To help states learn from each other's experiences, this report focuses on what three states--Arizona, Massachusetts, and Pennsylvania--are doing to improve and expand family literacy services. It also includes background information on family literacy, resources, and names and addresses of state directors of family literacy. The case studies show that Arizona has passed legislation promoting family literacy. The state's success involves these essential elements: involving parents and program staff in the political process, evaluating family literacy programs, pooling efforts, educating the media and the legislature, inviting political leaders to literacy programs, developing and disseminating persuasive background material, and including strong professional staff development component in the legislation. Massachusetts' efforts include broad vision, collaboration with diverse groups, cultivating relationships with policymakers, and increasing public awareness. Keys to Pennsylvania's success are as follows: cultivating relationships between the family literacy community and leaders in the state; recognizing priority policy initiatives as vehicles for family literacy; increasing family literacy awareness in other education programs and among the general public; and collaborating among literacy proponents. Running through the three states' efforts are the common themes of strong effective collaboration among leaders in the field, repeated outreach to state leaders, and education of the public and the media. (A list of state directors of family literacy is provided.) (KC)
Strengthening Family Literacy: How States Can Increase Funding and Improve Quality

- March 18, 1999 -

Family literacy is receiving much attention at both state and national levels this year. Several state legislatures have recently enacted family literacy legislation, and Congress is now revising the Even Start Family Literacy program and considering a substantial increase in funding. Last year, Congress passed two laws that strengthen support for family literacy. The new laws call on states to create state plans that, for the first time, specifically include family literacy as a way to meet adult education, early childhood, and literacy needs. To assist family literacy leaders who are strengthening support for family literacy in their own states, this report highlights three states’ initiatives and analyzes how literacy leaders in each state successfully worked to improve the quality of family literacy services.

This is a momentous time for family literacy. It is receiving more attention than ever from policymakers at both state and federal levels. State legislatures have enacted family literacy legislation, and state leaders have implemented policy changes and funding increases to improve family literacy services statewide. Over the past 10 years, federal funding for family literacy has grown from $14.5 million to $135 million, and President Clinton recently proposed increasing funding by another $10 million next year. Later this year, Congress will take up Title I, Part B of the Elementary and Secondary Education Act, the Even Start Family Literacy program, as part of its larger effort to improve elementary and secondary education programs. Even Start provides funding for statewide family literacy

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For more information contact (202) 632-1500, extension 39
initiatives that coordinate local, state, and federal efforts. Even Start requires states to develop “indicators of program quality” that can be used to evaluate and improve programs within the state. It also requires the Secretary of Education to support research on the components of successful family literacy activities that could be used to improve the quality of existing programs.

In 1998, Congress passed two laws that strengthen support for family literacy and require states to develop state plans that include provisions for family literacy:

- *The Reading Excellence Act*, is a child and family literacy initiative designed to ensure that every child can read well and independently by the end of third grade. The law includes $10 million for statewide family literacy grants to enable states to plan and implement statewide initiatives to coordinate and integrate existing federal, state, and local literacy resources.

- *The Workforce Investment Act*, which replaced the National Literacy Act of 1991 (part of the Adult Education Act), places family literacy on an equal footing with adult basic education and English as a Second Language services. It requires each state to submit in its application for federal funding a five-year plan for how it will improve its adult education and family literacy activities. (For more information, see the *September 21, 1998 Policy Update*, available at www.nifl.gov.)

To help states learn from one another’s experiences, this report focuses on what three states—Arizona, Massachusetts and Pennsylvania—are doing to improve and expand family literacy services. Each state has taken a different path, and each has met with success. During this crucial time for building state family literacy initiatives, this report is a tool to assist literacy leaders in strengthening the voice of family literacy, in order to increase funding and recognition for family literacy policies and programs.

**What is Family Literacy?**

Family literacy is a field of learning that combines intensive, long-range services in early childhood education, adult basic skills education, and parental education and support. It can encompass welfare reform, school reform, and early childhood initiatives. The National Center
for Family Literacy (NCFL), a national advocacy and training organization for family literacy, applies the term "family literacy" to comprehensive programs that:

- Work with at-risk families.
- Bring parents and children together in pre-school classrooms to teach parents how to best fulfill their role as their children's most important teachers.
- Offer topics for study and discussion that include child nurturing, coping with child behavior, self-esteem, career options, and community resources.

