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ABSTRACT

The National Reporting System (NRS) is a project to develop an accountability system for the federally funded adult education program. The system includes a set of student measures to allow assessment of the impact of adult education instruction, methodologies for collecting the measures, reporting forms and procedures, and training and technical assistance activities to assist states in collecting the measures. This implementation document contains five chapters. Following an overview of the system and the document, Chapter 1 presents NRS measures, methods, and reporting requirements in greater detail. Chapter 2 presents definitions of all NRS measures. Chapter 3 presents the data flow framework for the NRS, describing how information flows from the classroom and program on to the state and federal levels. Chapter 3 also discusses the responsibilities of each agency in the data collection and reporting process. Chapter 4 explains NRS methodologies and procedures for collecting each measure, including the follow-up survey and data matching methods. Chapter 5 contains recommendations for local student record systems to enable NRS reporting and provides federal reporting tables. Two appendixes include the following: (1) a list of NRS advisory board members, pilot test participants, and NRS staff; and (2) sample follow-up survey and model methodologies. (Contains 28 references.) (KC)

Measures and Methods for the National Reporting System for Adult Education

NRS

National Reporting System for Adult Education

IMPLEMENTATION GUIDELINES

Division of Adult Education and Literacy
Office of Vocational and Adult Education
U.S. Department of Education

March 2001

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Chapter I. History and Overview of the National Reporting System

The National Reporting System (NRS) is a project to develop an accountability system for the Federally funded adult education program. This system includes a set of student measures to allow assessment of the impact of adult education instruction, methodologies for collecting the measures, reporting forms and procedures, and training and technical assistance activities to assist states in collecting the measures.

HISTORY OF THE NRS

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

In 1995, the U.S. Congress considered eliminating adult education as a separate delivery system by integrating the program into a general system of workforce development. 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. Similar demands were raised at the state level. In response to these demands, the state directors of adult education asked the Division of Adult Education and Literacy (DAEL) to work toward developing a national system for collecting information on adult education student outcomes.

To meet this request, 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, 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, the NRS was designed and formally began in October 1997.

The proposed voluntary nature of the NRS changed in August 1998, when the Adult Education and Family Literacy Act within the Workforce Investment Act (WIA—P.L. 105-220) became law. This Act established accountability requirements, including that states develop outcome-based performance standards for adult education programs, as one means of determining program effectiveness. The NRS mandate was then expanded to establish the measures and methods to conform to the Workforce Investment Act requirements.

NRS Project Activities

The goals of the NRS project were to establish a national accountability system for adult education programs by identifying measures for national reporting and their definitions, establishing methodologies for data collection, developing software standards for reporting to the U.S. Department of Education and developing training materials and activities on NRS requirements and procedures. The project was designed to conduct these activities 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 the project 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 assessed whether the draft measure definitions worked or needed refinement, as well as the 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.

The third phase of the project, *training and technical assistance*, beginning in the summer of 1999, will support state and local program implementation of the NRS. The different types of assistance will include instructional training packets that will be suitable for states to use in a "train the trainer" environment; technology-based materials for state and local staff that explain the NRS measures and methods; and individual technical assistance to states to support their implementation efforts.

Throughout the course of the project, an advisory board consisting of state directors of adult education, representatives from volunteer provider agencies, directors of local adult education programs and experts on accountability systems, has guided the project, meeting three times between December 1997 and March 1999. The board made significant substantive contributions to the measure definitions and methodologies. Participants in the pilot test also provided advice and guidance on measures and methods. Appendix A lists the NRS advisory board, pilot test participants and NRS staff.

OVERVIEW OF THE NRS MEASURES AND METHODS

This document presents products from the first two phases of the NRS project: the measure definitions, methodologies and reporting formats for the NRS, which become effective for the program year beginning July 1, 2000. The document also includes an overall framework of NRS operation at the local, state and Federal levels.

NRS Measures

The *requirements of WIA, consensus* among the stakeholders and advisory board members, and the *need for uniform valid and reliable data* were major factors guiding development of NRS measures. Other factors affecting development of the measures included the need to *accommodate the diversity* of the adult education delivery system and the need for *compatibility of the definitions* with related adult education and training programs.

As a state-administered program, the nature of adult education service delivery varies widely across states in its goals, objectives and the resources available to states to collect and report data. It is especially important that the definitions for outcome measures be broad enough to accommodate these differences, yet concrete and standardized sufficiently to allow the NRS to establish a uniform, national database. Similarly, other adult education, employment and training programs with which adult education works have systems of accountability and outcome measures.

To ensure this accommodation to the diverse delivery system and compatibility with related systems, NRS staff conducted a thorough review of measure definitions planned or in use currently by all states and all Federal employment and training programs. To identify state measures used, for example, NRS staff conducted an evaluability assessment of all states in early 1998 and obtained copies of measure definitions from states that had their own measures. In addition, NRS staff reviewed the existing measure definitions used for DAEL's Annual Statistical Performance Report and measures and definitions currently planned by the Department of Education for Title I of WIA. A full listing of the main sources consulted in developing the measures and their definitions is provided at the end of this chapter.

Exhibit 1 lists the NRS measures, which include *core* measures and *secondary* measures. The core measures apply to all adult education students receiving 12 or more hours of service. There are three types of core measures:

- ***Outcome measures***, which include educational gain, entered employment, retained employment, receipt of secondary school diploma or GED and placement in postsecondary education or training;
- ***Descriptive measures***, including student demographics, reasons for attending and student status; and
- ***Participation measures*** of contact hours received and enrollment in instructional programs for special populations or topics (such as family literacy or workplace literacy).

Performance standards required by WIA will be set for the core outcome measures and awarding of incentive grants will be tied to these performance standards.

The NRS *secondary* measures include additional outcome measures related to employment, family and community that adult education stakeholders believe are important to understanding and evaluating adult education programs. States are *not required to report on the secondary measures* and there are no performance standards tied to them. The optional secondary measures will not be used as a basis for incentive grant awards. There are also secondary student status measures that define target populations identified in WIA. These measures are provided for states that want to report on the services provided to these populations.

Exhibit 1
Summary of NRS Measures and Definitions

TOPIC	MEASURES	CATEGORIES OR DEFINITIONS
	Core Outcome Measures	
Educational Gains	❖ Educational gains	❖ Educational functioning levels in reading, writing, speaking and listening and functional areas.
Follow-up Measures	❖ Entered employment	❖ Learners who obtain a job by the end of the first quarter after exit quarter
	❖ Retained employment	❖ Learners who remain employed in the third quarter after program exit
	❖ Receipt of secondary school diploma or GED	❖ Learners who obtain a GED, secondary school diploma or recognized equivalent
	❖ Placement in postsecondary education or training	❖ Learners enrolling in a postsecondary educational or occupational skills program building on prior services or training received
	Core Descriptive and Participation Measures	
Demographics	❖ Ethnicity	❖ American Indian or Alaskan Native, Asian, Native Hawaiian or Pacific Islander, Black or African American (non-Hispanic), Hispanic or Latino, White (non-Hispanic)
	❖ Gender	❖ Male, female
	❖ Age	❖ Date of birth
Status and Goals	❖ Labor force status	❖ Employed, not employed, not in labor force
	❖ Public assistance status	❖ Receiving or not receiving assistance
	❖ Rural residency	❖ Rural, not rural
	❖ Disability status	❖ Disabled, not disabled
	❖ Learner main and secondary reasons or goals for attending	❖ Obtain a job, retain current job, improve current job, earn a secondary school diploma or GED, enter post-secondary education or training, improve basic literacy skills, improve English language skills, citizenship, work-based project learner goal, other personal goal

Exhibit 1 (Continued)
Summary of NRS Measures and Definitions

TOPIC	MEASURES	CATEGORIES OR DEFINITIONS
Student Participation	❖ Contact hours	❖ Number of hours of instructional activity
	❖ Program enrollment type	❖ ABE, ESL, ASE, family literacy, workplace program, homeless program, correctional facilities, community corrections programs, other institutional program
Secondary Outcome and Student Status Measures (Optional)		
Employment	❖ Reduction in receipt of public assistance	❖ Students whose TANF or equivalent public assistance grant is reduced or eliminated due to employment
Work-based Project Learner Achievement	❖ Met work-based project learner goal	❖ Achieved skills for work-based project learner activity (activity of at least 12 hours and no more than 30 hours of instruction to teach specific workplace skill)
Community	❖ Achieved citizenship skills	❖ Achieve the skills needed to pass the citizenship exam
	❖ Voting behavior	❖ Learner registers to vote or votes for the first time
	❖ General involvement in community activities	❖ Learner increases involvement in community activities
Family	❖ Involvement in children's education	❖ Learner 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	❖ Learner increases the amount read to children, visits libraries, or purchases books or magazines for children
Student Status	❖ Low income status	❖ Low income, not low income
	❖ Displaced homemaker	❖ Displaced homemaker, not displaced homemaker
	❖ Single parent status	❖ Single parent, not single parent
	❖ Dislocated worker	❖ Dislocated worker, not dislocated worker
	❖ Learning disabled adult	❖ Learning disabled, not learning disabled

Core Outcome Measures

The central measures of the NRS are the student *outcome* measures. While by no means the only measures that could be used to evaluate adult education programs, the outcome measures selected represent what a broad consensus of adult educators believe are appropriate for providing a national picture of the performance of the program. The multi-year process employed by the NRS to identify and define the measures included input from state directors of adult education, Federal education officials, local education providers, representatives of volunteer literacy organizations and experts in performance accountability systems.

The five NRS core outcome measures were selected to address the requirements for core indicators of performance in the Adult Education and Family Literacy Act of the WIA. Exhibit 2 shows how the measures relate to these requirements and goals for adult education stated in the legislation.

Exhibit 2
Goals and Core Indicators of the WIA Adult Education and Family Literacy Act and NRS Core Outcome Measures

Goals **of Adult Education Described in the Adult Education and Family Literacy Act of WIA**	***Core Indicators*** **Required by the Adult Education and Family Literacy Act of WIA**	**National Reporting System** ***Core Outcome Measures***
Assist adults to become literate and obtain the knowledge and skills necessary for employment and self-sufficiency. Assist parents to obtain the skills necessary to be full partners in their children's educational development.	Improvements in literacy skill levels in reading, writing and speaking the English language, numeracy, problem-solving, English language acquisition, other literacy skills.	❖ Educational gains (achieve skills to advance educational functioning level)
	Placement in, retention in, or completion of, postsecondary education, training, unsubsidized employment or career advancement.	❖ Entered employment ❖ Retained employment ❖ Placement in postsecondary education or training
Assist adults in the completion of secondary school education.	Receipt of a secondary school diploma or its recognized equivalent.	❖ Receipt of a secondary school diploma or pass GED tests

Educational gain, a key outcome in the NRS, provides a measure of student literacy gains resulting from instruction. This measure applies to all students in the program (except pre-designated "work-based project learners," described below). To determine this measure, local programs assess students on intake to determine their *educational functioning level.* There are four levels for adult basic education (ABE), two for adult secondary education (ASE) and six levels of English-as-a second language students (ESL). Each level describes a set of skills and competencies that students entering at that level can do in the areas of reading, writing, numeracy, speaking, listening, functional and workplace areas. Using these descriptors as guidelines, programs determine the appropriate initial level in which to place students using a standardized assessment procedure (a test or performance-based assessment). The program decides the skill areas in which to assess the student, based on student's instructional needs and goals.

After a pre-determined amount of instruction or time period determined by each state, the program conducts follow-up assessments of students in the same skill areas and uses the functioning level descriptors to determine whether the student has advanced one or more levels or is progressing within the same level. The state has discretion to establish the student assessment method used within the state, as well as procedures for progress assessment. States may also use additional educational levels and skill area descriptors, as long as they are compatible with NRS levels and skills.

The remaining core outcome measures are *follow-up* measures, reported some time after the student leaves the program. However, the follow-up measures apply only to students who enter the program with goals related to the measures. For unemployed students who enter the program with a goal of obtaining employment, there are two measures: entered employment—whether the student obtained a job by the end of the first quarter after leaving; and retained employment—whether the student still has the job in the third quarter after exit. This measure also applies to employed students who have a goal of improved or retained employment. For students whose goal is to advance to further education or training, there is a measure of entry into another such program. For students who entered with a goal of obtaining a secondary school diploma or passing the GED tests, there is a measure of whether the student obtained the credential.

Descriptive and Participation Measures

The NRS *descriptive* measures collect student demographics, status in several areas and goals for attending. These measures allow for a description and understanding of who attends adult education programs and for what reasons. The measures also allow for analyses of the performance of specific groups of students attending adult education, such as unemployed students or students receiving public assistance. The demographic measures include ethnicity, age, and gender, and status measures include employment status and whether the student has a disability or is on public assistance.

For the first time at the national level, the NRS requires collection of student goals—both a main and a secondary reason—for attending the program. The goals designated are used to compute the proportion of students achieving the follow-up measures.

There are two *participation* measures, contact hours and program enrollment type, collected for both descriptive and analytic purposes. These measures record the amount of instruction students receive and the number of students attending in areas such as family literacy and workplace literacy.

Secondary Measures

The NRS secondary measures are optional measures of student outcomes and status that states *are not required* to collect and that will not be used as a basis for assessing state performance under WIA. The NRS includes these measures, however, since many stakeholders during the consensus building process believed these measures are important to the identity of the program and the goals and purposes of adult education.

The secondary measures are in the areas of employment, community and family. The employment measure is whether the student's public assistance grant was reduced or eliminated due to employment. This measure applies only to students receiving public assistance upon entry.

In the area of community, there are three measures covering citizenship, voting and community involvement. For students enrolled in citizenship programs there is a measure of whether the student has achieved the skills to pass the citizenship exam. Voting for the first time or registering to vote and more involvement in community groups or activities are the remaining measures. The family measures include increased involvement in children's literacy activities and in children's education.

A measure new to national reporting is *completed work-based project learner activity*. Project learners are students enrolled in a class with 30 hours or less of scheduled instruction that has a goal of teaching specific workplace-related literacy skills. On enrollment, the learner and the program determine the specific skills to be learned and the method to assess the attainment of the skills. The assessment must employ a standardized test or be a performance-based assessment with standardized scoring rubrics. Programs do not collect the core outcome measures on students designated as project learners and these learners are counted separately. This measure is included within the NRS to allow states and programs to serve learners with a short-term learning need without having a detrimental effect on performance of the core outcome measures.

Secondary student status measures of low income status, displaced homemaker and single parent status are included, as these groups are specific target populations under WIA. States needing to report their services to these populations can use these measures, which are defined identically to the U.S. Department of Labor definitions. There is also a secondary status measure to identify learning disabled adults to assist programs in reaching these students.

NRS Methodologies

To help ensure comparability of measures across states, the NRS has established procedures for collecting all of the NRS measures. The NRS has three methodologies for collecting measures: direct program reporting, local follow-up survey and data matching. With the *direct program reporting* methodology, local programs collect the information directly from the learner while the learner is enrolled and receiving instruction. The information is normally obtained as part of the intake process, through student assessment or ongoing throughout the course of instruction. Measures collected with this methodology are the demographic, student status and student participation measures, as well as the educational gain measure and the secondary measures of project learner completion and citizenship skill attainment.

Two methodologies are offered for collecting the NRS core outcome measures that require follow-up: the employment-related measures, receipt of secondary diploma or GED and placement in postsecondary education or training. Follow-up methodologies also may be used to collect the optional, secondary outcome measures. The *local follow-up survey* methodology employs a survey of learners who left the program during the program year. The local program, state or a third-party contractor may conduct the survey as long as it includes students from each local program. To conduct this survey, programs must include all of the students in the program with one or more of the follow-up goals or draw a statistically valid random sample of learners who had one or more of the goals. The procedures for conducting the survey are to be determined by the state, but must follow accepted scientific practice for producing valid results. Students with a goal of obtaining employment are to be surveyed at the beginning of the first quarter after leaving the program. Retained employment must be collected in the third quarter after exit and the other measures can be collected at any time during the year.

An alternative to the survey for collecting the follow-up measures is a *data matching* methodology. Data matching refers to the procedures whereby agencies serving common clients pool their data to identify outcomes unique to each program. Matching is achieved using student Social Security numbers and is typically done at the state level. For example, to determine whether students obtained employment after leaving the program, the state adult education agency would match the Social Security numbers and dates of attendance of students who had obtained employment in the state wage record data base for the appropriate calendar quarter. States may use either follow-up method, or a combination of the two methods, to collect the NRS follow-up measures.

Summary: What's New

The NRS makes significant changes to the prior state reporting requirements, the Annual Statistical and Performance Report. The following list summarizes the changes from prior reporting as a means of highlighting the new and significant features of the NRS.

- ❖ The NRS has *core measures* that meet the requirements of the WIA and apply to adult education students who receive 12 or more hours of service.

- ❖ While prior reporting has always had a measure of *educational gain* using functioning level descriptors, the NRS makes four major changes to the prior levels.

  - ✓ All descriptors have been substantially revised and expanded. There are new descriptor categories: "computation" has been changed to "numeracy" and workplace skills and technology skills have been added to the functional level descriptions.

  - ✓ There is now a single set of reading and writing descriptors for both ABE and ESL at beginning and intermediate levels. This approach provides a higher degree of consistency on the meaning of the levels across program areas. Descriptors in reading and writing vary slightly among the ASE and advanced ESL levels to reflect the different set of skills needed for the ASE levels.

  - ✓ The NRS also has three new levels: an intermediate level for both ESL and ABE, formed by breaking up the old beginning and intermediate levels and another ASE level, formed by splitting the old ASE level.

  - ✓ The NRS descriptors include additional test benchmarks.

- ❖ The entered employment, retained employment, receipt of a secondary school diploma or GED and placement in postsecondary education or training are follow-up measures collected on students after they leave the program. These measures apply only to students who designated these outcomes as goals on intake into the program.

- Learner goals or reasons for attending is a new measure used to identify categories of students to which the follow-up measures should apply. A main and a secondary goal can be identified for each student. Note that goal attainment itself is *not* an outcome measure in the NRS, although it could be computed from information in the NRS and used as an outcome.

- States must use a survey methodology, data matching procedures or a combination of the methods to collect the follow-up measures. The follow-up measures must be collected from all local programs to enable states to meet WIA requirement for evaluating their grantees.

- The NRS includes secondary outcome measures that are optional. No performance standards will be tied to these measures and they will not be used to determine state eligibility for incentive awards under WIA. The secondary measures include welfare grant reduction, community- and family-related measures. Most of the secondary measures appeared on the prior Annual Performance Report.

- A new secondary measure, attainment of *work-based project learner* goal is an optional measure states may use to identify learners enrolled in an activity of no more than 30 scheduled hours and designed to teach workplace-related skills. Project learners must be identified at enrollment and evaluated with a standardized procedure (test or performance-based) to determine whether the skills have been learned. The core outcome measures do not apply to project learners and they are counted separately from other learners.

- Other secondary measures include five new status measures: low income status, displaced homemaker, single parent status, dislocated worker status and learning disabled adult. These measures provide a way for states to report on these WIA target populations using standard, national definitions. A new secondary measure of learning disabled adult is also included.

- Several measures required for the old Annual Performance Report have been dropped, including reason for separation before completion and several student status measures. Some of the achievements from the prior report have been made secondary measures.

Overview of This Document

The remainder of this document presents NRS measures, methods and reporting requirements in greater detail. Chapter II presents definitions of all NRS measures and Chapter III presents the data flow framework for the NRS. The framework describes how information flows from the classroom and program on to the state and Federal levels. The chapter also discusses the responsibilities of each agency in the data collection and reporting process.

Chapter IV explains NRS methodologies and procedures for collecting each measure. Guidance on conducting the follow-up survey and data matching methods is also offered. Chapter V presents recommendations for local student record systems to enable NRS reporting and provides Federal reporting tables. Appendix A lists NRS advisory based members, pilot test participants and NRS staff. Appendix B offers sample follow-up survey and model methodologies.

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Chapter II. NRS Definitions: Core and Secondary Measures

The NRS includes *core* measures and *secondary measures*. The *core* measures are *required* and include outcome and descriptive measures and participation measures that reflect the core indicator requirements of the Workforce Investment Act. States must report the required measures on *all students who receive 12 hours or more of service*. The Department of Education will use these measures to judge program performance, including eligibility for incentive grants. The *secondary* measures include additional, optional outcomes related to employment, family and community that adult education stakeholders believe are important to understanding and evaluating adult education programs. States are not required to report on the secondary measures and there are no performance standards tied to them. The optional secondary measures will not be used as a basis for incentive grant awards. There are also secondary measures of student status that include target populations identified under WIA. These measures are included for states that want to report on services provided to these populations. The definitions are identical to the Department of Labor definitions to aid in uniform reporting under both Title I and Title II of WIA.

This chapter presents the definitions for the core and secondary NRS measures. Along with the definition, the presentation includes the applicable student population to which the measure applies; the data collection procedure to be used by states or local programs to collect the measure; and Federal reporting method, which describes how the measure is to be reported and used. Chapter IV presents more detail on data collection methodologies.

CORE MEASURES (REQUIRED)

Outcome Measures

Core Outcome Measure #1: Educational Gain

Definition: Learner completes or advances one or more educational functioning levels from starting level measured on entry into the program. The following tables provide entry-level descriptors for the educational functioning levels.

Applicable Population: All learners.

Collection Procedure: At intake, an individual learner's educational functioning level is determined within the functional level descriptors, using a uniform, standardized assessment procedure approved by the state. The assessment procedure may be a standardized test or a performance assessment with standardized scoring protocols. (Note that learners designated as work-based project learners need not be assessed in this way, as explained in Chapter I and in the definition in this chapter).

