is **state government**
    support to ABE in your organization?   1   2   3   4   5

14. How important is **local government**
    support to ABE in your organization?   1   2   3   4   5

15. How important is **private (foundations, etc.)**
    support to ABE in your organization?   1   2   3   4   5

16. How important is the role of **CBOs**
    in the delivery of ABE?   1   2   3   4   5

17. How important is a **diverse funding base**
    to the longevity of CBOs   1   2   3   4   5

18. How important is ABE as a
    self-empowerment tool?   1   2   3   4   5

19. How important do you think **community problems**
    are to funders when they are approached for
    funding?   1   2   3   4   5

20. How important is the idea of "**community**"
    in dealing with literacy and ABE?   1   2   3   4   5

21. Please provide your working definition of **"community"** _____

    _____

    _____

    _____

    _____

Please return completed questionnaire to:

John Abrahams
6143 Leesburg Pike, #301
Falls Church, VA 22041
703/998-8079

Appendix B

Copies of the Cover Letters to the Association for Community

Based Education and its Members

February 8, 1996

Executive Director
Association for Community Based Organizations
(ACBE)
1805 Florida Avenue, NW
Washington, DC 20009

RE: <u>Permission to Survey Association Members</u>

I am a doctoral student at Virginia Tech Northern
Virginia Graduate Center, in the Adult Learning/Human
Resource Development Program. My dissertation focuses on the
patterns and sources of funding for community based
organizations(CBOs) who provide adult basic education(ABE).
My aim is to understand the role of CBOs in the delivery of
ABE.

The questions guiding the inquiry are: (a) What are the
major sources of funding for CBOs who deliver ABE and how
much of their funding comes from the federal, state and
local governments, and private funders (foundations,
corporate giving programs, etc.); (b) how does the funding
pattern differ across CBOs with different demographic
characteristics; (c) What is the relationship between the
"successfulness" of CBOs in attracting funding and their
stated mission, the variety of programs, and the number of
participants being served; and (d) What are funders looking
for in funding CBOs who deliver ABE.

My reason in writing to your organization stems from
the deep respect I have for the work ACBE is involved with.
Even though your association is small it seeks to address
the role and importance CBOs play in the delivery of ABE,
ESL, ESOL, etc. This combined with themes of self-
empowerment, action and the notion of community that focuses
on people, I find to be a very unique model. Most CBOs are
small and dependent on external sources of funding. For the
last few years they have faced hostile environments
especially at it relates to funding. As you are aware,
illiteracy as a societal problem is on the increase, and
CBOs are in a unique position to play an important role in
fighting illiteracy.

It is my hope that you will take a few minutes to look
at the draft questionnaire that is enclosed and provide some
guidelines as how best to get ACBE to work with me in survey
its members and how the study might be beneficial to me as

well as ACBE. I realize that cooperation for something of
this nature is subject to approval from the Board of ACBE.
My request is to survey both the voting and non-voting
members of ACBE. I therefore request permission form ACBE to
survey its members. In return, ACBE is welcome to include
any questions you might want answered. In addition, I will
provide analyses of the questions ACBE include, and will
also provide a report to ACBE at the end of data collection.
I am willing to discuss any concerns or questions you might
have that arise from this correspondence, the study, or the
questionnaire.

Hope my request receives your favorable admission. I
can be contacted at 703-698-6032 or at 703-998-8079.

Enclosure.

**Note. Since this letter was mailed, the Northern Virginia
Center changed its premises from 2990 Telestar Court, Falls
Church VA 22042 to 7054 Haycock Road, Falls Church, VA
22043.**

April 27, 1996

«Name»
«Address»
«City»,«State»«Zip»

«Dear»:

I am conducting dissertation research for a doctorate
in Adult Learning/Human Resource Development at Virginia
Tech. My study focuses on the analysis of the funding
patterns and sources of community based organization(CBOs)
who deliver ABE. The aim of the study is to develop an
understanding of the involvement of CBOs delivering ABE,
their funding sources by identifying who the funders are,
and why funders make financial contributions to CBOs in
general. Given the current cutbacks of Federal and State
funding of ABE, many organizations are concerned about their
ability to provide ABE at the current level. Your input and
time will be valuable in this regard.

