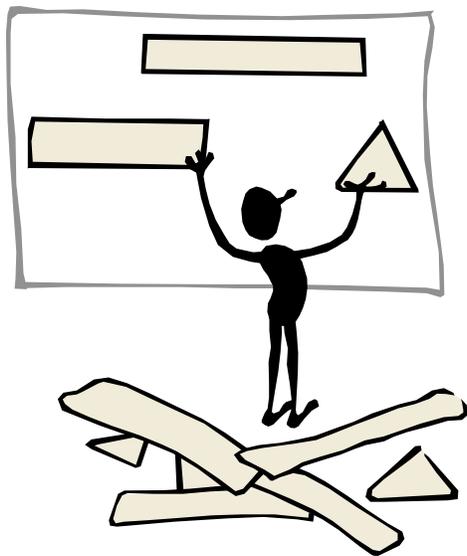


Perkins III Accountability Primer



**U.S. Department of Education
DVTE Division of Vocational Technical Education
PAB Program Analysis Branch
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Office of Vocational and Adult Education (OVAE)
Division of High School, Postsecondary and Career Education
PAB Performance and Accountability Branch**

The purpose of this primer is to introduce new state and program staff personnel to the accountability components of the Carl D. Perkins Vocational and Technical Education Act of 1998 (Perkins III). Hopefully this will be a useful introduction that can be continually updated by the new person or as a basis of introduction to other educators not familiar with Perkins accountability.

By the end of this primer you will be familiar with the following:

- ◆ Four Core Indicators
- ◆ Core Subindicators
- ◆ Who is a Participant?
- ◆ Who is a Concentrator?
- ◆ Who is a Completer?
- ◆ Measurement Approach
- ◆ Student Population
- ◆ Numerator and Denominator
- ◆ Baseline Data
- ◆ Negotiated Performance Level
- ◆ Data Quality
- ◆ Quality Criteria
- ◆ Scoring Guides
- ◆ Threshold Level
- ◆ Calculation of Baselines
- ◆ Calculation of Performance Levels



Table of Contents

Introduction

Core Indicator Framework Background

Purpose of Core Indicator Framework

Quality Criteria for Performance Measurement

Threshold Level of Vocational Education

Secondary Measurement Approaches

Postsecondary Measurement Approaches

Baseline Data

Performance Level Indicators

Career Clusters

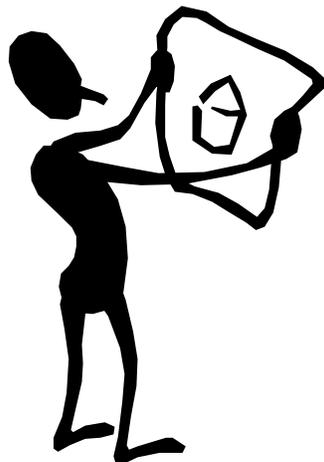
Tech-Prep

Special Populations

Peer Evaluation Resource Guide

Key Terms

Appendix



Introduction

The Carl D. Perkins Vocational and Technical Education Act of 1998 (Perkins III) require a continued federal and state commitment to performance measurement and accountability. Perkins III builds on significant past efforts to evaluate and improve vocational and technical education. The 1990 Perkins Act required States to develop and implement performance measures for vocational and technical education programs. These provisions made it necessary for states to develop at least one measure of student outcomes (competencies or skill attainment, retention or completion of school, or placement in additional training, education, military service or employment). Because States could choose a minimum of two indicators, the scope of the measurement systems developed was limited in comparison to what Perkins III requires. For example, 20 States did not measure either retention in, or completion of, secondary school by vocational education students. 32 States did not measure either retention in, or completion of, a postsecondary degree or certificate program by vocational education students.



The law gives States, school districts, and postsecondary institutions flexibility to design services and activities that meet the needs of their students and communities. In return for that flexibility, Perkins III establishes a rigorous State performance accountability system "to assess the effectiveness of the State in achieving statewide progress in vocational and technical education and to optimize the return of investment of Federal funds in vocational and technical education activities" (sec. 113(a)).

Whereas the 1990 Perkins Act focused on the development of the measures, Perkins III focused on the reporting of the information and the accountability of State and local recipients of Perkins funds for results. It also identified four core measures that every state must include in its system, rather than allowing states to choose a few outcomes to track. There was also a shift from measuring student gains to measuring student attainment. With the system, Congress and other major stakeholders expect OVAE and states to achieve and demonstrate results.

Perkins III requires states to work with OVAE to establish rigorous performance measures and standards for four core performance indicators and establish performance management systems that are fully capable of sustaining and reporting continuous improvement. States must report annually to the Department on their progress in achieving agreed-upon levels of performance (sec. 113(c)(1), (2)). The Secretary is required to make these reports available to the public and to Congress and to disseminate "State-by-State comparisons" of performance information (sec. 113(c)(3)). Incentive grants will be awarded to States that exceed agreed-upon performance levels for Perkins III, the Adult Education and Family Literacy Act, and employment-training services authorized under Title I of the Workforce Investment Act (sec. 503 of the Workforce Investment Act of 1998 (WIA)). Grants may be reduced to States that do not meet agreed-upon performance levels (sec. 123(d)(2)). Each State must annually evaluate the performance of its grantees using the performance indicators, and enter into a local improvement plan with grantees that are not making progress toward achieving the States' performance levels (sec. 123(c)).¹

¹ Core Indicator Framework. January 2000. Washington, DC

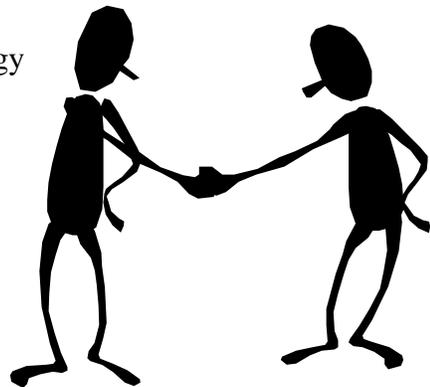
Core Indicator Framework Background

The Core Indicator Framework provides a detailed road map to the accountability components of Perkins III. A complete copy is available in the library section on the PCRN www.edcountability.net.

Federal and state policy-makers are increasingly seeing vocational education as a critical component of larger education and workforce development systems. One goal of Perkins III is to **align** vocational and technical education with State and local efforts to reform secondary schools and improve postsecondary education. Another goal is to **promote** the development of seamless education and workforce development systems at the State and local level.