The functional level descriptors describe what a learner entering that level can do in the areas of reading and writing, numeracy, speaking and listening and/or functional or workplace skills. The local program need not assess the learner in all areas, but the assessment should be in the areas in which instruction will be focused. If the learner is functioning at different levels in the areas, the

Outcome Measures Definitions

Educational Functioning Level Descriptors—Adult Basic Education Levels

Literacy Level	Basic Reading and Writing	Numeracy Skills	Functional and Workplace Skills
Beginning ABE Literacy Test Benchmark: TABE (5-6) scale scores (grade level 0-1.9): Total reading 529 and below Total math 540 and below Total language 599 and below TABE (7-8) scale scores (grade level 0-1.9): Reading 367 and below Total Math 313 and below Language 391 and below CASAS: 200 and below AMES (B, ABE) scale scores (grade level 0-1.9): Reading: 500 and below Total Math: 476 and below Communication: 496 and below ABLE scale scores (grade level 0-1.9): Reading 523 and below Math 521 and below	Individual has no or minimal reading and writing skills. May have little or no comprehension of how print corresponds to spoken language and may have difficulty using a writing instrument. At the upper range of this level, individual can recognize, read and write letters and numbers, but has a limited understanding of connected prose and may need frequent re-reading. Can write a limited number of basic sight words and familiar words and phrases; may also be able to write simple sentences or phrases, including very simple messages. Can write basic personal information. Narrative writing is disorganized and unclear; inconsistently uses simple punctuation (e.g., periods, commas, question marks); contains frequent errors in spelling.	Individual has little or no recognition of numbers or simple counting skills or may have only minimal skills, such as the ability to add or subtract single digit numbers.	Individual has little or no ability to read basic signs or maps, can provide limited personal information on simple forms. The individual can handle routine entry level jobs that require little or no basic written communication or computational skills and no knowledge of computers or other technology.
Beginning Basic Education Test Benchmark: TABE (5-6) scale scores (grade level 2-3.9): Total reading 530-679 Total math 541-677 Total language 600-677 TABE (7-8): scale scores (grade level 2-3.9): Reading: 368-460 Total Math: 314-441 Language: 392-490 CASAS: 201-210 AMES (B, ABE) scale scores (grade level 2-3.9): Reading: 503-510 Total Math: 477-492 Communication: 498-506 ABLE scale scores (grade level 2-3.9): Reading: 525-612 Math: 530-591	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 count, add and subtract three digit numbers, can perform multiplication through 12; can identify simple fractions and perform other simple arithmetic operations.	Individual is able to read simple directions, signs and maps, fill out simple forms requiring basic personal information, write phone messages and make simple change. There is minimal knowledge of, and experience with, using computers and related technology. The individual can handle basic entry level jobs that require minimal literacy skills; can recognize very short, explicit, pictorial texts, e.g. understands logos related to worker safety before using a piece of machinery; can read want ads and complete simple job applications.

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Outcome Measures Definitions

Educational Functioning Level Descriptors—Adult Basic Education Levels

Literacy Level	Basic Reading and Writing	Numeracy Skills	Functional and Workplace Skills
Low Intermediate Basic Education Test benchmark: TABE (5-6) scale scores (grade level 4-5.9): Total reading: 680-722 Total math: 678-729 Total language: 678-705 TABE (7-8) scale scores (grade level 4-5.9): Reading: 461-517 Total Math: 442-505 Language: 491-523 CASAS: 211-220 AMES (B and C, ABE) scale scores (grade level 4-5.9): Reading (B): 511-609 Reading (C): 514-521 Total Math (B): 494-603 Total Math (C): 493-508 Communication (B): 508-605, (C) 509-513 ABLE scale scores (grade level 4-5.9): Reading: 613-644 Math: 593-641	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 main idea and supporting detail on familiar topics (e.g., daily activities, personal issues) by recombining learned vocabulary and structures; can self and peer edit for spelling and punctuation errors.	Individual can perform with high accuracy all four basic math operations using whole numbers up to three digits; can identify and use all basic mathematical symbols.	Individual is able to handle basic reading, writing and computational tasks related to life roles, such as completing medical forms, order forms or job applications; can read simple charts, graphs labels and payroll stubs and simple authentic material if familiar with the topic. The individual can use simple computer programs and perform a sequence of routine tasks given direction using technology (e.g., fax machine, computer operation). The individual can qualify for entry level jobs that require following basic written instructions and diagrams with assistance, such as oral clarification; can write a short report or message to fellow workers; can read simple dials and scales and take routine measurements.
High Intermediate Basic Education Test benchmark: TABE (5-6) scale scores (grade level 6-8.9): Total reading: 723-761 Total math: 730-776 Total language: 706-730 TABE (7-8) scale scores (grade level 6-8.9): Reading: 518-566 Total Math: 506-565 Language: 524-559 CASAS: 221-235 AMES (C and D, ABE) scale scores (grade level 6-8.9): Reading (C): 525-612 Reading (D): 522-543 Total Math (C): 510-627 Total Math (D): 509-532 Communication (C): 516-611 Communication (D): 516-523 ABLE scale score (grade level 6-8.9): Reading: 646-680 Math: 643-693	Individual is able to read simple descriptions and narratives on familiar subjects or from which new vocabulary can be determined by context; can make some minimal inferences about familiar texts and compare and contrast information from such texts, but not consistently. The individual can write simple narrative descriptions and short essays on familiar topics; has consistent use of basic punctuation, but makes grammatical errors with complex structures.	Individual can perform all four basic math operations with whole numbers and fractions; can determine correct math operations for solving narrative math problems and can convert fractions to decimals and decimals to fractions; can perform basic operations on fractions.	Individual is able to handle basic life skills tasks such as graphs, charts and labels, and can follow multi-step diagrams; can read authentic materials on familiar topics, such as simple employee handbooks and payroll stubs; can complete forms such as a job application and reconcile a bank statement. Can handle jobs that involves following simple written instructions and diagrams; can read procedural texts, where the information is supported by diagrams, to remedy a problem, such as locating a problem with a machine or carrying out repairs using a repair manual. The individual can learn or work with most basic computer software, such as using a word processor to produce own texts; can follow simple instructions for using technology.

Outcome Measures Definitions

EDUCATIONAL FUNCTIONING LEVEL DESCRIPTORS—ADULT BASIC EDUCATION LEVELS

Literacy Level	Basic Reading and Writing	Numeracy Skills	Functional and Workplace Skills
Low Adult Secondary Education Test benchmark: TABE (5-6) scale scores (grade level 9-10.9): Total reading: 762-775 Total math: 777-789 Total language 731-743 TABE (7-8): scale scores (grade level 9-10.9): Reading: 567-595 Total Math: 566-594 Language: 560-585 CASAS: 236-245 AMES (E, ABE) scale scores (grade level 9-10.9): Reading: 544-561 Total Math: 534-548 Communication: 527-535 ABLE scale scores (grade level 9-10.9): Reading: 682-697 Math: 694-716	Individual can comprehend expository writing and identify spelling, punctuation and grammatical errors; can comprehend a variety of materials such as periodicals and non-technical journals on common topics; can comprehend library reference materials and compose multi-paragraph essays; can listen to oral instructions and write an accurate synthesis of them; can identify the main idea in reading selections and use a variety of context issues to determine meaning. Writing is organized and cohesive with few mechanical errors; can write using a complex sentence structure; can write personal notes and letters that accurately reflect thoughts.	Individual can perform all basic math functions with whole numbers, decimals and fractions; can interpret and solve simple algebraic equations, tables and graphs and can develop own tables and graphs; can use math in business transactions.	Individual is able or can learn to follow simple multi-step directions, and read common legal forms and manuals; can integrate information from texts, charts and graphs; can create and use tables and graphs; can complete forms and applications and complete resumes; can perform jobs that require interpreting information from various sources and writing or explaining tasks to other workers; is proficient using computers and can use most common computer applications; can understand the impact of using different technologies; can interpret the appropriate use of new software and technology.
High Adult Secondary Education Test benchmark: TABE (5-6) scale scores (grade level 11-12.9): Total reading: 776 and above Total math: 790 and above Total language: 744 and above TABE (7-8): scale scores (grade level 11-12): Reading: 596 and above Total Math: 595 and above Language: 586 and above CASAS: 246 and higher AMES (E, ABE) scale scores (grade level 11-12): Reading: 565 and above Total Math: 551 and above Communication: 538 and above ABLE scale scores (grade level 11-12): Reading: 699 and above Math: 717 and above	Individual can comprehend, explain and analyze information from a variety of literacy works, including primary source materials and professional journals; can use context cues and higher order processes to interpret meaning of written material. Writing is cohesive with clearly expressed ideas supported by relevant detail; can use varied and complex sentence structures with few mechanical errors.	Individual can make mathematical estimates of time and space and can apply principles of geometry to measure angles, lines and surfaces; can also apply trigonometric functions.	Individuals are able to read technical information and complex manuals; can comprehend some college level books and apprenticeship manuals; can function in most job situations involving higher order thinking; can read text and explain a procedure about a complex and unfamiliar work procedure, such as operating a complex piece of machinery; can evaluate new work situations and processes, can work productively and collaboratively in groups and serve as facilitator and reporter of group work. The individual is able to use common software and learn new software applications; can define the purpose of new technology and software and select appropriate technology; can adapt use of software or technology to new situations and can instruct others, in written or oral form on software and technology use.

Outcome Measure Definitions

Educational Functioning Level Descriptors—English-As-A-Second Language Levels

Literacy Level	Speaking and Listening	Basic Reading and Writing	Functional and Workplace Skills
Beginning ESL Literacy Test benchmark: CASAS (Life Skills): 180 and below SPL (Speaking) 0-1 SPL (Reading and Writing) 0-1 Oral BEST: 0-15 Literacy BEST: 0-7	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); 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.
Beginning ESL Test benchmark: CASAS (Life Skills): 181-200 SPL (Speaking) 2-3 SPL (Reading and Writing) 2-4 Oral BEST 16-41 Literacy BEST: 8-46	Individual can understand frequently used words in context and very simple phrases spoken slowly and with some repetition; there is little communicative output and only in the most routine situations; little or no control over basic grammar; survival needs can be communicated simply, and there is some understanding of simple questions.	Individual can recognize, read and write numbers and letters, but has a limited understanding of connected prose and may need frequent re-reading; can write a limited number of basic sight words and familiar words and phrases; may also be able to write simple sentences or phrases, including very simple messages. Can write basic personal information. Narrative writing is disorganized and unclear; inconsistently uses simple punctuation (e.g., periods, commas, question marks); contains frequent errors in spelling.	Individual functions with difficulty in situations related to immediate needs and in limited social situations; has some simple oral communication abilities using simple learned and repeated phrases; may need frequent repetition; can provide personal information on simple forms; can recognize common forms of print found in the home and environment, such as labels and product names; can handle routine entry level jobs that require only the most basic written or oral English communication and in which job tasks can be demonstrated. There is minimal knowledge or experience using computers or technology.
Low Intermediate ESL Test benchmark: CASAS (Life Skills): 201-210 SPL (Speaking) 4 SPL (Reading and Writing) 5 Oral BEST: 42-50 Literacy BEST: 47-53	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; 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; 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).

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Outcome Measure Definitions

EDUCATIONAL FUNCTIONING LEVEL DESCRIPTORS—ENGLISH-AS-A-SECOND LANGUAGE LEVELS

Literacy Level	Speaking and Listening	Basic Reading and Writing	Functional and Workplace Skills
High Intermediate ESL Test benchmark: CASAS (Life Skills): 211-220 SPL (Speaking) 5 SPL (Reading and Writing) 6 Oral BEST: 51-57 Literacy BEST: 54-65	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; 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 main idea and supporting detail on familiar topics (e.g., daily activities, personal issues) by recombining learned vocabulary and structures; 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; complete basic medical forms and job applications; can handle jobs that involve basic oral instructions and written communication in tasks that can be clarified orally. The individual can work with or learn basic computer software, such as word processing; can follow simple instructions for using technology.
Low Advanced ESL Test benchmark: CASAS (Life Skills): 221-235 SPL (Speaking) 6 SPL (Reading and Writing) 7 Oral BEST 58-64 Literacy BEST: 66 and above	Individual can converse on many everyday subjects and some subjects with unfamiliar vocabulary, but may need repetition, rewording or slower speech; can speak creatively, but with hesitation; can clarify general meaning by rewording and has control of basic grammar; understands descriptive and spoken narrative and can comprehend abstract concepts in familiar contexts.	Individual is able to read simple descriptions and narratives on familiar subjects or from which new vocabulary can be determined by context; can make some minimal inferences about familiar texts and compare and contrast information from such texts, but not consistently. The individual can write simple narrative descriptions and short essays on familiar topics, such as customs in native country; has consistent use of basic punctuation, but makes grammatical errors with complex structures.	Individual can function independently to meet most survival needs and can communicate on the telephone on familiar topics; can interpret simple charts and graphics; can handle jobs that require simple oral and written instructions, multi-step diagrams and limited public interaction. The individual can use all basic software applications, understand the impact of technology and select the correct technology in a new situation.
High Advanced ESL Test benchmark: CASAS (Life Skills): 236-245 SPL (Speaking) 7 SPL (Reading and Writing) 8 Oral BEST 65 and above	Individual can understand and participate effectively in face-to-face conversations on everyday subjects spoken at normal speed; can converse and understand independently in survival, work and social situations; can expand on basic ideas in conversation, but with some hesitation; can clarify general meaning and control basic grammar, although still lacks total control over complex structures.	Individual can read authentic materials on everyday subjects and can handle most reading related to life roles; can consistently and fully interpret descriptive narratives on familiar topics and gain meaning from unfamiliar topics; uses increased control of language and meaning-making strategies to gain meaning of unfamiliar texts. The individual can write multiparagraph essays with a clear introduction and development of ideas; writing contains well formed sentences, appropriate mechanics and spelling, and few grammatical errors.	Individual has a general ability to use English effectively to meet most routine social and work situations; can interpret routine charts, graphs and tables and complete forms; has high ability to communicate on the telephone and understand radio and television; can meet work demands that require reading and writing and can interact with the public. The individual can use common software and learn new applications; can define the purpose of software and select new applications appropriately; can instruct others in use of software and technology.

lowest functioning level should be the basis for initial placement. Test benchmarks are provided for each level as examples only and these tests do not need to be used when assessing the learner.

To determine gain, the learner should be assessed again at least once after a standard, instructional period, at the end of the class or at the end of the program year, as determined by state policy. If more than one assessment is given, the latest assessment should be used to determine completion or advancement. An "advance" or "completion" is recorded if, according to a subsequent assessment, the student has entry level skills corresponding to one or more levels higher than the incoming level in the areas initially used for placement. The lowest functioning level should again be used to make this determination.

State and local programs may use whatever additional level descriptors desired, as long as these descriptors can be matched to the NRS definitions. States and local programs may also use any assessment procedures desired, as long as the procedures are standardized for all programs in the same way (i.e., used consistently and reliably across programs and produce observable measures).

To assist in placement, test benchmarks are provided for the levels. Tests included are the Comprehensive Adult Student Assessment System (CASAS—Life Skills or Employability); Test of Adult Basic Education (TABE, Forms 5-6 and 7-8), total reading and total math scale scores and grade equivalents; the Adult Basic Learning Examination (ABLE, Forms E–F), reading and math; the Adult Measure of Educational Skills (AMES, Forms 1 and 2), reading, total math and communication; Student Performance Levels (SPL) for ESL in both speaking and reading; and oral scores of the Basic English Skills Test (BEST) for ESL. These benchmarks are provided only as examples of how students functioning at each level would perform on the tests. *Their inclusion in no way is meant to imply that the tests are equivalent or that they should be used as the basis for assessment.* In addition, the tests do not necessarily measure the same skills.

Federal Reporting: Total number of learners who complete a level during the program is reported and a rate or percentage of level completion can be computed. The number who continue in the program after completing a level, the number who fail to complete a level and leave the program and the number who remain in the same level are recorded to obtain a fuller picture of student flow and retention.

Core Outcome Measure #2: Entered Employment

Definition: Learner obtains a job by the end of the first quarter after the program exit quarter.

Applicable Population: Learners who are not employed at time of entry and who have a main or secondary goal of obtaining employment.

Collection Procedure: At intake, the local program collects the individual learner's employment status and employment goal. Entered employment is measured any time from enrollment until the end of the first quarter after program exit quarter by local follow-up survey or by data matching procedures (see Chapter IV). Note that a job obtained while the student is enrolled can be counted for entered employment but is reported on exit from the program. *Employment* is defined as working in a paid, unsubsidized job, or working 15 hours or more per week in an unpaid job on a farm or business operated by a family member or the student. The *exit quarter* is the quarter when instruction ends, the learner terminates, or has not received instruction for 90 days and is not scheduled to receive further instruction.

Federal Reporting: Total number of learners who enter employment is reported to compute a rate or percentage, divide this total by the total relevant population (number of learners in the workforce who are unemployed at entry and had a main or secondary goal of obtaining employment).

Core Outcome Measure #3: Retained Employment

Definition: Learner remains employed in the third quarter after exit quarter.

Applicable Population: Learners who, at time of entry were not employed and had a main or secondary goal of obtaining employment, and who entered employment by the first quarter after exit quarter; and learners who are employed at entry and who have a main or secondary goal of improved or retained employment.

Collection Procedure: For students who obtain a job while enrolled, students who obtain a job by the end of the first quarter after the exit quarter, and students who are employed at entry and had a goal of improved employment, retained employment is measured in the third quarter after exit quarter. Data can be obtained either by local survey or by data matching (see Chapter IV).

Federal Reporting: Total number of learners who retained employment is reported to compute a rate or percentage by dividing this total by the total relevant population (number of learners in the workforce who were not employed at entry, had a main or secondary goal of obtaining employment and who entered employment; and learners employed at entry with a main or secondary goal of improved or retained employment). *This measure is not reported for learners exiting in the third or fourth quarters of the program year if the local survey is used (see page 48).*

Core Outcome Measure #4: Receipt of a Secondary School Diploma or GED

Definition: Learner obtains certification of attaining passing scores on the General Education Development (GED) tests, or who obtains a diploma, or state recognized equivalent, documenting satisfactory completion of secondary studies (high school or adult high school diploma).

Applicable Population: All learners with a main or secondary goal of passing the GED tests or obtaining a secondary school diploma or its recognized equivalent, starting in the program year that begins July 1, 2001, this measure is collected only for students who exit during the program year.

Collection Procedure: Passage of GED tests or receipt of a secondary school diploma is obtained through data match from GED testing agency or from adult high school upon awarding of diploma. The program survey methodology may also be used to obtain the information (see Chapter IV). Secondary school diploma or GED test passage attainment is recorded any time up to the reporting deadline (December 31).

Federal Reporting: Total number of learners who obtain GED certification and secondary school diplomas and number who had this goal is reported. To compute a rate or percentage of attainment, the number of students receiving a secondary school diploma or GED is divided by the total number of learners who had a main or secondary goal of secondary credential attainment.

Core Outcome Measure #5: Placement in Postsecondary Education or Training

***Definition:* Learner enrolls in a postsecondary educational or occupational skills training program that does not duplicate other services or training received, regardless of whether the prior services or training were completed.**

Applicable Population: All learners with a goal of placement in postsecondary education or training. Starting in the program year that begins July 1, 2001, this measure is only collected for students who exit during the program year.

Collection Procedure: Information on enrollment into training or postsecondary educational program is obtained through local survey or data match from other education and training agency, such as job training program, adult postsecondary education programs, and community and four-year colleges and universities (see Chapter IV). Placement is recorded any time up to the reporting deadline (December 31).

Federal Reporting: Total number of learners who enter postsecondary education or a training program and number who had this goal is reported. To compute a rate of placement, the number of students enrolling in postsecondary education or training is divided by total number of learners with a goal of advancing to postsecondary education or training.

Demographic Measures

Demographic Measure #1: Ethnicity

***Definition:* Learner's ethnic category to which the learner self-identifies, appears to belong to, or is regarded in the community as belonging. The ethnic categories are:**

- **American Indian or Alaskan Native**—A person having origins in any of the original peoples of North America, and who maintains cultural identification through tribal affiliation or community recognition.
- **Asian**—A person having origins in any of the original peoples of the Far East, Southeast Asia or the Indian subcontinent. These areas include, for example, China, India, Japan and Korea.
- **Native Hawaiian or Other Pacific Islander**—A person having origins as a native of the Hawaiian Islands or the other islands of the Pacific, such as the Philippine Islands and Samoa.
- **Black or African American**—A person having origins in any of the Black racial groups of Africa, but not of Hispanic culture or origin.
- **Hispanic or Latino**—A person of Mexican, Puerto Rican, Cuban, Central or South American, or other Spanish culture or origin, regardless of race.

- **White**—A person having origins in any of the original peoples of Europe, North Africa, or the Middle East, but not of Hispanic culture or origin.

Applicable Population: All learners.

Data Collection: At intake, individual learner's ethnicity is recorded either through observation or by self-report of learner.

Federal Reporting: Total number of learners by ethnic group is reported.

Demographic Measure #2: Gender

Definition: Whether the learner is male and female.

Applicable Population: All learners.

Collection Procedure: At intake, individual learner's gender is recorded, either through observation or by self-report of learner.

Federal Reporting: Total number of learners by gender is reported.

Demographic Measure #3: Age

Definition: Learner's date of birth.

Applicable Population: All learners.

Collection Procedure: At intake, individual learner reports birthdate.

Federal Reporting: Learner's age at entry or current age can be computed. Total number of learners by age is reported using the following age categories: 16-18, 19-24, 25-44, 45-59, 60 and older.

Student Status Measures

Student Status Measure #1: Labor Force Status

Definition: Whether the learner is employed, not employed or not in the labor force, according to the following criteria:

- **Employed**—Learners who work as paid employees, work in their own business or farm, or who work 15 hours or more per week as unpaid workers on a farm or in a business operated by a member of the family. Also included are learners who are not currently working, but who have jobs or businesses from which they are temporarily absent.