Why Family Literacy?

Family literacy program services help families break the cycle of low literacy and poverty. A parent or other primary caretaker’s education level is a strong indicator of a child's literacy level. And while a parent's income and marital status are also both important predictors of a child's success in school, neither is as significant as whether a parent or other primary caretaker completed high school. As evidenced by a study by the National Center for Children and Poverty, the poverty rate for children under the age of six directly correlates to the education level of their better educated parent.

The Federal Definition of Family Literacy

There is now a consistent definition of family literacy in the four federal laws which govern family literacy. The Reading Excellence Act, Elementary and Secondary Education Act, Workforce Investment Act, and Head Start Act define family literacy services as services “of sufficient intensity in terms of hours, and of sufficient duration, to make sustainable changes in a family, and that integrate all of the following activities:

(A) Interactive literacy activities between parents and their children.  
(B) Training for parents regarding how to be the primary teacher for their children and full partners in the education of their children.  
(C) Parent literacy training that leads to economic self-sufficiency.  
(D) An age-appropriate education to prepare children for success in school and life experiences.”

Children whose better educated parent lacks a high school or General Educational Development (GED) diploma are twice as likely to live in poverty as children whose better educated parent graduated from high school, and six times more likely to live in poverty than children with a parent with more than a high school education. Children of parents who are unemployed and have not completed high school are five times more likely to drop out of school than children of employed parents.\(^1\)

**Is Family Literacy Effective?**

Research into family literacy programs shows significant outcomes. For example, adults stay enrolled in family literacy programs longer than in most adult-only programs, maintain higher attendance rates, and significantly improve their employment status, self-confidence, and parenting skills. Children participating in family literacy programs make more improvements than would have been expected based on their development prior to enrolling in a family literacy program. Children also show a significant increase in reading books and visiting the library.

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\(^1\) *The Power of Family Literacy*, National Center for Family Literacy, 1996.
Benita Somerfield, Executive Director of the Barbara Bush Foundation for Family Literacy, writes that while most family literacy program directors have reported improvements in literacy skills, other behavioral changes have been equally remarkable. Directors describe additional positive outcomes such as:

- "Significant positive changes" in parents' relationships with their children.
- Improvements in children's ability to interact with other children, and to act independently of their mothers.
- Parents becoming more interested in continuing their own education.
- Heightened parent interest and ability in participating in their child's education.²

The Even Start program reports that 90% of the nearly 32,000 families it serves have incomes substantially below the poverty level, with 85% of the parents lacking both a high school diploma and GED. Results of a national evaluation of Even Start include:

For Even Start parents:

- Ninety percent of adults participate in adult education, compared with 30-40% without the program.
- Ninety percent of parents participate in parenting education, compared with 8% without the program.
- Thirty-six to 54% of parents scored 75% or higher on a test measuring parenting skills.

For Even Start children:

- Ninety-five percent of the children participate in early childhood education, compared with 60% without

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Even Start.

- Eighty-one percent of Even Start children made moderate-to-large-sized gains in reading readiness.
- Fifty percent of children achieved moderate-to-large gains in language development.\

Behavioral and cognitive scientist Dr. Thomas G. Sticht wrote in his 1995 article Adult Education for Family Literacy:

Up to now adult literacy education programs have generally aimed at making adults literate while the business of making the adults’ children literate has been left to the formal school system. Under the family literacy concept, however, it is now recognized that, due to the intergenerational transfer of cognitive skills, including language and literacy, an investment in the literacy education of adults provides "double duty dollars." 4

Survey of the States

In November 1998, Dr. Gary Eyre, former Director of Adult Education in Arizona, surveyed states about their family literacy needs and concerns. Forty-two states and territories responded, expressing "interest, needs, and requests for further assistance in addressing family literacy as state education agencies develop implementation plans for new state and federal programs." 5

Thirteen states reported having

| Top State Needs in Family Literacy: Responses of 42 States and Territories |
|-------------------|----------------------|
| Need                      | % of Response |
| Funding                  | 57% |
| Collaboration            | 45% |
| Staff Development & Technical Assistance | 40% |
| Public Awareness         | 31% |
| State Plan or Legislation| 26% |
| Research Evaluation & Data| 14% |

Source: Dr. Gary A. Eyre, Intergenerational/Family Literacy State Leadership Collaborative Survey Results, November, 1998.

