

WIOA, Title II: AEFLA and CAEP Data Submission Guidelines

Presented by:
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- **Overview of Data Submission Requirements**
- **Data Review**
 - Prepare Data
 - National Reporting System (NRS) Data Integrity Report (DIR)
 - California Adult Education Program (CEP) Data Integrity Report (DIR)
- **Data Submission**
 - Employment and Earnings Follow-up Survey
 - Quarterly Data Submission Wizard
- **WIOA, Title II Funded Agencies only**
 - Second Quarter Expenditure Claim Report
 - CASAS Implementation Training
 - California Accountability Training

Overview of Data Submission Requirements

WHAT and WHEN deliverables are due?

- There reports should include data from **July 1, 2023, to December 31, 2023:**

Deliverable	Required for WIOA, Title II	Required for CAEP
Second Quarter Data, TOPSpro® Enterprise	Y	Y
Data Integrity Report	Y	Y
Second Quarter Expenditure Claim Report	Y	
Employment and Earnings Follow-up Survey	Y	Y
CASAS Implementation Training	Y	
California Accountability Training	Y	

DUE January 31, 2024

HOW to submit the Deliverables?

- **Employment and Earnings Follow-up Survey**
 - Complete steps electronically via TE
 - Nothing to send to CASAS
- **2nd Quarter TOPSpro® Enterprise (TE) Data**
 - Enter data electronically via TE only
 - Nothing to send – Data already hosted on our Online Server
- **2nd Quarter NRS Data Integrity Report (DIR)**
 - Quarterly Data Submission Wizard
- **2nd Quarter Expenditure Claim Report**
 - Complete steps electronically in the OTAN website
- **CDE Required Certification Trainings**
 - California Accountability Training completion
 - CASAS Implementation Training

Data Review



Quick Checklist:

☐ Review Class Instances

- ☐ Focus Areas, Special Programs, Distance Learning, etc.
- ☐ CTE Classes: Add CIP and A/22 Codes **(Required)**.

☐ Enter/Verify DAILY and UPDATE/Cumulated attendance hours

- ☐ Verify data. Review if you have hybrid instruction and others switched to all distance education models. Be sure that whatever your agency is currently doing is accurately reflected in TE.

☐ Enter/Verify all assessments

- ☐ If EL Civics funded, additional assessments

☐ Student Information

- ☐ Clean-up Duplicated Students
- ☐ Obtain all GED ID's or HiSET IDs, if applicable



- Generate in TE: **Reports > Data Management > NRS Data Integrity**

TE

ViewOrganizationRecordsReportsToolsHelp

User: Administrator 47Version: 4.1 build 12

NRS Data Integrity

4908 - Rolling Hills Adult School (RHAS)SubsitesGenerateInfoView Reporting Session(Default)Edit Parameters(Default)More

General Settings

Class Definitions

Class Instances

Student In Program Years

Student Records

Class Enrollments

Program Enrollments

Assessment Forms

Tests

Report Selection

Session Name

Session NameNRS Data Integrity on January 18, 2024 at 07:53:00 by administrator47@rhas.org

Session Comments

Common Filters

Program Years

Current Program Year

7/1/2024 - 6/30/2025

7/1/2023 - 6/30/2024

7/1/2022 - 6/30/2023

7/1/2021 - 6/30/2022

7/1/2020 - 6/30/2021

7/1/2019 - 6/30/2018

Programs:

☐ N/A

☒ Basic Skills (ABE)

☒ ESL/ELL

☐ Citizenship

☒ High School Diploma

☒ HSE

☐ Career and Technical Education (CTE)

☐ Workforce Preparation

☐ Adults w/Disabilities

☐ Adults supporting K12 student success

☐ Other Program

☐ ROCP


☐ Pre-Apprenticeship

Date Ranges

Activity date: N/Afrom:to:



- **Period of Participation (PoP)** is a participant's uninterrupted period of attendance.
- An individual becomes a participant once they have attained 12 hours of instruction within a PoP.
- PoP ends at 90 days without attendance.

		NRS Data Integrity			Page 1 of 3	
01/18/2024 07:54:32		by Agency			NRSDIR2	
Agency: 4908 - Rolling Hills Adult School (RHAS)			Program Year: 2023-2024			
Summary Information	Without PoP	2023-2024	PoP 1	PoP 2	PoP 3	PoP 4
Total WIOA Title II Learners	77	649	572	28	0	0
Learners Concurrently Enrolled in High School/K12	2	37	35	2	0	0
Total Learners eligible for WIOA Title II	75	612	537	26	0	0

- Summary Information at the top of the report separates item count of eligible students by number of PoPs
- **Note:** If a student has no hours, and no tests – then that student will qualify for WIOA II, but not officially register for a PoP.

- The NRS Data Integrity has the same drill down options as NRS Table 4, and a couple DIR specific options as well.

Item	Description	Last PoP or Current Enrollment		PoP 1		PoP
		#	%	#	%	#
01	Missing Birthdate or outside 16-110					
02	Less than 12 Hours of Instruction	23				
02a	Zero or Empty Hours of Instruction	12				
02b	Total hours between 1-11 hours	11				
03	No Highest Year of School/Degree Earned					
03a	No Highest Year of School					
03b	No Highest Degree Earned					
04	No Gender					
05	No Race/Ethnicity					
06	Total Reported Labor Force Status	61				
06a	Total 'Employed'	24				
06b	Total 'Employed with notice'					
06c	Total 'Unemployed'	251	41%			

Students - In Program Years Population

Student Population

Student - Demographic History Population

Students - Records Population

Programs - Enrollments Population

Classes - Records Population

Student Assessment Population

Drill Down to Data Integrity Detail

Drill Down to NRS Monitor

Drill Down to Assessments Audit

- **Items 1-10** include most of the key requirements for federal reporting and drop reasons that prevent students from qualifying.