To support these goals, the Perkins III performance accountability framework should promote common or consistent performance accountability systems including common or consistent:

- **Performance measures** - including common terminology and operational definitions
- **Measurement approaches** - including shared or consistent student assessment, data collection (e.g., administrative record exchange, surveys) and data management systems.
- **Continuous improvement approaches** - including setting and adjusting annual performance targets and establishing and managing continuous improvement systems
- **Reporting system definitions** - including student or participation and service definitions.

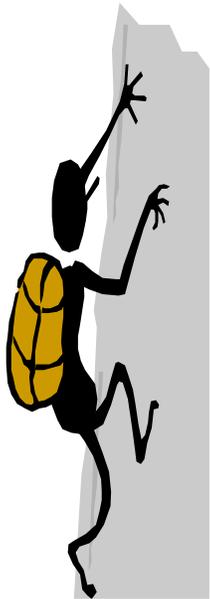


Common or consistent approaches to performance definitions and measurement across different systems will reduce data collection and reporting burden on State agencies, school districts and institutions of higher education that receive funding from multiple systems. Greater consistency and commonality in performance measurement across States will also make performance data more readily understandable and useful to parents, students, and policy-makers. Furthermore, common or consistent approaches to measurement among states is necessary to the compilation of State data into a national profile of vocational education and the measurement of the national "return on investment" of Federal funds.

Purpose of Core Indicator Framework

The OVAE Core Indicator Framework was developed in cooperation with states, the Department of Labor, and stakeholder organizations to achieve two major objectives: establish performance measurement approaches for core indicators and to define performance and data collection approaches. The framework is intended to define state performance **measurement approaches** for each core indicator to ensure sufficient rigor and comparability among state performance accountability systems. The framework also is intended to define **performance and data collection approaches** that can be easily integrated into state and local performance management systems to support continuous improvement.

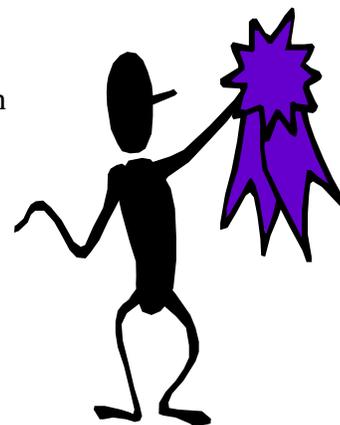
The core indicator framework defines the goals, performance measures, and state measurement approaches for each of the fifteen **subindicators**. It also defines the quality criteria for assessing state measurement approaches.



- *Subindicator Goals.* The long-term vision or goal statement for each subindicator—that is, what we hope to achieve in the future through continuous improvement of vocational education.
- *Performance Measures.* The definition of the performance measures for each subindicator including the definition of the numerator and denominator of each performance measure.
- *Performance Measurement Approaches.* The major state approaches for performance measurement for each performance measure. These approaches include assessment and data collection strategies.
- *Quality Criteria for Performance Measurement.* The quality criteria for performance measurement to ensure sufficient rigor and comparability of state performance measurement and reporting.

Quality Criteria for Performance Measurement

The **quality criteria** for state performance measurement approaches for each subindicator are based on five general quality criteria for performance measurement and data collection. These general quality criteria are summarized below. These general quality criteria are intended to insure that states have chosen a measurement approach that has sufficient rigor and comparability and that provides a cost-effective approach to managing continuous improvement in vocational education and larger education and workforce development systems.



General Quality Criteria for Performance Measurement Approaches

Validity—the degree to which the performance measurement approach directly and fully measures the student outcomes at an appropriate time interval. Performance measurement approaches produce valid data when they use assessment and other data collection instruments they have strong content validity—directly measure what they are supposed to measure. Indirect or proxy measures are valid to the extent that they are associated with or highly predictive of student outcomes. In addition, performance measures are valid when they are free of bias especially bias by race, gender, or special need. Finally, performance measures are valid when measurement is conducted at the appropriate times—that is, concurrent with services or after services—to make reasonable inferences about the effectiveness of vocational education.

Reliability—the degree to which performance measurement is conducted in a consistent manner using standardized or consistent data collection instruments (e.g., student record forms, surveys, assessment instruments) and effective management information systems for insuring data quality. Performance measures are reliable when repeated measurements yield similar results and when measurement is conducted consistently across student groups and entities.

Cost-Effectiveness—the degree to which performance measurement uses measurement approaches and data collection systems that provide the highest quality data at the lowest possible costs. Performance measurement is most cost-effective when states make the fullest possible use of existing data systems and share data systems with other programs.

System-Focused—the degree to which states develop common or consistent measurement approaches and data collection systems with other programs within education and workforce development systems.

Management Utility—the degree to which measurement approaches are useful in managing continuous improvement at the state and local levels. Management utility is highest when performance measurement approaches are easy to understand and use and provide timely data to users to manage continuous improvement.

Threshold Level of Vocational Education

Although Perkins III requires that states report student information on all students participating in vocational education, the OVAE core indicator framework applies only to those students who reach (i.e., enroll in) a state-defined threshold level of vocational education. A **threshold level of vocational education** is defined as a program / sequence of courses or instructional units that provides an individual with the academic and technical/knowledge/skills/proficiencies to prepare the individual for employment and/or further/advanced education (Section 3 (29) Definitions).

Throughout the framework, these students are defined as vocational concentrators. A **vocational concentrator** is a student who enrolled in a threshold level of vocational education. The only exceptions are the two subindicators for participation in non-traditional programs—4S1— Participation in Secondary Non-Traditional Programs and 4P1--Participation in Postsecondary Non-Traditional Programs. These two subindicators address all vocational participants—that is, students who enrolled in at least one vocational-technical education course. In addition, the placement and retention subindicators only address vocational completers. **Vocational completers** are those vocational concentrators who have attained the academic and technical knowledge/skills/proficiencies in their programs/sequences of courses.



Secondary Measurement Approaches

IS1 Secondary Academic Attainment

1. State Academic Assessment System – State-defined performance benchmarks on state-developed academic assessment systems used in state educational accountability systems including high school graduation qualification examinations.
2. National Academic Assessment System – State-defined performance benchmarks on national standardized assessment system.
3. Academic Course Completion – State-defined performance benchmark (e.g., grade) in designated academic courses including integrated academic/vocational courses.
4. Vocational Course Completion – Performance benchmark on course or assessments in vocational courses with academic foundations integrated.
5. Academic Grade Point Average – State-defined grade point average for designated academic course including integrated academic/vocational courses.
6. Overall Grade Point Average – State-defined grade point average for all courses in the school or program.
7. High School Graduation - Graduating from high school (when graduation is the same as attaining state or program-defined academic standards).