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When asked the primary policy concerns for family literacy initiatives or programs, survey responses included:

- Lack of financial support for family literacy from policymakers, including legislators and state education agencies. More than half responded that new or increased state funding was needed.
- Lack of strategy for improving coordination and collaboration within an educational agency and between a variety of family literacy providers.
- Lack of national awareness and consensus about the correlation between inadequate education and social problems, including teen pregnancy, unemployment, and crime.

**Case Studies: Three States' Efforts to Improve Family Literacy**

Several states across the nation have made great strides for family literacy by passing legislation and making policy and funding changes. In 1985, Kentucky was the first state to develop intergenerational literacy legislation—Parent and Child Education (PACE). This legislation became the model for the federal Even Start three years later. Within the last several years, other states, such as Arizona and Washington, have passed legislation creating statewide family literacy initiatives. Massachusetts, Pennsylvania, and Nevada have improved family literacy services through policy changes or funding increases.

The three states highlighted in this update were selected because each demonstrates an unusually effective approach to developing a statewide family literacy initiative. Following is a summary of the initiatives of Arizona, Massachusetts, and Pennsylvania, and their successful strategies to create strong statewide family literacy services.

**Arizona**

*In 1994, the Arizona legislature passed a bill creating a two-year family literacy pilot program. In 1996, the pilot program was renewed for two years, and in 1998, Arizona's state legislature reauthorized the family literacy program, brought it out of the pilot stage, and appropriated a total of $1 million a year for 21 local programs.*
How the Law was Passed

In 1991, Arizona began two demonstration programs that went on to flourish. These programs helped to promote implementation of a state initiative when their private funding was reduced in 1993. In learning that their programs were in jeopardy, staff and especially parents mobilized to ensure their continuation. Unwilling to allow their programs to close, parents and state and local staff became involved in the political process of finding other sources of support. Parents visited state political leaders, invited these leaders to visit their program, spoke with neighbors, and advocated for their program and family literacy.

A representative in the Arizona State House from the district where one of the demonstration programs was located was invited to visit family literacy programs. A supporter of adult education, he selected family literacy as his main focus for an improved comprehensive adult program. This legislator met with the demonstration program director and a supporter of adult education from the Arizona Department of Education to draft a bill to develop family literacy services statewide.

Through extensive educational efforts, many conversations, and perseverance, these three individuals acquired additional support from other members of the legislature, the Governor, the State Superintendent of Public Instruction, and other political leaders. Sharon Darling, Director
of the National Center for Family Literacy (NCFL), also aided the process by meeting with state legislators and the editorial board of the Arizona Star, whose endorsement of the effort helped build public support.

Another essential ingredient to the success of Arizona’s family literacy initiative is a strong commitment to professional staff development. From the beginning, staff development has been emphasized, including retreats, seminars and workshops for teachers. This element has not only ensured that family literacy staff felt supported, well-trained, and invested in their programs, but the focus on staff development has also been politically appealing.

In 1994, the family literacy legislation was included in Success by Six, a popular state law providing health screening and assistance to families in which there was the potential for abuse. While initially hesitant to combine efforts with family literacy supporters, the Success by Six community recognized that their chances were strengthened by joining the two efforts, partly because family literacy was politically appealing to some Success by Six critics. The Arizona legislature failed to pass the bill in 1994, but, during a special session, family literacy supporters convinced the Speaker to reintroduce the bill, and it was passed.

Arizona’s Success in Passing Legislation Resulted from:

- **Solid background work**: Family literacy leaders had demographic data, longitudinal studies, and a thorough knowledge of family literacy with which to convince leaders of its effectiveness and importance.