- **Unemployed**—Learners who are not working, but are seeking employment, have made specific efforts to find a job and are available for work.

- **Not in the labor force**—Learners who are not employed and are not seeking employment.

Applicable Population: All learners.

Collection Procedure: At intake, individual learner reports employment status.

Federal Reporting: Total number of learners by category is reported. This measure can be used with learner goals to calculate rates or percentages for core employment measures.

Student Status Measure #2: Public Assistance Status

Definition: ***Learner is receiving financial assistance from Federal, State or local government agencies, including Temporary Assistance for Needy Families (TANF), food stamps, refugee cash assistance, old-age assistance, general assistance and aid to the blind or totally disabled. Social Security benefits, unemployment insurance and employment-funded disability are not included under this definition.***

Applicable Population: All learners.

Collection Procedure: At intake, referring agency or individual learner reports public assistance receipt.

Federal Reporting: Total number of learners receiving assistance is reported. This measure can be used to calculate rates or percentages for the secondary measure related to public assistance reduction.

Student Status Measure #3: Disability Status

Definition: ***Learner has a record of, or is regarded as having, any type of physical or mental impairment, including a learning disability, that substantially limits or restricts one or more major life activities, including walking, seeing, hearing, speaking, learning, and working.***

Applicable Population: All learners.

Collection Procedure: At intake, referring agency or individual learner reports disability or program assesses disability.

Federal Reporting: Total number of disabled learners is reported.

Student Status Measure #4: Rural Residency Status

Definition: ***Learner who resides in a place with a population less than 2,500 and outside an urbanized area. An urbanized area includes a population of 50,000 or more in a city and adjacent areas of high density.***

Applicable Population: All learners.

Collection Procedure: At in take, learner residency in a rural area is determined by learner self-report or documentation.

Federal Reporting: Total number of learners living in rural areas is reported.

Student Status Measure #5: Learner Reasons or Goals for Attending

Definition: Learner's self-identified main and secondary reasons for attending the class or program.

- **Obtain a job**—Obtain full- or part-time paid employment.
- **Retain current job**—Upgrade skills to enable retention of current job.
- **Improve current job**—Obtain a job that has increased pay or benefits, higher level of responsibility, or that requires a higher level of skill, compared to current or most recent job.
- **Earn a secondary school diploma or achieve a GED certificate**—achieve sufficient skills and credit hours to earn a state accredited secondary diploma or pass the tests of General Educational Development.
- **Enter postsecondary education or job training**—achieve skills to enable enrollment in a postsecondary education programs or job training program.
- **Improve basic literacy skills**—improve overall basic literacy skills.
- **Improve English skills**—improve overall skills in the English language (e.g., speaking, reading, writing).
- **Obtain citizenship skills**—Obtain skills to pass the citizenship test.
- **Achieve work-based project learner goal**—Obtain the skills needed to complete a project learner activity (i.e., a course of 12–30 hours duration designed to teach specific workplace skills).
- **Other personal goal**—Any other goal related to instruction with a clearly definable outcome (such as passing a driver's test or improved reading ability).

Applicable Population: All learners.

Collection Procedure: At intake, learner identifies one main, and as appropriate, one secondary reason for attending the program or class within the above categories. The reasons should reflect how the learner is to be counted for core outcome measures.

Federal Reporting: Total number of learners for each type of goal is reported. The number of learners in each category is to be used as the denominator to calculate rates or percentages for the employment, postsecondary education or training and credential attainment measures.

Student Participation Measures

Student Participation Measure #1: Contact Hours

Definition: Hours of instruction or instructional activity the learner receives from the program. Instructional activity includes any program-sponsored activity designed to promote student learning in the program curriculum such as classroom instruction, assessment, tutoring or participation in a learning lab.

Applicable Population: All learners.

Collection Procedure: Instructor or program staff records contact hours as they are provided. Note time spent on assessment can be counted only if the assessment is designed to inform placement decisions, assess progress or inform instruction. Time used to take to GED tests for example, should not be counted as instructional activity.

Federal Reporting: Total number of hours is reported.

Student Participation Measure #2: Program Enrollment Type

Definition: Learner is enrolled in the following programs or institutions:

- ❖ **Adult Basic Education Program**—A program of instruction designed for adults who lack competence in reading, writing , speaking, problem solving or computation at a level necessary to function in society, on a job or in the family.
- ❖ **Adult Secondary Education Program**—A program of instruction designed for adults who have some literacy skills and can function in everyday life, but are not proficient or do not have a certificate of graduation or its equivalent from a secondary school.
- ❖ **English-as-a-second Language Program**—A program of instruction designed to help adults who are limited English proficient achieve competence in the English language.
- ❖ **Family Literacy Programs**—A program with a literacy component for parents and children or other intergenerational literacy components.
- ❖ **Workplace Literacy Programs**—A program designed to improve the productivity of the workforce through improvement of literacy skills needed in the workplace by:
  - ✓ providing adult literacy and other basic skills services and activities, including basic computer literacy skills;
  - ✓ providing adult secondary education services and activities that may lead to the completion of a high school diploma or its equivalent; or
  - ✓ meeting the literacy needs of adults with limited English proficiency.
- ❖ **Program for the Homeless**—A program designed for homeless adults. Homeless adults are adults lacking a fixed, regular nighttime residence or have a residence which is: (1) a publicly supervised or privately operated shelter designed to provide temporary living accommodations (including welfare hotels, congregate shelters and transitional housing for the mentally ill); (2) an institution that provides temporary residence for individuals intended to be institutionalized; or (3) a public or private place not designed for, or ordinarily used as, a regular sleeping accommodation for human beings. The term

"homeless adult" does not apply to any individual imprisoned or otherwise detained pursuant to an Act of the Congress or a State law.

- **Correctional Facilities**—Any prison, jail reformatory, work farm, detention center, or any other similar Federal, State, or local institution designed for the confinement or rehabilitation of criminal offenders.

- **Community Corrections Programs**—A community-based rehabilitation facility or halfway house.

- **Other Institutional Program**—Any other medical or special institution.

Applicable Population: All learners.

Collection Procedure: At intake, program counts learner as entering the appropriate program or category.

Federal Reporting: Total number of learners in each program or category is reported. The number of learners in each program type can be used to analyze the performance of these participants separately from the overall adult education population.

SECONDARY MEASURES (OPTIONAL)
OUTCOME MEASURES

Work-based Project Learners

Project Learner Measure #1: Completed Work-based Project Learner Activity

Definition: Learner acquires the skills taught in a short-term learning course designed to teach specific work-based skills. A short-term course is an instructional program of at least 12 hours but no more than 30 hours duration.

Applicable Population: Learners enrolled in a short-term course and designated at entry as work-based project learners.

Collection Procedure: At intake, the individual learner is identified as a work-based project learner and as entering a project learning instructional activity. The instruction must be designed to teach work-based skills and must specify the educational outcomes and standards for achievement. The final assessment of skill achievement must be a standardized test or a performance-based assessment with standardized scoring rubrics.

Federal Reporting: Total number of learners who completed a work-based project learner activity is recorded. A rate or percentage can be computed by dividing this total by the total relevant population (number of work-based project learners). Project learners are not counted for the educational gain measure and are not assigned an educational functioning level. No core outcome measures are reported for project learners.

Employment Measures

Secondary Employment Measure #1: Reduction in Receipt of Public Assistance

***Definition:** Learner's Temporary Assistance to Needy Families (TANF) grant, or equivalent public assistance grant, is reduced or eliminated due to employment or increased income.*

Applicable Population: Learners who are receiving TANF or equivalent public assistance grant at the time of enrollment in the program.

Collection Procedure: At intake, individual learner's public assistance receipt status (TANF or equivalent) is collected. Information on reduction or elimination of the grant is recorded by local survey or data matching methodology (see Chapter IV).

Federal Reporting: Total number of learners whose grant is reduced or eliminated is reported and a rate or percentage can be computed by dividing this total by the total relevant population (number of learners on public assistance on entry into the program). Grant reduction may be reported at any time during the program year.

Community Measures

Secondary Community Measure #1: Achieved Citizenship Skills

***Definition:** Learner attains the skills needed to pass the U.S. citizenship exam.*

Applicable Population: All learners with a main or secondary goal of obtaining citizenship skills.

Collection Procedure: Attainment of skills needed to pass the U.S. citizenship exam are assessed and recorded by program staff.

Federal Reporting: Total number of learners who obtained skills to pass the citizenship exam is reported. A proportion or rate can be computed by dividing this total by the total relevant population (number of learners who enrolled in citizenship classes or had a main or secondary goal of citizenship).

Secondary Community Measure #2: Voting Behavior

***Definition:** Learner registers to vote or vote for the first time during instruction anytime during the program year.*

Applicable Population: All learners who, at time of enrollment, are not registered to vote or who have never voted.

Collection Procedure: Information on voting or voter registration is recorded by local program survey (see Chapter IV) or direct program report.

Federal Reporting: Total number of learners who registered to vote or voted for the first time is reported.

Secondary Community Measure #3: General Involvement in Community Activities

Definition: Learner 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; and
- Volunteering to work on community improvement activities.

Applicable Population: All learners.

Collection Procedure: Information on increased involvement in community activities is recorded through local program survey (see Chapter IV) or direct program report.

Federal Reporting: Total number of learners who increase community involvement in any measure is reported.

Family Measures

Secondary Family Measure #1: Involvement in Children's Education

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

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

Applicable Population: All learners enrolled in programs that include a focus on family literacy.

Collection Procedure: Information on increased involvement in children's education is recorded through local program survey (see Chapter IV) or direct program report.

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

Secondary Family Measure #2: Involvement in Children's Literacy-Related Activities

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

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

Applicable Population: All learners enrolled in programs that include a focus on family literacy.

Collection Procedure: Information on increased involvement in children's literacy related-activities is recorded through local program survey (see Chapter IV) or direct program report.

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

Student Status Measures

Secondary Student Status Measure #1: Low Income Status

Definition: The learner receives or is a member of a family that received a total family income in the six months prior to enrollment of 70 percent of the income level standard for a family of that size; or the learner is receiving or is a member of a family that is receiving cash assistance payments from Federal or state agencies or Food Stamps; or the learner can be designated as homeless under the McKinney Act.

Applicable Population: All learners.

Collection Procedure: At intake, referring agency or individual learner reports whether the learner is low income.

Federal Reporting: Total number of low income learners is reported.

Secondary Student Status Measure #2: Displaced Homemaker

Definition: Learner has been providing unpaid services to family members in the home and has been dependent on the income of another family member but is no longer supported by that income; and is unemployed or underemployed and is experiencing difficulty in obtaining or upgrading employment.

Applicable Population: All learners.

Collection Procedure: At intake, referring agency or individual learner reports whether the learner is a displaced homemaker.

Federal Reporting: Total number of displaced homemakers is reported.

Secondary Student Status Measure #3: Single Parent Status

***Definition:* Learner has sole custodial support of one or more dependent children.**

Applicable Population: All learners.

Collection Procedure: At intake, referring agency or individual learner reports whether the learner is a single parent.

Federal Reporting: Total number of single parents is reported.

Secondary Student Status Measure #4: Dislocated Worker

***Definition:* An individual who received an individual notice of pending or actual layoff from a job, or an individual who received a publicly announced notice of pending or actual layoff.**

Applicable Population: All learners.

Collection Procedure: At intake, referring agency or individual learner reports whether he learner is a displaced worker.

Federal Reporting: Total number of dislocated workers is reported.

Secondary Student Status Measure #5: Learning Disabled Adult

***Definition:* Learners with IQs in the low-average and above (70+ to any level) who have deficits (related to neurological impairments) in capacity in defined limited areas related to learning, including dyslexia (reading disability), dysgraphia (writing disability), dyscalculia (math disability), and who have a history of previous educational efforts.**

Applicable Population: All learners.

Collection Procedure: At intake, referring agency or individual learner reports whether the learner is learning disabled.

Federal Reporting: Total number of learning disabled adults is reported.

Chapter III. The NRS Data Flow Framework

The goal of the NRS is to produce a set of measures that describe adult education students and the outcomes they achieve due to their participation. These measures will be used at the state and national levels to demonstrate whom the adult education program serves and its impact on learners' educational and employment-related outcomes. States and local programs can also use the data for program management and improvement activities and to develop performance standards now required by the WIA. This chapter presents the NRS framework for data flow from local programs to the U.S. Department of Education. It also summarizes the roles and responsibilities of local programs, the states and the Federal government in the operation and maintenance of the NRS.

DATA FLOW FRAMEWORK OF THE NRS

The development of a national database for adult education requires the close collaboration among the Federal Department of Education, state education agencies, 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 across the states. These roles within the NRS are summarized below.

- The *Federal role* is to establish the NRS measures, methods and reporting requirements, to ensure valid and reliable data, provide assistance to states in understanding and implementing these requirements, monitor the system to ensure it is producing valid and reliable measures, report the data to federal agencies and decide on state incentive awards based on NRS data.

- *States* are responsible for implementing NRS measures, methods and requirements in a way that meets Federal guidelines; for providing resources, training and support for data collection to local programs; monitoring local programs; and for funding programs. 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 the NRS measures and reporting them according to state requirements.

Exhibit 3 shows the general data flow framework envisioned for the NRS by following the movement of data at each of these three levels. At the local program level, each of the program's instructional sites collects measures from students at three time periods. Upon *intake* into the program, local staff collects descriptive measures—demographic information, student goals and status measures—and conducts an assessment of the student's educational functioning level for placement. During the course of instruction, program staff (typically the teacher) provides at least two additional measures about the student: contact hours or attendance and a progress assessment. The progress assessment is usually administered at a time established by the local program or state policy and may be at the end of the course of instruction, at the end of the program year or after a set number of instructional hours. Other student outcomes attained may also be recorded on the update. When this *update* information is collected is also determined by local or state policy, and may be on an *ad hoc* basis, or at set times during the year, such as monthly or quarterly.

In most states, local programs will also be required to collect the core *follow-up* measures on students. These measures include the employment-related measures, measures on placement in postsecondary education or training and whether the student received a GED or other secondary credential. NRS follow-up procedures require program staff to collect the employment measures through a student survey in the first and third quarters after students' exit quarters, or by matching procedures. In states that use the data matching methodology (described in Chapter IV), collecting 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, since it allows local programs to conduct the types of analysis of outcomes for specific student groups for reporting and program management. For example, only an individual record system would allow analysis of such issues as whether a specific type of student (such as students with employment-related goals) achieved their outcomes, or the number of instructional hours needed by groups of students to advance an educational level. The NRS does not specify the software or design of the student record system, but leaves this to local and state discretion.

Exhibit 3 also shows the movement of NRS data from the local program to the state level. Each local program must submit their data to the state education agency to enable the state to develop a statewide adult education database. The state data submission is often on an annual basis, although some states require more frequent submission. This state database may contain aggregated data from local programs or it may consist of the individual student records from programs. At the end of the program year, states must submit data in aggregated data tables to the U.S. Department of Education, which maintains a national database. This submission is required to be in electronic form, either using software developed for this purpose by the Department by using state-developed software.

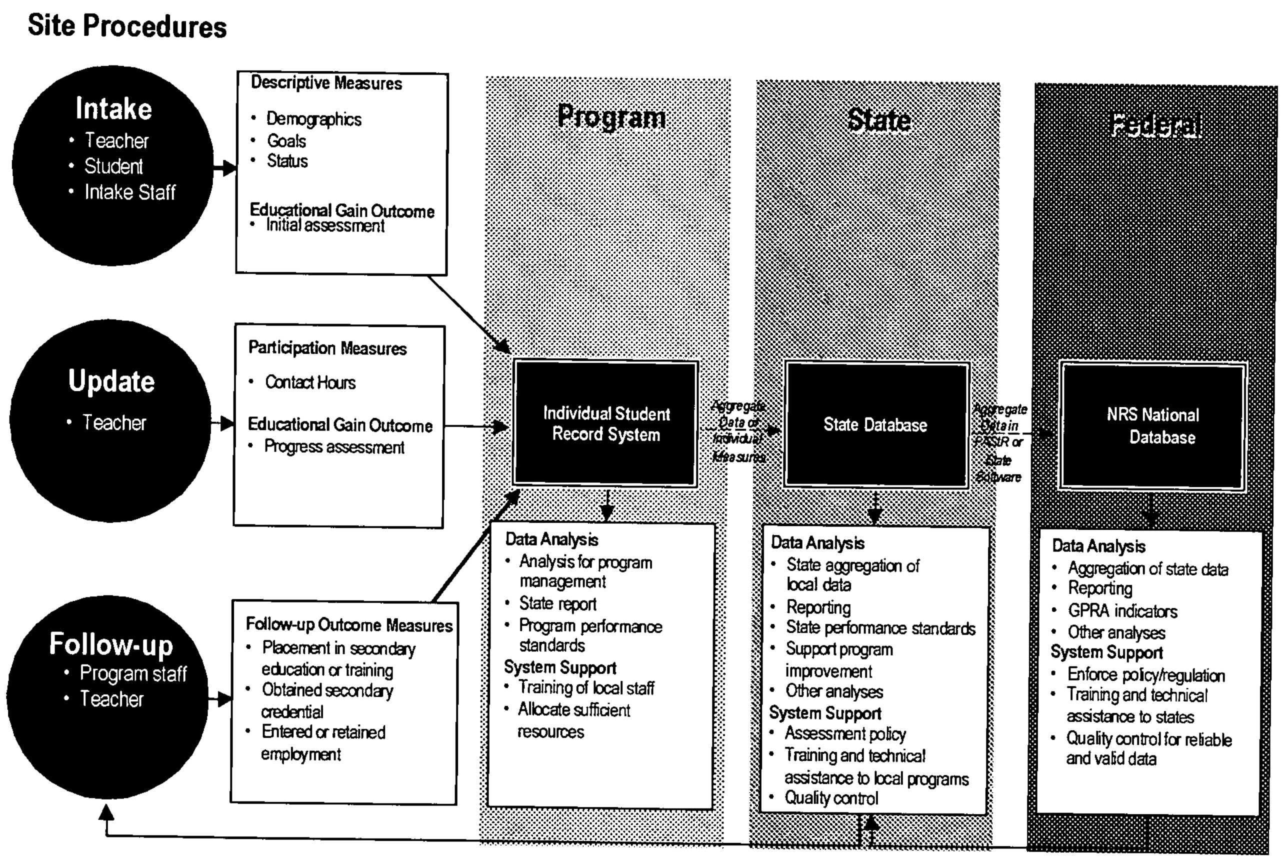
Local Role

Exhibit 3 emphasizes the role programs, states and the Federal government have in supporting the NRS. Local programs are on the front lines of the system, as they must allocate sufficient resources to collect the 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, however, data collection procedures must be standardized across all programs within each state. That is, the data must be defined and collected in the same way by all programs to make it comparable. Due to this central role of local programs, local staff needs ongoing training and assistance to achieve this standardization in the following areas:

- Understanding the definitions of each measure and 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 educational functioning levels and assessing progress;
- Following procedures for implementing the follow-up survey, if it is conducted by the program; and
- Understanding how to correctly record and report data to the state.

It is the state responsibility to provide training and technical assistance to local programs on these areas.

Exhibit 3
National Reporting System Data Flow



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State Role

The NRS gives the state the primary responsibility for implementing the procedures most applicable to its environment and delivery system and ensuring that local programs follow these uniform data collection policies and procedures. States will need to achieve this uniformity through:

- Ongoing staff development of local staff;
- Technical assistance to local programs where necessary; and
- Implementing quality control procedures to ensure that local data procedures are accurate and complete.

In addition, the state must establish an individual student record system employing a relational database for local programs. The design and operation of this system is left to state discretion, as the NRS requires only reporting of aggregated data tables at the Federal level. States are also required to use NRS data to promote continuous improvement of local programs.

A critical element to the NRS is the ability for states and local programs to measure and document learning gains on the educational functioning levels. Due to the variation in each state's instructional emphasis, goals and assessment procedures, however, the NRS allows states to establish their own procedures for student placement and assessment to measure learning gains. Consequently, key state responsibilities are to establish statewide uniform methods of student assessment, provide staff development to local staff on these methods, monitor local programs to ensure methods are followed and provide technical assistance on the methods where needed. The assessment may be a standardized test or performance-based assessment with standardized scoring rubrics. Chapter IV provides further information on this issue.

Federal Role

At the Federal level, the Department of Education's role has been to establish the NRS procedures through an inclusive process that has not only addressed Federal legislation, but has been responsive to state and local concerns and coordinated with Federal partner agencies. The methodology and definitions have been developed and pilot tested and reporting guidelines have been developed. The Department of Education plans to monitor implementation of the NRS, conduct quality control of state procedures and provide ongoing technical assistance and training to states. This training will be designed to support state efforts to train staff and implement the NRS to produce valid, uniform data. Learning to use data more effectively for program improvement and accountability will also be a focus of training as a means to enhance the value of the NRS and encourage adoption and support of the system. Technical assistance materials to states on issues such as local program quality control and assessment procedures will also be provided.

Federal and State Accountability Systems

The NRS includes a set of measures identified by stakeholder groups as central for assessing the performance of the adult education program. The NRS also establishes uniform methodologies for these measures to increase data validity by helping to ensure consistency in collecting measures across states. The objective is to create a national database of information and outcomes about the program to demonstrate its effectiveness and meet WIA accountability requirements. To promote program effectiveness, WIA requires states to set performance standards on the core indicators and ties incentive grants to these standards.

WIA also requires states to evaluate local program performance on these same indicators as one condition of local funding. States may also use any other indicators of their choosing in evaluating programs and making funding decisions. The NRS core measures, collected for national purposes, do not limit or preclude use of other measures. Indeed, the inclusion of the secondary measures in the NRS framework is intended to provide states with additional options on such measures. For example, states that wish to place a greater emphasis on family literacy or community involvement could include the secondary measures in these areas in their evaluation of local programs and fund them according to performance on these measures. Similarly, states wanting to emphasize serving students on public assistance could use the measure of welfare reduction in local performance evaluations.

