Technical Assistance Guide for Performance Accountability under the Workforce Innovation and Opportunity Act

National Reporting System for Adult Education

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CHAPTER I. HISTORY AND OVERVIEW OF THE NATIONAL REPORTING SYSTEM

The National Reporting System (NRS) is the accountability system for the federally funded, State-administered adult education program. It embodies the accountability requirements of the Workforce Innovation and Opportunity Act (WIOA, the Act) for the adult education and literacy program (Title II) and reporting under WIOA. This document presents (1) WIOA performance indicators and other NRS measures; (2) methodologies for collecting the measures; (3) training and technical assistance to States in collecting and reporting the measures; and (4) reporting tables, including the WIOA joint information collection request (ICR) instructions and forms.

HISTORY OF THE NRS

The NRS was born in the 1990s, a decade known for its emphasis on accountability of Federal programs, when all publicly funded programs and agencies faced increasing pressures to demonstrate that they had met their legislative goals and had an impact on their client populations. The requirement to demonstrate program impact was mandated in 1993 through the Government Performance and Results Act (GPRA). GPRA required all Federal agencies to develop strategic plans to ensure that services were delivered efficiently and in a manner that best suited client needs and to develop indicators of performance to demonstrate their agency's impact.

In 1995, the U.S. Congress considered integrating the adult education program into a general system of workforce development with a State block grant. Strong and convincing data on the impact of adult education at the State and Federal levels were demanded to demonstrate its importance as a separate education program. In response to these demands, the State directors of adult education asked the Division of Adult Education and Literacy (DAEL) within the U.S. Department of Education (ED) to develop a national system for collecting information on adult education participant outcomes.

To address these demands, DAEL devoted its March 1996 national meeting of State directors of adult education to developing a framework for program accountability. This framework specified the purposes of the adult education program and the essential characteristics of an accountability system, and identified seven categories of outcome measures. At the March 1997 DAEL national meeting, a broad group of adult education stakeholders validated the framework, identified outcome measures for a new national reporting system, and discussed possible methodologies for the system. Based on these decisions, a project to design and develop the reporting system began in October 1997. The proposed voluntary nature of the NRS changed in August 1998 with the passage of the Workforce Investment Act (WIA), which required an accountability system for adult education. The NRS mandate was then expanded to establish the measures and methods to conform to WIA requirements. The enactment of WIOA in 2014 created new requirements for accountability and performance, as specified in Section 116 of the Act, which have been incorporated into the NRS.

NRS Development Phases

The goals of the NRS project were to develop a national accountability system for adult education programs by identifying measures for national reporting and their definitions, establishing methodologies for data collection, developing standards for reporting to the ED, and creating training

materials and activities on NRS requirements and procedures. The development of the NRS proceeded in three phases.

The first phase, standardization, involved the development of standard measure definitions for State and local programs, standard data collection methodologies, and software standards for automated data reporting. In the summer of 1998, interim software standards were established, methodologies were identified for pilot testing, and draft definitions for use in the pilot test were distributed to adult education stakeholders.

The pilot test was the second phase of development and was designed to have a small number of volunteer States and local programs test the draft measure definitions and proposed methodologies under realistic conditions. The pilot test assessed whether the draft measure definitions worked or needed to be refined. It also assessed costs, burden, and other difficulties in collecting the data using the proposed methodologies. The pilot test was completed in January 1999. Measures and methodologies were revised based on the pilot test.

A technical working group (TWG)—consisting of State directors of adult education, representatives from volunteer provider agencies, directors of local adult education programs, and experts on accountability systems—guided the project and met three times between December 1997 and March 1999. The TWG made significant substantive contributions to the measure definitions and methodologies. Participants in the pilot test also provided feedback on measures and methods.

DAEL released a draft of the *NRS Implementation Guidelines* in mid-1999 and another draft in June 2000, reflecting changes from State comments and early State experiences in implementing the requirements. The NRS formally went into effect on July 1, 2000, and DAEL issued a final *Guidelines* document in March 2001. Thereafter, there have been periodic updates to the *Guidelines* to clarify methodologies, provide further technical assistance on data collection, and make revisions to measures in response to ED requirements.

The third phase of NRS development, training and technical assistance, which began in the summer of 2003, supported State and local program implementation of the NRS. The different types of assistance included instructional training packets for States to use in a "train the trainer" environment, technology-based materials for State and local staff that explained NRS measures and methods, and individual technical assistance to States that supported their implementation efforts.

In 2015, in response to the joint accountability requirements of Section 116 of WIOA, the NRS was significantly revised to include the new indicators specified in WIOA and the resulting new timelines for participant follow-up and data reporting. Section 116 establishes primary indicators of performance and reporting requirements to assess the effectiveness of States and local areas in achieving positive outcomes for individuals served by the workforce development system's six core programs. These six core programs are the Adult, Dislocated Worker, and Youth programs, authorized under WIOA title I and administered by DOL; the Adult Education and Family Literacy Act (AEFLA) program, authorized under WIOA title II and administered by ED; the Employment Service program authorized under the Wagner-Peyser Act, as amended by WIOA title III and administered by DOL; and the Vocational Rehabilitation (VR) program authorized under title I of the Rehabilitation Act of 1973, as amended by WIOA title IV and administered by ED. WIOA provides an historic opportunity to align performance-related definitions, streamline performance indicators, integrate reporting, and ensure comparable data collection and reporting across all six of these core

programs, while also implementing program-specific requirements related to data collection and reporting.

OVERVIEW OF THE NRS MEASURES AND METHODS

WIOA Primary Indicators of Performance and NRS Measures

The *Technical Assistance Guide for Performance Accountability* describes the following new indicators and changes to NRS reporting under WIOA.[1]

Employment indicators. New employment indicators of second- and fourth-quarter employment and median earnings have been added. Prior NRS measures of entered and retained employment have been eliminated.

Credential attainment indicator. The new credential attainment indicator consists of (1) postsecondary credential attainment for participants co-enrolled in adult and postsecondary education or (2) attainment of a recognized secondary school diploma, with employment or entry into a postsecondary education or training program within one year of exit, for participants enrolled at the secondary level who did not previously possess a secondary school diploma.

Measurable skill gains indicator. The measurable skill gains indicator is a new indicator under WIOA. It is used to measure a participant's interim progress through pathways that offer different services based on program purposes and participant needs. A measurable skill gain for an adult education participant is measured by achieving an educational functioning level gain or by the attainment of a secondary school diploma or its recognized equivalent.

The NRS also includes descriptive and participation measures. Descriptive measures include participant and teacher demographics and participant status. Participation measures include contact hours received and enrollment in instructional programs for special populations or topics, such as family literacy, integrated English literacy and civics education (IEL/CE), integrated education and training (IET), and correctional education. There also are additional optional measures for participants in family literacy and IEL/CE programs.

Exhibit 1.1 summarizes these indicators and measures, which apply to all adult education *participants*, defined as individuals who receive 12 or more hours of service.

[1] WIOA also requires an indicator of effectiveness in serving employers. This indicator is reported jointly with the WIOA partner programs and is further explained in Chapter II and Appendix A.

Exhibit 1.1
Summary of NRS Indicators, Measures, and Definitions

Topic	Measures	Categories or Definitions
Performance Indicators		
Performance indicator—Measurable Skill Gains (MSG)	❖ Educational functioning level gain	❖ Complete one or more educational functioning levels in reading, writing, speaking, and listening and functional areas, as measured by an NRS-approved assessment ❖ Earning enough Carnegie Units or credits to move from ABE level 5 to ABE level 6, according to state rule. ❖ Enrollment in a postsecondary educational or occupational skills program after exit and by the end of the program year
	❖ Attainment of a Secondary School Diploma	❖ Receipt of a secondary school diploma or recognized equivalent during enrollment or after exit and by the end of the program year
Performance indicator—Employment Measures	❖ Second-quarter employment	❖ Employment in the second quarter after the exit quarter
	❖ Fourth-quarter employment	❖ Employment in the fourth quarter after the exit quarter
	❖ Median earnings	❖ Median earnings of participants employed in the second quarter after the exit quarter
Performance Indicator—Credential Attainment	❖ Attainment of secondary school diploma or its recognized equivalent	❖ Receipt of a secondary school diploma or its recognized equivalent and employed or entered into postsecondary education within 1 year of exit
	❖ Attainment of postsecondary credential	❖ Receipt of a postsecondary credential while enrolled or within 1 year of exit
Descriptive and Participation Measures		
Demographics	❖ Barriers to employment	❖ Displaced homemaker; ELL, low-literacy or cultural barriers; exhausting TANF within two years; ex-offender; homeless or runaway youth; long-term unemployed; low income; migrant or seasonal farmworker; individual with disabilities; single parent; youth aged out of foster care system
	❖ Race/ethnicity	❖ American Indian or Alaska Native, Asian, Native Hawaiian or Other Pacific Islander, Black or African American (non-Hispanic), Hispanic or Latino, White (non-Hispanic), more than one race
	❖ Gender	❖ Male, female
	❖ Age	❖ Years since date of birth
Status	❖ Labor force status	❖ Employed, not employed, not in labor force, employed but received notice of termination or pending military separation
	❖ Highest degree or level of school completed	❖ Highest grade level of school completed in U.S. or abroad, college, secondary school diploma, postsecondary degree

Topic	Measures	Categories or Definitions
Student Participation	❖ Contact hours	❖ Number of hours of instructional activity
	❖ Program enrollment type	❖ ABE, ASE, ESL, family literacy, IET, IEL/civics education, correctional education, community corrections programs, other institutional programs, distance education
Teacher Descriptive	❖ Years of experience in adult education	❖ Total number of years of experience teaching in adult education
	❖ Teacher certification	❖ Certification in K–12, special education, adult education, TESOL
Optional Measures		
Family Literacy	❖ Involvement in children's education	❖ Participant increases help given for children's school work, contact with teachers to discuss education, and involvement in children's school
	❖ Involvement in children's literacy-related activities	❖ Participant increases the amount read to children, visits libraries, or purchases books or magazines for children
ELL Civics	❖ Achieved citizenship skills	❖ Achieve the skills needed to pass the citizenship exam
	❖ Voting registration	❖ Participant registers to vote or votes for the first time
	❖ General involvement in community activities	❖ Participant increases involvement in community activities

ELL=English language learner ● TANF=Temporary Assistance for Needy Families ● ABE=adult basic education ● ASE=adult secondary education ● ESL=English as a second language ● IET=integrated education and training ● IEL=integrated English literacy ● TESOL=Teachers of English to Speakers of Other Languages

Performance Indicators: Measurable Skill Gains

Measurable Skill Gain (MSG) is a key indicator in the NRS and provides a measure of a participant's interim progress towards a credential or employment. The joint ICR identifies five types of gain that may be used to determine whether a participant has completed an MSG. Adult education participants may complete an MSG using two of the five types of gain described below[2]. Educational Functioning Level (EFL) gain and attainment of a secondary school diploma.

EFL Gain. There are three ways to assess EFL gain: through pre- and posttesting, attainment of credits or Carnegie Units, and entry into postsecondary education or training after exit.

1. **Pre- and posttesting.** Local programs assess participants at intake to determine their *educational functioning level (EFL)*. There are four levels for adult basic education (ABE), two for adult secondary education (ASE), and six levels for English as a second language (ESL). Each level is comprised of a set of skills and competencies that participants at that level can do in the areas of reading, writing, numeracy, speaking, listening, and functional and workplace areas. Using these descriptors as guidelines, programs determine the appropriate initial level at which to place participants using a standardized assessment approved in the state assessment policy for use in National Reporting System (NRS). The program decides the skill areas in

[2] As explained in Chapter II, Title I and Title IV programs under WIOA may use three additional methods to measure MSG: passing of a technical occupational knowledge-based exam, progress toward milestones and a secondary or postsecondary transcript.

which to assess the participant based on the participant's instructional needs and program requirements.

After a predetermined amount of instruction determined by assessment requirements, the program conducts follow-up assessments of participants to determine whether they have advanced one or more EFL levels or are progressing within the same EFL level. Gain in any subject area on the posttest compared to pretest is permitted. The State has discretion to establish the standardized assessment method used within the State and procedures for progress assessment, and must develop a written statewide assessment policy describing assessments and procedures. All assessments and procedures must conform to standard psychometric criteria for validity and reliability.

2. **Awarding of Carnegie Units.** States that offer adult high school credit programs (including adult high schools) may measure and report EFL gain through the awarding of credits or Carnegie Units. Participants earning credits or Carnegie Units in high school-level courses can complete ABE Level 5 by earning enough credits to move to 11th- or 12th-grade status (ABE Level 6) as determined by State rule or policy.

3. **Entry into a postsecondary education or training program.** EFL Gain is also counted for participants who enter into a postsecondary education or training program after program exit. Entry must occur by the end of the program year.

Attainment of a secondary school diploma or its recognized equivalent. Participants may complete an MSG by attaining a secondary school diploma while enrolled or after exit. The participant must obtain the diploma by the end of the program year.

Post-exit Performance Indicators

The remaining performance indicators are *follow-up* indicators that are collected after participants exit. These measures are (1) employment in the second quarter after exit, (2) employment in the fourth quarter after exit, (3) median earnings of participants who are employed in the second quarter after exit, and (4) the credential indicator. The credential indicator includes two credentials: attainment of a secondary school diploma and attainment of a recognized postsecondary credential. However, the secondary school diploma only counts if the participant is either (a) employed within 1 year of exit or (b) enters into postsecondary education or training program within 1 year of exit. The secondary diploma component of the credential indicator applies only to participants without a secondary diploma or equivalent who enter at or advance into a secondary program of study (i.e., the ninth-grade equivalent level or higher). The recognized postsecondary attainment credential component of the credential indicator applies only to participants who are also enrolled in a postsecondary education or training program, including those who are enrolled in an integrated education and training (IET) program, as defined under WIOA. Attainment of the postsecondary credential must be achieved while the participant is enrolled or within 1 year of exit.

Participants in a section 225 program for corrections education and other institutionalized individuals, who remain incarcerated at exit, are excluded from all indicators except MSG. See the *Exclusions* section in Chapter II for additional permissible exclusions.

Descriptive and Participation Measures

The NRS *descriptive* measures are participant demographics and status. These measures allow for a description and an understanding of the characteristics of those who attend adult education programs. The measures also allow for analyses of the performance of subgroups of participants attending adult education programs. Demographic measures include ethnicity, age, gender, and 11 WIOA-defined barriers to employment. Status measures include employment status, highest degree achieved or level of schooling, and whether the participant has a disability or is on public assistance. Teacher status measures include total years of experience in adult education and certifications.

Two *participation* measures—contact hours and program enrollment type—are collected for both descriptive and analytic purposes. These measures record the amount of instruction that participants receive and the number of participants attending in areas such as family literacy, IET and IEL/CE programs.

Optional Measures

There are additional *optional* measures that apply to participants in family literacy and Integrated English Literacy and Civics Education (IELCE) programs under section 243. The optional family literacy measures include increased involvement in children's literacy activities and children's education. For IELCE participants, the optional IELCE measures are achievement of citizenship skills, registering to vote, and increased involvement in community activities.

NRS Methodologies

The NRS has three main methodologies for collecting data: direct program reporting, data matching, and supplemental methods for performance reporting purposes (described in OCTAE Program Memorandum 17-6).

With the *direct program reporting* methodology, local programs collect the information directly from the participant while the participant is enrolled and receiving instruction. The information is normally obtained as part of the intake process (such as through assessment) and on an ongoing basis during the course of instruction. Data collected with this methodology are demographic, student status, program participation, and assessment results.

Data matching refers to the procedures whereby agencies serving common clients pool their data, or have linked or unified data systems, to identify achievement of outcomes. Matching is achieved using Social Security numbers or other unique identifiers, and is typically done at the State level. For example, to determine whether participants obtained employment after leaving the program, the State agency responsible for adult education instruction matches the Social Security numbers and dates of attendance of participants who had obtained employment in the State Unemployment Insurance (UI) database for the appropriate calendar quarter.

The *supplemental method* for performance reporting employs a survey of participants who left the program during the program year. The local program, State, or third-party contractor may conduct the survey. To conduct this survey, programs must include all of the participants in the program to whom the measure applies. The procedures for conducting the survey are to be determined by the State but must follow accepted scientific practice for producing valid and reliable

results. The State should establish a policy that clearly describes the procedures to be followed and conforms to the time periods in OCTAE Program memorandum 17-6.

These methods are further described in Chapter 2.

NRS and WIOA Reporting

States report NRS data by completing NRS reporting tables and the WIOA Statewide Performance Report using OCTAE's website (https://wdcrobcolp01.ed.gov/CFAPPS/OVAE/NRS/login.cfm) dedicated to this purpose. States also must submit a narrative and financial report. The reporting period is a program year which covers July 1 through June 30. Annual reports are due to OCTAE on October 1. Reporting tables, including the Statewide Performance Report are in Appendix E. The appendix also includes new reporting tables that will be required beginning Program Year 2018-19, for reporting in October 2019.

Additional NRS Guidebooks and Tools

Since the NRS was implemented, OCTAE has offered annual training, guidebooks, and tools to clarify NRS requirements and to assist States in the collection and use of quality data for program management and improvement efforts. NRS project staff at the American Institutes for Research (AIR) prepared technical assistance guides and tools beginning in 2001. The most relevant of these for WIOA are the following:

- The *Guide for Improving NRS Data Quality* describes ways to standardize and improve data collection procedures for the NRS.
- *Using NRS Data for Program Management and Improvement* offers a data use and program change model and suggests ways to use NRS data.
- *NRS Data Monitoring for Program Improvement* explains the use of performance standards in program monitoring and suggests ways for States to monitor local program performance effectively.
- *Developing an NRS Data System* offers help to State and local adult education staff in making informed decisions on the design and development of a data system for the NRS. It outlines a process for identifying requirements that reflect the range of needs from functional and operational perspectives.
- *Demonstrating Results: Developing State and Local Report Cards for Adult Education* explains the components of report cards for demonstrating State and program performance, how they are used for program improvement, and how to develop them.
- *Desk Monitoring: Improving Program Performance* focuses on developing a desk monitoring system, including a tool to supplement on-site monitoring visits and a rubric to evaluate program performance.
- *Learning to be an NRS Data Detective: The Five Sides of the NRS* addresses several aspects of the NRS, including data collection procedures and requirements, improving data quality, and using data for the NRS.

- *Building and Sustaining Quality in NRS Data: A Guide to Program Improvement* deals with using NRS data to improve program quality through a four-step continuous improvement process for building and sustaining change.
- *The Local Connection: Building a Data Use Learning Community* focuses on the characteristics and essential elements of data use learning communities at the State and local levels.
- *NRS Guide to State Longitudinal Data Systems* describes models for the development and operation of State longitudinal data systems and how adult education programs can contribute to and use data from these systems.
- *NRS Myth Busters* presents a methodology and tips for conducting research on adult education programs using NRS data.
- *Linking Data Quality With Action: Evaluating and Improving Local Program Performance* reviews ways in which States can identify errors in NRS data reports and presents strategies for improving data collection and data quality.
- *The Power of Data Visualization: Advanced Presentations of NRS Data* reviews enhanced and complex ways to display data, including data dashboards and infographics.
- *Defining Adult Education Under WIOA: Messaging With Infographics* discusses effective messaging and communication strategies, and explains how to develop and use infographics to convey messages with NRS data.
- *Learn, Explore, Assess, and Plan (LEAP) Into WIOA, Part 1*: *Planning for Change* is an online guide with training and other technical assistance resources focusing on preparing States for changes related to WIOA. Topics include planning for data system changes, staff development, leadership strategies, and approaches for communication with State staff, local programs, and WIOA partners regarding adjustments in State reporting and data collection.
- *LEAP Into WIOA, Part 2: NRS Measures and Reporting* provides a detailed look at the new NRS reporting requirements and revised tables under WIOA. It describes changes in data requirements and modifications needed to State data collection and reporting systems, ways to implement changes, and methods of disseminating information to their local programs and State WIOA stakeholders.
- *NRS Annual Checkup: WIOA Accountability After One Year*, provides states with the opportunity to review their data collection system and approaches after the first year of WIOA accountability. It includes a review of WIOA data collection requirements for performance indicators, focused on challenges to data collection and reporting during the first year of implementation of accountability requirements, and identified successful ways to address these challenges.
- *Evaluating Program Effectiveness* guides states through the process of developing a systematic approach to evaluating local program effectiveness using NRS data, including WIOA performance indicators.
- *Conquering Your Data Challenges* uses a train-the-trainer approach to guide states to identify challenges to collecting and reporting quality data. The training uses a four-step process to conquer the challenge, including identifying the challenge, developing guiding and data focused questions and identifying strategies to address the challenge.

The guidebooks and tools have accompanying training materials, and State staff were trained in the use of the guides and materials at regional trainings shortly after the release of each guidebook.

The NRS support project website, *NRSWeb* (http://www.nrsweb.org), includes comprehensive information about the NRS, links to NRS and WIOA documents and other resources, and online courses about NRS requirements, data quality, and data use for State and local adult education program staff. AIR has developed all of these NRS documents, training courses, and the website under contract to ED.

OVERVIEW OF THIS DOCUMENT

The remainder of this document presents the WIOA primary indicators of performance and other NRS measures, methods, NRS data collection policies, and reporting requirements in greater detail. Chapter II presents definitions of indicators and measures and the methodologies for collecting them. Chapter III presents an overview of the NRS data collection framework, describes how information flows from the classroom and program to the State and Federal levels, and discusses the responsibilities of Federal, State, and local agencies in the data collection and reporting processes. Chapter IV discusses quality control procedures and recommendations for local student record systems to enable NRS reporting. Chapter V presents the WIOA joint ICR instructions and forms used for WIOA reporting. There are six appendices. Appendix A includes OCTAE Program Memorandum 17-2, which has definitions of the WIOA indicators and how they are calculated and reported and OCTAE Program Memorandum 19-1, which provides guidance for validating data. Appendix B presents the new EFL descriptors for ABE and ESL, Appendix C illustrates the time lag in reporting of employment measures, and Appendix D provides a sample survey and methodology for collecting data for the post-exit follow-up indicators. Appendix E includes the NRS reporting tables, joint ICR reporting template, and a copy of the data quality standards checklist.

CHAPTER II. NATIONAL REPORTING SYSTEM PRIMARY INDICATORS OF PERFORMANCE, MEASURES, AND DATA COLLECTION METHODS

The National Reporting System (NRS) includes primary indicators of performance defined by Section 116(b)(2)(A) of the Workforce Innovation and Opportunity Act (WIOA) of 2014. The required data for adult education program reporting within the NRS include these indicators, along with descriptive and participation measures. States must report performance for the required indicators and measures on *all participants,* who are defined as individuals who receive 12 hours or more of service.[3] The U.S. Department of Education (ED) will use the WIOA indicators to evaluate State performance and negotiate expected levels of performance.

This chapter presents an overview of the WIOA performance indicators, which apply to all core programs under WIOA, and includes requirements specific to the adult education program (Title II in WIOA) reporting. In addition, the chapter includes the definitions and reporting requirements for all other required measures for NRS reporting. This chapter also provides a discussion of the data collection policies and procedures that States and local programs should have in place to collect data for the indicators and measures.

PRIMARY INDICATORS OF PERFORMANCE

The primary indicators of performance within the NRS are the primary indicators of performance required by WIOA Section 116(b)(2)(A). These indicators are measurable skill gains, employment rate in the second quarter after exit, employment rate in the fourth quarter after exit, median earnings in the second quarter after exit, credential attainment, and effectiveness in serving employers. The U.S. Departments of Labor and Education have developed joint guidance for collecting, validating and reporting these measures. This guidance includes definitions, methodology, calculations, and operational parameters. OCTAE Program Memorandum 17-2 provides this guidance for adult education programs and also includes definitions of key terms related to accountability under WIOA. OCTAE Program Memorandum 19-1 provides guidance for validating data. The next section of this chapter presents a summary of the six indicators and additional details, as appropriate, for collecting them. States should refer to this memorandum, which is included in Appendix A, for more specific information and definitions.

Measurable Skill Gains

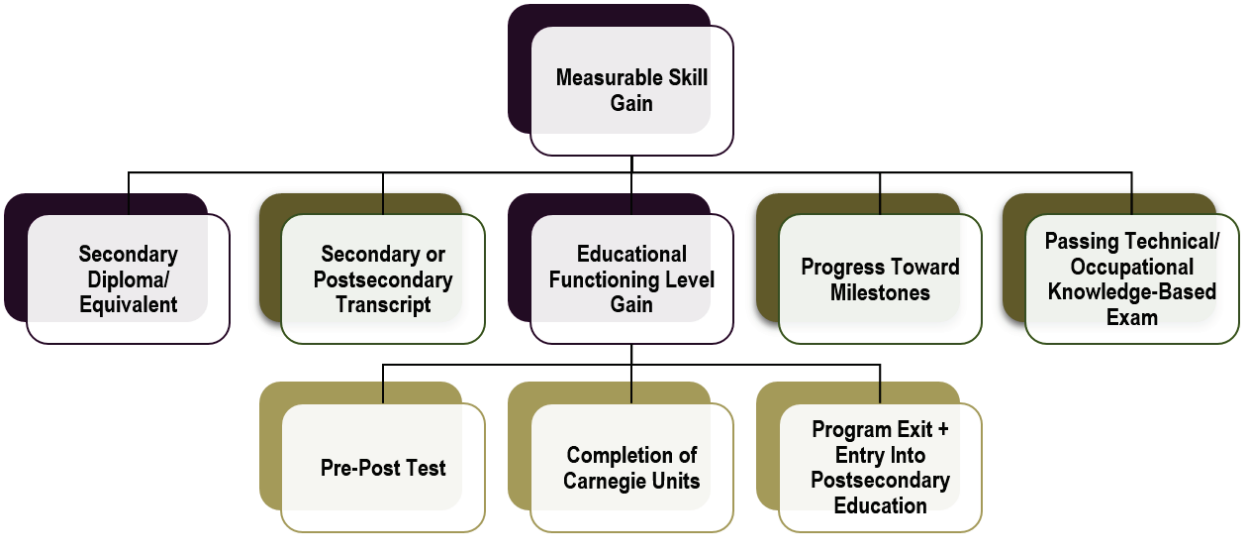
Measurable skill gains (MSG) is used to demonstrate participants' progress toward achieving a credential or employment. For adult education programs, participants can demonstrate MSG in two ways: educational functioning level (EFL) gain and receipt of a secondary school diploma (see Exhibit 2-1 below).

[3] Beginning in program year 2018, States are required to report demographic information on *reportable individuals*, who are individuals who receive fewer than 12 hours of service. See OCTAE Memorandum 17-2 in Appendix A for further information.

1. EFL gain can be demonstrated in one of three ways:
   - Comparing a participant's pretest with the participant's posttest, using a test approved for use in the NRS
   - Awarding Carnegie Units or credits in an adult high school program (enough to move to 11th- or 12th-grade status according to *State* rule)
   - Enrollment in postsecondary education or training after exit
2. Receipt of a secondary school diploma , can be demonstrated by achieving passing scores on State-approved high school equivalency tests or obtaining a secondary diploma or State-recognized equivalent[4]

Participants in *other* WIOA partner programs can demonstrate MSG by exhibiting progress on a secondary or postsecondary transcript, showing progress toward milestones, or passing a technical/occupational knowledge–based exam (shown in Exhibit 2.1). However, these measures cannot be used to report MSG in adult education programs. States report MSG for all participants for each period of participation, except for participants excluded due to the exclusions listed in OCTAE Program Memorandum 17-2 (explained in the *Exclusions* section).

Exhibit 2.1. Five Types of Measurable Skill Gains under WIOA



Note: For adult education (WIOA Title II) participants, secondary or postsecondary transcripts, progress toward milestones, and passing technical/occupational knowledge-based exams cannot be used to document MSG.

Employment-Related Indicators

There are three WIOA indicators related to employment:

- **Employment Rate—Second Quarter After Exit:** The percentage of participants who are in unsubsidized employment during the second quarter after exit from the program.

[4] Unlike the credential indicator, discussed later in this chapter, attainment of a secondary diploma for MSG does not require entry into postsecondary education or employment within one year of exit.

- **Employment Rate—Fourth Quarter After Exit:** The percentage of participants who are in unsubsidized employment during the fourth quarter after exit from the program.
- **Median Earnings—Second Quarter After Exit:** The median earnings of participants who are in unsubsidized employment during the second quarter after exit from the program.

Participants in correctional education programs (WIOA Section 225), who remain incarcerated at program exit, are excluded from the employment-related indicators, as are participants excluded due to the circumstances listed in the *Exclusions* section.

Credential Indicator

The credential indicator measures two types of credentials:

1. Receipt of a secondary school diploma or recognized equivalent during participation or within 1 year after exit from the program. The receipt of a secondary diploma is only counted if the participant also enters postsecondary education or training, or employment within 1 year after exit.
2. Receipt of a recognized postsecondary credential during participation or within 1 year after exit from the program.

The secondary diploma component of the indicator applies only to participants enrolled in a secondary education program at or above the ninth-grade level who exited the program and who did not have a secondary school diploma or its equivalent at program entry. The postsecondary education credential component of the indicator applies only to participants who were also enrolled in a postsecondary education or training program and exited the postsecondary education or training program. Participants in correctional education programs (WIOA Section 225), who remain incarcerated at program exit, are excluded from the indicator, as are participants excluded due to the circumstances listed in the *Exclusions* section.

Effectiveness in Serving Employers

WIOA requires the U.S. Departments of Education and Labor to establish a primary indicator of performance for effectiveness in serving employers. The Departments are piloting three approaches designed to address critical workforce needs of the business community.

- **Approach 1:** Retention – This approach captures the percentage of participants who exit and are employed with the same employer in the second and fourth quarters after exit. States must use wage records to identify whether a participant's employer wage record indicates a match of the same establishment identifier (such as a Federal Employer Identification Number (FEIN) or State tax id) in the second and fourth quarters. This approach addresses program efforts to provide employers with skilled workers.
- **Approach 2**: Repeat Business Customers – This approach tracks the percentage of employers who use core program services more than once. It addresses program efforts to provide quality engagement and services to employers and sectors, and establish productive relationships with employers and sectors over extended periods of time.

- **Approach 3**: Employer Penetration Rate – This approach tracks the percentage of employers who are using the core program services out of all employers represented in an area or State served by the public workforce system (i.e., employers served). American Job Centers will keep track of the number of establishments served within a program year and States will compare the data to the aggregate number of employers in a given State and/or county. This approach addresses program efforts to provide quality engagement and services to all employers and sectors within a State and local economy.

Because this indicator is a new approach for measuring performance under WIOA's core programs, the Departments have implemented a pilot program during which States must select two of the three approaches. They also may develop an additional State-specific approach. The Departments will evaluate State experiences with the various approaches and plan to identify a standardized indicator that will be implemented.

The Title II adult education program may not have access to the data required for approaches 2 and 3 to measure Effectiveness in Serving Employers. However, the State adult education program has an important role in collecting and reporting data under the first approach (retention with the same employer). That is, if the State selects the first approach, the State adult education program would be expected to provide Title II performance data to the State agency responsible for reporting the State's performance for the indicator. If the State adult education program cannot determine retention with the same employer through a data match, the State adult education program would be expected to provide data for those Title II participants who were employed in the second and fourth quarters to the State Agency responsible for reporting on the indicator, for the purpose of determining whether they were employed with the same employer in both quarters. Only performance data obtained through a direct data match is used for the "Retention with the Same Employer" approach.

Depending upon the nature of any additional State-specific approaches for measuring effectiveness, the State adult education program may have data collection and reporting responsibilities for those State-specific approaches as well. The role of the State adult education program in collecting and reporting data for such State-specific measures would depend on the State adult education program's access to such data.

Exclusions

Participants in correctional education programs (WIOA Section 225), who remain incarcerated at program exit, are excluded from all performance indicators except the Measurable Skill Gains indicator. Participants who exit the program due to the following circumstances may be excluded from the WIOA primary indicators of performance:

- The participant exits the program because he or she has become incarcerated in a correctional institution or has become a resident of an institution or facility providing 24-hour support such as a hospital or treatment center during the course of receiving services as a participant.
- The participant exits the program because of medical treatment and that treatment is expected to last longer than 90 days and precludes entry into unsubsidized employment or continued participation in the program.
- The participant exits the program because the participant is a member of the National Guard or other reserve military unit of the armed forces and is called to active duty for at least 90 days.
- The participant is deceased.

Attachment 2 of OCTAE's Program Memorandum OCTAE 17-2 (found in Appendix A) provides further information about exclusions.

COLLECTING EFL GAIN DATA FOR MSG

OCTAE's Program Memorandum 17-2 provides guidance on collecting, reporting, and calculating each element of MSG. This section provides some additional discussion on measuring two elements of EFL for MSG: pre- and posttest gains and completion of Carnegie Units.

EFL Gain Through Pre- and Posttesting

Measuring EFL gain through pre- and posttesting is defined through a set of EFLs in which participants are initially placed based on their abilities to perform literacy-related tasks in specific content areas, as measured by an NRS-approved standardized test. After a number of instructional hours, set according to the requirements of the assessment used and policy established by the State, participants are again assessed to determine their skill levels. If their skills have improved sufficiently to be placed in one or more levels higher according to the assessment, an EFL gain is recorded for that participant. States that offer adult high school credit programs, (including adult high schools) may measure and report educational gain through the awarding of credits or Carnegie Units, as explained further in this chapter.

Exhibit 2.2 describes the test benchmarks for the EFLs. Appendix B presents the descriptors for ABE and the new descriptors for English as a Second Language (ESL). The new ESL descriptors will be implemented when the Secretary of Education has determined that there is at least one assessment that is aligned with these descriptors that is suitable for NRS reporting. Programs may continue to use the ESL descriptors in Exhibit 2.2 until the tests aligned to those descriptors, currently approved for an extended period through February 2, 2021, are no longer approved for use in the NRS.

EFLs

ABE has different descriptors for literacy/English language arts and mathematics and six levels in each area. Literacy/English language arts levels have a description of basic reading, writing, speaking and listening, and language skills that can be expected from a person functioning at that level. For mathematics, the descriptors for levels 1-3 are for mathematical practices, number sense and operations, algebraic thinking, geometry, and measurement and data analysis (including statistics for level 3 only). For mathematics levels 4 and 5, the descriptors are for mathematical practices, number sense and operations, algebraic thinking, geometry and statistics and probability. For level 6 mathematics, the descriptors are for mathematical practices, number sense and operations, algebraic thinking, geometry, data analysis and statistics.

The descriptors for the six ESL levels describe listening and speaking, reading and writing and functional and workplace skills that can be expected from a person functioning at that level.

- The descriptors do not provide a complete or comprehensive delineation of all of the skills at any given level but provide examples of the most critical concepts and skills for the level. The ABE descriptors use the College and Career Readiness (CCR) Standards for Adult Education (CCR) as the foundation. While these narrative descriptors address the most critical concepts for assessment and instruction for adult

learners, lesson plans and test items should be based on additional critical concepts from State instructional frameworks and standards, as appropriate for the learner and State requirements.

- Participants do not need to be assessed in all of the areas described in the level descriptors. The local program must decide, in accordance with State guidelines, the skill areas most relevant to each participant's needs or the program's curriculum, and assess participants in those areas.
- If multiple skill areas are assessed and the participant has different abilities in different subject areas, the program may select the most appropriate level and place the participant in that level. The program must then use this level as the basis for determining the participant's initial educational functioning level. However, a posttest gain in any subject area that was pretested, regardless of whether it was used for initial placement, can be the basis for determining EFL gain.

State Responsibilities in Assessment for Measuring Educational Gain

To measure educational gain within the NRS through pre- and posttesting, States are required to have a written assessment policy for their local programs. The assessment policy must identify (1) the tests to be used to measure educational gain for both ABE/adult secondary education (ASE) and ESL participants, (2) when pre- and posttests are to be administered, and (3) how test scores are to be tied to the NRS EFLs for initial placement and reporting participant advancement across levels. The assessments allowed by the State must be approved through OCTAE's assessment approval process.

For the EFLs to be meaningful, assessments need to be administered in a standardized and consistent way by all programs in each State. When these procedures are not followed correctly or consistently, the determination of EFL is invalid and not comparable across programs or possibly even within programs, making data validity questionable. Program staff must be trained in test administration and scoring to ensure that the measures are valid and reliable across programs and participants.

Exhibit 2.2
Functioning Level Table

Literacy Level	Literacy/English Language Arts (ELA)	Mathematics
ABE Level 1 ***Test Benchmark*** TABE (11–12) scale scores (grade level 0–1): Reading: 300–441 Mathematics: 300–448 Language: 300–457 CASAS Reading GOALS scale scores: Reading: 203 and below CASAS Math GOALS scale scores: Mathematics: 193 and below	**Content Areas** Reading Writing Speaking and Listening[1] Language **See Appendix B for descriptors.**	**Content Areas** Mathematic Practices Number Sense and Operations Algebraic Thinking Geometry and Measurement Data Analysis **See Appendix B for descriptors.**
ABE Level 2 *Test Benchmark* TABE (11–12) scale scores (grade level 2–3): Reading: 442–500 Mathematics: 449–495 Language: 458–510 CASAS Reading GOALS scale scores: Reading: 204-216 CASAS Math GOALS scale scores: Mathematics: 194-203 MAPT scale scores: All tests: 200-299	**Content Areas** Reading Writing Speaking and Listening Language **See Appendix B for descriptors.**	**Content Areas** Mathematic Practices Number Sense and Operations Algebraic Thinking Geometry and Measurement Data Analysis **See Appendix B for descriptors.**

Note: The descriptors are *entry-level* descriptors and are illustrative of what a typical student functioning at that level should be able to do. They are not a full description of skills for the level.

CASAS = Comprehensive Adult Student Assessment System ● TABE = Test of Adult Basic Education ● MAPT= Massachusetts Adult Proficiency Tests

[1] There are no approved tests for NRS reporting for speaking and listening for ABE.

Exhibit 2.2 (Continued)
Functioning Level Table

Literacy Level	Literacy/English Language Arts (ELA)	Mathematics
ABE Level 3 ***Test Benchmark*** TABE (11–12) scale scores (grade level 4–5): Reading: 501–535 Mathematics: 496–536 Language: 511–546 CASAS Reading GOALS scale scores: Reading: 217-227 CASAS Math GOALS scale scores: Mathematics: 204-214 MAPT scale scores: All tests: 300-399	**Content Areas** Reading Writing Speaking and Listening Language **See Appendix B for descriptors.**	**Content Areas** Mathematic Practices Number Sense and Operations Algebraic Thinking Geometry and Measurement Data Analysis and Statistics **See Appendix B for descriptors.**
ABE Level 4 ***Test Benchmark:*** TABE (11–12) scale scores (grade level 6–8): Reading: 536–575 Mathematics: 537–595 Language: 547–583 CASAS Reading GOALS scale scores: Reading: 228-238 CASAS Math GOALS scale scores: Mathematics: 215-225 MAPT scale scores: All tests: 400-499	**Content Areas** Reading Writing Speaking and Listening Language **See Appendix B for descriptors.**	**Content Areas** Mathematic Practices Number Sense and Operations Algebraic Thinking Geometry Statistics and Probability **See Appendix B for descriptors.**

Note: The descriptors are *entry-level* descriptors and are illustrative of what a typical student functioning at that level should be able to do. They are not a full description of skills for the level.

CASAS = Comprehensive Adult Student Assessment System ● TABE = Test of Adult Basic Education ● MAPT: Massachusetts Adult Proficiency Tests

Exhibit 2.2 (Continued)
Functioning Level Table

Literacy Level	Literacy/English Language Arts (ELA)	Mathematics
ABE Level 5 **Test Benchmark:** TABE (11–12) scale scores (grade level 9–10): Reading: 576–616 Language: 584–630 Mathematics: 596–656 CASAS Reading GOALS scale scores: Reading: 239 – 248 CASAS Math GOALS scale scores: Mathematics: 226-235 MAPT scale scores: All tests: 500-599	**Content Areas** Reading Writing Speaking and Listening Language **See Appendix B for descriptors.**	**Content Areas** Mathematic Practices Number Sense and Operations Algebraic Thinking Geometry Statistics and Probability **See Appendix B for descriptors.**
ABE Level 6 ***Test Benchmark*** TABE (11–12) scale scores (grade level 11–12): Reading: 617–800 Language: 631–800 Mathematics: 657–800 CASAS Reading GOALS scale scores: Reading: 249 and above CASAS Math GOALS scale scores: Mathematics: 236 and above MAPT scale scores: All tests: 600-700	**Content Areas** Reading Writing Speaking and Listening Language **See Appendix B for descriptors.**	**Content Areas** Mathematic Practices Number Sense and Operations Algebraic Thinking Geometry Data Analysis and Statistics **See Appendix B for descriptors.**

Note: The descriptors are *entry-level* descriptors and are illustrative of what a typical student functioning at that level should be able to do. They are not a full description of skills for the level.

CASAS = Comprehensive Adult Student Assessment System ● TABE = Test of Adult Basic Education ● MAPT: Massachusetts Adult Proficiency Tests

Exhibit 2.2 (Continued)
Functioning Level Table

Outcome Measures Definitions			
EDUCATIONAL FUNCTIONING LEVEL DESCRIPTORS—ENGLISH AS A SECOND LANGUAGE LEVELS			
Literacy Level	**Listening and Speaking**	**Basic Reading and Writing**	**Functional and Workplace Skills**
English as a Second Language (ESL) Level 1 ***Test Benchmark:*** CASAS scale scores: Reading: 180 and below Life &Work (L&W) Listening: 162–180 and below BEST Plus 2.0: 88–361 (Student Performance Level (SPL 0–1) BEST Literacy: 0–20 (SPL 0–2) TABE CLAS-E scale scores:* Total Reading & Writing: 225–394 Total Listening & Speaking: 230-407	Individual cannot speak or understand English, or understands only isolated words or phrases.	Individual has no or minimal reading or writing skills in any language. May have little or no comprehension of how print corresponds to spoken language and may have difficulty using a writing instrument.	Individual functions minimally or not at all in English and can communicate only through gestures or a few isolated words, such as name and other personal information; may recognize only common signs or symbols (e.g., stop sign, product logos); and can handle only very routine entry-level jobs that do not require oral or written communication in English. There is no knowledge or use of computers or technology.
ESL Level 2 ***Test Benchmark:*** CASAS scale scores Reading: 181–190 L&W Listening: 181–189 BEST Plus 2.0: 362–427 (SPL 2) BEST Literacy: 21–52 (SPL 2–3) TABE CLAS-E scale scores:* Total Reading and Writing: 395–441 Total Listening and Speaking: 408–449	Individual can understand basic greetings, simple phrases, and commands. Can understand simple questions related to personal information, spoken slowly and with repetition. Understands a limited number of words related to immediate needs and can respond with simple learned phrases to some common questions related to routine survival situations. Speaks slowly and with difficulty. Demonstrates little or no control over grammar.	Individual can read numbers and letters and some common sight words. May be able to sound out simple words. Can read and write some familiar words and phrases, but has a limited understanding of connected prose in English. Can write basic personal information (e.g., name, address, telephone number) and can complete simple forms that elicit this information.	Individual functions with difficulty in social situations and in situations related to immediate needs. Can provide limited personal information on simple forms, and can read very simple common forms of print found in the home and environment, such as product names. Can handle routine entry-level jobs that require very simple written or oral English communication and in which job tasks can be demonstrated. May have limited knowledge and experience with computers.