IS2 Secondary Vocational and Technical Skill Attainment

1. National/State Standards and Assessment Systems – Performance benchmarks on national or state standards and assessment systems using national or state-developed and standardized assessment instruments and assessment procedures (includes licensing/certification examinations).
2. National/State Standards and Local Assessment Systems – Performance benchmarks on local assessment systems that have been approved and recognized by national organizations and/or states based on national or state standards.
3. Local Standards and Assessment Systems – Performance benchmarks on state-approved local assessment systems based on state-approved or recognized local standards.
4. Vocational/Technical Course Completion – Performance benchmarks (e.g., grades, competency completion) in vocational education courses or programs.
5. Vocational/Technical Grade Point Average – Grade point average for designated vocational courses including integrated academic/vocational courses.
6. Program Completion - Completion of vocational/technical education program when program completion represents attainment of career and technical skill standards.

2S1 Secondary Completion

1. State / Local Administered Data - Reporting those students receiving diplomas, degrees and other types of credentials using information from local administrative data. These data could be maintained as individual student records and sent to the state as individual student records or aggregated data. The data also could be maintained at the local level in aggregated form and sent to the state as aggregated data. Although these represent distinct types of reporting systems, they do not represent different performance measurement approaches.

2S2 Proficiency Credential With Secondary Diploma

1. National/State Standards and Assessment Systems – Performance benchmarks on national or state standards and assessment systems using national or state-developed and standardized assessment instruments and assessment procedures (includes licensing/certification examinations).

2. National/State Standards and State-Approved Local Assessment Systems – Performance benchmarks on local assessment systems that have been approved by national or state organizations based on national or state standards.

3. State-Approved Local Standards and Assessment Systems – Performance benchmarks on local assessment systems based on state-approved local standards.

4. Locally-Approved Local Standards and Assessment Systems— Performance benchmarks based on locally-approved assessment systems based and local standards.

5. Vocational/Technical Education Course Completion – Performance benchmarks (e.g., grades, competency completion) in vocational education courses or programs.

6. Vocational/Technical Education Grade Point Average – Grade point average for designated vocational courses including integrated academic/vocational courses.

7. Vocational/Technical Education Program Completion—Completion of vocational/technical education program when program completion represents attainment of career and technical skill standards.

3S1 Secondary Placement

1. State-Developed, School-Administered Surveys/Placement Records— Mail and/or telephone surveys of students using state-developed surveys or placement forms administered by schools. Schools administer and conduct the surveys and maintain placement records under state guidelines.

2. State-Developed and Administered Surveys—Mail and/or telephone surveys of students using state-developed and administered surveys.

3. Administrative Record Exchanges/Matching of Administrative Records—Matching of student records (e.g., postsecondary education records), UI wage records, U.S. Department of Defense records—based on student identifiers.

4S1 Participation in Secondary Non-Traditional Programs

1. State/Local Administrative Data—reporting those students participating in non-traditional programs using information from local administrative data. These data could be maintained as individual student records and sent to the state as individual student records or aggregated program or school-level data. The data also could be maintained at the local level in aggregated form and sent to the state as aggregated data. Although these represent distinct types of reporting systems, they do not represent different performance measurement approaches.

4S2 Completion of Secondary Non-Traditional Programs

1. State/Local Administrative Data—reporting those students completing non-traditional programs using information from local administrative data. These data could be maintained as individual student records and sent to the state as individual student records or aggregated program or school-level data. The data also could be maintained at the local level in aggregated form and sent to the state as aggregated data. Although these represent distinct types of reporting systems, they do not represent different performance measurement approaches.

Postsecondary Measurement Approaches

IP1 Postsecondary Academic Attainment

1. National/State Academic Assessment System—State-defined performance benchmarks on statewide academic assessment systems.
2. Academic Course Completion—State-defined performance benchmarks (e.g., grade, certificate) in designated academic courses including integrated academic/vocational courses.
3. Vocational Courses Completion—Performance benchmarks on course or program assessments in vocational courses with integrated academics.
4. Academic Grade Point Average—Grade point average for all designated academic courses including integrated academic/vocational courses.
5. Overall Grade Point Average—State-defined grade point average for all courses in the school or program.
6. Program Completion—Completion of post-secondary programs (when graduation or completion is the same as attaining state-or program-defined academic standards).

IP2 Postsecondary Vocational and Technical Skill Attainment

1. National/State Standards and Assessment System—Performance benchmarks on national or state standards and assessment systems using national, or state-developed and standardized assessment instruments and assessment administration procedures (including licensing/certification examinations).
2. National/State Standards and Local Assessment System---Performance benchmarks on local assessment systems that have been approved by national or state organizations based on national or state standards.
3. Local Standards and Assessment Systems—Performance benchmarks on state-approved local assessment systems based on state-approved local standards.
4. Vocational/Technical Course --State-defined performance benchmarks (e.g., grade, certificate) in designated career and technical education courses including integrated academic/vocational courses.
5. Vocational/Technical Grade Point Average---Grade point average for all designated vocational/technical courses including integrated academic/vocational courses.
6. Program Completion---Completion of vocational/technical education program when program completion represents attainment of career and technical skill standards.

2P1 Postsecondary Degree or Credential

1. State/Local Administrative Data – Reporting those students receiving degrees and other types of credentials using information from local administrative data. These data could be maintained as individual student records and sent to the state as individual student records or aggregated data. The data also could be maintained at the local level in aggregated form and sent to the state as aggregated data. Although these represent distinct types of reporting systems, they do not represent different performance measurement approaches.

3P1 Postsecondary Placement

1. State-Developed, School- Administered Surveys/Placement Records— mail and/or telephone surveys of students using state-developed surveys or placement forms administered by schools. Schools administer and conduct the surveys and maintain placement records under state guidelines.
2. State-Developed and Administered Surveys—mail and/or telephone surveys of students using state-developed and administered surveys.
3. Administrative Record Exchange---matching of administrative records—student education records, (e.g., university student records), UI wage records, U.S. Department of Defense records—based on student identifiers.

3P2 Postsecondary Retention

1. State-Developed, School-Administered Surveys/Placement Records— mail and/or telephone surveys of students using state-developed surveys or placement forms administered by schools. Schools administer and conduct the surveys and maintain placement records under state guidelines.
2. State-Developed and Administered Surveys—mail and/or telephone surveys of students using state-developed and administered surveys.
3. Administrative Record Exchanges---matching of administrative records—student education records, (e.g., university student records), UI wage records, U.S. Department of Defense records—based on student identifiers.