Nothing in the NRS framework is intended to exclude the use of additional measures in state and local evaluation and funding decisions. While some states may wish to design their entire evaluation systems solely around NRS measures, the NRS measures in other states may be part of a broader set of measures and factors used for performance evaluation and accountability.

Summary of the NRS Data Flow Framework

The NRS is designed to develop a national database describing adult education students and their outcomes. The data include descriptive measures, such as student demographics and goals; attendance hours; and student outcomes, including learning gains, attainment of GED or secondary school credentials, placement in postsecondary education or training and employment-related measures.

Local programs have primary responsibility for collecting these measures using valid, uniform procedures to ensure comparability across programs and must maintain these data in an individual student record system. To ensure that educational gains are standardized, programs must have standardized methods for assessing students at intake and following instruction. In most states, programs must also conduct a follow-up survey on students.

States must ensure that measures of educational gains are meaningful by establishing a standardized assessment system, based on tests or authentic performance. States are also responsible for providing staff development and technical assistance to local programs to ensure measures and methods are collected in accordance with NRS guidelines and implement quality control procedures to ensure data validity. In addition, the state must maintain a state database that includes data from all programs. States are also responsible for data matching procedures when they employ that follow-up methodology.

At the Federal level, the Department of Education has supported the establishment of a national database for adult education by developing the framework and measures for the NRS. Federal assistance will continue through training and technical assistance, development of materials for state staff and by quality control of state data collection efforts. The Department of Education will also maintain the national database of measures.

What the NRS Is Not

While the foregoing section has explained the chief characteristics of the NRS—what the system *is*—one way to clarify it further is to describe what the NRS *is not*.

- **The NRS does not preclude collecting other measures or coding categories.** States and local programs may collect and report on any additional measures desired, as long as the required NRS core measures are also collected. Additional coding categories for measures (such as for ethnicity) may also be collected, as long as the additional coding categories can be combined into NRS coding categories.

- **The NRS does not require a specific type of record system or software.** Local programs may use any software, as long as it includes the NRS measures and coding categories, and can produce the Federal reporting tables.

- **The NRS does not specify a specific assessment or test.** States and local programs may use whatever assessment procedures or tests are appropriate for their instructional approach, as long as both initial and subsequent assessments are administered in a standardized way throughout the state. Further, a state or program may use an authentic or other performance-based assessment, as long as it has a standardized scoring rubric that teachers or assessors are trained to use.

- **The NRS does not preclude using additional educational functioning levels.** To measure educational learning gains, the NRS requires programs to place students in one of six educational functioning levels according to their abilities in designated skill areas (see Chapter II). Programs may use additional educational levels, as long as these additional levels can be directly related to the NRS levels.

- **The NRS does not specify the skill areas to teach or assess students.** To measure learning gains, the NRS describes educational functioning levels in which to place students and assess their progress. The levels describe skills in reading, writing, speaking and listening, numeracy, functional and workplace areas. Local programs, however, determine which areas to assess students and on which to focus instruction.

Chapter IV. NRS Methodologies

One of the most significant changes the NRS makes over existing reporting procedures is the establishment of methodologies for collecting data. Standardized procedures, along with definitions of the measures, are essential to promoting validity and reliability of data and ensuring that the measures have the same meaning across programs and states.

The NRS has three methodologies for collecting measures: direct program reporting, local follow-up survey and data matching. With the *direct program reporting* methodology, local programs collect the information directly from the learner while the learner is enrolled and receiving instruction. The information is normally obtained as part of the intake process, through student assessment or is ongoing throughout the course of instruction. Measures collected with this methodology are the demographic, student status and student participation measures, as well as the educational gain measure and secondary measures of project learner completion, citizenship skill attainment, and other optional measures.

The *local follow-up survey* methodology employs a universe or random sample survey of learners after they exit the program. The local program, state or a third-party contractor may conduct the survey as long as the sample includes students from each local program. *Data matching* methodology refers to the procedures whereby agencies serving common clients pool their data to identify outcomes unique to each program. Matching is achieved using Social Security numbers and is typically done at the state level. For example, wage records may be matched for adult education students who had a goal of obtaining employment to determine whether they got a job.

Both the follow-up survey and data matching methods collect follow-up measures required for the NRS—the employment-related measures, obtaining a secondary diploma or passing the GED and advancing to further education and training. Follow-up methodologies may also be used to collect the optional, secondary outcome measures. States may use either follow-up method, or a combination of the two methods, to collect the NRS follow-up measures. Exhibit 4 summarizes the methodologies for each NRS measure.

The first part of this chapter provides guidelines and explains the coding categories for the direct program report methodology. The second part of this chapter offers guidelines for conducting the local follow-up survey and a discussion of data matching models. The chapter concludes with a brief section on promoting data quality. Appendix B provides a sample follow-up survey and a model procedure for conducting a survey.

Exhibit 4
NRS Measures and Methodologies

Core Measures (Required)	**Methodology**
Outcome Measures	
Educational Gain	Direct program report (assessment)
Entered Employment	Local follow-up survey or data matching*
Retained Employment	Local follow-up survey or data matching
Receipt of a Secondary School Diploma or GED	Local follow-up survey or data matching
Placement in Postsecondary Education or Training	Local follow-up survey or data matching
Demographic Measures	
Ethnicity	Direct program report (intake)
Gender	Direct program report (intake)
Age	Direct program report (intake)
Student Status Measures	
Labor force status	Direct program report (intake)
Public assistance status	Direct program report (intake)
Disability status	Direct program report (intake)
Rural residency status	Direct program report (intake)
Reasons for attending (main and secondary)	Direct program report (intake)
Student Participation Measures	
Contact hours	Direct program report (ongoing during instruction)
Program enrollment type	Direct program report (intake)
Secondary Measures (Optional)	
Work-based project learner achievement	Direct program report (assessment)
Reduction in public assistance	Local follow-up survey or data matching
Achieved citizenship skills	Direct program report (assessment)
Voting behavior	Local follow-up survey or direct program report
Involvement in community activities	Local follow-up survey or direct program report
Involvement in children's education	Local follow-up survey or direct program report
Involvement in children's literacy activities	Local follow-up survey or direct program report
Low income status	Direct program report (intake)
Displaced homemaker	Direct program report (intake)
Single parent status	Direct program report (intake)
Dislocated worker status	Direct program report (intake)
Learning disabled adult	Direct program report (intake)

**Direct program reporting is possible if learner obtains job while enrolled.*

DIRECT PROGRAM REPORT METHODOLOGY

Procedures for Measuring Educational Gains

The educational gain measure is probably the most important single measure in the NRS. All participants involved in the development of the NRS agreed that adult education is primarily an educational program designed to teach literacy skills. Literacy gains are also explicitly identified in the Workforce Investment Act. Besides being a critical indicator of how well adult education programs are doing in fulfilling their primary mandate, how learning gains are defined directly affects instructional design, program content, curriculum and assessment.

Educational Functioning Levels

The NRS approach towards measuring educational gain is to define a set of *educational functioning levels* in which students are initially placed, based on their ability to perform literacy-related tasks in specific content areas. After a set time period or number of instructional hours, students are again assessed to determine their skill level. If their skills have improved sufficiently to be placed one or more levels higher, an "advance" is recorded for that student. Chapter II provides the educational functioning level descriptors.

The NRS divides educational functioning into six levels for both ABE and ESL. The levels for ABE are beginning literacy, beginning basic education, low and high intermediate basic education, and low and high adult secondary education. Each ABE level describes the skills in basic reading and writing, numeracy, and functional and workplace skills that a person functioning at that level could be expected to perform. The six ESL levels are beginning literacy, beginning ESL, low and high intermediate ESL, low advanced ESL and high advanced ESL. The ESL levels describe speaking and listening skills, as well as basic reading and writing skills, and functional workplace skills that a person functioning at that level can be expected to perform. States and local programs may use additional or different skills and levels if desired, as long as these skills and levels can be matched to the NRS levels and skills.

At the low and intermediate levels, the basic reading and writing skills are identical for both ABE and ESL. At the higher levels (secondary level for ABE, advanced levels for ESL), the reading and writing skills are designed to be slightly higher for ABE than for ESL, since the adult secondary level is designed to be the highest level. The functional and workplace skills for ABE and ESL also differ somewhat by having a stronger second language focus for ESL. Speaking and listening skills are only described for ESL, and numeracy for ABE to reflect common instructional practice. However, programs may apply the numeracy descriptors to ESL students and the speaking and listening descriptors to ABE students, if the needs of the student and the program's instructional approach warrant this approach.

Local programs should use the following guidelines to place students in levels.

- The descriptors describe what a typical student functioning at that level should be able to do, and are thus *entry* level descriptors. When the student has the skills at one or more levels above the placement level, he or she can be considered as completing that level and can advance to the next level.

- Students 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 the student's needs or the program's curriculum, and assess students in these areas. For example, if a student's goal is to improve reading skills, the reading and writing descriptors would serve as the primary guide for placement; or if the program has a strong life skills emphasis, the functional and workplace descriptors would guide placement.

- If multiple skill areas are assessed and the student has different abilities in different areas, the program should place the student according to the *lowest* functioning level. For example, if a student was at the beginning level in reading and the low intermediate level in numeracy, the student would be placed in the beginning level. The lowest functioning level should also be used to determine educational gain in subsequent assessments.

Assessment Guidelines

To ensure comparability of the meaning of the educational functioning levels across all programs in the state, all programs must use a *standardized assessment procedure approved by the state* when determining students' educational functioning levels. The assessment procedure may be a standardized test, or a performance-based assessment with a standardized scoring rubric. If performance-based assessment is used, the scoring rubrics should be based on objective, observable criteria and program staff should be trained in scoring to ensure that the measures are valid and reliable across programs and students.

To assist in placement decisions, test benchmarks are provided for the levels. Tests included are the Comprehensive Adult Student Assessment System (CASAS—Life Skills or Employability); Test of Adult Basic Education (TABE, Forms 5-6 and 7-8), reading and total math scale scores and grade equivalents; the Adult Basic Learning Examination (ABLE Form E-F), reading and math; the Adult Measure of Essential Skills (AMES, Forms 1-2 for ABE), reading, computation and communication; Student Performance Levels (SPL) for ESL in speaking, reading, and writing; and scores on the oral Basic English Skills Test (BEST). These benchmarks are provided as examples of how students functioning at each level would perform on the tests. The tests should not be considered equivalent, however, and do not necessarily measure the same skills. In addition, these tests are offered only as examples and their inclusion does not imply that these tests must or should be used in the determination of educational functioning levels.

The NRS requires that local programs assess and place all students into an educational functioning level at intake and *at least one other time* during the program year. Programs should administer the initial assessment at intake or within a short period thereafter and administer follow-up or post-test assessments according to state policy. The follow-up assessment should be after a set instruction time, either in hours (e.g., after 50 hours of instruction) or months (e.g., the last two weeks of November, last week of instruction). For the purpose of NRS reporting, the program should use *a different form of the same test* for the follow-up assessment as for the initial assessment, or if a performance-based assessment is used, the student's performance should be assessed in the same area as used for placement. For example, if a student was placed based on performance on a reading task, an equivalent reading task should be used to assess progress in subsequent assessments.

If more than one assessment is administered, the program should use the last assessment given as the basis for determination of the educational level. If no follow-up assessment of the student is made during the program year, the student must be counted as remaining in the same educational level as upon entry and cannot be reported as advancing to a higher functioning level.

State Responsibilities in Assessment

The NRS gives the state substantial freedom to determine the assessment policy and procedures used by local programs. States and local programs decide the skill areas in which to assess students, the tests and assessment procedures to use and when to conduct follow-up assessments. This flexibility in assessment permits states and local programs to tailor their instructional activities and curriculum to best meet their priorities and the needs of individual students. However, for the educational functioning levels to be meaningful, the assessment needs to be administered in a standardized and consistent way by all programs in each state. If these procedures are not followed correctly or consistently, the determination of educational functioning level will be invalid or not comparable across programs or possibly even within programs, making the data validity questionable.

In summary, the NRS gives states the freedom to determine assessment policy and procedures, as well as responsibility for training local staff on procedures, ensuring that local programs follow state policy and that information on student educational levels is reported consistently and reliably across the state. To implement assessment procedures that produce this type of data, states must do the following.

- ❖ Determine the assessments or tests that local programs should follow. These assessments may be standardized tests or performance-based assessments that have standardized scoring rubrics that are observable and objective.
- ❖ Train local staff in the proper use, administration and scoring of the chosen assessments and provide technical assistance to local program staff as needed. Training is especially important when alternative or performance-based assessment is used to ensure valid and reliable scoring.
- ❖ Establish a policy for when progress assessments are to be administered to students.
- ❖ Conduct periodic quality control reviews of assessment procedures to ensure local staff are correctly following procedures. Guidelines on quality control are provided at the end of this chapter.

Assessing Work-based Project Learner Completion and Citizenship Skills

As discussed in Chapters I and II, the NRS establishes a set of secondary outcome measures. While these measures are optional, states that elect to report them are encouraged to follow a standard methodology to promote national comparability. Two of the measures—completed work-based project learner activity and achievement of skills to pass the citizenship examination—require student assessment.

Work-based project learners are enrolled in an instructional or training course that has at least 12 hours and no more than 30 hours of scheduled instruction. The course must be designed to teach work-based literacy skills. The skills the student is to learn, as well as the method for assessing these skills and the standards for achievement, must be explicitly stated prior to beginning the course. To count as having completed the activity, the learner must demonstrate achievement of the skills at the level of the agreed upon standard. As with other student assessments within the NRS, the assessment must either be a standardized test or performance-based assessment with standardized scoring rubrics. It is the state's responsibility to establish and monitor the assessment process and train staff on the use of the assessment procedures.

Students designated as work-based project learners should have "achieve work-based project learner goal" designated as their primary goal for attending. Once a student is designated as a work-based project learner, that student is not assigned an educational functioning level and no additional outcomes are to be collected on that learner. The learner is reported on the NRS reporting tables, however (see Chapter V).

Work-based project learning should not be confused with workplace literacy programs, which are also designed to teach workplace skills. Workplace literacy programs are of longer duration or are open-ended and generally teach a broader range of literacy skills (see definition in Chapter II). Students enrolled in workplace literacy programs are counted under the required core outcome measures.

A second optional measure requiring student assessment is achievement of skills to pass the citizenship exam. This measure is included to document learning gains of students who are enrolled in classes designed to give them the literacy skills and substantive knowledge to pass this exam. These students should have obtain citizenship skills designated as their primary goal for attending. To determine whether students have achieved 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 citizenship class. It is the state's responsibility to ensure that programs use an appropriate test and establish the standards for passing this test, as well as to train and monitor local staff in its use, if this measure is to be reported.

Procedures for Collecting Student Demographic and Status Measures

The NRS measures include demographic, student status and participation measures. Adult education programs have routinely collected these measures and consequently, the collection of them in the NRS should have little or no impact on existing data collection procedures. These measures are typically collected at intake into the program on a form completed either by intake staff or by the student directly. Chapter II contains the definitions of these measures and categories. There are also three optional student status measures described here.

- **Ethnicity**—Student ethnicity should be coded into one of the following categories by the student or through observation by staff:
  - ✓ American Indian or Alaskan Native
  - ✓ Asian
  - ✓ Native Hawaiian or Pacific Islander
  - ✓ Black or African American, not Hispanic Origin
  - ✓ Hispanic or Latino
  - ✓ White, not Hispanic Origin
- **Gender**—Student gender should be coded as male or female by the student or through observation by staff.

- **Age**—Student birthdate should be recorded by the student or by staff from documentation, such as a student identification or documentation from a referring agency. Age should not be coded into categories (e.g., 16-21, 22-35), as coding in this way precludes use of age as an individual variable in data analyses.

- **Labor force status**—Student employment status at the time of entry into the program should be recorded by the student or by staff from documentation from a referring agency into the following categories:

  - ✓ Employed
  - ✓ Unemployed
  - ✓ Not in the labor force

- **Public assistance status**—Record whether the student is receiving any of the following forms of financial assistance from public agencies. Public assistance status should be recorded by the student or by staff from documentation from a referring agency into the following categories:

  - ✓ Temporary Assistance to Needy Families (TANF) or equivalent general assistance
  - ✓ Food stamps
  - ✓ Refugee cash assistance
  - ✓ Old-age assistance
  - ✓ Aid to the blind or disabled

- **Disability status**—Record whether the student has a physical, mental or learning disability that restricts one or more major life activities, such as walking, seeing, hearing or learning. A disability should be recorded if it can be directly observed, is documented, or can be assessed through a valid assessment instrument or procedure designed to identify disabilities.

- **Rural residency status**—Record whether the learner resides in a rural area—i.e., a place with a population of less than 2,500 and not near any metropolitan area with a population greater than 50,000—from student self-report or documentation.

- **Learner goals or reasons for attending**—The student can designate at intake a *main* reason and a *secondary* reason for attending the adult education class. At least one goal must be selected. Local staff, such as the teacher or a counselor should assist the student in selecting these goals. The selection of a goal is important, since the NRS will assess program performance by comparing students' outcomes to their stated goals. For example, in examining employment measures, a rate or percentage will be computed by dividing the number of students who obtained a job with the number of students who designated obtaining a job as a goal. The main and secondary goals to be used are:

  - ✓ Obtain a job

- ✓ Retain current job
- ✓ Improve current job
- ✓ Earn a secondary school diploma or GED certificate
- ✓ Enter postsecondary education or training
- ✓ Improve basic literacy skills
- ✓ Improve English language skills
- ✓ Obtain citizenship skills
- ✓ Achieve work-based project learner goal
- ✓ Other personal goal

The following five student status measures are *optional*. These measures identify special target populations identified under WIA.

- ❖ **Low income status**—Record whether the student has low income status by determining whether student's total family income is no more than 70 percent of the Federal income standard for a family of his or her family size. This information can be self-reported or obtained from documentation. Homeless learners or learners in families receiving cash public assistance such as TANF or Food Stamps, are automatically considered low income.

- ❖ **Displaced homemaker**—Designate a learner as a displaced homemaker if he or she has been providing unpaid services to family members in the home and has been dependent on the income of another family member, but at enrollment is no longer supported by that income. The learner must also be unemployed or underemployed and having difficulty obtaining a job. Obtain this information through self-report or documentation from referring agency.

- ❖ **Single parent status**—Record whether the learner has sole custodial support of one or more dependent children from self-report or documentation.

- ❖ **Dislocated worker status**—Designate a learner as dislocated if he or she has been laid off of a job or has received notice of impending layoff. Obtain this information from self report or documentation.

- ❖ **Learning disabled adult**—Designate a learner as a learning disabled adult if he or she has deficits related to neurological impairments in capacity in defined limited areas related to learning. Obtain this information from self-report or documentation.

Procedures for Collecting Participation Measures

The NRS participation measures are contact hours and program enrollment type. Teachers or other program staff typically collect contact hours and consequently the NRS requirement for reporting these hours should have little impact on existing procedures. Local programs have also collected program enrollment type, usually at intake. The collection of this measure allows student demographics and outcomes to be examined separately for the special program types designated in the measure (e.g., workplace and family literacy).

Contact Hours

Contact hours are the number of instructional hours the learner receives. All time the learner spends in a program-sponsored activity designed to promote student learning in the curriculum should be counted. Activities to count include: time in class receiving instruction; time in a learning lab, such as a computer lab; time spent with a program-sponsored tutor; and time on assessment activities, including initial assessment and follow-up tests, such as post-tests. Time should be reported as total hours, rounded to the nearest whole hour. Note that time spent on assessment can be counted only if the assessment is designed to inform placement decisions, assess progress or inform instruction. Time used to take the GED tests, for example, should *not* be counted as instructional activity.

Teachers or other instructional staff in the classroom are normally responsible for recording attendance hours, although students can also directly record their attendance through a classroom log. Attendance should be recorded individually for each student every time the class meets and for all adult education classes in which the student is enrolled.

Teachers should submit contact hours on a regular basis for entry into the program's data management system. Frequent reporting, such as weekly or monthly, is recommended to reduce the possibility of error. States are responsible for setting and verifying procedures for reporting contact hours.

Program Enrollment Type

Indicate the program component in which the student is enrolled. This designation allows for separate analyses of students enrolled in individual program areas. Note that ABE, ASE and ESL enrollments s implicitly recorded through placement in an educational functioning level. Enrollment in other program components must be explicitly recorded.

- Adult basic education (ABE)
- Adult secondary education (ASE)
- English as a second language (ESL)
- Family literacy
- Workplace literacy

- Program for the homeless
- Correctional facility
- Community corrections program
- Other institutional program.

Collecting the NRS Follow-up Measures

The NRS follow-up measures are outcomes that students may achieve at some time following participation in adult education. Both the required core measures and optional secondary measures include follow-up measures, which are:

Core Follow-up Measures

- Entered employment—whether the student obtained a job.
- Retained employment—whether the student remained in the job.
- Receipt of a secondary school diploma or GED certification.
- Placement in postsecondary education or training.

Secondary Measures (Optional)

- Reduction in receipt of public assistance—whether the student's TANF or other public assistance was reduced or eliminated due to employment.
- Voting behavior—whether the student registered to vote or voted for the first time.
- Involvement in children's education—such as involvement in school and helping with homework.
- Involvement in children's literacy activities—such as reading to children.
- Involvement in community activities—such as volunteering to work on community projects or joining community groups.

Note that the secondary, optional measures may also be collected through direct program report methodology if the local program obtains the information while the student is still enrolled.

It is not necessary to collect all of the follow-up measures on all students. Students' primary and secondary goals indicate which follow-up measure applies to them. For example, the entered employment measure only applies to students whose goal was to get a job, while measure of receipt of a secondary school credential would only apply to learners for whom attainment of this outcome was a goal. However, depending on the follow-up methodology, it may be easier to collect all measures on all students and then later match outcomes with goals through the program's management information system. The decision on which procedure to use is left to state discretion.