This letter is to **notify you in advance** that within a
few weeks you will receive a questionnaire and a self-
addressed envelope in the mail. Your participation will be
highly valued and will be helpful to the field of adult
education and other organization to present a picture of the
status of funding for CBOs delivering ABE. Thank you in
advance.

Sincerely,

John Aaron Abrahams

Enclosures: Questionnaire; Postage-Paid Return Envelope.

May 21, 1996

«Name»
«Address»
«City»,«State»«Zip»

«Dear»:

    A few weeks ago, I mailed you a letter informing you that you are going to receive a questionnaire in the mail. I am conducting dissertation research for a doctorate in Adult Learning/Human Resource Development at Virginia Tech. My study focuses on the analysis of the funding patterns and sources of community based organization(CBOs) who deliver ABE. The aim of the study is to develop an understanding of the involvement of CBOs delivering ABE, their funding sources by identifying who the funders are, and why funders make financial contributions to CBOs in general. The study's results should provide valuable information of use to CBO leaders and funders about the distribution and allocating of funding. Your role as CBO leaders is critical in shedding light on the nature and extent of funding of ABE activities at the grassroots level.

    I am sending you the enclosed questionnaire because of your involvement with ABE at the local level and as a member of the Association for Community Based Education. The questionnaire is designed to elicit information about your funding sources, general information about your organization, students enrolled in ABE, teachers and the extent of ABE provision in your organization. I would greatly appreciate your input in this regard, as it is very important to the success of the study.

    Your responses to the questionnaire will be kept confidential. I will be the only person having access to the actual responses. If you would like to receive a summary of the findings of this study, please return this cover letter with the questionnaire. I will immediately separate the letter from your questionnaire.

    Thank you in advance for your time and assistance. Please return the questionnaire in the enclosed envelope by **June 8, 1996.** If you have any questions regarding this study, please feel free to call me at (703) 698-6032 or Dr. Marcie Boucouvalas, Chair of my dissertation committee, at (703) 698-6044.

                                    Sincerely,

«Title»
«Name»
«Address»
«City», «State»«Zip»

«Dear»:

    I am a doctoral student conducting research on the role, importance, patterns and sources of funding for Adult Basic Education (ABE). The study focuses on two aspects: the **recipients** (especially community based organizations (CBOs) of funds from private sources (foundations, corporations with giving programs, charitable organizations, etc.) and the **providers** of such funds. The aim of the study is to develop an understanding of the involvement of CBOs who deliver ABE, why funders support ABE activities and programs, the benefits funders derive, and the perceived or assumed impact or difference funders make in targeted communities. Given the cutbacks of federal and state funding for ABE, many of these organizations are concerned about their ability to provide ABE services and programs at the current levels. It is my contention that the study's results will provide valuable information of use to CBOs, funders and state legislators.

    My reason in writing to you is to ask for your participation and input as it relates to funding for ABE or literacy related activities. It is my hope to interview you for about 30 minutes to get a sense of the funding practices and criteria employed by your foundation, as well as the role, purpose and extent of funding. The questions will be designed to obtain information about the mission, goals and strategic plan of your foundation, decisions about funding as it relates to ABE, how much are allocated, the merits of the decisions, etc. I would greatly appreciate your input in this regard as it will present a balanced view about funding from funders' perspective, as it relates to my dissertation.

    My schedule is flexible and I am willing to meet with you at a time that is convenient to you, realizing that you have a busy schedule. I am also willing to provide you with a broad set of questions that will be asked during the interview. Your responses will be kept confidential.

Thank you in advance for your time and assistance. Please complete the attached sheet confirming your acceptance or declining the interview and return it to me in the self addressed envelope.