4P1 Participation in Postsecondary Non-Traditional Programs

1. State/Local Administrative Data—reporting those students participating in non-traditional programs using information from local administrative data. These data could be maintained as individual student records and sent to the state as individual student records or aggregated program or school-level data. The data also could be maintained at the local level in aggregated form and sent to the state as aggregated data. Although these represent distinct types of reporting systems, they do not represent different performance measurement approaches.

4P2 Completion of Postsecondary Non-Traditional Programs

1. State/Local Administrative Data—reporting those students completing non-traditional programs using information from local administrative data. These data could be maintained as individual student records and sent to the state as individual student records or aggregated program counts. The data also could be maintained at the local level in aggregated form and sent to the state as aggregated data. Although these represent distinct types of reporting systems, they do not represent different performance measurement approaches.

Baseline Data

Baseline data was negotiated with States using available data based on their definitions, chosen performance measures and numerators and denominators. States were asked to submit to OVAE baseline data for each subindicator through negotiations with OVAE. These focused on clarification and refinement of measures and discussion of baseline data. There were two general baseline data issues that all states addressed.

- (1) All baseline data had to have raw numbers for both the numerator and denominator for all years that the State chose to use as their baseline years to establish their baseline percentages and;
- (2) If a State intended to use some alternative data source and or method it had to be described. States had to provide OVAE with secondary and postsecondary measures and measurement approaches, student populations and nontraditional program data.

In subsequent years negotiations between OVAE and states has continued with yearly incremental increases in targeted performance levels. If definitions, measures or approaches changed then new baselines would need to be reviewed.

Changes to established baselines would require a set of raw numbers (numerators & denominators) and a means to align with previous baseline to be able to demonstrate continuous improvement.

Annual reporting of progress will be submitted through the Accountability Report (Form IV) of the Consolidated Annual Performance, Accountability, and Financial Status Report (OMB No. 1830-0503).

Performance Level Indicators

In the second round of negotiations OVAE utilized the States identified baselines and set performance levels by assigning a constant to the baseline depending on the number of years that comprised the baseline. The rule used was:

- (1) For all core indicators (except the non-traditional measures) a 1.0% rate of improvement for those States using data prior to and including 1998-1999 to establish baseline, and 0.50% rate of improvement for States using 1999-2000 data for baseline;
- (2) For non-traditional placement and completion measures (4S1,4S2, 4P1,4P2) a 0.50% rate of improvement for those States using data prior to and including 1998-1999 to establish baseline, and 0.25% rate of improvement for States using 1999-2000 data for baseline and;
- (3) For all measures with a baseline at or above 90% there was no multiplier.
- (4) All results were carried two places to the right of the decimal point.

Indicators	Negotiation Model for Rates of Baseline & Improvement for States			
	Prior to and Including 1998-1999	1999-2000 Baseline Data	2000-2001 Negotiations	2001-2004 Negotiations Final 3 Years
1 to 3	1.0%	.50%	.50%	=>0% shows improvement over baseline
4	.50%	.25%	.25%	=>0% shows improvement over baseline
All	If Over 90% May Remain the Same	If Over 90% May Remain the Same	If Over 90% May Remain the Same	If Over 90% May Remain the Same

Starting with the 2003-2004 year OVAE established that core sub-indicators 1S1 and 2S1 should be targeted at a 3-year average of the state’s past performance and aligned with the new No Child Left Behind (NCLB) Act. These 2 indicators were seen as the closest to NCLB legislation affecting secondary education namely academic performance and graduation.

The ceiling was increased from 90% to 95%.

For some sub-indicators where states were having success and others where they were having problems it is now possible to hold the success constant and target resources and efforts on those sub-indicators that are problems.

Career Clusters

Career Clusters provide a way for schools to organize instruction and student experiences around 16 broad categories that encompass virtually all occupations from entry through professional levels. Resources such as KNOWLEDGE AND SKILLS STRUCTURES and BROCHURES are available for each of the sixteen clusters. These 16 clusters represent all career possibilities and are an ideal way to organize instruction, student experience and the variety of pathways within each cluster to employment opportunities and or further education. The 16 clusters include:

- ◆ Agriculture, Food and Natural Resources
- ◆ Architecture and Construction
- ◆ Arts, A/V Technology and Communications
- ◆ Business, Management and Administration
- ◆ Education and Training
- ◆ Finance
- ◆ Government and Public Administration
- ◆ Health Science
- ◆ Hospitality and Tourism
- ◆ Human Services
- ◆ Information Technology
- ◆ Law, Public Safety and Security
- ◆ Manufacturing
- ◆ Marketing, Sales and Service
- ◆ Science, Technology, Engineering and Mathematics
- ◆ Transportation, Distribution and Logistics



Tech-Prep

Tech-Prep is a program that:

- Combines at least 2 years of secondary and 2 years of postsecondary education,
- Integrates academic and vocational and technical instruction,
- Provides technical preparation in a specific area (engineering, technology, business),
- Builds student competencies in mathematics, science, and communications,
- Leads to an associate degree or a certificate in a specific career field, and to high skill, high wage employment, or further education.

Tech-Prep data must be submitted for both secondary and postsecondary programs. Tech-Prep data for postsecondary data only need not be submitted.

Special Populations

Special Populations include students in Nontraditional programs. Special populations must be reported as to progress in participation in vocational and technical education programs and in meeting the State adjusted levels of performance. The following table lists the special populations and the performance indicators:

- Individuals with Disabilities**
- Economically Disadvantaged**
- Single Parents**
- Displaced Homemakers**
- Barriers including LEP**
- Non-traditional Students**



Peer Evaluation Resource Guide

The Peer Evaluation Resource Guide was developed to assist states in reviewing peer states measures, measurement approaches, definitions and basic overall quality of state data. The guide has each of the four indicators identified in Perkins and further delineated in the Core Indicator Framework.