The NRS offers two methodologies for collecting these measures: a local program follow-up survey and data matching. The local follow-up survey is a survey conducted on all or a random sample of learners in each of the state's adult education programs. Local programs, the state or a third party contractor conducts the survey on learners who had a goal of obtained employment in the first quarter after the exit quarter for the employment measures. Retained employment is collected in the third quarter following exit. The other follow-up measures may be collected any time up to the reporting deadline (December 31). States can also use the local survey to collect the secondary outcome measures.

The second methodology is data matching. Under this approach, agencies serving common adult education clients, such as education, labor, human service and higher education, pool their data and student records are matched on the pooled databases using Social Security numbers. The matched data can identify which adult education students achieved the core outcomes—such as obtained or kept a job, placement in postsecondary education or obtained a secondary school credential. States can also use data matching to collect the secondary measure of reduction in welfare benefits.

Within the NRS, *states may use either methodology to collect follow-up measures or a combination of the two methods*. For example, measures of GED attainment could be collected by data matching and the remaining measures could be collected by survey. The following section describes the general requirements or models for employing the two methods, including a model procedure for conducting the survey and data matching models. Appendix B also contains model surveys and guidance on how to conduct a survey.

Guidance for Conducting the Local Follow-up Survey

Section 231(e)(2) of WIA requires that the states assess local program performance on the core WIA indicators, which are the four NRS core follow-up measures. Consequently, *states must obtain these measures on students in each of their adult education programs.* States electing to collect follow-up measures through a local survey (as opposed to data matching) should followed the procedures summarized below. Consult *Guidelines for Conducting the Follow-up Survey* for more detail on survey procedures.

Universe or Sample Survey

It is advisable to include all students in a follow-up survey—that is, programs should include the *universe* of learners. For the programs serving large numbers of students with follow-up outcome goals, however, the NRS does allow states the option to include a sample of these learners in the programs for the survey.

Sampling a group of students can be much less expensive than a universe survey, but is problematic to the degree that the response from the students to the survey is expected to be low. Sampling creates a degree of uncertainty or error in the findings from the survey – known as sampling error – which becomes quite large if response rate is low. Consequently, the lower the response rate, the more difficult it is to make an estimate of the true value of the outcome measure for all students. Since the response rate for adult education students is expected to be low, including the universe of learners in the survey rather than a sample is advantageous, since without samplng there is no sampling error. However, since most states and adult education programs have minimal resources to conduct a survey, the number of students to include needs to be kept a to a minimum, making sampling attractive for large programs.

With these considerations in mind, the NRS guidelines are for programs *not* to sample students, but to *survey all students in each outcome goal area that has 300 or fewer students.* That is, all students should be identified by goal area (entered employment, retain or improve employment, enter postsecondary education, obtain secondary credential) and if the total number of students for any outcome is 300 or less, *all* students in that group should be surveyed to determine whether they have achieved the appropriate outcome.* The minimum acceptable response rate for the survey is 50 percent. Programs may sample students for the survey for any outcome group that has more than 300 students exiting during the year and must also achieve a 50 percent response rate.

For example, if a program has 200 students with a goal of obtaining employment, all of these students who exit are to be followed to determine whether they obtained employment in the first post-exit quarter. If that same program had over 300 students in other follow-up goal areas, the program has the option to survey all of these students or to draw a sample of them. In both cases, the program must achieve at least a 50 percent response rate.

Time Period for Conducting the Survey

The survey may be conducted by the state, local programs or a third-party contractor, as long as a program-specific sample is used. The entered employment measure must be collected on students by the end of the first quarter after the exit quarter for students who leave the program. A job obtained while the student is enrolled can be counted for the entered employment measure, but is reported in the first quarter after the student exits. Retained employment must be collected on students who had an employment goal and obtained a job by the end of the first quarter after exit (including students who obtained a job while enrolled), and students who were employed at enrollment and had a goal of improved or retained employment. This measure should be collected in the third quarter following the exit quarter on these students.

Note that retained employment is not reported for students exiting in the third or fourth quarter of the program year (i.e., quarters ending March 31 and June 30). Since retained employment is measured in the third quarter after exit, there is insufficient time in the reporting period (ending December 31) to survey these students. States should report data only for the first two quarters. The percentage of retained employment found in these two quarters is assumed to reflect the entire year.

Exhibit 5 summarizes the times in which data are to be collected, and the student population to which each core follow-up outcome measure applies. Students who enroll with a goal of obtaining a job must be surveyed in the first quarter after the exit quarter to determine whether they obtained a job. These students who obtain a job, and students who were employed at enrollment and had a goal

* For entered and retained employment, only students who exit are included. For the other follow-up measures, all students with follow-up outcome goals should be included in the follow-up for program year 2000. However, beginning July 1, 2001, only students who exit during the program year should be included in the follow-up.

of improved or retained employment, must then be surveyed in the third quarter after exit to determine whether they are still employed. There are no time periods tied to the other follow-up measures and they may be collected at any time until the end of the reporting period (December 31).

Since the entered and retained employment measures are tied to calendar quarters, the simplest time to conduct the survey is quarterly. If quarterly collection is conducted, the survey should begin no sooner than the last month of the quarter and be completed within three months (one quarter). The attainment of postsecondary credential and entering postsecondary education measures are not time-bound, so while they can be collected at any time during the reporting period, the easiest option is to also collect them by quarter. The program or state should determine the optimal time to collect these measures. For example, it may be advisable to collect the entry into postsecondary measure in the fall quarter when most students enter community college. If there are scheduled times when the GED tests are given, the program could measure that outcome for students with the secondary credential goal around that time. It is recommended that equal numbers of students be surveyed each quarter. For example, if 300 students are to be surveyed, about 75 students should be surveyed each quarter.

While quarterly data collection is strongly recommended, states may set other times to conduct the survey, if they are more convenient or cost-efficient. For example, the program could conduct continuous, ongoing surveys or could conduct the survey biannually (such as in December and June). However, the time lag to contact students after they exit the program should be as short as possible. The longer the time, the lower the response rate (since some students will move) and the less valid the data are likely to be.

Exhibit 5
Student Population and Collection Time for Core Outcome Measures

Core Outcome Measure	Student Population to Include	Time Period to Collect Measures
Entered employment	Learners unemployed at entry with employment goal	First quarter after exit quarter* employment while enrolled.
Retained employment	Learners unemployed at entry with employment goal who obtain a job during first quarter after exit; and learners employed at entry with a goal of retained or improved employment	Third quarter after exit quarter; or third quarter after student obtained a job, if job obtained while enrolled. Not measured for students exiting the third or fourth quarter of the program year.
Placement in postsecondary education or training	Learners with a goal of entering postsecondary education or other training	Any time to the end of the reporting period (December 31).
Receipt of secondary diploma or GED	Learners with a goal of obtaining a secondary diploma or passing GED tests	Any time to the end of the reporting period (December 31).

**Exit quarter is the quarter when the learner completes instruction or has not received instruction for 90 days and has no instruction scheduled. A job obtained while the student is enrolled can be counted, but is reported in the first quarter after exit quarter.*

Methodology

Surveys are conducted by mail, telephone or through an in-person interview. The latter option is extremely costly and is not feasible for adult education programs. A mail survey, while inexpensive and very easy to administer, normally produces an unacceptably low response rate—typically around 10 percent. Consequently it is highly recommended that local programs conduct the follow-up survey by telephone. The telephone survey may be supplemented with a mail survey and by information collected while the student is enrolled. For example, programs could supply students who had an employment goal with a postcard to return when they obtain a job, or the teacher could obtain this information while the student is still enrolled. Programs may conduct only a mail survey, at the state's option, if a 50 percent response rate can be achieved.

It is very important to the success of the survey that students know they may be contacted later and asked about their outcomes. In addition, one of the problems in conducting a survey is finding the students after they leave the program. It is critical to the survey validity that all students in the survey are located, especially if sampling is used. For this reason, programs should inform students upon entry into the program about the survey and collect extensive contact information about them, such as addresses and phone numbers of relatives or others who may know the students' whereabouts over time. In addition, students should be encouraged to provide new addresses and phone numbers when they move and programs should implement procedures to update this information periodically while the student remains enrolled. These procedures will greatly assist locating students months later when the survey is conducted.

Appendix B describes model procedures for conducting a telephone survey designed to collect the NRS follow-up measures. The model is offered as guidance to states in designing and conducting the follow-up survey. *The procedures are not required, however, and states are encouraged to develop their own procedures for conducting the survey,* as long as they meet NRS requirements, conform to accepted scientific practice in the conduct of surveys and result in a sample of sufficient size to make meaningful inferences.

Survey Reporting

The state must report to the U.S. Department of Education (ED) the overall state percentage of students who achieved each of the follow-up outcomes. As required under WIA, ED will report these measures to the Congress as indicators of the overall performance of the adult education program. The measures are also one factor that ED will use to determine the state's eligibility for incentive awards available under WIA.

To compute the state overall measures for each outcome, the state will have to aggregate each of the measures from every local program to compute a state average. Each local program must report the following information to the state to enable computation of the state average.

- Total number of students in each outcome group served during the year (for employment measures, the number who had an employment goal and exited. Beginning in the program year that starts July 1, 2001, report only the exited students for all follow-up measures.);
- If the program sampled, the total number of students sampled;

- Number of students who responded to the survey (the realized or actual sample size) and the response rate; and
- The percentage of students achieving each outcome.

Using the individual program percentages, the state must compute and report the weighted state average on Table 5 (see Chapter V). See the NRS document *Guidelines for Conducting the Follow-up Survey* for complete information about conducting the survey and reporting the results.

Guidance on Data Matching

Data matching refers to the procedures where two or more state agencies pool and share data on a common group of participants. The data consist of individual student records collected by each of the agencies that can be linked through a common identifier, typically a Social Security number. Matching the pooled data using the common identifier produces a new individual student record or an aggregated 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 their program on participants and to obtain data to meet their reporting and accountability requirements.

Data matching methods are particularly well suited for studying outcomes that occur some time after program participation. For example, wage record information systems have been used to study the outcomes of vocational education and employment programs. The WIA requires job training programs funded under Title I to use a data matching methodology to obtain the required employment outcomes. For the NRS, this methodology holds considerable promise for studying the core follow-up measures. Among the reasons making it attractive are its cost relative to surveys, decreased data collection burdens, and increased data validity.

The first major advantage of data matching is that it is significantly less costly than the local survey methodology. The cost 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. Further, this cost can be divided among the participating agencies.

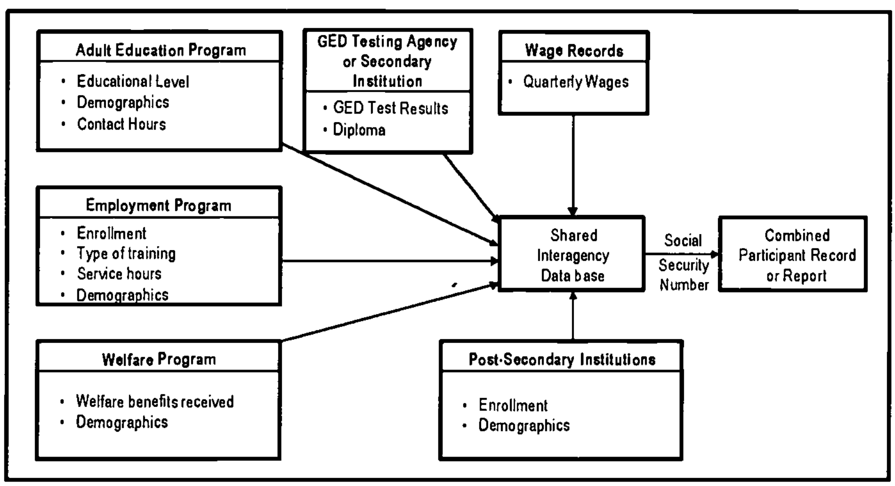
The second major advantage of data matching is reduced data collection burden. At the local program level, staff no longer needs to conduct survey procedures. Local programs would collect only the demographic, participation and educational functioning level information. Matching is then done at the state level. Finally, matched data are likely to be more valid than those collected through surveys, which are self-reported data. Some former students may not be truthful about whether they obtained a job, for example. The wage or unemployment record database, however, would reveal whether students are working. In addition, response rates for surveys are typically low, so that no information is available on a substantial percentage of students. With data matching, considerably fewer students are missed, provided each agency has valid Social Security numbers. However, the need for Social Security number makes data matching problematic in some states due to confidentiality issues. Some states have laws against interagency sharing of Social Security numbers and some students are reluctant to give such information to government agencies.

Data Matching Models

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

There are two data matching models. Under the central data processing or *data warehousing* model, each agency submits its individual client records containing the data to be shared to a central source (either a contractor or in-house agency). This central agency combines the information into a single data pool and eliminates record duplication using Social Security numbers. 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 level although individual data reporting can be produced. Local program providers can also request reports through their agencies. Exhibit 6 shows this model of data matching.

Exhibit 6
Example of Shared Interagency Data Base—Data Warehouse



Under a second, decentralized or *data harvesting* model of data matching, each agency maintains its own data records and each separate agency requests matches from the agency with the needed data. To match with an outside agency, the requesting agency sends records containing Social Security numbers and other data needed for the analysis to another agency, along with the format of the data tables needed. The other agency makes the matches and reports the data in the requested format. For example, to obtain the GED test results of students, the state could send the Social Security numbers of students who had a goal of passing the GED tests, along with demographic and program information, to the state agency that does GED testing. The testing agency would match the records to produce a report on the number and characteristics of students who passed the GED tests. The state could then use this information in its annual NRS reporting.

For both types of data matching, incorrect or missing Social Security numbers affects the availability of data. This problem can be substantial if students refuse to provide their Social

Security number or provide incorrect numbers. Legal barriers to collecting Social Security numbers also pose a significant barrier to this methodology. Another serious problem affecting data analyses with data matching is the time lag from the end of the reporting period until when the data are available. It often takes two or more quarters for all of the data to be available in agencies. In states using data matching, the time lag ranges from one quarter to a year. For example, if a student leaves the program in February, the entered employment outcome would need to be measured in the next quarter (April–June). However, if the time lag is two quarters, that student's entered employment could not be determined until the first quarter of the following calendar year.

Implementing Data Matching

Several states currently use data matching procedures to collect outcomes on adult education students. This section provides a discussion of some of the major issues that need to be addressed to develop data matching to collect the NRS follow-up measures. Further information on developing data matching is available in *Report on the Pilot Test of the National Reporting System.*

Data matching arrangements are difficult to establish and require considerable time to implement. The states using data matching took from two to over five years to implement the process. Crucial to implementation of the methodology is an interagency planning process with individuals committed to seeing the system development. This process is successful when political concerns are kept out of the planning and development. Another essential ingredient is for each agency to have an automated, 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 can produce information in a common format to allow data matching.

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

- the need for common outcome and measure definitions,
- the need to address concerns about data confidentiality, and
- the need for high quality training and technical assistance.

The MIS must have common definitions for measures that will be shared. Agencies with jurisdiction over different types of programs (for example, Departments of Labor and Education) must provide data that are based on common understandings of the measures. Furthermore, agencies within a single department (for example, community colleges and local education agencies) must also use common definitions. Care must be taken, however, to ensure that the definitions agreed upon maintain their fidelity with the mission of the program. If common agreement on common definitions cannot be reached, each agency must understand what the other definitions are and must be able to accommodate these differences in interpreting the data. For example, if "program completion" is a common data element, each agency must use the same definition or must have an understanding of what the other definitions are and interpret the data accordingly.

The issue of confidentiality looms large over data matching procedures. States using data matching had to resolve the prohibition about sharing Social Security numbers across agencies. States have resolved these difficulties by defining the data matching as research, by allowing only aggregated reporting so that individual students cannot be identified, and/or by obtaining a waiver or permission from students.

Many states have laws against not only sharing Social Security numbers, but against sharing educational records. These barriers must be resolved legally before data matching can become a widely used methodology for the NRS.

Finally, a great deal of 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 on measure definitions, data collection and reporting, and data use. Such training also produces buy-in to the whole data collection and analysis process and can help "convert" teachers, local staff and other stakeholders who might be skeptical about the usefulness of the system. The training can also provide local providers with an idea of how the data are used at the state level, as well as how they can use it to improve their program.

QUALITY CONTROL GUIDANCE

The data in the NRS are only useful if they are *valid*—measure what they are supposed to measure—and *reliable*—collected in the same way by different people and at different locations. To obtain valid and reliable data, the data collectors 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 section provides a brief overview of quality control methods that can be implemented prior to data collection, during data collection and following data collection.

Prior to Data Collection: Training

Within the NRS, the data collectors are local program staff. It is thus critical to the success of the NRS that teachers and other local staff involved in collecting and reporting data be provided staff development on the NRS. This training should occur prior to the implementation of the NRS and should be ongoing, so that initial and follow-up training is available and training is available for new staff. Critical topics for training include definitions of measures, completing reporting forms, conducting assessments and follow-up methods.

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

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

Quality of data will also be enhanced if there are resources available, including state or other local staff for local programs to consult when questions or difficulties arise. Through the NRS, DAEL has developed a Web-based training site, *NRS Online*, to assist states in training local staff.

Quality Control During Data Collection

During the data collection process, there are four mechanisms states and local programs can implement that can 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 is to be collected and reported should also be determined. Incorporating these procedures formally into staff job responsibilities will also enhance the likelihood that staff performs them.

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

Reporting data in a timely manner—according to a fixed, regular schedule—is a third factor to 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 management information system as frequently as possible. For example attendance should be reported weekly or monthly. For reporting to the state, monthly or quarterly reporting is highly preferred. If the time lag for reporting data is too long, the data will not be reported completely, as staff will have a tendency to put off data reporting until the deadline. The result will be a high degree of missing and possibly false data. Another reason for frequent reporting is that errors or problems will be identified and can be corrected on an ongoing basis. If data are reported only once or twice a year, it would not be possible to identify errors before it was too late to correct them.

Finally, frequent contact with staff that collects data and spot-checking of their data will also assist in ensuring quality data. A state or local staff member knowledgeable of 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 non-punitive, and viewed as a form of technical assistance. With this approach, staff is less likely to try to hide problems or cover-up mistakes.

Quality Control Following Data Collection: Auditing

States should conduct formal audits of local program data to determine data quality and ensure that data procedures have been followed. States can perform data audits as part of regular monitoring visits or should schedule them separately. A sample of programs can be selected for monitoring annually. Since auditing is done on already collected data, findings from the audit will identify problems and technical assistance and training needs that will alleviate the problems in the future.

During the monitoring visit, a sample of records should be drawn and examined for completeness and accuracy. If possible, written records should be compared with information that is in the program's management information system to ensure correspondence between the sources. Data collection staff should be interviewed on procedures, particularly on how they deal with missing and incomplete information, data entry procedures and reporting times. Another procedure is to verify data on currently enrolled students by selecting a sample of students to interview to determine whether information in the program's database is accurate. Monitors should also review the program's assessment and follow-up procedures to ensure they comply with state policy. Exhibit 7 summarizes the guidance on quality control presented in this section.

Exhibit 7
Summary of Quality Control Guidance

Prior to Data Collection: Training

- Initial training of all staff on NRS definitions and procedures
- Training on state reporting forms, assessment and follow-up policies
- Training on using data for program management and improvement

During Data Collection

- Organized data collection and reporting procedures with specific staff responsibilities
- Sufficient resources and time provided—a valued activity
- Regular, timely reporting of information
- Proactive outside monitoring and assistance

Following Data Collection: Auditing

- Periodic auditing of records and procedures
- Interviews with students
- Interviews with data staff

Quality Control: Implementation Checklist

To assist states in auditing NRS implementation, Exhibit 8 summarizes the systems and procedures required in six areas for collecting quality data. The exhibit is organized as a checklist that states can use to review state and local program procedures. State and local programs can also use the checklist as a self-assessment tool to identify areas of strength and weakness in implementation of NRS requirements and procedures.

- **Student intake and orientation.** Since identification of student goals or reasons for attending is critical to the collection of NRS follow-up measures, local programs need to have included in their intake process procedures for identifying student goals. Intake procedures also should include an explanation to the student that the program may survey them to determine whether they met their goals.

- **Student assessment.** As explained in Chapters II and IV, states must establish statewide, uniform assessment procedures. A review of local programs should include whether they are

Exhibit 8

NRS Implementation Checklist for Quality Control

Student Intake and Orientation

- Goal setting procedures for identifying student goals related to core measures have been developed
- Procedures for informing students of follow-up procedures have been developed, including use of Social Security numbers, if applicable

Student Assessment and Outcomes

- State has established procedures for student assessment that specify:
- type of assessment and
- criteria for conducting post-test assessments (e.g., time)
- Assessments are valid and appropriate for the population being tested and the instructional approach
- State has identified NRS secondary (optional) measures to include, if any

Student Record Keeping

- Electronic individual student record system in place
- System organized in a relational database to allow for:
- Disaggregation to instructional site or classroom level
- Identification of individual students by goal for follow-up
- Edit checks for test scores and other data integrity
- System capable of producing required federal state and local reports
- System capable of conducting analyses for program improvement
- System capable of being used in interagency data match, if appropriate

Data Collection Policy and Procedures

- Data collection procedures for demographic, assessment and attendance have been established
- Clear description of staff roles and responsibilities in data collected have been delineated
- Sufficient fiscal resources have been budgeted
- Data reporting timeline (quarterly or more frequently) has been established
- Follow-up strategy (data matching or survey) has been identified
- Quality control procedures (such as onsite data checks) have been established

Using Data

- Plans for how data are to be used have been developed
- Formats for reporting have been established
- State and local staff use data for program planning and improvement

Staff Development

- Staff have been trained in data collection procedures and using data
- Mechanisms for ongoing support have been established
- A system for ongoing professional development on data procedures has been established

following these procedures appropriately, including using appropriate assessments and post-testing at state designated times.