Item	Description
01	Missing Birthdate or outside 16-110
02	Less than 12 Hours of Instruction
02a	Zero or Empty Hours of Instruction
02b	Total hours between 1-11 hours
03	No Highest Year of School/Degree Earned
03a	No Highest Year of School
03b	No Highest Degree Earned
04	No Gender
05	No Race/Ethnicity
06	Total Reported Labor Force Status
06a	Total 'Employed'
06b	Total 'Employed with notice'
06c	Total 'Unemployed'
06d	Total 'Not in Labor Force'
06e	Total missing Labor Force Status
08	No valid pretest
09	Valid pretest with no post-test
09x	Valid pretest with no post-test in any area
09a	Valid pretest with no post-test, excluding those who earned HSE/HSD
09ax	Valid pretest with no post-test in any area, excluding those who earned HSE/HSD
09b	No post-test and pretest below ASE High
09bx	Post-test and pretest below ASE High in any area
09c	Valid pretest with no post-test, excluding those with MSG
09cx	Valid pretest with no post-test in any area, excluding those with MSG
10a	Pre-/post-test pair in any area
10b	Pre-/post-test pair in any area, and have not completed a level

- **Items 11-16** detail NRS specific conditions such as criteria for exit and periods of participation

11a	Achieved Educational Functional Level Gain with pre- and post-testing
11b	Achieved Educational Functional Level Gain with High School credits earned
11c	Achieved Educational Functional Level Gain with Post-Secondary Outcome
12a	Passed HSE
12b	Passed HSE but instructional program not HSE
12c	Passed HSE but Highest Degree Earned is HSE or higher
13a	Earned HS diploma
13b	Earned HS diploma but instructional program not HS diploma
14a	Only One Period of Participation
14b	More than One Period of Participation
14c	Continuous Period of Participation due to Retained in Program
15a	With 90-97 days between Dates of Service
15b	With 83-89 days between Dates of Service
16	Enrolled in Integrated Education and Training (IET)
16a	Enrolled in IET or workplace literacy (VABE/VESL)
16b	Earned IET or workplace literacy MSG

- **Items 17-22** include items that don't directly contribute to results on NRS tables but represent key state and federal priorities.

17	No Primary Goal	1	0%
18	No Secondary Goal	1	0%
19	At least one Barrier to Employment	612	100%
19a	Multiple Barriers to Employment	557	91%
19b	No Barriers to Employment	0	0%
20	Co-enrolled in WIOA Titles I, III, or IV	4	1%
21	Pretest in any area in the conservative estimate range	42	7%
22a	Pre-/post-test pair in any area but less than 40 hours of instruction	36	6%
22b	No pre-/post-test pair but 40+ hours of instruction	24	4%
22bx	Pre-/post-test pair in any area, with 40+ hours of instruction	51	8%
22c	No pre-/post-test pair but 70+ hours of instruction	5	1%
22cx	Pre-/post-test pair in any area with 70+ hours of instruction	23	4%

- **Items 30-33 –NEW**, include items that are helpful in the results for Federal Table 5 and 5A, Primary Indicators of Performance - Employment & Earnings.

30	SSN not provided
30a	SSN not provided with signed consent
30b	SSN not provided without signed consent
30c	Provided SSN without signed consent
30d	ITIN not provided
30e	Neither SSN nor ITIN are provided
30f	SSN number out of range
30g	ITIN number out of range
31	Missing Phone number
32	Missing Mobile number
33	Missing Email Address

California Adult Education Program (CAEP) Data Integrity Report (DIR)

- Generate in TE: **Reports > State Reports > CAEP Data Integrity Report**

TE View Organization Records Reports Tools Help User: Administrator 60 Version: 4.1 build 7

CAEP Data Integrity Pages

Report Setup Navigator 4908 - Rolling Hills Adult School (RHAS) Subsites Generate View Reporting Session (Default) Edit Parameters (Default) More

General Settings

- Class Definitions
- Class Personnel
- Class Instances
- Student In Program Years
- Student Records
- Class Enrollments
- Program Enrollments
- Additional Assessments
- Assessment Forms
- Tests
- Report Selection

Session Name

Session Name: CAEP Data Integrity on October 17, 2023 at 20:59:09 by administrator60@rhas.org

Session Comments:

Common Filters

Program Years: ☒ Current Program Year ☐ 7/1/2024 - 6/30/2025 ☐ 7/1/2023 - 6/30/2024 ☐ 7/1/2022 - 6/30/2023 ☐ 7/1/2021 - 6/30/2022 ☐ 7/1/2020 - 6/30/2021 ☐ 7/1/2019 - 6/30/2018

Programs:

<input type="radio"/> N/A	<input checked="" type="checkbox"/> High School Diploma	<input checked="" type="checkbox"/> Adults w/Disabilities	<input checked="" type="checkbox"/> Pre-Apprenticeship
<input checked="" type="checkbox"/> Basic Skills (ABE)	<input checked="" type="checkbox"/> HSE	<input checked="" type="checkbox"/> Adults supporting K12 student success	
<input checked="" type="checkbox"/> ESL/ELL	<input checked="" type="checkbox"/> Career and Technical Education (CTE)	<input type="checkbox"/> Other Program	
<input type="checkbox"/> Citizenship	<input checked="" type="checkbox"/> Workforce Preparation	<input type="checkbox"/> ROCP	

Date Ranges

Activity date: N/A from: to:

- Summary Information indicates the number of students in the Services Section, as well as the number of students enrolled in the 7 CAEP programs.
- CAEP DIR shows CAEP specific items, but works the same as the NRS DIR.