The guides include criteria and scoring rubrics for each of the indicators. Using the guides with peer evaluation questions states can receive input from a variety of other states as well as review what other states are doing. Example of scoring rubric and evaluation question:

QUALITY CRITERIA	APPROACHES WITH STATE/LOCAL ADMINISTRATIVE DATA SYSTEMS
<p>A. Accurate Classification of Programs as Non-Traditional</p> <p>Non-Traditional programs are accurately defined at the state level based on a state crosswalk between programs and national or state occupational data.</p>	<p>3. <u>Standard</u></p> <ul style="list-style-type: none"> All programs match the state standard classification system. All programs are regularly evaluated on a statewide basis on their alignment to these standards. Statewide policies and systems have been established to ensure that the classification system(s) used by all schools are directly aligned to the state or national classification measures are updated based on current industry data. <p>2. <u>Satisfactory Progress</u></p> <ul style="list-style-type: none"> Statewide policies and systems have been established to ensure that the classification system(s) used by all schools are directly aligned to the state or national classification measures. <p>1. <u>Does Not Meet</u></p> <ul style="list-style-type: none"> Statewide policies and systems have <u>not</u> been established to ensure that the classification system(s) used by schools are directly aligned to state or national classification measures.
Evaluation Questions	Peer Evaluation
<p>1. State Measure</p> <p>Is the state measure consistent with the framework measure below? State measures are consistent if they:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Use the same numerator and denominator format <input type="checkbox"/> Address the same student population <input type="checkbox"/> Do <u>not</u> include additional requirements or undefined state terms that reduces state comparability <p><u>Framework Measure:</u> <u>Numerator:</u> Number of students in underrepresented gender groups who participated in a non-traditional secondary program in the reporting year. <u>Denominator:</u> Number of students who participated in a non-traditional secondary education program in the reporting year.</p>	<ul style="list-style-type: none"> <input type="checkbox"/> Yes <input type="checkbox"/> Numerator/Denominator Format <input type="checkbox"/> Student Population <input type="checkbox"/> No additional requirements and undefined state terms <input type="checkbox"/> No

Evaluation Questions	Peer Evaluation
<p>2. State Measurement Approach Does the state define a measurement approach that is one of the allowable approaches in the core indicator framework?</p>	<p> <input type="checkbox"/> Yes <input type="checkbox"/> State/Local Administrative Data <input type="checkbox"/> No </p>
<p>3. State Data Quality Evaluation Does the state meet standards for data quality for each of the data quality criteria for the state measurement approach? Rate the state's data quality using the following three levels in the scoring rubric.</p> <p><u>Scoring Levels</u></p> <p>3- Exceeds Standards 2- Meets Standards 1- Does Not Meet Standards</p>	<p>Assign Score for Quality Criteria</p> <p>_____A. Accurate Classification of Programs as Non-Traditional</p> <p>_____B. Reliability of Non-Traditional Reporting</p> <p>_____C. Student Coverage in Reporting Non-Traditional Programs</p>

Excerpts of Perkins III Legislation 113 & 123

Perkins:

SEC. 113. ACCOUNTABILITY.

(a) PURPOSE- The purpose of this section is to establish a State performance accountability system, comprised of the activities described in this section, to assess the effectiveness of the State in achieving statewide progress in vocational and technical education, and to optimize the return of investment of Federal funds in vocational and technical education activities.

(b) STATE PERFORMANCE MEASURES-

(1) IN GENERAL- Each eligible agency, with input from eligible recipients, shall establish performance measures for a State that consist of--

(A) the core indicators of performance described in paragraph (2)(A);

(B) any additional indicators of performance (if any) identified by the eligible agency under paragraph (2)(B); and

(C) a State adjusted level of performance described in paragraph (3)(A) for each core indicator of performance, and State levels of performance described in paragraph (3)(B) for each additional indicator of performance.

(2) INDICATORS OF PERFORMANCE-

(A) CORE INDICATORS OF PERFORMANCE- Each eligible agency shall identify in the State plan core indicators of performance that include, at a minimum, measures of each of the following:

(i) Student attainment of challenging State established academic, and vocational and technical, skill proficiencies.

(ii) Student attainment of a secondary school diploma or its recognized equivalent, a proficiency credential in conjunction with a secondary school diploma, or a postsecondary degree or credential.

(iii) Placement in, retention in, and completion of, postsecondary education or advanced training, placement in military service, or placement or retention in employment.

(iv) Student participation in and completion of vocational and technical education programs that lead to nontraditional training and employment.

(B) ADDITIONAL INDICATORS OF PERFORMANCE- An eligible agency, with input from eligible recipients, may identify in the State plan additional indicators of performance for vocational and technical education activities authorized under the title.

(C) EXISTING INDICATORS- If a State previously has developed State performance measures that meet the requirements of this section, the State may use such performance measures to measure the progress of vocational and technical education students.

(D) STATE ROLE- Indicators of performance described in this paragraph shall be established solely by each eligible agency with input from eligible recipients.

(3) LEVELS OF PERFORMANCE-

(A) STATE ADJUSTED LEVELS OF PERFORMANCE FOR CORE INDICATORS OF PERFORMANCE-

(i) IN GENERAL- Each eligible agency, with input from eligible recipients, shall establish in the State plan submitted under section 122, levels of performance for each of the core indicators of performance described in paragraph (2)(A) for vocational and technical education activities authorized under this title. The levels of performance established under this subparagraph shall, at a minimum--

(I) be expressed in a percentage or numerical form, so as to be objective, quantifiable, and measurable; and

(II) require the State to continually make progress toward improving the performance of vocational and technical education students.

`(ii) IDENTIFICATION IN THE STATE PLAN- Each eligible agency shall identify, in the State plan submitted under section 122, levels of performance for each of the core indicators of performance for the first 2 program years covered by the State plan.

`(iii) AGREEMENT ON STATE ADJUSTED LEVELS OF PERFORMANCE FOR FIRST 2 YEARS- The Secretary and each eligible agency shall reach agreement on the levels of performance for each of the core indicators of performance, for the first 2 program years covered by the State plan, taking into account the levels identified in the State plan under clause (ii) and the factors described in clause (vi). The levels of performance agreed to under this clause shall be considered to be the State adjusted level of performance for the State for such years and shall be incorporated into the State plan prior to the approval of such plan.

`(iv) ROLE OF THE SECRETARY- The role of the Secretary in the agreement described in clauses (iii) and (v) is limited to reaching agreement on the percentage or number of students who attain the State adjusted levels of performance.

`(v) AGREEMENT ON STATE ADJUSTED LEVELS OF PERFORMANCE FOR 3RD, 4TH, AND 5TH YEARS- Prior to the third program year covered by the State plan, the Secretary and each eligible agency shall reach agreement on the State adjusted levels of performance for each of the core indicators of performance for the third, fourth, and fifth program years covered by the State plan, taking into account the factors described in clause (vi). The State adjusted levels of performance agreed to under this clause shall be considered to be the State adjusted levels of performance for the State for such years and shall be incorporated into the State plan.

