



August 12, 2019

To: Adult Education Program Consortium Directors and Members

From: Adult Education Program Office

Subject: Fiscal Year 2019–20 Program and Accountability Requirements for Student Outcome Data Collection and Submission

This memorandum is to advise local recipients of the California Adult Education Program (CAEP) funds of accountability requirements in the 2019–20 Program Year. This letter and the enclosed documents outlining data collection, reporting, FAQs, and due dates for data deliverables are located in the [Student Data Collection and Reporting](#) section of the adult education website and will provide further clarification and details on program accountability requirements. Failure to comply with any requirements or deliverable deadlines will be cause for withholding Adult Education Program apportionment payments until requirements are met and performance is considered satisfactory.

Data Accountability Requirements

Consortia receiving Adult Education Program funding from the California Department of Education (CDE) and the California Community College Chancellor’s Office (CCCCO) for the 2019–20 program year must submit the required student data. The CDE and CCCCCO require all Adult Education Program agencies to use the following systems to track adult learner progress in the seven authorized program areas and report achievements from the six-outcome areas designated by AB104:

- K12 agencies, County Offices of Education (COE), and Joint Powers Authority (JPA) are required to use TOPSpro® Enterprise to collect and report adult learner demographics, barriers, and program outcome information.
- California Community College Districts (CCDs) are required to use the Chancellor’s Office Management Information System (MIS) to enter their adult learner demographics, barriers, and program outcome information. (See enclosed FAQs on MIS reporting).

Note: CCDs that receive WIOA II funding for services under the Adult Education and Family Literacy Act (AEFLA) are required to collect and report adult learner demographics, barriers, and program outcomes for their WIOA II funded programs and students using TOPSpro® Enterprise. In addition, CCDs receiving WIOA II funding must enter all adult learner demographics, barriers, and program outcomes into their MIS system. Finally, CCDs that are WIOA Title II grantees will continue to collect and report CASAS assessment results using TOPSpro® Enterprise.

Program Changes for 19-20: the following is a short list of student data reporting changes for the CAEP that will be effective July 1, 2019. These program changes will affect all reporting district/agencies for TOPSPro and MIS reporting of CAEP student data. For more details, you may attend upcoming regional training and/or listen to webinars that cover the

changes.

- CAEP will not track service hours in 19-20. (However, we are still tracking services).
- Agencies will record student barriers at intake (applies to all program areas).
- The Passage of Exam Measurable Skills Gain for WIOA I will align with the CAEP Occupational Skills Gain and Workforce Preparation Outcome.
- State level reports will roll up the three Career Technical Education program areas into one CTE reporting program. However, local districts/agencies may continue to report in those three program areas (short-term vocational, workforce reentry (now called workforce preparation), and pre-apprenticeship).
- For state and local level reports in TOPSPro and Launchboard, “Adults Served” is a required reporting category in AB104 and will be a summary count of anyone with at least 1 instructional contact hour or who received a service.
- In addition, “Adults Served” will be disaggregated in counts by CASAS and the LaunchBoard to identify ‘service only’ students, students receiving 1-11 instructional contact hours, and ‘participants’ who received 12 or more instructional contact hours over a single program year.

MIS Reporting Parameters: There are no separate reporting deadlines for data collected and entered into MIS. Colleges should capture all data relevant to their students and ensure it is entered completely into their local MIS system. Colleges will submit their adult education data through their college’s regular data uploads to the Chancellor’s Office. There is no separate submission of MIS data to the Chancellor’s Office for adult education students.

Regardless of whether colleges report data through TOPSpro® Enterprise for WIOA TITLE II, colleges are also expected to capture and enter all student data elements into their MIS system.

Enrollment, demographics, barriers, and most student outcomes for noncredit adult education students rely almost exclusively on data entered into the MIS system to populate the LaunchBoard Adult Education Pipeline and for populating the adult education metrics in the new Student Success Metrics dashboards. Failure to enter all student data into MIS could result in underreporting of student data in the LaunchBoard, the Student Success Metrics, and in end of year reporting to the legislature. The two exceptions to this for 19-20, would be the reporting of Educational Functioning Levels (EFLs), and high school diplomas / high school equivalency. For more details, please see the FAQs section of this document.