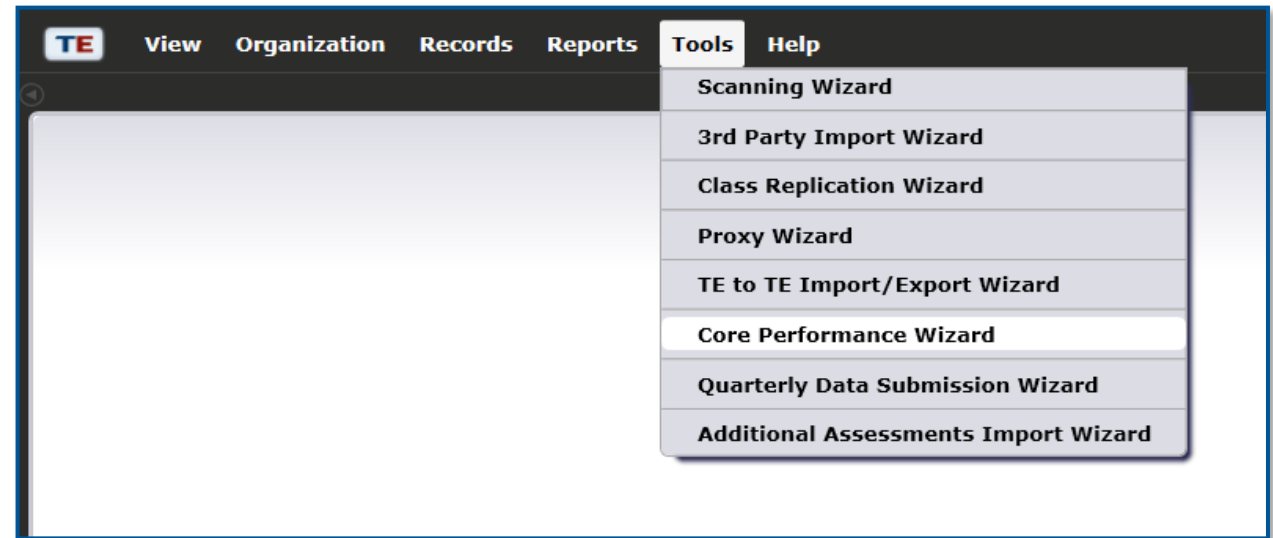
Summary Information	
Selected Students	806
Students not enrolled in the 7 CAEP programs	2
Missing birthdate or age outside 18-110 and did not have CAEP Program	0
Marked Literacy Gains Outcome but did not have CAEP program	0
Marked HSD/HSE Outcome but did not have CAEP Program	0
Marked Post-Secondary Outcome for CAEP but did not have CAEP Program	0
Marked Employment Outcome but did not have CAEP Program	0
Marked Wages Outcome but did not have CAEP Program	0
Marked Transition Outcome but did not have CAEP Program	0
Students enrolled in the 7 CAEP programs	804
Students Concurrently Enrolled in High School/K12	66
Students eligible for Data Integrity	738

Data Submission



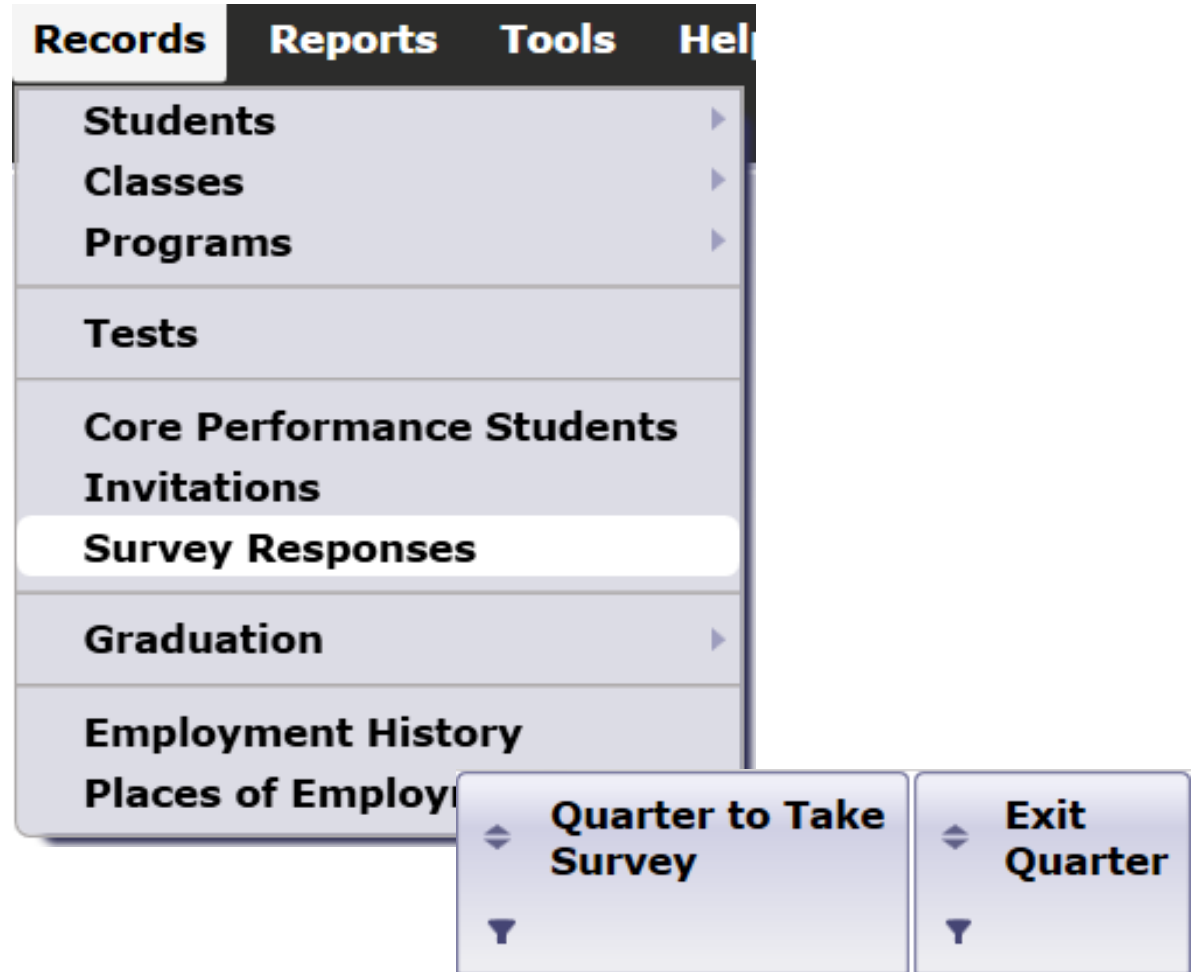
To Complete the Requirement:

1. Prepare Second Quarter data
2. Save your exit population for **PY 22-23 – Q4** using the Core Performance Wizard under **Tools > Core Performance Wizard**



3. Send required surveys to students who exited in **PY 2022-23 – Q2 and PY 2022-23 – Q4.**
4. View and manage current quarter invitations
5. Personally contact students who don't respond

[Employment and Earnings Survey Guidelines for WIOA, Title II and CAEP](#)



Quarterly Data Submission Wizard in TOPSpro Enterprise will submit the following:

For California WIOA, Title II: AEFLA:

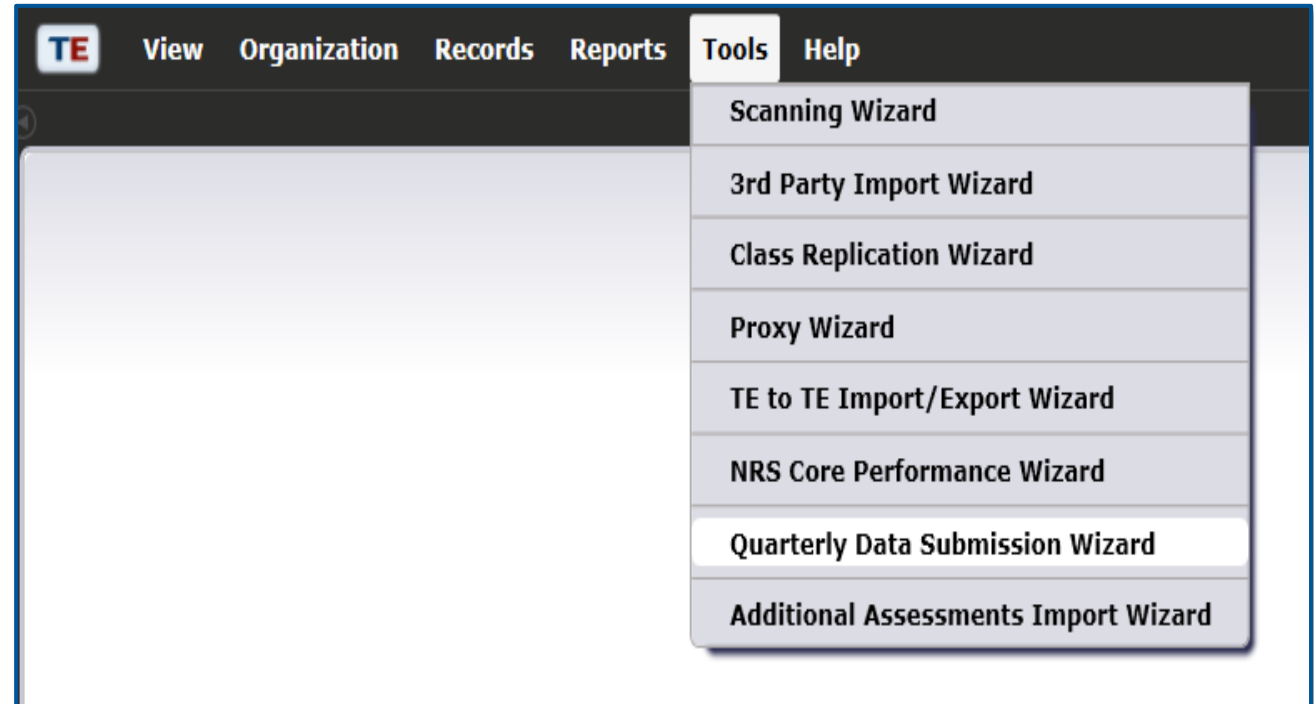
- Quarterly TOPSpro Enterprise Data
- NRS Data Integrity Report

For CAEP (California Adult Education Program):

- Quarterly TOPSpro Enterprise Data
- CAEP Data Integrity Report

[Step-by-Step Quarterly Data Submission Wizard Instructions](#)

1. Prepare your data
 - Finish entering data
 - Generate and review the reports **BEFORE** running the wizard
 - Make any corrections to data
2. Click on **Tools > Quarterly Data Submission Wizard**



3. Select Program Year, Data Submission Quarter, and Data Submission Purpose

Quarterly Data Submission Wizard

This wizard is designed to assist **California WIOA, Title II: AEFLA** and/or **California Adult Education Block Grant (CAEP)** funded agencies submit their required Quarterly Data Submissions.