`(vi) FACTORS- The agreement described in clause (iii) or (v) shall take into account--

`(I) how the levels of performance involved compare with the State adjusted levels of performance established for other States taking into account factors including the characteristics of participants when the participants entered the program and the services or instruction to be provided; and

`(II) the extent to which such levels of performance promote continuous improvement on the indicators of performance by such State.

`(vii) REVISIONS- If unanticipated circumstances arise in a State resulting in a significant change in the factors described in clause (vi)(II), the eligible agency may request that the State adjusted levels of performance agreed to under clause (iii) or (vi) be revised. The Secretary shall issue objective criteria and methods for making such revisions.

`(B) LEVELS OF PERFORMANCE FOR ADDITIONAL INDICATORS- Each eligible agency shall identify in the State plan, State levels of performance for each of the additional indicators of performance described in paragraph (2)(B). Such levels shall be considered to be the State levels of performance for purposes of this title.

`(c) REPORT-

`(1) IN GENERAL- Each eligible agency that receives an allotment under section 111 shall annually prepare and submit to the Secretary a report regarding--

`(A) the progress of the State in achieving the State adjusted levels of performance on the core indicators of performance; and

`(B) information on the levels of performance achieved by the State with respect to the additional indicators of performance, including the levels of performance for special populations.

`(2) SPECIAL POPULATIONS- The report submitted by the eligible agency in accordance with paragraph (1) shall include a quantifiable description of the progress special populations participating in vocational and technical education programs have made in meeting the State adjusted levels of performance established by the eligible agency.

SEC. 123. IMPROVEMENT PLANS.

`(a) STATE PROGRAM IMPROVEMENT PLAN- If a State fails to meet the State adjusted levels of performance described in the report submitted under section 113(c), the eligible agency shall develop and implement a program improvement plan in consultation with appropriate agencies, individuals, and organizations for the first program year succeeding the program year in which the eligible agency failed to meet the State adjusted levels of performance, in order to avoid a sanction under subsection (d).

`(b) LOCAL EVALUATION- Each eligible agency shall evaluate annually, using the State adjusted levels of performance, the vocational and technical education activities of each eligible recipient receiving funds under this title.

`(c) LOCAL IMPROVEMENT PLAN-

`(1) IN GENERAL- If, after reviewing the evaluation, the eligible agency determines that an eligible recipient is not making substantial progress in achieving the State adjusted levels of performance, the eligible agency shall--

`(A) conduct an assessment of the educational needs that the eligible recipient shall address to overcome local performance deficiencies;

`(B) enter into an improvement plan based on the results of the assessment, which plan shall include instructional and other programmatic innovations of demonstrated effectiveness, and where necessary, strategies for appropriate staffing and staff development; and

`(C) conduct regular evaluations of the progress being made toward reaching the State adjusted levels of performance.

`(2) CONSULTATION- The eligible agency shall conduct the activities described in paragraph (1) in consultation with teachers, parents, other school staff, appropriate agencies, and other appropriate individuals and organizations.

`(d) SANCTIONS-

`(1) TECHNICAL ASSISTANCE- If the Secretary determines that an eligible agency is not properly implementing the eligible agency's responsibilities under section 122, or is not making substantial progress in meeting the purpose of this Act, based on the State adjusted levels of performance, the Secretary shall work with the eligible agency to implement improvement activities consistent with the requirements of this Act.

`(2) FAILURE- If an eligible agency fails to meet the State adjusted levels of performance, has not implemented an improvement plan as described in paragraph (1), has shown no improvement within 1 year after implementing an improvement plan as described in paragraph (1), or has failed to meet the State adjusted levels of performance for 2 or more consecutive years, the Secretary may, after notice and opportunity for a hearing, withhold from the eligible agency all, or a portion of, the eligible agency's allotment under this title. The Secretary may waive the sanction under this paragraph due to exceptional or uncontrollable circumstances such as a natural disaster or a precipitous and unforeseen decline in the financial resources of the State.

`(3) FUNDS RESULTING FROM REDUCED ALLOTMENTS-

`(A) IN GENERAL- The Secretary shall use funds withheld under paragraph (2), for a State served by an eligible agency, to provide (through alternative arrangements) services and activities within the State to meet the purpose of this Act.

`(B) REDISTRIBUTION- If the Secretary cannot satisfactorily use funds withheld under paragraph (2), then the amount of funds retained by the Secretary as a result of a reduction in an allotment made under paragraph (2) shall be redistributed to other eligible agencies in accordance with section 111.

Key Terms

Cost-Effectiveness—the degree to which performance measurement uses measurement approaches and data collection systems that provide the highest quality data at the lowest possible costs. Performance measurement is most cost-effective when states make the fullest possible use of existing data systems and share data systems with other programs.

Management Utility—the degree to which measurement approaches are useful in managing continuous improvement at the state and local levels. Management utility is highest when performance measurement approaches are easy to understand and use and provide timely data to users to manage continuous improvement.

Reliability—the degree to which performance measurement is conducted in a consistent manner using standardized or consistent data collection instruments (e.g., student record forms, surveys, assessment instruments) and effective management information systems for insuring data quality. Performance measures are reliable when repeated measurements yield similar results and when measurement is conducted consistently across student groups and entities.

System-Focused—the degree to which states develop common or consistent measurement approaches and data collection systems with other programs within education and workforce development systems.

Threshold Level of Vocational Education - A threshold level of vocational education is defined as a program / sequence of courses or instructional units that provides an individual with the academic and technical knowledge/skills/proficiencies to prepare the individual for employment and/or further/advanced education (Section 3 (29) Definitions).

Validity—the degree to which the performance measurement approach directly and fully measures the student outcomes at an appropriate time interval. Performance measurement approaches produce valid data when they use assessment and other data collection instruments they have strong content validity—directly measure what they are supposed to measure. Indirect or proxy measures are valid to the extent that they are associated with or highly predictive of student outcomes. In addition, performance measures are valid when they are free of bias especially bias by race, gender, or special need. Finally, performance measures are valid when measurement is conducted at the appropriate times—that is, concurrent with services or after services—to make reasonable inferences about the effectiveness of vocational education.

Vocational Completers - Student who attained the academic and technical knowledge / skills / proficiencies within a program / sequence of courses or instructional units that provides an individual with the academic and technical knowledge / skills / proficiencies to prepare the individual for employment and / or further / advanced education.

Vocational Concentrator - Student who enrolled in a threshold level of vocational education.

Vocational Participant - Student who enrolled in at least one vocational-technical education course.

