

Program Review and Desk Monitoring Policy

Revision 9.27.11 Effective 9.27.11
Revised 4.14 Effective 7.1.14

Introduction

State and federal funding of programs ensures that adult education programs provide educational opportunities meeting the needs of adult education learners. State statute provides for the general control and supervision of adult education programs (53A-15-401). Additionally, the federal Adult Education and Family Literacy Act (AEFLA) requires that recipients of funds be monitored and evaluated by the state as to the quality and improvement in adult education and literacy activities (AEFLA Sec. 323.5). The National Reporting System (NRS) was implemented in 2000, resulting in states reporting outcome data on all students attending adult education programs to the Office of Vocation and Adult Education (OVAE). Outcomes include education level gains, attainment of a GED[®] or adult education secondary diploma, transition to a post-secondary or training program, entering employment or retaining employment. To ensure that states are assisting students in reaching their desired outcomes, states are required to annually negotiate target benchmarks that programs, in turn, must strive to attain.

The rationale behind these requirements (State and AEFLA) is the belief that quality programs produce good outcomes, and that by focusing on these outcomes, programs will have effective instruction, professional development and reliable assessment. As such, good data collection and reporting procedures must be in place.

Purpose

It is the purpose of the USOE to assist programs in reaching 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. On-site program reviews occur every three years at a minimum. Monthly desk monitoring ensures that all recipients of state and/or federal funds are providing educational opportunities that affect and increase student outcomes, thus, ensuring that agreed upon grant requirements are met.

Desk monitoring is an opportunity for state staff and program directors/coordinators to review and discuss program performance by using UTopia data, ensuring student progression and program compliance with adult education rules and policies. Desk monitoring utilizes quantitative data to compare program performance over time to state standards.

Local Program Responsibilities

All programs are required to submit grant applications that specify realistic outcome target goals that are in harmony with the state's federally negotiated targets. As such, it is important that grant proposals include, in specific terms, what the grantee's planned outcomes will be. Programs are expected to define

strategies and activities that will ultimately assist them in providing stronger, focused programs that meet the needs of students.

All programs are required to enter student data into the state Management Information System (MIS) – known as UTopia – Utah Online Performance Information for Adult Education. Data entry must meet the standards and policies established in the Utah Adult Education Policy Manual and in the UTopia User Guide.

The USOE Adult Education Program Review Instrument (Appendix A) is the measurement tool that is used for all on-site program reviews. Program reviews are conducted with all programs at a minimum of every three years or as otherwise determined by the USOE. Reviews focus on:

- Administration - strategic planning specific to the advancement of adult education goals and objectives, daily operations, assessment of instructors and fiscal indicators.
- Curriculum and Instruction – quality of curriculum, instructional materials, quality of instruction, intensity and duration and professional development for instructors.
- Data Quality and Measurements - data collection and quality, student retention, educational gains and measurement.
- Student Indicators - student involvement/leadership, student evaluation of services, direct-to-student services.
- Community Connections - recruitment, partnerships, sharing of resources, advisory boards.

Using the Desk Monitoring Tool USOE staff assigned to each program, monthly discuss with the program director/coordinator data issues as observed in UTopia, ensuring that local programs maximize student outcomes by providing reasonable efforts in complying with the rules, policies and standards.

Three education measures are observed through the monthly desk monitoring process:

- Student Outcome Measures – the central element of effective programs includes pre and post-testing levels education level gains, GED[®], adult education secondary diploma.
- Data Process Measures – the collection of entering and ending data points of information (assessments and SEOP goal setting) validating intensity and rigor of program outcomes.
- Program Process Measures – enrollment demographics, contact with a student – instruction and non-instruction contact time to produce outcomes; in addition to the procedures and services that affect student outcomes.