- **Political astuteness**: Literacy leaders learned the power structure of the Arizona statehouse—who can write legislation, which legislators can introduce a bill, and which legislators can shepherd it to authorization and then to appropriation.

- **Persistence**: Supporters of family literacy gave this legislative effort constant attention, ensured that supporting material was available and distributed, cultivated and maintained the interest of legislators and staff, and created a continual awareness of the need for family literacy legislation.

At the end of the two initial pilot years, the Speaker of the Arizona House of Representatives requested an extension for the program,
arguing that such a brief trial period was insufficient, considering the long-term benefits expected from family literacy. The Auditor General's report requested by the legislation showed initial positive outcomes. This, along with strong data supporting the connection between a child's school success and the parent's education level, was a significant factor in the renewal of the pilot in 1996 for two more years. By this time, the Success by Six community also strongly supported family literacy, and worked to ensure passage.

Supported in part by another favorable Auditor General report and an NCFL study, initiated by the Arizona Department of Education, on the successes of the pilot project, the Arizona legislature in 1998 reauthorized the family literacy program and brought it out of the pilot stage from "Family Literacy Pilot Program" to "Family Literacy Program." The legislature also appropriated $1 million for the program in FY 1999.

In summary, key elements essential to Arizona's success follow:

- Involving parents and state and local program staff in the political process.
- Evaluating family literacy programs, indicating effectiveness.
- Combining efforts of supporters of two programs (adult literacy and Success by Six).
- Educating the media and members of the legislature about literacy.
- Inviting political leaders to visit literacy programs.
- Developing and disseminating persuasive background material.
- Including a strong professional staff development initiative in the legislation.

Massachusetts

Over the past three years Massachusetts has created a statewide initiative of Family Literacy Challenge Grants, funded at $517,000 in state dollars in FY 1999. Massachusetts also funds 13 Even Start programs for a total investment of $1,855,594 in family literacy in FY 1999. In addition, Massachusetts has developed an extensive collaboration of organizations and agencies, all working together to promote family literacy throughout the Commonwealth.

The Commonwealth of Massachusetts has developed strong family literacy initiatives, taking a different course than the legislative route of Arizona. One of the strengths of
Massachusetts’ programs is the broad group of stakeholders in the family literacy arena, which includes both Family Literacy Challenge Grants and the Massachusetts Family Literacy Consortium (MFLC), a strong collaboration of state agencies organized to prioritize family literacy.

Family Literacy Challenge Grants (FLCG), funded through a statewide initiative, are five-year grants similar to a scaled-down Even Start. FLCG grantees, which include public schools, Head Start programs, and non-profit and community-based organizations, serve families with children from ages three to 12. FLCG components include an adult education class that requires a minimum of five hours per week of parenting education for 32 weeks each year. Programs are also encouraged to offer home visits, child care, transportation, and other supports to families. FLCG was developed out of the Adult and Community Learning Services (ACLS) division of the Massachusetts Department of Education (MDOE). In 1996, ACLS created FLCG with local funds and federal adult education funds that require significant local matching funds. In FY 1999, a total of 15 FLCG programs are funded at an average of roughly $34,500, for a total of $517,000 in state investment in family literacy.

How Massachusetts Developed its Family Literacy Initiative

A 1991 statewide family literacy conference, organized by a librarian interested in adult literacy issues and an Even Start evaluator, is credited for launching family literacy efforts in Massachusetts. This conference brought together a diverse group of leaders, including those from academia, workplace literacy programs, libraries, programs involving families, and the Massachusetts Department of Education, with the goal of having a variety of fields commit to improving family literacy in the Commonwealth. The conference greatly increased interest in making family literacy a priority, and provided the impetus for Massachusetts to submit an application for federal money to fund a statewide family literacy initiative, the Massachusetts Family Literacy Consortium (MFLC).