Note: The descriptors are *entry-level* descriptors and are illustrative of what a typical student functioning at that level should be able to do. They are not a full description of skills for the level.

CASAS = Comprehensive Adult Student Assessment System ● BEST= Basic English Skills Test ● TABE CLAS-E = Test of Adult Basic Education Complete Language Assessment System—English

* Refer to the TABE CLAS-E technical manual for score ranges for individual reading, writing, listening, and speaking tests. Table shows only total scores.

Exhibit 2.2 (Continued)
Functioning Level Table

Outcome Measures Definitions			
EDUCATIONAL FUNCTIONING LEVEL DESCRIPTORS—ENGLISH AS A SECOND LANGUAGE LEVELS			
Literacy Level	**Listening and Speaking**	**Basic Reading and Writing**	**Functional and Workplace Skills**
ESL Level 3 ***Test Benchmark:*** CASAS scale scores Reading: 191–200 L&W Listening: 190–199 BEST Plus: 2.0: 428–452 (SPL 3) BEST Literacy: 53–63 (SPL 3–4) TABE CLAS-E scale scores:* Total Reading and Writing: 442–482 Total Listening and Speaking: 450–485	Individual can understand common words, simple phrases, and sentences containing familiar vocabulary, spoken slowly with some repetition. Individual can respond to simple questions about personal everyday activities, and can express immediate needs, using simple learned phrases or short sentences. Shows limited control of grammar.	Individual can read most sight words and many other common words. Can read familiar phrases and simple sentences but has a limited understanding of connected prose and may need frequent rereading. Individual can write some simple sentences with limited vocabulary. Meaning may be unclear. Writing shows very little control of basic grammar, capitalization, and punctuation and has many spelling errors.	Individual can function in some situations related to immediate needs and in familiar social situations. Can provide basic personal information on simple forms and recognizes simple common forms of print found in the home, workplace, and community. Can handle routine entry-level jobs requiring basic written or oral English communication and in which job tasks can be demonstrated. May have limited knowledge or experience using computers.
ESL Level 4 ***Test Benchmark:*** CASAS scale scores: Reading: 201–210 L&W Listening: 200–209 BEST Plus 2.0: 453–484 (SPL 4) BEST Literacy: 64–67 (SPL 4–5) TABE CLAS-E scale scores:* Total Reading and Writing: 483–514 Total Listening and Speaking: 486–525	Individual can understand simple learned phrases and limited new phrases containing familiar vocabulary, spoken slowly with frequent repetition; can ask and respond to questions using such phrases; can express basic survival needs and participate in some routine social conversations, although with some difficulty; and has some control of basic grammar.	Individual can read simple material on familiar subjects and comprehend simple and compound sentences in single or linked paragraphs containing a familiar vocabulary; can write simple notes and messages on familiar situations but lacks clarity and focus. Sentence structure lacks variety but shows some control of basic grammar (e.g., present and past tense) and consistent use of punctuation (e.g., periods, capitalization).	Individual can interpret simple directions and schedules, signs, and maps; can fill out simple forms but needs support on some documents that are not simplified; and can handle routine entry-level jobs that involve some written or oral English communication but in which job tasks can be demonstrated. Individual can use simple computer programs and can perform a sequence of routine tasks given directions using technology (e.g., fax machine, computer).

Note: The descriptors are *entry-level* descriptors and are illustrative of what a typical student functioning at that level should be able to do. They are not a full description of skills for the level.

CASAS = Comprehensive Adult Student Assessment System ● BEST= Basic English Skills Test ● TABE CLAS-E = Test of Adult Basic Education Complete Language Assessment System—English

* Refer to the TABE CLAS-E technical manual for score ranges for individual reading, writing, listening, and speaking tests. Table shows only total scores.

Exhibit 2.2 (Continued)
Functioning Level Table

Outcome Measures Definitions			
EDUCATIONAL FUNCTIONING LEVEL DESCRIPTORS—ENGLISH AS A SECOND LANGUAGE LEVELS			
Literacy Level	**Listening and Speaking**	**Basic Reading and Writing**	**Functional and Workplace Skills**
ESL Level 5 ***Test Benchmark:*** CASAS scale scores: Reading: 211–220 L&W Listening: 210–218 BEST Plus 2.0: 485–524 (SPL 5) BEST Literacy: 68–75 (SPL 5–7) TABE CLAS-E scale scores:* Total Reading and Writing: 515–556 Total Listening and Speaking: 526–558	Individual can understand learned phrases and short new phrases containing familiar vocabulary, spoken slowly and with some repetition; can communicate basic survival needs with some help; can participate in conversation in limited social situations and use new phrases with hesitation; and relies on description and concrete terms. There is inconsistent control of more complex grammar.	Individual can read text on familiar subjects that have a simple and clear underlying structure (e.g., clear main idea, chronological order); can use context to determine meaning; can interpret actions required in specific written directions; can write simple paragraphs with a main idea and supporting details on familiar topics (e.g., daily activities, personal issues) by recombining learned vocabulary and structures; and can self- and peer edit for spelling and punctuation errors.	Individual can meet basic survival and social needs, can follow some simple oral and written instruction, and has some ability to communicate on the telephone on familiar subjects; can write messages and notes related to basic needs; can complete basic medical forms and job applications; and can handle jobs that involve basic oral instructions and written communication in tasks that can be clarified orally. Individual can work with or learn basic computer software, such as word processing, and can follow simple instructions for using technology.
ESL Level 6 ***Test Benchmark:*** CASAS scale scores: Reading: 221–235 L&W Listening: 219–227 BEST Plus 2.0: 525–564 (SPL 6) BEST Literacy: 76–78 (SPL 7–8) ** TABE CLAS-E scale scores:* Total Reading and Writing: 557–600 Total Listening and Speaking: 559–600	Individual can understand and communicate in a variety of contexts related to daily life and work. Can understand and participate in conversation on a variety of everyday subjects, including some unfamiliar vocabulary, but may need repetition or rewording. Can clarify own or others' meaning by rewording. Can understand the main points of simple discussions and informational communication in familiar contexts. Shows some ability to go beyond learned patterns and construct new sentences. Shows control of basic grammar but has difficulty using more complex structures. Has some basic fluency of speech.	Individual can read moderately complex text related to life roles and descriptions and narratives from authentic materials on familiar subjects. Uses context and word analysis skills to understand vocabulary, and uses multiple strategies to understand unfamiliar texts. Can make inferences and predictions, and compare and contrast information in familiar texts. Individual can write multiparagraph text (e.g., organizes and develops ideas with clear introduction, body, and conclusion), using some complex grammar and a variety of sentence structures. Makes some grammar and spelling errors. Uses a range of vocabulary.	Individual can function independently to meet most survival needs and to use English in routine social and work situations. Can communicate on the telephone on familiar subjects. Understands radio and television on familiar topics. Can interpret routine charts, tables, and graphs and can complete forms and handle work demands that require nontechnical oral and written instructions and routine interaction with the public. Individual can use common software, learn new basic applications, and select the correct basic technology in familiar situations.

Note: The descriptors are *entry-level* descriptors and are illustrative of what a typical student functioning at that level should be able to do. They are not a full description of skills for the level.

CASAS = Comprehensive Adult Student Assessment System ● BEST= Basic English Skills Test ● TABE CLAS-E = Test of Adult Basic Education Complete Language Assessment System—English

* Refer to the TABE CLAS-E technical manual for score ranges for individual reading, writing, listening, and speaking tests. Table shows only total scores.

** Students can be placed into advanced ESL using BEST Literacy, but the test does not assess skills beyond this level, so students cannot exit advanced ESL with this test. Retesting of students who enter this level with another assessment is recommended.

Assessment Procedures for Participants in Distance Education

If posttesting is to be used to measure MSG for participants in distance education, States should posttest these participants after the same amount of instructional time as other participants, according to the State's approved NRS assessment policy. States that choose to develop proxy contact hours using one of the approved models listed in the *Optional Reporting of Proxy Contact Hours* section will use the proxy contact hours to measure the posttest time for distance education participants. For example, if the State's assessment policy requires posttesting after 80 contact hours, programs must posttest distance education participants after 80 proxy contact hours, as determined by the State model.

States that choose not to collect and report proxy contact hours must develop procedures for determining the appropriate time for posttesting participants in distance education, such as calendar time (e.g., number of weeks) but the posttesting time must approximate the same amount of instructional time as other participants. The State will describe the methodology it employed for determining posttest time and procedures for posttesting distance education participants in its State assessment policy.

Local programs can administer pre-and posttests to measure MSG of distance education participants for NRS reporting in two ways: in person, at a secured, proctored program site within the State that meets the requirements of the State's assessment policy, or through virtual proctoring. States that choose to use virtual proctoring can use only NRS-approved tests for which the test publisher has established procedures for virtual administration of the test. The test publisher procedures on virtual proctoring will address such topics as the proper identification of the student, test security, training requirements for test proctors, technology requirements, and procedures for retesting should virtual administration of the test be interrupted.

Standardized Assessment

To ensure comparability of the meaning of the EFLs across all programs in the State, all programs must use *standardized assessment procedures* that conform to the State's assessment policy when determining participants' EFLs. The assessment procedures must include a standardized test or a standardized performance-based assessment with a standardized scoring rubric that has been approved by OCTAE for measuring educational gain within the NRS framework. OCTAE conducts the review process annually using panels of independent experts in assessment, who evaluate assessments according to the process outlined in 34 CFR Part 462 (see *Federal Register*, Vol. 73, No. 9, January, 14, 2008). A list of tests determined suitable for use in the NRS is published annually in the *Federal Register*. The following sections summarize the criteria used to evaluate assessments for measuring educational gain for the NRS.

Intended Purpose of the Instrument

Generally speaking, tests or other assessment instruments are not inherently valid or invalid; rather, their validity hinges on how they are used. Assessments that measure educational functioning level gain should be designed to measure the development of basic English literacy and language skills through pre- and posttesting. This is not to say that tests developed and validated for one purpose can never be used for different purposes, only that the converse should not be taken for granted either. Moreover, it is usually true that the greater the difference between the intended purpose underlying the development of a given instrument and that associated with the needs of the NRS, the less likely that the instrument will be suitable for the NRS, regardless of its validity with respect to its original purpose.

Procedures Used to Develop/Maintain the Instrument

Relevant information associated with the test development process includes such details as the nature of the sample to which the assessment was administered for the pilot or field testing (e.g., How many examinees were administered each item? Were any measures taken to ensure the motivation of the examinees? From what population were the samples drawn?), and what steps were taken to ensure the quality of the items (e.g., How were items screened for fairness and sensitivity? How were they screened for psychometric quality?). With respect to the former, it is of particular relevance to ascertain the similarity of the samples used to develop the instrument with that of the adult education population. The greater the similarity between the samples used in developing the instrument and the population of interest to the NRS, the greater the likelihood that the results associated with those samples will generalize to that population.

Other information associated with the processes used to maintain the assessment that States should consider include the rate at which new forms are developed, the steps taken to ensure their comparability with existing forms, and the extent to which security is maintained. It is essential that multiple forms of each instrument be available, that scores associated with these forms be equivalent in meaning, and that the security of the forms be maintained at all times.

Matching Instrument Content to NRS EFL Descriptors

Validity is concerned with the *accuracy* of measurement; in other words, the extent to which the instrument measures what it is intended to measure. *Content validity* of an assessment is the extent to which the items and tasks of the instrument cover the domain of interest. For the NRS, the domain of interest is comprised of the skills used to describe the EFLs for ABE and ESL. To establish the content validity with respect to the requirements of the NRS, there must be evidence that the items and tasks of that instrument measure the skills associated with the EFLs (and, by the same token, do not measure skills not associated with the levels).

Typically, content validity is established by the judgments of subject matter experts (SMEs). For instance, a panel of such experts might be asked to judge the extent to which the items and tasks of a given instrument require the types and levels of skills described for a particular EFL. In general, the greater the judged overlap between the content of the instrument and the skills associated with a given level descriptor, the greater the content validity of the instrument with respect to its use as a measure of educational attainment at that level. It is important to point out that the content validity of a given instrument may vary with respect to different EFLs; that is, it may provide adequate coverage of the skills associated with some levels but less than adequate coverage of the skills associated with other levels. Finally, it should be noted that the usefulness of content validity evidence is directly proportional to the quality of the judgments provided. Consequently, the test publisher should establish the credentials of the SMEs whose judgments were obtained, including their familiarity with adult education and the NRS levels, along with information regarding the number of experts used and the degree of agreement among them, both by skill and level.

Matching Scores on the Instrument to NRS EFLs

The assessment must provide a way to translate scores on the assessment to the NRS EFLs and the method used to establish this translation. States also should review the adequacy of the procedures used to establish the translations and the degree of uncertainty (or error) associated with them. The process used to identify the level of performance on a given instrument that is associated

with a given level of achievement in some domain is generally referred to as *standard setting*. Although there are many different approaches to standard setting, most rely heavily on the judgments of SMEs. It is important for the test publisher to report the credentials of the experts making the standard-setting judgments, the number of experts used, and their degree of agreement. The latter information is directly related to the degree of error associated with the final translations and indicates the extent to which the cut scores to the NRS might be expected to differ if they had been established by a different (though similar) panel of experts. The greater the degree of agreement is among experts, the greater the amount of faith that can be placed in the resulting translations.

Reliability/Classification Consistency

Reliability refers to the degree of consistency in performance on an assessment; that is, the extent to which an examinee would be expected to perform similarly across multiple administrations of the instrument or under different conditions. An important condition that can differ across administrations of a particular instrument to be used for the NRS is the form of the instrument administered. More specifically, because educational gain is determined as a function of the difference between an examinee's pre- and posttest performance *as measured on different forms of the instrument*, it is essential to review the test publisher's information regarding the expected similarity of performance across forms in the absence of instruction or other external interventions. The greater the similarity in performance across forms, the greater the *alternate forms reliability* of the instrument and the stronger the inference that improvements in performance between pre- and posttesting is attributable to something other than measurement error associated with differences across forms.

Note that alternate forms reliability information should be provided for both the raw (or number correct) scores associated with the assessment being reviewed and the translated NRS EFL classifications. It is the consistency with which examinees are classified into the EFLs that is the most important consideration for determining the appropriateness of the instrument for use in the NRS because it is movement across the classifications that forms the basis for evaluating educational gain. Also, because the consistency of performance measurement may vary with respect to EFLs, information regarding classification consistency should be reported for each level that the instrument is being considered for use in measuring educational gain. Last, it is important for the test publisher to provide information regarding the nature of the sample used to estimate the reliability of the instrument because the greater the differences between the sample and the target population (e.g., ABE participants), the less generalizable the reliability estimates will be.

Construct Validity

Other types of validity information that are important in determining the appropriateness of a given instrument for measuring educational gain for the NRS fall under the global heading of *construct validity*. This includes convergent validity.

Convergent validity concerns the extent to which the scores on the instrument are related to scores on other instruments designed to measure the same or very similar constructs. States should review information provided by test publishers regarding the degree of relationship between examinee performance on their instrument and performance on one or more other measures currently approved for measuring educational gain in the NRS. This information should be provided with respect to the raw scores associated with the assessment and with the corresponding NRS EFL classifications. Likewise, information should be provided regarding the nature of the sample from

which the data were collected to determine the extent to which the results are likely to generalize to the population of interest.

Other types of information that States should consider to evaluate the construct validity of an assessment include evidence regarding the extent to which scores on that instrument are free from sources of variance not relevant to the skills the assessment measures, such as practice effects or cultural-based knowledge, and the extent to which performance on the assessment is related to other variables that it should be related to, such as hours of instruction or other important outcome measures (e.g., attainment/retention of employment and acquisition of academic credentials).

The foregoing is not meant to be an exhaustive list of the types of information that might be provided by a test publisher in support of the validity of a given instrument, nor is it meant as a list of information that must be provided. Rather, this discussion is intended to suggest to States the kinds of information that would be considered relevant in determining whether a particular instrument is appropriate, valid, and reliable for measuring educational gain as a result of participation in an adult education program. Exhibit 2.3 summarizes the considerations for evaluating assessments.

Placing Participants in EFLs

To assist in student placement decisions, test benchmarks are provided for each NRS educational functioning level. You may find a list of approved tests along with the test benchmarks in the "Test Benchmarks for NRS Educational Functioning Levels" document, which is available on this NRS web page https://nrsweb.org/training-ta/ta-tools/assessment. These test benchmarks are provided as examples of how participants at each educational functioning level would perform on these tests. However, the tests should not be considered equivalent and do not necessarily measure the same skills. Please see the Federal Register for a list of tests and test forms determined to be suitable for use in the NRS or ask an OCTAE staff member for a link to the latest notice.

The NRS requires that local programs assess and place all participants into an EFL at intake. Programs should administer the initial assessment at intake or as soon as possible thereafter, and administer follow-up or posttest assessments according to State policy. The follow-up assessment should occur after a set instruction time, either in hours (e.g., after 50 hours of instruction) or months but must conform to the test publisher's guidelines for the amount of time needed for a participant to show a meaningful gain.

Use of Different Assessment Forms

Assessments designed for multiple administrations on the same participants, such as for pre- and posttesting, have different but equivalent versions or forms. Local programs must pre- and posttesting using different forms, unless testing conditions specify otherwise according to the test publishers' guidelines. In addition, some tests, such as TABE, have different forms for proficiency levels, designated as "easy" and "hard," for example. When using such a test, programs must follow the test publisher's guidelines in selecting the correct test form for each participant.

Exhibit 2.3
Considerations for Evaluating Assessments Used for Measuring Educational Gain

What is the intended purpose of the instrument?

a. What does the instrument's technical manual say about the purpose of the instrument, and how does this match the requirements of the NRS? (The NRS requires that instruments allow examinees to demonstrate their level of skills represented in the educational functioning level (EFL) descriptors. The NRS also requires instruments that include multiple parallel forms, so that gains in educational functioning can be demonstrated.)

What procedures were used to develop and maintain the instrument?

b. How was the instrument developed? (How similar was the sample[s] of examinees used to develop/evaluate the instrument for the population of interest to the NRS? What steps, if any, were taken to ensure their motivation while responding to the instrument? To what extent have items/tasks on the instrument been reviewed for fairness and sensitivity? To what extent have they been screened for adequacy of psychometric properties? Does the instrument have multiple forms?)

c. How is the instrument maintained? (How frequently, if ever, are new forms of the instrument developed? What steps are taken to ensure the comparability of scores across forms? What steps are taken to maintain the security of the instrument?)

Does the assessment match the content of the NRS EFL descriptors?

d. How adequate are the items/tasks on the instrument at covering the skills used to describe the NRS EFLs? Are aspects of a given descriptor not covered by any of the items/tasks? Are there items/tasks not associated with any of the descriptors? (Note: It is possible for an instrument to be appropriate for measuring proficiency at some levels but not at others.)

e. What procedures were used to establish the content validity of the instrument? How many subject matter experts (SMEs) provided judgments linking the items/tasks to the EFL descriptors, and what were their qualifications? To what extent did their judgments agree?

Can the scores on the assessment match the NRS EFLs?

f. What standard-setting procedures were used to establish cut scores for transforming raw scores on the instrument to estimates of an examinee's NRS EFL? If judgment-based procedures were used, how many SMEs provided judgments, and what were their qualifications? To what extent did their judgments agree?

g. What is the standard error of each cut score, and how was it established?

Is there evidence of reliability and classification consistency?

h. What is the correlation between raw scores across alternate forms of the instrument? What is the consistency with which examinees are classified into the same NRS EFL across forms?

i. How adequate was the research design that led to these estimates? (What was the size of the sample? How similar was the sample used in the data collection to that of the adult education population? What steps were taken to ensure the motivation of the examinees?)

Has construct validity of the assessment been demonstrated?

j. To what extent do scores (and/or educational functioning classifications) associated with the instrument correlate (or agree) with scores or classifications associated with other instruments already approved by the U.S. Department of Education for assessing educational gain? To what extent are they related to other relevant variables, such as hours of instruction or other important process or outcome variables? How adequate were the research designs associated with these sources of evidence?

k. What other evidence is available to demonstrate that the instrument measures gains in educational functioning resulting from adult education and not some other construct-irrelevant variables, such as practice effects?

Pretest Administration Time

The initial assessment is the basis for placing participants in an entering EFL according to NRS or State definitions. It is the baseline on which programs measure learning gains. Programs should administer the initial assessment to participants at a uniform time shortly after enrollment. This time should be set by State policy and apply to all participants to improve test comparability among participants. If available, programs should administer a locator test to determine the appropriate pretest to use.

Placement Policy Based on Initial Assessment

Using the results of the initial assessment, programs should place participants at the appropriate NRS EFL or the equivalent State level. States should provide to local programs the criteria for placing participants at each EFL, using test scores from the initial assessment. Not all of the skill areas described in the level descriptors need to be used to place participants, but the skill areas assessed should be in the areas most relevant to participants' needs and the program's curriculum. If multiple skill areas are assessed and the participant has differing abilities in each area, the participant need not be placed in the lowest area of functioning, but the program may determine the appropriate placement level based on the assessment, according to State policy. However, once determined, this placement level is locked in for the participant as the basis for reporting in the program year.

Established Time for Posttest

Just as programs should administer the initial assessment to participants at a uniform time, the State also should establish a time for posttesting in accordance with the test publisher's guidelines. This time is normally after a set number of instructional hours and should be long enough after the pretest to allow the test to measure gains. As noted earlier, local programs must conduct posttests with the parallel form of the same assessment used to place the participant, unless testing conditions specify otherwise according to the test publishers' guidelines.

Level Advancement Policy Based on Posttest

Educational gain is determined by comparing the participant's initial EFL with the EFL measured by the posttest in *any subject area* in which the participant was pretested. EFL gain is not limited to the subject in which a participant's initial placement level is set. Gains may occur in any subject in which an initial EFL was assigned and posttesting occurs. It is important to note that if a participant is not posttested, no advancement (via pre-/posttesting) can be determined for that participant. The participant must remain in the same level as initially placed for NRS reporting.

Staff Training on Administration of Assessments

The State should ensure that all local program staff who administer assessments receive training on proper administration procedures. Such training should be provided on an ongoing basis to accommodate new staff and as a refresher to staff who had earlier training. These procedures should include the steps outlined above (i.e., use of the correct form of the assessment and administration at the proper time) and follow the publisher's procedures for giving directions to participants, timing the assessment, and not providing help to participants. Assessments should be

administered under suitable conditions (e.g., in a well-lit, quiet room). Exhibit 2.4 summarizes assessment guidelines for measuring educational gain for the NRS.

Exhibit 2.4
Summary of Assessment Guidelines for State Policy in Measuring Educational Gain

• Designate standardized assessments.
• Designate use of different forms or versions of the assessment at each administration when required.
• Establish a uniform time to administer the initial assessment.
• Develop procedures for participant placement based on the initial assessment.
• Establish a uniform time for the posttest based on the test publisher's guidelines.
• Develop a level advancement policy based on the posttest or follow-up assessment.
• Train staff in administrating the assessments.

Measuring MSG Through Carnegie Units

Another method for determining EFL gain for MSG is the completion of Carnegie Units awarded by an adult high school. An adult high school is a credit-bearing secondary education program sanctioned by State law, code, or regulation that leads to a secondary school diploma or equivalent. States that offer adult high school credit programs (including adult high schools) may measure and report EFL gain through the awarding of credits or Carnegie Units. Participants earning credits or Carnegie Units in high school-level courses can complete ABE Level 5 by earning enough credits to move to 11th- or 12th-grade status (ABE Level 6) as determined by State rule or policy. Participants who enter an adult high school program at an 11th/12th-grade level (as determined by State rules pertaining to credits held) are placed in ABE Level 6 regardless of NRS test score. Adult participants can complete ABE Level 6, and thus achieve an MSG, by earning enough credits to satisfy the requirements for high school graduation as determined by State rule or policy.

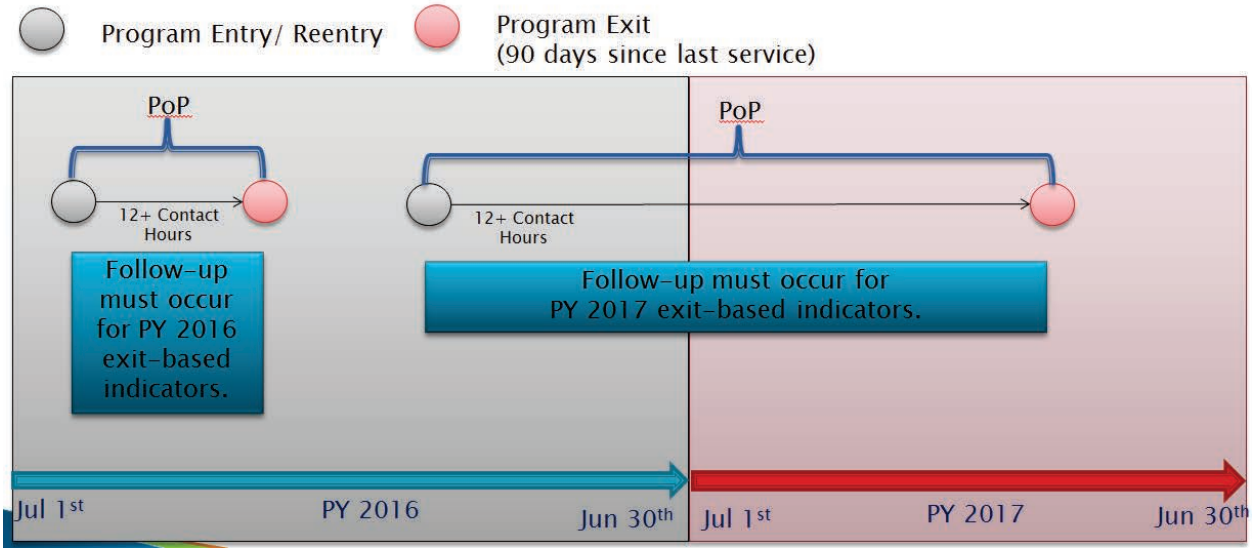
PERIODS OF PARTICIPATION

State performance on all core outcome measures under WIOA (except median earnings) is calculated as a percentage of the number of outcomes achieved by the number of periods of participation (PoPs) of each participant (see Appendix A for calculation formula). A PoP begins each time a participant (an individual with at least 12 contact hours) enrolls in adult education and then exits the program—even when multiple enrollments occur during the same program year. Subsequent enrollments and exits during a program year result in a new period of participation. Therefore, a participant may have more than one period of participation in a program year. If the participant does not exit, the PoP remains active. See *Entry and Exit* on the next page and Appendix A for a definition of exit.

For example, a participant who enters in September, exits in December, reenrolls in May, and exits in June has two PoPs. A participant who exits without reenrolling has one PoP, as does a participant who enrolls only once and remains enrolled at the end of the reporting period. Each PoP is counted separately and outcomes are counted for each period of participation. Therefore, a participant may be counted multiple times – once for each period of participation. Exhibits 2.5

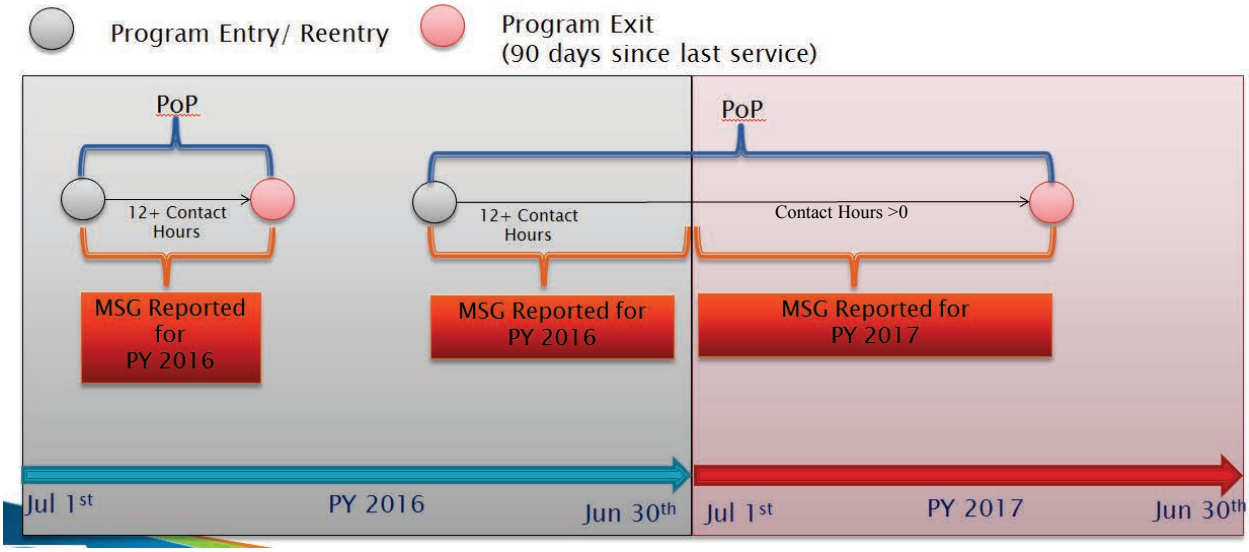
illustrates PoP and its effect on the exit-based primary indicators of performance and Exhibit 2.6 illustrates PoP and its effect on MSG.

Exhibit 2.5. Periods of Participation (PoPs): Exit-based Primary Indicators of Performance



The MSG indicator is not exit-based, so each participant's program entry, or the start of a new program year (assuming the participant has contact hours greater than zero to show he/she attended in the new program year), initiates a new reporting period for MSG. The reporting periods for MSG end with either a program exit or the end of a program year.

Exhibit 2.6. Periods of Participation (PoPs): MSG Indicator



Entry and Exit

All participants have at least one period of participation, starting with their first enrollment in the program year and ending with their program exit. Subsequent periods are counted by reentry and exit. The exit date is the last day of service for participants, but this date cannot be determined until 90 days have elapsed since the person last received services and there are no future services planned. However, if there is no exit across a program year, the PoP continues into the next program year and MSG is reported for the new program year, as illustrated in Exhibit 2.6. See Appendix A for definitions of exit, entry, and other terms related to performance indicators.

PoPs and Pre- and Posttesting

At entry into each PoP, a participant must be placed in an NRS EFL on the basis of an assessment approved for use in the NRS. EFL placement in a new PoP can carry over from a prior period or a new placement test may be administered. However, it is important to note that policy and procedures for assessing participants should not change because of PoPs. Proper assessment practices should always be followed.

Policies and procedures regarding the assessment of individuals who return after an exit or an extended absence must be detailed in the State's assessment policy and those policies and procedures must follow test publishers' guidelines, when available. If the test publisher does not have retesting guidelines for returning participants, the State must establish a policy for retesting that local programs must follow. This policy will provide uniformity to testing practices within the State. After a participant is placed in an EFL in the new PoP, either by a new assessment or carryover from a prior assessment, a new posttest must be given in order to achieve an EFL gain (by pre-/posttesting) in the new PoP.

For example, a participant who enters in July and achieves an EFL gain, as measured by pre- and posttest, and exits in November would have one PoP and would be reported as a success for MSG once. If this same participant reenters in March,[5] achieves an EFL gain as measured by pre- and posttest, and remains in the program through June 30, then another MSG would be reported, even though an exit did not occur. On NRS Table 4, the State would count two PoPs and two MSG achievements (one for the PoP from July–November and one for the MSG reporting time frame of March–June) for this participant.[6]

Exit from PoP without posttesting. As discussed previously, MSG may be attained in multiple ways. However, if a participant is being assessed for an EFL gain using pre and posttest scores and exits the program without a posttest, that participant may later reenter the program in a new PoP in the same program year. In this instance the test administered at entry in the second PoP may be used to record a completion of an EFL in the previous PoP under the following conditions.

[5] As explained in the previous paragraph, this participant would be retested upon reentry if the time lapse between entries is longer than the required time for pretesting under the State assessment policy. The program would place the participant in the appropriate EFL, based on the results of the assessment.

[6] Note that in NRS Table 4, States also report *unduplicated* counts for each participant, so that this participant would be counted *only* once as an individual but also as having two PoPs and two assessments of MSGs.

1. The participant **had** enough hours to posttest (according to state policy and test guidelines) and the participant had already qualified to posttest based on state policy and test guidelines. The test given upon reentry may be used as the pretest for PoP2 *and* as the posttest for PoP1. EFL gain may be counted for PoP1, if a gain is achieved.
2. The participant did **not** have enough hours to posttest in the first PoP (according to state policy and test guidelines) but receives enough instructional hours for posttesting in the second PoP by combining hours in the first and second PoPs and is then posttested. This test serves as the pretest for PoP2 *and* as the posttest for PoP1. An EFL gain, if achieved, is counted in PoP1. Assessing EFL gain in PoP2 requires another test after the participant receives sufficient instructional hours for a posttest.

Employment and Credential Indicators

Every PoP is treated as a separate event for a participant, and post exit performance indicators apply separately to each PoP. This means that for each PoP, the State must collect data on the appropriate post exit indicators. Each exit date from a PoP is used to determine the follow-up time. For example, if a participant exits in December, reenrolls in April, and exits again in June, the State would report on appropriate post exit indicators for both exits. The second-quarter employment outcome, for example, would be reported in the April through June quarter for the December exit and in the following October through December quarter for the June exit. States report in Table 5 both PoPs and all applicable indicators for both PoPs.[7]

COLLECTING POST EXIT INDICATORS: DATA MATCHING

States collect data on the WIOA performance indicators, with the exception of MSG, after participants exit the program. The timeframe for collecting post exit indicators is specific to each indicator. For example, States would determine employment in the second and fourth quarters after exit for all participants who were not subject to the exclusions specified in Attachment 2, Tables A and C, of the joint performance accountability guidance (OCTAE Program Memorandum 17-2). Exhibit 2.7 summarizes the time period when the data must be collected and the participant population to which each indicator applies.

To collect these data, most States will match data from extant data sources, such as State unemployment insurance (UI) records, community college enrollment databases, and State education agency databases. For data not available through these sources, States can collect data through surveys, as explained later in this chapter. The joint guidance also permits other supplemental wage information data collection via a variety of methods for reporting participants' employment status and earnings (see OCTAE Program Memorandum 17-6).

Data Matching

Data matching refers to the procedure where two or more State agencies pool or share data on a common group of participants. The data consist of individual participant records collected by each

[7] As with Table 4, States also report in Table 5 unduplicated counts of participants and outcomes for each measure.

of the agencies that can be linked through a common identifier, typically a Social Security number. Matching the data using the common identifier produces a new individual participant record or a data report containing data from one or more of the additional agencies. Each agency can use the new, pooled data records or reports to understand the impact of the program on participants and to obtain data to meet its reporting and accountability requirements.

Data-matching methods are particularly well suited for studying outcomes that occur after program participation ends. For example, UI systems can indicate the employment status of participants and their earnings after they exit.

Exhibit 2.7
Participants and Data Collection Period for Performance Indicators

WIOA Indicator	Participant Population to Include	Data Collection Period
Employment in second quarter after exit	All participants, except those incarcerated at entry who remain incarcerated or those who exit due to extenuating circumstances listed in the *Exclusions* section, who exit during the program year	Second quarter after exit
Employment in fourth quarter after exit	All participants, except those incarcerated at entry who remain incarcerated or those who exit due to extenuating circumstances listed in the *Exclusions* section, who exit during the program year	Fourth quarter after exit
Median earnings, second quarter after exit	All participants who are employed in the second quarter after exit	Second quarter after exit
Credential indicator • Obtained a secondary school diploma during participation or within 1 year of exit; obtained employment or entered postsecondary education within 1 year of exit • Obtained a postsecondary credential during participation or within 1 year of exit	Participants who entered the program without a secondary school diploma or equivalent who were enrolled in, or advanced to, a secondary level program who exit during the program year, excluding those incarcerated at entry who remain incarcerated or those who exit due to extenuating circumstances listed in the *Exclusions* section	For obtained secondary school diploma: During participation or at any time within 1 year after exit For obtained employment or entering postsecondary education: Any time within 1 year of exit
	All participants coenrolled in adult education and a postsecondary education program who exit the postsecondary program during the program year, excluding those incarcerated at entry who remain incarcerated or those who exit due to extenuating circumstances listed in the *Exclusions* section.	During participation or at any time within 1 year of exit

* For all measures, the exit quarter is the quarter when the participant completes instruction or has not received instruction for 90 days and has no instruction scheduled. Each period of participation must be counted as a separate period, as explained in the PoP section above. For further information on definitions and participants to include for each indicator, see Appendix A.

Several reasons make data matching an attractive option for follow up. The first major advantage of data matching is that it is significantly less costly than other methodologies, such as conducting a survey. The costs of conducting a survey—drawing a sample, training interviewers, making phone calls—are replaced with the much-reduced cost of combining, cleaning, and analyzing the data. Furthermore, this cost can be divided among the participating agencies.

The second major advantage of data matching is reduced data collection burden. At the local program level, staff no longer need to conduct survey or other supplemental procedures. Local programs collect only the demographic, participation, and EFL information. Matching can then be done at the State level.

Third, matched data are likely to be more valid than those collected through surveys, other self-reported means, and some supplemental wage collection methods. . For example, the UI database would reveal whether participants have actually received income from work. Finally, response rates for surveys are typically low, limiting the amount of information available on a substantial percentage of participants. With data matching, considerably fewer participants are missed, provided each agency has valid Social Security numbers. However, the need for Social Security numbers makes data matching problematic in some States because State policy does not allow them to be collected. In addition, some States have significant barriers to interagency sharing of Social Security numbers, and some participants are reluctant to give such information to government agencies. However, consent forms can alleviate confidentiality issues as do FERPA exceptions.

Data-Matching Models

With data matching, each participating agency collects a common set of demographic and descriptive information on its participants, dates of program participation, a common identification number (e.g., Social Security number), and the outcome measures specific to its program. All measures that are shared among the agencies need to have common definitions for the resulting analyses and reports to be meaningful for agencies.

There are several methods for conducting data matching. One is often referred to as a *data warehouse* model.[8] With this approach, each agency submits to a central source or "warehouse" its individual client records containing the data to be shared. Within the warehouse, data are combined into a single data pool, duplications are eliminated, and data are cleaned. This data pool is then available to the individual agencies, which can request specific tables and reports. The reports are usually in aggregate form at the State, program, and site levels, although individual data reports can be produced. Local program providers also can request reports through their agencies.

Under another decentralized approach is a *linked* data system, where each agency maintains its own data records and each separate agency requests data matches from the agency with the needed data. To match with an outside agency, the requesting agency sends to the other agency the records containing Social Security numbers and other data needed for the analysis, along with the format of the data tables needed. The other agency makes the matches and reports the data in the requested format.

[8] There are several typologies of data matching that fall into the three types described here, as well as unified data systems. For further discussion, see *NRS Guide to State Longitudinal Data Systems*, pp. 12–18, and *Information on Planned Changes to State Performance Reporting and Related Challenges,* GAO 16-287, p. 18.

For example, to obtain secondary school diploma test results of participants, the State adult education agency would send program information, social security numbers, and demographic information on those participants to the other State agency that conducts testing for the credential. The testing agency matches the records to produce a report on the number and characteristics of participants who have passed the tests. The State adult education agency could then use this information in its annual NRS reporting. Exhibit 2.8 illustrates data warehouse and linked data system models.

Other approaches include a *federated* system, where agencies share pooled data and an *integrated* data system of all partner agencies. With an integrated system, all providers under WIOA would use the same intake and data system, and a single interagency database is created. With this system, all data would be available in a single source.

For any type of data-matching approach, incorrect or missing Social Security numbers affect the availability of data. This problem can be substantial if participants refuse to provide their Social Security numbers or supply incorrect numbers. Legal barriers to collecting Social Security numbers also pose a significant barrier to this methodology. Another issue affecting data analyses with data matching is the time lag from the end of the reporting period to the point at which the data are available. It often takes two or more quarters for all of the data to be available. In States using data matching, the time lag ranges from one quarter to a year. For example, if a participant leaves the program in February, employment would need to be measured two quarters after exit (July–September). WIOA reporting requirements take this lag into account, as explained later in this chapter and in Appendix C. However, the time lag means that analyses linking the exit-based indicators to participants must be conducted many months after the participant has exited.

