



**State of New Mexico
Higher Education Department
Adult Basic Education Division**

**Data Audit
Process and Instructions
2009-10**

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The New Mexico Higher Education Department Adult Basic Education Division

Data Audit Instructions

Introduction

Why the Audit is Important

Per the National Reporting System (NRS) Implementation Guidelines, local programs must collect designated student information and analyze the resulting data to attain optimal performance.

At the State level, program data is aggregated to measure progress against negotiated performance standards. According to the NRS, States must develop policies and implement procedures that meet NRS requirements and work within the State environment to produce valid and reliable data. It is also important that this data be comparable across New Mexico and at the national level. Toward these ends, the audit process is intended to help programs periodically check their data for accuracy and completeness. A standardized audit process is presented here to help programs maintain data accuracy and integrity.

Data Audit Form Contents

Form Contents

The Audit Form is in Excel spreadsheet format. The spreadsheet collects this important information.

1. **Educational Functioning Level**
2. **Assessment Instrument Used**
3. **Total # Students per Level**
4. **# Students in Random Sample per Level**
5. **# of Errors found in the random sample**
6. **# Errors found per Error Code (Frequency)**

Audit Form terminology and related explanations follow.

<u>Term</u>	<u>Explanation</u>																
1. Educational Functioning Level	Each NRS level is assigned a number to facilitate State information accumulation and reporting. The level selected should represent the student educational functioning level <i>at entry</i> .																
2. Assessment	This is the code that corresponds to the approved testing instrument used by the program. The codes for each instrument are:																
	<table border="0" style="margin-left: auto; margin-right: auto;"> <thead> <tr> <th style="text-align: left;"><u>Assessment</u></th> <th style="text-align: left;"><u>Code</u></th> <th style="border-left: 1px solid black; text-align: left;"><u>Assessment</u></th> <th style="text-align: left;"><u>Code</u></th> </tr> </thead> <tbody> <tr> <td>TABE</td> <td>TA</td> <td style="border-left: 1px solid black;">Oral BEST</td> <td>OB</td> </tr> <tr> <td>CASAS</td> <td>CA</td> <td style="border-left: 1px solid black;">Literacy BEST</td> <td>LB</td> </tr> <tr> <td>BEST Plus</td> <td>BP</td> <td style="border-left: 1px solid black;">WorkKeys</td> <td>WK</td> </tr> </tbody> </table>	<u>Assessment</u>	<u>Code</u>	<u>Assessment</u>	<u>Code</u>	TABE	TA	Oral BEST	OB	CASAS	CA	Literacy BEST	LB	BEST Plus	BP	WorkKeys	WK
<u>Assessment</u>	<u>Code</u>	<u>Assessment</u>	<u>Code</u>														
TABE	TA	Oral BEST	OB														
CASAS	CA	Literacy BEST	LB														
BEST Plus	BP	WorkKeys	WK														
3. Total # Students	This is the total number of students for each level served by the program.																
4. Random Sample	This is the number of students for each level selected for the audit.																
5. # of Errors	This is the total number of errors found while conducting the audit for each level.																
6. Error Code & Frequency	There is a code for each type of error found (please refer to pages 4-5). Frequency refers to the number of times each type of error is detected.																

A chart of approved assessments follows.

Approved Assessments

The State approved assessments are shown below. This table is from the State Assessment Policy; these are the only approved instruments for State and Federal reporting purposes.

Instrument	Approved Forms	Approved Tests	Appropriate NRS Levels
TABE Test of Adult Basic Education	Forms 9-10 Locator is required; Use of Complete Battery is recommended	<ul style="list-style-type: none"> ▪ Reading ▪ Language ▪ Total Math 	<ul style="list-style-type: none"> ▪ All ABE/ASE NRS Levels
CASAS Comprehensive Adult Student Assessment System	All forms Appraisal is recommended	<ul style="list-style-type: none"> ▪ Reading, Math ▪ Writing ▪ ESL Listening 	<ul style="list-style-type: none"> ▪ All ABE/ASE NRS Levels and all ESL NRS Levels ▪ All ABE/ASE NRS Levels and ESL NRS Levels 2-6 ▪ All ESL NRS Levels
BEST Plus Basic English Skills Test Plus	Oral English Proficiency Test	<ul style="list-style-type: none"> ▪ Oral Language Proficiency 	<ul style="list-style-type: none"> ▪ All ESL NRS Levels
Oral BEST Oral Basic English Skills Test	Oral Interview Section	<ul style="list-style-type: none"> ▪ Oral Language Proficiency 	<ul style="list-style-type: none"> ▪ All ESL NRS Levels
Literacy BEST Literacy Basic English Skills Test	Literacy Skills Section	<ul style="list-style-type: none"> ▪ Reading/Writing Total Score 	<ul style="list-style-type: none"> ▪ All ESL NRS Levels
WorkKeys The ACT WorkKeys Assessment	WorkKeys Assessment Component	<ul style="list-style-type: none"> ▪ Reading for Information ▪ Writing ▪ Applied Math 	<ul style="list-style-type: none"> ▪ High Intermediate Basic Education ▪ Low Adult Secondary Education ▪ High Adult Secondary Education

The Random Sample

Random Sample

The State ABE Office is responsible for creating the random sample and identifying the students to be checked by each program. The ABE Operations Research Analyst will make student lists available at least 4 weeks prior to the audit due date. Please refer to page 6 of this document for the 2008-09 due dates.