Appendix

Components of Core Indicator Framework

Core Indicators and Subindicators

The core indicator framework addresses four core indicators and fifteen subindicators.

Core Indicator 1. Student Attainment

1S1: Secondary Academic Attainment

1S2: Secondary Vocational and Technical Skill Attainment

1P1: Postsecondary Academic Attainment

1P2: Postsecondary Vocational and Technical Skill Attainment

Core Indicator 2. Credential Attainment

2S1: Secondary Completion

2S2: Proficiency Credential with Secondary Diploma (*waived '99-'00; required '00-01*)

2P1: Postsecondary Degree or Credential

Core Indicator 3. Placement and Retention

3S1: Secondary Placement

3P1: Postsecondary Placement

3P2: Postsecondary Retention (*waived '99-'00; required '00-01*)

Core Indicator 4. Participation in and Completion of Non-Traditional Programs

4S1: Participation in Secondary Non-Traditional Programs

4S2: Completion of Secondary Non-Traditional Programs

4P1: Participation in Postsecondary Non-Traditional Programs

4P2: Completion of Postsecondary Non-Traditional Programs

Core Indicators, Subindicators, Goals and Performance Measures

Core Indicator 1. Student Attainment

Sub-indicator	Goal	Performance Measure
IS1. Secondary Academic Attainment	All students who reach a state-defined threshold level of vocational education will master academic knowledge and skills that meet challenging state academic standards.	<p><u>Numerator:</u> Number of students reaching a state-defined threshold level of vocational education and who have met state academic standards and have left secondary education in the reporting year.</p> <p><u>Denominator:</u> Number of students reaching a state-defined threshold level of vocational education and who have left secondary education in the reporting year.</p>
Sub-indicator	Goal	Performance Measure
IS2. Secondary Vocational and Technical Skill Attainment	All students who reach a state-defined threshold level of vocational education will master the knowledge and skills that meet state-established, industry-validated career and technical skill standards.	<p><u>Numerator:</u> Number of students reaching a state-defined threshold level of vocational education and who have met state-established, industry-validated career and technical skill standards and have left secondary education in the reporting year.</p> <p><u>Denominator:</u> Number of students reaching a state-defined threshold level of vocational education and who have left secondary education in the reporting year.</p>
Sub-indicator	Goal	Performance Measure
IP1. Postsecondary Academic Attainment	All students who reach a state-defined threshold level of vocational education to complete a postsecondary program will master the knowledge and skills that meet program-defined academic standards.	<p><u>Numerator:</u> Number of students reaching a state-defined threshold level of vocational education to complete a postsecondary program and who have met program-defined academic standards and have stopped program participation in the reporting year.</p> <p><u>Denominator:</u> Number of students reaching a state-defined threshold level of vocational education to complete a postsecondary program and who have stopped program participation in the reporting year.</p>
Sub-indicator	Goal	Performance Measure
IP2. Postsecondary Vocational and Technical Skill Attainment	All students who reach a state-defined threshold level of vocational education to complete a postsecondary program will attain the knowledge and skills that meet program-defined, and industry-validated career and technical skill standards.	<p><u>Numerator:</u> Number of students reaching a state-defined threshold level of vocational education to complete a postsecondary program and who have met program-defined, and industry-validated career and technical skill standards and have stopped program participation in the reporting year.</p> <p><u>Denominator:</u> Number of students reaching a state-defined level of vocational education to complete a postsecondary program and who have stopped program participation in the reporting year.</p>

Core Indicator 2. Credential Attainment

Sub-indicator	Goal	Performance Measure
2S1. Secondary Completion	All students who reach a state-defined threshold level of vocational education will attain a secondary school diploma or its recognized state equivalent.	<p><u>Numerator:</u> Number of students reaching a state-defined threshold level of vocational education and who have attained a high school diploma or its recognized state equivalent and have left secondary education in the reporting year.</p> <p><u>Denominator:</u> Number of students reaching a state-defined threshold level of vocational education and who have left secondary education in the reporting year.</p>
Sub-indicator	Goal	Performance Measure
2S2. Proficiency Credential with Secondary Diploma	All students who reach a state-defined level of vocational education will attain a proficiency credential in conjunction with a secondary school diploma or its state-recognized equivalent.	<p><u>Numerator:</u> Number of students reaching a state-defined threshold level of vocational education and who have attained a proficiency credential in conjunction with a secondary school diploma or its state recognized equivalent and who have left secondary education in the reporting year.</p> <p><u>Denominator:</u> Number of students reaching a state-defined threshold level of vocational education and who have received a secondary school diploma or its state equivalent and who have left secondary education during the reporting period.</p>
Sub-indicator	Goal	Performance Measure
2P1. Postsecondary Degree or Credential	All students who reach a state-defined threshold level of vocational education to receive postsecondary degrees, certificates, or credentials will receive these postsecondary credentials.	<p><u>Numerator:</u> Number of students reaching a state-defined threshold level of vocational education and who received or were eligible to receive a postsecondary degree, certificate, or credential and who stopped program participation in the reporting year.</p> <p><u>Denominator:</u> Number of students reaching a state-defined threshold level of vocational education who are not yet eligible to complete plus those students who received or were eligible to receive a postsecondary degree, certificate, or credential, and who stopped program participation in the reporting year.</p>

Core Indicator 3. Placement and Retention

Sub-indicator	Goal	Performance Measure
3S1. Secondary Placement	All students who reach a state-defined threshold level of vocational education during secondary education will successfully transition to postsecondary education or advanced training, employment, and/or military service.	<p><u>Numerator:</u> Number of students who completed secondary vocational education programs and who received a high school diploma or its recognized state equivalent and left secondary education in the reporting year, and who were placed in postsecondary education or advanced training, employment, and/or military service within an OVAE-designated time period (expressed in months/UI wage record quarters).</p> <p><u>Denominator:</u> Number of students who completed secondary vocational education programs and who received a high school diploma or its recognized state equivalent and left secondary education in the reporting year.</p>
Sub-indicator	Goal	Performance Measure
3P1. Postsecondary Placement	All students who reach a state-defined threshold level of vocational education to complete a postsecondary program will successfully transition to further postsecondary education or advanced training, employment, and/or military service.	<p><u>Numerator:</u> Number of students who completed a postsecondary program in the reporting year, and who were placed in further postsecondary education or advanced training, employment, and/or military service within an OVAE-designated time period (expressed in months/UI wage record quarters) after stopping participation in the postsecondary program.</p> <p><u>Denominator:</u> Number of students who completed a postsecondary program in the reporting year.</p>
Sub-indicator	Goal	Performance Measure
3P2. Post-secondary Retention	All students who reach a state-defined threshold level of vocational education who leave secondary schooling and who are placed in further postsecondary education or advanced training, employment, and/or military service will be retained in these activities.	<p><u>Numerator:</u> Number of students who completed a postsecondary program and were placed in further postsecondary education or advanced training, employment, and/or military service in the reporting period and were retained in one or more of these types of placement within an OVAE-designated time period (expressed in months or UI wage record quarters).</p> <p><u>Denominator:</u> Number of students who completed a postsecondary program and who were placed in further postsecondary education or advanced training, employment, and/or military service in the reporting year.</p>