Three years ago, the collaborative MFLC was organized to promote family literacy issues. MFLC is a group of over 25 non-profit organizations and state agencies, including the Adult Literacy Resource Institute, Head Start, Title I, and the Departments of Education, Public
Strengthening Family Literacy: How States Can Increase Funding and Improve Quality

Health, Mental Retardation, Corrections, Social Services, and Transitional Assistance. All participating organizations share the goal of promoting family literacy. The MFLC has brought attention to the importance of family literacy, enabling the development of statewide initiatives such as the FLCG. In its first 18-month period, MFLC achieved the following goals:

- Form a coalition with a unified definition of family literacy, shared vocabulary, and commitment to the same goals.
- Develop a profile of the 351 communities in Massachusetts, summarizing information such as income levels, unemployment rates, and other data indicators of family literacy needs.
- Provide training at state, regional, and local levels about what family literacy is and how to get community planning for family literacy off the ground.
- Increase public awareness by developing an 800 hotline with program information and working with the Governor to designate November as Family Literacy Month.
- Focus on incorporating family literacy in policy initiatives.

In June 1998, the MFLC renewed its grant and developed a plan that includes seeking funding to concentrate efforts on two or three communities, providing them with technical assistance, teacher workshops, and other opportunities to improve family literacy programs. Additional MFLC action steps are to:

- Encourage each state agency to develop an action plan around family literacy.
- Conduct a longitudinal study of three-to five-year-old children involved in family literacy programs.
- Continue a focus on public awareness by developing a speakers’ bureau, legislative breakfast series, strong world wide web presence, and training modules examining, for example, how Massachusetts’ home visitation program could create a more literate environment.
- Continue policy discussions, including an annual evaluation to measure progress and inform future work.

In summary, keys to Massachusetts’ success are that family literacy leaders:

- Broadly envision what family literacy can encompass.
• Collaborate with diverse groups of state agencies, advocacy groups and academia with the goal of promoting family literacy.
• Cultivate relationships with policymakers and educate them about family literacy.
• Increase public awareness.

Pennsylvania

Like Massachusetts and Arizona, Pennsylvania has created a strong statewide literacy plan. An initiative of the Governor's Office to create a state family literacy program resulted in a 1998-99 budget earmark of $3 million, enabling the establishment of new family literacy programs in counties where there had been none, and the expansion of existing programs. The $3 million earmark is within the existing state adult literacy line item, administered by the Bureau of Adult Basic and Literacy Education (ABLE). Soon after the earmark, the $4.9 million federal Even Start Family Literacy Program was transferred to ABLE. Family literacy efforts are receiving a total of $7.9 million in Pennsylvania.

In September 1998, Pennsylvania began to provide family literacy services. In order to assist families at the same time that it provides adults with skills for the workforce, Pennsylvania is partnering its welfare-to-work efforts with its family literacy services. Family literacy programs are being initiated through local educational agencies—such as school districts, vocational-technical schools, and charter schools—and through eligible public or private nonprofit organizations. By combining efforts with other resources such as Head Start, Title I, and welfare-to-work programs, family literacy programs throughout the state are equipped to provide educational skills for parents and children as well as job skills training.

How Pennsylvania Developed its Family Literacy Services

Even Start in Pennsylvania has historically been very strong, largely because of the leadership of Pennsylvania Congressman Bill Goodling, author of Even Start and Chairman of the powerful Committee on Education and the Workforce in the United States House of Representatives. Because of the existing expertise in the state, family literacy supporters had a base on which to build the political support crucial in obtaining the Governor's earmark.

Political support for family literacy was developed within the Governor's office by embedding family literacy into the larger policy arena. By highlighting family literacy as a way to promote several of the Governor's large public policy priorities—such as welfare-to-work,
Title I, libraries and summer reading, and the Reading Excellence Act—advocates ensured that family literacy was incorporated into the Governor's initiatives. For example, by working with the governor's staff, advocates ensured that the role of parents and the importance of parent involvement was recognized and incorporated into the Governor's elementary reading initiative, Read to Succeed. Literacy advocates also illustrated the instrumental role family literacy can play in workforce issues and collaborated with the Human Resource Investment Council, (HRIC), the state workforce investment board, a high-powered organization interested in adult literacy and workforce issues.