Implementing Data Matching

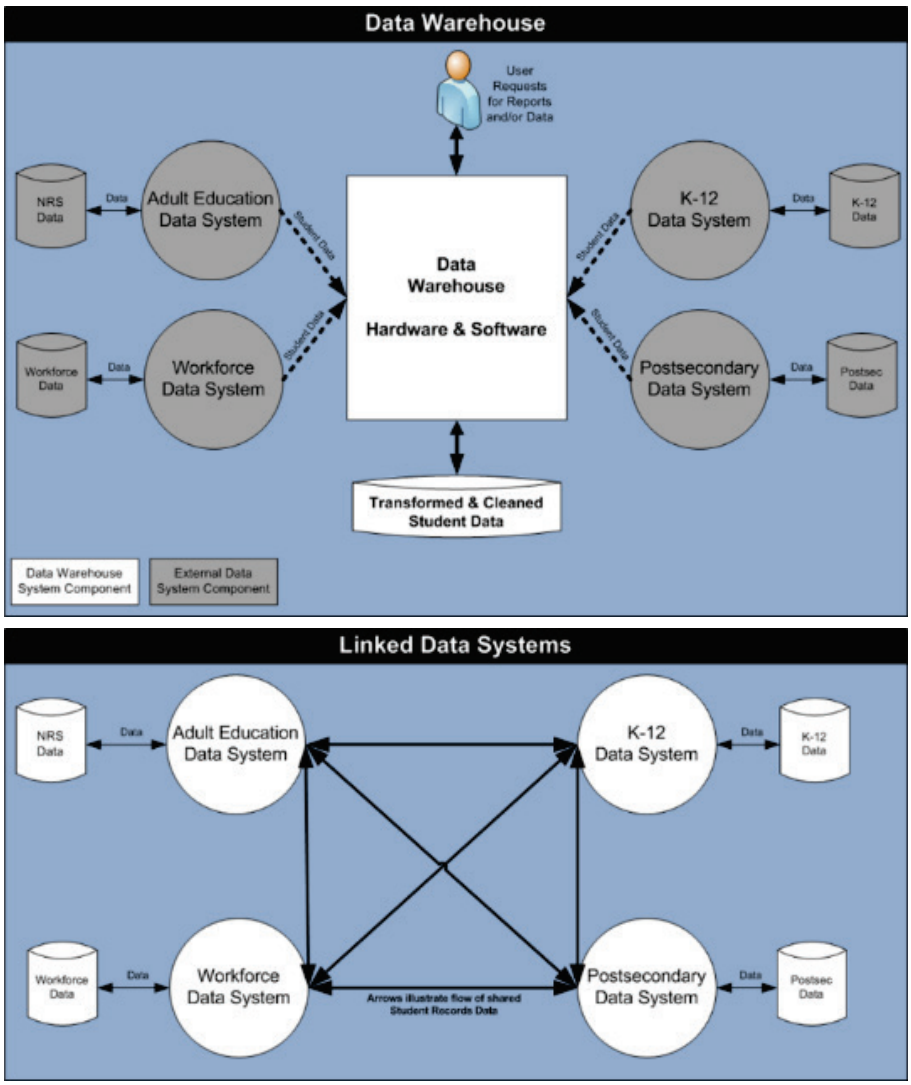
Data-matching arrangements can be difficult to establish and require considerable time to implement. With WIOA requirements for interagency partnering and joint accountability requirements, all partner agencies have an interest in developing data matching and data sharing agreements. An essential requirement is for each agency to have an individual participant record system. It is not necessary, however, that each agency use the same record system or software, only that the software used by each agency produces information in a common format to allow data matching.

Beyond the basic planning and infrastructure needs, there are three conceptual problems that need to be surmounted to develop shared data arrangements:

- Common data definitions
- Concerns about data confidentiality
- Training and technical assistance

The management information system (MIS) must have common definitions for measures that are shared. Under WIOA, partnering agencies have developed these common definitions for reporting. Care must be taken, however, to ensure that the definitions agreed upon maintain their fidelity during local data collection and reporting.

Exhibit 2.8. Data Warehouse and Linked Data System Models



States using data matching must comply with the Code of Federal Regulations (CFR), Title 34, Part 99–Family Educational Rights and Privacy Act. The regulations in 34 CFR §99.31, which were published on December 2, 2011, articulate the specific conditions under which information may be disclosed or shared. States with privacy issues related to sharing Social Security numbers or other unique identifiers and against sharing educational records must resolve these issues before data matching can be used for NRS and WIOA reporting.

Finally, training and technical assistance at the local level is needed to develop a system that produces valid and reliable data. Training needs to be provided to State and local staff who handle the data on measure definitions, data collection and reporting, and data use. Training can also produce buy-in to the whole data collection and analysis process and can help elicit the cooperation of teachers, local staff, and other stakeholders who might be skeptical about the accountability system. The training also can supply local providers with an idea of how the data are used at the State level, and how providers can use them to improve their programs.

Technical Tips for Data Matching

Data matching is a technical process that requires the data system to produce specific data in a required format. To conduct this process, the State must have a database able to perform the functions described in this section.

Procedures to Collect and Validate Unique Identifiers

Data matching works by pairing records from different databases for the same participant using a common identifier—usually a Social Security number but it can be some other unique identifier (e.g., name, birthdate, and zip code). Consequently, a valid Social Security number or unique identifier must be obtained for all participants whose data is in the data matching pool. This number is usually collected at intake and, in some States and localities, participants need to be informed about the use of their numbers for this purpose. Some States may require written permission. It is critical to obtain Social Security numbers or unique identifiers because without them, data cannot be matched and outcomes cannot be reported. Similarly, there must be a process to verify the validity of Social Security numbers or unique identifiers for matching. The State or local program database must be able to produce a report to identify participants with missing, erroneous, or duplicate Social Security numbers or unique identifiers.

Common Format for Matching

There are several ways to perform data matching, and all techniques rely on software to link multiple databases and produce the number of matches for each outcome area. To perform these operations, the software requires State and local data to be in a specific format that includes the location, size, and name of each variable, as well as the technical format in which the local program database is to write the data. States must ensure that program databases can produce the data according to States' specifications and that local programs submit data in this format or in a way that they can be converted to this format. The U.S. Department of Labor, which uses an individual data record system for all providers, has established formats in its Participant Individual Record Layout (PIRL). However, adult education programs do not need to match the layout specified in the PIRL. Instead, local programs will use the format required by their State adult education agency.

Time Period for Data Matching

The State should have a standard time period for data submission, such as quarterly or monthly. Data submitted for matching should include the exit data for the correct exit quarters according to NRS definitions. Each period of participation must be included for each individual participant. There also should be checks to ensure that local data do not include participants who are still enrolled or those who exited in other time periods.

Data System Produces Individual Participant Records

Successful data matching requires individual participant records with three pieces of information: (1) a Social Security number or unique identifier, so that data can be linked across databases; (2) the outcome measure applicable to the participant (e.g., employment) or separate files for each participant with each outcome on which data will be matched, so that the participant can be matched with the correct database; and (3) the exit quarter for each period of participation. The

database must be capable of producing records with at least this information and in the State's required format, as discussed previously.

COLLECTING THE FOLLOW-UP MEASURES: SURVEY METHOD

For States that cannot data match, or to supplement data not available through data matching or other sources, the NRS offers a second method for collecting the follow-up measures: a local program follow-up survey. States may use either method, or a combination of both, to collect measures. The recommended approach to collecting data for the exit-based primary indicators of performance, especially the employment indicators, is to conduct the survey quarterly (see Exhibit 2.9). When quarterly data collection is conducted, the survey should begin during the last month of the quarter and be completed within 3 months (one quarter). The time lag to contact participants after they exit the program, however, should be as short as possible. The longer the time lag is, the greater the likelihood of a lower response rate will be.

Most state and local staff consider conducting the follow-up survey the most difficult aspect of NRS data collection. It is difficult to conduct a survey in a way that produces valid and reliable results. The process includes determining which participants you must include in the survey, locating them and securing their cooperation, and administering the survey. Locating adult education participants is especially difficult, given the transient nature of many adult education participants. The procedures described below will assist States in conducting a valid survey.

Exhibit 2.9
Quarterly Periods for Collecting Employment and Earnings Indicators

Exit Quarter	Collect Second-Quarter Employment and Earnings* by the End of:	Collect Fourth-Quarter Employment by the End of:
First Quarter (July 1–September 30)	Third Quarter	First Quarter, Next Program Year
Second Quarter (October 1–December 31)	Fourth Quarter	Second Quarter, Next Program Year
Third Quarter (January 1–March 31)	First Quarter, Next Program Year	Third Quarter, Next Program Year
Fourth Quarter (April 1–June 30)	Second Quarter, Next Program Year	Fourth Quarter, Next Program Year

*Earnings collected to calculate median only for participants employed in the second quarter after exit.

Method for Identifying Follow-up Participants

The local program's database must have the ability to identify participants who should be followed, including (1) all participants in the group applicable to each measure (see definitions), (2) participant identification number and contact information, (3) the follow-up outcome that applies to the participant, and (4) the date that the participant exited for each PoP. This information needs to be retrievable quarterly or according to the time when surveys are to be administered.

State Survey Instrument

In any survey, how the questions are asked may influence the responses. Therefore, it is important that the survey questions asked do not bias or affect responses. For comparability of data among programs in the State, it also is highly advisable that all programs in the State use the same or equivalent survey instruments. The State should provide all programs with a standard survey questionnaire that is short and simple. It is not necessary to have a long or complicated survey to collect NRS measures. For example, it is only necessary to ask if the person got a job or entered postsecondary education. In addition, the survey should be translated into the most common languages spoken by participants in local programs. Appendix D provides model surveys and procedures for conducting a follow-up survey. These models are offered for consideration by States and are *not* required.

Local Resources to Conduct Surveys

Conducting a survey is labor intensive. Besides administering the survey, participants must be located, the survey needs to be explained to them, and their cooperation must be obtained. This work requires frequent calls to participants and careful recordkeeping. States should ensure that local programs have sufficient staff and time to conduct the survey. Another approach is to have the survey conducted for all programs centrally at the State level, either by State staff or through a contract with a third party. This approach removes much of the burden from local programs.

Staff Trained on Surveying

Like any other data collection effort, staff must follow a uniform set of procedures to collect data in a valid and reliable manner. Staff conducting the survey must be trained in its administration, including what to say to participants to introduce the survey and obtain their cooperation, ways to avoid refusals, how to ask the survey questions, how to record responses, and how to answer participant questions about the survey. Staff should be thoroughly familiar with all questions and procedures before beginning.

Procedures to Improve Response Rate

The validity of a survey depends in part on the response rate—the proportion of people who respond to the survey out of the total number targeted for the survey. Getting a good response rate is probably the most difficult part of conducting a survey, and it may be especially hard for adult education participants because many are transient and may not have telephones or are otherwise difficult to locate.

To help improve the response rate, it is important that participants know they may be contacted later and asked about their outcomes. Programs should inform participants at program entry about the survey and collect extensive contact information about them, such as addresses and phone numbers of relatives or others who may know the participants' whereabouts over time. In addition, participants should be encouraged to provide new addresses and phone numbers when they move, and programs should implement procedures to update this information periodically while participants remain enrolled. These procedures can greatly assist in locating participants months later when the survey is conducted. States should provide local programs with additional technical assistance to improve response rates.

Database and Procedures for Survey Reporting

The State or local programs need a database to keep track of which participants are to be contacted for the survey, which participants have been reached, and whether participants achieved the outcomes. This information is needed to conduct the survey and track response rates. The State needs the information so it can aggregate the data among programs for NRS reporting. The State must report to ED the overall State percentage of participants who achieved each of the follow-up outcomes.

To compute the State's overall measures for each outcome, the State has to aggregate each of the measures from every local program to compute an average. Therefore, each local program that conducts a survey must report to the State to enable computation of the State average of the total number of participants in each indicator group who exited during the year and the number of participants who achieved each outcome.

Exhibit 2.10 summarizes the guidelines for conducting the follow-up survey.

Exhibit 2.10
Summary of Follow-Up Survey Guidelines

1.	Develop a method for identifying participants to contact for follow-up.
2.	Conduct the survey at a proper time.
3.	Ensure that the State has a uniform survey instrument.
4.	Train staff to conduct the survey.
5.	Identify local resources available to conduct the survey.
6.	Implement procedures to improve response rates.
7.	Ensure that the State has a database and procedures for survey reporting.

Supplemental Wage Information

For states that do not have a participant's unique identification number, such as a Social Security Number, or do not conduct UI wage data matches, OCTAE Program Memorandum 17-6 (Appendix A) describes sources of supplemental wage information and wage data for reporting. Acceptable forms of supplemental wage information include, but are not limited to, the following:

Tax documents, payroll records, and employer records such as:

- Copies of quarterly tax payment forms to the Internal Revenue Service, such as a Form 941 (Employer's Quarterly Tax Return)
- Copies of pay stubs (minimum of two pay stubs) or
- Signed letter or other information from employer on company letterhead attesting to an individual's employment status and earnings

Other supplemental wage records such as:

- Follow-up survey (self-reported) from program participants;
- Income earned from commission in sales or other similar positions;
- Detailed case notes verified by employer and signed by the counselor, if appropriate to the program;
- Automated database systems or data matching with other partners with whom data sharing agreements exist;
- One-Stop operating systems' administrative records, such as current records of eligibility for programs with income-based eligibility (e.g., Temporary Assistance for Needy Families (TANF) or Supplemental Nutrition Assistance Program (SNAP)); or
- Self-employment worksheets signed and attested to by program participants.

Time Lag for Reporting of Post exit Indicators

The post exit indicators require up to one year for follow up, after the participant exits. For example, a participant who obtains a secondary school diploma has up to one year after exit to obtain employment or enter postsecondary education to be counted as achieving the outcome. Consequently, reporting of these indicators will lag behind the reporting of MSG and other data reported on other NRS tables. The time lag for employment indicators is prolonged further because of the delay in data availability in the UI database, which is the database that States use most often to determine employment through data matching. Therefore, although States report all other data on participants who attend during the program year, the post exit indicators will be reported on some participants who were reported in previous program years.

Due to this time lag, States will not report outcome data for post exit indicators for program year 2016-17 (reported in October 2017) and will report only partial data for the fourth-quarter employment rate and the credential indicators for program year 2017-18 (reported in October 2018). Full data for all post exit indicators will not be reported until program year 2018-19 (reported in October 2019). Appendix C has further information about the time lag in reporting.

MEASURES OF BARRIERS TO EMPLOYMENT, DEMOGRAPHICS, AND PARTICIPATION

In addition to the WIOA primary indicators of performance, States are required to collect demographic and participation measures on participants. These measures are required for disaggregated reporting by participant characteristics on the WIOA joint statewide performance report and other NRS tables. Participation measures will allow for description of enrollment in programs and additional disaggregated breakdowns of participants. There also are descriptive measures for teachers. In this section we describe these measures and their reporting on NRS tables.

The NRS *descriptive* measures include participant barriers to employment, ethnicity, age, gender, highest educational level or credential attained, and labor force status. The descriptive measures for teachers are years of experience teaching adult education and types of certification obtained.

There are two *participation* measures—contact hours and program enrollment type—collected for both descriptive and analytic purposes. These measures record the number of instruction-related contact hours that participants receive and the number of participants who attend in different program areas, such as family literacy, correctional education, IET, and IEL/CE. These measures are defined by the instructional focus of the programs.

Participant Demographic Measures

Program staff collect demographic information directly from participants, upon entry into the program. Participants self-report these measures or staff may determine demographic measures through observation, when participants decline to self-identify. All demographic measures required by WIOA use the identical definitions and reporting categories as other WIOA partner programs, as described in the PIRL in the joint information collection (OMB 1205-0526).

Barriers to Employment

Definitions. WIOA requires each core program to report the performance indicators disaggregated by the following 11 barriers to employment. These barriers are presumed to affect placement of the participant in unsubsidized employment and are self-identified by the participant at entry into each PoP. Programs should report all categories to which the participant identifies.

- **Displaced homemaker**—The participant has been providing unpaid services to family members in the home and (a) has been dependent on the income of another family member but is no longer supported by that income; (b) is the dependent spouse of a member of the armed forces on active duty whose family income is significantly reduced because of (i) a deployment or a call or order to active duty pursuant to a provision of law, (ii) a permanent change of station, or (iii) the service-connected death or disability of the member; and (c) is unemployed or underemployed and is experiencing difficulty in obtaining or upgrading employment.
- **English language learner, low literacy level, cultural barriers**—The participant has either (a) limited ability in speaking, reading, writing, or understanding the English language; (b) an inability to compute and solve problems, or read, write, or speak English at a level necessary to function on the job in the participant's family or in society; or (c) a perception of him- or herself as possessing attitudes, beliefs, customs, or practices that influence a way of thinking, acting, or working that may serve as a hindrance to employment.
- **Exhausting Temporary Assistance for Needy Families (TANF) within 2 years**—The participant is within 2 years of exhausting lifetime eligibility under Part A of Title IV of the Social Security Act (42 U.S.C. 601 et seq.), regardless of whether he or she is receiving these benefits at program entry.
- **Ex-offender**—The participant is a person who either (a) has been subject to any stage of the criminal justice process for committing a status offense or delinquent act, or (b) requires assistance in overcoming barriers to employment resulting from a record of arrest or conviction.
- **Homeless or runaway youth**—The participant lacks a fixed, regular, and adequate nighttime residence; has a primary nighttime residence that is a public or private place

not designed for or ordinarily used as a regular sleeping accommodation for human beings; is a migratory child who in the preceding 36 months was required to move from one school district to another due to changes in the parent's or parent's spouse's seasonal employment in agriculture, dairy, or fishing work; or is under 18 years of age and absents himself or herself from home or place of legal residence without the permission of his or her family (i.e., runaway youth). However, a participant who may be sleeping in a temporary accommodation while away from home should not, as a result of that fact alone, be recorded as homeless.

- **Long-term unemployed**—The participant has been unemployed for 27 or more consecutive weeks.
- **Low-income**—The participant (a) receives, or in the 6 months prior to application to the program has received, or is a member of a family that is receiving in the past 6 months assistance through the Supplemental Nutrition Assistance Program (SNAP), the TANF program, the Supplemental Security Income (SSI) program, or State or local income-based public assistance; (b) is in a family with total family income that does not exceed the higher of the poverty line or 70% of the lower living standard income level; (c) is a youth who receives, or is eligible to receive, a free or reduced-price lunch; (d) is a foster child on behalf of whom State or local government payments are made; (e) is a participant with a disability whose own income is the poverty line but who is a member of a family whose income does not meet this requirement; (f) is a homeless participant or homeless child or youth or runaway youth; or (g) is a youth living in a high-poverty area.
- **Migrant and seasonal farmworker—**The participant is a low-income individual who for 12 consecutive months out of the 24 months prior to application for the program involved has been primarily employed in agriculture or fish farming labor that is characterized by chronic unemployment or underemployment, and faces multiple barriers to economic self-sufficiency.
- **Individual with disabilities**—The participant indicates that he or she has any disability, defined as a physical or mental impairment that substantially limits one or more of the person's major life activities, as defined under the Americans with Disabilities Act of 1990.
- **Single parent**—The participant is a single, separated, divorced, or widowed individual who has primary responsibility for one or more dependent children under age 18 (including single pregnant women).
- **Youth in foster care or who has aged out of system**—The participant is a person who is currently in foster care or has aged out of the foster care system.

Federal Reporting. The barriers to employment categories are used to disaggregate participants on the performance indicators in the joint ICR report.

Race/Ethnicity

Definition. Race or ethnicity is indicated by one or more of the following categories to which the participant self-identifies, appears to belong to, or is regarded in the community as belonging.

In 1997, the U.S. Office of Management and Budget (OMB) published *Revisions to the Standards for the Classification of Federal Data on Race and Ethnicity* in the Federal Register, Volume 62, Page 58782 (October 30, 1997). The OMB notice created revised standards with five minimum categories for data on race: American Indian or Alaska Native, Asian, Black or African American, Native Hawaiian or Other Pacific Islander, and White. It also created two categories for data on ethnicity: ''Hispanic or Latino'' and "Not Hispanic or Latino." ED released *Final Guidance on Maintaining, Collecting, and Reporting Racial and Ethnic Data to the U.S. Department of Education* in the Federal Register, Volume 72, Page 59266 (October 19, 2007). At the beginning of the student's entry into each PoP, the program must collect data for the following race/ethnicity questions, either through student self-identification or observer-collected data.

1. The first question would be whether or not the respondent is Hispanic/Latino.
2. The second question would ask the respondent to select one or more races.

Data for both of these questions must be collected for all students and stored in the State data system. However, programs should report participants in only one of the following seven aggregate racial/ethnic categories for each PoP.

- **American Indian or Alaska Native**—A person having origins in any of the original peoples of North and South America (including Central America), and who maintains a tribal affiliation or community attachment
- **Asian**—A person having origins in any of the original peoples of the Far East, Southeast Asia, or the Indian subcontinent, including, for example, Cambodia, China, India, Japan, Korea, Malaysia, Pakistan, the Philippine Islands, Thailand, and Vietnam
- **Black or African American**—A person having origins in any of the Black racial groups of Africa
- **Hispanic/Latino of any race**—A person of Cuban, Mexican, Puerto Rican, South or Central American, or other Spanish culture or origin, regardless of race. The term "Spanish origin" can be used in addition to "Hispanic/Latino or Latino."
- **Native Hawaiian or Other Pacific Islander**—A person having origins in any of the original peoples of Hawaii, Guam, Samoa, or other Pacific Islands
- **White**—A person having origins in any of the original peoples of Europe, the Middle East, or North Africa
- **More than one race—**A person having origins in two or more race categories.

Participants who identify themselves as Hispanic/Latino are reported only in that category, regardless of the race selected.

Federal Reporting. The total number of participants by racial/ethnic group is reported in Table 1 by EFL, and by age and gender in Table 2. Race/ethnicity categories also are used to disaggregate participants on the performance indicators in the joint ICR report.

Gender

Definition. Designate whether the participant is male or female.

Federal Reporting. The total number of participants by gender is reported by EFL, age, and race/ethnicity in Table 1, and by age and ethnicity in Tables 2. Gender also is used to disaggregate participants on the performance indicators in the joint ICR report

Age

Definition. Years since participant's date of birth.

Federal Reporting. The total number of participants is reported using the following age categories: 16–18 years, 19–24 years, 25–44 years, 45–54 years, 55–59 years, and 60 years and older, broken down by gender and ethnicity in Tables 2 and by program type in Table 3. Age categories also are used to disaggregate participants on the performance indicators in the joint ICR report

Labor Force Status

Definition. Determine labor force status using the following categories. Report only one category.

- **Employed**—Participants who work as paid employees, work at their own business or farm, or work 15 hours or more per week as unpaid workers at a farm or business operated by a member of their family. Also included are participants who are not currently working but who have jobs or businesses from which they are temporarily absent.
- **Employed but received notice of termination of employment or military separation is pending**—Participant has received a notice of termination of employment or the employer has issued a Worker Adjustment and Retraining Notification (WARN) or other notice that the facility or enterprise will close, or participant is a transitioning service member (i.e., within 12 months of separation or 24 months of retirement)
- **Unemployed**—Participants who are not employed but are seeking employment, are making specific efforts to find a job, and are available for work
- **Not in the labor force**—Participants who are not employed and are not seeking employment

Federal Reporting. The total number of participants by category is reported in Table 6.

Highest Degree or Level of School Completed

Definition. The highest number of years of formal schooling the participant has completed or the highest credential or degree the participant has achieved. Schooling in the United States or abroad is included.

Federal Reporting. The total number of participants completing the highest grade level or credential is reported for schooling either in the United States or abroad in Table 6 in the following categories: no schooling, Grades 1–5, Grades 6–8, Grades 9–12 (no diploma), high school or alternate credential, secondary school equivalent, some postsecondary education (no degree), postsecondary or professional degree, or unknown.

Teacher Descriptive Measures

States must report the following descriptive measures about teachers, which are collected at the start of each program year.

Total Years of Adult Education Teaching Experience

Definition. The total number of years a teacher has taught in adult education.

Federal Reporting. The total number of teachers by years of experience teaching adult education is reported in Table 7, separately for full- and part-time paid teachers, as less than 1 year, 1 to 3 years, or more than three years.

Teacher Certification

Definition. The credential achieved by a paid teacher, as defined in the following categories:

- **Adult Education Certification**—A credential recognized by the State that focuses on teaching adult education students
- **K–12 Certification**—A credential recognized by the State that focuses on teaching children
- **Special Education Certification**—A credential recognized by the State that focuses on teaching children or adults with disabilities or special needs
- **Teachers of English to Speakers of Other Languages (TESOL) Certification**—A credential recognized by the State that focuses on teaching English to speakers of other languages
- **No Certification—**Teacher has none of the above certifications

Federal Reporting. The total number of teachers by type of credential is reported separately for full- and part-time paid teachers.

Student Participation Measures

Contact Hours

Definition. Hours of instruction or instructional activity that the participant receives from the program. Instructional activity includes any program-sponsored activity designed to promote learning in the program curriculum, such as classroom instruction, assessment, tutoring, or participation in a learning lab. Time spent on assessment can be counted only if the assessment is designed to inform placement decisions, assess progress, or inform instruction. Time used simply to administer tests, such as the GED tests, cannot be counted as instructional activity.

Federal Reporting. The total number of hours is reported as attendance hours in Tables 4, 4B, and 4C.

Measuring Contact Hours for Participants in Distance Education

Initial 12 Contact Hours

Like all participants, participants in distance education (defined under Program Enrollment Type below) must have at least 12 hours of contact with the program before they can be counted for Federal reporting purposes. Contact hours for distance learners can be a combination of actual contact and contact through telephone, video, teleconference, or online communication, where participant and program staff can interact and through which participant identity is verifiable. In-person contact time is not required to obtain the initial 12 hours of contact.

Optional Reporting of Proxy Contact Hours

After a participant achieves the initial 12 contact hours, States may, but are not required to, report proxy hours of time that participants spent on distance learning activities. States providing

distance education that want to measure and report proxy contact hours for these participants must develop a State distance education policy that describes the following:

- The curricula that local programs can use to provide distance education;
- The model or models used to assign proxy contact hours for each type of curriculum. States may develop proxy contact hours using one of the following models[9]:
  - **Clock Time Model,** which assigns contact hours based on the elapsed time that a participant is connected to, or engaged in, an online or stand-alone software program that tracks time
  - **Teacher Verification Model**, which assigns a fixed number of hours of credit for each assignment based on teacher determination of the extent to which a participant engaged in, or completed, the assignment
  - **Learner Mastery Model**, which assigns a fixed number of hours of credit based on the participant passing a test on the content of each lesson. Participants work with the curriculum and materials and, when they feel they have mastered the material, take a test. A high percentage of correct answers (typically 70%) earns the credit hours attached to the material.
- The proxy contact hours assigned for completing requirements for each type of curriculum used (Teacher Verification Model) or the proxy contact hours assigned for completion of units of material comprising the curriculum (Learner Mastery Model) and the procedures used to develop each type of proxy hours. The State must use the proxy contact hour model appropriate for the distance education curricula.

Program Enrollment Type

Definition. Participant is enrolled in the following programs or institutions:

- **Adult Basic Education Program**—A program of academic instruction and education services below the secondary level that increase an individual's ability to read, write, and speak in English and perform mathematics necessary to attain a secondary school diploma or its recognized equivalent, transition to postsecondary education or training, and obtain employment.
- **Adult Secondary Education Program**—A program of academic instruction and education services at the secondary level that increase an individual's ability to read, write, and perform mathematics necessary to attain a secondary school diploma or its recognized equivalent, transition to postsecondary education or training, and obtain employment.
- **ESL/English Language Acquisition Program**—A program of instruction designed to help eligible individuals who are English language learners (ELLs) to achieve

[9] See Project Ideal (2005), *Working Paper No. 2 Measuring Contact Hours and Learner Progress in Distance Education Programs,* Institute for Social Research, University of Michigan, for further information on the use and development of these models.

competence in reading, writing, speaking, and comprehension of the English language, and that leads to attainment of a secondary school diploma or its recognized equivalent and transition to postsecondary education and training or employment.

- **Integrated Education and Training (IET)**—A service approach that provides adult education and literacy activities concurrently and contextually with workforce preparation activities and workforce training for a specific occupation or occupational cluster for the purpose of educational and career advancement.
- **Integrated English Literacy and Civics Education—**A program of instruction funded under WIOA, Section 243, which includes education services provided to English language learners who are adults, including professionals with degrees and credentials in their native countries, that enables such adults to achieve competency in the English language and acquire the basic and more advanced skills needed to function effectively as parents, workers, and citizens in the United States. It includes instruction in literacy and English language acquisition and instruction on the rights and responsibilities of citizenship and civic participation, and may include workforce training. In addition, the program must be provided in combination with IET.
- **Correctional Education Program**—A program of ABE, ASE, or ELL instruction for adult criminal offenders in correctional institutions.
- **Family Literacy Program**—A program with a literacy component for parents and children or other intergenerational literacy components.
- **Community Corrections Programs—**A community-based rehabilitation facility or halfway house.
- **Other Institutional Programs—**Any other medical or special institution.
- **Distance Education—**Formal learning activity where students and instructors are separated by geography, time, or both for the majority of the instructional period. Distance learning materials are delivered through a variety of media, including but not limited to, print, audio recording, videotape, broadcasts, computer software, Web-based programs, and other online technology. Teachers support distance learners through communication by mail, telephone, e-mail, or online technologies and software.
  Note: For participants who receive both distance education and traditional classroom instruction during a program year (such as through a blended distance-classroom approach or concurrent enrollment in both types of instruction), the State must have a policy, consistent with the NRS definition, that defines how local programs are to classify the participant (e.g., 50% of time). For NRS reporting, States can count a participant only once per POP, either as a distance education participant or a traditional classroom participant.

Federal Reporting. The total number of participants in each program or category is reported in Tables 1, 3, 4, 4B, 4C, 6, 8, 9, or 10, depending on the category. The number of participants in each program type is used to disaggregate the performance of these participants separately from the overall participant population.

Optional Outcome Measures for Family Literacy and Civics Education (CE) Programs

NRS Tables 8 and 9 include optional measures for participants in family literacy and ELL civics programs. These measures may be reported but are not required for these participants at State discretion.

Optional Family Literacy Measure: Involvement in Children's Education

Definition. Participant increases involvement in the education of dependent children under his or her care, including:

- Helping children more frequently with their schoolwork.
- Increasing contact with children's teachers to discuss children's education.
- Having more involvement in children's school, such as attending school activities and parent meetings and volunteering to work on school projects.

Federal Reporting. The total number of participants who increase involvement in any area is reported in Table 8. A rate or percentage can be computed by dividing this total by the total relevant population (number of participants in programs that include a family literacy focus).

Optional Family Literacy Measure: Involvement in Children's Literacy-Related Activities

Definition. Participant increases involvement in the literacy-related activities of dependent children under his or her care, including:

- Reading to children.
- Visiting a library.
- Purchasing books or magazines for children.

Federal Reporting. The total number of participants who increase involvement in any area is reported in Table 8. A rate or percentage can be computed by dividing this total by the total relevant population (number of participants in programs that include a family literacy focus).

Optional CE Measure: Achieved Citizenship Skills

Definition. Participant attains the skills needed to pass the U.S. citizenship exam.

Federal Reporting. The total number of participants who obtain skills to pass the citizenship exam is reported in Table 9. A proportion or rate can be computed by dividing this total by the total relevant population (number of participants who enrolled in IEL/CE classes).

Additional Guidance on Achieved Citizenship Skills Measure

This measure is included to document learning gains of participants who are enrolled in IEL/CE classes designed to give them the literacy skills and substantive knowledge to pass the citizenship exam. To determine whether participants achieve these skills, program staff should administer a State-approved test that measures the relevant skill areas—such as a practice citizenship test, sample forms, and speaking tests—at the conclusion of the ELL civics class. It is the State's responsibility to ensure that programs use an appropriate test, establish the standards for passing this test, and train and monitor local staff in its use.

Optional CE Measure: Voter Registration

Definition. Participant registers to vote or votes for the first time anytime during the program year.

Federal Reporting. The total number of participants who register to vote or vote for the first time is reported in Table 9. A proportion or rate can be computed by dividing this total by the total relevant population (number of participants who enrolled in IEL/CE classes).

Optional CE Measure: Involvement in Community Activities

Definition. Participant increases involvement in the following community activities:

- Attending or organizing meetings of neighborhood, community, or political organizations.
- Volunteering to work for such organizations.
- Contributing to the support of such organizations.
- Volunteering to work on community improvement activities.

Federal Reporting. The total number of participants who increase community involvement in any activity is reported in Table 9. A proportion or rate can be computed by dividing this total by the total relevant population (number of participants who enrolled in IEL/CE classes).

CHAPTER III. THE NATIONAL REPORTING SYSTEM DATA COLLECTION PROCESS

The National Reporting System (NRS) produces a set of indicators and measures that describes adult education students, their participation, and the outcomes they achieve. These measures are used at the State and national levels to demonstrate whom the adult education program serves and its impact on participants' educational and employment-related outcomes. At the local level, programs collect data and train staff according to policies and procedures set by the State for program management and improvement activities and to report on performance. This chapter describes the flow of data from the local programs through States to the U.S. Department of Education (ED). It also summarizes the roles and responsibilities of local programs and States in relation to their specific data collection processes and to the operation and maintenance of the NRS at the Federal level.

THE NRS DATA FLOW FRAMEWORK

The development of a national database for adult education requires close collaboration among ED, Workforce Innovation and Opportunity Act (WIOA) partner agencies (e.g., State education and vocational rehabilitation agencies, community college boards, departments of labor), and local programs. Each entity has an essential role in the operation and maintenance of the system that helps ensure the collection of valid and reliable data from programs and States.

At the *Federal* level, ED supports a national database for adult education by developing the framework and measures for the NRS. The Federal role is to implement the WIOA accountability requirements and establish other NRS measures, methods, and reporting requirements; ensure valid and reliable data; approve assessments for use in the adult education program, provide assistance to States in understanding and implementing these requirements; negotiate performance levels with States; monitor the system to ensure that it is producing valid and reliable measures; report the data to Federal agencies; and maintain the national database of measures.

States are responsible for implementing NRS measures, methods, and requirements in a way that meets Federal guidelines and WIOA requirements; setting State performance standards; providing resources, training, and support for data collection to local programs; monitoring local programs using quality control procedures to ensure data validity; maintaining a database that includes data from all local programs; establishing a written policy for collecting follow-up measures; and implementing data-matching procedures and/or survey procedures when these methods are used as the follow-up methodology. In addition, States must have a written assessment policy to ensure that measures of educational gains are meaningful by establishing a standardized assessment system based on NRS-approved tests. States are to use NRS measures to promote continuous improvement based, in part, on their performance on NRS measures.

Local programs are responsible for allocating sufficient resources to collect NRS measures and reporting them according to State requirements. Local programs have primary responsibility for collecting these measures using valid, uniform procedures to ensure comparability among programs, and must maintain these data in an individual student record system. To ensure that educational gains are standardized, programs must have common methods for assessing students at intake and following instruction. In States using the survey follow-up methodology, programs also must conduct a follow-up survey on students.

Exhibit 3.1 shows the general data flow framework envisioned for the NRS by following the movement of data at each of these three levels (Federal, State, and local). At the program level, each of the program's instructional sites collects measures from students at three time periods, including intake, update, and follow-up. Upon a student's *intake* into the program, local staff collect descriptive measures—such as demographic information and student status measures—and conduct an assessment of the student's educational functioning level (EFL) for placement. Updates occur during the course of instruction. Program staff (typically teachers) provide at least two additional measures about the student: contact hours or attendance and progress assessments or a posttest. The posttest and other assessments are administered at a time according to State policy. Assessments may be administered at the end of the course of instruction, at the end of the program year, or after a set number of instructional hours, in accordance with the test publisher's guidelines.

In States using the survey methodology, local programs also are required to collect *follow-up* measures on students. These measures include employment-related measures, measures on placement in postsecondary education or training, and obtainment of a secondary or postsecondary credential. In States that use data matching, the collection of follow-up data becomes a State responsibility.

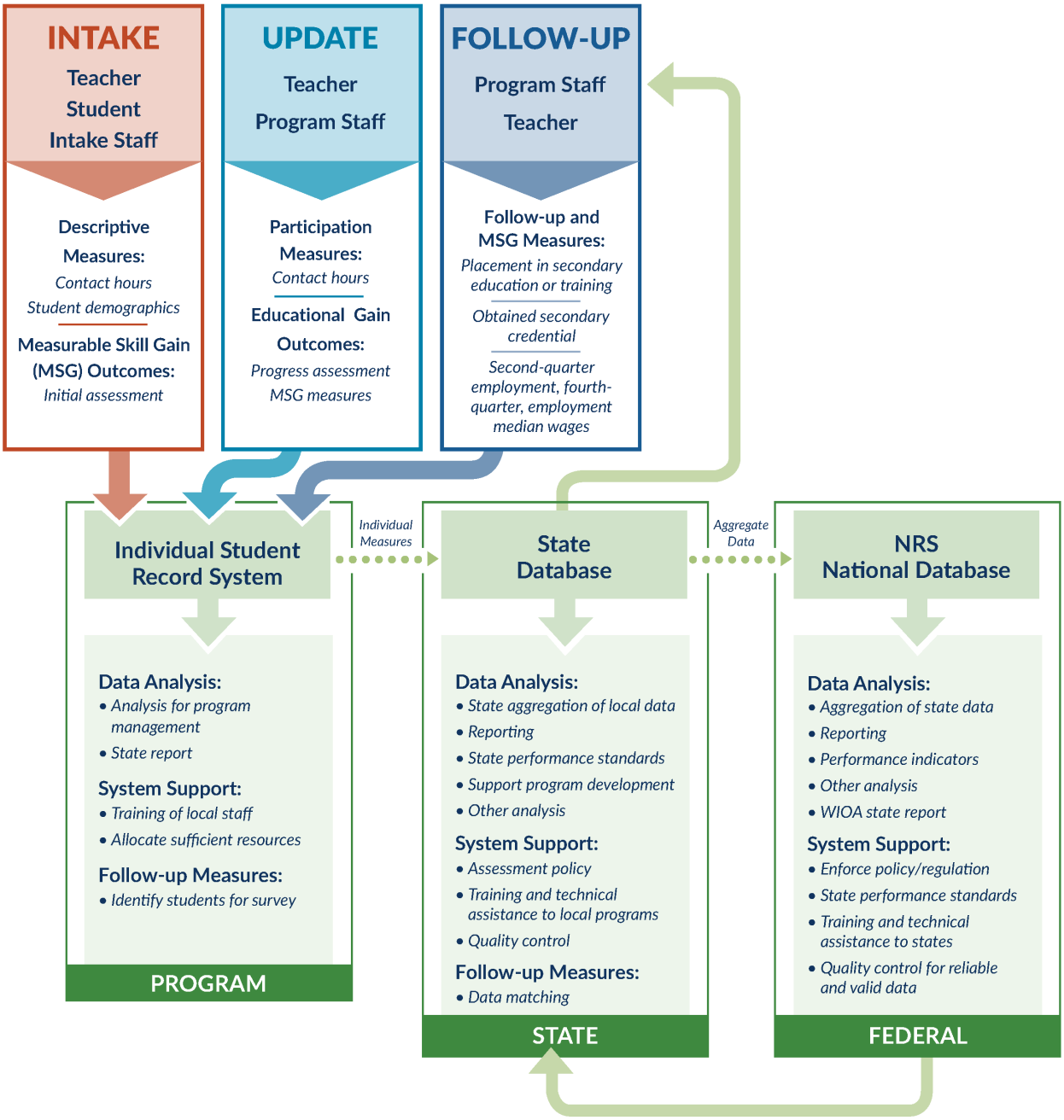
Local programs must combine all of the measures collected at each instructional site into an individual student record system. This type of system is essential to the NRS because it allows local programs to conduct analyses of outcomes for specific student groups for reporting and program management.

Exhibit 3.1 also shows the movement of NRS data from the local program to the State level. Each local program must submit its data to the State education agency to enable the State to develop a statewide adult education database. At the end of the program year, States must submit data in aggregated data tables to ED, which maintains a national database. This submission is required electronically, through a website developed for this purpose by ED.

Data Collection: The Federal Role

At the Federal level, ED's role is to establish the NRS procedures through an inclusive process that meets WIOA accountability requirements, responds to State and local concerns, and coordinates with Federal partner agencies. In addition, ED monitors the implementation of the NRS, conducts quality control of State procedures, and provides ongoing technical assistance and training to States. This training supports State efforts to train staff and implement the NRS to produce valid, uniform, and reliable data. Learning to use data more effectively for program improvement and accountability is another focus of training as a means to enhance the value of the NRS and to encourage adoption and support of the system. Technical assistance materials are provided to States on issues such as local program quality control, assessment procedures, and program monitoring.

Exhibit 3.1
National Reporting System Data Flow Framework



All States are required to submit their aggregate data to ED annually using NRS data tables. ED then creates a national report and submits this report to the U.S. Congress and other audiences. Prior to creating the national report, ED reviews each State's data tables for errors and inconsistencies and asks for corrected data tables from States, as needed. In turn, States may need to again review local program data to correct data problems and contact local program directors for

corrections. Local staff then need to identify problems, correct errors, and resubmit data to the State, which provides the corrected tables to ED.

Data Collection: The State Role

WIOA and NRS requirements present a common framework that provides standards and consistency for national data collection. However, States have the responsibility for developing policies and implementing procedures that meet these requirements and work within each State's environment and delivery system to produce valid and reliable data.

Assessment Policy

One critical area where the Federal–State interface occurs is in the measurement of skill gains within the EFLs. To accommodate State variation in instructional emphasis, goals, and assessment polices, the NRS allows States to establish their own procedures for student placement and assessment to measure EFL gains through pre- and posttesting. Each State must have an assessment policy that describes the assessments that local programs may use and the time frame for pre- and posttesting students. States can use only assessments that have been approved by OCTAE for measuring EFL gain within the NRS framework. OCTAE conducts the approval process annually using panels of independent experts in assessment who evaluate assessments according to the process outlined in 34 CFR, Part 462 (see *Federal Register*, Vol. 73, No. 9, January, 14, 2008).

Nonvalidated rubrics and checklists and locally developed tests do not meet these criteria and are not acceptable. However, it is acceptable for a State to have more than one assessment, such as one test for English as a second language (ESL) students and a different test for adult basic education (ABE) students, as long as there are clear procedures for when to use each test. The State policy also should designate when programs should pretest students and the calendar time or instructional hours when programs should posttest students. These times must correspond to the test publisher's guidelines for testing. The policy also should clearly state that programs are to use a different form of the same assessment for pre- and posttesting, or the instances in which using the same assessment form are allowable based on test publisher guidelines. Chapter II of this document presents greater details of these requirements.

Follow-Up Methodology

The State must determine a methodology for collecting WIOA post exit follow-up measures related to employment, median earnings, attainment of secondary and postsecondary credentials, and entry into postsecondary education. States must use data matching, a follow-up survey, or a combination of these methods to collect these measures. The survey must include all local programs, although the State or a third party may conduct the survey. See Chapter II for more information on these requirements.