Written 10.25.07 Effective 11.19.07
Revision 1.24.08 Effective 3.17.08
Revision 2.23.10 Effective 4.7.10
Revision 9.30.10

Appendix A

Utah State Office of Education Adult Education Program Review Instrument

Information Summary

Program Reviewed	
Date of Program Review	
Local Program Director	
Local Program Coordinator(s)	
Name of Monitor(s)	
Date of Last Review	

Program Review Instrument

Introduction

Overview of the Review Instrument

The Instrument consists of 8 content areas or categories:

1. Administration
2. Educator Licensing
3. Curriculum and Instruction
4. Data Quality and Measurements
5. Student Indicators
6. Community Connections
7. Safety and Security
8. Facilities, Equipment, and Supplies

Under each category, there are several components:

Content area or category	Components
1. Administration	Strategic Planning Daily Operations Assessment of Instructors Fiscal Indicators
2. Curriculum and Instruction	Quality of Curriculum Instructional Materials Quality of Instruction Professional Development for Instructors Intensity and Duration
3. Data Quality and Measurements	Data Collection and Quality Student Retention Educational Gains Measurements
4. Student Indicators	Student Involvement/Leadership Student Evaluation of Services Student Services
5. Community Connections	Recruitment Partnerships Sharing of Resources Advisory Boards
6. Safety and Security	
7. Facilities, Equipment and, Supplies	

Purpose

Recipients of state and/or federal adult education funding are subject to compliance with the purpose and requirements of the grant. The purpose of a program review is to examine evidence of compliance and to determine areas for program improvement and/or technical assistance.

Each program will be evaluated on each component. The rubric provided will identify components as to strengths and areas for improvement.

Evaluation Process

Each content area will be reviewed for evidence/documentation supporting successful learner outcomes. Each component will be reviewed for specifics supporting state rules, policies and procedures. The monitor(s) will subjectively decide whether the area in question is **acceptable, needs improvement or corrective action is required**.

Evidence/documentation is to be presented for all measures. The monitor(s) will check “yes” or “no.”

If there is no evidence of a process validating a component, the monitor(s) will check the “No” box next to the component.

It is important to note that there are variables that affect each of the content areas listed above and the persons reviewing the program may ask questions to satisfy the requirements for the content area.

The monitor(s) will make notes as to program commendations, recommendations/improvements needed or corrective action(s) required on the comment page.

Programs will receive a written summary of the review that may include the possibility of a follow-up visit.

The Utah State Office of Education

The Utah State Office of Education will provide programs technical assistance as needed. Each review will be evaluated by the state Alternative and Adult Education Services coordinator. The review visit will be used as a tool to provide direct and immediate assistance to programs as a result of their individual review and subsequent review report summary. The Utah State Office of Education will also evaluate the state's overall needs and plan professional development accordingly.

For more information contact:

Marty Kelly
Utah Alternative and Adult Education Services Coordinator
801-538-7824

1. Administration			
QUALITY INDICATORS	Evidence		
	YES	NO	Needs Improvement
1.1 Program Policies/Procedures			
1. Program has and maintains written policies (day-to-day operations policies) and program standards defining how state adult education rules and policies are implemented in the areas of:			
A. Assessment and SEOP development			
B. Attendance policy defined specific to meeting the needs of the program			
C. Curriculum selection and delivery of instruction			
D. Student services including career development, referral to community resources, transition to post – secondary and training opportunities, and counseling			
E. Fiscal management			
F. Data interpretation, target, intensity and duration			
G. Staff meetings are conducted regularly to enhance communications.			
H. Policy/process is in place for recruiting and hiring quality/qualified staff.			
1.2 Strategic Planning			
1. A written program plan exists and is used in addressing intensity/duration, day-to-day operations, data review/interpretation, and marketing outreach practices.			
2. Program plan is reviewed and updated annually to meet student needs/expectations.			
3. Program goals are realistic, understandable, measurable, and achievable.			
4. Program targets (projections) as indicated in the approved application are reviewed and evaluated annually.			
1.3 Fiscal Indicators			
1. There is a printout/ledger from the business administrator displaying revenue and expenditures, identified by funding streams for adult education services.			
2. Supporting documentation is maintained for revenue and expenditures identified on the business administrator's budget ledger. Monitor will request documentation including payroll and associated benefits for a specific period of time for review.			
3. Written requests for approval are made to the USOE if a budget line item changes by 10% or more from approved federal budget line items. (Section G – Adult Education Policy and Procedures Manual)			
4. Federal reimbursement requests are made quarterly. (Tab 10and 21)			
5. Independent legal audits are conducted annually. (Tab 12)			
6. State funds remaining at the end of the fiscal year are approved by USOE as carryover, and a revised state budget incorporating the carryover funds is submitted defining use for adult education services. (Tab 10)			
7. Indirect cost charges are correct for federal and state dollars. (www.schools.utah.gov/finance/finance/indirect_cost/rates.htm)			
8. The director/coordinator and all other staff members' time allocated to adult education in UTopia correlates and matches AEFLA and state budgets approved and on file with the Utah State Office of Education.			