Sincerely,
John Abrahams

Enclosures: Accept/Decline Interview Form; Self-Addressed Envelope

INTERVIEW ACCEPTANCE/DECLINE FORM

Please take a few minutes and complete the attached form indicating your willingness to grant me an interview or declining an interview

👍   **Yes, I am available for an interview**

ACCEPT:_____

DATE:_____

TIME:_____

IN PERSON:___ **OR VIA** ☎ **TELEPHONE:**____

PERMISSION TO USE A RECODER:

YES: ❑   **NO:** ❑

NAME:_____

FOUNDATION NAME:_____

👎   **Sorry, I am unavailable for an interview**

DECLINE:____

Please return the form in the self-addressed envelope.

Thank you.

Appendix C

Frequencies of Funding Sources for CBOs in General

Appendix C:

Frequency Distribution of CBOs with Sources of Income for Adult Basic Education

Type of Funding Sources	Frequencies	Percent
Federal Government Funding	19	55.9%
ABE SLIAG	0	0.0%
ABE JTPA	4	11.8%
State Government Funding	27	79.4%
Local Government Funding	14	79.4%
One-time Donations	17	50.0%
Corporations	18	52.9%
Foundations	22	64.7%
Tuitions	11	32.4%
Library	1	2.9%
Civic Organizations	0	0.0%
Private Contracts	5	14.7%
Other Sources of Funding*	24	70.6%

*Other sources of funding include: United Way income, religious organizations, special fundraising, etc.

Appendix D

Respondents Definition of Community

Respondents Definition of Community

Community as a Geographic Location

Community refers to the cohesive relationship developed by
the body of learners in a single class; ditto organization.
Also refers to a neighborhood where learners live and
participate.

All citizens residing in the community.

Our "community" is newly-arrived non-English-Speakers, from
all five boroughs of NYC, all nationalities.

Defines community in terms of neighborhood and as people
living in the same geographic who are working together for
each other's benefit.

Community as Relationships

Gathering of neighborhood residents, nonprofit staff,
merchants, and associations who came together to enhance
their surroundings.

Interesting group of people in a common area.

People who are geographically close to the community. Local
neighborhood who have an affinity with participants in terms
of language, culture & class.

Those involved as staff and volunteers in the development
and sustaining of the native population.

A body or group of people who are associated with each other
through, culture, residence, history or friendship and who
have at least some shared goals and experience.

A self defined network of mutual support. A network of
individuals and groups who provide assistance and support to
each other.

Community as Common Interests or Needs

A group of people with common interest and needs.
A collection of people with common interests or needs. Not
necessarily a geographic location.

A group of people who share similar interests, needs, and
experiences.

Any grouping with mutually beneficial communal needs &
talents usually but not always tied to geographical
proximity. Internet is creating new community.

Unorganized and organized workers in the garment industry -
"community-based" programs are centered on the needs and
goals of the community.

Community as Lifelong Learning or Adult Education

Target population in need of adult education within the
over-all community.

A collection of all human & circumstantial activities that
are critical to the success of your family and work lives
day by day.

A potential student's sense of support from studying with
peers and neighbors.

Our community's unemployment rate is 12%. Rate being high
influences the community of the need for education, thus
have a big impact on the tax base of our town.

A community of learners and teachers, students, staff,
involved in a process of lifelong learning.

Appendix E

Comments Pertaining to Funding of CBOs by Foundations'

Officials

Comments from Interviewees

The FUND support a number of literacy programs in the state
especially through the National Center for Family Literacy.
Literacy today is a "sexy subject", but there is no
accountability for organizations offering literacy. There is
no uniform set of standards. Literacy to these organizations
is just another program added by these organizations in
order to get funding - there is not a serious commitment to
literacy by CBOs in some cases. CBOs lack certification for
teachers and for their literacy programs. CBOs have to make
a concerted effort to get certification.