Data Reporting Timelines and Formats

The State must have requirements for local programs to report data according to a fixed, regular schedule. Programs should submit data to a central source, such as the State or district, according to this schedule. The reporting periods for local programs should be at least monthly or quarterly to minimize incomplete reports and potentially inaccurate data that result from longer time periods between report cycles. Another reason for frequent reporting is that errors or problems may

be identified and corrected on an ongoing basis. If data are reported only once or twice a year, it is not possible to identify errors before it is too late to correct them. The State also should specify the technical format in which data are to be submitted so that it is consistent with State reporting software. States are encouraged to use a Web-based system that has immediate or daily updates.

A System of Quality Control

To verify the validity of data and ensure local program compliance with State data collection policies, the State should conduct frequent reviews of data immediately after local programs submit them. Error checking also should be built into data system software. In addition, monitoring procedures should include regular discussions with local data collection staff, either at State meetings or by telephone and e-mail, to discuss problems. To be most effective, monitoring should be proactive, nonpunitive, and presented as a form of technical assistance. With this approach, local staff are less likely to hide problems and cover up mistakes. Monitoring also should include at least occasional on-site auditing of data. Quality control is described in more detail in Chapter IV.

Software or Technical Standards for Local Data Collection and Reporting

To meet NRS reporting requirements, the State must have software that is capable of aggregating NRS data from all local programs and producing the required data tables for Federal reporting. To report data to the State, local programs must have an individual student record database in a relational format. Each State must establish a State database system for local programs or provide programs with uniform technical standards for database development to allow State reporting. All software should have the ability to produce "edit reports" and possess error-checking capabilities to identify missing and inconsistent data. These requirements for data collection are the minimum for NRS reporting—additional data and reporting from local programs may be required to meet the needs of the State.

Ongoing Training and Technical Assistance to Local Programs

Because local adult education program staff collect NRS data, they must fully understand policies and procedures if they are to produce quality data. Thus, it is critical to the success of the NRS that States provide training to teachers and other local staff involved in collecting and reporting data. This training should be ongoing so that it is available for new staff. Critical topics for training include definitions of measures, completing reporting forms, conducting assessments, and follow-up methods. Although training should cover the general procedures and methods of the NRS, additional training on the importance of data and how to use them is likely to increase data quality. When local staff can see how to use data for their own purposes, their data collection activities become more meaningful and they are likely to take more care in collecting data.

Exhibit 3.2 presents a summary of the policies and procedures that States must have in place for the NRS.

Data Collection: The Local Role

Local programs are on the front lines of the data collection system and they must allocate sufficient resources, including both staff and funds, to collect information from students—the descriptive, participation, and outcome measures that comprise the database. For these data to be meaningful on a statewide and national basis, data collection procedures must be standardized among

all programs in each State; that is, the data must be defined and collected in the same way by all programs to make them comparable. The role of local programs is central to data collection efforts. To achieve standardization of data collection, program staff need ongoing training and assistance in:

Exhibit 3.2
Summary: State NRS Policies and Procedures

• Statewide assessment policy is established.
• Follow-up methodology is established.
• State can provide ongoing training and technical assistance to local programs on data collection, reporting, and use.
• Data reporting timelines and formats are established.
• A quality control system is in place to monitor and audit local data collection.
• State has software or technical standards for local data collection and State reporting.

- Understanding the definitions of each measure and having clear guidelines on how to record these measures, including how to handle missing or incomplete data.
- Understanding of and compliance with the State-defined procedures for assessing students for placement into EFLs and evaluating progress.
- Following procedures for implementing the follow-up survey, if it is conducted by the program.
- Understanding how to correctly record and report data to the State.

It is the State's responsibility to provide training and technical assistance to local programs to achieve these competencies.

The local program data collection process must produce reliable and valid data in order to be useful to the programs and the State. Data are reliable to the extent that they are collected in the same way, by different people, and at different times. In other words, no matter who collects the data or when data are collected, the same data collection procedures are consistently implemented in the same way. Data are valid only to the extent that they represent what they are intended to represent. For example, if the program reports that 40% of students have gained a level according to test scores, those test scores (if they are valid) will accurately convey the score and interpretation intended by the test's publisher.

There are three components to collecting valid and reliable data: (1) a well-planned, effective process; (2) resources to implement the process; and (3) clearly defined procedures for collecting each measure. The data collection process must include these three components and a method for evaluating the process.

Model Data Collection Process

Like other system processes, data collection requires planning, constant attention, oversight, and fine-tuning through monitoring, error checking, and training. With a sound, well-planned process, sufficient resources, and oversight, the program can have a data collection system that produces valid and reliable data to assist program management and promote improvement.

The specifics of individual approaches to data collection vary among programs, but Exhibit 3.3 presents a model data collection process, starting with student intake and tracing the process to the end goal—submission of State and Federal reports. This model illustrates the key components of a valuable data collection system and staff roles at each step.

Intake

Upon entry into the program, staff collect NRS measures, including age, ethnicity, race, and gender. If the program uses a follow-up survey, staff should explain the survey to students and that they will be contacted after they leave class. Intake staff complete an intake form and send the form to clerical staff and/or teachers.

Teachers

Teachers have a large role in data collection in most programs because they often report student attendance or contact time, assess students, and report test scores. In addition, teachers who have direct contact with students are often asked to provide student information that was missing or incorrect at other stages of the data collection process. Teachers complete forms and, ideally, have a role in reviewing data and reports.

Clerical and Error-Checking Staff

The data collection process may result in a high volume of data—forms, test scores, attendance records, and surveys—that clerical staff receive and track. Clerical staff must develop an organized system for managing this data flow that includes receiving forms from other staff for checking and correcting. After error checkers correct forms, clerical staff then submit forms for data entry, if needed.

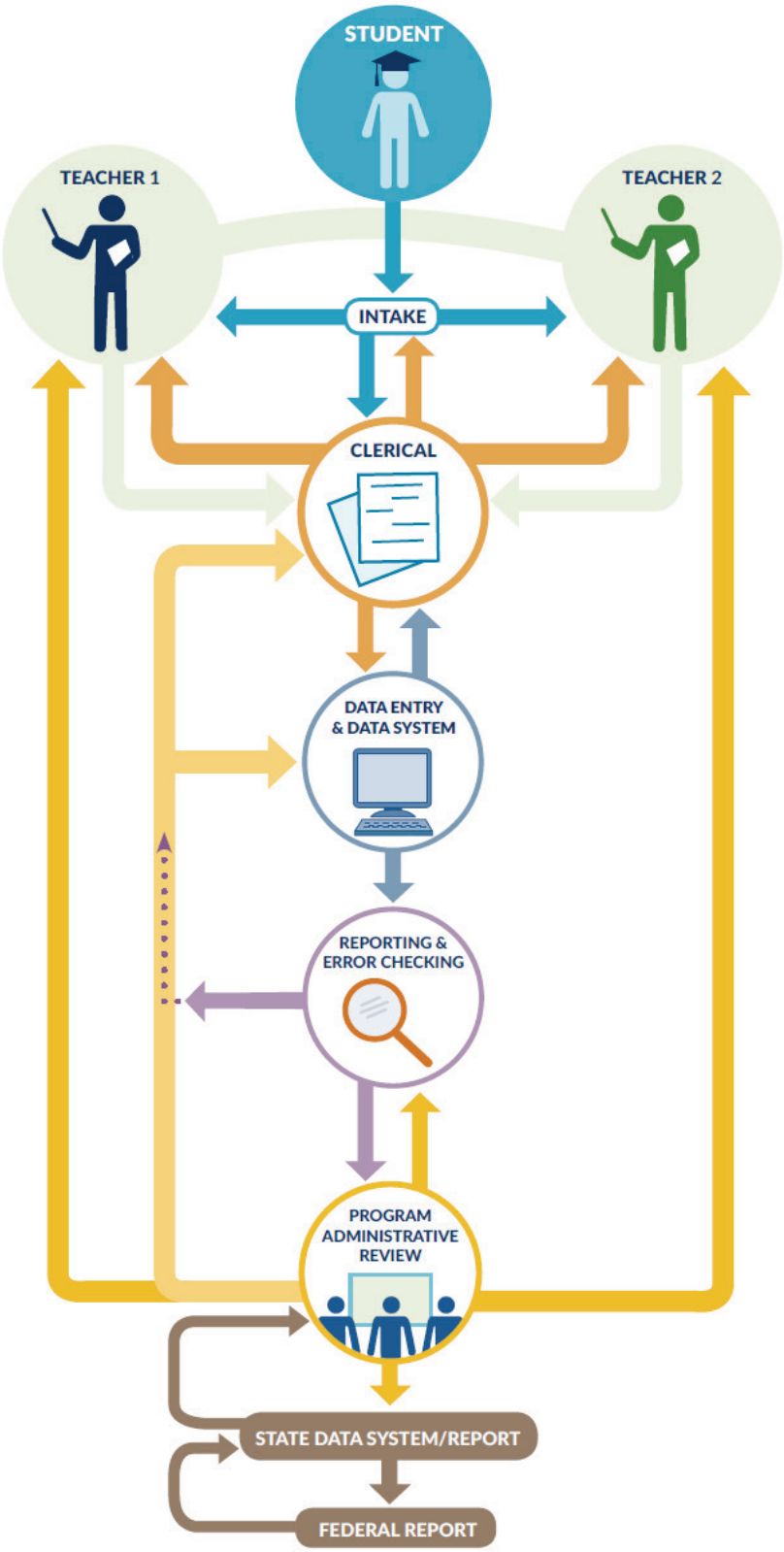
Reporting and Error Checking

An essential feature of the data collection process is regular and frequent review of data entered into the data system. The data system should have preprogrammed error reports that allow for a review of inconsistent, out-of-range, and missing data. Data entry and clerical staff should regularly review these reports and should return them to teachers, intake workers, and clerical staff to clarify problems and obtain the missing data. Corrections should then be sent to data entry staff for entry into the database.

Program Administrative Review

The process should include a regular opportunity for the program director and other program leaders to review data reports. The director may often be the only person in the program who can see the big picture and thus brings a different perspective to the data review process. This review may raise further questions about data integrity, requiring another round of data checking and verification among the staff. The program director may share data reports with staff as a means to identify problems, track progress, and receive staff buy-in into the data collection process by demonstrating how data can be used for program management and improvement.

Exhibit 3.3
Local Data Collection: A Model



Local Data Collection Policies and Procedures

In addition to following a clear model of data collection, local programs must establish policies and procedures for data collection that comply with State NRS requirements. This section presents the policies and procedures that local programs need to have in place.

Staff Roles and Responsibilities for Data Collection

Every staff member in an adult education program plays a role in the data collection process. Intake staff collect student demographic data, teachers report attendance and other outcomes and may administer tests, administrators review and make decisions based on data tables, and administrative staff may be involved in checking forms and data entry. The State must ensure that every local program has clear written descriptions of the data collection process and the role of each individual in that process. In fact, local program job descriptions should incorporate the data collection responsibilities of the job, and performance reviews should consider how well staff fulfill these functions.

Clear Definitions of Measures

Local program policies and procedures should include a written, precise definition for each data item that is compatible with the State definition. Some programs and States, for example, have a data dictionary that defines all measures and categories within measures. Although some measures may seem straightforward—ethnicity or sex, for example—others may require detailed explanation. Even seemingly simple definitions can sometimes require elaboration. For example, States should clarify the definition of how to classify the ethnicity of a student who self-identifies in more than one category. Potential ambiguities show how helpful it is to customize definitions to the particular circumstances of State programs and to include examples of how to resolve ambiguities.

Standard Forms for Collecting Data

Staff must record information on intake and other data forms. An administrative staff member or the student keys the information from these forms into the program database or the forms may already be programmed into it. Whatever the case, programs should use standard forms for data collection that include all the data elements and categories that are referenced in the database system. Staff should not be allowed to enter their own codes or variables because this will cause data-entry errors and hurt reliability and validity.

Error-Checking and Quality Control Systems

Data collection is a complex activity—mistakes and missing data are inevitable. For example, staff may fail to complete forms fully or enter data incorrectly because of their workload demands or simple oversight, or the required information may not be available when it is needed. The data collection system must have procedures for checking data for completeness and accuracy at several points during the process, and these error checks should be built into the database, where possible. Data checking should follow a regular, prescribed schedule with clear deadlines. More than one staff person should be assigned to perform these data-checking functions, and these functions should be made explicit in the staff job descriptions and throughout the program. Data checkers should review all data as soon as possible for completeness and accuracy and should receive error reports from the database to check immediately after data entry. To do their job, data checkers must have access to all

staff—teachers, intake staff, counselors, and administrative staff—and the authority to obtain cooperation from them.

Ongoing Training on Data Collection

Staff must understand and follow data collection procedures to ensure valid and reliable data. To this end, training should be provided to staff to clarify their roles and responsibilities and to highlight the importance of data collection. The program should provide this training to all staff, and training should be offered several times during the year, if possible, to accommodate new staff and allow existing staff to take follow-up training. Regularly scheduled staff meetings or inservice training on data issues also provide staff with opportunities to discuss problems and issues that arise during data collection. Addressing these issues promptly helps the program avoid more serious data problems later. (A more detailed discussion on data collection training for staff is provided later in this chapter.)

Student-Level, Relational Database System

To use data for program improvement, staff must be able to look at outcomes and demographics for individual students according to such variables as the number of instructional hours received, length of time of enrollment, the teachers and classes enrolled, and the student's EFL. This type of analysis requires a database that stores information by individual students and links the different pieces of data for each student in reports or other output—a system known technically as a *relational* database.

Clear and Timely Data-Entry Procedures

The procedures for data entry should specify at least one person whose job it is to enter the information from data collection forms into the program's database. All staff members should know this person's role, and he or she should have the authority to request clarification and resolve errors. In addition, data entry should be scheduled at frequent, regular intervals, such as weekly or monthly. Without frequent data entry, the program may end up with a large backlog of data to enter and staff may not become aware of errors and missing data on forms until it is too late to correct them. Part of the data-entry procedures also should include a prompt, organized way to identify and resolve errors. For example, soon after data are entered, staff should be able to print out an error report for review. Staff should then use the error report to resolve missing data issues and correct errors as soon as possible after data entry.

Timely or Direct Access to Database

Local program staff members must have access to data for use in program improvement and management. The database system should have the capability for local program staff to access their data in useful ways. It is best if this access is direct, so that staff at the local level can query the database to print a report locally. Access through a third party or through the State is useful if staff can request and receive data in a timely fashion. The usefulness of the data is limited when there is a long time lag between the request and receipt of data.

Regular Data Reviews

The program's data collection procedures should include regular data reviews by staff soon after data entry. Regular data reviews allow staff to identify errors, missing data, and other data that do not make sense. Data reviews also are useful as a staff development opportunity to examine problems and issues in support of program improvement. Data can help staff understand issues such as the impact of instructional arrangements, learner retention, and learner progress. This will not only foster program improvement, but it also may improve data quality, as staff recognize the importance of data collection to produce accurate and valuable information for their own use.

Exhibit 3.4 summarizes local program policies and procedures.

Exhibit 3.4
Summary: Local Program Data Collection Policies and Procedures

• Staff have a clear description and understanding of their roles and responsibilities for data collection.
• Clear definitions for each measure are established.
• Program uses standard forms, tied to the program database, for collecting data.
• Program has an error-checking and quality control system for identifying missing and inaccurate data.
• Program has ongoing training on data collection.
• Program has a student-level, relational database system.
• Data-entry procedures are clear and timely.
• Staff have timely or direct access to information from the database.
• Staff regularly review data.

Local Staff Training Policies and Procedures

Without training, staff will not know or understand the policies and procedures, resulting in incomplete or haphazard data collection that can impair data reliability and validity. To ensure that the data collected are of high quality, local programs should implement ongoing staff training on NRS procedures. Staff training in data collection policies and procedures should include content on effective professional development practices, as summarized below.

Training on WIOA and NRS Policy and Data Collection Procedures

All program staff should be trained and fully knowledgeable in WIOA and NRS policy, accountability policies specific to the State and locality, and the program's data collection process. Training on data collection should cover each individual's job in the process and include a review of others' roles and how these roles and activities are connected, including the flow of data. (See Exhibit 3.3 as a model for the flow of data collection at the local level.) The training must be specific and detailed, addressing such mundane topics as completing forms, data-entry procedures, error checking, the program's database system, and general accountability requirements. The program should establish a schedule to train new staff members and provide follow-up and ongoing training for existing staff.

Continuous Professional Development on Data Collection

One-shot training on any topic generally does not have lasting impact. Staff forget procedures, misunderstand some part of the training, or think some procedures do not work effectively and do not follow them. A continuous system of professional development helps resolve these problems. Given the often high turnover among adult education staff, a continuous training protocol also gives local programs an ongoing mechanism to train new staff. Regularly scheduled training throughout the year that employ different modalities to improve effectiveness and impact on data collection procedures are best. For example, the program might schedule general workshops, individual peer mentoring, shadowing, online courses, or learning activities throughout the school year. Online training built into the State system can support ongoing training efforts.

Training Addresses Staff Needs

Although all staff should receive initial general training on data collection, State accountability, and NRS requirements, the training should be designed according to the needs of local program staff. Using a periodic formal or informal needs assessment, collaborative planning process, or review of procedures, such as those outlined in this guide, the program can identify areas where staff need or want further training. Using this input to design training will make it more relevant to staff, thereby increasing interest and the likelihood that the training will result in improved data collection procedures.

Use Effective Trainers and Methods

High quality trainers are almost as important as the content of the training. Trainers should be knowledgeable about the data collection process. They should also be articulate, well-organized, and encouraging of the contributions and input of participants in the training. In addition, the training is likely to be more effective if it employs interactive, hands-on activities, rather than just a lecture format. For example, an interactive training may involve asking staff to analyze actual data tables and then having them troubleshoot problems on their own.

Training Results in Learning and Improved Practice

The goal of professional development is to change staff behavior. For training on data collection, the desired outcome is that staff learn and then correctly follow all procedures. Although it is difficult to determine a cause–effect relationship between professional development, learning, and behavioral change, general patterns in data or observations of staff behavior at work may provide an indication of training effectiveness. For example, after training on assessment, staff may be observed as they administer tests or review student assessment records. Trainers may follow up by examining the assessment data produced by individual staff members for procedural differences. The professional development approach should include ways to verify staff learning and implementation of procedures that staff have learned.

Exhibit 3.5 summarizes the local program training policies and procedures.

Exhibit 3.5
Summary: Local Staff Training Policies and Procedures

• Staff receive training on WIOA and NRS policy and data collection procedures.
• A system of continuous professional development on data collection is in place.
• Training addresses staff needs.
• Trainers effectively use interactive and hands-on activities to lead training.
• Training results in learning and improved practice.

CHAPTER IV. QUALITY CONTROL AND REPORTING

The data used for the NRS are only useful if they are *valid* (i.e., measure what they are supposed to measure) and *reliable* (i.e., collected in the same way by different people at different locations). To obtain valid and reliable data, data collectors at the State and local levels must understand the measures and follow the proper procedures for collecting the measures at all times with all people. States are responsible for promoting data quality and implementing training and quality control procedures for NRS measures. This chapter provides a brief overview of quality control methods that can be implemented prior, during, and following data collection. The chapter also presents an overview of NRS reporting requirements, including student record software requirements.

DATA QUALITY CHECKLIST

To allow OCTAE to assess the quality of NRS data, States must complete annually the NRS data quality checklist, which defines OCTAE's standards for data quality. States are required to submit this checklist with their annual NRS data submission. The checklist describes State NRS policies and the data collection procedures that local programs within the State follow to collect NRS data. It provides a standardized way for OCTAE to understand and evaluate NRS data quality by defining data quality standards in four areas. Appendix E contains the checklist.

Data Foundation and Structure

This content area addresses whether the State has in place the foundation and structures for collecting quality data that meet NRS guidelines. Standards measure whether the State has policies for assessment and follow-up, whether local programs know these policies, and whether the State conducts validity studies to ensure processes are working to produce accurate and reliable data.

Data Collection and Verification

This area determines whether the State collects measures according to NRS guidelines using procedures that are likely to result in high reliability and validity. Standards also address whether data are collected in a timely manner and are systematically checked for errors, and whether the State also has processes for verifying the validity of the data.

Data Analysis and Reporting

The quality standards in this content area include whether the State has systems for analyzing and reporting data, including appropriate databases and software. The standards also address whether analyses and reports are produced regularly, are used to check for errors and missing data, meet NRS and State needs, and are useful to State and local staff for program management and improvement.

Staff Development

The standards under this area address whether the State has systems for NRS professional development for State and local staff, including whether the State provides training on data collection, measures, assessment, and follow-up procedures. Standards also focus on whether the training is ongoing and continuous, meets the needs of State and local staff, and is designed to improve data quality.

Levels of Data Quality and Quality Improvement

Within each area there are three levels of data quality that reflect whether the State has policies and procedures likely to improve the reliability and validity of data. Based on the checklist, OCTAE classifies States' NRS data procedures into one of these levels each year.

Acceptable Quality. State policies and procedures for implementing the NRS meet the essential requirements for NRS implementation as described in this guide and all related NRS guides on improving NRS data quality.

Superior Quality. State procedures go beyond the minimum to promote higher levels of data validity and reliability through more rigorous definitions, regular oversight of data collection methods, ongoing assistance to local programs on NRS data issues, and procedures for verifying the accuracy of data.

Exemplary Quality. The State has procedures and systems that promote the highest levels of data validity and reliability, including systems for verifying data accuracy from local programs, systems for monitoring data collection and analyses, and corrective systems to improve data on an ongoing basis. State procedures indicate a focus on continuous improvement of the quality and accuracy of data.

States have to meet all of the standards within a quality level to be considered at that level. In addition, the scoring is *cumulative,* so that to score at the superior level, a State has to meet all of the standards for that level *and* all standards for the acceptable quality level. To rank at the exemplary level, States have to meet all of the standards for all quality levels. Appendix E includes a copy of the checklist.

IMPROVING DATA QUALITY

The data quality checklist defines data quality in the NRS and provides a framework for States for improving data quality. This section summarizes how States can improve quality in three ways: training local staff, improving local data collection, and local monitoring and data audits.

Training

Within the NRS, the primary data collectors are local program staff. Therefore, it is critical to NRS's success that teachers and other local staff involved in collecting and reporting data receive both preservice and in-service training on the NRS. Critical topics for training include definitions of indicators and measures, completing reporting forms, conducting assessments, and follow-up methods.

Understanding and correctly using State assessment procedures are critically important to NRS data quality, given the central importance of the educational functioning level gain measure. Accurate reporting of this measure requires local staff to implement the State assessment methods for intake and progress assessment. For example, progress assessment must be administered at the appropriate time, as determined by the State and staff, and must follow standardized procedures. Failure to follow the correct procedure for administering a standardized test invalidates the test results.

Training should cover the general procedures and methods of the NRS, but additional training on the importance of data and how to use them is likely to increase data quality. When local staff can see how to use data for their own purposes, their data collection activities are more meaningful and they are likely to take more care in conducting them.

Quality of data also is enhanced when resources are available, including State or other local staff to consult when questions or difficulties arise. Through the NRS support project, OCTAE developed NRS online training courses available through the project website (http://www.nrsweb.org), to assist States in training local staff. Training materials also are available on this site.

Local Data Collection

During the data collection process, States and local programs can implement four mechanisms to help ensure data quality. First, data collection *procedures* need to be explicitly organized. Program staff should establish specific, concrete procedures for data collection and data reporting. These procedures should state what is to be collected, when it is collected, and who is responsible for collecting it. The time when the information should be collected and reported also should be determined. Incorporating these procedures formally into staff job responsibilities enhances the likelihood that staff perform them.

The second critical factor to collecting quality data is devoting sufficient *resources*—time, staff, and money—to data collection. Providing resources shows staff that data collection is a valued and important activity, not something that is done as an afterthought or when there is time. At least one staff member in a program should have explicit responsibility for ensuring that data are collected and reported.

Timely reporting of data according to a fixed, regular schedule is the third factor for promoting data quality. Data should be reported to a central agency, such as the State or district, frequently and at fixed time periods. At the local level, information should be entered into the program's data system as frequently as possible. For example, attendance should be reported daily or weekly. For reporting to the State, quarterly data submission is required to achieve data quality at the superior level. More frequent reporting or real-time data updates, such as through a Web-based system, are optimal.

If the time lag for reporting data is too long, then the data are not reported completely, as staff have a tendency to put off data reporting until the deadline. The result is a high degree of missing and possibly false data. Another reason for frequent reporting is that errors or problems can be identified and corrected on an ongoing basis. If data are reported infrequently, errors may go unnoticed before it is too late to correct them.

Finally, frequent contact with data collection staff and spot checking their data assists in ensuring quality data. A State or local staff member knowledgeable in reporting and data collection should provide regular, ongoing monitoring of data collection through scheduled contact with local staff. Samples of data collection forms should be examined periodically. To be most effective, monitoring should be proactive and nonpunitive and viewed as a form of technical assistance. With this approach, staff are less likely to try to hide problems or cover up mistakes.

Local Monitoring: Data Reviews and Data Auditing

One of the simplest ways to audit local programs is to review local data. A data review should examine disaggregated data from all local programs. Aggregated State data (i.e., summary data from all local programs combined) may mask important details and clues about what the data reflect. Types of data to examine include:

- The number and percentage of students who are pre- and posttested by type of student and date of posttesting.
- The percentage of students who advance by level.
- The number and percentage of students who achieve follow-up outcomes.
- Students' average attendance hours and number of hours it took students to advance and achieve follow-up outcomes.

Critical review of these data may identify patterns that raise questions or seem improbable with numbers that seem unrealistically high or low. Data reviews also can be used to study local adherence to State policies and differences by types of students and programs.

A more formal way to investigate local program adherence to State policies and to study data quality is to conduct a local program data audit. Like a financial audit, a data audit involves an on-site review of the actual data forms and files, as well as verification of the accuracy and validity of the information on the forms. States should perform at least occasional data auditing of a sample of programs because this type of review is the most accurate way to assess data validity at the local level. Findings from the audit can help identify technical assistance and training needs and prevent future problems.

The auditing process should include at least four steps. First, the auditor should interview program staff involved in data collection regarding the procedures they follow, particularly how staff deal with missing and incomplete information, data-entry procedures, and reporting times. The auditor also should review the program's assessment and follow-up procedures to ensure that they comply with State policy.

Second, the auditor should examine a random sample of student records for completeness and accuracy. The sample size must be large enough to make inferences about the program overall and to accommodate the expected high percentage of students whom the auditor is unable to reach. The auditor should compare the written records and information on selected students' forms with information that is in the program's management information system (MIS) to ensure correspondence between the sources. This review informs the auditor about whether staff complete forms fully and accurately and whether there are problems transferring information from the forms to the program's database.

Third, the auditor should contact the sample of students to obtain verification on key variables, such as:

- Attendance—Ask students to recall dates of active enrollment and approximate frequency of attendance.
- Tests and assessments—Ask students to recall whether and when they took tests and assessments, what goals they set, and why they attended classes.
- Outcomes for follow-up measures
- Satisfaction with services

To minimize interviewer bias, States should prepare a formal protocol and standard script for auditors to follow when making these calls.

As a fourth step in the auditing process, the auditor should verify attainment of follow-up measures with a secondary source, especially if the program uses a survey methodology. Compared with data matching, surveys are more likely to elicit socially desirable responses. For example, students may inaccurately claim to have obtained a job or passed secondary credentialing tests because they may believe that attaining these outcomes is expected of them. The auditor should (1) contact a sample of employers to verify that students are or were employed, (2) review secondary test reports to verify the claims of those students who reported passing the tests, and (3) check enrollment at community colleges to see whether students who claim to enter postsecondary programs are actually enrolled.

DATA SYSTEMS AND NRS REPORTING

NRS data collection produces a rich source of information about adult education students and their outcomes. States and local programs can use these data for program accountability, to identify effective programs and instruction, and to foster program improvement. States also can use the data to assess the effectiveness of local programs and to promote continuous program improvement. States must report their performance levels on WIOA primary indicators of performance to OCTAE.

This section provides a general discussion on establishing a statewide student reporting system that allows States to meet NRS and WIOA requirements. The discussion includes a brief summary of software needs and requirements, a description of the information that must be entered into the student record system, and the types of outputs or reports that States and local programs should be able to produce.

General Software and Architecture Requirements

To meet NRS requirements, each local program must use an automated, individual student record system to enter NRS data. The software for this system must have a relational database structure, whereby information on individual students can be related to other variables in the database, and data can be aggregated and analyzed for specific subgroups. The software also must be capable of aggregating data to produce the required Federal reporting tables or the data must be able to be imported into other software that produces the Federal tables.

OCTAE does *not* require any specific software product or system beyond these requirements. States should carefully consider not only NRS reporting requirements but also their reporting needs

and the needs and capabilities of local programs when selecting software. Other factors to consider include training and technical support for software use and the overall cost of developing and maintaining the system.

States also should consider the system's architecture or general structure. Centralized approaches make changes and enhancements to the software easy to implement and eliminates local reporting because data are directly entered into a unified database. To promote easier integration and broader use of NRS data with other education and labor data systems, NRS data systems should be as interoperable as possible. At the same time, they should provide for data security and protection of personal privacy. The system should also allow users access through a web-based browser. Exhibit 4.1 offers tips for selecting software.

Data Structure and Inputs

The software system should allow local programs to enter and retrieve their own data for individual students. To be most useful, the data should be organized by site and class. Exhibit 4.2 shows a basic data structure for NRS reporting and analysis. This structure allows programs to examine student outcomes by individual class, by single site, and for the program overall, and thus provides users the ability to examine the relationship between instruction and other program components and student outcomes.

Data elements used in the system and access methods should also support data linking and matching with other related agency and interagency systems. For example, taking the time and effort required to coordinate with other agencies and use standardized WIOA data definitions and common participant identifiers will simplify approaches to combine and analyze cross-system data. Developing standard procedures and tools for extracting and sharing data, individualized and aggregate—as appropriate—will streamline the process for data sharing.

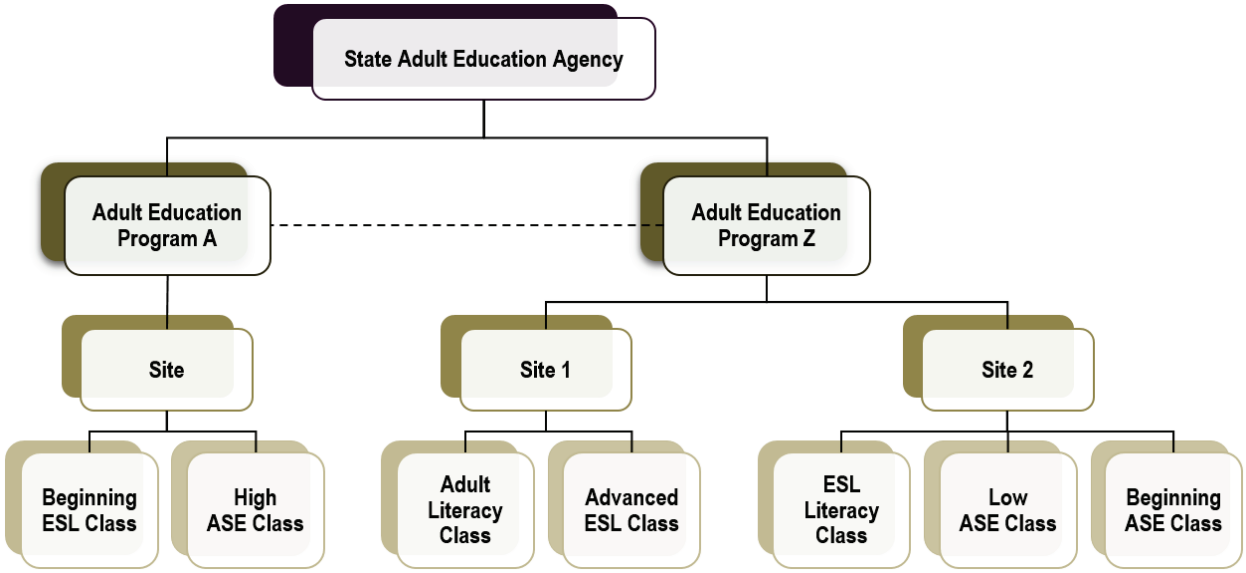
To provide adequate protection both for data integrity and the privacy of students, the system should be built using contemporary practices to prevent unauthorized access, data theft, and other forms of hacking. For example, data-access methods should be encrypted, and software should be engineered to prevent tampering. Parameters, set by policy and enforced by technology, should be established concerning appropriate and allowable use of data within the organization and for others with whom the data are shared.

The State and local systems must include, at a minimum, the WIOA indicators, required NRS measures and their applicable coding categories, and basic system functions to allow the inputting and reporting of these data. Exhibit 4.3 summarizes the basic data elements and functions needed for the NRS. The NRS guides, *Developing an NRS Data System: Putting the Pieces Together* and training resources from *Twenty-first century Data Systems for NRS: WIOA and Beyond* (available at http://www.nrsweb.org), contains more information about developing a data system for the NRS. *NRSWeb* also includes other training materials related to data system development and information about desirable analytic and reporting features.

Exhibit 4.1
Tips for Selecting Student Record Software to Meet NRS Requirements

Issues in Choosing Software The overall design of the software The training and support offered by the software's vendor The methods used to enter data into the software The various ways that the software allows the program to use data, including reporting, data analysis, and program planning functions
System Design What is the cost of the system? Does the system meet your agency's IT compatibility, security and privacy standards? Are your data definitions appropriate to facilitate data matches/sharing with partner agencies (consider coding conventions, granularity, etc.)? By what mechanism are data shared or integrated with other systems?
Usability Issues Is the software intuitive and easy to use? Do potential users appreciate the appearance of the software? Can the software be customized to meet the program's needs? Does the software include the *specific* measures, coding categories, and data elements needed by the program? How does the system provide for data security and personal privacy? Will the system be used by instructors or students? On what kinds of devices (desktop, laptop, tablet, phone, other)?
Training and Support Does the vendor offer training and/or support? What mechanisms of training and support are available? What is the cost of training or support? Does the software have documentation, such as online help, or a user knowledgebase? Does it provide information about data validation and business rules? Are there planned upgrades for the software? Are software upgrades made available free of charge, and are users notified when they become available?
Data Input Is data entry user friendly? Are data keyed in manually or can they be scanned into the system? What does the software use for a student ID number (e.g., Social Security numbers or program-defined numbers)? Can this number be changed if necessary? Does the software support multisite data entry at the individual program level? Can site-level data be aggregated to the program level? Can data be imported from other software packages (e.g., spreadsheets or other databases)? What formats are required by the software for imports?
Using the Data How do you plan to use data (i.e., for accountability, program improvement, or program evaluation) and does the software addresses these needs? Does the software come with built-in reports appropriate for the program's uses? How difficult is it to create reports or modify existing reports as needs arise? Is additional software needed to create new reports? Does the software allow users to search the database for specific records or conduct queries to locate different classes of records? What are the analytic capabilities of the software? Does the software allow users to conduct analyses at the individual student level? Can data be exported to other software packages (e.g., spreadsheets or other databases)? What format does the software use for exports?

Exhibit 4.2
Basic Data Structure for NRS Reporting and Analysis



ESL=English as a second language; ASE=adult secondary education

Reporting Capabilities

Equally important to the system's data structure and inputs is the system's capability to output or report information. For Federal reporting, the NRS requires that each State annually submit aggregated summary tables of descriptive and performance data. Each local program's software must have the capability to create these reports and submit an aggregated report to the State, or local programs must be able to submit their individual student data to the State for aggregation.

In addition to NRS tables, WIOA requires State-level reporting using the joint information collection request (ICR) template. This template includes extensive breakdowns by specific subpopulations, such as long-term unemployed participants and participants with disabilities. To obtain this information, the software system must have the capability to report separately the performance of participants with these barriers to employment.

Even more detailed reporting is needed to use NRS data to address program improvement needs. Among the most powerful uses of NRS data is the capability to understand the program and instructional factors related to successful student outcomes. To study these issues, States and local programs need the ability to examine data by site, class, and student characteristics and to relate outcomes to such variables as contact hours, teacher characteristics, and curriculum. Although most software systems commonly include these data elements, the reporting of this information in a form amenable to program performance evaluation can be problematic unless this capability is initially built into the system.

Exhibit 4.3
Basic Data Elements and Functions Needed for NRS Reporting

Basic Data Elements	
PARTICIPANT INFORMATION	**PARTICIPANT OUTCOMES**
• Name • Address • Phone • E-mail • Date of birth • Gender • Ethnicity • Barriers to employment • Program entry date • Program exit date • Highest degree or level of school completed • Educational functioning level • Employment status • Disability information • Test scores and dates (for computing EFL gain) • Program type: Adult basic education Adult secondary education Corrections education English as a second language or English language acquisition Family literacy Integrated education and training Integrated English literacy and civics education • Contact hours/dates (weekly/monthly)	Primary indicators of performance: Second-quarter employment Fourth-quarter employment Second-quarter earnings Credential attainment: • Credential type achieved (secondary and postsecondary) • Follow-up criteria for attainment of secondary school diploma or its recognized equivalent (employment or entry into postsecondary education or training during first year after exit) Measurable skill gain: • EFL gain type (via posttest, credits, entry into postsecondary education or training) • Secondary school diploma or its recognized equivalent Optional achievements: Achieved citizenship goals Increased involvement in child's education Increased involvement in child's literacy activities Registered to vote Increased involvement in community affairs
	STAFF INFORMATION
	• Function: Teacher Counselor Paraprofessional Local administrator State-level administrator Status (Full-time, part-time, volunteer) • Teacher years of experience in adult education: Less than 1 year 1 to 3 years More than 3 years • Teacher certification: No certification Adult education certification K–12 certification Special education certification Teachers of English to Speakers of Other Languages (TESOL) certification

Functions	
PROGRAM/SITE FUNCTIONS	**DESCRIPTION**
• Add program	• Set up information for program
• Add site	• Set up information for site associated with program
• Add class	• Set up information for class associated with site
• Move sites/classes	• Ability to move one or more classes to a different site or sites to a different program (merge)
• Class attendance	• Enter attendance information for all students in class
STUDENT FUNCTIONS	
• Intake	• Enter demographics, needs, goals, and so on at intake
• Enrollment	• Enroll/drop student in class
• Attendance	• Maintain attendance information for students
• Assessment	• Enter student test scores
• Leveling	• Student level based on test scores (automatic)
• Separation	• Enter separation information
STAFF FUNCTIONS	
• Staff profile	• Maintain information about staff members
• Contact hours	• Enter actual contact hours by week or month
REPORTING FUNCTIONS	
• NRS tables	• Generate NRS tables
SYSTEM MANAGEMENT FUNCTIONS	
• Assessment/leveling information	• Maintain information about test scores and levels
• Identify group designations for follow-up measures	• Maintain information about follow-up cohorts and outcomes
• Track periods of participation	• Maintain information about enrollments and exits

Federal Reporting Tables

NRS data are to be reported annually to OCTAE by each State in aggregate form. OCTAE has developed reporting tables for this purpose. These tables—included in Appendix E—have been revised by OCTAE for WIOA and reviewed and approved by the Federal Office of Management and Budget (OMB) under control number 1830-0027. Instructions on completing each table are included with each table. The joint Statewide Performance Report is also included in this guide and was approved by OMB under control number 1205-0526.

Several reporting tables allow for separate reporting on special populations for the primary indicators of performance. For example, tables for distance education and correctional education participants provide a picture of how these participants performed on performance measures. There also is a table to report outcomes of participants in integrated education and training (IET) and one optional table for separate reporting of participants in family literacy and integrated English literacy and civics education (IEL/CE) programs. States are encouraged to examine the performance of other target subpopulations separately and must submit separate reports to meet WIOA reporting requirements with additional breakdowns.

Employment measures follow a multiple-year reporting procedure. A time lag in the availability of employment data from the unemployment insurance (UI) database used for data matching requires reporting of students who attended in different program years for second- and fourth-quarter employment measures.

In addition to performance tables in the AEFLA information collection 1830-0027, the OCTAE requires States to submit a narrative report and financial reports detailing expenditures. Forms and instructions for the financial reports also are included in Appendix E.

States are required to submit the NRS tables, the Statewide Performance Report, and the Data Quality Checklist by October 1 of each year. The financial reports, narrative report, and assessment policy are due on December 31 of each year. States must submit all reporting components to OCTAE using the online NRS database.

APPENDIX A
OCTAE PROGRAM MEMORANDA AND JOINT GUIDANCE ON DATA MATCHING

OCTAE Program Memorandum 17-2

Performance Accountability Guidance for Workforce Innovation and Opportunity Act Title I, Title II, Title III and Title IV Core Programs

OCTAE Program Memorandum 17-5

Guidance on the Use of Funds Reserved for Activities under Section 243 of the Adult Education and Family Literacy Act (AEFLA), Title II of the Workforce Innovation and Opportunity Act (WIOA)

OCTAE Program Memorandum 17-6

Use of Supplemental Wage Information to Implement the Performance Accountability Requirements under the Workforce Innovation and Opportunity Act

OCTAE Program Memorandum 17-7

WIOA Annual Performance Report Submission

Joint Guidance on Data Matching

Joint Guidance on Data Matching to Facilitate WIOA Performance Reporting and Evaluation

OCTAE Program Memorandum 19-1

Guidelines that States must use in developing procedures for ensuring the data submitted to the Departments are valid and reliable.

APPENDIX B
NEW EDUCATIONAL FUNCTIONING LEVEL DESCRIPTORS FOR ADULT BASIC EDUCATION AND ENGLISH AS A SECOND LANGUAGE

NEW EDUCATIONAL FUNCTIONING LEVEL DESCRIPTORS FOR ADULT BASIC EDUCATION (ABE)[10]

LITERACY/ENGLISH LANGUAGE ARTS

Introduction

The educational functioning level (EFL) descriptors for Literacy/English Language Arts are intended to guide both teaching and assessment for adult learners. They are divided into six EFLs: Beginning Literacy; Beginning Basic; Low Intermediate; High Intermediate; Low Adult Secondary; and High Adult Secondary. The descriptors do not provide a complete or comprehensive delineation of all of the skills at any given level but provide examples of the most critical concepts and skills for the level. The descriptors use the College and Career Readiness (CCR) Standards for Adult Education (CCR) as the foundation.

While these narrative descriptors address the most critical concepts for assessment and instruction for adult learners, lesson plans and test items should be based on additional critical concepts from State instructional frameworks and standards, as appropriate for the learner and State requirements.

