SECTION 9

PROGRAM MONITORING AND DATA AUDITS

Audits

All adult education programs are held to audit standards. Programs are responsible to have a yearly audit of their adult education program and fiscal activities by an independent accounting firm. Audit results are submitted to the Utah State Office of Education Adult Education Services. Auditors use the State of Utah Legal Compliance Audit Guide to ensure that information reported to the Utah State Office of Education agrees with the program's UTopia data and grant award.. (Adult Education Policies and Procedures Tab L – State of Utah Legal Compliance Guide.)

Student Information

All programs must maintain student files that validate or document activities, outcomes, assessment, release waivers and back-up documents validating data entered in UTopia.

Accountants report on the following and submit findings to the Utah State Office of Education, Adult Education Services by September 15 annually.

	UTopia Reports	Paper Trail
All Students	UTopia verifies	1. Roll book, class attendance log
Contact Hours	"Students Total Contact Hours"	1. Verify that classroom "roll books"/teacher maintained attendance sheets=instructional hours. 2. Verify that documentation (student log) denotes content/purpose of non-instructional hours.
Diploma	"Student Transcript Workup" "Student Official Transcript"	1. Verify that all credits earned or awarded in the student's file are entered into UTopia. 2. Verify that the program's graduation requirements are met. 3. Verify that earned and awarded credit has the required documentation validating completion of coursework or outcome (including Official GED Report if the GED was used for credit) in the student's file.
Level Gains	"SEOP Pre-Filled"	1. Verify that assessment protocol face sheets match what was entered into UTopia. These must include student's name, date of birth, date of test, test administrator's name and raw scores and be maintained in the student's file.
GED	"Verified GED Status"	1. None, unless the GED was issued outside of the state of Utah. Then the program must maintain a copy in the student's file.
Credits	"Student Transcript Workup" "Student Official Transcript"	1. Verify that students' files contain transcripts from other institutions, GED, and other sources of credit records validating the awarded credit.
Proof of Residency	"Student Proof of Residency"	1. Proof of Utah residency must be maintained in each student's file following parameters as defined in Board Rule R277-733.

Validating UTopia Data for Program Outcomes

Program Monitoring/Review

The Utah State Office of Education, Adult Education Services, will perform annual program monitoring to determine the success of adult education programs. Local programs are evaluated based on a number of criteria.
These monitorings may take the form of a USOE staff visit, a peer review, or contracted outside monitoring. Approximately one-third of the local programs will be monitored each year.
(Adult Education Policies and Procedures Tab H – Program Monitoring and Desk Data Auditing Policy)

At the conclusion of a program monitoring performed by state staff or others as assigned, a report defining the outcomes will be presented to the superintendent or CEO. The report will include commendations, recommendations, and findings that require corrective action as reported. Follow-up visits will be made, as needed, to ensure that recommendations, findings, and/or quality of data are acted upon. It is expected that findings will be remedied.
Program monitoring results become a factor for determining technical assistance, continuation of funding, and/or a factor in placing a program on corrective action as well as state-wide professional development projects.

Data Monitoring

Quality programs follow good practices resulting in solid outcomes. Data Monitoring is a monthly monitoring of community-based programs and school district programs focused on program outcomes throughout the program year. Good data collection, data entry processes, and reporting procedures must be in place since data monitoring outcomes are based on the data a program has entered into the UTopia data management system.

The purpose of data monitoring is to provide technical assistance to programs in reaching state and program targets/goals in accordance with both state and federal policy. With the advent of increased accountability requirements also comes the need for programs to demonstrate high sustainable performance. Data monitoring assures the USOE that agreed upon grant requirements are met. Results from monthly data monitoring will be used in determining continued performance-based funding. Results will be used to determine further technical assistance needs and/or may become a factor in placing a program on corrective action by the Utah State Office of Education, Adult Education Services.