- **Student record keeping.** Local programs should have individualized student record systems, organized to allow analyses of student, program, site and ideally, class differences. Data procedures should include edit checks for data integrity and systems should be capable of producing state-required reports.

- **Data collection policy and procedures.** Local programs need efficient, well-organized procedures for collecting, entering and reporting data. Procedures should include clear designation of staff responsibilities, budgeting of appropriate time and resources, and clear timelines (monthly or quarterly) for data entry and reporting. There should also be similar procedures at the state level.

- **Using data.** Effective data collection processes work well when there is a clear understanding of how the data will be used. States and local programs need plans for using the data not only for reporting, but also for their own program improvement efforts. Appropriate reporting formats and procedures should also be in place.

- **Staff development.** States and local programs should train staff at all levels in data collection procedures and the reason for them. A system of ongoing training needs to be in place due to staff turnover.

Chapter V. NRS Reporting

Collection of NRS data 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. Sections 212(c), 231(e)(2) and 212(a) explicitly identify these purposes in stating the reasons and uses for the program accountability system. States must report their performance levels on the core measures to the U.S. Department of Education, use the measures to assess the effectiveness of local programs and to promote continuous program improvement.

This chapter provides general guidance on establishing a statewide student reporting system that will allow states to meet WIA requirements. The guidance includes a brief summary of the 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. Concluding this chapter are tables for reporting NRS data to the Federal level.

General Software Requirements

To meet NRS requirements, *each local program must use an automated individual student record system* to enter NRS data. The software of 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 must also 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 will produce the Federal tables.

The NRS 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 in selecting software. Training and technical support issues related to software should also be factors in the decision on what software to use, as should the overall cost of developing and maintaining the system. Exhibit 9 offers guidance on selecting software.

States should also consider whether software should be distributed individually to each local program or centrally maintained and used via the Internet. Centralized approaches make changes and enhancements to the software easy to implement and eliminates local reporting, since data are directly entered into a central computer. However, central data approaches are often more costly to develop and are dependent on using the Internet. Delays in Internet service may frustrate local users.

Data Structure and Inputs

The software system should allow local programs to enter and retrieve their own data for individual students and to be most useful, the data should be organized by site and class. Exhibit 10 shows the recommended data structure for NRS reporting and analysis. This structure allows programs to examine student outcomes by individual class, by site and for the program overall, and thus provides the greatest ability to examine the relationship among instruction and other program components and student outcomes.

Exhibit 9
Guidance for Selecting Student Record Software for the NRS

Issues in Choosing Software

Programs shopping among the various choices for student record software should consider:

- 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; and
- The various ways that the software allows the program to use data, including reporting, data analysis, and program planning functions.

System Design

- *Software issues*
  - What is the cost of the software?
  - Does the software rely on any other software packages in order to function (e.g., Microsoft Access)? Do local programs have this software?
  - What operating system environment is most appropriate for the software (Windows 98 or 95, Windows NT, OS/2, etc.)? Is this the system your local programs use?

- *Hardware issues*
  - Do your local programs and sites have computers that are powerful enough and have enough memory to run the software (e.g., Pentium-based computers, rather than 486-based machines)?
  - Is the software available for PC, Macintosh, or both? Are the data sets interchangeable in a mixed-environment setting?

- *Usability issues*
  - Is the software "user-friendly" or intuitive?
  - Do potential users appreciate the appearance of the software?
  - Can you customize the software to meet your needs?
  - Does the software include the *specific* measures, coding categories, and data elements needed by the program?
  - Can the software be used for multiple years—are its archives accessible from year to year, or are only the current year's records available?
  - Can you use the software in a network environment?
  - Does the software allow security, such as by limiting access or functionality to specific types of users (e.g., password protection, ability to hide sensitive data elements)?

Exhibit 9 (Continued)
Guidance for Selecting Student Record Software for the NRS

Training and Support

- Does the vendor offer training and/or support? What are the mechanisms of training and support available?
- What is the cost of training or support?
- Does the software have documentation, such as a user's manual? Is the manual helpful and easily understandable? Does it provide useful information?
- 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

The ease of entering data into the software can also be an effective way of differentiating among software packages.

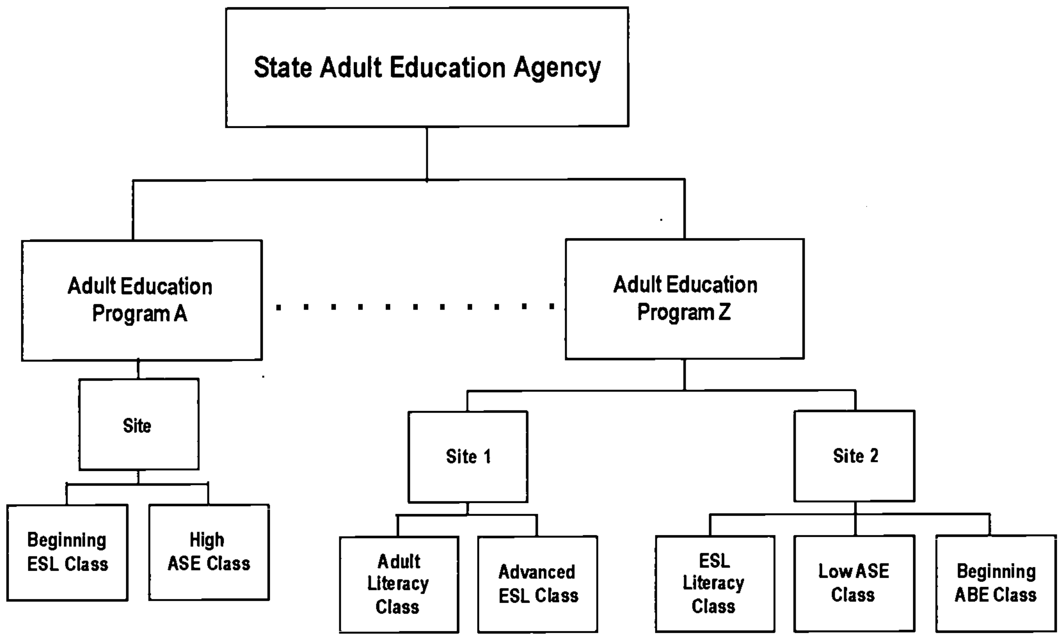
- Are data keyed in manually or can it be scanned into the system?
  - Is any extra hardware or software necessary for scanning? Can these be leased, or must they be purchased? Do all workstations operating the system need these add-ons?
  - What scanning mechanism does the software system support (e.g., scantron or bubble forms, text scanning).
- 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 multi-site 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 (for example, spreadsheets or other databases)? What formats does the software require for imports?

Using the Data

Programs should consider how they use data (i.e., for accountablity, program improvement, or program evaluation) and whether or not 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 (for example, spreadsheets or other databases)? What formats does the software use for exports?

Exhibit 10
Recommended Database Organization for NRS Reporting and Analysis



The state and local systems must include, at a minimum, the NRS core measures and the coding categories applicable to these measures. Exhibit 1 in Chapter I summarizes the definitions and categories and Chapter II provides greater detail on all the measures. In addition to the core measures, states that use the secondary measures should include these measures and categories, along with any other measures the state needs for its own uses. In addition, states and local programs may add coding categories for any core and secondary measures, as long as the NRS categories can still be reported. For example, states may use additional functioning levels, categories for ethnicity or student goals. To use NRS data to evaluate program performance and promote program improvement, the system must also include other measures, such as information about classes, instructors and program staff.

Reporting Capabilities

Equally important to the system 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 on the core measures. To create this report, the software of each local program must have the capability to create these reports for the program overall 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. States may elect to use either option.

While Federal reporting requirements are relatively simple, under WIA states need to use NRS data for more extensive purposes. WIA requires states to evaluate each local program's performance on the outcome measures and requires that states address the needs of specific subpopulations, such as the low income students or adults in family literacy programs. To obtain this information, the software system must have the capability to report by individual program and student populations.

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. While most software systems commonly include such data elements, the reporting of this information in a form amenable to program performance evaluation can be problematic unless this capability is built into the system initially.

Exhibit 11 presents examples of the types of tables the software should be capable of producing. The first three tables in the exhibit show educational advancement by incoming educational level, program area and class. State and local administrators could use these tables for assessing program performance standards on this measure and to examine which types of students in which classes advance at higher rates. The fourth table in the exhibit offers an example of the type of report needed to examine individual class data. In this example, student performance is compared to full-and part-time instructors and whether the instructor has had staff development.

Federal Reporting Tables

NRS data are to be reported annually to the Division of Adult Education and Literacy (DAEL) by each state in aggregate form. DAEL has developed reporting tables for this purpose. These tables, which follow this section, have been revised by DAEL reviewed and cleared within the Federal government. Instructions on completing each table are included with each table.

Several optional reporting tables are provided to allow for separate reporting about special populations on the core indicators. For example, tables for workplace and family literacy participants provide a picture of how their participants performed on core and secondary measures. States are encouraged to examine the performance of other target subpopulations separately.

Two new optional tables are included for the 2001-2002 program year. Table 4A, added at the request of several states, allows states to record the number of students who advanced more than one level during the program year, in addition to the number of students who advance one level. Table 4B was developed to allow DAEL to examine level completion and advancement separately for students who receive both pre- and posttests during the program year. In contrast to the required Table 4, which includes all students, states may report data in Table 4B only on students who take *both* a pre- and a post-test. These data allow DAEL to compare the impact of including all students with only pre- and post-tested students on educational gains performance levels. Table 4B also includes the aggregate number of contact hours by level for the group of pre-and post-tested students who advanced. These data will provide an indication of the average amount of instructional time it takes for students to advance each level.

In addition to data tables, DAEL requires states to submit a narrative report and a financial report detailing expenditures. States receiving funds under the EL Civics program must complete a separate financial report for the funds. Forms and instructions for both of these financial reports are also in the following section.

States are required to submit the reporting tables six months after the end of the program year (December 31). In the future, DAEL will require electronic submission of the tables, will update the current reporting software and publish the software technical format when it is available.

Exhibit 11
Sample Tables for Examining Program Improvement and Program Effectiveness

Educational Advancement Information

Initial Class Level	Number Recommended for Advancement	Percentage of Students Advancing by Level	Avg. Contact Hours/Student Before Advancement
Beginning Literacy	21	12 %	61
Beginning ABE	41	17 %	48
Low Intermediate ABE	51	36 %	39
High Intermediate ABE	47	43 %	40
Low ASE	23	38 %	38
High ASE	12	60 %	50
All Levels	**195**	**26 %**	**46**

Educational Advancement by Program Area

Program	Number Enrolled (all levels)	Number Recommended for Advancement	Percent
ABE	225	58	26 %
GED	265	84	32 %
ESL	197	33	17 %
Family Literacy	49	7	14 %
Workplace Literacy	86	13	15 %
All Programs	**822**	**195**	**24 %**

Educational Advancement by Class

Class	Percent Advancing	Pre-Test Score Range	Avg. Contact Hours Before Advancement
Beginning Literacy Class 1	14%	162-204	60
Beginning ABE Class 1	17%	199-214	51
Beginning ABE Class 2	24%	201-212	59
Low Intermediate Class 1	22%	209-222	44
Low Intermediate Class 2	31%	212-219	39
High Intermediate Class 1	26%	219-233	42
All Classes	**22%**	**162-233**	**49**

Exhibit 11 (Continued)
Sample Tables for Examining Improvement and Program Effectiveness

Instructor/Class	Low Intermediate Level				Instructor		Participated in Professional Development on Reading		Observed Using New Strategies	
Name	Pre-Test	Post-Test	Gain	Hrs. Attended	Full-time	Part-time	Yes	No	Yes	No
Barbara Acosta Class #1					✓		✓		✓	
Angeles, January	212	220	+8	87						
Arrendondo, Myra	215	221	+6	90						
Cassat, Mary	214	218	+4	84						
Cheswick, Jennifer	211	208	-3	72						
Dietrich, Greta	211	216	+5	84						
Farrar, Allison	213	220	+7	78						
Fox, David	211	214	+3	90						
Galvan, Bertha	217	222	+5	87						
Gibson, Corey	215	223	+9	87						
Hadji, Hassan	214	214	—	81						
James, Brad	212	209	-3	75						
Martinez, Juan	214	220	+6	87						
Mulligan, Ivor	218	228	+10	93						
Simone, Michael	216	225	+9	81						
Average	**213.8**	**218.4**	**+4.4**	**84.7**						
Stephanie Cronen Class #2						✓	✓			✓
Azzam, Rima	213	217	+4	81						
Bashir, Lubna	218	223	+5	84						
Burnaska, Kristine	211	214	+3	84						
Carl, Brad	216	220	+4	75						
Escudero, Jaime	215	218	+3	84						
Hernandez, Maria	215	213	-2	72						
Patapis, Vicky	217	223	+6	90						
Portal, Natalie	219	224	+5	87						
Rhodes, David	212	210	-2	78						
Rodriguez, Hector	216	215	-1	78						
Sauti, Christina	214	213	-1	72						
Soden, David	217	221	+4	81						
Thompson, Terry	211	216	+5	84						
Average	**214.9**	**217.5**	**+2.5**	**80.8**						

Exhibit 11 (Continued)
Sample Tables for Examining Improvement and Program Effectiveness

Instructor/Class	Low Intermediate Level				Instructor		Participated in Professional Development on Reading		Observed Using New Strategies	
Name	**Pre-Test**	**Post-Test**	**Gain**	**Hrs. Attended**	**Full-time**	**Part-time**	**Yes**	**No**	**Yes**	**No**
Ben Martinez Class #3					✓		✓		✓	
Carras, Peter	215	221	+6	87						
Cross, Kevin	215	220	+5	90						
Gibson, Freddy	214	218	+4	84						
Gilles, Alexander	217	225	+8	90						
Hawkins, Calvin	213	219	+6	90						
Menendez, Fernando	211	211	+7	81						
Naval, Maricris	216	222	+6	84						
Perez, Maria	212	215	+3	87						
Pescador, Molly	213	211	-2	87						
Sussman, Tara	216	220	+4	78						
Voight, Janet	212	213	+1	84						
Woodruff, Darren	211	214	+2	93						
Average	**213.8**	**217.4**	**+4.2**	**86.3**						
Karen Hunt Class #4						✓		✓		
Aladjem, Daniel	219	220	+1	78						
Best, Clayton	213	213	—	84						
Cole, Mark	216	221	+5	87						
Cullen, Andrew	211	212	+1	84						
Diaz, Rafael	217	221	+4	81						
Ferrara, Steve	214	215	+1	81						
Flores, Bernardo	212	211	-1	75						
Gomez, Rosa	215	215	—	78						
Gonzales, Jesus	213	211	-2	75						
Gruner, Allison	212	215	+3	78						
Mejia, Brenda	211	211	—	75						
Siegel, Janna	211	210	-1	81						
Snow, Stephanie	214	212	-2	84						
Weidler, Danielle	213	217	+4	87						
Average	**213.6**	**214.6**	**+0.9**	**80.6**						

Exhibit 11 (Continued)
Sample Tables for Examining Improvement and Program Effectiveness

Instructor/Class	Low Intermediate Level				Instructor		Participated in Professional Development on Reading		Observed Using New Strategies	
Name	Pre-Test	Post-Test	Gain	Hrs. Attended	Full-time	Part-time	Yes	No	Yes	No
DeWan Lee Class #5						✓	✓		✓	
Cohen, Crecilla	215	224	+9	90						
Cruz, Michelle	213	211	-2	75						
DelBorello, David	213	220	+7	90						
Dowling, Erinn	214	220	+6	93						
Jiang, Tao	211	217	+6	84						
Miller, Patricia	216	215	-1	81						
Nesbitt, Daphne	212	218	+6	87						
Quinones, Sherrie	212	220	+8	84						
Ramirez, Kevin	215	217	+2	83						
Rivera, José	215	215	—	78						
Sims, Anthony	212	211	-1	78						
Taylor, Jessica	218	223	+5	90						
Average	**213.8**	**217.6**	**+3.8**	**84.4**						
Feng Yu Class #6						✓	✓			✓
Braswell, James	215	215	—	78						
Carpenter, Daniel	215	221	+6	90						
Garcia, Anna	212	216	+4	87						
Hall, Pamela	213	212	-1	78						
Harper, Sterlina	216	220	+4	81						
Lopez, Mario	215	219	+4	83						
Mesmer, Eric	214	214	—	81						
Olson, Krista	219	222	+3	81						
Rodi, Chad	213	216	+3	84						
Sanchez, Anthony	218	222	+4	87						
Tanaka, Laurel	217	221	+4	78						
Wagner, Susan	211	216	+5	87						
Young, Eboni	211	216	+5	84						
Average	**214.5**	**217.7**	**+3.2**	**83**						

Exhibit 11 (Continued)
Sample Tables for Examining Improvement and Program Effectiveness

Instructor/Class	Low Intermediate Level				Instructor		Participated in Professional Development on Reading		Observed Using New Strategies	
Name	Pre-Test	Post-Test	Gain	Hrs. Attended	Full-time	Part-time	Yes	No	Yes	No
Jennifer Lewis Class #7					✓			✓		
Baldi, Stephane	211	211	—	78						
Dwyer, Kevin	211	213	+2	87						
Honegger, Steven	212	215	+3	87						
Johnson, Tony	215	217	+2	90						
Pisacane, Kerry	215	223	+8	81						
Rudick, Sherrie	216	221	+5	84						
Weidberg, Suzanne	213	219	+6	87						
Yoon, Kwang	213	218	+5	78						
Average	**213.3**	**217.1**	**+3.8**	**84.8**						
Arlinda Morris Class #8						✓		✓		
Busch, Melissa	216	218	+2	78						
Etheridge, Gretchen	218	219	+1	82						
Huang, Yun (Ellen)	213	214	+1	83						
Jones, Tarsha	211	211	—	72						
Millstone, Ken	216	216	—	75						
Paley, Belen	214	215	+1	78						
Rodriguez, Carlos	212	216	+4	81						
Spears, Eric	211	212	+1	84						
Woodford, Alix	214	217	+3	81						
Average	**213.9**	**215.3**	**+1.4**	**79.9**						

Reporting Tables

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection 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 110 hours per response, including the time to review instructions, search existing data resources, 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 f Adult Education and Literacy, Office of Vocational 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 Vocational and Adult Education, U.S. Department of Education, 400 Maryland Avenue, S.W., Washington, DC 20202-4651.

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

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

Entering Educational Functioning Level	American Indian or Alaskan Native		Asian		Black or African American		Hispanic or Latino		Native Hawaiian or Other Pacific Islander		White		Total
(A)	Male (B)	Female (C)	Male (D)	Female (E)	Male (F)	Female (G)	Male (H)	Female (I)	Male (J)	Female (K)	Male (L)	Female (M)	(N)
ABE Beginning Literacy													
ABE Beginning Basic Education													
ABE Intermediate Low													
ABE Intermediate High													
ASE Low													
ASE High													
ESL Beginning Literacy													
ESL Beginning													
ESL Intermediate Low													
ESL Intermediate High													
ESL Low Advanced													
ESL High Advanced													
Total													

*A participant is an adult who receives at least twelve (12) hours of instruction. Work-based project learners are not included in this table.
**See attached definitions for educational functioning levels.
***A participant should be included in the racial/ethnic group to which he or she appears to belong, identifies with, or is regarded in the community as belonging.
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Table 2
Participants by Age, Ethnicity and Sex

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

Age Group (A)	American Indian or Alaskan Native		Asian		Black or African American		Hispanic or Latino		Native Hawaiian or Other Pacific Islander		White		Total (N)
	Male (B)	Female (C)	Male (D)	Female (E)	Male (F)	Female (G)	Male (H)	Female (I)	Male (J)	Female (K)	Male (L)	Female (M)	
16-18													
19-24													
25-44													
45-59													
60 and Older													
Total													

*Participants should be classified based upon their age at entry. For 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. Work-based project learners are not included in this table.
The totals in Columns *B-M* should equal the totals in Column *B-M* of Table 1. Row totals in Column *N* should equal corresponding column totals in Table 3.
OMB Number 1830-0027, Expires 1/31/03.

Table 3
Participants by Program Type and Age

Enter the number of participants by program type and age.

Program Type (A)	16-18 (B)	19-24 (C)	25-44 (D)	45-59 (E)	60 and Older (F)	Total (G)
Adult Basic Education						
Adult Secondary Education						
English-as-a-Second Language						
Total						

The total in Column *G* should equal the total in Column *N* of Table 1.
The total in Columns *B-F* should equal the totals for the corresponding rows in Column *N* of Table 2 and the total in Column *N* of Table 1.
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Table 4
Educational Gains and Attendance by Educational Functioning Level

Enter number of participants for each category listed, total attendance hours, and calculate percentage of participants completing each level.

Entering Educational Functioning Level (A)	Total Number Enrolled (B)	Total Attendance Hours (C)	Number Completed Level (D)	Number who Completed a Level and Advanced One or More Levels (E)	Number Separated Before Completed (F)	Number Remaining within Level (G)	Percentage Completing Level (H)
ABE Beginning Literacy							
ABE Beginning Basic Education							
ABE Intermediate Low							
ABE Intermediate High							
ASE Low							
ASE High*							
ESL Beginning Literacy							
ESL Beginning							
ESL Intermediate Low							
ESL Intermediate High							
ESL Low Advanced							
ESL High Advanced							
Total							

The total in Column *B* should equal the total in Column *N* of Table 1.
Column *D* is the total number of learners who completed a level, including learners who left after completing and learners who remain enrolled and moved to one or more higher levels.
Column *E* represents a sub-set of Column *D* (Number Completed Level) and is learners who completed a level and enrolled in one or more higher levels.
Column *F* is students who left the program or received no services for 90 consecutive days and have no scheduled services.
Column $D + F + G$ should equal the total in Column *B*.
Column *G* represents the number of learners still enrolled who are at the same educational level as when entering.