The FUND does a number of things:
1. The FUND ask a lot of questions and make site visits
   on a regular basis.
2. We are concerned about the quality of instructions
   in terms of literacy and numeracy.
3. In terms of compliance, we at the FUND put up a
   sincere effort to work with these organizations. If
   the organizations do not reach their goals we ask
   them to critically reflect on their experience.
   Philanthropy unlike other segment of society can
   take chances.
4. We spend a lot of time with the organizations. We do
   not consider it a failure if the organizations do
   not achieve their goals. For e.g. An organization
   who works in the area of neighborhood development
   states that as a result of their work the crime rate
   in that particular neighborhood will decrease. If a
   gang moves into that neighborhood, do we consider
   that a failure on the part of the organization? The
   FUND ask the organization what they have learned?

CBOs and small organizations, receive about 80% of the
grants made in 1995.

In the giving philosophy of the FUND we believe in capacity
development, understand its need and development of
community in the future. Money is less valuable in dollar
terms, but more important in its affirmation of the impact
in its community. Also, we make challenge grants, received
as a lightning grant. Over the past 3 years only one
challenge grant have been rescinded. Communities are where
problems are solved, not at the state or federal level.
Renewal has to take place at the community level. Community

ownership of problems and assets is what is important.
Community assets(strong commitment to family, strong
nonprofit sector, diverse population base, etc.) is what is
important and not community liabilities (teenage
pregnancies, crime, etc.) Communities very often fail to
understand what their assets are.

We had worked through a couple of different organizations
which included the Association for Community Based Education
and they had worked with fifteen community based
organizations. We have not really funded any similarly
directing work for the past two years.

The mission of the fund is to make literacy an active part
of the everyday life of individuals and to improve the
quality of life in communities and we take on community in a
very literal sense. Community to the FUND is the way people
live and work together.

We work closely with all our grantees and form collegial
partnerships with them.

I think that CBOs have a local understanding of the problem;
they are one step closer to the community; they are
frequently owned by, represented by, governed by the
community; it is much less top down; they are the community
and are empowered by the community to work towards
solutions. But I think also see them receive funding because
of their skills and abilities. We also try to level the
playing field so that many groups can compete. We take a
very broad and expanded view of health such that we would
want those kinds of groups to apply. We have to take the
extra bit of time to work with them in this regard.

It depends on how you define it. I'd be very much surprised
if anything less than 25 percent. This is a very
conservative estimate.

**The definition that the foundation use is both a combination
of geographical, geopolitical kinds of boundaries that we
use to define our community. We define community is terms of
the service area, and we define community as a shared sense
of purpose and value.** And in the communities that I work
with specifically I **can identify all of those
characteristics: there is a geographical parameter, there
are geopolitical kinds of descriptors one can apply to that**

community, it is defined by its service area and also by its sense of shared value. I use to think of it in very political, financial, geographical terms and I don't think that I thought of it so much as a shared sense of value. I think that there is that rediscovery of that shared sense of value. Communities will be less inclined to defined themselves in terms of "catchment areas" and more inclined to define themselves in terms of a shared sense of values. Communities need to have an independent identity. Many of these communities work through turmoil and crisis and to lose that identity is something they won't give up. They are strengthened in that crisis and they also grow in that crisis.

VITA

John Aron Abrahams was born in Cape Town, The Republic of South Africa, on July 7, 1963. He attended the University of the Western Cape where he earned his Bachelor's degree and teaching credentials in 1986, and his Honor's degree in Business Economics in 1989. He came to the United States in July of 1991 on an Educational Opportunities Council Scholarship and earned a Master's degree from Bowie State in 1993.

Mr. Abrahams began his teaching career in Cape Town, in January, 1987. He taught a variety of subjects including accounting, business economics, and economics at all secondary grade levels. He was also involved in coaching cycling. He left teaching in 1989 and worked in the retail sector for a year. He took up a position as a junior lecturer at the University of the Western Cape in 1990, where he taught financial management and general management theory and practice to first year students.

Mr. Abrahams have worked on numerous projects at INDEPENDENT SECTOR, a Washington-based association, and have co-authored, the 1996-1997 NonProfit Almanac. He is married and enjoys cycling and hiking.