The EFLs for Literacy/English Language arts are organized into reading, writing, speaking and listening, and language domains. Emphasis was placed on reading and writing because most instruction and assessment attention will be paid to these domains for ABE students. In addition, the descriptors were further informed by OCTAE's Framework for Employability Skills to ensure the levels paid adequate attention to workforce preparation.

Reading

The reading sections of the descriptors are consistently more comprehensive than the other domains. Reading is a critical area for college and career readiness. One of the elements in the reading descriptors that draws clear distinctions between competencies required at each level is the complexity of the text that students are to be reading. The EFLs specify a staircase of increasing text complexity for students to master from beginning basic reading through the college and career readiness level. The comprehension skills of reading are to be applied to level-appropriate complex text. The reading domain elements of the descriptors carry within it references to other key skills from the other domains and workforce preparation skills. Examples of this include listening comprehension as a supplement to reading comprehension at levels 1 and 2 so students can work with the richer ideas adult students can handle intellectually, if not yet independently through their own reading. It also includes integrating and evaluating information from a variety of media, including translating quantitative or technical information presented visually or in words. Learning to work with diverse media is an important job skill as well as a critical applied academic skill. Another example is an emphasis on research that includes a combination of reading, writing,

[10] These descriptors are included in the AEFLA information collection (OMB control number 1830-0027) and were implemented with Federal Register notice 82 FR 42339.

and speaking and listening skills—again as a way to connect the domains in important ways and to create the EFLs as a focused and useful document.

Writing

Details about the level of writing proficiency required at each level have been pared to draw clear distinctions between competencies required at each level. The descriptors emphasize writing arguments and writing to inform and explain from Level 3 and beyond. Both writing types stress writing to sources, and asking students to draw evidence from texts is emphasized in the descriptors. With writing, many of the process standards were not included because process proficiency is hard to measure. In addition, reference is consistently made to research skills in both the reading and writing sections of each level, as these skills are important to writing.

Speaking and Listening

The speaking and listening descriptors at each level ware connected closely to workforce preparation and the Employability Skills Framework. These skills have the benefit of both being measurable and clearly related to citizenship, work and life success. Collaborative conversations and teamwork are emphasized at *every* level, as is students' use of evidence. In this context of speaking and listening, the descriptors reflect use of listening comprehension capacities (particularly in Levels 1 and 2 to augment students' lower reading comprehension abilities), evidence in conversation, ability to evaluate what others are saying, and the capacity to share information effectively with others.

Language

In the language domain, descriptors consistent with workforce preparation from the Employability Skills Framework and are vital to attaining college and career readiness from each level such as a growth in students' grammar and punctuation skills, as well as their growth in vocabulary.

Level 1: Beginning Literacy

Reading: Individuals ready to exit the Beginning Literacy Level comprehend how print corresponds to spoken language and are able to demonstrate understanding of spoken words, syllables, and sound-letter relationships (phonetic patterns), including consonant digraphs and blends. In particular, students at this level are able to recognize and produce rhyming words, blend and segment onsets and rhymes, isolate and pronounce initial, medial, and final sounds, add or substitute individual sounds, and blend and segment single syllable words. They are able to decode two-syllable words following basic patterns as well as recognize common high frequency words by sight. Individuals are able to read simple decodable texts with accuracy, appropriate rate, and expression. They are able to determine the meaning of words and phrases in texts with clear and explicit context.

Individuals ready to exit this level are able to determine main ideas, retell key details, and ask and answer questions about key details in simple texts. Individuals are also able to use the illustrations in the text(s), whether print or digital, to describe its key ideas (e.g., maps, charts, photographs, cartoons). They also are able to use text features, both print and digital, to locate key facts or information. When listening to text above their current independent reading level, they are

able to identify the reasons an author gives to support points in a text, describe the connections between ideas within a text, and examine the basic similarities in and differences between two texts on the same topic.

Writing: Individuals ready to exit the Beginning Literacy Level are able to write basic sight words and familiar words and phrases as they compose simple sentences or phrases. This includes writing simple informative texts in which they supply some facts about a topic and narratives that include some details regarding what happened. They use simple transition and temporal words to signal event order (e.g., so, and, because, when, next, finally). With support, they are able to gather and use information from provided sources, both print and digital, to answer a simple research question.

Speaking and Listening: Individuals ready to exit this level are able to participate in conversations of short duration, collaborating with diverse partners and groups, while respecting individual differences. This includes following agreed upon rules for discussion and responding to the comments of others through multiple exchanges. Individuals are able to describe people, places, things, and events with relevant details, producing complete sentences when appropriate to task and situation. They can discuss what they have heard read aloud and ask and answer questions about it.

Language: When writing and speaking, individuals ready to exit this level are able to correctly use frequently occurring nouns, verbs (past, present, and future), adjectives, pronouns, prepositions and conjunctions. When writing sentences individuals correctly use capitalization, ending punctuation, and commas in dates and to separate single words in a series. They are able to spell words with common patterns and frequently occurring irregular words. Other words they spell phonetically. In response to prompts, they are able to produce and expand complete simple and compound declarative, interrogative, imperative, and exclamatory sentences orally. Individuals are able to determine the meaning of unknown and multiple-meaning words, by applying their knowledge of frequently occurring roots and affixes, as well as sentence-level context. They are able to distinguish shades of meaning among verbs (e.g., look, glance, stare, glare) and adjectives differing in intensity (e.g., large, gigantic) by choosing them or acting out their meanings.

Level 2: Beginning Basic

Reading: Individuals ready to exit the Beginning Basic Level are able to decode multi-syllable words, distinguish long and short vowels when reading regularly spelled one-syllable words, and recognize the spelling-sound correspondences for common vowel teams. They also are able to identify and understand the meaning of the most common prefixes and suffixes. They can read common irregular sight words. Individuals are able to read level appropriate texts (e.g., texts with a Lexile Measure of between 420 and 820) with accuracy, appropriate rate, and expression.[11] They are able to determine the meaning of words and phrases in level-appropriate complex texts. Individuals ready to exit this level are able to determine main ideas, ask and answer questions about key details in texts and show how those details support the main idea. Individuals also are able to explain how specific aspects of both digital and print illustrations contribute to what is conveyed by the words of a text. They are able to compare and contrast the most important points and key details of two texts on the same topic. When listening to text above their current independent reading level, they are able to

[11] Refer to the Text Complexity Chart at the end of this document for the CCR standards for adult education for the appropriate range of complexity for this level.

describe the relationship between ideas in a text in terms of time, sequence, and cause/effect, as well as use text features and search tools, both print and digital, to locate information relevant to a given topic efficiently. They also are able to describe how reasons support specific points an author makes in a text and identify the author's main purpose or what the author wants to answer, explain or describe, as well as distinguish their own point of view from that of the author's.

Writing: Individuals ready to exit the Beginning Basic Level are able to write opinion pieces on topics or texts, supporting a point of view with reasons. They are able to write simple informative texts in which they examine a topic and convey information clearly. They also are able to write narratives with details that describe actions, thoughts, and feelings. They use transition and temporal words (e.g., also, another, more, but) to link ideas and signal event order. Individuals ready to exit this level are able to use technology to produce and publish writing as well as to interact and collaborate with others. They are able to conduct short research projects and summarize their learning in print. This includes taking brief notes from both print and digital sources, and sorting evidence into provided categories.

Speaking and Listening: Individuals ready to exit this level are able to participate in a range of collaborative conversations with diverse partners and groups, respecting individual differences. This includes gaining the floor in respectful way, linking their comments to the remarks of others, and expressing their own ideas, clearly in light of the discussions. Individuals are able to report on a topic or text or recount an experience, with appropriate facts, and relevant, descriptive details. They are able to speak in complete sentences appropriate to task and situation in order to provide requested detail or clarification. They can discuss what they have heard read aloud and provide the main ideas and appropriate elaboration and detail about the information presented.

Language: When writing and speaking, individuals ready to exit this level are able to correctly use regular and irregular nouns and verbs, comparative and superlative adjectives and adverbs, and coordinating and subordinating conjunctions. When writing simple, compound and complex sentences, individuals use correct subject-verb and pronoun-antecedent agreement. They also use correct capitalization, ending punctuation, commas, and apostrophes to form contractions and possessives. They also are able to spell words with conventional patterns and suffixes. They are able to use spelling patterns and generalizations (e.g., word patterns, ending rules) in writing words. In response to prompts, they are able to produce, expand, and rearrange simple and compound sentences. Individuals are able to determine the meaning of unknown and multiple-meaning words in level-appropriate complex texts, including academic words, by applying their knowledge of roots and affixes, as well as sentence-level context. They are able to distinguish literal from non-literal meaning of words, and shades of meaning among related words that describe states of mind or degrees of certainty (e.g., knew, believed, wondered, suspected). They are able to demonstrate understanding of and use general academic words that signal spatial and temporal relationships.

Level 3: Low Intermediate

Reading: Individuals ready to exit the Low Intermediate Level are able to read fluently text of the complexity demanded of this level (e.g., a Lexile Measure of between 740 and 1010).[12] They are able to use knowledge of letter-sound correspondences, syllabication patterns, and roots and

[12] Refer to the Text Complexity Chart at the end of this document for the CCR standards for adult education for the appropriate range of complexity for this level.

affixes to accurately decode unfamiliar words. They are able to determine the meaning of words and phrases (e.g., metaphors and similes) in level-appropriate complex texts. Individuals ready to exit this level are able to make logical inferences, summarize central ideas or themes, and explain how they are supported by key details. They are able to explain events, procedures, or ideas in historical, scientific, or technical texts, including what happened and why. They are able to describe the overall structure of a text and compare and contrast the structures of two texts. Individuals ready to exit this level are also able to interpret information presented visually, orally or quantitatively to find an answer to a question or solve a problem. They display this facility with both print and digital media. Individuals are able to explain how authors use reasons and evidence to support particular points in a text and can integrate information from several texts, whether print, media, or a mix, on the same topic. They are able to describe how point of view influences how events are described. They are able to analyze multiple accounts of the same event or topic, noting similarities and differences. They are able to produce valid evidence for their findings and assertions.

Writing: Individuals ready to exit the Low Intermediate Level are able to write opinion pieces on topics or texts, supporting a point of view with facts and logically ordered reasons. They are able to produce informative texts in which they develop a topic with concrete facts and details. They convey information clearly with precise language and well-organized paragraphs. They link ideas, opinions and reasons with words, phrases, and clauses (e.g., another, specifically, consequently, because). They are also able to use technology (including the Internet) to produce and publish writing as well as to interact and collaborate with others. They are able to conduct short research projects, making frequent use of on-line as well as print sources. This includes the ability to draw evidence from several texts to support an analysis. They are able to summarize or paraphrase information from and provide a list of those sources.

Speaking and Listening: Individuals ready to exit this level are able to participate in a range of collaborative conversations with diverse partners and groups, respecting individual differences. This includes demonstrating an understanding of teamwork and working well with others by carrying out their assigned roles, and posing and responding to specific questions, and making comments that contribute to and elaborate on the remarks of others. Individuals are able to report on a topic or text or present an opinion, sequencing ideas logically and providing appropriate facts, and relevant, descriptive details that support the main ideas or themes. They are able to differentiate between contexts that call for formal English and situations where informal discourse is appropriate. They also are able to paraphrase and summarize what they have heard aloud and explain how each claim is supported by reasons and evidence.

Language: When writing and speaking, individuals ready to exit this level are able to use verb tenses to convey various times, sequences, states, and conditions correctly and recognize inappropriate shifts in verb tense. They use prepositions, conjunctions, and interjections properly. Individuals write simple, compound and complex sentences and use correct subject-verb and pronoun-antecedent agreement throughout a piece of writing. They also use correct capitalization, commas, and underlining, quotation marks, and italics to indicate titles of works. They are able to correctly use frequently confused words (e.g., to, too, two; there, their) and spell correctly, consulting references as needed. They are able to produce complete sentences, recognizing and correcting inappropriate fragments and run-ons as well as expand, combine and reduce sentences for meaning, reader interest and style. Individuals are able to determine the meaning of unknown and multiple-meaning words in level-appropriate complex texts, including academic words, by applying their knowledge of roots and affixes, as well as sentence-level context. Individuals are able to interpret figurative language, including similes and metaphors. They also are able to recognize and explain the

meaning of common idioms, adages, and proverbs. They are able to demonstrate understanding of and use general academic words that signal precise actions or emotions (e.g., whined, stammered), signal contrast (e.g., however, nevertheless), or other logical relationships (e.g., however, similarly), and are basic to a particular topic (e.g. endangered when discussing animal preservation).

Level 4: High Intermediate

Reading: Individuals who are ready to exit the High Intermediate Level are able to read fluently text of the complexity demanded of this level (e.g., a Lexile Measure of between 925 and 1185).[13] They display increasing facility with academic vocabulary and are able to analyze the impact of a specific word choice on meaning and tone in level-appropriate complex texts.

Individuals are able to make logical inferences by offering several pieces of textual evidence. This includes citing evidence to support the analysis of primary and secondary sources in history, as well as analysis of science and technical texts. They are able to summarize and analyze central ideas, including how they are conveyed through particular details in the text. They also are able to analyze how a text makes connections among and distinctions between ideas or events and how major sections of a text contribute to the development of the ideas. They also are able to follow multistep procedures. Individuals are able to identify aspects of a text that reveal point of view and assess how point of view shapes style and content in texts. In addition, they are able to evaluate the validity of specific claims an author makes through the sufficiency of the reasoning and evidence supplied in the text. This includes analyzing how an author responds to conflicting evidence or viewpoints. They are able to analyze how multiple texts address similar themes, including how authors acknowledge and respond to conflicting evidence or viewpoints and include or avoid particular facts. Individuals are also able to analyze the purpose of information presented in diverse media as well as integrate and evaluate content from those sources, including quantitative or technical information presented visually and in words. They are able to produce valid evidence for their findings and assertions, make sound decisions, and solve problems.

Writing: Writing in response to one or more text(s), individuals ready to exit this level are able to compose arguments and informative texts (this includes the narration of historical events, scientific procedures/experiments, or technical processes). When writing arguments, they are able to introduce claims, acknowledge alternate or opposing claims, support claims with clear reasons and relevant evidence, and organize them logically in a manner that demonstrates an understanding of the topic. When writing informative texts, individuals are able to examine a topic through the selection, organization, and analysis of relevant facts, concrete details, quotations and other information to aid comprehension. Individuals create cohesion in their writing by clarifying the relationships among ideas, reasons, and evidence; using appropriate transitions; and including a logical progression of ideas, and maintaining consistency in style and tone. Individuals are able to use specific word choices appropriate for the topic, purpose, and audience. They also are able to use technology to produce and publish writing and link to and cite sources. They conduct short research projects, drawing on several sources. This includes the ability to draw evidence from several texts to support an analysis. It also includes the ability to locate and organize information, assess the credibility and accuracy of each source, and communicate the data and conclusions of others while avoiding plagiarism.

[13] Refer to the Text Complexity Chart at the end of this document for the CCR standards for adult education for the appropriate range of complexity for this level.

Speaking and Listening: Individuals ready to exit the High Intermediate level collaborate well as a member of team by building on others' ideas, expressing their own clearly and maintaining a positive attitude. This includes following the rules for collegial discussions and decision-making and tracking progress toward specific goals and deadlines. It also includes the ability to pose questions that connect the ideas of several speakers and respond to others' questions and comments with relevant evidence and ideas. During these discussions, individuals are able to qualify, alter, or justify their own views in light of the evidence presented by others. Just as in writing, individuals are able to delineate a speaker's argument, evaluating the soundness of the reasoning and relevance of the evidence. They are able to identify when irrelevant evidence is introduced. They also are able to present their own claims and findings that emphasize salient points in a focused and coherent manner, with relevant evidence, valid reasoning, and well-chosen details. Individuals adapt their speech to a variety of contexts and tasks, demonstrating a command of formal English when indicated or appropriate.

Language: When writing and speaking, individuals ready to exit the High Intermediate level are able to ensure pronouns are in the proper case, recognize and correct inappropriate shifts in pronoun number and person, and correct vague or unclear pronouns. They know how to form all verb tenses, and recognize and correct inappropriate shifts in verb voice and mood. They know how to recognize and correct misplaced and dangling modifiers. They are able to adapt their speech to a variety of contexts and tasks when indicated. They are able to choose language that expresses ideas precisely and concisely, recognizing and eliminating redundancy and wordiness as well as maintaining consistency in style and tone. Though errors may be present, the meaning of their written and oral communications is clear. Individuals are able to determine the meaning of unknown and multiple-meaning words and phrases as they are used in level–appropriate complex texts through context clues, knowledge of affixes and roots, and use of reference materials.

Level 5: Low Adult Secondary

Reading: Individuals who are ready to exit Low Adult Secondary Level are able to read fluently texts that measure at the secondary level of complexity (e.g., a Lexile Measure of between 1050 and 1335).[14] This includes increasing facility with academic vocabulary and figurative language in level-appropriate complex texts. This includes determining the meaning of symbols and key terms used in a specific scientific or technical context. They are able to analyze the cumulative impact of specific word choices on meaning and tone. Individuals are able to make logical and well-supported inferences about those complex texts. They are able to analyze the development of central ideas over the course of a text and explain how they are refined by particular sentences, paragraphs, or portions of text. They are able to provide an objective summary of a text. They are able to analyze in detail a series of events described in text and determine whether earlier events caused later ones or simply preceded them. They also are able to follow complex multistep directions or procedures. Individuals are able to compare the point of view of two or more authors writing about the same or similar topics. They are able to evaluate the validity of specific claims an author makes through the sufficiency and relevance of the reasoning and evidence supplied. They also are able to identify false statements and fallacious reasoning. They are able to analyze how multiple texts address related themes and concepts, including challenging texts, such as seminal U.S. documents of historical and literary significance (e.g., Washington's Farewell Address, the Gettysburg Address). In addition, they

[14] Refer to the Text Complexity Chart at the end of this document for the CCR standards for adult education for the appropriate range of complexity for this level.

are able to contrast the findings presented in a text, noting whether those findings support or contradict previous explanations or accounts. Individuals are also able to translate quantitative or technical information expressed in words in a text into visual form (e.g., a table or chart) and translate information expressed visually or mathematically into words. Through their reading and research, they are able to cite strong and thorough textual evidence for their findings and assertions to make informed decisions and solve problems.

Writing: Writing in response to one or more text(s), individuals ready to exit this level are able to compose arguments and informative texts (this includes the narration of historical events, scientific procedures/experiments, or technical processes). When writing arguments, they are able to introduce precise claims, distinguish the claims from alternate or opposing claims, and support claims with clear reasons and relevant and sufficient evidence. When writing informative texts, they are able to examine a topic through the effective selection, organization, and analysis of well chosen, relevant, and sufficient facts appropriate to the audience's knowledge of the topic. They use appropriate and varied transitions as well as consistency in style and tone to link major sections of the text, create cohesion, and establish clear relationships among claims, reasons, and evidence. Individuals use precise language and domain-specific vocabulary to manage the complexity of the topic. They are also able to take advantage of technology's capacity to link to other information and display information flexibly and dynamically. They conduct short research projects as well as more sustained research projects to make informed decisions and solve problems. This includes the ability to draw evidence from several texts to support an analysis. It also includes the ability to gather and organize information, assess the credibility, accuracy, and usefulness of each source, and communicate the data and conclusions of others while avoiding plagiarism.

Speaking and Listening: Individuals ready to exit the Low Adult Secondary level are able to participate in a thoughtful, respectful, and well-reasoned exchange of ideas as a member of a team. As they collaborate with peers, they are able to set rules for collegial discussions and decision-making, clear goals and deadlines. They are able to propel these conversations forward by clarifying, verifying or challenging ideas that are presented, actively incorporating others into the discussion, responding thoughtfully to diverse perspectives, and summarizing points of agreement and disagreement. They also are able to qualify, alter, or justify their own views and understanding in light of the evidence and reasoning presented by others. Just as in writing, individuals are able to evaluate a speaker's point of view, and in particular, assess the links among ideas, word choice, and points of emphasis and tone used. They also are able to present their own findings and supporting evidence clearly, concisely, and logically such that listeners can follow the line of reasoning. Individuals adapt their speech to a variety of contexts and tasks, demonstrating a command of formal English when indicated or appropriate.

Language: Individuals ready to exit the Low Adult Secondary level demonstrate strong control of English grammar, usage, and mechanics and use these elements to enhance the presentation of ideas both in speech and writing. This includes the use of parallel structure and the correct use of various types of phrases and clauses to convey specific meanings. They are able to adapt their speech to a variety of contexts and tasks when indicated. Though some errors may be present, meaning of their written and oral communications is clear. Individuals are able to determine the meaning of unknown and multiple-meaning words and phrases as they are used in level-appropriate complex texts through context clues, knowledge of affixes and roots, and use of reference materials.

Level 6: High Adult Secondary

Reading: Individuals who are ready to exit High Adult Secondary Level are able to read fluently at the college and career readiness level of text complexity (e.g., a Lexile Measure between 1185 and 1385).[15] This includes increasing facility with academic vocabulary and figurative language sufficient for reading, writing, speaking, and listening at the college and career readiness level. They are able to analyze the cumulative impact of specific word choices on meaning and tone. Individuals are able to make logical and well-supported inferences about those complex texts. They are able to summarize the challenging ideas, concepts or processes contained within them. They are able to paraphrase texts in simpler but still accurate terms. Whether they are conducting analyses of complex primary and secondary sources in history or in scientific and technical texts, they are able to analyze how the ideas and concepts within them develop and interact. Individuals are able to assess how points of view shape style and content in texts with particular attention to distinguishing what is directly stated in a text from what is really meant (e.g., satire, sarcasm, irony, or understatement). Individuals are able to analyze how multiple texts address related themes and concepts, including challenging texts such as U.S. founding documents (Declaration of Independence, the Bill of Rights). In addition, they are able to compare and contrast treatments of the same topic in several primary and secondary sources. Individuals are also able to integrate and evaluate multiple sources of information presented in diverse media in order to address a question. Through their reading and research at complex levels, they are able to cite strong and thorough textual evidence for their findings and assertions to make sound decisions and solve problems.

Writing: Writing in response to one or more text(s), individuals ready to exit this level are able to compose arguments and informative texts (this includes the narration of historical events, scientific procedures/experiments, or technical processes). When writing arguments, they are able to create an organization that establishes clear relationships among the claim(s), counterclaim(s), reasons and evidence. They fully develop claims and counterclaims, supplying evidence for each while pointing out the strengths and limitations of both in a manner that anticipates the audience's knowledge level and concerns. When writing informative texts, they are able to organize complex ideas, concepts, and information to make important connections and distinctions through the effective selection and analysis of content. They use appropriate and varied transitions to clarify the relationships among complex ideas, create cohesion, and link major sections of the text. Individuals are able to maintain a formal style while they attend to the norms and conventions of the discipline in which they are writing. They are also able to take advantage of technology's capacity to link to other information and display information flexibly and dynamically. They conduct short research projects as well as more sustained research projects that require the synthesis of multiple complex sources to make informed decisions and solve problems. This includes the ability to draw evidence from several texts to support an analysis. It also includes the ability to gather and organize information, assess the credibility, accuracy, and usefulness of each source in answering the research question, noting any discrepancies among the data collected.

Speaking and Listening: Individuals ready to exit the High Adult Secondary level demonstrate flexibility, integrity, and initiative when collaborating as an effective member of a team. They are able to manage their time and other resources wisely in order to contribute to the team's overarching goal(s) and meet the agreed upon deadlines. This includes the ability to exercise

[15] Refer to the Text Complexity Chart at the end of this document for the CCR standards for adult education for the appropriate range of complexity for this level.

leadership, resolve conflicts as they arise, and pose and respond to questions that relate the current discussion to broader themes or larger ideas. They are able to express alternative views clearly and persuasively, verify or challenge others' ideas and conclusions, and think creatively and critically in light of the evidence and reasoning presented. Just as in writing, individuals are able to evaluate a speaker's point of view, stance, premises, evidence, reasoning, rhetoric, and tone. They also are able to present their own findings and supporting evidence clearly, concisely, and logically such that listeners can follow the line of reasoning, making strategic use of digital media Individuals adapt their speech to a variety of contexts and tasks, demonstrating a command of formal English when indicated or appropriate.

Language: Individuals ready to exit the High Adult Secondary level demonstrate strong control of English grammar, usage, and mechanics and use these elements to enhance the presentation of ideas both in speech and writing. This includes the use of parallel structure and the correct use of various types of phrases and clauses to convey specific meanings. They are able to adapt their speech to a variety of contexts and tasks when indicated. The meaning of their written and oral communications is clear. Individuals are able to determine the meaning of unknown and multiple-meaning words and phrases as they are used in level-appropriate complex texts through context clues, knowledge of affixes and roots, and use of reference materials.

Exhibit B.1. Quantitative Analysis Chart for Determining Text Complexity[16]

CCR Levels of Learning	ATOS	Degrees of Reading Power	Flesch-Kincaid	The Lexile Framework	Reading Maturity
B (Level 2)	2.75–5.14	42–54	1.98–5.34	420–820	3.53–6.13
C (Level 3)	4.97–7.03	52– 60	4.51–7.73	740–1010	5.42–7.92
D (Level 4)	7.00–9.98	57–67	6.51–10.34	925–1185	7.04–9.57
E (Level 5)	9.67–12.01	62–72	8.32–12.12	1050–1335	8.41–10.81
E (Level 6)	11.20–4.10	67–74	10.34–14.2	1185–1385	9.57–12.00

[16] This chart only identifies text complexity for levels B through E. At level A, students are just learning how to read, so it is not appropriate to focus on the complexity of the text until level B.

MATHEMATICS

Introduction and Process

The EFL Descriptors for Mathematics also use the CCR as the foundation. They are intended to guide both teaching and assessment for adult learners. While these narrative descriptors address the most critical concepts for adult learners (as defined in the Major Work of the Level), there are additional concepts found in the CCR standards that support the major work for each level, and that are included in these descriptors. Lesson plans and assessment items for adult learners should be based on the full text of the CCR standards for each level, using these critical concepts as the foundation for lesson development and assessment.

The mathematics descriptors are divided into six educational functioning levels. The levels are Beginning Literacy (corresponding to Level A of the CCR); Beginning Basic (corresponding to Level B of the CCR); Low Intermediate (corresponding to Level C of the CCR); Middle Intermediate (corresponding to part of the Level D CCR), High Intermediate (corresponding to the remainder of the Level D CCR); and Adult Secondary (corresponding to Level E of the CCR). Each of the levels corresponds roughly to two grade levels, in K-12 terms, except for Level E, which combines the critical concepts of all of grades 9 through 12. Within each level the descriptors are further divided by domain: *The Mathematical Practices, Number Sense and Operations, Algebraic Thinking, Geometry (and Measurement), and Data Analysis (Statistics and Probability).*

The descriptors do not provide a complete or comprehensive delineation of all of the skills at any given level but provide examples of the most critical concepts and skills for the level to guide assessment and instruction. Assessment of the Mathematical Practice descriptors are best performed in the classroom using assessments that could be formative or summative and may be informal. It should be noted that mathematics placement decisions should take into account the reading level of the adult student. Verbally presented application problems at all mathematics levels require a minimum reading level.

Level 1: Beginning Literacy

The Mathematical Practices: Students prepared to exit this level are able to decipher a simple problem presented in a context and reason about and apply correct units to the results. They can visualize a situation using manipulatives or drawings and explain their processes and results using mathematical terms and symbols appropriate for the level. They recognize errors in the work and reasoning of others. They are able to strategically select and use appropriate tools to aid in their work, such as pencil/paper, measuring devices, and/or manipulatives. They can see patterns and structure in sets of numbers and geometric shapes and use those insights to work more efficiently.

Number Sense and Operations: Students prepared to exit this level have an understanding of whole number place value for tens and ones and are able to use their understanding of place value to compare two-digit numbers. They are able to add whole numbers within 100 and explain their reasoning, e.g., using concrete models or drawings and strategies based on place value and/or properties of operations. They are able to apply their knowledge of whole number addition and subtraction to represent and solve word problems that call for addition of three whole numbers whose sum is less than 20 by using such problem-solving tools as objects, drawings, and/or simple equations.

Algebraic Thinking: Students prepared to exit this level understand and apply the properties of operations to addition and subtraction problems. They understand the relationship between the two operations and can determine the unknown number in addition or subtraction equations.

Geometry and Measurement: Students prepared to exit this level can analyze and compare 2-dimensional and 3-dimensional shapes based on their attributes, such as their shape, size, orientation, the number of sides and/or vertices (angles), or the lengths of their sides. They can reason with two-dimensional shapes (e.g., quadrilaterals and half- and quarter-circles) and with three-dimensional shapes (e.g., right prisms, cones, and cylinders) to create composite shapes. They are able to measure the length of an object as a whole number of units, which are not necessarily standard units, for example measuring the length of a pencil using a paper clip as the length unit.

Data Analysis: Students prepared to exit this level are able to organize, represent, and interpret simple data sets (e.g., lists of numbers, shapes, or items) using up to three categories. They can answer basic questions related to the total number of data points in a set and the number of data points in each category, and can compare the number of data points in the different categories.

Level 2: Beginning Basic

The Mathematical Practices: Students prepared to exit this level are able to decipher two-step problems presented in a context, visualizing a situation using diagrams or sketches, and reasoning about and applying the correct units and the proper degree of precision to the results. They can explain their processes and results using mathematical terms and symbols appropriate for the level and recognize errors in the reasoning of others. They strategically select and use the appropriate tools to aid in their work, such as pencil/paper, measuring devices, manipulatives, and/or calculators. They are able to see patterns and structure in sets of numbers, including in multiplication or addition tables, and use those insights to work more efficiently.

Number Sense and Operations: Students prepared to exit this level understand place value for whole numbers to 1000 and can use that understanding to read, write, count, compare, and round three-digit whole numbers to the nearest 10 or 100. They are able to compute fluently with all four operations with whole numbers within 100. They use place value and properties of operations to explain why addition and subtraction strategies work, and can demonstrate an understanding of the inverse relationship between multiplication and division. They can solve one- and two-step word problems involving all four operations within 100 and identify and explain arithmetic patterns. They have an understanding of fractions, especially unit fractions, and can represent simple fractions on a number line. They understand and can explain equivalence of fractions, can recognize and generate simple equivalent fractions, and can compare two fractions with the same numerator or denominator by reasoning about their size.

Algebraic Thinking: Students prepared to exit this level apply the properties of operations to multiplication and division of whole numbers. They understand the relationship between multiplication and division and can determine the unknown number in multiplication or division equations.

Geometry and Measurement: Students prepared to exit this level are able to reason about geometric shapes and their attributes. They can demonstrate an understanding that different shapes might share common attributes (e.g., four sides) and can compare and classify two-dimensional shapes, particularly quadrilaterals. They are able to partition shapes into parts with equal areas and

express the area of each part as a unit fraction of the whole. They can use common U.S. Customary and metric units for linear measurements (e.g., inches, feet, centimeters, and meters) and solve problems involving measurement and estimation of intervals of time, liquid volumes, and masses of objects. They understand the concept of area and can relate it to addition and multiplication to solve real-world problems. They also understand, and can solve, real-world and mathematical problems involving perimeter of polygons.

Data Analysis: Students prepared to exit this level are able to draw and interpret simple graphs (e.g., bar graphs, picture graphs, and number line diagrams) including scaled bar and picture graphs. They can solve one- and two-step problems using scaled bar graphs. They can generate measurement data by measuring lengths to the nearest half- and quarter-inch and display that data by making a line plot marked off in appropriate units.

Level 3: Low Intermediate

The Mathematical Practices: Students prepared to exit this level are able to decipher multi-step problems presented in a context and reason about and apply the correct units and the proper degree of precision to the results. They can visualize a situation using diagrams or sketches, see multiple strategies for solving a problem, explain their processes and results, and recognize errors in the work and reasoning of others. They can express themselves using mathematical terms and notation appropriate for the level and can strategically select and use tools to aid in their work, such as pencil/paper, measuring devices, and/or technology. They are able to see patterns and structure in sets of numbers and geometric shapes and use those insights to work more efficiently.

Number Sense and Operations: Students prepared to exit this level understand place value for both multi-digit whole numbers and decimals to thousandths, and use their understanding to read, write, compare, and round decimals. They are able to use their place value understanding and properties of operations to fluently perform operations with multi-digit whole numbers and decimals. They can find common factors, common multiples, and understand fraction concepts, including fraction equivalence and comparison. They can add, subtract, multiply and divide with fractions and mixed numbers. They are able to solve multi-step word problems posed with whole numbers and fractions, using the four operations. They also have an understanding of ratio concepts and can use ratio language to describe a relationship between two quantities, including the concept of a unit rate associated with a ratio.

Algebraic Thinking: Students prepared to exit this level are able to apply and extend their understanding of arithmetic to algebraic expressions, using a symbol to represent an unknown value. They can write, evaluate, and interpret expressions and equations, including expressions that arise from formulas used in real-world problems. They can solve real-world and mathematical problems by writing and solving simple one-variable equations and write a simple inequality that represents a constraint or condition in a real-world or mathematical problem. They can represent and analyze quantitative relationships between dependent and independent variables.

Geometry and Measurement: Students prepared to exit this level have a basic understanding of the coordinate plane and can plot points (i.e., ordered pairs) and place polygons in the coordinate plane to solve real-world and mathematical problems. They can classify two-dimensional shapes and use formulas to determine the area of two-dimensional shapes such as triangles and quadrilaterals. They can determine the surface area of three-dimensional shapes composed of rectangles and triangles, and find the volume of right rectangular prisms. They are able to convert like measurement

units within a given measurement system (e.g., convert 5 cm to 0.05 m) and use these conversions to solve multi-step, real-world problems. They are also able to solve measurement word problems (such as those that involve area, perimeter, distance, time intervals, liquid volumes, mass, and money) that involve simple fractions or decimals.

Data Analysis and Statistics: Students prepared to exit this level have a basic conceptual understanding of statistical variability, including such concepts as center, spread, and the overall shape of a distribution of data. They can present data using displays such as dot plots, histograms, and box plots.

Level 4: Middle Intermediate

The Mathematical Practices: Students prepared to exit this level are able to think critically, determine an efficient strategy (from among multiple possible strategies) for solving a multi-step problem, and persevere in solving challenging problems. They can express themselves using the mathematical terms and notation appropriate to the level. They are able to defend their findings and critique the reasoning of others. They are accurate in their calculations and use estimation strategies to assess the reasonableness of their results. They can create algebraic and geometric models and use them to answer questions and solve problems. They can strategically select and use tools to aid in their work, such as pencil/paper, measuring devices, calculators, and/or spreadsheets. They are able to see patterns and structure in number sets, data, expressions and equations, and geometric figures.

Number Sense and Operations: Students prepared to exit this level have an understanding of the rational number system, including how rational numbers can be represented on a number line and pairs of rational numbers can be represented on a coordinate plane. They can apply the concept of absolute value to find horizontal and vertical distances. They are able to apply the properties of integer exponents and evaluate, estimate, and compare simple square roots and cube roots. Individuals at this level also understand ratio, rate, and percent concepts, as well as proportional relationships.

Algebraic Thinking: Students prepared to exit this level understand the connections between proportional relationships, lines, and linear equations. They understand numerical and algebraic expressions, and equations and are able to use them to solve real-world and mathematical problems. They are able to analyze and solve linear equations and pairs of simultaneous linear equations. Individuals at this level are able to define, interpret, and compare linear functions.

Geometry: Students prepared to exit this level can solve real-world and mathematical problems that involve angle measure, circumference, and area of 2-dimensional figures. They are able to solve problems involving scale drawings of 2-dimensional geometric figures. They understand the concepts of congruence and similarity with respect to 2-dimensional figures. They understand the Pythagorean theorem and can apply it to determine missing lengths in right triangles.

Statistics and Probability: Students prepared to exit this level can summarize and describe numerical data sets in relation to their context, including determining measures of center and variability and describing patterns and/or striking deviations from patterns. They understand and can apply the concept of chance, or probability. They are able to use scatter plots for bivariate measurement data to describe patterns of association between two quantities (such as clustering, outliers, positive or negative association, linear or non-linear association).

Level 5: High Intermediate

The Mathematical Practices: Students prepared to exit this level are able to think critically, determine an efficient strategy (from among multiple possible strategies) for solving a multi-step problem, and persevere in solving challenging problems. They can reason quantitatively, including using units as a way to solve problems. They are able to defend their findings and critique the reasoning of others. They are accurate in their calculations and use estimation strategies to assess the reasonableness of their results. They can create algebraic and geometric models and use them to answer questions and solve problems. They can strategically select and use tools to aid in their work, such as graphing calculators, spreadsheets, and/or computer software. They are able to make generalizations based on patterns and structure they discover in number sets, data, expressions and equations, and geometric figures and use these insights to work more efficiently.

Number Sense and Operations: Students prepared to exit this level can reason about and solve real-world and mathematical problems that involve the four operations with rational numbers. They can apply the concept of absolute value to demonstrate on a number line their understanding of addition and subtraction with negative and positive rational numbers. Individuals at this level can apply ratio and percent concepts, including using rates and proportional relationships to solve multi-step real-world and mathematical problems.

Algebraic Thinking: Students prepared to exit this level are able to use algebraic and graphical representations to solve real-world and mathematical problems, involving linear equations, inequalities, and pairs of simultaneous linear equations. Individuals at this level are able to use linear functions to describe, analyze, and model linear relationships between quantities.

Geometry: Students prepared to exit this level can solve real-world and mathematical problems that involve volume and surface area of 3-dimensional geometric figures. They can use informal arguments to establish facts about various angle relationships such as the relationships between angles created when parallel lines are cut by a transversal. They apply the Pythagorean theorem to determine lengths in real-world contexts and distances in the coordinate plane.

Statistics and Probability: Students prepared to exit this level can use random sampling to draw inferences about a population and are able to draw informal comparative inferences about two populations using measures of center and measures of variability for numerical data from random samples. They can develop, use, and evaluate probability models. They are able to use scatter plots for bivariate measurement data to interpret patterns of association between two quantities (such as clustering, outliers, positive or negative association, linear or non-linear association) and a 2-way table to summarize and interpret bivariate categorical data.

Level 6: Adult Secondary

The Mathematical Practices: Students prepared to exit this level are able to think critically, make assumptions based on a situation, select an efficient strategy from multiple possible problem-solving strategies, plan a solution pathway, and make adjustments as needed when solving problems. They persevere in solving challenging problems, including considering analogous, simpler problems as a way to solving a more complex one. They can reason quantitatively, including through the use of units, and can express themselves using the precise definitions and mathematical terms and notation appropriate to the level. They are accurate in their calculations, use an appropriate level of precision in finding solutions and reporting results, and use estimation strategies to assess the reasonableness

of their results. They are able to make conjectures, use logic to defend their conclusions, and can detect faulty thinking and errors caused by improper use of technology. They can create algebraic and geometric models and use them to answer questions, interpret data, make predictions, and solve problems. They can strategically select and use tools, such as measuring devices, calculators, spreadsheets, and/or computer software, to aid in their work. They are able to see patterns and structure in calculations, expressions, and equations and make connections to algebraic generalizations, which they use to work more efficiently.

Number Sense and Operations: Students prepared to exit this level have extended their number sense to include irrational numbers, radicals, and rational exponents and understand and use the set of real numbers. They are able to assess the reasonableness of calculation results based on the limitations of technology or given units and quantities and give results with the appropriate degree of precision.

Algebraic Thinking: Students prepared to exit this level understand the structure of expressions and can use that structure to rewrite linear, exponential, and quadratic expressions. They can add, subtract, and multiply polynomials that involve linear and/or quadratic expressions. They are also able to create linear equations and inequalities and quadratic and simple exponential equations to represent relationships between quantities and can represent constraints by linear equations or inequalities, or by systems of linear equations and/or inequalities. They can interpret the structure of polynomial and rational expressions and use that structure to identify ways to rewrite and operate accurately with them. They can add, subtract, and multiply polynomials that extend beyond quadratics. They are able to rearrange formulas to highlight a quantity of interest, for example rearranging Ohm's law, $V = IR$, to highlight resistance R. They are also able to create equations and inequalities representing relationships between quantities, including those that extend beyond equations or inequalities arising from linear, quadratic, and simple exponential functions to include those arising from simple rational functions. They are able to use these equations/inequalities to solve problems both algebraically and graphically. They can solve linear equations and inequalities; systems of linear equations; quadratic, simple rational, and radical equations in one variable; and recognize how and when extraneous solutions may arise.

Students prepared to exit this level also have a basic understanding of functions, can use function notation properly, and use such notation to write a function describing a relationship between two quantities. They are able to evaluate functions for inputs in their domains and interpret linear, quadratic, and exponential functions that arise in applications in terms of the context. They are able to construct, graph, compare, and interpret functions (including, but not limited to, linear, quadratic, and exponential). They can sketch graphs given a verbal description of the relationship and identify and interpret key features of the graphs of functions that arise in applications in a context. They are able to select or define a function that appropriately models a relationship and to compare properties of two functions each represented in a different way (algebraically, graphically, numerically in tables, or by verbal description).

Geometry: Students prepared to exit this level can solve problems involving similarity and congruence criteria for triangles and use volume formulas for cylinders, pyramids, cones, and spheres to solve problems. They can apply the concepts of density based on area and volume in modeling situations (e.g., persons per square mile, BTU's per cubic foot).

Data Analysis and Statistics: Students prepared to exit this level can summarize, represent, and interpret data based on two categorical and quantitative variables, including by using frequency

tables. They can compare data sets by looking at commonalities and differences in shape, center, and spread. They can recognize possible associations and trends in data, in particular in linear models, and distinguish between correlation and causation. They interpret one- and two-variable data, including those with linear and non-linear relationships. They interpret the slope (rate of change) and intercept (constant term) for a line of best fit and in the context of the data. They understand and account for extreme points of data in their analysis and interpret relative frequencies (joint, marginal and conditional).

New Educational Functioning Level Descriptors for English as a Second Language (ESL)[17]

Introduction

In the National Reporting System for Adult Education (NRS), the Educational Functioning Level (EFL) descriptors are intended to guide teaching and assessment for adult learners. The descriptors for English as a second language (ESL) are divided into six educational functioning levels: Beginning ESL Literacy, Low Beginning ESL, High Beginning ESL, Low Intermediate ESL, High Intermediate ESL, and Advanced ESL. The descriptors do not provide a complete or comprehensive delineation of all of the skills at any given level but rather provide a description of the most critical concepts and skills for the level.