Each row total in Column *H* is calculated using the following formula: $H = \frac{ColumnD}{ColumnB}$

Work-based project learners are not included in this table.
*Completion of ASE high level is attainment of a secondary credential or passing GED tests.
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Table 4A (Optional—This table for use in program year beginning July 1, 2001)
Educational Gains and Attendance by Educational Functioning Level, with Completion Breakdown

Enter number of participants for each category listed, total attendance hours, and calculate percentage of participants completing each level and advanced levels.

Entering Educational Functioning Level (A)	Total Number Enrolled (B)	Total Attendance Hours (C)	Number Completed Level (D)	Number who Completed One Level and Advanced (E1)	Number who Completed Two or More Levels and Advanced (E2)	Number Separated Before Completed (F)	Number Remaining within Level (G)	Percentage Completing Level (H)
ABE Beginning Literacy								
ABE Beginning Basic Education								
ABE Intermediate Low								
ABE Intermediate High								
ASE Low								
ASE High*								
ESL Beginning Literacy								
ESL Beginning								
ESL Intermediate Low								
ESL Intermediate High								
ESL Low Advanced								
ESL High Advanced								
Total								

The total in Column *B* should equal the total in Column *N* of Table 1.
Column *D* is the total number of learners who completed a level, including learners who left after completing and learners who remain enrolled and moved to one or more higher levels.
Columns *E1* and *E2* are subsets of Column *D* (Number Completed Level). Column *E1* is learners who completed one level and enrolled in a higher level; Column *E2* is learners who completed two or more levels and enrolled in a higher level.
Column *F* is students who left the program or received no services for 90 consecutive days and have no scheduled services.
Column *D* + *F* + *G* should equal the total in Column *B*.
Column *G* represents the number of learners still enrolled who are at the same educational level as when entering.

Each row total in Column *H* is calculated using the following formula: $H = \frac{ColumnD}{ColumnB}$.

Work-based project learners are not included in this table.
*Completion of ASE high level is attainment of a secondary credential or passing GED tests.
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Table 4B (Optional—This table for use in program year beginning July 1, 2001) Educational Gains and Attendance for Pre- and Posttested Participants

Enter number of pre- and posttested participants for each category listed, calculate percentage of posttested participants completing each level, and enter total attendance hours for posttested completion.

Entering Educational Functioning Level (A)	Total Number Enrolled Pre- and Posttested (B)	Total Attendance Hours (C)	Number Completed Level (D)	Number who Completed a Level and Advanced One or More Levels (E)	Number Separated Before Completed (F)	Number Remaining within Level (G)	Percentage Completing Level (H)
ABE Beginning Literacy							
ABE Beginning Basic Education							
ABE Intermediate Low							
ABE Intermediate High							
ASE Low							
ASE High*							
ESL Beginning Literacy							
ESL Beginning							
ESL Intermediate Low							
ESL Intermediate High							
ESL Low Advanced							
ESL High Advanced							
Total							

Include in this table only students who are both pre- and posttested.
Column *D* is the total number of learners who completed a level, including learners who left after completing and learners who remain enrolled and moved to one or more higher levels.
Column *E* represents a sub-set of Column *D* (Number Completed Level) and is learners who completed a level and enrolled in one or more higher levels.
Column *F* is students who left the program or received no services for 90 consecutive days and have no scheduled services.
Column *D* + *F* + *G* should equal the total in Column *B*.
Column *G* represents the number of learners still enrolled who are at the same educational level as when entering.

Each row total in Column *H* is calculated using the following formula: $H = \frac{ColumnD}{ColumnB}$

Work-based project learners are not included in this table.
*Completion of ASE high level is attainment of a secondary credential or passing GED tests.
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Table 5
Core Follow-up Outcome Achievement

Enter the number of participants for each of the categories listed and calculate the percentage achieving each outcome.

Core Follow-up Outcome Measures (A)	Number of Participants with Main or Secondary Goal (B)	Number of Participants Included in Survey (Sampled and Universe) (C)	Number of Participants Responding to Survey or Used for Data Matching (D)	Response Rate or Percent Available for Match (E)	Number of Participants Achieving Outcome (F)	Weighted Average Percent Achieving Outcome (G)
Entered Employment*						
Retained Employment**						
Obtained a GED or Secondary School Diploma***						
Entered Postsecondary Education or Training****						

* Report in Column *B* the number of participants who were unemployed at entry and who had a main or secondary goal of obtaining employment and exited during the program year.

** Report in Column B: (1) the number of participants who were unemployed at entry and who had a main or secondary goal of employment who exited in the first and second quarter and entered employment by the end of the first quarter after program exit, and (2) the number of participants employed at entry who had a main or secondary goal of improved or retained employment who exited in the first and second quarter. *Exclude from this total all participants who exited in the third and fourth quarters of the program year* (see *Implementation Guidelines* for explanation).

*** Report in Column B the number of participants with a main or secondary goal of passing the GED tests or obtaining a secondary school diploma or its recognized equivalent. **Effective the program year beginning July 1, 2001** report in Column B *only* students with this goal who *exited* during the program year.

**** Report in Column B the number of participants with a main or secondary goal of placement in postsecondary education or training. **Effective the program year beginning July 1, 2001** report in Column B *only* students with this goal who *exited* during the program year.

Instructions for completing Columns C – *E* differ according to (1) whether all local programs in the state used a survey to obtain the measure and *one or more* programs sampled students, (2) whether *all* local programs in the state used a survey to obtain the measure and *no* programs sampled students or (3) whether data matching was used to obtain the measure. See instructions below for each alternative and examples under *Additional Instructions* that illustrate completion of the table.

1. All Local Programs in the State Used a Survey for the Measure and One or More Programs Sampled Students

Report in Column C the total number of participants from Column *B* who were surveyed. This number should be the sum of the total samples drawn for all programs that sampled *and* the sum of *all* students with the goal for programs that did not sample. (For guidance on sampling see *Guidelines for Conducting the Follow-up Survey* and attached summary of sampling guidelines).

Report in Column *D* the number of participants from Column C who responded to the survey.

Compute the percentage in Column *E* for the measure using the following formula: $E = \frac{ColumnD}{ColumnC}$

2. All Local Programs In The State Used a Survey to Obtain The Measure and *No* Programs Sampled Students

Column C = Column *B* for any measure where *all* programs in the state included *all* participants with the goal in a survey to obtain the measure (i.e., no program sampled).

Report in Column *D* the number of participants from Column C who responded to the survey.

Compute the percentage in Column *E* for the measure using the following formula: $E = \frac{ColumnD}{ColumnB}$

3. The State Used Data Matching To Obtain The Measure

Do not complete Column *C* – leave it blank.

Report in Column *D* the number of participants whose records were used in data matching for this measure.

Compute the percentage in Column *E* for the measure using the following formula: $E = \frac{ColumnD}{ColumnB}$

***All* states complete Columns *F-G* as follows.**

Report in Column *F* the number of participants from Column *D* who achieved each outcome. For retained employment, enter the number of participants from Column D who were employed in the third quarter after program exit. However, *exclude from this total in Column D all participants who exited in the third and fourth quarters of the program year* (see *Implementation Guidelines* for explanation).

Each row total in Column *G* is the *weighted state average* percent calculated by multiplying the proportion achieving the outcome in each program by the total number of participants in each program with the outcome goal during the program year. This product is summed across all programs and divided by the totals in Column *B*. Note that for the rate reported in Column *G* to be considered valid, the rate reported in Column E must be at least 50 percent. See *Additional Instructions* below for further explanation.

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Additional Instructions for Completing Table 5
Computing the State Weighted Average (Column G) and Examples

States are to report the weighted average for the state for each measure in Column *G* of Table 5. The use of a weighted average is necessary to ensure that large programs contribute to the overall state average in proportion to their size (i.e., programs serving more students count more in the average). The weighted average also allows adjustment for nonresponse of participants who do not complete the survey or were not included in data matching. According to NRS policy, the percentage of participants achieving the outcome among respondents (or records matched in a data match) is assumed to be the same as the percentage found among nonrespondents (or not included in a data match), *if there is at least a 50 percent response rate*. In other words, NRS policy allows the assumption that if a survey (or data match) finds that 40 percent of participants who were surveyed (or included in a data match) entered employment, then 40 percent of participants who did *not* respond to the survey (or were *not* in the data match) also entered employment.

The response rate or percentage of records available to match (reported in Column *E*) is critical to the validity of this assumption. For this reason, NRS policy sets a minimum of 50 percent response (or match availabilty) for all measures. The Department of Education may question the validity of the reported percentage achieving outcome for any measure where response falls below 50 percent. For further information see Appendix A of *Guidelines for Conducting the Follow-up Survey.*

Computing the Weighted Average

Computation of the weighted average is simple: for each program, take the proportion of students found to have achieved each outcome and multiply it by the total number of students to which the outcome applies (i.e., the number of students with main or secondary goal related to the outcome during the program year). This product is the estimated number of students in the program who had the goal who achieved the outcome. Sum this number across all programs and divide it by the total number of students in the state with the main or secondary goal related to that outcome (number in Column *B* of Table 5 for the outcome measure). The mathematical formula for the weighted average is:

$$P_{state} = \frac{\sum_{s=1}^{S} p_s N_s}{\sum_{s=1}^{S} N_s}$$

The following three examples illustrate the computation of the weighted state average for situations where (1) local programs use a survey and one or more local programs sample students, (2) where local programs use a survey and no programs sample students and (3) where a state uses data matching. Following these examples is a sample Table 5 completed with each example in a separate row, to provide further guidance on how to complete the table.

State Example #1: All Local Programs Used a Survey for a Measure and one or More Programs Sampled

State A has three local programs and a total of 8,200 students to which the outcome applies (i.e., had the outcome as a main or secondary goal). Programs 1 and 2 sampled students and Program 3 did not.

Program 1 has 4,000 students, samples 500, and reaches 250. 125 of these (50%) achieved the outcome.

Program 2 has 4,000 students, samples 500, and reaches 250. 125 of these (50%) achieved the outcome.

Program 3 has 200 students to survey, 100 responded, 30 (30%) achieved the outcome.

To compute the state average, the state has to take the percentage found to have achieved the outcome in each program (p), multiple it by the total number of students in the program with the goal (n), sum this product across all programs and divide it by the total number statewide (N). So for this example:

Program 1 and Program 2: p=. 5, n=4,000

Program 3: p=. 3, n=200. Total state N=8,200

The state average is: (.5)(4,000) + (.5)(4,000) + (.3)(200)

$$\frac{(.5)(4{,}000) + (.5)(4{,}000) + (.3)(200)}{4000 + 4000 + 200} = .495 \text{ or } 49.5\%$$

State Example # 2: All Local Programs Used a Survey to Obtain the Measure and *No* Programs Sampled

State B has three local programs and a total of 800 students to which the outcome applies (i.e., had the outcome as a main or secondary goal during the program year). None of the three programs sampled.

Program 1 has 300 students to survey, 200 respond, and 80 (40%) achieved outcome.

Program 2 has 300 students to survey, 100 respond, 30 (30%) achieved the outcome.

Program 3 has 200 students to survey, 120 respond, 40 (33%) achieved the outcome.

To compute the state average, the state has to take the percentage found to have achieved the outcome in each program (p), multiple it by the total number of students in the program with the goal (n), sum this product across all programs and divide it by the total number statewide (N). So for this example:

Programs 1: p=. 4, n=300; Program 2: p=. 3, n=300; Program 3: p=. 33, n=200. Total state N=800

The state average is: (.4)(300) + (.3)(300) + (.33)(200)

$$\frac{(.4)(300) + (.3)(300) + (.33)(200)}{300 + 300 + 200} = .345 \text{ or } 34.5\%$$

State Example # 3: State Uses Data Matching to Obtain the Measure

State C conducts a statewide data match to obtain the outcome measure. The state has five local programs and a total of 11,000 students to which the outcome applies (i.e., had the outcome as a main or secondary goal during the program year).

Program 1 has 4,000 students, 3,800 available for matching of which 2,000 achieved the outcome, i.e., are matched (52.6%).

Program 2 has 4,000 students, 3,000 available for matching of which 1,500 achieved the outcome, i.e., are matched (50%).

Program 3 has 1,000 students, 900 available for matching of which 400 achieved the outcome, i.e., are matched (44.4%).

Program 4 has 1,500 students, 1,300 available for matching of which 800 achieved the outcome, i.e., are matched (61.5%).

Program 5 has 500 students, 400 available for matching of which 200 achieved the outcome, i.e., are matched (50%).

To compute the state average, the state has to take the percentage found to have achieved the outcome in each program (p), multiple it by the total number of students in the program with the goal (n), sum this product across all programs and divide it by the total number statewide (N). So for this example:

Programs 1: p=. 526, n=4,000; Program 2: p=. 5, n=4,000; Program 3: p=. 444, n=1,000;

Program 4: p=. 615, n=1,500; Program 5: p=. 5, n=500. Total state N=11,000

The state average is:

$$\frac{(.526)(4000) + (.5)(4000) + (.444)(1000) + (.615)(1500) + (.5)(500)}{4000 + 4000 + 1000 + 1500 + 500} = .52 \text{ or } 52\%$$

Sample Completed Table 5 for Three Examples

Table 5 is completed for the three examples above to illustrate how a state would complete the table for a measure under the different scenarios.

Core Follow-up Outcome Measures (A)	Number of Participants with Main or Secondary Goal (B)	Number of Participants Included in Survey (Sampled and Universe) (C)	Number of Participants Responding to Survey or Used for Data Matching (D)	Response Rate or Percent available for Match (E)	Number of Participants Achieving Outcome (F)	Weighted Average Percent Achieving Outcome (G)
State A – All Programs Surveyed, Some Sampled	8,200	1,200	600	50%	280	49.5%
State B - All Programs Surveyed, None Sampled	800	800	420	52.5%	150	34.5%
State C – State Data Matching	11,000		9,400	85.4%	4,900	52%

Addendum to Table 5
Summary of NRS Survey and Sampling Guidelines

1. Identifying the Survey Population

- In each program in the state, identify (1) all unemployed students with a goal of obtaining a job who exited, (2) employed students with a goal of keeping or improving their current job who exited, (3) students with a goal of obtaining a secondary diploma or passing the GED and (4) students with a goal of entering postsecondary education or training. Beginning the program year that starts July 1, 2001, include only students who exited during the program year.
- Obtain the exit date or quarter for students with employment goals to identify follow-up date.
- Exclude from the retained employment measure all students with an employment goal who exited in the third or fourth quarters.
- If the state is requiring collection of the NRS optional measures, the students with goals related to these outcomes should also be identified.

2. Selecting Students for the Survey

- Survey all students in any outcome group that has 300 or fewer students in the program year.
- A simple random sample of students may be surveyed for any outcome group that has more than 300 students.
- Programs should draw a minimum sample size of 300 for each group that has 301 – 5,000 students.
- Programs should draw a minimum sample size of 1,000 for each group that has over 5,000 students.
- A minimum response rate of 50 percent is required. If less than 50 percent response rate is achieved, the program must survey for any group that was sampled until it has responses from at least 150 students (or 500 students for the largest programs).

3. Collecting the Data

- Quarterly data collection is recommended for all measures, since entered employment must be recorded for the first quarter after program exit and retained employment in the third quarter after exit.
- Retained employment is to be collected only for students exiting in the first two quarters of the program year.

4. Reporting the Findings

- Each program must report for each outcome group: the total number of students with the goal; the total number of students responding to the survey; the number and percentage of students achieving each outcome; and the total number of students included in the survey or if sampling was employed, the total number sampled.
- The state is to compute a weighted state average of students achieving each outcome by aggregating from the individual programs: the total number of students in each outcome group, response rates and the number and percentage achieving each outcome. The state must also report the state confidence interval if any local programs use sampling.

Table 6
Participant Status and Program Enrollment

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

Participant Status on Entry into the Program (A)	**Number** (B)
Disabled	
Employed	
Unemployed	
Not in the Labor Force	
On Public Assistance	
Living in Rural Areas*	
Program Type	
In Family Literacy Programs**	
In Workplace Literacy Programs**	
In Programs for the Homeless**	
In Programs for Work-based Project Learners**	
Institutional Programs	
In Correctional Facilities	
In Community Correctional Programs	
In Other Institutional Settings	
Secondary Status Measures (Optional)	
Low Income	
Displaced Homem aker	
Single Parent	
Dislocated Worker	
Leaming Disabled Adults	

*Rural areas are places of less than 2,500 inhabitants and outside urbanized areas.

**Participants counted here must be in program specifically designed for that purpose.

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Table 7
Adult Education Personnel by Function and Job Status

Enter an unduplicated count of personnel by function and job status.

Function (A)	Adult Education Personnel: Total Number of Part-time Personnel (B)	Total Number of Full-time Personnel (C)	Unpaid Volunteers (D)
State-level Administrative/ Supervisory/Ancillary Services			
Local-level Administrative/ Supervisory/Ancillary Services			
Local Teachers			
Local Counselors			
Local Paraprofessionals			

In Column *B*, count one time only each part-time employee of the program administered under the Adult Education State Plan who is being paid out of Federal, State, and/or local education funds.

In Column C, count one time only each full-time employee of the program administered under the Adult Education State Plan who is being paid out of Federal, State, and/or local education funds.

In Column *D*, report the number of volunteers (personnel who are not paid) who served in the program administered under the Adult Education State Plan.

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

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

Core Follow-up Outcome Measures (A)	Number of Participants with Main or Secondary Goal (B)	Number of Participants Included in Survey (Sampled and Universe) (C)	Number of Participants Responding to Survey or Used for Data Matching (D)	Response Rate or Percent available for Match (E)	Number of Participants Achieving Outcome (F)	Weighted Average Percent Achieving Outcome (G)
Completed an Educational Functioning Level *						
Entered Employment						
Retained Employment						
Obtained a GED or Secondary School Diploma						
Entered Postsecondary Education or Training						
Increased Involvement in children's education						
Help 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						

* Report in Column *B* for this row all family literacy program participants who received 12 or more hours of service. Column *F* should include all participants reported in Column *B* who advanced one or more levels.

Compute Column *G* for this row using the following formula: $G = \frac{ColumnF}{ColumnB}$

Follow instructions for completing Table 5 to complete the remainder of this table. However, include only family literacy program participants in Table 8.

Achievement of one or more of the increased involvement in children's education or children's literacy activities measures should be counted in this row 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 school work 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."

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Table 9
Outcomes for Adults in Workplace Literacy Programs (Optional)

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

Core Follow-up Outcome Measures (A)	Number of Participants with Main or Secondary Goal (B)	Number of Participants Included in Survey (Sampled and Universe) (C)	Number of Participants Responding to Survey or Used for Data Matching (D)	Response Rate or Percent available for Match (E)	Number of Participants Achieving Outcome (F)	Weighted Average Percent Achieving Outcome (G)
Completed an Educational Functioning Level*						
Entered Employment						
Retained Employment						
Obtained a GED or Secondary School Diploma						
Entered Postsecondary Education or Training						

* Report in Column *B* for this row all workplace literacy program participants who received 12 or more hours of service. Column *F* should include all participants reported in Column *B* who advanced one or more levels.

Compute Column *G* for this row using the following formula: $G = \frac{ColumnF}{ColumnB}$

Follow instructions for completing Table 5 to complete the remainder of this table. However, include only workplace literacy program participants in Table 9.

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Table 10
Outcomes for Adults in Correctional Education Programs (Optional)

Enter the number of participants in correctional education programs for each of the categories listed.

Core Follow-up Outcome Measures (A)	Number of Participants with Main or Secondary Goal (B)	Number of Participants Included in Survey (Sampled and Universe) (C)	Number of Participants Responding to Survey or Used for Data Matching (D)	Response Rate or Percent available for Match (E)	Number of Participants Achieving Outcome (F)	Weighted Average Percent Achieving Outcome (G)
Completed an Educational Functioning Level*						
Entered Employment						
Retained Employment						
Obtained a GED or Secondary School Diploma						
Entered Postsecondary Education or Training						

* Report in Column *B* for this row all correctional educational program participants who received 12 or more hours of service. Column *F* should include all participants reported in Column *B* who advanced one or more levels.

Compute Column *G* for this row using the following formula: $G = \dfrac{ColumnF}{ColumnB}$

Follow instructions for completing Table 5 to complete the remainder of this table. However, include only correctional educational program participants in Table 10.

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Table 11
Secondary Outcome Measures (Optional)

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

Secondary Outcome Measures (A)	Number of Participants with Main or Secondary Goal or Status (B)	Number of Participants Obtaining Outcome (C)	Percentage Achieving Outcome (D)
Achieved work-based project learning goal			
Left public assistance			
Achieved citizenship skills			
Increased involvement in children's education*			
Increased involvement in children's literacy activities*			
Voted or registered to vote			
Increased involvement in community activities			

Each row total in Column *D* is calculated using the following formula: $D = \frac{ColumnC}{ColumnB}$

* Enter the total number of participants who achieved this goal regardless of whether the participant was in a family literacy program. Use Table 8 to enter achievements of family literacy participants. The number reported here may be higher than reported in Table 8 since it includes all participants who achieved this goal.

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Table 12 (Optional)
Work-based Project Learners by Age, Ethnicity and Sex

Enter the number of work-based project learners by age,* ethnicity, and sex.

Age Group (A)	American Indian or Alaskan Native		Asian		Black or African American		Hispanic or Latino		Native Hawaiian or Other Pacific Islander		White		Total (N)
	Male (B)	Female (C)	Male (D)	Female (E)	Male (F)	Female (G)	Male (H)	Female (I)	Male (J)	Female (K)	Male (L)	Female (M)	
16-18													
19-24													
25-44													
45-59													
60 and Older													
Total													

Only participants designated as work-based project learners should be included in this table. These participants should not be included in Tables 1-5.