Core Indicator 4. Participation in and Completion of Non-Traditional Programs

Sub-indicator	Goal	Performance Measure
4S1. Participation in Secondary Nontraditional Programs	All secondary vocational education programs preparing students for further training and employment in careers or occupations with significant underrepresentation of males or females will increase participation of underrepresented males or females.	<u>Numerator:</u> Number of students in underrepresented gender groups who participated in a non-traditional secondary program in the reporting year. <u>Denominator:</u> Number of students who participated in a non-traditional secondary program in the reporting year. <u>Note:</u> Non-traditional programs are those programs that address occupations or occupational areas in which underrepresented gender groups represent less than 25 percent of employment.
Sub-indicator	Goal	Performance Measure
4S2. Completion of Secondary Nontraditional Programs	All secondary vocational education programs preparing students for further training and employment in careers or occupations with significant underrepresentation of males or females will increase program completion for underrepresented males or females.	<u>Numerator:</u> Number of students in underrepresented gender groups who completed a non-traditional program in the reporting year. <u>Denominator:</u> Number of students who completed non-traditional programs in the reporting year. <u>Note:</u> Non-traditional programs are those programs that address occupation or occupational areas in which underrepresented gender groups represent less than 25 percent of employment.
Subindicator	Goal	Performance Measure
4P1. Participation in Secondary Nontraditional Programs	All postsecondary vocational education programs preparing students for further training and employment in careers or occupations with significant underrepresentation of males or females will increase participation of underrepresented males or females.	<u>Numerator:</u> Number of students in underrepresented gender groups who participated in a non-traditional secondary program in the reporting year. <u>Denominator:</u> Number of students who participated in a non-traditional secondary program in the reporting year. <u>Note:</u> Non-traditional programs are those programs that address occupations or occupational areas in which underrepresented gender groups represent less than 25 percent of employment.
Subindicator	Goal	Performance Measure
4P2. Completion of Postsecondary Nontraditional Programs	All postsecondary vocational education programs preparing students for further training and employment in careers or occupations with significant underrepresentation of males or females will increase program completion for underrepresented males and females.	<u>Numerator:</u> Number of students in underrepresented gender groups who completed a non-traditional postsecondary program in the reporting year. <u>Denominator:</u> Number of students who completed a non-traditional postsecondary program in the reporting year. <u>Note:</u> Non-traditional programs are those programs that address occupation or occupational areas in which underrepresented gender groups represent less than 25 percent of employment.



<p>1S1 Secondary Academic Attainment</p>	<p>All students who reach a state defined threshold level of vocational education will master academic knowledge & skills that meet challenging standards.</p>	<p>Numerator: Number of students reaching a state-defined threshold level of vocational education and who have met state academic standards and have left secondary education in the reporting year. Denominator: Number of students reaching a state defined threshold level of vocational education and who have left secondary education in the reporting year.</p>	<p>1. State Academic Assessment System 2. National Academic Assessment System 3. Academic Course Completion 4. Vocational Course Completion 5. Academic Grade Point Average 6. Overall Grade Point Average 7. High School Graduation</p>	<p>1. Alignment to State Standards 2. Scope of Attainment Measurement 3. Timing of Attainment Measurement 4. Reliability of Attainment Measurement 5. Student Coverage in Attainment Measurement</p>
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ACCOUNTABILITY CALENDAR

<p>JAUNUARY</p> <p>Next Steps Accountability Workgroup (NSWG)</p> <p>Begin CAR data cleaning</p> <p>FSR extensions, if requested</p> <p>Obtain states' attestation forms for their CAR data submissions</p>	<p>FEBRUARY</p> <p>Next Steps Accountability Workgroup (NSWG)</p> <p>Complete CAR data cleaning</p> <p>Determine bundling scores</p> <p>Submit states eligible for WIA incentive grants to PRES</p> <p>Complete data runs and narrative for Perkins PPMD</p>	<p>MARCH</p> <p>Next Steps Accountability Workgroup (NSWG)</p> <p>Make prior year data public</p> <p>Develop state trend profiles for accountability data</p> <p>Complete state data audit profiles</p> <p>Begin preliminary negotiations with states on performance levels, when necessary</p>
<p>APRIL</p> <p>Next Steps Accountability Workgroup (NSWG)</p> <p>Incentive awards listed in Federal Register</p> <p>Identify states requiring conditions on their grant award document due to accountability issues</p> <p>Complete preliminary negotiations with states on performance levels</p>	<p>MAY</p> <p>Next Steps Accountability Workgroup (NSWG)</p> <p>Develop 1st draft of Perkins Report to Congress</p>	<p>JUNE</p> <p>Next Steps Accountability Workgroup (NSWG)</p> <p>Grant award letters with FAUPLS</p> <p>Develop summary forms with each state's agreed upon performance levels to be attached to their July 1, grant award document</p>
<p>JULY</p> <p>Next Steps Accountability Workgroup (NSWG)</p>	<p>AUGUST</p> <p>Next Steps Accountability Workgroup (NSWG)</p> <p>Begin beta-testing for this year's CAR</p>	<p>SEPTEMBER</p> <p>Next Steps Accountability Workgroup (NSWG)</p> <p>Hold 1st conference call to train state CTE staff on CAR</p>
<p>OCTOBER</p> <p>Next Steps Accountability Workgroup (NSWG)</p> <p>Open window for states to submit CAR data for past program year</p> <p>Host 2nd CAR training for states</p> <p>Draft Perkins Report to Congress</p> <p>Data Quality Institute Planning (DQI)</p> <p>Put Accountability Data on Website</p>	<p>NOVEMBER</p> <p>Next Steps Accountability Workgroup (NSWG)</p>	<p>DECEMBER</p> <p>Next Steps Accountability Workgroup (NSWG)</p> <p>Close window for states to submit CAR</p>