Please refer to the documents listed below for additional details on Adult Education Program data and accountability requirements, which are available in the [Student Data Collection and Reporting](#) section of the California Adult Education website:

- Adult Education Data Collection Reporting and Due Dates (see enclosure)
- [Adult Education Dashboard Data Element Dictionary](#)
- Adult Education Data and Accountability Guidance for 19/20 (this letter)
- [Measuring Our Success: Data and Accountability](#)
- Additional clarifying documentation (FAQs) for 19/20 on data collection and measurable skill gains (see enclosure)

Data Accountability Training

The Adult Education Program Office has contracted with the Sacramento County Office of Education (SCOE) to create the Technical Assistance Project (TAP), which offers online and in-person trainings regarding a variety of topics, including meeting Adult Education Program accountability requirements, implementing approved assessments, and using the two data collection systems. The state office strongly encourages local agencies to attend all available online and in-person accountability training, and to adopt a team approach for trainings and continuous improvement in managing student data outcomes. Positive student learning outcomes drive future grant funding in California's delivery system. Currently, the TAP is coordinating eight regional training events around the State between August and November. More details regarding these training sessions are available on the [Events](#) page of the California Adult Education website. Look for updates in the CAEP weekly newsletter.

Technical Assistance Contact Information

For questions related to the CAEP or fiscal information and/or technical assistance on professional development topics, please contact the CAEP Technical Assistance Project (TAP) by phone at 1- 888-827-2324 or by e-mail at tap@aebg.org.

Sincerely,

Neil Kelly
Adult Education Program Office

Enclosure: 2019-20 CAEP Data Collection, Reporting, FAQs, and Due Dates for Data Deliverables

2019-20 CAEP Data Collection, Reporting, and Due Dates for Data Deliverables

Due Dates for CAEP Data Submission Using TOPSpro® Enterprise

1. Submit quarterly and end-of-year data in TOPSpro® Enterprise. Complete all data entry and review to identify any potential problems on or before the submission due date. All data submissions must be received on or before the due date.
2. Agencies using Third-Party Attendance Software must export data from their system and import into TOPSpro® Enterprise. Please see the instructions regarding exchanging data with TOPSpro® Enterprise posted on the Comprehensive Adult Student Assessment Systems (CASAS) website at [3rd Party Import/Export Wizard](#).
3. Agencies are required to submit a PDF copy of the CAEP Data Integrity Report.

Data Submission	Due Date	Submit Electronically
First Quarter Data	October 31, 2019	Via TOPSpro® Enterprise
First Quarter CAEP Data Integrity Report	October 31, 2019	E-mail to caep@casas.org (or fax to 858-292-2910)
Second Quarter Data	January 31, 2020	Via TOPSpro® Enterprise
Second Quarter CAEP Data Integrity Report	January 31, 2020	E-mail to caep@casas.org (or fax to 858-292-2910)
Third Quarter Data	April 30, 2020	Via TOPSpro® Enterprise
Third Quarter CAEP Data Integrity Report	April 30, 2020	E-mail to caep@casas.org (or fax to 858-292-2910)
End-of-Year Data	August 1, 2020	Via TOPSpro® Enterprise
Fourth Quarter Data Integrity Report	August 1, 2020	E-mail to caep@casas.org (or fax to 858-292-2910)

Critical TE Reports

The TOPSpro® Enterprise reports listed below are designed to guide you in the process of submitting complete and accurate data.

1. CAEP Data Integrity Report
On the Reports menu, go to **State Reports – California – CAEP Data Integrity**. This report provides comprehensive information on key items associated with

data collection requirements, data completeness, and program performance indicators.

2. CAEP Summary Report

On the Reports menu, go to **State Reports – California – CAEP Tables**. The CAEP Summary Report provides enrollment and outcome data for all CAEP program areas.

INSTRUCTIONS

Submit Your TOPSpro® Enterprise Data Online

- For agencies using TOPSpro® Enterprise Online, once you submit your agency's **CAEP Data Integrity Report**, CASAS will consider your data to be complete and submitted.

If you have any questions regarding these requirements or the end-of-year data submission process, please e-mail caep@casas.org. If you need help using TOPSpro® Enterprise, please contact CASAS Technical Support, by phone at 800-255-1036 or by e-mail at techsupport@casas.org.

FAQs on Community College MIS Reporting System

REPORTING ADULT ED LEARNING GAINS / MSGs IN MIS

Question: Practitioners have asked many questions about the reporting of measurable skills gains through TOPSpro® Enterprise vs capturing them through MIS. There are too many questions to answer individually without excessive duplication, so we have developed the following general guidance, which addresses the range of questions that have been submitted to the CAEP TAP and the State CAEP Office.