Literacy advocates invited the First Lady of Pennsylvania, Michele Ridge, to chair the ABLE Interagency Coordinating Council, a grassroots lobbying group that works to ensure state level coordination on behalf of adult education. While Mrs. Ridge was not able to accept the invitation, her Chief of Staff sits on the Council and has become a strong voice for literacy through her involvement with the Council.

Through strong collaborative and educational efforts, the director of Pennsylvania's Even Start program and other proponents of family literacy helped to bring about the Governor's earmark. Steps in accomplishing this include frequent presentations at adult education conferences and writing articles for adult education newsletters. According to Pennsylvania's Even Start director, "Even Start is not a stand-alone program. It is critical that collaboration between adult education and early childhood programs takes place."
Another collaboration led the Pennsylvania Association of Adult and Continuing Education (PAACE) to add a family literacy division to help promote family literacy efforts. For the second year in a row, PAACE has successfully encouraged Governor Ridge to sign a proclamation designating November 1 as Family Literacy Day in Pennsylvania, a day that helps to raise public awareness through a variety of activities throughout the state.

Once the $3 million earmark was given, the family literacy community mobilized quickly for the initiative’s first year of implementation. It lobbied to get Even Start transferred under ABLE, in order to build from the strong base of Even Start providers and collaborators, and to ensure consistent administration of the two programs as one family literacy program. ABLE hired focus groups to identify priority policy issues, and targeted resources to statewide evaluations of the initiative. ABLE also hired the NCFL to help provide training and technical assistance to programs. The policy decision was made to use Even Start as the primary model for family literacy programs.

Future plans for family literacy initiatives in Pennsylvania include continuing to embed family literacy in the Governor’s state policy priorities. The family literacy community at both the state and local level is working to support the state Read to Succeed initiative, as well as state welfare-to-work, workforce development, and library initiatives. Program evaluation findings will be used to build program quality and accountability standards.

In summary, keys to Pennsylvania’s success are:

- Cultivating relationships between the family literacy community and leaders in the state, including inviting leaders to visit and lead literacy programs.
- Recognizing priority policy initiatives as vehicles for family literacy, and partnering with them.
- Increasing family literacy awareness in other education programs and among the general public.
- Collaborating among literacy proponents.
Conclusion

Analysis of the achievements of three states show that while each success offers its own lessons, the following elements are vital in every case:

➢ Strong, effective collaboration among leaders in the field. Supporters of family literacy working together to promote common goals has been an essential ingredient to success.

➢ Repeated outreach to state leaders. By inviting leaders to visit literacy programs, following up with them and their staff, and creating ongoing relationships with leaders and policymakers, the family literacy community can create powerful allies.

➢ Educating the public and the media. Public awareness initiatives in all three states helped lay the groundwork for increased funding and interest in family literacy programs. This eases the way for stronger and wider collaborations between diverse groups that support family literacy programs.

We hope that other programs may learn from and use the successful experiences of Arizona, Massachusetts, and Pennsylvania to further family literacy initiatives in states across the nation.

Author's Note: A 1999 NCFL report, *Family Literacy Legislation and Initiatives in Eleven States*, authored by Tony Peyton, was used in gathering information for this update. To read the NCFL report in full, visit their website at www.famlit.org/states.html.
Recommended Resources:

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<th>National Center for Family Literacy</th>
<th>Barbara Bush Foundation for Family Literacy</th>
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<tr>
<td>Waterfront Plaza, Suite 200</td>
<td>1112 16th St., NW #340</td>
</tr>
<tr>
<td>325 West Main Street</td>
<td>Washington, DC 20036</td>
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<tr>
<td>Louisville, KY 40202-4251</td>
<td>202/955-6183</td>
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<td>502/584-1133</td>
<td><a href="http://www.barbarabushfoundation.com">www.barbarabushfoundation.com</a></td>
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<td>U.S. Department of Education</td>
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<td>600 Independence Ave., SW</td>
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<td>202/205-9685</td>
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<td>202/624-5250</td>
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<td><a href="http://www.naepdc.org">www.naepdc.org</a></td>
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