For more information please contact CASAS at techsupport@casas.org.

Your agency and its current program year are automatically selected. Click the **Next** button to continue.

If you are planning to run the End of Year report and your agency has already switched to the new Program Year, please be sure to select the previous Program Year.

Select Agency: 4908 - Rolling Hills Adult School (RHAS)

Select Program Year: 7/1/2023 - 6/30/2024

Quarterly Data Submission Wizard

Please select the appropriate quarter given your selected program year, then click the **Next** button to continue.

The current quarter is selected by default, unless you selected the previous program year. If so, then the last quarter is selected by default.

If a quarter is disabled it means data has already been submitted for that quarter.
In case you want to repeat the submission for the respective quarter you should go to Organization -> Quarterly Data Submissions, edit the record for the quarter and click the Reenable Submission button.

Selected Program Year: 7/1/2023 - 6/30/2024

Select Data Submission Quarter: ☐ 1 ☒ 2 ☐ 3 ☐ 4 (EOY Submission)

Cancel << Back

Quarterly Data Submission Wizard

Please choose the Data Submission Purpose, then click the **Next** button to continue.

You can choose between:

- i. WIOA, Title II,
- ii. CAEP,
- iii. Both.

If a submission purpose is disabled it means data has already been submitted for that purpose.
In case you want to repeat the submission for the respective purpose you should go to Organization -> Quarterly Data Submissions, edit the record for the quarter and purpose, and click the Reenable Submission button.

Selected Program Year/Quarter: 7/1/2023 - 6/30/2024

Selected Data Submission Purpose: ☐ WIOA ☐ CAEP ☒ Both

Cancel << Back Next >>

- 4. Review the generated reports through the Wizard.

Quarterly Data Submission Wizard

Export

Print

04/10/2023
20:37:22

NRS Data Integrity

by Agency

Page 1 of 3

NRSDIR2

Agency: 4908 - Rolling Hills Adult School (RHAS)

Program Year: 2022-2023

Summary Information		Without PoP	2022-2023	PoP 1	PoP 2	PoP 3	PoP 4
Total WIOA Title II Learners		77	650	573	28	0	0
Learners Concurrently Enrolled in High School/K12		2	37	35	2	0	0
Total Learners eligible for WIOA Title II		75	613	538	26	0	0

Item	Description	Last PoP or Current Enrollment		PoP 1		PoP 2		PoP 3		PoP 4	
		#	%	#	%	#	%	#	%	#	%
01	Missing Birthdate or outside 16-110	3	0%								
02	Less than 12 Hours of Instruction	240	39%	168	31%	17	65%	0	0%	0	0%
02a	Zero or Empty Hours of Instruction	128	21%	51	9%	15	58%	0	0%	0	0%
02b	Total hours between 1-11 hours	112	18%	117	22%	2	8%	0	0%	0	0%
03	No Highest Year of School/Degree Earned	2	0%								
03a	No Highest Year of School	2	0%								
03b	No Highest Degree Earned	2	0%								
04	No Gender	0	0%								

Cancel

<< Back

Next >>

Quarterly Data Submission Wizard

Export

Print

04/10/2023
20:37:33

CAEP Data Integrity

Page 1 of 2

CAEPDI

Program Year: 2022-2023

Member: N/A

Agency: 4908 - Rolling Hills Adult School (RHAS)

Consortium: 28 - Capital Adult Education Regional Consortium

Summary Information	
Students in the Services Section	806
Students not enrolled in the 7 CAEP programs	1
Marked Literacy Gains Outcome but did not have CAEP program	0
Marked HSD/HSE Outcome but did not have CAEP Program	0
Marked Post-Secondary Outcome for CAEP but did not have CAEP Program	0
Marked Employment Outcome but did not have CAEP Program	0
Marked Wages Outcome but did not have CAEP Program	0
Marked Transition Outcome but did not have CAEP Program	0
Students enrolled in the 7 CAEP programs	805
Students Concurrently Enrolled in High School/K12	66
Students eligible for Data Integrity	739

Item Description	Item Count	Item Percent
------------------	------------	--------------

Cancel

<< Back

Next >>

- 5. Provide Feedback on Employment and Earnings Follow-up Initiatives

Quarterly Data Submission Wizard

Select the ways your agency is preparing participants to respond to the Employment and Earnings program surveys to increase survey response rates. This requirement **does not apply** if your data submission is for a Section 225 program.

This checklist contains four areas: **Intake & Exit** (collected on this page) and **Follow-up & Administration** (collected on the next page).

Select at least one option from any of these four areas. If your agency has not made any initiatives to improve your responses, please indicate how your agency will do so moving forward under "Other Initiatives" (see next page).

☐ Not applicable because this is a Section 225 program

Intake

☒ Provided "seamless" and "student friendly" intake procedure

☒ Emphasized importance of survey and correspondence upon intake

☒ Ensured it is easy and comfortable for students to provide SSN and other important personal contact information

☒ Collected accurate Student Contact Information – and review, correct, and update it frequently

☒ Tracked "at-risk" students with multiple barriers such as "economic migrants"

Exit

☒ Developed a formal process for student exit similar to intake process

☒ Identified exiters and provide "warning" in advance about follow-up communication

☒ Communicated with current students about follow up, not just exited students

Cancel

<< Back

Next >>

Quarterly Data Submission Wizard

Select the ways your agency is preparing participants to respond to the Employment and Earnings program surveys to increase survey response rates.

If your agency has not made any initiatives to improve your responses, please indicate how your agency will do so moving forward under "Other Initiatives".