Response: CAEP has multiple methods for capturing measurable skills gains in basic skills or ESL. These include:

- For K12 adult schools or colleges that receive WIOA Title II funding through the California Department of Education, CAEP captures information on students that attained an increase in their Educational Functioning Level from data reported to CASAS through TOPSpro® Enterprise. CASAS provides annual updates to the Chancellor's Office for populating the LaunchBoard AE Pipeline dashboard and for the annual report to the legislature. This data is based on pre and post-testing protocols using the CASAS standardized assessment.
- For colleges that do not receive WIOA Title II funding and do not use a standardized assessment for pre and post testing their adult learners, CAEP captures skills gains by capturing course progression using the CB21 rubric and course flags for course level prior to college level. The calculation for this method is based on subsequent enrollment in a higher-level course in the sequence. For example, if a student is enrolled in an ESL course flagged as CB21 level D and subsequently enrolls into a course flagged as CB21 level C, they are automatically captured as having achieved a measurable skills gain. There is no separate reporting for these students, however colleges should review the CB21 coding of their basic skills and ESL courses to ensure that data captured using this methodology is accurate.
- For colleges that do not receive WIOA Title II funding, but who do conduct pre and post testing of students using a federally approved testing instrument such as CASAS or TABE, the Chancellor's Office has created new student data element SA07. SA07 allows the college to identify the educational functioning level of the student based on the cut scores for that instrument (available from the testing provider). SA07 should be entered for the student upon their initial assessment and every time the student is reassessed using the same instrument. SA07 creates a new date stamped record every time it is updated for the student. CAEP uses the updated records to identify when a student has been assessed at a higher educational functioning level and captures that as a measurable skills gain in the LaunchBoard and for reporting to the legislature. (Please note: there is an issue with using SA07 currently. We hope to get the problem corrected during the 19-20 program year).

Practitioners have asked if it is possible to enter CASAS or TABE scores directly into MIS. It is not possible to enter test scores directly. Colleges who use these instruments are responsible for

using the EFL cut scores from the test provider to identify the EFL level of their students and enter the EFL level using SA07.

The three methods for capturing measurable skills gains for students are designed to account for the different ways in which colleges are capturing skills progression in basic skills or ESL noncredit programs. The use of any standardized assessment as a diagnostic instrument for capturing skills gains is a local control decision by colleges and is not required for the receipt of CAEP funding, but the use of CASAS as an assessment *is* required for any college receiving WIOA Title II funding. Colleges are expected to rigorously follow all testing and reporting requirements by the California Department of Education related to the WIOA Title II funded programs and students.

Practitioners have asked if there are priorities for which methodology colleges should use to capture and report their data related to measurable skills gains. For the purpose of displaying data in the LaunchBoard and end of year reporting to the legislature, the CASAS TOPSpro[®] Enterprise and MIS data sets are matched and analyzed to identify if a student has achieved a skills gain in *either* data set, which is then recorded as a positive result. TE and MIS both show a positive result for the student; the result is de-duplicated to avoid a duplicate count.

Question: I am a WIOA II community college grantee. Do I have to report my EFLs and High School Diploma / High School equivalency outcomes in MIS for 19-20?

Response: No. For community colleges that receive WIOA Title II funding through the California Department of Education, CAEP captures information on students that attained an increase in their Educational Functioning Level, passed their High School Equivalency, or received a High School Diploma from data reported to CASAS through TOPSpro[®] Enterprise. CASAS provides annual updates to the Chancellor's Office for populating the LaunchBoard AE Pipeline dashboard and for the annual report to the legislature. The EFL data is based on pre and post-testing protocols using the CASAS standardized assessment.

REPORTING TRANSITION SERVICES IN MIS

Question: My college is at the adult school offering transition services to students not yet enrolled at my college. What do I do? My consortium wants my college to document our work to justify funding.

How can MIS track participants in support services even without enrollment records?

Response: All colleges have the ability to create student records manually for students who did not enter the colleges through the regular application process. There are specific data elements for noncredit student support activities in MIS that can be used to capture the work you are doing with students for transition support. You should talk to your research, IT, and counseling departments at the college to identify the preferred process for your institution. Because of the CAEP policy changes for 19-20, all CAEP agencies will report only the service contacts and the type of service delivered. The CAEP is not requiring the tracking of service hours for the 19-20 program year. Tracking service contact types and how those align with student outcomes is an area that the CAEP State Office will continue to explore.

COMMUNITY COLLEGES PROCESS FOR REPORTING WIOA II & MIS ADULT ED STUDENT DATA

Question: Practitioners have asked if they are receiving WIOA Title II funding and report to CDE using TOPSpro® Enterprise whether they still have to report through MIS and have asked multiple questions regarding how the reporting process works through MIS as well as reporting deadlines for MIS Reporting.