Although these narrative descriptors address the most critical concepts for assessment and instruction for adult learners, lesson plans and test items should be based on additional critical concepts from state instructional frameworks and standards, as appropriate for the learner and state requirements.

The EFLs for ESL are organized into three modalities: interpretive, productive, and interactive. These modalities include the domains of reading, writing, speaking, and listening. These modalities allow for an integrated or holistic approach to teaching and assessing English language learners (ELLs) in the adult education setting.

- **Interpretive** refers to the learner's ability to process, understand, interpret, or engage with level-appropriate literary and informational written and spoken text to construct meaning. For example, an ELL exiting from the Low Intermediate ESL classroom should be able to, with support, explain the reasons an author or a speaker gives to support a claim and identify one or two reasons an author or a speaker gives to support the main point.
- **Productive** refers to the learner's ability to produce level-appropriate written and spoken text such that it meaningfully transmits meaning. For example, an ELL exiting from the Low Beginning ESL classroom should be able to, with support, communicate information and feelings about familiar texts, topics, and experiences.
- **Interactive** refers to the learner's ability to process and produce level-appropriate written and spoken text interactively with the purpose of understanding, interpreting, engaging in, and transmitting meaning. For example, ELLs exiting from the High Beginning ESL classroom should be able to, with support, gather information from provided print and digital sources, record information in simple notes, and summarize data and information.

Text Complexity and Familiar Topics

Teachers and assessment developers must select appropriately complex literary and informational texts, topics, and events to prepare learners for success. Complexity should show progress within

[17] These ESL descriptors are included in the AEFLA information collection (OMB control number 1830-0027). They will not be implemented until the Secretary of Education has determined that there is at least one assessment that is aligned with these descriptors and suitable for use in the NRS.

EFLs and in successive levels that reflect increasingly complex and cognitively demanding language structures, academic vocabulary, and concepts.

Language in the revised NRS EFLs for ESL calls for progressive complexity without being prescriptive about the specific complexity measures at each EFL. Terminology in the EFLs such as emerging, developing, increasing, and growing are guides to indicate the needed progression of complexity from level to level.[18]

Instruction and assessment also should involve a progression of topics, from the more familiar to substantive and academic topics, with increasing levels of complexity within and across levels. Teachers and test developers are encouraged to refer to the guiding principles found in the *English Language Proficiency Standards for Adult Education.* The guiding principles recommend that instruction also include the use of digital tools and resources; academic language; a variety of informational texts and content areas, including science, technology, engineering, and mathematics; and college and career readiness skills as appropriate to learners at a given level.

Level 1: Beginning ESL Literacy

Interpretive: The ability to process, understand, interpret and/or engage with level-appropriate literary and informational written and spoken text to construct meaning (1, 6, 7, 8)[19]

ELLs ready to exit the Beginning ESL Literacy Level are able to, with prompting and support (including context, and visual aids), identify a few key words and phrases from read alouds, visual images, and oral presentations using a very limited set of strategies.

ELLs ready to exit this level can, with prompting and support (including context and visual aids), recognize the meaning of a few frequently occurring words and phrases in simple oral presentations and read alouds about familiar topics, experiences, and events. They can recognize the meaning of some words learned through conversations, reading, and being read to.

Productive: The ability to produce level-appropriate written and spoken text such that it meaningfully transmits meaning (3, 4, 7, 9, 10)

ELLs ready to exit this level are able to, with prompting and support (including context and visual aids), communicate simple information or feelings about familiar topics, events, or experiences. They can express a preference or opinion about a familiar topic.

ELLs ready to exit this level are able to show limited awareness of differences between informal and formal language use.

With support (including context and visual aids), ELLs ready to exit this level are able to recognize and use a small number of frequently occurring nouns and verbs, use a narrow range of vocabulary and syntactically simple sentences, and understand and respond to simple questions.

[18] Additional guidance about text complexity in adult education may be found in the *College and Career Readiness Standards for Adult Education*, "Appendix D—Understanding Text Complexity."

[19] Numbers in parentheses represent ELP Standards.

Interactive: The ability to process and produce level-appropriate written and spoken text interactively with the purpose of understanding, interpreting, engaging in and transmitting meaning (2, 5)

ELLs ready to exit this level are able to, with limited involvement, participate in short conversations and written exchanges about familiar topics and in familiar contexts. They can respond to simple yes/no questions and some wh- questions.

ELLs ready to exit this level are able to, with prompting and support, participate in short, shared research projects, gather information from a few provided sources, and label some key information.

Level 2: Low Beginning ESL

(ELP Standards for AE Level 1)

Interpretive: The ability to process, understand, interpret and/or engage with level-appropriate literary and informational written and spoken text to construct meaning (1, 6, 7, 8)

ELLs ready to exit the Low Beginning ESL Level are able to identify a few key words and phrases in oral communications and simple spoken and written texts using a very limited set of strategies. They can recognize the meaning of some words learned through conversations, reading, and being read to.

ELLs ready to exit this level are able to, with support, identify a point an author or a speaker makes.

Relying heavily on context, questioning, and knowledge of morphology in their native language(s), ELLs ready to exit this level are able to recognize the meaning of a few frequently occurring words, simple phrases, and formulaic expressions in spoken and written texts about familiar topics, experiences, or events.

Productive: The ability to produce level-appropriate written and spoken text such that it meaningfully transmits meaning (3, 4, 7, 9, 10)

ELLs ready to exit this level are able to, with support, communicate information and feelings about familiar texts, topics, and experiences.

ELLs ready to exit this level are able to express an opinion about a familiar topic, experience, or event and give a reason for the opinion.

ELLs ready to exit this level are able to show emerging awareness of differences between informal and formal language use.

ELLs ready to exit this level are able to, with support, use a narrow range of vocabulary and syntactically simple sentences. They can, with support, recognize and use a small number of frequently occurring nouns, noun phrases, verbs, conjunctions, and prepositions and understand and respond to simple questions.

Interactive: The ability to process and produce level-appropriate written and spoken text interactively with the purpose of understanding, interpreting, engaging in and transmitting meaning (2, 5)

ELLs ready to exit this level are able to actively listen to others. They can participate in short conversations and written exchanges about familiar topics and in familiar contexts. They can present simple information and respond to simple yes/no questions and some wh- questions.

ELLs ready to exit this level are able to, with support, carry out short, shared research projects. They can, with support, gather information from a few provided print and digital sources, label collected information, experiences, or events, and recall information from experience or from a provided source.

Level 3: High Beginning ESL

(ELP Standards for AE Level 2)

Interpretive: The ability to process, understand, interpret and/or engage with level-appropriate literary and informational written and spoken text to construct meaning (1, 6, 8)

ELLs ready to exit the High Beginning ESL Level are able to identify the main topic in oral presentations and simple spoken and written texts and retell a few key details using an emerging set of strategies.

ELLs ready to exit this level are able to, with support, identify the main argument an author or speaker makes. They can, with support, identify one reason an author or a speaker gives to support the argument.

ELLs ready to exit this level are able to determine the meaning of frequently occurring words, phrases, and expressions in spoken and written texts about familiar topics, experiences, or events.

Productive: The ability to produce level-appropriate written and spoken text such that it meaningfully transmits meaning (3, 4, 7, 9, 10)

ELLs ready to exit this level are able to, with support, deliver short oral presentations and compose simple written narratives or informational texts about familiar texts, topics, experiences, or events.

ELLs ready to exit this level are able to construct a claim about familiar topics, experiences, or events. They can introduce a familiar topic, experience, or event, give a reason to support a claim, and provide a concluding statement.

ELLs ready to exit this level are able to, with support, recount a short sequence of events in order. They can, with support, introduce an informational topic, provide one or two facts about the topic, and use common linking words to connect events and ideas.

ELLs ready to exit this level are able to show increasing awareness of differences between informal and formal language use. They can adapt language choices to task and audience with emerging control in various social and academic contexts.

ELLs ready to exit this level can begin to use some frequently occurring general academic and content-specific words.

ELLs ready to exit this level are able to, with support, use frequently occurring verbs, nouns, adjectives, adverbs, prepositions, and conjunctions. They can, with support, produce simple and compound sentences.

Interactive: The ability to process and produce level-appropriate written and spoken text interactively with the purpose of understanding, interpreting, engaging in and transmitting meaning (2, 5)

ELLs ready to exit this level are able to participate in conversations and written exchanges about familiar topics and texts. They can present information and ideas, appropriately take turns in interactions with others, and respond to simple questions and wh- questions.

ELLs ready to exit this level are able to, with support, carry out short individual or shared research projects. They can, with support, gather information from provided print and digital sources, record information in simple notes, and summarize data and information.

Level 4: Low Intermediate ESL

(ELP Standards for AE Level 3)

Interpretive: The ability to process, understand, interpret and/or engage with level-appropriate literary and informational written and spoken text to construct meaning (1, 6, 8)

ELLs ready to exit the Low Intermediate ESL Level are able to determine a central idea or theme in oral presentations and spoken and written texts, retell key details, answer questions about key details, explain how the theme is developed by specific details in texts, and summarize part of a text using a developing set of strategies.

ELLs ready to exit this level are able to, with support, explain the reasons an author or a speaker gives to support a claim and identify one or two reasons an author or a speaker gives to support the main point.

Using context, questioning, and a developing knowledge of English and their native language(s)' morphology, ELLs ready to exit this level are able to determine the meaning of general academic and content-specific words and phrases and frequently occurring expressions in spoken and written texts about familiar topics, experiences, or events.

Productive: The ability to produce level-appropriate written and spoken text such that it meaningfully transmits meaning (3, 4, 7, 9, 10)

ELLs ready to exit this level are able to, with support, deliver short oral presentations and compose written informational texts about familiar texts, topics, or events. This includes developing the topic with a few details.

ELLs ready to exit this level are able to construct a claim about familiar topics. They can introduce the topic, provide sufficient reasons or facts to support the claim, and provide a concluding statement.

When producing written and spoken texts, ELLs ready to exit this level are able to, with support, recount a sequence of events, with a beginning, middle, and end. They can introduce and develop an informational topic with facts and details, use common transitional words and phrases to connect events, ideas, and opinions, and provide a conclusion.

ELLs ready to exit this level are able to adapt language choices and style according to purpose, task, and audience with developing ease in various social and academic contexts and show developing control of style and tone in spoken and written texts.

In their spoken and written texts, ELLs ready to exit this level can use an increasing number of general academic and content-specific words and expressions.

ELLs ready to exit this level are able to, with support, use simple phrases and clauses. They can produce and expand simple, compound, and a few complex sentences.

Interactive: The ability to process and produce level-appropriate written and spoken text interactively with the purpose of understanding, interpreting, engaging in and transmitting meaning (2, 5)

ELLs ready to exit this level are able to, participate in conversations, discussions, and written exchanges about familiar topics, texts, and issues. They can build on the ideas of others, express their own ideas, ask and answer relevant questions, add relevant information and evidence, restate some of the key ideas expressed, follow rules for discussion, and ask questions to gain information or clarify understanding.

ELLs ready to exit this level are able to, with support, carry out short research projects to answer a question. They can, with support, gather information from multiple provided print and digital sources, paraphrase key information in a short written or oral report, include illustrations, diagrams, or other graphics as appropriate, and provide a list of sources.

Level 5: High Intermediate ESL

(ELP Standards for AE Level 4)

Interpretive: The ability to process, understand, interpret and/or engage with level-appropriate literary and informational written and spoken text to construct meaning (1, 6, 8)

ELLs ready to exit the High intermediate ESL Level are able to determine a central idea or theme in oral presentations and spoken and written texts using an increasing range of strategies. They can analyze the development of the themes/ideas, cite specific details and evidence from texts to support the analysis, and summarize a text.

ELLs ready to exit this level are able to analyze the reasoning in persuasive spoken and written texts and determine whether the evidence is sufficient to support the claim. They can cite textual evidence to support the analysis.

Using context, questioning, and an increasing knowledge of English morphology, ELLs ready to exit this level can determine the meaning of general academic and content-specific words and phrases,

figurative and connotative language, and a growing number of idiomatic expressions in spoken and written texts about a variety of topics, experiences, or events.

Productive: The ability to produce level-appropriate written and spoken text such that it meaningfully transmits meaning (3, 4, 7, 9, 10)

ELLs ready to exit this level are able to deliver oral presentations and compose written informational texts about a variety of texts, topics, or events. This includes developing the topic with some relevant details, concepts, examples, and information and integrating graphics or multimedia when appropriate.

ELLs ready to exit this level are able to construct a claim about a variety of topics. They can construct a claim, introduce the topic, provide logically ordered reasons or facts that effectively support the claim, and provide a concluding statement.

When producing written and spoken texts, ELLs ready to exit this level can recount a longer, more detailed sequence of events or steps in a process, with a clear sequential or chronological structure. They can introduce and develop an informational topic with facts, details, and evidence, and provide a concluding section or statement.

ELLs ready to exit this level can also adapt language choices and style according to purpose, task, and audience in various social and academic contexts and adopt and maintain a formal and informal style and tone in spoken and written texts, as appropriate.

In their spoken and written texts, ELLs ready to exit this level can also use a wider range of complex general academic and content-specific words and phrases.

ELLs ready to exit this level will use increasingly complex phrases and clauses, produce and expand simple, compound, and complex sentences, and use a variety of more complex transitions to link the major sections of speech and text and to clarify relationships among events and ideas.

Interactive: The ability to process and produce level-appropriate written and spoken text interactively with the purpose of understanding, interpreting, engaging in and transmitting meaning (2, 5)

ELLs ready to exit this level are able to participate in conversations, discussions, and written exchanges about a range of topics, texts, and issues. They can build on the ideas of others, express his or her own ideas, clearly support points with specific and relevant evidence, ask and answer questions to clarify ideas and conclusions, and summarize the key points expressed.

ELLs ready to exit this level are able to carry out both short and more sustained research projects to answer a question, gather information from multiple print and digital sources, evaluate the reliability of each source, and use search terms effectively. They are able to synthesize information from multiple print and digital sources, integrate information into an organized oral or written report, include illustrations, diagrams, or other graphics as appropriate, and cite sources appropriately.

Level 6: Advanced ESL

(ELP Standards for AE Level 5)

Interpretive: The ability to process, understand, interpret and/or engage with level-appropriate literary and informational written and spoken text to construct meaning (1, 6, 8)

ELLs ready to exit the Advanced ESL Level are able to determine central ideas or themes in oral presentations and spoken and written texts using a wide range of strategies. They can analyze the development of the themes/ideas, cite specific details and evidence from texts to support the analysis, and summarize a text.

ELLs ready to exit this level are able to analyze and evaluate the reasoning in persuasive spoken and written texts, determine whether the evidence is sufficient to support the claim, and cite specific textual evidence to thoroughly support the analysis.

Using context, questioning, and consistent knowledge of English morphology, ELLs ready to exit this level are able to determine the meaning of general academic and content-specific words and phrases, figurative and connotative language, and idiomatic expressions in spoken and written texts about a variety of topics, experiences, or events.

Productive: The ability to produce level-appropriate written and spoken text such that it meaningfully transmits meaning (3, 4, 7, 9, 10)

ELLs ready to exit this level are able to deliver oral presentations and compose written informational texts about a variety of texts, topics or events. They can fully develop the topic with relevant details, concepts, examples, and information, and integrate graphics or multimedia when appropriate.

ELLs ready to exit this level are able to construct a substantive claim about a variety of topics. They can introduce the claim and distinguish it from a counter-claim. They are able to provide logically ordered and relevant reasons and evidence to support the claim and to refute the counter-claim, and provide a conclusion that summarizes the argument presented.

ELLs ready to exit this level are able to recount a complex and detailed sequence of events or steps in a process, with an effective sequential or chronological order. They can introduce and effectively develop an informational topic with facts, details, and evidence, use complex and varied transitions to link the major sections of speech and text and to clarify relationships among events and ideas, and provide a concluding section or statement.

ELLs ready to exit this level are able to adapt language choices and style according to purpose, task, and audience with ease in various social and academic contexts. They can employ both formal and more informal styles and tones effectively in spoken and written texts, as appropriate.

In their spoken and written texts, ELLs ready to exit this level can use a wide variety of complex general academic and content-specific words and phrases.

ELLs ready to exit this level will use complex phrases and clauses and produce and expand simple, compound, and complex sentences.

Interactive: The ability to process and produce level-appropriate written and spoken text interactively with the purpose of understanding, interpreting, engaging in and transmitting meaning (2, 5)

ELLs ready to exit this level are able to participate in conversations, extended discussions, and written exchanges about a range of substantive topics, texts, and issues. They can build on the ideas of others, express their own ideas clearly and persuasively, refer to specific and relevant evidence from texts or research to support their ideas, ask and answer questions that probe reasoning and claims, and summarize the key points and evidence discussed.

ELLs ready to exit this level are able to carry out both short and more sustained research projects to answer a question or solve a problem. They can gather information from multiple print and digital sources, evaluate the reliability of each source, and use advanced search terms effectively. They can synthesize information from multiple print and digital sources, analyze and integrate information into clearly organized spoken and written texts, include illustrations, diagrams, or other graphics as appropriate, and cite sources appropriately.

APPENDIX C
TIME LAG FOR
FOLLOW-UP INDICATORS

TIME LAG FOR FOLLOW-UP INDICATORS

WIOA requires that States determine whether participants achieved the outcomes required by post exit (follow-up) performance indicators after exit from each PoP. The time period for the credential indicator, fourth quarter employment and some elements of MSG is up to one year after each PoP exit. In addition, the delay for data to appear in extant databases used for data matching, such as the unemployment insurance (UI) and wage record databases, increases the time lag for when data are available. Consequently, reporting of these indicators lags behind reporting of all other elements and tables of the NRS. Table 5 and other NRS tables with follow-up measures report on a different set of participants than all other tables, which report on participants who attended during the prior program year (July 1 through June 30).

To accommodate these delays and to ensure that a full year of data are available for each indicator, full reporting for all indicators will not be possible until the report due in October 2019, which is for PY 2018. In the 2016-17 PY (report due October 2017), States will not report on follow-up indicators. In other words, NRS Table 5 and related tables, and the follow-up indicator section on the joint ICR, will not be reported, as Exhibit C-1 illustrates.

Exhibit C.1. Reporting of Performance Indicators by Program Year

*This information is based on only those Exiters who complete their program on, or after July 1, 2016.

Performance Indicators	ANNUAL REPORT PROGRAM YEAR & REPORT DELIVERY DATE				
	PY 2016 Oct 2017	PY 2017 Oct 2018	PY 2018 Oct 2019	PY 2019 Oct 2020	PY 2020 Oct 2021
	% Of Data Available on Report Delivery Date*				
Employment Rate *Second Quarter After Exit*	0%	100%	100%	100%	100%
Employment Rate *Fourth Quarter After Exit*	0%	50%	100%	100%	100%
Median Earnings *Second Quarter After Exit*	0%	100%	100%	100%	100%
Credential Attainment Rate	0%	50%	100%	100%	100%
Measurable Skill Gains	100%	100%	100%	100%	100%
Effectiveness in Serving Employers *(If based on 4th quarter retention)*	0%	50%	100%	100%	100%

First year of "full" WIOA data

States report only MSG in PY2016 and only two quarters of the fourth quarter employment rate and credential attainment rate in the PY 2017 report (due October 2018). Effectiveness in serving employers also is only partially reported at that time. It is not until PY 2018 (the report due October 2019) that States will report full data for all indicators.

The need to accommodate the time lag also creates differences in reporting on the group of participants for each indicator. As shown in Exhibit C-2, for the PY 2017 report (due October 2018), the credential attainment and fourth quarter employment indicators include participants who exited in

the last six months of *calendar* year 2016. For the other follow-up indicators, the PY2017 report includes participants who exited in the previous *program* year (PY 2016).

Exhibit C.2. Participants Reported in PY 2017 Report, Due October 2018

Program Year 2017 (PY17) Annual Report July 1, 2017 - Jun 30, 2018	
Report Due Date	*October 1, 2018*
Number Served (Participant)	7/01/17 to 6/30/18
Number Exited (Participant)	4/01/17 to 3/31/18
Employment Rate Second Quarter After Exit	7/01/16 to 6/30/17
Employment Rate Fourth Quarter After Exit	7/01/16 to 12/31/16
Median Earnings Second Quarter After Exit	7/01/16 to 6/30/17
Credential Attainment Rate	7/01/16 to 12/31/16
Measurable Skill Gains	7/01/17 to 6/30/18

In Exhibit C-3, which shows the first year of full WIOA reporting (PY 2018, report due October 2019), the credential attainment and the fourth quarter employment indicators include participants who exited in the *calendar* year 2017. The report however, includes the other follow up indicators for participants who exited during the prior *program* year (PY2017), while MSG and other data are for participants enrolled during the PY 2018 *program* year.

Exhibit C.3. Participants Reported in PY 2018 Report, Due October 2019

Program Year 2018 (PY18) Annual Report July 1, 2018 - Jun 30, 2019	
Report Due Date	*October 1, 2019*
Number Served (Participant)	7/01/18 to 6/30/19
Number Exited (Participant)	4/1/18 to 3/31/19
Employment Rate Second Quarter After Exit	7/01/17 to 6/30/18
Employment Rate Fourth Quarter After Exit	1/01/17 to 12/31/17
Median Earnings Second Quarter After Exit	7/01/17 to 6/30/18
Credential Attainment Rate	1/01/17 to 12/31/17
Measurable Skill Gains	7/01/18 to 6/30/19

In each year following PY 2018, the same approach shown in Exhibit C-3 is followed, with credential and fourth quarter employment data reported on participants who exited up to two *calendar* years prior to the report and the other follow-up indicators reported on participants who exited the prior *program* year.

APPENDIX D
SAMPLE FOLLOW-UP SURVEY AND PROCEDURES FOR PERFORMANCE INDICATORS AND OPTIONAL MEASURES

SAMPLE FOLLOW-UP SURVEY FOR CORE, SECONDARY, AND OTHER MEASURES

Hello. My name is _____. I work for _____. We're contacting people who have recently attended classes at our adult education programs to find out what happens to them after they leave us. We also want to know how you liked the classes you attended and how adult education classes have affected you, your family, and your job.

It should take no longer than 15 minutes to answer my questions. Do you have time now for me to ask these questions? *(Reassure the respondent that any information given will be strictly confidential.*)

ATTENDANCE/OBJECTIVES

A-1. I understand that you were in (TEACHER'S NAME)'s class at (LOCATION). Is that correct?

- ☐ Yes
- ☐ No *[Obtain correct information]*

A-2. During what month and year did you enroll in this program?

Month _____ Year _____

A-3. Did you attend the class/program until it ended?

- ☐ Yes *[Proceed to question B-1]*
- ☐ No *[Proceed to question A-4]*

A-4. During what month and year did you stop attending the class or program?

Month _____ Year _____

A-5. What was the *main* reason you stopped attending the class or program? *[Do not read choices to respondent. Check category that is most closely related to response.]*

- ☐ Achieved reason for enrollment
- ☐ Completed class
- ☐ Illness/Incapacity
- ☐ Lack of child care
- ☐ Lack of transportation
- ☐ Family problems
- ☐ Time or location of services not feasible
- ☐ Lack of interest
- ☐ Instruction not helpful
- ☐ Instructor was not good
- ☐ Program didn't satisfy personal goals
- ☐ Not satisfied with program
- ☐ Moved
- ☐ Entered employment
- ☐ Entered other education or training program
- ☐ Other (Specify:_____)
- ☐ DK/Refused

SECONDARY OR POSTSECONDARY CREDENTIAL

B-1. Did you receive any diplomas, certificates, or degrees, such as a secondary school diploma, from passing GED tests or a postsecondary credential or certificate, either while you were taking this class or since you took this class?

- ☐ Yes *[Proceed to question B-2]*
- ☐ No *[Proceed to question C-1]*
- ☐ DK/Refused *[Proceed to question C-1]*

B-2. What type of diploma/certificate/degree did you receive? *[Do not read choices to respondent. Check all that apply.]*

- ☐ Secondary school diploma (i.e. high school diploma)
- ☐ Postsecondary credential or certificate necessary to obtain employment or advance within an industry or occupation
- ☐ Associate's Degree
- ☐ Bachelor's Degree
- ☐ Other_____
- ☐ DK/Refused

B-3 When did you receive that diploma/certificate/degree? [If more than one credential, obtain for all.]

Month _____Year _____

OTHER EDUCATION AND TRAINING

C-1. Since you stopped attending the class or program, have you enrolled in any other educational or training programs?

- ☐ Yes
- ☐ No *[Proceed to question D-1]*

C-2. Where are you enrolled?

- ❑ Other (Specify)_____

C-3. When did you start that program?

Month _____Year _____

C-4. In what type of class or classes are you now enrolled? *[Do not read choices. Check all that apply.]*

- ☐ English Language Skills
- ☐ GED/High School
- ☐ Vocational/Job Training/IET
- ☐ Community College/College Level
- ☐ Citizenship
- ☐ Family Literacy
- ☐ Other (Specify)_____
- ☐ DK/Refused

EMPLOYMENT

D-1. Since you stopped taking your adult education class, have you been employed in a paying job?

☐ Yes

If yes: What is your job and the name of your employer? _____

_____

When did you get a job? _____

☐ No *[Proceed to E-1]*

[Determine second post-exit quarter from response to A-4]

D-2. Thinking back to the three-month period between [specify second post-exit quarter months], did you have this or any other paying job at any time during those three months?

☐ Yes
☐ No *[Proceed to D-4]*
☐ DK/Refused *[Proceed to D-4]*

D-3. Including this job and all jobs you may have had, how much money did you make during these three months, by the hour, week, month, year, or in total for the three months? ***[Obtain total or record appropriate response and ask follow-up for each job]***

Three-month total $_____ *[or:}*

$ _____ per _____ (hour)

How many hours per week did you work? _____

For how long? _____

$ _____ per _____ (week)

How many weeks did you work? _____?

For how long? _____

$ _____ per _____ (month)

How many months did you work? _____?

$ _____ per _____ (year)

How many months did you work? _____?

☐ DK/Refused *[Proceed to D-4]*

D-4. Now thinking back to the three-month period between [specify fourth post-exit quarter months], did you have this or any other paying job at any time during those three months?

☐ Yes
☐ No
☐ DK/Refused

COMMUNITY IMPACT

E-1. Compared to before you attended the class, have you increased your attendance or activities in any of the following: *[Read choices. Check all that apply.]*

☐ Neighborhood meetings
☐ Meetings of civic groups
☐ Volunteer work or meetings for community organizations
(List: _____)
☐ Do not go to meetings or volunteer
☐ DK/Refused

E-2. Did you become a citizen since you attended the class?

☐ Yes
☐ No
☐ Already had citizenship prior to class.
☐ DK/Refused

E-3. Did you register to vote or vote for the first time since you attended the class?

☐ Yes
☐ No
☐ Already was a registered voter prior to class.
☐ DK/Refused

FAMILY

F-1. Do you live with children who are 12 years old or younger?

☐ Yes
☐ No *[Proceed to question G-1]*

F-2. Since you attended the class, how much do you read with your children compared to before you attended the class? Do you:

❑ Read with children about the same as before?
❑ Read with children more than before?
❑ Read with children less than before?
❑ Not read with children at all?
❑ DK/Refused

F-3. How often do you visit the library with your child/children now compared to before attending the program? Do you:

- ❑ Go more often?
- ❑ Go the same amount?
- ❑ Go less often?
- ❑ Not go at all?
- ❑ DK/Refusal

F-4. How often do you purchase books or magazines now compared to before attending the program? Do you:

- ❑ Buy them more often?
- ❑ Buy them the same amount?
- ❑ Buy them less often?
- ❑ Not buy them at all?
- ❑ DK/Refusal

F-5. Is/are the child/children in your home attending school?

- ❑ Yes *[Proceed to question F-6]*
- ❑ No *[Proceed to question G-1]*

F-6. Compared to before you attended the class, how much time do you spend helping the school-aged children in your home with homework? Do you:

- ❑ Help about the same?
- ❑ Help more than before?
- ❑ Help less than before?
- ❑ Not help at all?
- ❑ DK/Refused

F-7. Compared to before you attended the class, how often are you in contact with your children's teachers? Do you:

- ❑ Help about the same?
- ❑ Help more than before?
- ❑ Help less than before?
- ❑ Not help at all?
- ❑ DK/Refused

F-8. Compared to before you attended the class, how many of your children's school activities, including parent/teacher conferences and school assemblies, have you gone to?

- ❑ Attend about the same
- ❑ Attend more activities
- ❑ Attend fewer activities
- ❑ Do not attend activities
- ❑ DK/Refused

SATISFACTION WITH PROGRAM

G-1. What is your general opinion of the quality of the class you attended? Is it unacceptable, not very good, satisfactory, or excellent?

- ❑ Unacceptable
- ❑ Not very good
- ❑ Good
- ❑ Excellent
- ❑ DK/Refused

G-2. Did (TEACHER'S NAME)'s class meet the expectations you had for it before you enrolled in it?

- ❑ Yes
- ❑ No
- ❑ DK/Refused

G-3. Are you not at all likely, somewhat likely, or extremely likely to attend another class or program offered by *(PROGRAM/CLASS ORGANIZER)*?

- ❑ Not at all likely
- ❑ Somewhat likely
- ❑ Extremely likely
- ❑ DK/Refused

G-4. What did you like about this class or program? *[List all responses.]*

_____
_____
_____
_____

G-5. What did you not like about this class or program? *[List all responses.]*

_____
_____
_____
_____

CLOSING

Thank you very much for taking the time to answer my questions. Your answers are very helpful. The information you gave me will be used to help make adult education programs better and more useful to people like you who have attended or would like to attend such a program.

H-1. Is there anything that I didn't ask about that you'd like to say?

_____
_____
_____
_____
_____
_____
_____

MODEL OF PROCEDURES FOR CONDUCTING THE LOCAL FOLLOW-UP SURVEY

This section describes a model of procedures for conducting a survey designed to collect the NRS follow-up measures. The model is offered only as a framework for States in designing and conducting the follow-up survey. *These procedures are not required, however, and States may develop their own procedures for conducting the survey,* as long as the survey meets the NRS requirements described in this document.

The crucial activities to conducting a survey that produces valid data are to:

1. Identify the participants for which each performance indicator applies. See Chapter II and Appendix A for the appropriate participants for each WIOA post-exit indicator.
2. Contact the participants and obtain the information from as many as possible (a large majority) so as not to invalidate the sample.
3. Train interviewers so that all interviewers ask the survey questions correctly and reliably.

Survey Procedures

Once you have identified participants, you can begin contacting students and administering the survey. If you cannot reach a person despite your best efforts, then replace that student with a student from the backup sample.

As you conduct the survey, it is very important to the integrity of the data collected to know how many people in the sample were not reached, how many refused to participate, and what the reasons for refusal were. For this reason, maintain a contact log during the survey. Entries in the log should contain the date and time of each contact, the name of the interviewer, and information about each contact, including: the name of the respondent, whether the person was reached, messages left, whether the interview occurred, and explanations for why it did not. The logs should be checked daily to identify respondents who need to be recontacted. The log should also be checked against the list of participants in the sample to make sure all members of the sample are being contacted. Interviewers should promptly make a log entry for each contact they make, whether or not the participant was reached. This Appendix includes a sample contact log.

The validity of the survey depends on reaching all or at least a majority of the students in the sample. There will be many difficulties, however, in reaching all of the students in the sample. The following section describes some of the most common difficulties in reaching people for a survey and offers tips on how to resolve these problems.

Problems Reaching Participants

In most data collection activities, there are predictable kinds of problems that may be encountered. Interviewers may be unable to reach the correct person, and the participant may not want to speak to the interviewer, or he or she may have a protective family. Additionally, participants may not want to answer some or all survey items; they may be hostile, confused, or just harried. Furthermore, callers may be required to answer questions that they are not equipped to answer.

Interviewers should have a resource person available who can assist with difficult interviews or respondents and complicated questions. This person should have thorough familiarity with the NRS and the procedures used to conduct interviews. He or she should monitor interviewer contact logs, provide general oversight during the interviewing process, and could also be responsible for the training.

Accommodation for other languages. Because the sample may include ESL students and other non-native English speakers, interviewers are likely to encounter a language barrier in the course of data collection. Every effort must be taken to collect information from all non-English speakers included in the sample. Accomplishing this may require the program to translate the survey and use interviewers who are fluent in the languages that may be encountered during the interviews.

When the student cannot be reached immediately. A gatekeeper is a person or situation that stands between you and the person with whom you need to talk. Common gatekeepers are family members and voicemail or answering machines.

- *Reaching a family member or other person*
  - Leave a message. The message should be as follows:

    Interviewer's name and where interviewer is from (name of program).

    Contacting in reference to the adult education program the person attended.

    Interviewer will try contacting participant another time.
  - Ask a few questions:
    - » When is the [participant name] expected back?
    - » What and when is the best way to reach him/her?
  - Wait for no more than 2 days between attempts to contact the participant.
  - If multiple messages (more than 3 or 4) have been left, but the participant has not been contacted, then the participant should be officially listed as a nonrespondent on the contact log sheet.
  - *Reaching voicemail or an answering machine*
  - Leave a message. The message should be as follows:
    - » Interviewer name and where interviewer is from (name of program).
    - » Calling in reference to the adult education program the person attended.
    - » Interviewer will call back at another time.
  - Wait no more than 2 days between callbacks.

- If multiple messages (more than 3 or 4) have been left, but the participant has not been contacted, then the participant should be officially listed as a no-respondent on the contact log sheet.

- *Reaching a non-working number or a number that just rings*

- Non-working number should be noted on the calling log sheet as not working.

- If the number just rings, then the day and time the interviewer called should be noted on the log sheet and the participant should be called at a different time. If multiple calls (more than 3 or 4) are made at different times of the day and there is still no answer, then the participant should be officially listed as a nonrespondent on the contact log sheet.

Dealing with refusals. The goal of interviews is to obtain information from all the people contacted. However, some interviewees may be initially reluctant to participate in the survey. The interviewer should try to "convert" refusals whenever possible; interviewers should, however, never become belligerent or upset or insist that a person complete the survey.

The best way to handle a refusal is for the interviewer to present himself or herself as confident and proud of the work that he or she is doing. The interviewer should indicate that this survey is an important way of providing information to the State Department of Education and the adult education program, and decisions about adult education will be made based on this information.

There are several points in the interview when interviewers may encounter refusals or reluctance. The following examples provide ways to handle this.

Initial refusal. When participants are first reached, they may not be prepared to speak with the interviewer. They may be very busy. If this is the case:

- Ask about the timing: I'm sorry we reached you at a bad time. When might be a more convenient time to reach you? Possible solutions include offering to contact them a week later, a month later, etc., as long as this is recorded so that the follow-up call is made.
- When the participant has been reached but absolutely refuses to participate, a complete description should be recorded on the contact log and given to the resource person for further attempts.

Confusion-based refusal. Participants who are contacted may be confused or wary about how the information collected in the interview will be used. For this reason, they may refuse to take part in the interview.

- If the participant wants to know why the survey is being conducted, the interviewer should explain the purpose of the study, emphasizing that the information collected has important implications for the national adult education program and for the program she or he attended.
- If the participant wants to know how his or her information will be used, the interviewer should assure the participant that the data will be compiled to find out how well adult education programs are performing throughout the country and to improve program

services. Furthermore, all of the answers that the participants give will be kept confidential, and no names or other identifying information will be associated with their answers. Participants should also be assured that they were chosen randomly from the pool of participants in the State.

Time- or burden-based refusal. This type of refusal can occur early in the interview or at a later point. Interviewees may be pressed for time and may try to terminate the interview. If this is the case:

- The interviewer should point out that the survey will only take 10–15 minutes, acknowledge that the participant's time is really important, and tell them that their responses to the survey questions will be really helpful: I understand that your time is important. We really appreciate your input on this issue. It is important to get the perspective of adult education students.

- The interviewer should tell participants about the sampling process: Of the [number] students that attended the adult education program, you have been selected as one of only [number] to represent the program. Your help is important to us.

If the respondent is still reluctant, one other strategy may be helpful:

- The interviewer should try to arrange an alternate time: Might there be a better or more convenient time to contact you?

If none of these strategies are successful, then the interviewer should NOT try to persuade the participant further. The participant should be thanked for his or her patience and told that the caller appreciates all the demands on their time. The interviewer should then record a complete description on the contact log.

Training

Staff members who will be conducting the interviews should be trained to ensure the integrity of the data collected. To collect valid and reliable data, interviewers must be thoroughly familiar with both the process of interviewing and the materials to be used for collecting data. The actual training can be characterized as having two components: the process of conducting interviews and the purpose and structure of the NRS. This section provides suggestions on appropriate training activities.

Focus of Training

Regardless of the survey, any errors, biases, or inconsistencies on the part of the interviewer will result in some degree of survey error. It should be a goal to minimize this error. Trained interviewers are much more likely to accomplish this goal. The desired result is high quality data, so that data are comparable from one interview to another, as well as from one State to another. The following guidelines should help minimize survey error, and should thus be conveyed to the interviewers during their training.

1. The interviewing process should be standardized. To ensure that this occurs, interviewers must read the questions exactly as written and follow the instructions on the survey instrument.
2. Interviewers should avoid biasing answers by not showing criticism, surprise, approval, disapproval, and/or annoyance at a response; recording answers promptly and accurately; and probing for clarification when necessary.
3. Interviews should be completed in the time promised to the respondents. The interview is designed to take about 10 minutes.
4. Interviewers must be familiar with the material, including the meaning of individual questions and the definitions of words and phrases contained in the survey instrument.
5. Administrative issues should be attended to as soon as possible, including making a record of EVERY call made, even if the interviewers reached a wrong number, if nobody answered, or if a message was left.
6. Interviewers should have a thorough understanding of the purpose and structure of the NRS and the pilot, as explained in this manual.

Conducting the Training

Training interviewers can take many forms, including workshops and meetings. There are, however, a few techniques which will make the training more meaningful, and thus make the data collected more useful and comparable between States. Among these techniques are:

- **Going over the protocol question-by-question.** This will give interviewers a familiarity with the questions and answers they are likely to get during their telephone calls. It will also allow them to become comfortable with responses that must be made as the interview begins.
- **Conducting mock interviews with adult education office staff or teachers.** This simulates real world conditions, giving interviewers valuable practice on how to conduct interviews. It also allows adult education office staff to identify issues that were not made clear earlier in the training process and to identify problems with the data collection procedures in place.

Conducting a mini-pilot test with students not included in the official NRS sample in the State. This activity will identify previously unconsidered issues and provide the most realistic training for the interviewers. It is an excellent last step prior to officially collecting data.

APPENDIX E

JOINT STATEWIDE PERFORMANCE REPORT AND SPECIFICATIONS OMB CONTROL NUMBER 1205-0526

AEFLA INFORMATION COLLECTION OMB CONTROL NUMBER 1830-0027

JOINT STATEWIDE PERFORMANCE REPORT AND SPECIFICATIONS
OMB 1205-0526

Statewide Performance Report

PROGRAM		TITLE (select one):			
STATE:	Title I Local Area:	Title I Adult	☐	Title II Adult Education	☐
REPORTING PERIOD COVERED (Required for current and three preceding years.)		Title I Dislocated Worker	☐	Title III Wagner-Peyser	☐
From (mm/dd/yyyy):	To (mm/dd/yyyy):	Title I Youth	☐	Title IV Vocational Rehabilitation	☐
		Title I and Title III combined	☐		

SUMMARY INFORMATION

Service	Participants Served	Participants Exited	Funds Expended	Cost Per Participant Served
Career Services				
Training Services				

Percent training-related employment[1]:	Percent enrolled in more than one core program:	Percent Admin Expended:

BY PARTICIPANT CHARACTERISTICS

	Total Participants Served	Total Participants Exited		Employment Rate (Q2)[2]		Employment Rate (Q4)[2]		Median Earnings	Credential Rate[3]		Measurable Skill Gains[3]	
				Num	Rate	Num	Rate	Earnings	Num	Rate	Num	Rate
Total Statewide			Target									
			Actual									

Sex	Female												
	Male												
Age	< 16												
	16 - 18												
	19 - 24												
	25 - 44												
	45 - 54												
	55 - 59												
	60+												
Ethnicity/Race	American Indian / Alaska Native												
	Asian												
	Black / African American												
	Hispanic / Latino												
	Native Hawaiian / Pacific Islander												
	White												
	More Than One Race												

BY EMPLOYMENT BARRIER[4]												
	Total Participants Served	Total Participants Exited		Employment Rate (Q2)[2]		Employment Rate (Q4)[2]		Median Earnings	Credential Rate[3]		Measurable Skill Gains[3]	
				Num	Rate	Num	Rate	Earnings	Num	Rate	Num	Rate
Total Statewide			Target									
			Actual									

Displaced Homemakers	0	0		0	0%	0	0%	$0	0	0%	0	0%
English Language Learners, Low Levels of Literacy, Cultural Barriers	0	0		0	0%	0	0%	$0	0	0%	0	0%
Exhausting TANF within 2 years (Part A Title IV of the Social Security	0	0		0	0%	0	0%	$0	0	0%	0	0%
Ex-offenders	0	0		0	0%	0	0%	$0	0	0%	0	0%
Homeless Individuals / runaway youth	0	0		0	0%	0	0%	$0	0	0%	0	0%
Long-term Unemployed (27 or more consecutive weeks)	0	0		0	0%	0	0%	$0	0	0%	0	0%
Low-Income Individuals	0	0		0	0%	0	0%	$0	0	0%	0	0%
Migrant and Seasonal Farmworkers	0	0		0	0%	0	0%	$0	0	0%	0	0%
Individuals with Disabilities (incl. youth)	0	0		0	0%	0	0%	$0	0	0%	0	0%
Single Parents (Incl. single pregnant women)	0	0		0	0%	0	0%	$0	0	0%	0	0%
Youth in foster care or aged out of system	0	0		0	0%	0	0%	$0	0	0%	0	0%

Specifications for Joint Statewide Performance Report

Report Item No.	Identifier (Definition)	Plain Text Specifications
1	Participants Served (Career Services)	Count of participants served during the period of the report who received Career Services only.
2	Participants Exited (Career Services)	Count of participants who only received Career Services that exited from all services during the reporting period.
3	Funds Expended (Career Services)	Total Amount expended on count of participants during the period of the report for individuals who received Career Services Only during the period of the report.
4	Cost Per Participant Served (Career Services)	Funds Expended divided by count of participants served during the period of the report who received Career Services only

Report Item No.	Identifier (Definition)	Plain Text Specifications
5	Participants Served (Training Services)	Count of participants served during the reporting period who received training services.
6	Participants Exited (Training Services)	Count of participants who received training services that exited from all services during the reporting period.
7	Funds Expended (Training Services)	Total Amount expended on count of participants served who received training during the reporting period.
8	Cost Per Participant Served (Training Services)	Funds Expended divided by Count of individual participants served during the period of the report who received Career Services only.
9	Percent Training Related Employment	Percentage of Title I participants who received training services who were in training related employment during the second quarter after exit. (Not Reported by Title II)
10	Percent Co-Enrolled	Percentage of participants who received services under more than one core program.
11	Percent Administrative Funds Expended	The percentage of total federal funds expended on administration for Title I programs. (Not Reported by Title II)
12	Participants Served	Number of total participants during the reporting period.
13	Participants Exited (Current PY)	Number of participants who exited during the reporting period.