The total in Column *N* should equal the number of work-based project learners reported in Table 6.

*Participants should be classified based on their age at entry.

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Table 13 (Optional)
Core Follow-up Outcome Achievement for Prior Reporting Year and for Unintended Outcomes

For Column B, enter the number of participants for each of the outcome categories for outcomes not reported in the prior reporting period. For Column C, enter the number of participants achieving each outcome who did not have the outcome as a goal.

Core Follow-up Outcome Measures (A)	Number of Participants with Main or Secondary Goal Who Achieved Outcome but Were Not Reported in the Prior Reporting Period (B)	Number of Participants Achieving Outcome in Current Year Who Did Not Have the Outcome as a Goal (C)
Entered Employment		
Retained Employment		
Obtained a GED or secondary school diploma		
Placed in postsecondary education or training		

For Column B, report the number of participants who had the core outcome as a primary or secondary goal and who achieved that outcome according to the core outcome definitions (see Table 5), but *were not reported in the prior program year.*

For Column C, report the number of participants who achieved the outcome in the current reporting year but *did not have the outcome as a main or secondary goal.*

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PART II: NARRATIVE

Provides descriptive information for the narrative items.
Maximum number of pages is 10.

Use the following outline in preparing the narrative part of the Annual Performance Report:

1. Describe successful activities, programs, and projects supported with State Leadership funds and describe the extent to which these activities, programs, and projects were successful in implementing the goals of the State Plan.

2. Describe any significant findings from the Eligible Agency's evaluation of the effectiveness of the adult education and literacy activities based on the core indicators of performance.

3. Describe how the Eligible Agency has supported the integration of activities sponsored under Title II with other adult education, career development, and employment and training activities. Include a description of how the eligible agency is being represented on the Local Workforce Investment Boards, adult education's involvement on the State Workforce Investment Board, the provision of core and other services through the One-Stop system and an estimate of the Title II funds being used to support activities and services through the One-Stop delivery system.

4. Describe successful activities and services supported with EL Civics funds, including the number of programs receiving EL Civics grants and an estimate of the number of adult learners served. (Only states receiving EL-Civics funds should respond to question #4).

PART III: FINANCIAL STATUS REPORT

OMB Number: 1830-0027 Expires:

U.S. Department of Education
Office of Vocational and Adult Education
Adult Education and Family Literacy Act of 1998
Basic Grants to States -- CFDA 084.002

A separate set of Financial Status Report (FSR) forms are to be used for each Federal Funding Period as reported in Block 8 of the FSR for Adult Education.

Instructions for Completing the FSR.

Block

1. This block is preprinted.

2. PR/Award numbers as indicated in Block 5 of the Grant Award Notifications for the Basic Grants to States.

3. Grant recipient submitting report.

4. Enter DUNS/SSN Identifying number in Block 8 of the Grant Award Notification.

5. For optional use for those agencies needing cross reference identification.

6. Check **Yes** if this is the **Final** report for a grant award and there are no amounts reported in column **h** (unliquidated obligations). The report is final when there are no additional outlays or obligations against the grant award and all existing obligations have been liquidated.

7. Identify the accounting basis used by the Grantee. If the modified accrual basis is used, it should be so indicated by adding the word □modified□ in this block.

8. Enter Federal Funding Period based on information obtained in Block 6 of the Grant Award Notification.

9. 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, 1999 through September 30, 2000. The final report will cover the entire 27 months which grantees have to obligate their funds e.g., July 1, 1999 through September 30, 2001.

10. The Columns **(a)** through **(f)** contain preprinted headings for reporting expenditures. The following are explanations of what expenditures should be reported in each column.

Column (a). State Administration. Report State administrative expenditures authorized section 222 (a)(3) of the Adult Education and Family Literacy Act (AEFLA).

Column (b). State Leadership. Report expenditures authorized in section 222 (a)(2) and described in section 223 of AEFLA.

Columns (c) and (d), Programs of Instruction. Report all expenditures made by local eligible providers in conducting basic education and English literacy (column c), and secondary education programs of instruction (column d), including expenditures for institutionalized persons.

Column (f). Institutionalized. Report expenditures for programs for institutionalized persons. These expenditures will also appear in columns (c) and (d).

10a. In the first year report of the grant award, this column must be zero. In the final report, the amount reported should be the same as the amount reported on line 10e of the first year report made for the same grant award. If there has been an adjustment of the amount shown previously, attach explanation. For reports made on a cash basis, outlays are the sum of actual cash disbursements for goods and services, the amount of indirect expense charged, the value of in-kind contributions applied, and the amount of cash advances and payments made to contractors and subgrantees. For reports prepared on an accrued expenditure basis, outlays are the sum of actual cash disburesements, the amount of indirect expense incurred, the value of in-kind contributions applied, and the net increase (or decrease) in the amounts owed by the recipient for goods and other property received and for services performed by employees, contractors, subgrantees, and other payees, and other payees, and other amounts becoming owed under programs for which no currrent services or performances are required, such as annuities, insurance claims, and other benefit payments.

10b. Total outlays, including any state and local outlays, for the report period indicated in Item 9.

10c. Program credits must be included on this line and are to be used to reduce total outlays.

10d. Line b minus line c.

10e. Line a plus line d.

10f. Enter amount of non-federal outlays reported in line b.

10g. Line c minus line f.

10h. All unliquidated obligations as of the end of the reporting period.

10i-j. Unliquidated obligations are--

Cash basis - obligations incurred but not paid

Accrued expenditure basis - obligations incurred but for which an outlay has not been recorded.

Do not include any amounts that have been included on Lines a through g. Include unliquidated obligations to subgrantees and contractors.

If the report is final, it should not contain anyh unliquidated obligations.

10k. Line g plus line j.

10l. The amount of Federal funds awarded, per the cumulative amount in Block 7 of the Grant Award Notification.

10m. Line l minus line k.

11a. Self-explanatory

11b. Enter the indirect cost rate in effect during the reporting period. If more than one rate was applied during the reporting period, include a separate schedule showing the bases against which the indirect cost rates were applied.

11c. Enter amount of the base to which the rate was applied.

11d. Enter total amount of indirect cost charged during the reporting period.

12. Include any remarks necessary to explain any specifics in the report. Attach additional information if needed.

13. The report must be certified by the Executive Officer, or designee, of the Grant recipient, as appropriate.

Reports are due on December 31 each year. Reports should be submitted to:

Division of Adult Education and Literacy
Office of Vocational and Adult Education
Department of Education
400 Maryland Avenue, SW
Washington, DC 20202-7240

Put Financial TABLE FORM here (H:\prj\NRS\Task 9\March Guideline Revisions\ "Financial Report.doc")

Financial Reporting Requirements for EL-Civics Funding

States expending EL-Civics funds under the conditions outlined in Program Memorandum 2000-19, issued by Ronald S. Pugsley on May 16, 2000 shall report those expenditures as follows:

In addition to submitting an annual Financial Status Report (FSR) reporting all federal and non-federal expenditures, including those for EL-Civics, a separate FSR for EL-Civics expenditures is also required. This EL-Civics FSR, which represents a sub-total of the overall report, will provide the necessary information to determine that EL-Civics expenditures were in compliance with existing statutory requirements. A specially identified EL-Civics FSR is included for your use.

Put EL CIVICS TABLE FORM **here (H:\prj\NRS\Task 9\March Guideline Revisions\ "EL civics financial.doc")**

NRS

National Reporting System
for Adult Education

Appendix A

NRS Advisory Board

Pilot Test Participants and NRS Staff

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NRS Advisory Board

Judy Crocker
Cleveland Public Schools
Cleveland, Ohio

Garland Hankins
Arkansas Department of Education
Little Rock, Arkansas

G. David Massey
North Dakota Department of Education
Bismarck, North Dakota

Judy McCoy
Overfelt Adult School
San Jose, California

Daniel Miller
Illinois State Board of Education
Springfield, Illinois

Roberta Pawloski
Connecticut Department of Education
Hartford, Connecticut

Kathy Polis
West Virginia Department of Education
Charleston, West Virginia

Barbara Shay
New York Department of Education
Albany, New York

Kevin Smith
Literacy Volunteers of New York
Buffalo, New York

Richard Stiles
California Department of Education
Sacramento, California

Charles Trott
Northern Illinois University
DeKalb, Illinois

Peter Waite
Laubach Literacy
Syracuse, New York

Sharlene Walker
Oregon Community College
Salem, Oregon

Local Programs in the Pilot Test of the Follow-up Survey

Alabama
Randall C. White
Northeast Alabama Area AE Program
DeKalb County Board of Education
DeKalb County Vocational Technical School
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Rainsville, AL
256-638-2957

Arizona
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7301 N. 58th Avenue
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602-842-8356 (Sweeny)
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602- 915-4081 (Fax)

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Eastern Iowa Community College District
Career Assistance Center
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Queen City Vocational Center
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513-977-8070 (Fax)

Pennsylvania
Joyce Kerrick
Lackawana Junior College
201 Main Street
Towanda, PA 18848
717-265-3449
717-265-0876 (Fax)

Tennessee
Bill Walker
Knox County Schools
Adult Basic Education Program
Knoxville, Tennessee 37917
423-594-3620
423-594-1198 (Fax)

States in the State Pilot Test

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Department of Education
P.O. Box 83720
Boise, ID 83720
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(202) 334-4664 (fax)

Maryland
Patricia Bennett
Maryland State Department of Education
200 West Baltimore Street
Baltimore, MD 21201
(410) 767-0160
(410) 333-2099 (fax)

Rhode Island
Robert Mason
Department of Education
255 Westminster Street
Shephards Building
Providence, RI 02903
(401) 222-4600 x 2180
(401) 222-2537 (fax)

National Reporting System

Conducted by:

Pelavin Research Center
American Institutes for Research
Washington, D.C.
Contract # VN97012001

Project Staff
Larry Condelli, Project Director
Vince Padilla
January Angeles
Rob Leland
Renée Sherman
Mark Kutner
John Tibbetts (Consultant)
Allison Farrar

For:

U.S. Department of Education
Office of Vocational and Adult Education

Trish McNeil, Assistant Secretary for
Vocational and Adult Education

Ronald Pugsley, Director
Division of Adult Education and Literacy

Mike Dean, Program Specialist
Division of Adult Education and Literacy

NRS

National Reporting System for Adult Education

Appendix B

Sample Surveys

Sample Local Follow-up Survey for Core Measures

A. ENROLLMENT

Hello. My name is ____________. I work for ____________. We're calling people who have recently attended classes at our adult education program to find out what happens t them after they leave us. We want to know how you liked the classes you took and how adult education classes have affected you, your family, and your job.

It should take no longer than 10 minutes to answer my questions. Do you have time now for me to ask these questions? *(Reassure the respondent that any information given to us will be strictly confidential).*

First, I'd like to make sure I have the correct information about the class you took.

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. Did you attend teacher's class until it ended or did you leave before it ended?

- ☐ Completed *[Proceed to Question B-1]*
- ☐ Left before it ended *[Proceed to Question A-3]*

A-3. During what month did you stop attending the class or program?

Month _________

B. OTHER EDUCATION AND TRAINING

B-1. Since the end of your class or program, have you enrolled in any other educational or training programs?

- ☐ Yes
- ☐ No *[Proceed to Question C-1]*

B-2. Where are you enrolled?

- ☐ Other (Specify)____

B-3. 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
- ☐ Community College/College Level
- ☐ Citizenship
- ☐ Family literacy
- ☐ Other (Specify)____
- ☐ DK/Refused

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C. SECONDARY CREDENTIAL

C-1. Did you receive any diplomas, certificates, or degrees at the end of your class or since you left (TEACHER'S) class, such as the GED?

- ❑ Yes
- ❑ No *[Proceed to Question D-1]*
- ❑ DK/Refused *[Proceed to Question D-1]*

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

- ❑ GED
- ❑ High School Diploma
- ❑ Certificate of Competence
- ❑ Associate's Degree
- ❑ Bachelor's Degree
- ❑ Other__________________
- ❑ DK/Refused

D. EMPLOYMENT

D-1. When you first enrolled in the class or program were you: [Read choices.]

- ❑ Employed at a paying job *[Proceed to Question D-4]*
- ❑ Not employed at a paying job and looking for a job *[Proceed to Question D-2]*
- ❑ Not employed and not looking for a job *[Proceed to E-1]*
- ❑ DK/Refused *[End interview]*

D-2. While you were taking (TEACHER'S)'s class did you get a paying job?

- ❑ Yes
  If yes: What was the name of your employer? ______________________________ *[Proceed to Question D-4]*
- ❑ No

D-3. Since you stopped taking the class, have you gotten a paying job?

- ❑ Yes
  If yes: What is the name of your employer? ______________________________
  When did you first get a job after leaving the program? ______________________________
- ❑ No *[Proceed to Question E-1]*

D-4. Do you still have that job or do you now have a different job?

- ❑ Still have same job
- ❑ Have different job
  What is the name of your current employer? ______________________________
- ❑ Lost job, unemployed
- ❑ DK/Refused

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E. Closing

Thank you very much for taking the time to answer my questions. Your answers will be 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.

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

____

____

____

____

____

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Calling Log

Interviewer: ______________________________

Date & Time	Name	Contact (who, nature of conversation, any messages left, etc.)	Status (Interview completed, scheduled recall)

NRS

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Sample Follow-up Survey for Core, Secondary and Other Measures

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Sample Follow-up Survey for Core, Secondary, and Other Measures

Hello. My name is ____________. I work for ____________. We're calling people who have recently attended our 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 to us 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 did you stop attending the class or program?

Month __________

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 CREDENTIAL

B-1. Did you receive any diplomas, certificates, or degrees since you took this class, such as a GED?

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

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

- ❑ GED
- ❑ High School Diploma
- ❑ Certificate of Competence
- ❑ Associate's Degree
- ❑ Bachelor's Degree
- ❑ Other_______________
- ❑ DK/Refused

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. 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
- ❑ Community College/College Level
- ❑ Citizenship
- ❑ Family literacy
- ❑ Other (Specify)_______________________________________
- ❑ DK/Refused

EMPLOYMENT

D-1. While you were enrolled in the class or program, were you receiving any type of public assistance, such as food stamps or welfare benefits?

- ❑ Yes
- ❑ No *[Proceed to question D-3]*
- ❑ DK/Refused *[Proceed to question D-3]*

D-2. Are you currently receiving this type of public assistance?

- ❑ Yes
- ❑ No
- ❑ DK/Refused

D-3. When you first enrolled in the class or program, were you: *[Read choices.]*

- ❑ Employed at a paying job *[Proceed to question D-6]*
- ❑ Not employed at a paying job and looking for a job *[Proceed to question D-4]*
- ❑ Not employed and not looking for a job *[Proceed to question E-1]*
- ❑ DK/Refused [*Proceed to question E-1*]

D-4. While you were taking this class, did you get a paying job?

- ❑ Yes
  If yes: What was the name of your employer? ____________________ *[Proceed to Question D-6]*
- ❑ No *[Proceed to question D-5]*

D-5. Since you stopped taking this class, have you gotten a paying job?

- ❑ Yes
  If yes: What is the name of your employer? ____________________ *[Proceed to Question D-6]*

  When did you first get a job after leaving the program? ____________________
- ❑ No *[Proceed to E-1]*

D-6. Do you still have the same job, have a different job, or have no current job?

- ❑ Still have the same job
- ❑ Have a different job
  What is the name of your current employer? ____________________
- ❑ Have no job, unemployed
- ❑ DK/Refused

COMMUNITY IMPACT

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

- ❑ Neighborhood meetings
- ❑ Meetings of political groups
- ❑ Volunteer work or meetings for community organizations
  (List: ____________________)
- ❑ Do not got to meetings or volunteer
- ❑ DK/Refused

E-2. Did you register to vote or vote for the first time since you attended the class?

- ❑ Yes
- ❑ No
- ❑ DK/Refused

FAMILY

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

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

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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
- ❑ Do 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. Is/are the child/children in your home attending school?

- ❑ Yes *[Proceed to question F-5]*
- ❑ No *[Proceed to question G-1]*

F-5. 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-6. 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 few 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?**

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MODEL PROCEDURES FOR CONDUCTING THE LOCAL FOLLOW-UP SURVEY

This section describes model procedures for conducting a telephone survey designed to collect the NRS follow-up measures. The model is offered as guidance to 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 they meet the NRS requirements described in this document.

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

1. Draw a sample of students that reflects the students who attend your program with one or more of the four core outcomes as main or secondary goals;
2. Reach the students sampled and obtain the information from a large majority of them so as not to invalidate the sample; and
3. Train telephone interviewers so that all interviewers ask the survey questions correctly and reliably.

Selecting the Sample

The procedures below present a method for randomly selecting a sample of 300 students who left the program.

1. Generate a list from your database of names, with telephone numbers and contact information, of students who have left the program, organized by the four core follow-up measures. Use students' stated main or secondary goals to identfy the groups. You should also have the exit quarter for students with employment goals. You may use separate lists for each of the four follow-up measures or a single list with all students.
2. Go through the list to identify any individuals who do not have a telephone number or any contact information. Cross these names off your list.
3. We want to compute a *sampling fraction* that will give us a 300 student sample. The sampling fraction is computed by dividing the total number of students to be sampled by the desired sample size. If we have 600 students, the sampling fraction is 600/300 = 2. If the sampling fraction is not a whole number, it should be rounded to the nearest whole number.
4. From your list, count down the number of students determined by the sampling fraction and include that student in the sample and continue this way throughout the entire list. For example, in this example the sampling fraction is 2, so include the second student on the list and every other student thereafter. When you are finished, you will have a sample of 300 students. This is your *primary* sample.
5. Create a *backup* sample of 50 percent more students than your primary sample. Randomly select the backup sample in the same way as the original sample. Compute the sampling fraction by dividing the number of students you need by the number of students

remaining on the list. Use this number to select every n^{th} student from the list. Make sure you have a backup sample sufficient for each of the four core outcome measures. The backup sample is used to replace students from the primary sample who cannot be reached after four attempts (see below). If there are fewer students remaining on your list than you need for the backup sample after you have selected your primary sample, all of these students will be included in the backup sample.

Survey Procedures

Once you have your sample, you can begin calling students and administering the survey. Call each person on your primary sample list. If you cannot reach a person despite your best efforts, 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 calling log during the conduct of the survey. Entries in the log should contain the date and time of each call, the name of the caller, and information about the call, 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 re-called. They should also be checked against the list of learners in the sample to make sure all members of the sample are being called and contacted. Callers should promptly make a log entry for every telephone call they make, whether or not the adult learner was reached. This Appendix includes a sample calling 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 telephone survey and guidance on how to resolve these problems.

Problems Reaching Learners on the Telephone

In most data collection activities, there are predictable kinds of problems that may be encountered. Interviewers may be unable to reach the correct person, the learner may not want to speak to the caller, or they may have a protective family. Additionally, learners may not want to answer some or all survey items; they may be hostile, confused, or just harried. Further, 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 telephone interviews. She or he should monitor interviewer telephone logs, provide general oversight during the interviewing process, and could also be responsible for the training.

Accommodation for other languages. Since 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. The NRS has Spanish and Vietnamese versions of the model survey, available on request.

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 even answering machines.

❖ *Reaching a family member or other person*

- ✓ Leave a message. The message should be as follows:
  - Interviewer's name
  - Calling from (name of program)
  - Calling in reference to the adult education program the person attended
  - Interviewer will call back at another time.
- ✓ Ask a few questions:
  - When is the learner expected back?
  - What and when is the best way to reach her/him?
- ✓ Wait for no more than two days between callbacks.
- ✓ If multiple messages (more than 3-4) have been left, but the learner has not been contacted, the learner should be officially listed as a non-respondent on the calling log sheet and replaced from the backup sample.

❖ *Reaching voice mail or an answering machine*

- ✓ Leave a message. The message should be as follows:
  - Interviewer name and where interviewer is calling from (name of program)
  - Calling in reference to the adult education program the person attended
  - Interviewer will call back at another time
- ✓ Wait for no more than two days between callbacks.
- ✓ If multiple messages (more than 3-4) have been left, but the learner has not been contacted, the learner should be officially listed as a non-respondent on the calling log sheet and replaced from the backup sample.

❖ *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, the day and time the interviewer called should be noted on the log sheet, and the learner should be called at a different time. If multiple calls (more than 3-4) are made at different times of the day, and there is still no answer, the learner should be officially listed as a non-respondent on the calling log sheet and replaced from the backup sample.

Dealing with refusals. The goal of telephone 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; callers 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 caller to present himself or herself as confident and proud of the work they are 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 callers may encounter refusals or reluctance. The following examples provide ways to handle this.

Initial refusal. When learners 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 call them a week later, a month later, etc., as long as this is recorded so that the follow-up call is made.

- When the learner has been reached, but absolutely refuses to participate, a complete description should be recorded on the calling log and given to the resource person for further attempts.

Confusion-based refusal. Adult learners 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 learner 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, as well as for the program she or he attended.

- If the learner wants to know how their information will be used, the interviewer should assure the learner that the data will be compiled to find out how well adult education programs are performing throughout the country and to improve program services. Further, all of the answers that the learner gives will be kept confidential and that no names or other identifying information will be associated with their answers. Learners should also be assured that they were chosen randomly from the pool of adult learners 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 learner's time is really important, and tell them that their responses to the survey questions would 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 them 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 is successful, the interviewer should NOT try to persuade the learner further. The learner should be thanked for their patience, and told that the caller appreciates all the demands on their time. The interviewer should then record a complete description on the calling-log contact sheet and the student should be replaced from the backup sample.

Training

Staff members who will be conducting the telephone 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, therefore, can be characterized as having two components: the process of conducting telephone 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 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 the decisions 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.