Response: Colleges should collect and maintain complete student records including all data elements required by the Chancellor's Office in their MIS system *regardless* of what other reporting requirements they may have related to other funding they receive. Colleges who receive any other funding source, such as WIOA Title II or Perkins, are subject to all the reporting requirements of those other sources as well as the general mandate as colleges to maintain complete student records and data in their MIS systems. By choosing to receive WIOA Title II funding and having to report data to CDE for those funds, it in no way lessens the burden to maintain complete data records of students in MIS.

There is no separate reporting process for collecting CAEP noncredit student data through MIS. Virtually all the student data pulled from MIS is based on the student's enrollment record and uses existing course codes and other data elements to help identify student characteristics, enrollment, completion and other outcomes. Practitioners have expressed confusion regarding this process. Here are some important things to understand about the college MIS submission process:

- All community colleges upload their MIS records approximately 30 days after the end of the term. Because colleges have different term dates, the actual submissions may vary.
- Every college has its own timeline for when they pull their data from their local system and prepare it for submission to the Chancellor's Office. You should communicate with your research or IT office to find out if your college has internal deadlines for updating data for submission
- Because of the variation in submissions by institutions, we strongly recommend that practitioners review and update their data at the end of every term to ensure that data uploads for your institution are complete.

Practitioners should review and validate their data in MIS just as they would for any other student and should work with their research office or IT department for the best way to review that data. Practitioners should be working closely with their research or IT departments on any questions about data entry, data validation, or the process for data cleanup for submission to the Chancellor's Office. These should be existing, well established processes at your college.

While the majority of student, course, and program data elements should be captured in MIS through the process of enrollment and registration, there are some student characteristics data elements, which colleges should review on a regular basis to ensure that their data is complete. These are flags which are not attached to a course and therefore must be entered by the college for the individual student. These include:

- Student Barriers to Employment data elements (there are multiple SG data elements that correspond to the CAEP and WIOA Special Populations)

- SB23 - Student apprenticeship status (used for pre-apprenticeship students)
- SA07 - Student Educational Functioning Level
- SG10 - Student participation in Integrated Education and Training status
- SG21 - Student Work Based Learning Status

Regarding the use of SA07: For colleges that do not receive WIOA Title II funding, but who do conduct pre and post testing of students using a federally approved testing instrument such as CASAS or TABE, the Chancellor's Office has created the student data element SA07. The Student Educational Functioning Level (SA07) is the most sensitive as it can be updated every time the student is assessed to identify the student has attained a new educational functioning level (EFL). Practitioners using SA07 are strongly urged to review this data for their students at the end of every term to ensure that it is up to date in their local MIS system.

Detailed descriptions of each of these flags are available in the CCCCO Data Element Dictionary on the [chancellor's office web site](#).

Practitioners have asked if they can choose to use TOPSpro® Enterprise instead of MIS to report their student data. The answer is no. The majority of student information used in the LaunchBoard and for reporting to the legislature is based on information collected and stored in MIS. In very limited circumstances, such as EFL attainment and high school diploma / high school equivalency, the LaunchBoard calculations look at both the CASAS data and MIS as a part of the calculation. The enrollment and student records in MIS are a much more accurate and validated source of information for student data than data extracted from MIS and reported through a third party reporting tool.

ENTERING DATA INTO SA07 FOR EDUCATION FUNCTIONING LEVEL ATTAINMENT

Question: I am unable to enter data into SA07 because it requires an entry into SA01 for the type of assessment used, however the federally approved assessment our college uses is not listed in SA01 so we are unable to enter data into SA07.

Response: When SA07 was created, we were unaware that it included an internal logic check for a value in SA01. This is an issue identified by many colleges affecting their data entry. Because the assessments for EFL attainment are not being used for placement, we believe this logic check should not be in place and we are working within the Chancellor's Office for a fix to this issue. We hope to have a solution by the fall of 2019.

DATA ELEMENTS FOR MIS

Question: What is the complete list of data elements that have been highlighted in the Launchboard for adult education program reporting? Please provide an explanation of which data elements are being collected through TOPSPro, which data elements are being collected through MIS, and a timeline of when those data elements will start being collected through MIS. How do colleges check for complete data or missing data in MIS before it is due? In TE, there is the DIR and AEBG summary tables to review. What is the tool in MIS?

Response: There is a complete Data Element Dictionary posted to the caladulted.org website that identifies every data element in every calculation for data displayed in the [Adult Education LaunchBoard](#). As of this moment, we do not have a single list of every MIS data element identified in the dictionary, but based on the request we will ask for one to be compiled.

Colleges should have regular process for data validation and review before their regular data uploads to the Chancellor's Office. Practitioners should consult with their Research and IT offices to learn more about the processes at their institution.