Follow-up

☒ Developed an "Alumni Program" for previous students

☒ Considered additional emails (and other communication) to provide "reach out" and "warning" to students about follow up

☒ Identified optimal days and times to contact students

Administration

☒ Carefully considered which staff are responsible for follow up and documented plan in local policy

☒ Provided more student level incentives for survey responses and SSN

☒ Increased students' digital literacy skills

☒ Appealed to the local district, school board, or college board to develop policy to allow local collection of students' SSN that follows guidelines such as HIPAA and FERPA

☒ Other Initiatives

Other Initiatives:

Other Initiatives my agency is taking: Are expressed here...

Cancel

<< Back

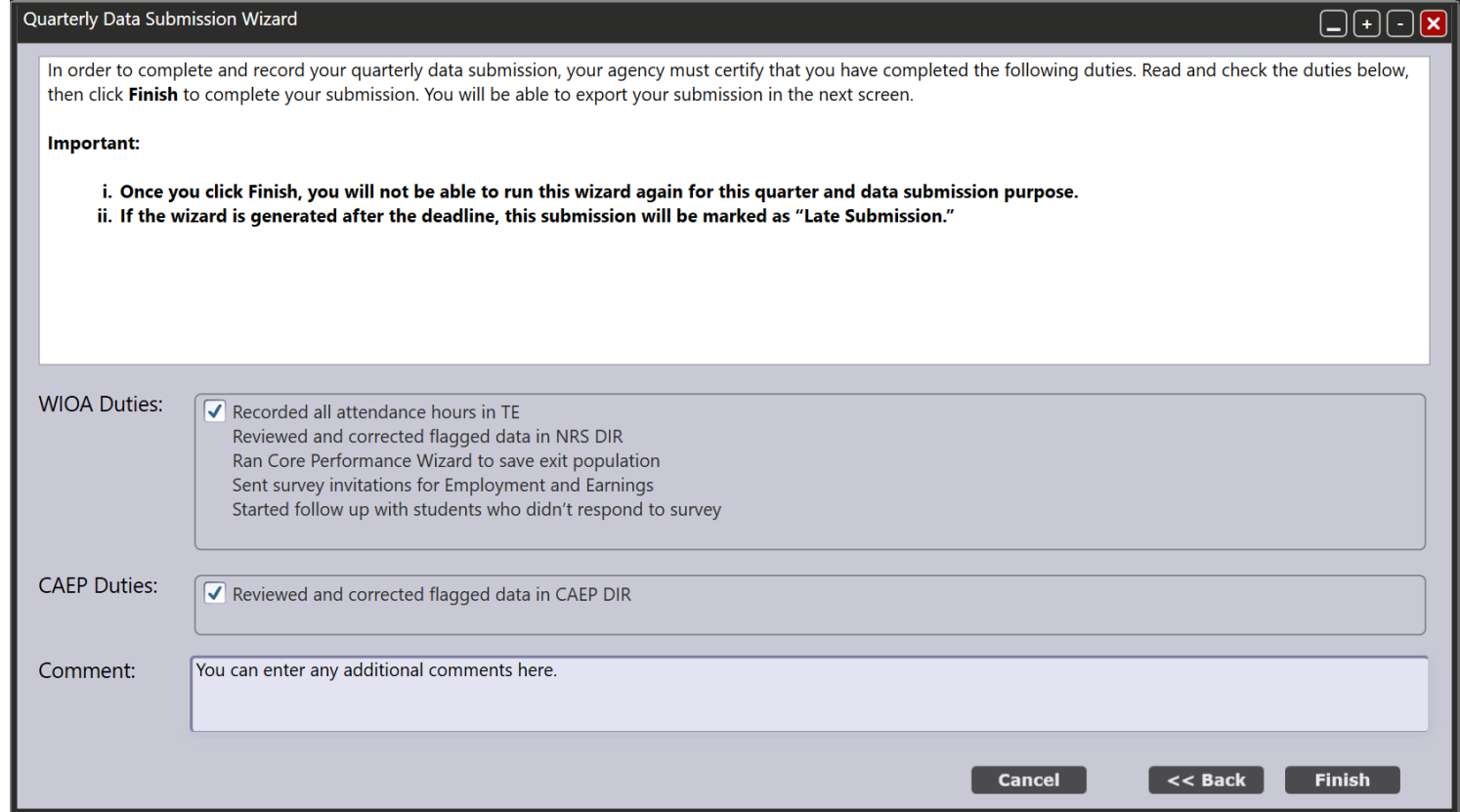
Next >>

6. Certify that your agency has completed the listed quarterly duties

7. Click **Finish**

8. Export and save submitted reports for your records

NOTE: For Quarters 1 through 3, agencies are only allowed to submit one time for each purpose. For End-of-Year submissions, the Wizard will allow agencies to resubmit. Call Tech Support to re-enable EoY Data Submission Wizard



The screenshot shows a window titled "Quarterly Data Submission Wizard". The window contains the following text and controls:

In order to complete and record your quarterly data submission, your agency must certify that you have completed the following duties. Read and check the duties below, then click **Finish** to complete your submission. You will be able to export your submission in the next screen.

Important:

- i. Once you click **Finish**, you will not be able to run this wizard again for this quarter and data submission purpose.
- ii. If the wizard is generated after the deadline, this submission will be marked as "Late Submission."

WIOA Duties:

- ☒ Recorded all attendance hours in TE
- Reviewed and corrected flagged data in NRS DIR
- Ran Core Performance Wizard to save exit population
- Sent survey invitations for Employment and Earnings
- Started follow up with students who didn't respond to survey

CAEP Duties:

- ☒ Reviewed and corrected flagged data in CAEP DIR

Comment:

You can enter any additional comments here.