To determine a program random sample size, student enrollment was reviewed and averaged for the last several years. 5% of the enrollment averages provided an acceptable sampling to then determine an appropriate sample size. The sample size relegated to each program can be found in the table attached as *Exhibit A*.

Audit Errors

Errors Codes and Descriptions

The *number* of errors found for each error code should be recorded in the Audit Form.

To help identify/track issues and trends, the State has designated a **code** for each *type* of error. Below you will find each error code with a corresponding description of the error.

Error Code

Error Description

a Data entry or keying errors.

Examples: What to Count

Incorrect entries on SSN, DOB, student name, student demographic information and scale scores; no entries in required fields

What Not to Count

Typing errors of little importance that are word-processing in nature, such as capitalization and spacing

b Errors that reflect incorrect, initial student assessment or non-compliance with the State Assessment Policy.

Examples: What to Count

Incorrect interpretation of assessment results including class placement; student hard-file assessment information does not match that in LACES; student level is undefined; student scores indicate above the 12.9 grade equivalent and student is not enrolled in ESL or ASE

c Errors that reflect inappropriate goal setting or non-compliance with the State Policy for Student Goal Setting.

Examples: What to Count

Inappropriate NRS core goals selected based on student employment status or assessment scores; student hard-file goal setting information does not match that in LACES

d Errors that reflect inappropriate post-testing.

Examples: What to Count

Post-testing too early, impacting NRS level-gain results; same post-test used multiple times within a 6 month period; not re-testing when student attendance has lapsed for 6 months or more; student hard-file post-test information does not match that in LACES

e Errors that reflect inappropriate accumulation or reporting of student hours.

Examples: What to Count

Hours in LACES do not agree with information in student hard-file; student in LACES with zero hours; logs inaccurate, incomplete or lacking teacher or administrator signature

f Errors that reflect inappropriate student exit (LACES category: Left).

Examples: What to Count

Students should be included in NRS tables, but found not exited in LACES; students in LACES with more than 40 hours of instruction who are *not* post-tested and/or exited

- g Errors that reflect inappropriate student follow-up or non-compliance with the State Policy for Student Follow-up.**

Examples: What to Count

Follow-up not performed on students per NRS regulations/timing; follow-up information is inaccurate/incomplete, not in student hard file or not captured in LACES (negatively impacts NRS tables)

Data Audit Form Completion Instructions

Instructions to Complete Form The Excel spreadsheet/form is ready for use with the appropriate formulas programmed in the cells. Simply enter your audit findings following these instructions.

Field	Instructions
Educational Functioning Level	This column requires no entry; it is informational.
Assessment	Please enter the appropriate code for the assessment instrument used (codes listed on page 3).
Total # Students	Please enter the total number of students served by the program in each level.
Random Sample #	Please enter the number of students in each level that were selected for the random sample. ➤ For any level, if no students were selected, please enter zero (0).
# of Errors	Please enter the total number of errors found for each level. ➤ If no errors were found, please enter zero (0). ➤ If there were no students selected in the random sample for the level, please enter N/A.
Error Code and Code Frequency	For each level, and for each of the error code columns "a" through "g," please enter the number of times this type of error was detected. For example, if error code "a" was found 5 times for a level, enter the number 5 under the "a" column.

Audit Submission and Timing

Submission Timing It is expected that the data audit will be completed twice during the fiscal year, once in the fall and spring per the chart below.

<u>Deliverable</u>	<u>Full Months Included</u>	<u>Due Date</u>
<i>Fall 09 Data Audit</i>	July – September 2008	November 20, 2009
<i>Spring 10 Data Audit</i>	July 2008 – March 2009	April 23, 2010

Questions and Technical Assistance

State Contact Information For questions, training and/or technical assistance on the Data Audit process and form, please contact the State ABE Operations Research Analyst:

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Program	Sample Size
CNM	100
Doña Ana Community College	100
NM Corrections	100
ENMU – Roswell	70
SFCC	70
Catholic Charities	40
San Juan College	40
UNM – Gallup	40
UNM – Valencia	40
Clovis Community College	25
NMJC	25
NMSU – Alamogordo	25
NMSU – Carlsbad	25
WNMU	25
Alamo Navajo School Board Inc.	15
Navajo Technical College	15
Diné College	15
ENMU – Ruidoso	15
Luna Community College	15
Mesalands Community College	15
NMSU – Grants	15
NNMC	15
Sage LLC/Tepeyac	15
Ser de NM Inc.	15
Socorro Consolidated Schools	15
SIPI	15
UNM – Los Alamos	15
UNM – Taos	15