Report Item No.	Identifier (Definition)	Plain Text Specifications
14	Employment Rate (Quarter 2) Numerator	Number of participants who exited during the reporting period who are employed during the second quarter after exit.
15	Employment Rate (Quarter 2) Denominator	Number of participants who exited during the reporting period.
16	Employment Rate (Quarter 2)	Number of participants who exited during the reporting period who are employed during the second quarter after exit (numerator) divided by the number of participants who exited during the reporting period (denominator) multiplied by 100 and reported as a percentage.
17	Employment Rate (Quarter 4) Numerator	Number of participants who exited during the reporting period who are employed during the fourth quarter after exit.
18	Employment Rate (Quarter 4) Denominator	Number of participants who exited during the reporting period.
19	Employment Rate (Quarter 4)	Number of participants who exited during the reporting period who are employed during the fourth quarter after exit (numerator) divided by the number of participants who exited during the reporting period (denominator) multiplied by 100 and reported as a percentage.
20	Median Earnings	For all participants who exited in a core program, report the wage that is at the midpoint (of all the wages) between the highest and lowest wage earned in the second quarter after exit.
21	Credential Rate Numerator	Number of participants who exited that were in a postsecondary education or training program and who

Report Item No.	Identifier (Definition)	Plain Text Specifications
		obtained a recognized postsecondary credential during the program or within one year after exit; plus the number of participants who exited that were in a secondary education program and who obtained a secondary education diploma or its equivalent during the program or within one year after exit AND who were also employed or enrolled in an education or training program leading to a recognized postsecondary credential within one year after exit.
22	Credential Rate Denominator	The number of participants who exited and were in a postsecondary education or training program during program participation; plus the number of participants who exited and were in a secondary education program (at or above the 9th grade level) without a secondary diploma or equivalent.
23	Credential Rate	Credential Rate Numerator divided by Credential Rate Denominator (i.e., Item #27 divided by Item #28) multiplied by 100 and reported as a percentage.
24	Measurable Skill Gains Numerator	Number of program participants who, during the program year, are in an education or training program that leads to a recognized postsecondary credential or employment and who are achieving measurable skill gains based on attainment of at least one of the five types of gains: 1) educational functional level gain; 2) secondary diploma or equivalent.
25	Measurable Skill Gains Denominator	Number of program participants who, during the program year, are in an education or training program that leads to a recognized postsecondary credential or employment.

Report Item No.	Identifier (Definition)	Plain Text Specifications
26	Measurable Skill Gains Rate	Measurable Skill Gains Numerator divided by Measurable Skill Gains Denominator (i.e., Item #30 divided by Item #31).
27	Female	Number of female program participants at program entry.
28	Male	Number of male program participants at program entry.
29	Less than 16	Number of program participants who are less than 16 at program entry.
30	16 – 18	Number of program participants who are age 16 – 18 at program entry.
31	19 –24	Number of program participants who are age 19 – 24 at program entry.
32	25 – 44	Number of program participants who are age 25 – 44 at program entry.
33	45 – 54	Number of program participants who are age 45 – 54 at program entry.
34	55 – 59	Number of program participants who are age 55 – 59 at program entry.
35	60+	Number of program participants who are age 60+ at program entry.
36	American Indian or Alaska Native	Number of American Indian or Alaska Native program participants at program entry.
37	Asian	Number of Asian program participants at program entry.
38	Black or African American	Number of Black or African American participants at program entry.

Report Item No.	Identifier (Definition)	Plain Text Specifications
39	Hispanic or Latino	Number of Hispanic or Latino participants at program entry.
40	Native Hawaiian or Other Pacific Islander	Number of Native Hawaiian or Pacific Islander participants at program entry.
41	White	Number of White program participants at program entry.
43	More Than One Race	Number of program participants having origins in more than one racial category at program entry.
42	Displaced Homemaker	Number of program participants who are displaced homemakers at program entry.
44	English language learners, Low Levels of Literacy, Cultural Barriers	Number of program participants at program entry who are English language learners, individuals who have low levels of literacy, or who face substantial cultural barriers.
45	Exhausting TANF Within 2 Years--(Part A Title IV of the Social Security Act)	Number of program participants at program entry who will exhaust TANF (Part A Title IV of the Social Security Act) within 2 years.
46	Ex-offenders	Number of program participants who are ex-offenders at program entry.
47	Homeless Individuals or Runaway Youth	Number of homeless participants or runaway youth at program entry.
48	Long-term unemployed (27 or more consecutive weeks)	Number of long-term unemployed program participants at program entry.
49	Low-income Individuals	Number of low-income program participants at program entry.

Report Item No.	Identifier (Definition)	Plain Text Specifications
50	Migrant and seasonal farmworkers	Number of program participants at program entry who are migrant or seasonal farmworkers.
51	Persons With Disabilities (Incl Youth)	Number of individuals with disabilities, including youth at program entry.
52	Single parents (including single pregnant woman)	Number of program participants at program entry who are single parents or single pregnant women.
53	Youth who are in or have aged out of the foster care system	Number of youth up to age 24 who have ever been in, or have aged out of the foster care system at program entry.

AEFLA INFORMATION COLLECTION OMB 1830-0027

NRS REPORTING TABLES

FEDERAL FINANCIAL REPORT
RECIPIENT SHARE DETAIL
NARRATIVE REPORT
DATA QUALITY CHECKLIST

NRS

National Reporting System
for Adult Education

A Project of the U.S. Department of Education

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1830-0027. The time required to complete this information collection is estimated to average 100 hours per response, including the time to review instructions, search existing data resources and gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate or suggestions for improving this form, please write to:** Division of Adult Education and Literacy, Office of Career, Technical, and Adult Education, U.S. Department of Education, 400 Maryland Avenue, S.W., Washington, DC 20202–4651. **If you have comments or concerns regarding the status of your individual submission of this form, write directly to:** Division of Adult Education and Literacy, Office of Career, Technical, and Adult Education, U.S. Department of Education, 400 Maryland Avenue, S.W., Washington, DC 20202–4651.

NRS REPORTING TABLES

Table 1
Participants by Entering Educational Functioning Level, Ethnicity, and Sex

Enter the number of participants* by educational functioning level, ethnicity/race, and sex.**

Entering Educational Functioning Level (EFL) (A)	American Indian or Alaska Native		Asian		Black or African American		Hispanic/ Latino		Native Hawaiian or Other Pacific Islander		White		More than One Race		Total
	Male (B)	Female (C)	Male (D)	Female (E)	Male (F)	Female (G)	Male (H)	Female (I)	Male (J)	Female (K)	Male (L)	Female (M)	Male (N)	Female (O)	(P)
ABE*** Level 1															
ABE Level 2															
ABE Level 3															
ABE Level 4															
ABE Level 5															
ABE Level 6															
ESL*** Level 1															
ESL Level 2															
ESL Level 3															
ESL Level 4															
ESL Level 5															
ESL Level 6															
Total															

Instructions for Completing Table 1

* A participant is an individual in an AEFLA program who has completed at least 12 contact hours in a period of participation.
** See definitions for ethnicity/race categories.
*** ABE = Adult Basic Education; ESL = English as a Second Language

Total: Report each participant only once on this table.

Ethnicity/Race: For instructions on collecting and reporting race and ethnicity data, please refer to "Final Guidance on Maintaining, Collecting and Reporting Race and Ethnicity Data to the U. S. Department of Education," 72 Fed. Reg. 59266 (19 October 2007).

Hispanic / Latino: The participant indicates that he/she is a person of Cuban, Mexican, Puerto Rican, South or Central American, or other Spanish culture in origin, regardless of race.
American Indian / Alaska Native: The participant indicates that he/she is a member of an Indian tribe, band, nation, or other organized group or community, including any Alaska Native village or regional or village corporation as defined in or established pursuant to the Alaska Native Claims Settlement Act (85 Stat. 688) [43 U.S.C. 1601 et seq.], which is recognized as eligible for the special programs and services provided by the United States to Indians because of their status as Indians.
Asian: The participant indicates that he/she is a person having origins in any of the original peoples of the Far East, Southeast Asia, or the Indian Subcontinent (e.g., India, Pakistan, Bangladesh, Sri Lanka, Nepal, Sikkim, and Bhutan). This area includes, for example, Cambodia, China, Japan, Korea, Malaysia, Pakistan, the Philippine Islands, Thailand, and Vietnam.
Black / African American: The participant indicates that he/she is a person having origins in any of the black racial groups of Africa.
Native Hawaiian / Other Pacific Islander: The participant indicates that he/she is a person having origins in any of the original peoples of Hawaii, Guam, Samoa, or other Pacific Islands.
White: the participant indicates that he/she is a person having origins in any of the original peoples of Europe, the Middle East, or North Africa.
More Than One Race: The participant indicates having origins in more than one racial category.

Sex:

Male: The participant indicates that he is male.
Female: The participant indicates that she is female.

Table 2
Participants by Age, Ethnicity, and Sex

Enter the number of participants* by age, ethnicity/race***, and sex.**

Age Group (A)	American Indian or Alaska Native		Asian		Black or African American		Hispanic/ Latino		Native Hawaiian or Other Pacific Islander		White		More than One Race		Total
	Male (B)	Female (C)	Male (D)	Female (E)	Male (F)	Female (G)	Male (H)	Female (I)	Male (J)	Female (K)	Male (L)	Female (M)	Male (N)	Female (O)	(P)
16-18															
19-24															
25-44															
45-54															
55-59															
60+															
Total															

Instructions for Completing Table 2

*A participant is an individual in an AEFLA program who has completed at least 12 contact hours in a period of participation.

**Participants should be classified based on their age at program entry. Participants entering the program prior to the current program year should be classified based on their age at the beginning of the current program year.
*** See definitions of ethnicity/race categories.
The totals in columns *B*–*O* should equal the totals in columns *B*–*O* of Table 1. Row totals in column *P* should equal corresponding column totals in Table 3.

Ethnicity/Race:
See Table 1
Sex:
See Table 1

Table 2A
Reportable Individuals by Age, Ethnicity, and Sex

Enter the number of reportable individuals* who have completed fewer than 12 contact hours by age, ethnicity***, and sex.**

Age Group (A)	American Indian or Alaska Native		Asian		Black or African-American		Hispanic/ Latino		Native Hawaiian or Other Pacific Islander		White		More than One Race		Total
	Male (B)	Female (C)	Male (D)	Female (E)	Male (F)	Female (G)	Male (H)	Female (I)	Male (J)	Female (K)	Male (L)	Female (M)	Male (N)	Female (O)	(P)
16-18															
19-24															
25-44															
45-54															
55-59															
60+															
Total															

Instructions for Completing Table 2A

***Report, on this table, only individuals who have completed fewer than 12 contact hours in a period of participation. A reportable individual is an individual who has taken action that demonstrates an intent to use program services and who meets specific reporting criteria of an AEFLA program.**

** Reportable individuals should be classified based on their age at entry. Reportable individuals entering the program prior to the current program year should be classified based on their age at the beginning of the current program year.

*** See definitions of race/ethnic categories and examples that demonstrate how to report them.

Ethnicity/Race:

See Table 1

Table 3
Participants* by Program Type and Age

Enter the number of participants by program type and age, non-duplicated.

Program Type (A)	16-18 (B)	19-24 (C)	25-44 (D)	45-54 (E)	55-59 (F)	60+ (G)	Total (H)
Adult Basic Education**							
Integrated Education and Training Program							
Adult Secondary Education***							
Integrated Education and Training Program							
English Language Acquisition****							
Integrated Education and Training Program							
Integrated English Literacy and Civics Education (Sec. 243)*****							
Integrated Education and Training Program							
Total							

Instructions for Completing Table 3

*A participant is an individual in an AEFLA program who has completed at least 12 contact hours in a period of participation.
The total in column H should equal the total in column P of Table 1.
**Number of participants enrolled in ABE levels 1-4. This number includes those enrolled in Integrated Education and Training (IET) programs (Sec. 203(11) of WIOA).
***Number of participants enrolled in ABE levels 5 and 6. This number includes those enrolled in IET programs (Sec. 203(11) of WIOA).
****Number of participants enrolled in English Language Acquisition (ELA) programs but not enrolled in Integrated English Literacy and Civics Education (IELCE) programs (Sec. 243 of WIOA). This number includes those enrolled in IET programs (Sec. 203(11) of WIOA).
*****Number of participants enrolled in IELCE programs (Sec. 243 of WIOA). This number includes those enrolled in IET programs. It does not include those enrolled in ELA programs. Participants reported on this table as enrolled in IELCE programs (Sec. 243 of WIOA) should not be reported under any other program type in this table.
The Total row is the sum of Adult Basic Education + Adult Secondary Education + English Language Acquisition + Integrated English Literacy and Civics Education (Sec. 243) in each column.

Table 4
Measurable Skill Gains (MSG) by Entry Level

Enter the number of participants for each category listed, total attendance hours, number achieving at least one educational functioning level gain, number who attain a secondary school diploma or its recognized equivalent, and periods of participation outcomes.

First Period of Participation									All Periods of Participation			
Entering Educational Functioning Level (A)	Number of Participants (B)	Total Number of Participants Excluded from MSG Performance (C)	Total Attendance Hours for all participants (D)	Number who achieved at least one educational functioning level gain (E)	Number who attained a secondary school diploma or its recognized equivalent (F)	Number Separated Before Achieving Measurable Skill Gains (G)	Number Remaining in Program without Measurable Skill Gains (H)	Percentage Achieving Measurable Skill Gains (I)	Total number of Periods of Participation (J)	Total number of Periods of Participation in which Participants achieved at least one educational functioning level gain (K)	Total number of Periods of Participation in which a secondary school diploma or its recognized equivalent was attained (L)	Percentage of Periods of Participation with Measurable Skill Gains (M)
ABE Level 1												
ABE Level 2												
ABE Level 3												
ABE Level 4												
ABE Level 5												
ABE Level 6												
ABE Total												
ESL Level 1												
ESL Level 2												
ESL Level 3												
ESL Level 4												
ESL Level 5												
ESL Level 6												
ESL Total												
Grand Total												

Instructions for Completing Table 4

- Use participant's pretest score for the 1st entry of a program year for initial placement in this table.
- For the purposes of reporting measurable skill gain on Tables 4, 4C, 8, and 10, each program entry per participant during the reporting period is considered a period of participation.
- Count each participant only once in columns E through H. Total number of participants in column B should equal corresponding total number of participants in other NRS tables. Report the most recent measurable skill gain for a participant who achieved more than one measurable skill gain during a period of participation.
- The number in Column C is the number of participants who are being excluded from MSG performance due to the exclusion scenarios listed in OCTAE Program Memorandum 17-2 Attachment 2, Table A. No values associated with these participants should be entered into columns E-G.
- The number in column E is the number of participants who completed one or more Educational Functioning Level (EFL) gains as measured in one of three ways: 1) by comparing a participant's initial EFL as measured by a pre-test with the participant's EFL as measured by a participant's post-test; or 2) for States that offer high school programs that lead to a secondary school diploma or its recognized equivalent, an EFL gain may be measured through the awarding of credits or Carnegie units; or 3) States may report an EFL gain for participants who exit the program and enroll in postsecondary education or training during the program year.
- Column F is the number of participants who attained a secondary school diploma or its recognized equivalent.
- Enter only the most recent achievement, if attained, per participant in column E or column F. No participant should have an achievement counted in both columns.
- Column G is the number of participants who achieved no measurable skill gain and exited the program. The last day of service cannot be determined until at least 90 days have elapsed since the participant last received services (services do not include self-service, information-only services or activities, or follow-up services), and there are no plans to provide the participant with future services.
- Column H is number of participants who remain enrolled and achieved no measurable skill gain.
- Column *B should equal Column C* + *E* + *F* + G + H.
- Column I is calculated using the following formula: (Column I) = $\frac{\text{(Column E + Column F)}}{\text{(Column B – Column C)}}$
- Column J is the total number of periods of participation for each participant. A participant may have more than one period of participation.
- Column K is the Total number of Periods of Participation in which at least one educational functioning level gain was achieved. Multiple outcomes are permissible for individual participants with more than one period of participation. Although participants may achieve more than one gain per period of participation, only one gain for a participant per period of participation is reported in EITHER column K or column L.
- Column L is the Total number of Periods of Participation in which a secondary school diploma or its recognized equivalent was attained. Multiple outcomes are permissible for individual participants with more than one period of participation. Although participants may achieve more than one gain per period of participation, only one gain for a participant per period of participation is reported in EITHER column K or column L.
- Column M is calculated using the following formula: (Column M) = $\frac{\text{(Column K + Column L)}}{\text{(Column J)}}$
- **Period of Participation**: For the Measurable Skill Gains indicator, a new period of participation is counted each time a participant enrolls—even if both enrollments occur within the same program year. It is not necessary to wait until the participant exits the program in order to count a measurable skill gain, because the measurable skill gains indicator is not an exit-based indicator. The skill gain may be counted as soon as it is earned at any point during the participation period of the program year in which it was earned. A person with more than one period of participation in a program year is counted separately for each period of participation in both the numerator and denominator of each applicable performance indicator. Therefore, the person is counted multiple times— once for each period of participation. Please see OCTAE program memorandum 17-2 for examples of counting periods of participation.

Table 4A
Educational Functioning Level Gain

English Language Arts (ELA)/Literacy, English Language Proficiency (ELP), Mathematics, Carnegie Units/Credits, and Transition to Postsecondary Education by Entry Level

Enter number of participants achieving educational gain at each level.

Entering Educational Functioning Level (A)	Number of Participants (B)	Number with EFL Gain For ELA/Literacy or ELP by pre-posttesting (C)	Percentage Achieving ELA/Literacy or ELP EFL Gains (D)	Number with EFL Gain For Mathematics by pre-posttesting (E)	Percentage Achieving Mathematics EFL Gains (F)	Number with EFL Gain by Carnegie Units/ Credits (G)	Percentage Achieving EFLGain by Carnegie Units/ Credits (H)	Number with EFL Gain by Transition to Post-secondary Education (I)	Percentage Achieving EFL Gain by Transition to Postsecondary Education (J)
ABE Level 1									
ABE Level 2									
ABE Level 3									
ABE Level 4									
ABE Level 5									
ABE Level 6									
ABE Total									
ESL Level 1									
ESL Level 2									
ESL Level 3									
ESL Level 4									
ESL Level 5									
ESL Level 6									
ESL Total									
Grand Total									

Instructions for Completing Table 4A

- Column B is the number of participants who achieved an EFL gain during the program year.
- Both ELA/literacy or ELP and Mathematics level gains must be reported for all participants, if tested in both areas. EFL gains reported in Columns C and D may be measured by reading, writing, literacy skills, speaking or listening tests approved for use in the National Reporting System for Adult Education (NRS).
- Report Carnegie unit/credit attainment and entry into postsecondary education for participants who achieved these outcomes. Multiple outcomes are permissible on this table for individual participants.
- In each of Columns C, E, G, and I, record the total number of participants who achieved at least one educational functioning level gain of that type.
- Calculate Percentages as follows:
  - Column D = Column C/Column B
  - Column F = Column E/Column B
  - Column H = Column G/Column B
  - Column J = Column I/Column B

Table 4B
Educational Functioning Level Gain and Attendance for Pre- and Post-tested Participants

Enter the number of pre- and post-tested participants for each category listed, number of post-tested participants achieving at least one educational functioning level gain, and total attendance hours for post-tested participants.

Entering Educational Functioning Level (A)	Number of Participants (B)	Total Attendance Hours (C)	Number with EFL Gain (D)	Number Separated Before Achieving EFL Gain (E)	Number Remaining Within Level (F)	Percentage Achieving EFL Gain (G)
ABE Level 1						
ABE Level 2						
ABE Level 3						
ABE Level 4						
ABE Level 5						
ABE Total						
ESL Level 1						
ESL Level 2						
ESL Level 3						
ESL Level 4						
ESL Level 5						
ESL Level 6						
ESL Total						
Total						

Instructions for Completing Table 4B

Include in this table only participants who are both pre- and post-tested.

- Column *D* is the total number of participants (both exited and continuing) who achieved at least one EFL gain by completing at least one level through pre- and post-testing.
- Column *E* is the number of participants who achieved no EFL gain and exited the program. The last day of service cannot be determined until at least 90 days have elapsed since the participant last received services (services do not include self-service, information-only services or activities, or follow-up services), and there are no plans to provide the participant with future services.
- Column *F* represents the number of participants still enrolled who are at the same EFL level as when they entered.
- Column *D* + *E* + *F* should equal the total in Column *B*.
- Each row total in Column *G* is calculated using the following formula: $G = \frac{ColumnD}{ColumnB}$

Table 4C
Measurable Skill Gains by Entry Level for Participants in Distance Education

Enter the number of distance education participants for each category listed, total attendance hours, number achieving at least one educational functioning level gain, number who attain a secondary school diploma or its recognized equivalent, and periods of participation outcomes.

First Period of Participation								All Periods of Participation		
Entering Educational Functioning Level (A)	Number of Participants (B)	Total Attendance Hours for all participants (C)	Number who achieved at least one EFL gain (D)	Number who attained a secondary school diploma or its recognized equivalent (E)	Number Separated Before Achieving Measurable Skill Gains (F)	Number Remaining in Program without Measurable Skill Gains (G)	Percentage Achieving Measurable Skill Gains (H)	Total number of Periods of Participation (I)	Total number of Periods of Participation with Measurable Skill Gains (J)	Percentage of Periods of Participation with Measurable Skill Gains (K)
ABE Level 1										
ABE Level 2										
ABE Level 3										
ABE Level 4										
ABE Level 5										
ABE Level 6										
ABE Total										
ESL Level 1										
ESL Level 2										
ESL Level 3										
ESL Level 4										
ESL Level 5										
ESL Level 6										
ESL Total										
Grand Total										

Instructions for Completing Table 4C

Include in this table only participants who are counted as distance education participants . This table is a subset of the participants reported in Table 4.

- Participant data for all periods of participation are included on this table if the participant met the State's definition of a distance education participant during the program year.
- Use participant's pretest score for initial placement in this table.
- For the purposes of reporting measurable skill gain on Tables 4, 4C, 8, and 10, each program entry per participant during the reporting period is considered a period of participation.
- Count each participant only once in columns D through G.
- The number in column D is the number of participants who completed one or more EFL gains as measured in one of three ways: 1) by comparing a participant's initial EFL as measured by a pre-test with the participant's EFL as measured by a participant's post-test; or 2) for States that offer high school programs that lead to a secondary school diploma or its recognized equivalent, an EFL gain may be measured through the awarding of credits or Carnegie units: or 3) States may report an EFL gain for participants who exit the program and enroll in postsecondary education or training during the program year.
- Column E is the number of participants who attained a secondary school diploma or its recognized equivalent.
- Enter only the most recent achievement, if attained, per participant in column D or column E.
- Column F is the number of participants who achieved no measurable skill gain and exited the program. The last day of service cannot be determined until at least 90 days have elapsed since the participant last received services (services do not include self-service, information-only services or activities, or follow-up services), and there are no plans to provide the participant with future services.
- Column G is number of participants who remain enrolled and achieved no measurable skill gain.
- Column *D* + *E* + *F* + G should equal the total in Column *B.*
- Column H is calculated using the following formula: (Column H) = $\frac{\text{(Column D + Column E)}}{\text{(Column B)}}$
- Column I is the total number of periods of participation for each participant. A participant may have more than one period of participation.
- Column J is the number of periods of participation in which a measurable skill gain is achieved. Multiple outcomes are permissible for individual participants with more than one period of participation. Participants may achieve more than one gain per period of participation. However, only one gain for a participant per period of participation is reported in column J.
- Column K is calculated using the following formula: (Column H) = $\frac{\text{(Column J)}}{\text{(Column I)}}$
- **Period of Participation**: For the Measurable Skill Gains indicator, a new period of participation is counted each time a participant enrolls—even if both enrollments occur within the same program year. It is not necessary to wait until the participant exits the program in order to count a measurable skill gain, because the measurable skill gains indicator is not an exit-based indicator. The skill gain may be counted as soon as it is earned at any point during the participation period of the program year in which it was earned. A person with more than one period of participation in a program year is counted separately for each period of participation in both the numerator and denominator of each applicable performance indicator. Therefore, the person is counted multiple times— once for each period of participation. Please see OCTAE program memorandum 17-2 for examples of counting periods of participation.

Table 5
Primary Indicators of Performance

First Period of Participation				All Periods of Participation		
Primary Indicators of Performance	Number of Participants who Exited	Number of Participants who Exited Achieving Outcome or Median Earnings Value	Percentage of Participants Achieving Outcome	Total Periods of Participation	Total Number of Periods of Participation in which Participants Achieved Outcome or Median Earnings Value for All Periods of Participation	Percentage of Participants in All Periods of Participation Achieving Outcome
(A)	(B)	(C)	(D)	(E)	(F)	(G)
Employment Second Quarter after exit *						
Employment Fourth Quarter after exit *						
Median Earnings Second Quarter after exit **			N/A			N/A
Attained a Secondary School Diploma/Recognized Equivalent and Enrolled in Postsecondary Education or Training within one year of exit ***						
Attained a Secondary School Diploma/Recognized Equivalent and Employed within one year of exit ***						
Attained a Postsecondary Credential while enrolled or within one year of exit ****						
Attained any credential (unduplicated)*****						

Instructions for Completing Table 5

Note: All shaded columns will be calculated automatically by OCTAE's data system.

For the purposes of reporting on Employment 2nd Quarter, Employment 4th Quarter, Median Earnings, and the Credential Attainment indicators on Tables 5, 5A, 8, 9, 10, and 11 each program entry and exit per participant during the reporting period is considered a period of participation.

Do not exclude participants because of missing Social Security numbers or other missing data.

Exit: The exit date is the last date of service. The last day of service cannot be determined until at least 90 days have elapsed since the participant last received services. Services do not include self-service, information-only services or activities, or follow-up services. This also requires that there are no plans to provide the participant with future services.

Period of Participation: For all indicators, except measurable skill gains, a period of participation refers to the period of time beginning when an individual becomes a participant and ending on the participant's date of exit from the program. States must count each participant's exit during the same program year as a separate period of participation for purposes of calculating levels of performance. For all indicators, except the measurable skill gains indicator, a new period of participation is counted each time a participant re-enters and exits the program—even if both exits occur during the same program year. A person with more than one period of participation in a program year is counted separately for each period of participation in both the numerator and denominator of each applicable performance indicator. Therefore, the person is counted multiple times— once for each period of participation. Please see OCTAE program memorandum 17-2 for examples of counting periods of participation.

* Report in Column B (second and fourth quarter employment) the total number of participants who exited during the appropriate cohort period, excluding participants who exited due to the exclusions listed in OCTAE Memorandum 17-2 Attachment 2: Table A or incarcerated individuals under section 225 of WIOA who exited the AEFLA program but are still incarcerated.

** Report in Column B (Median Earnings) the total number of participants who exited during the appropriate cohort period and who were employed in the second quarter after program exit, excluding participants who exited due to the exclusions listed in OCTAE Program Memorandum 17-2 Attachment 2: Table A or incarcerated individuals under section 225 who exited the AEFLA program but are still incarcerated.

*** Report in Column B (secondary school credential attainment) the total number of participants without a secondary school credential or recognized equivalent who exited during the appropriate cohort period who entered at, or advanced into, a secondary school level program (9th grade equivalent or higher), excluding participants who exited due to the exclusions listed in OCTAE Program Memorandum 17-2 Attachment 2: Table A or incarcerated individuals under section 225 who exited the AEFLA program but remain incarcerated. Participants may potentially be reported in both secondary school credential rows and the postsecondary credential row. For participants included in the secondary school credential denominator who do not achieve a qualifying secondary school credential or recognized equivalent, choose only one row to report for Column B. For participants who achieved a secondary school credential or a recognized equivalent, enrolled in postsecondary education or training, and were employed within one year of exit, Column B and Column C would be reported for BOTH secondary school credential rows.

**** Report in Column B (postsecondary credential attainment) the total number of participants who during the appropriate cohort period were also enrolled in a postsecondary education or training program leading to a recognized postsecondary credential and exited that postsecondary training program, excluding participants who exited due to the exclusions listed in OCTAE Program Memorandum 17-2 Attachment 2: Table A or incarcerated individuals under section 225 who exited the AEFLA program but are still incarcerated. Participants may potentially be reported in both secondary school credential rows and the postsecondary credential row.

***** Report in Column B (Attained any credential (unduplicated)) the unduplicated total number of participants who EITHER: (1) did not possess a secondary school credential or recognized equivalent and exited during the appropriate cohort period who entered at, or advanced into, a secondary school level program (9th grade equivalent or higher) OR (2) were co-enrolled in a postsecondary education or training program leading to a recognized postsecondary credential and exited that postsecondary training program; excluding participants who exited due to the exclusions listed in OCTAE Program Memorandum 17-2 Attachment 2: Table A or incarcerated individuals under section 225 who exited the AEFLA program but remain incarcerated. Participants who meet the requirements for inclusion in both the secondary and postsecondary credential cohorts would only be recorded once in Column B.

Column C (except for Median Earnings) is the number of participants that achieved each outcome. For Median Earnings reporting, Column C is the median earnings value which is the midpoint between lowest and highest quarterly wage, in U.S. dollars, for the total number of participants who exited during the appropriate cohort period and who were employed in the second quarter after program exit, excluding participants who exited due to the exclusions listed in OCTAE Program Memorandum 17-2 Attachment 2: Table A or incarcerated individuals under section 225 who exited the AEFLA program but are still incarcerated. Participants who earn both a secondary and postsecondary credential would only be recorded once in Column C.

Column C, for median earnings, is the quarterly wage value for participants employed in the 2nd quarter after exit.

Column D (except for Median Earnings) is the number in Column C divided by the number in Column B. Column D should never be greater than 100 percent.

Column E is the total number of periods of participation for each participant reported in column B. This number will be greater than or equal to the number of participants in Column B.

Column F (except for Median Earnings) is the number of periods of participation in which the outcome was achieved.

. For Median Earnings reporting, Column F is the median earnings value which is the midpoint between lowest and highest quarterly wage, in U.S. dollars, for the total number of periods of participation, excluding incarcerated individuals under section 225 who exited the AEFLA program but are still incarcerated.

Column F, for Median Earnings, is the median value for quarterly wage values from all PoPs reported for participants employed in the 2nd quarter after exit. In cases where participants have multiple PoPs, there would be the same number of instances of a quarterly earnings value. Those values would all be included in the final matrix of values used to determine the median quarterly earnings value for a State.

Column G (except for Median Earnings) is the number in Column F divided by the number in Column E. Column G should never be greater than 100 percent.

Columns D and G are not applicable to Median Earnings.

Table 5A
Primary Indicators of Performance for Participants in Distance Education

First Period of Participation				All Periods of Participation		
Primary Indicators of Performance	**Number of Participants who Exited**	**Number of Participants who Exited Achieving Outcome or Median Earnings Value**	**Percentage of Participants Achieving Outcome**	**Total Periods of Participation**	**Total Number of Periods of Participation in which Participants Achieved Outcome or Median Earnings Value for All Periods of Participation**	**Percentage of Participants in All Periods of Participation Achieving Outcome**
(A)	**(B)**	**(C)**	**(D)**	**(E)**	**(F)**	**(G)**
Employment Second Quarter after exit						
Employment Fourth Quarter after exit						
Median Earnings Second Quarter after exit			**N/A**			**N/A**
Attained a Secondary School Diploma/Recognized Equivalent and Enrolled in Postsecondary Education or Training within one year of exit						
Attained a Secondary School Diploma/Recognized Equivalent and Employed within one year of exit						
Attained a Postsecondary Credential while enrolled or within one year of exit						

Instructions for Completing Table 5A

Include only participants who are counted as distance education participants. Distance education participants are also included in Table 5. Participant data for all periods of participation are included on this table, if the participant met the State's definition of a distance education participant during the program year.

Follow instructions for completing Table 5.

Note: All shaded columns will be calculated automatically by OCTAE's data system.

Table 6
Participant Status and Program Enrollment

Enter the number of participants for each of the categories listed.

Participant Status at Program Entry (A)	**Number (B)**	
Employed		
Employed, but Received Notice of Termination of Employment or Military Separation is pending		
Unemployed		
Not in the Labor Force		
TOTAL		
Highest Degree or Level of School Completed *	**US-Based Schooling**	**Non-US-Based Schooling**
No schooling		
Grades 1-5		
Grades 6-8		
Grades 9-12 (no diploma)		
Secondary School Diploma		
Secondary School Recognized Equivalent		
Some Postsecondary education, no degree		
Postsecondary or professional degree		
Unknown		
TOTAL (both US Based and Non-US Based)		
Program Type **		
In Family Literacy Program		
In Workplace Adult Education and Literacy Activities ***		
Institutional Programs (section 225)		
In Correctional Facility		
In Community Correctional Program		
In Other Institutional Setting		
TOTAL Institutional		

Instructions for Completing Table 6

* Enter the highest level of schooling or degree attained for each participant in US or non-US-based schooling. Provide *only one entry* per participant. The total number of participants reported here must be the same as the number reported in the Total row of Column P, Table 1.
** Participants counted here must be in a program specifically designed for that purpose.
*** The term "workplace adult education and literacy activities" means adult education and literacy activities offered by an eligible provider in collaboration with an employer or employee organization at a workplace or an off-site location that is designed to improve the productivity of the workforce (WIOA sec. 203(16)).

Employment Status definitions:

Employed: The participant, at program entry, (a) is currently performing any work at all as a paid employee, (b) is currently performing any work at all in his or her own business, profession, or farm, (c) is currently performing any work as an unpaid worker in an enterprise operated by a member of the family, or (d) is one who is not working, but currently has a job or business from which he or she is temporarily absent because of illness, bad weather, vacation, labor-management dispute, or personal reasons, whether or not paid by the employer for time off, and whether or not seeking another job.

Employed, but Received Notice of Termination of Employment or Military Separation is pending: The participant, at program entry, is a person who, although employed, either (a) has received a notice of termination of employment or the employer has issued a Worker Adjustment and Retraining Notification (WARN) or other notice that the facility or enterprise will close, or (b) is a transitioning service member (i.e., within 12 months of separation or 24 months of retirement).

Not in the labor force: The participant, at program entry, is not in the labor force (i.e., those who are not employed and are not actively looking for work, including those who are incarcerated).

Unemployed: The participant, at program entry, is not employed but is seeking employment, makes specific effort to find a job, and is available for work.

Table 7
Adult Education Personnel by Function and Job Status

(A)	Adult Education Personnel		Unpaid Volunteers (D)
	Total Number of Part-time Personnel (B)	Total Number of Full-time Personnel (C)	
Function			
State-level Administrative/ Supervisory/Ancillary Services *			
Local-level Administrative/ Supervisory/Ancillary Services *			
Local Counselors *			
Local Paraprofessionals *			
Local Teachers **			
Teachers' Years of Experience In Adult Education			
Less than one year			
One to three years			
More than three years			
Teacher Certification			
No certification			
Adult Education Certification			
K-12 Certification			
Special Education Certification			
TESOL Certification			

Instructions for Completing Table 7

* For reporting State-level Administrative/Supervisory/Ancillary Services and Local-level Administrative/Supervisory/Ancillary Services, Counselors, and Paraprofessionals:

- Enter an unduplicated count of personnel by function and job status. Count the number of positions, not the number of staff who filled them.
- In Column *B*, count one time only each part-time position of the program administered under AEFLA who is being paid out of Federal, State, and/or local education funds.
- In Column *C*, count one time only each full-time position of the program administered under AEFLA who is being paid out of Federal, State, and/or local education funds.
- In Column *D*, report the number of volunteer positions (personnel who are <u>not paid</u>) who served in the program administered under AEFLA.

** For reporting Local Teachers:

- Count and report the number of teachers, not the number of positions. For example, if one local part-time teaching position was filled with 3 teachers throughout program year, count and report 3 local part-time teachers.
- Report adult education experience and certification for paid teachers only, not volunteers. The total number of teachers for which experience is reported must equal the total number of teachers reported in Columns B and C.
- For certification, report all certifications a teacher has. Multiple responses are allowed. Report teachers who lack certification in the "No Certification" category.

Table 8
Outcomes for Participants in Family Literacy Programs (Optional)

Enter the number of participants in family literacy programs for each of the categories listed.

First Period of Participation				All Periods of Participation		
Primary Indicators of Performance	Number of Participants Included in the Indicator	Number of Participants Achieving Outcome or Median Earnings Value	Percentage of Participants Achieving Outcome	Total Periods of Participation	Total Number of Periods of Participation in which Participants Achieved Outcome or Median Earnings Value for All Periods of Participation	Percentage of Participants in All Periods of Participation Achieving Outcome
(A)	(B)	(C)	(D)	(E)	(F)	(G)
Measurable Skill Gain						
Employment Second Quarter after exit						
Employment Fourth Quarter after exit						
Median Earnings Second Quarter after exit			N/A			N/A
Attained a Secondary School Diploma/Recognized Equivalent and Enrolled in Postsecondary Education or Training within one year of exit						
Attained a Secondary School Diploma/Recognized Equivalent and Employed within one year of exit						

First Period of Participation				All Periods of Participation		
Primary Indicators of Performance	**Number of Participants Included in the Indicator**	**Number of Participants Achieving Outcome or Median Earnings Value**	**Percentage of Participants Achieving Outcome**	**Total Periods of Participation**	**Total Number of Periods of Participation in which Participants Achieved Outcome or Median Earnings Value for All Periods of Participation**	**Percentage of Participants in All Periods of Participation Achieving Outcome**
(A)	**(B)**	**(C)**	**(D)**	**(E)**	**(F)**	**(G)**
Attained a Postsecondary Credential while enrolled or within one year of exit						

Family Literacy Follow-up Outcome Measures	Number of Participants who Exited	Number of Participants Achieving Outcome	Percent Achieving Outcome
(A)	**(B)**	**(C)**	**(D)**
Increased Involvement in Children's Education			
Helped more frequently with school			
Increased contact with children's teachers			
More involved in children's school activities			
Increased Involvement in Children's Literacy Activities			
Reading to children			
Visiting library			
Purchasing books or magazines			
Left Public Assistance			

Instructions for Completing Table 8

Include only family literacy program participants in Table 8.

Note: All shaded columns will be calculated automatically by OCTAE's data system.

For reporting measurable skill gains:

Enter in column B the total number of Family Literacy program participants enrolled during the reporting period. Enter in column C the number of participants who achieved one or more educational functioning level gains or attained a secondary school diploma. Enter only one of these achievements, if attained, per participant in column C.

For reporting the exit-based Primary Indicators of Performance:

Follow instructions for completing Table 5 to report these outcomes.

For reporting family literacy outcome measures:

Report in Column B the total number of participants who exited during the program year. Do not exclude participants because of missing Social Security numbers or other missing data.

Achievement of one or more of the increased involvement in children's education or children's literacy activities measures should be counted only once per participant. However, the specific outcome should be recorded in the subcategory and more than one outcome may be reported, so that the total for the three subcategories may be greater than the total reported for the overall category. For example, a participant who helped more frequently with schoolwork and increased contact with child's teachers would be recorded in both categories but would be counted only once in the overall category of "increased involvement in children's education."

Table 9
Outcome Achievement for Participants in Integrated English Literacy and Civics Education

First Period of Participation				All Periods of Participation		
Primary Indicators of Performance	Number of Participants Included in the Indicator	Number of Participants Achieving Outcome or Median Earnings Value	Percentage of Participants Achieving Outcome	Total Periods of Participation	Total Number of Periods of Participation in which Participants Achieved Outcome or Median Earnings Value for All Periods of Participation	Percentage of Participants in All Periods of Participation Achieving Outcome
(A)	(B)	(C)	(D)	(E)	(F)	(G)
Measurable Skill Gain						
Employment Second Quarter after exit						
Employment Fourth Quarter after exit						
Median Earnings Second Quarter after exit			N/A			
Attained a Secondary School Diploma/Recognized Equivalent and Enrolled in Postsecondary Education or Training within one year of exit						
Attained a Secondary School Diploma/Recognized Equivalent and Employed within one year of exit						
Attained a Postsecondary Credential while enrolled or within one year of exit						

Civics Education Follow-up Outcome Measures (Optional)	Number of Participants Who Exited	Number of Participants Who Exited Achieving Outcome	Percent Achieving Outcome
(A)	(B)	(E)	(F)
Achieved Citizenship Skills			
Voted or Registered to Vote			
Increased Involvement in Community Activities			

Instructions for Completing Table 9

Include only participants who are counted as Integrated English Literacy and Civics Education program participants.

Note: All shaded columns will be calculated automatically by OCTAE's data system.

For measurable skill gain: Enter in column B the total number of Integrated English Literacy and Civics Education program participants enrolled during the reporting period. Enter in column C the number of participants who achieved one or more educational functioning level gains or attained a secondary school diploma or recognized equivalent. Enter only one of these achievements, if attained, per participant in column C.

For reporting the exit-based Primary Indicators of Performance:

Follow instructions for completing Table 5 to report these outcomes.

For reporting civics education outcome measures:

Report in Column B the total number of participants who exited during the program year. Do not exclude participants because of missing Social Security numbers or other missing data.

Achievement of one or more of the civics education outcome measures should be counted only once per participant.

Table 10
Outcome Achievement for Participants in Correctional Education Programs

Enter the number of participants in correctional education programs (section 225) for each of the categories listed.