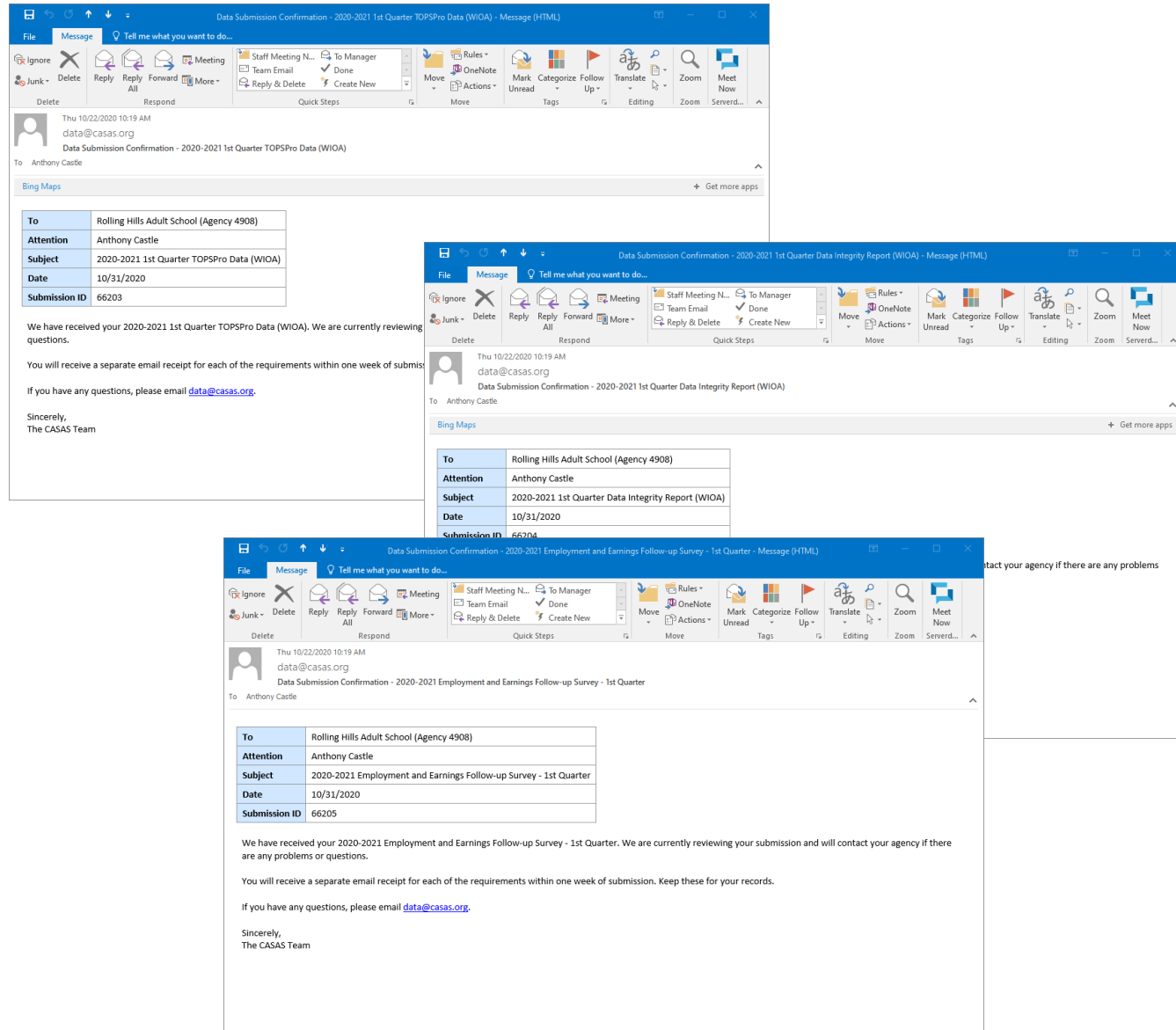
At the bottom right, there are three buttons: **Cancel**, **<< Back**, and **Finish**.

Confirm your Reports have been submitted:

- **Organization > Quarterly Data Submissions.**

Quarterly Data Sub...									
New 4908 - Rolling Hills Adult School (RHAS) Subsites Filter Columns Sort 1 / 8 Refresh Export Print (Default) Schema View Batch Delete More									
Program Year	Quarter	Agency ID	Agency Name	Data Submiss... Purpose	Is Late Submis...	Is Reen...	Last Generation Date	Last Generated By User Account	Last Generated By User Name
7/1/2023 - 6/30/2024	23-24 - Q2	4908	Rolling Hills Adult School (RHAS)	CAEP	No	No	1/28/24		
7/1/2023 - 6/30/2024	23-24 - Q2	4908	Rolling Hills Adult School (RHAS)	WIOA	No	No	1/28/24		
7/1/2023 - 6/30/2024	23-24 - Q1	4908	Rolling Hills Adult School (RHAS)	WIOA	No	No	10/29/23		
7/1/2023 - 6/30/2024	23-24 - Q1	4908	Rolling Hills Adult School (RHAS)	CAEP	No	No	10/29/23		
7/1/2023 - 6/30/2024	23-24 - Q4	4908	Rolling Hills Adult School (RHAS)	CAEP	No	No			
7/1/2023 - 6/30/2024	23-24 - Q4	4908	Rolling Hills Adult School (RHAS)	WIOA	No	No			
7/1/2023 - 6/30/2024	23-24 - Q3	4908	Rolling Hills Adult School (RHAS)	CAEP	No	No			
7/1/2023 - 6/30/2024	23-24 - Q3	4908	Rolling Hills Adult School (RHAS)	WIOA	No	No			

Data Submission Confirmation Emails



- Your agency's Primary Contact for CASAS will receive confirmation of your deliverables via email
- If you have changes to your Primary Contact, Online Main Point of Contact, and other staff changes, email contactinfo@casas.org

CDE Required Certification Trainings

For WIOA, Title II Funded agencies only

- Register for trainings and complete before January 31st

- California Accountability Training:

<https://www.caadulthoodtraining.org/>

- CASAS Implementation Training:

It can be any of these trainings: Module 1, 2, 3, 4a, 4b, Proctor or Coordinator Certification Trainings.

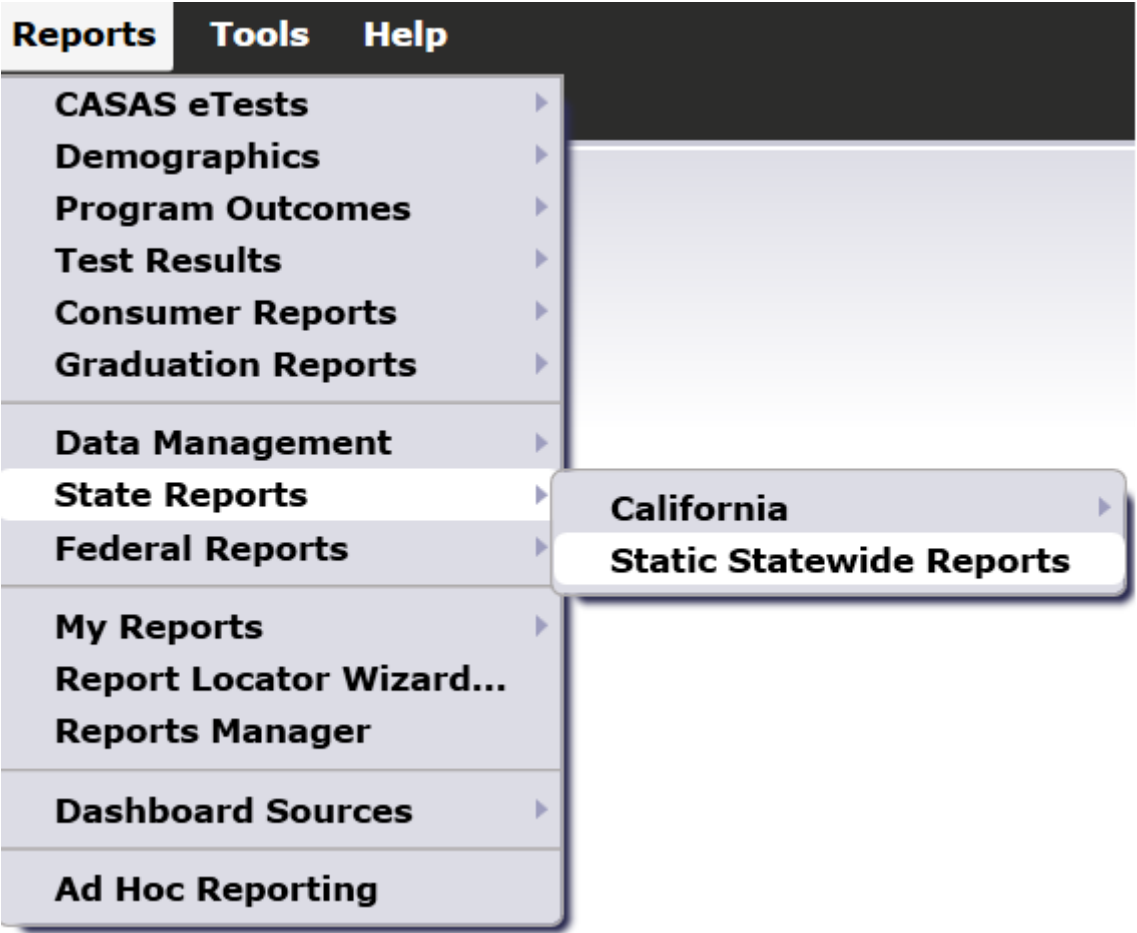
<https://www.caadulthoodtraining.org/>

<https://training.casas.org>

Static Statewide Reports



- Where to find them in TE: Reports > State Reports > Static Statewide Reports.



Second Quarter Expenditure Claim Report

For WIOA, Title II Funded Agencies only

- Complete and submit the claim on the [California Adult Education Online Application and Reporting.](#)
- Login and electronic approval required.
- Questions: Contact OTAN Technical Support:
- <https://caadulthoodreporting.org/Support/ContactOTAN>

- **Accountability Requirements and Data Submission Information:**
<https://www.casas.org/training-and-support/casas-peer-communities/california-adult-education-accountability-and-assessment/cde-beginning-and-end-of-year-letters-for-accountability-requirements>
- **All things Employment and Earnings Follow-up Survey:**
<https://www.casas.org/training-and-support/casas-peer-communities/california-adult-education-accountability-and-assessment/ca-follow-up-survey>
- **Statewide and Regional Network Meetings**
<https://www.caadultedtraining.org>

Questions?



CASAS Resources

Other Resources:

- capm@casas.org – Questions about your WIOA, Title II deliverables/reports
- caep@casas.org – Questions about your CAEP deliverables/reports
- elcivics@casas.org – Questions about COAAPs
- cit@casas.org – Questions about Citizenship

CASAS Technology Support Team

- Email: techsupport@casas.org
- Phone: 1-800-255-1036, Option 2
- Hours: Monday-Friday, 6:00 am to 5:00 pm



 [/CASASsystem](#)

 [/CASASSystem](#)

 [/CASASsystem](#)

 [/CASASAssessment](#)