First Period of Participation				All Periods of Participation		
Primary Indicators of Performance	Number of Participants Included in the Indicator	Number of Participants Achieving Outcome or Median Earnings Value	Percentage of Participants Achieving Outcome	Total Periods of Participation	Total Number of Periods of Participation in which Participants Achieved Outcome or Median Earnings Value for All Periods of Participation	Percentage of Participants in All Periods of Participation Achieving Outcome
(A)	(B)	(C)	(D)	(E)	(F)	(G)
Measurable Skill Gain						
Employment Second Quarter after exit						
Employment Fourth Quarter after exit						
Median Earnings Second Quarter after exit			N/A			N/A
Attained a Secondary School Diploma/Recognized Equivalent and Enrolled in Postsecondary Education or Training within one year of exit						
Attained a Secondary School Diploma/Recognized Equivalent and Employed within one year of exit						
Attained a Postsecondary Credential while enrolled or within one year of exit						

Instructions for Completing Table 10

Include only correctional education participants under Sec. 225 of WIOA.

Note: All shaded columns will be calculated automatically by OCTAE's data system.

For measurable skill gain: Enter in column B the total number of correctional education program participants enrolled during the reporting period. This indicator includes both released and non-released participants. Enter in column C the number of

participants who achieved one or more educational functioning level gains or attained a secondary school diploma. Enter only one of these achievements, if attained, per participant in column C.

For reporting the Primary Indicators of Performance:

Enter in column B the total number of correctional education program participants enrolled during the reporting period who were **no longer incarcerated** at program exit. Enter in column C the number of participants who were **no longer incarcerated** at program exit who achieved success in the designated indicator.

Follow instructions for completing Table 5 to report these outcomes.

Table 11
Outcome Achievement for Participants in Integrated Education and Training Programs

Enter the number of all participants in Integrated Education and Training programs for each of the categories listed.

First Period of Participation				All Periods of Participation		
Primary Indicators of Performance	Number of Participants Included in the Indicator	Number of Participants Achieving Outcome or Median Earnings Value	Percentage of Participants Achieving Outcome	Total Periods of Participation	Total Number of Periods of Participation in which Participants Achieved Outcome or Median Earnings Value for All Periods of Participation	Percentage of Participants in All Periods of Participation Achieving Outcome
(A)	(B)	(C)	(D)	(E)	(F)	(G)
MSG via Achievement of at Least One Educational Functioning Level Gain						
MSG via Attainment of Secondary School Diploma/ Recognized Equivalent						
MSG via Secondary or Postsecondary Transcript						
MSG via Progress Toward Milestones						
MSG via Passing Technical/ Occupational Skills Exam						
Employment Second Quarter after exit						
Employment Fourth Quarter after exit						
Median Earnings Second Quarter after exit			N/A			

First Period of Participation				All Periods of Participation		
Primary Indicators of Performance	**Number of Participants Included in the Indicator**	**Number of Participants Achieving Outcome or Median Earnings Value**	**Percentage of Participants Achieving Outcome**	**Total Periods of Participation**	**Total Number of Periods of Participation in which Participants Achieved Outcome or Median Earnings Value for All Periods of Participation**	**Percentage of Participants in All Periods of Participation Achieving Outcome**
(A)	**(B)**	**(C)**	**(D)**	**(E)**	**(F)**	**(G)**
Attained a Secondary School Diploma/Recognized Equivalent and Enrolled in Postsecondary Education or Training within one year of exit						
Attained a Secondary School Diploma/Recognized Equivalent and Employed within one year of exit						
Attained a Postsecondary Credential while enrolled or within one year of exit						

Instructions for Completing Table 11

Include only IET program participants but exclude participants who exited due to the exclusions listed in OCTAE Memorandum 17-2 Attachment 2, Table A. Also exclude from all indicators, except EFL gains, incarcerated individuals under WIOA section 225 who exited the AEFLA program but are still incarcerated. All shaded columns will be calculated automatically by OCTAE's data system.

Report any of the following MSG outcomes for each IET participant. Reporting multiple MSG outcomes per participant is permitted.

For reporting MSG via Achievement of at Least One Educational Functioning Level Gain: Enter in column B the total number of Integrated Education and Training program participants enrolled during the reporting period. Enter in column C the number of participants who completed one or more Educational Functioning Level (EFL) gains as measured in one of three ways: 1) an EFL gain may be measured by comparing a participant's initial EFL as measured by a pre-test with the participant's EFL as measured by a participant's post-test; or 2) for States that offer high school programs that lead to a secondary school diploma or its recognized equivalent, an EFL gain may be measured through the awarding of credits or Carnegie units; or 3) States may report an EFL gain for participants who exit the program and enroll in postsecondary education or training during the program year.

For reporting MSG via Attainment of Secondary School Diploma/Recognized Equivalent: Enter in column B the total number of Integrated Education and Training program participants enrolled during the reporting period. Enter in column C the number of participants who attained a secondary school diploma or its recognized equivalent.

For reporting MSG via Secondary or Postsecondary Transcript: Enter in column B the total number of Integrated Education and Training program participants enrolled during the reporting period. Enter in column C the number of participants who demonstrated progress through a secondary or postsecondary transcript or report card for a sufficient number of credit hours that shows a participant is meeting the State unit's academic standards.

For reporting MSG via Progress Toward Milestones: Enter in column B the total number of Integrated Education and Training program participants enrolled during the reporting period. Enter in column C the number of participants who demonstrated satisfactory or better progress report, towards established milestones, such as completion of on-the-job training (OJT) or completion of one year of an apprenticeship program or similar milestones, from an employer or training provider who is providing training.

For reporting MSG via Passing Technical/Occupational Skills Exams: Enter in column B the total number of Integrated Education and Training program participants enrolled during the reporting period. Enter in column C the number of participants who successfully passed an exam that is required for a particular occupation or attained progress in technical or occupational skills as evidenced by trade-related benchmarks such as knowledge-based exams.

For reporting the exit-based Primary Indicators of Performance: Follow instructions for completing Table 5 to report these outcomes.

Table 14
Local Grantees by Funding Source

Enter the number of each type of grantee (see attached definitions) directly funded by the State and the amount of Federal and State funding they receive.

Provider Agency * (A)	Total Number of Providers (B)	Total Number of IELCE Providers (C)	Total Number of Sub-Recipients (D)	WIOA Funding		State Funding	
				Total (E)	% of Total (F)	Total (G)	% of Total (H)
Local Educational Agencies							
Public or Private Nonprofit Agency							
Community-based Organizations							
Faith-based Organizations							
Libraries							
Institutions of Higher Education							
Community, Junior or Technical Colleges							
Four-year Colleges or Universities							
Other Institutions of Higher Education							
Other Agencies							
Correctional Institutions							
Other Institutions (non-correctional)							
All Other Agencies							
Other							
Fillable field							
Total							

Instructions for Completing Table 14

Note: All shaded columns will be calculated automatically by OCTAE's data system.

- In Column (B), report the number of all providers receiving a grant award or contract for instructional services from the eligible agency.
- In Column (C), report the total number of Integrated English Literacy and Civics Education (IELCE) providers receiving a grant award or contract for instructional services.
- In Column (D), report the total number of each entity receiving funds as a sub-recipient. *(Entities receiving funds from a grantee as part of a consortium are to be reported in column (D).*
- In Column (F), the percentage is calculated using the following formula: Cell value in Column (E) / Total of Column (E)
- In Column (G), report the total amount of State funds contributed. This amount need not necessarily equal the non-Federal expenditure report on the Federal Financial Report.
- In Column (H), the percentage is calculated using the following formula: Cell value in Column (G) / Total of Column (G)

*** <u>Provider Agency Descriptions for Table 14</u>**

Local Educational Agencies are public boards of education or other public authorities legally constituted within a State for either administrative control or direction of, or to perform a service function for, public elementary schools or secondary schools in a city, county, township, school district, or other political subdivision of a State.

Community-based Organizations (CBOs) are private nonprofit organizations of demonstrated effectiveness that are representative of a community or significant segment of a community.

Faith-based Organizations (FBO) are non-profit organizations associated with a faith community or multiple faith ministries.

Libraries are public state and community funded institutions that offer education and community services in addition to providing access to print, audio-visual and technology resources.

Community, Junior or Technical Colleges are public institutions of higher education that offer associate's degree and certificate programs but, with few exceptions, award no baccalaureate degrees.

Four Year Colleges or Universities are public or private non-profit institutions of higher education that primarily offer baccalaureate degree programs.

Other Institution of Higher Education is a public or private non-profit institution that is not a community, junior, or technical college or a four-year college or university.

Correctional Institutions are prisons, jails, reformatories, work farms, detention centers, or halfway houses, community-based rehabilitation centers, or any other similar institutions designed for the confinement or rehabilitation of criminal offenders.

Other Institutions (Non-Correctional) are any medical or special institutions not designed for criminal offenders.

All Other Agencies include other public (Federal, State, local) agencies not listed in the categories above (e.g. Public Housing Authority).

Other **categories of grantees (e.g. nonprofit institution not described above, partnership between an employer and any entity above, etc.).**

FEDERAL FINANCIAL REPORT AND RECIPIENT SHARE DETAIL

FEDERAL FINANCIAL REPORT TOTAL ALLOCATION	1. Federal Agency and Organizational Element to Which Report is Submitted **U.S. Department of Education Division of Adult Education and Literacy**		2. Federal Grant or Other Identifying Number Assigned by Federal Agency	OMB Control Number: 1830-0027	
3. Recipient Organization (Name and complete address including Zip code)	4a. DUNS Number	4b. EIN	5. Recipient Account Number or Identifying Number	6. Report Type ☐ Initial ☐ Final	7. Basis of Accounting ☐ Cash ☐ Accrual
8. Project/Grant Period (Month, Day, Year) From: To:	9.Reporting Period End Date (Month, Day, Year) From: To:				

10. **Transactions**	**(a) State Administration**	**(b) State Leadership**	**(c) Programs of Instruction ABE levels 1-4 and ESL levels 1-6**	**(d) Programs of Instruction ABE levels 5-6**	**(e) Training**	**(f) Total**
Federal Cash:						
a. Cash Receipts						
b. Cash Disbursements						
c. Cash on Hand (line a minus b)						
Federal Expenditures and Unobligated Balance:						
d. Total Federal funds authorized						
e. Federal share of expenditures						
Basic Grant						
Integrated English Literacy and Civics Education (Sec 243)						
Corrections Education (Sec. 225)						
One-Stop Infrastructure Costs (Local)						
One-Stop Infrastructure Costs (State)						
f. Federal share of unliquidated obligations						
g. Total Federal share (sum of lines e and f)						
h. Unobligated balance of Federal funds (line d minus g)						
Recipient Share:						
i. Total recipient share required						
j. Recipient share of expenditures						
One-Stop Infrastructure Costs						
Integrated English Literacy and Civics Education (Sec 243)						
Corrections Education (Sec. 225)						
k. Remaining recipient share to be provided (line i minus j)						
Program Income:						
l. Total program income earned						
m. Program income expended						
n. Unexpended program income (line l minus line m)						

11. Indirect Expense	a. Type ☐ Restricted Provisional ☐ Restricted Final	b. Rate	c. Period From	Period To	d. Base	e. Amount Charged	f. Federal Share
			g. Totals:				

12. Remarks: Attach any explanations deemed necessary or information required by Federal sponsoring agency in compliance with governing legislation:

13. Certification: By signing this report, I certify to the best of my knowledge and belief that the report is true, complete, and accurate, and the expenditures, disbursements and cash receipts are for the purposes and intent set forth in the award documents. I am aware that any false, fictitious, or fraudulent information may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 18, Section 1001)

a. Typed or Printed Name and Title of Authorized Certifying Official	c. Telephone (Area code, number, and extension)
	d. Email Address
b. Signature of Authorized Certifying Official	e. Date Report Submitted (Month, Day, Year)
	14. Agency use only:

Federal Financial Report (FFR) Instructions

This FFR should be used for all AEFLA grants issued on or after July 1, 2015. A separate FFR must be used for each Federal Funding Period as reported in Block 8 of the FFR.

FFR Box Number	Reporting Item	Instructions
1	Federal Agency and Organizational Element to Which Report is Submitted	This block is preprinted.
2	Federal Grant or Other Identifying Number Assigned by Federal Agency	Enter the PR/Award number as indicated in Block 2 of the Grant Award Notification. This block will be prepopulated.
3	Recipient Organization	Enter the name and complete address of the recipient organization including zip code.
4a	DUNS Number	Enter the recipient organization's Data Universal Numbering System (DUNS) number or Central Contract Registry extended DUNS number.
4b	EIN	Enter the recipient organization's Employer Identification Number (EIN).
5	Recipient Account Number or Identifying Number	Enter the account number or any other identifying number assigned by the recipient to the award. This number is for the recipient's use only and is not required by the Federal agency.
6	Report Type	Indicate whether this FFR is an initial or final report.
7	Basis of Accounting (Cash/Accrual)	Specify whether a cash or accrual basis was used for recording transactions related to the award and for preparing this FFR. Accrual basis of accounting refers to the accounting method in which expenses are recorded when incurred. For cash basis accounting, expenses are recorded when they are paid.
8	Project/Grant Period	Enter Federal Funding Period based on information obtained in Block 6 of the Grant Award Notification. This block will be prepopulated.
9	Reporting Period End Date**:** (Month, Day, Year)	Enter the beginning and ending dates of the period in which you are reporting the financial activity of the grant. A first year report will cover the first 15 months of the grant period e.g., July 1, 2012 through September 30, 2013. The final report will cover the entire 27 months, which grantees have to obligate their funds e.g., July 1, 2011 through September 30, 2013. This block will be prepopulated.

FFR Box Number	Reporting Item	Instructions
10	Transactions: Enter cumulative amounts from date of the inception of the award through the end date of the reporting period specified in line 9.	
10a	Cash Receipts	Enter the cumulative amount of actual cash received from the Federal agency as of the reporting period end date.
10b	Cash Disbursements	Enter the cumulative amount of Federal fund disbursements (such as cash or checks) as of the reporting period end date. Disbursements are the sum of actual cash disbursements for direct charges for goods and services, the amount of indirect expenses charged to the award, and the amount of cash advances and payments made to subrecipients and contractors.
10c	Cash On Hand (Line 10a Minus Line 10b)	Enter the amount of Line 10a minus Line 10b. This amount represents immediate cash needs. If more than three business days of cash are on hand, the Federal agency may require an explanation on Line 12, Remarks, explaining why the drawdown was made prematurely or other reasons for the excess cash.
10d	Total Federal Funds Authorized	Enter the total Federal funds authorized as of the reporting period end date. The total block (f) will be prepopulated.
10e	Federal Share of Expenditures (Includes all expenditure subsets listed under row 10e)	Enter the amount of Federal fund expenditures. For reports prepared on a cash basis, expenditures are the sum of cash disbursements for direct charges for property and services; the amount of indirect expense charged; and the amount of cash advance payments and payments made to subrecipients. For reports prepared on an accrual basis, expenditures are the sum of cash disbursements for direct charges for property and services; the amount of indirect expense incurred; and the net increase or decrease in the amounts owed by the recipient for (1) goods and other property received; (2) services performed by employees, contractors, subrecipients, and other payees; and (3) programs for which no current services or performance are required.

FFR Box Number	Reporting Item	Instructions
	Basic Grant	Enter the amount of Federal fund expenditures for funds awarded under Section 211(b)(1) of Title II of WIOA. For reports prepared on a cash basis, expenditures are the sum of cash disbursements for direct charges for property and services; the amount of indirect expense charged; and the amount of cash advance payments and payments made to subrecipients. For reports prepared on an accrual basis, expenditures are the sum of cash disbursements for direct charges for property and services; the amount of indirect expense incurred; and the net increase or decrease in the amounts owed by the recipient for (1) goods and other property received; (2) services performed by employees, contractors, subrecipients, and other payees; and (3) programs for which no current services or performance are required.
	Integrated English Literacy and Civics Education (Sec 243)	Enter the amount of Federal fund expenditures for funds awarded under Section 243 of Title II of WIOA. For reports prepared on a cash basis, expenditures are the sum of cash disbursements for direct charges for property and services; the amount of indirect expense charged; and the amount of cash advance payments and payments made to subrecipients. For reports prepared on an accrual basis, expenditures are the sum of cash disbursements for direct charges for property and services; the amount of indirect expense incurred; and the net increase or decrease in the amounts owed by the recipient for (1) goods and other property received; (2) services performed by employees, contractors, subrecipients, and other payees; and (3) programs for which no current services or performance are required.
	Corrections Education and Other Institutionalized Individuals (Sec 225)	Enter the amount of Federal fund expenditures for authorized programs under Section 225 of Title II of WIOA. For reports prepared on a cash basis, expenditures are the sum of cash disbursements for direct charges for property and services; the amount of indirect expense charged; and the amount of cash advance payments and payments made to subrecipients. For reports prepared on an accrual basis, expenditures are the sum of cash disbursements for direct charges for property and services; the amount of indirect expense incurred; and the net increase or decrease in the amounts owed by the recipient for (1) goods and other property received; (2) services performed by employees, contractors, subrecipients, and other payees; and (3) programs for which no current services or performance are required.

FFR Box Number	Reporting Item	Instructions
	One-Stop Infrastructure Costs (Local Option)	Enter the amount of fund expenditures for infrastructure costs authorized under Section 121(h)(1)(A)(i) of WIOA. Infrastructure costs of one-stop centers are non-personnel costs that are necessary for the general operation of the one-stop center, including: (1) rental of the facilities; (2) utilities and maintenance; (3) equipment (including assessment-related products and assistive technology for individuals with disabilities); and (4) technology to facilitate access to the one-stop center, including technology used for the center's planning and outreach activities. Local Workforce Development Boards (WDBs) may consider common identifier costs as costs of one-stop infrastructure. Each entity that carries out a program or activities in a local one-stop center must use a portion of the funds available for the program and activities to maintain the one-stop delivery system, including payment of the infrastructure costs of one-stop centers. These payments must be in accordance with 34 CFR §§ 463.700-463.755; Federal cost principles, which require that all costs must be allowable, reasonable, necessary, and allocable to the program; and all other applicable legal requirements. These funds must include Federal funds that are available for local administration of adult education and literacy programs authorized by title II of WIOA, and may also include non-Federal resources that are cash, in-kind or third party contributions. In the local funding mechanism, the Local WDB, chief elected officials, and one-stop partners agree to amounts and methods of calculating amounts each partner will contribute for one-stop infrastructure funding, include the infrastructure funding terms in the Memorandum of Understanding (MOU) required under section 121(c), and sign the MOU.

FFR Box Number	Reporting Item	Instructions
	One-Stop Infrastructure Costs (State Option)	Enter the amount of fund expenditures for infrastructure costs authorized under Section 121(h)(1)(A)(ii) of WIOA. If the Local WDB, CEO, and one-stop partners in a local area do not reach consensus agreement on methods of sufficiently funding the costs of infrastructure of one-stop centers for a program year (PY), the State funding mechanism is applicable to the local area for that PY. In the State funding mechanism, the Governor, subject to certain limitations, determines one-stop partner contributions after consultation with the CEOs, Local WDBs, and the State WDB. This determination involves: (1) The application of a budget for one-stop infrastructure costs as described in § 463.735, based on either agreement reached in the local area negotiations or the State WDB formula outlined in § 463.745; (2) The determination of each local one-stop partner program's proportionate use of the one-stop delivery system and relative benefit received, consistent with the Uniform Guidance at 2 CFR part 200, including the Federal cost principles, the partner programs' authorizing laws and regulations, and other applicable legal requirements described in § 463.736; and (3) The calculation of required statewide program caps on contributions to infrastructure costs from one-stop partner programs in areas operating under the State funding mechanism as described in § 463.738. In the State funding mechanism, infrastructure costs for the adult education program authorized by title II of WIOA must be paid from the funds that are available for local administration and may be paid from funds made available by the State or non-Federal resources that are cash, in-kind, or third party contributions.
10f	Federal Share of Unliquidated Obligations	Unliquidated obligations on a cash basis are obligations incurred, but not yet paid. On an accrual basis, they are obligations incurred, but for which an expenditure has not yet been recorded. Enter the Federal portion of unliquidated obligations. Those obligations include direct and indirect expenses incurred but not yet paid or charged to the award, including amounts due to subrecipients and contractors. On the final report, this line should be zero unless the awarding agency has provided other instructions. *Do not include any amount in Line 10f that has been reported in Line 10e. Do not include any amount in Line 10f for a future commitment of funds (such as a long-term contract) for which an obligation or expense has not been incurred.*

FFR Box Number	Reporting Item	Instructions
10g	Total Federal Share (Sum of Lines 10e and 10f)	Enter the sum of Lines 10e and 10f.
10h	Unobligated Balance of Federal Funds (Line 10d Minus Line 10g)	Enter the amount of Line 10d minus Line 10g.
10i	Total Recipient Share Required	Enter the total required recipient share for the reporting period specified in line 9. The required recipient share should include all matching and cost sharing provided by recipients and third-party providers to meet the level required by the Federal agency.
10j	Recipient Share of Expenditures	Enter the recipient share of actual cash disbursements or outlays (less any rebates, refunds, or other credits) including payments to subrecipients and contractors. This amount may include the value of allowable third party in-kind contributions. Note: On the final report this line should be equal to or greater than the amount of Line 10i.
	Local Infrastructure Costs	Non-federal expenditures on infrastructure costs of one-stop centers are non-personnel costs that are necessary for the general operation of the one-stop center, including: (1) rental of the facilities; (2) utilities and maintenance; (3) equipment (including assessment-related products and assistive technology for individuals with disabilities); and (4) technology to facilitate access to the one-stop center, including technology used for the center's planning and outreach activities.
10k	Remaining Recipient Share to be Provided (Line 10i Minus Line10j)	Enter the amount of Line 10i minus Line 10j. If recipient share in Line 10j is greater than the required match amount in Line 10i, enter zero.
10l	Total Program Income Earned	Enter the amount of program income earned.
10m	Program Income Expended	Enter the amount of program income that was added to funds committed to the total project costs and expended to further eligible project or program activities.
10n	Unexpended Program Income (Line 10l Minus Line 10m)	Enter the amount of Line 10l minus Line 10m. This amount equals the program income that has been earned but not expended, as of the reporting period end date.
11	Indirect Expense: Enter cumulative amounts from date of the inception of the award through the end date of the reporting period specified in line 9.	

FFR Box Number	Reporting Item	Instructions
11a	Type of Rate	Indicate whether indirect cost rate is Restricted Provisional or Restricted Final.
11b	Rate	Enter the indirect cost rate in effect during the reporting period.
11c	Period From; Period To	Enter the beginning and ending effective dates for the rate.
11d	Base	Enter the amount of the base against which the rate was applied.
11e	Amount Charged	Enter the amount of indirect costs charged during the time period specified. (Multiply 11b. x 11d.)
11f	Federal Share	Enter the Federal share of the amount in 11e.
11g	Totals	Enter the totals for columns 11d, 11e, and 11f.
12	Remarks	Enter any explanations or additional information required by the Federal sponsoring agency including excess cash as stated in line 10c.
13a	Typed or Printed Name and Title of Authorized Certifying Official	Enter the name and title of the authorized certifying official.
13b	Signature of Authorized Certifying Official	The authorized certifying official must sign here.
13c	Telephone (Area Code, Number and Extension)	Enter the telephone number (including area code and extension) of the individual listed in Line 13a.
13d	E-mail Address	Enter the e-mail address of the individual listed in Line 13a.
13e	Date Report Submitted (Month, Day, Year)	Enter the date the *FFR* is submitted to the U.S. Department of Education using the month, day, year format.
14	Agency Use Only	This section is reserved for U.S. Department of Education agency use.

FEDERAL FINANCIAL REPORT Recipient Share Detail	1. Federal Agency and Organizational Element to Which Report is Submitted **U.S. Department of Education Division of Adult Education and Literacy**	2. Federal Grant Number	OMB Control Number 1830-0027

3. Recipient Organization (name and complete address including zip code)	4. Report Type ☐ Initial ☐ Final	5. Grant Period (Month, Day, Year) From:	To:	6. Reporting Period (Month, Day, Year) From:	To:

7. Cash		**8. In-Kind Contributions (fairly evaluated)**	
a. State Cash (list the name and amount of each source or funding stream)		State	
Name	Amount	Local	
		Total In-Kind Contributions	
		9. Please explain in the box below any increases, decreases, or new cash and in-kind sources reported in boxes 7 or 8 since the previous year.	
b. Local Cash			
c. Total Cash (add all rows in 7a and 7b)			
d. Total Cash and In-Kind (add row 7c and total in box 8) (This amount must equal the amount reported in row 10j "Total Recipient Share of Expenditures", column 10f "Total" of the FFR.)			

10. Certification: By signing this report, I certify to the best of my knowledge and belief that the report is true, complete, and accurate. I am aware that any false, fictitious, or fraudulent information may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 18, Section 1001)

a. Date Report Submitted (Month, Day, Year)	d. Typed or Printed Name and Title of Authorized Certifying Official
b. Telephone (Area code, number, and extension)	e. Signature of Authorized Certifying Official
c. Email Address	

NARRATIVE REPORT

Narrative Report

Instructions

These instructions provide descriptive information for the narrative items in the report. The maximum number of pages is 10. Please use the following outline in preparing the narrative part of the Annual Performance Report:

1. State Leadership Funds (AEFLA Section 223)

(a) Describe how the State has used funds made available under section 223 (State Leadership activities) for each the following required activities:

- Alignment of adult education and literacy activities with other one-stop required partners to implement the strategies in the Unified or Combined State Plan as described in section 223(1)(a).
- Establishment or operation of a high quality professional development programs as described in section 223(1)(b).
- Provision of technical assistance to funded eligible providers as described in section 223(1)(c).
- Monitoring and evaluation of the quality and improvement of adult education activities as described in section 223(1)(d).

(b) As applicable, describe how the State has used funds for additional permissible activities described in section 223(a)(2).

2. Performance Data Analysis

Describe how the adult education program performed in the overall assessment of core programs based on the core indicators of performance. Discuss how the assessment was used to improve quality and effectiveness of the funded eligible providers and any plans to further increase performance in future reporting years.

3. Integration with One-stop Partners

Describe how the State eligible agency, as the entity responsible for meeting one-stop requirements under 34 CFR part 463, subpart J, carries out or delegates its required one-stop roles to eligible providers. Describe the applicable career services that are provided in the one-stop system. Describe how infrastructure costs are supported through State and local options.

4. Integrated English Literacy and Civics Education (IELCE) Program (AEFLA Section 243)

Describe how the state is using funds under Section 243 to support the following activities under the IELCE program:

- Describe when your State held a competition [the latest competition] for IELCE program funds and the number of grants awarded by your State to support IELCE programs.

- Describe your State efforts in meeting the requirement to provide IELCE services in combination with integrated education and training activities;

- Describe how the State is progressing towards program goals of preparing and placing IELCE program participants in unsubsidized employment in in-demand industries and occupations that lead to economic self-sufficiency as described in section 243(c)(1) and discuss any performance results, challenges, and lessons learned from implementing those program goals; and

- Describe how the State is progressing towards program goals of ensuring that IELCE program activities are integrated with the local workforce development system and its functions as described in section 243(c)(2) and discuss any performance results, challenges, and lessons learned from implementing those program goals.

5. Adult Education Standards

If your State has adopted new challenging K-12 standards under title I of the Elementary and Secondary Education Act of 1965, as amended, describe how your Adult Education content standards are aligned with those K-12 standards.

- Optional – Describe implementation efforts, challenges, and any lessons learned.

6. Programs for Corrections Education and the Education of Other Institutionalized Individuals (AEFLA Section 225)

What was the relative rate of recidivism for criminal offenders served? Please describe the methods and factors used in calculating the rate for this reporting period.

NRS DATA QUALITY CHECKLIST

NRS

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NRS STATE DATA QUALITY STANDARDS CHECKLIST

INSTRUCTIONS FOR COMPLETING THE CHECKLIST

States use this checklist to rate their implementation of the data quality standards in their NRS data collection procedures. States also describe details of their data collection policies and procedures for some standards. States must also include with the checklist, a plan for data quality improvement. The director of the administrative State agency where the Federal adult education and literacy program resides must certify the checklist, and the checklist must be submitted with the annual NRS data performance report.

Reporting on Standards

The checklist presents the standards for each content area and quality level. States are to report whether they have the policy process or procedure described by the standards by indicating "yes" if the standard has been met or "no" if it has not been met. Some standards apply only to the survey or data matching follow-up methodologies for collecting NRS outcome measures. If the State does not use one of the methods, then it should report "not applicable" (NA) for the standard. Please note that because your State may meet some of the standards in all categories (e.g., some under the acceptable level and some under the superior level), it is important to complete the *entire* checklist.

To report that the State has met the standard (i.e., "yes"), the State must meet *all* of the criteria for the standard. For example, for the standard concerning written State assessment policy, the policy must include all of the topics listed in the standard. Otherwise the State must indicate "no" for the standard and address the problem in the data quality improvement plan.

Narrative Detail

Some standards require the State to provide additional information, such as the name of assessment used, the State's follow-up method, or a narrative description with more detail. For example, if a State has a system of technical assistance on data quality to local providers, then the State must describe the system. All narrative descriptions should be brief but sufficient enough to convey the information requested. No more than a few sentences are necessary.

Data Quality Improvement Plan

If a State fails to meet **superior** standards in any area, the State must include a brief data quality improvement plan that describes how it will move toward superior quality within the next year. The plan must address all standards that the State did not meet, describe what new policies or procedures it will put in place to meet the standards, and identify barriers to moving to a higher

quality level and the technical assistance needed to implement the plan. DAEL will offer technical assistance to States.

Submission and Certification

States are to complete the checklist for the program year for the NRS data due on December 31 of each year. The last page of the checklist is a certification page, where the State director of adult education or head of the administrative State agency where the Federal adult education and literacy program resides must certify to the accuracy of the information in the checklist. The director or agency head must sign this page. All signed reports and data certifications should be sent as a scanned email attachment. Mailed paper with signatures will no longer be required.

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NRS STATE DATA QUALITY CHECKLIST

State: _____ **Date:** _____

Completed by (name and title): _____

DATA FOUNDATION AND STRUCTURE

Acceptable Quality

1. State has written assessment policies that specify: Yes ☐ No ☐

   - Standardized assessments to use for accountability that are valid and appropriate for adult students.
   - Time periods (in hours or weeks) for when to pre- and posttest.
   - Score ranges tied to educational functioning levels (EFL) for placement and for reporting gains for accountability.
   - Appropriate guidance on tests and placement for special populations (e.g., students who are unable to be tested due to language or disability).
   - Unacceptable methods of assessment for EFL placement.
   - Appropriate guidance on requirements and conditions for testing distance education students reported in the NRS (if applicable).

   1a. List up to three of the most of commonly used assessments permitted for ABE and ESL.

   ABE Assessments:

   ESL Assessments:

2. State has written policies for follow-up that explain: Yes ☐ No ☐

   - Which students are to be followed.
   - How to determine tracking cohorts.
   - Follow-up methodology (survey or data match) for each measure that meets NRS requirements.

   2a. Indicate your follow-up methods for each indicator.

   Second quarter employment: Survey ☐ Data match ☐ Both (explain) ☐

   Fourth quarter employment: Survey ☐ Data match ☐ Both (explain) ☐

   Median earnings: Survey ☐ Data match ☐ Both (explain) ☐

   Credential attainment: Survey ☐ Data match ☐ Both (explain) ☐

2b. If you indicated that you use both survey and data match for follow-up methods for one or more measures in 2a, please explain.

3. If State uses survey follow-up method for any indicator (check not applicable (NA) and skip to the next item if survey is not used): NA ☐

   - Local programs or State can produce a list of students to survey, according to NRS requirements. Yes ☐ No ☐
   - Survey is conducted with a State provided, standard survey instrument. Yes ☐ No ☐
   - State has a regular schedule (e.g., quarterly) for submission of survey data or student names from local programs. Yes ☐ No ☐

4. If State uses data matching for any indicator (check not applicable (NA) and skip to the next question if data matching is not used): NA ☐

   - Local or State data system can produce files for matching that include exit dates and employment status for each student. Yes ☐ No ☐
   - State has established a procedure for collecting Social Security numbers or other unique identifiers, including how to deal with missing numbers. Yes ☐ No ☐
   - State has set a regular schedule for data submission from local programs and for data matching with external agencies. Yes ☐ No ☐

5. State has provided to all local programs a copy of the assessment policy and an explanation of the policy. Yes ☐ No ☐

6. State has provided to all local programs the written State policies, procedures and requirements for student follow-up and an explanation of the procedures. Yes ☐ No ☐

7. The State has written definitions for all measures (including demographic measures and actual or proxy contact hours, if applicable), defined according to NRS requirements and has provided them to all programs. Yes ☐ No ☐

8. The State has written policies on the use of proxy hour models to assign the proxy hours for distance education learners participation in adult education distance education programs. (Check NA and skip to the next item if proxy hours are not used)
NA ☐ Yes ☐ No ☐

   8a. If yes, please identify which model or models were used to assign proxy hours
   ___ Clock Time Model ☐
   ___ Teacher Verification Model ☐
   ___ Learner Mastery Model ☐

Superior Quality

1. The State has a comprehensive data dictionary, which defines all measures on State student data forms and in the State data system and has provided it with an explanation to all local programs. Yes ☐ No ☐

2. State has standards or requirements for the percentage of students to be pre- and posttested. Yes ☐ No ☐

   2a. If yes, indicate the standards or requirements.

3. State has made available to local programs on a continuous basis additional technical assistance and resources on assessment, data collection and follow-up procedures (e.g., site visits, contact persons, manuals, online resources). Yes ☐ No ☐

   3a. If **yes,** briefly describe the assistance and how it is provided.

4. If State uses survey follow-up method for any indicator, the State has taken steps (e.g., through data review, discussion with staff or observation) to verify that the survey is being conducted according to NRS guidelines (check NA and skip to the next item if survey is not used). NA ☐ Yes ☐ No ☐

   4a. If **yes,** briefly describe your verification procedures.

5. If State uses survey follow-up method, the State has provided written guidance or assistance on how to improve response rates to survey staff (check NA and skip to the next item, if survey is not used). NA ☐ Yes ☐ No ☐

6. If State uses data matching, the State has written procedures on how to conduct data matching that comply with NRS guidelines (check NA and skip to the next item if data matching is not used). NA ☐ Yes ☐ No ☐

7. State has procedures in place that verify whether proxy hours are calculated and assigned appropriately (check NA and skip to the next item if proxy hours are not used).
   NA ☐ Yes ☐ No ☐

Exemplary Quality

1. State has a system for verifying that local programs are following State data policies and procedures through program reviews, auditing or a certification process.
   Yes ☐ No ☐

   1a. If **yes,** briefly describe your verification procedures.

2. State has reviewed technical reports or research studies of the comparative reliability and validity of the NRS assessments it uses to accurately evaluate EFL completion performance of its students. Yes ☐ No ☐

   2a. If yes, briefly describe the technical reports or research studies you reviewed.

DATA COLLECTION AND VERIFICATION

Acceptable Quality

1. The State has an electronic management information system (MIS), used by all programs, that has individual student records within a relational data base structure. The MIS incorporates NRS measures using common definitions and categories.
   Yes ☐ No ☐

   1a. If yes**,** is the MIS a
   State developed system ☐
   Commercially available product ☐
   1b. Please provide the name of the commercially available product. _____
   Hybrid of state and commercial development ☐

2. Database has error checking functions used by State and/or local programs (e.g., that identify out-of-range values and missing data). Yes ☐ No ☐

3. State has standardized forms (electronic or paper) for collecting student information (e.g., intake, attendance) that include all NRS measures and have correct NRS definitions and categories. Yes ☐ No ☐

4. All programs are required to use State student data forms. Yes ☐ No ☐

5. State has provided to local programs guidelines or procedures for recording **actual and, if applicable, proxy** contact hours that conform to NRS requirements.
   Yes ☐ No ☐

6. All or most local programs have staff with clear responsibility for data collection and data entry. Yes ☐ No ☐

7. State staff checks data for errors after submission by local programs. Yes ☐ No ☐

   7a. If **yes,** explain error checking process, including what data are checked and how often.

Superior Quality

1. Programs and/or State enter data into MIS at least quarterly. Yes ☐ No ☐

2. State staff reviews local data at least quarterly for errors, missing data, out-of-range values and anomalous data, and to identify program improvements and accomplishments and has a system to resolve them. Yes ☐ No ☐

3. State has timely (e.g., quarterly) follow-up back to local programs to have them correct missing and erroneous data. Yes ☐ No ☐

4. State has documented procedures for correcting errors and resolving missing data that programs use. Yes ☐ No ☐

   4a. If **yes,** briefly explain your data review and error correction system.

5. State provides additional technical assistance to local programs with poor data, as needed. Yes ☐ No ☐

Exemplary Quality

1. State has a regular system for verifying (through software, onsite auditing, contact with local staff) that local programs are following State data collection procedures. Yes ☐ No ☐

   1a. If **yes,** briefly describe the methods used for verification, including use of the correct assessments and assessment forms, reporting of accurate score ranges for placement and for reporting advancement for accountability.

2. State verifies data have been corrected in State or local database after errors have been found. Yes ☐ No ☐

3. State has procedures for regular contact with local staff on data issues to identify problems and provide assistance. Yes ☐ No ☐

   3a. If **yes,** specify procedures and type of contact.

4. If State uses survey follow-up method, State tracks survey response rates on at least a quarterly basis and takes corrective action if problems are identified (check NA and skip if survey is not used). NA ☐ Yes ☐ No ☐

DATA ANALYSIS AND REPORTING

Acceptable Quality

1. The State MIS can produce NRS required reports for the State, including Federal NRS tables and WIOA reports
   Yes ☐ No ☐

2. NRS tables are calculated accurately to include error checks and prevent double counting.
   Yes ☐ No ☐

3. State staff (or designee) checks NRS reports for errors and missing data and obtains corrected data from local program reports. Yes ☐ No ☐

4. The MIS is capable of reporting disaggregated data by subpopulation (e.g., student age, race, sex), barriers to employment and program (e.g., ABE, ESL, ASE, correctional education, distance education). Yes ☐ No ☐

Superior Quality

1. State staff person familiar with the data, but not directly involved with collection and data entry, reviews NRS data reports for errors and accuracy. Yes ☐ No ☐

2. State staff uses data for program management and improvement.
   Yes ☐ No ☐

   2a. If **yes,** provide at least one example of use of data for this purpose in the last year.

3. Local programs can access data reports that are useful for program management and improvement. Yes ☐ No ☐

   3a. If **yes,** briefly describe the usefulness of two reports produced by your system.

4. Local staff uses data for program management and improvement.
   Yes ☐ No ☐

Exemplary Quality

1. State has a system of regular contact with local programs on data analysis issues and reporting needs to identify technical assistance needs. Yes ☐ No ☐

   1a. If **yes,** specify method and frequency of contact.

2. State has documented procedures for dealing with analysis problems and deviations.
   Yes ☐ No ☐

3. State compares data among programs and with prior years' data for discrepancies, reasonableness and to identify trends in good and bad performance.
   Yes ☐ No ☐

4. State has procedures to verify that local reports accurately reflect data collected (e.g., through review of local program documentation, onsite auditing).
   Yes ☐ No ☐

   4a. If **yes,** describe the report verification process.

STAFF DEVELOPMENT

Acceptable Quality

1. Local programs and State staff have been provided training on general NRS requirements, including assessment policy and procedures, and follow-up policies.
   Yes ☐ No ☐

   1a. If **yes,** briefly describe when the most recent training occurred, its duration and about what percent of local providers attended.

2. Local staff has received training on data collection procedures.
   Yes ☐ No ☐

3. State and local staff have been trained on data entry into the State or local MIS
   Yes ☐ No ☐

4. Local staff has had training on how to produce and/or interpret reports produced by the MIS. Yes ☐ No ☐

5. Training has been provided on conducting follow-up survey or data matching procedures, to State or local staff involved in survey or matching. Yes ☐ No ☐

6. State has trained staff on distance education policy and use of proxy hours, if estimated.
   Yes ☐ No ☐

7. State provides at least one additional training annually to local programs on NRS issues, MIS data entry or data analysis issues. Yes ☐ No ☐

   7a. If **yes,** briefly describe when the most recent additional training occurred, its duration and about what percent of local providers attended. This training should not be the same as the one described above in item number 1.

Superior Quality

1. There is planned, continuous training (at least one training annually) on data collection and NRS issues. Yes ☐ No ☐

   1a. If **yes,** briefly describe frequency, duration and content of trainings.

2. NRS training is planned and delivered based on needs of local staff and evaluations of previous trainings. Yes ☐ No ☐

   2a. If **yes,** briefly describe your needs assessment process.

3. State has ongoing technical support to local programs to improve data matching and/or survey follow-up procedures, such as collecting the data. Yes ☐ No ☐

   3a. If **yes,** describe support and how it is provided.

Exemplary Quality

1. State has developed and is implementing a plan for ongoing staff development on NRS and data use issues to promote continuous improvement. Yes ☐ No ☐

   1a. If **yes,** briefly describe the plan.

2. State has a system for continuous training of local staff on NRS issues, data collection and data reporting through regularly scheduled training sessions or other resources. Yes ☐ No ☐

3. State has timely intervention strategies to identify data problems as they occur and to provide training to programs to correct the problems. Yes ☐ No ☐

   3a. If **yes,** briefly describe the process.

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DATA QUALITY IMPROVEMENT PLAN

The State *must* submit a quality improvement plan for each content area that does not meet all of the standards within the **superior** level. A separate plan must be completed for each content area. The plans should not exceed one page and include the following information.

1. Content area (e.g., Data Foundation and Structure, Staff Development) and specific standard(s) not met.

2. For each standard not met, describe your planned approach to implementing changes that will allow you to meet the standard.

3. Describe the barriers or problems you anticipate, if any, to implement these plans.

4. Describe any technical assistance you might need to implement these planned changes.

5. If you believe you will be unable to meet any standard please explain why.

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NRS DATA QUALITY CHECKLIST CERTIFICATION

Note: The State director of adult education or head of the State administrative agency in which the Federal adult education program resides must sign this certification.

CERTIFICATION

I certify that to the best of my knowledge, the information contained in this document is true and correct and accurately reflects the State's data collection policies and procedures for collecting and reporting data for the U.S. Department of Education's National Reporting System for adult education.

_____

Signature

_____

Name and Title

_____

Date

Seal

Division of Adult Education and Literacy
Office of Career, Technical, and Adult Education
U.S. Department of Education
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