Commendations:

Needs Improvement:

Corrective Action Required:

2. Curriculum and Instruction			
QUALITY INDICATORS	Evidence		
	YES	NO	Needs Improvement
2.1 Quality of Curriculum			
1. There is a curriculum for ABE, ESOL, GED® and AHSC (as applicable). Curriculum sampling is conducted.			
2. Curriculum is special-needs and culturally sensitive.			
3. Curriculum content and materials align with federal NRS and state standards. (Tab F and I, NRS levels)			
4. There is evidence of: 1) lesson plans and 2) variety in instructional strategies, and 3) use of state ESOL Standards.			
5. There is evidence that credit courses and associated credit allotments are reviewed and approved by local board of education. (Sample reviewed.)			
2.2 Instructional Materials			
1. Instructional materials support state-approved standards and objectives.			
2. Adequate instructional materials are available for all students in all courses.			
3. Instruction is enriched with appropriate instructional technology and related resources such as computers and software, iPads, Smart Boards.			
4. The instructional materials are current and relevant and are on a replacement rotation schedule as needed.			
5. Materials are available in the school for students to become aware of a broad range of careers, continued education, and/or training opportunities.			
2.3 Quality of Instruction			
1. Instruction incorporates adult learning styles and is individualized to meet student needs.			
2. Program intensity and duration are adequate for students to achieve goals and level gains.			
3. Is credit awarded for ABE courses?			
4. If credit is awarded for ABE courses, is the credit approved by the local school board?			
5. Describe the process/justification for awarding credit for ABE courses if this is a practice in your program.			
2.4 Professional Development for Instructors/Staff			
1. Documented training (agenda and signed roll sheet) is in place to ensure all program staff have received inservice on A. the NRS policy, B. accountability policies C. the purpose of the NRS Educational Functioning Level Tables D. interpretation of the NRS tables E. purpose of assessments and the establishment of Entering Functioning Levels (EFL) F. the importance of student coursework appropriate to successful student outcomes, G. the required staff are involved in tracking and monitoring critical NRS data/information associated with assessments and EFL placements of students on an annual basis, and H. data collection policies			
2. Instructors receive professional development pertinent to adult learners at local, regional and state levels. Documentation samples are noted.			
3. Documentation is submitted annually to the USOE by the program that persons administering the TABE and the CASAS have completed training requirements or are "recalibrated" following test publisher standards.			

Commendations:
Needs Improvement:
Corrective Action Required:

3. Data Quality and Measurements			
QUALITY INDICATORS	Evidence		
	YES	NO	Needs Improvement
3.1 Data Collection and Quality			
1. Administrative process is in place to ensure accurate/timely collection of data. (Tab F, Data Requirements.)			
2. Student files contain all documentation pertinent to the student’s education. (Tab 2, Adult Education Program Audits.)			
3. Data is entered in UTopia and is maintained in student files on an ongoing ‘timely’ basis.			
4. Staff is assigned responsibility to ensure accurate data collection and reporting.			
3.2 Student Retention			
1. Evidence is presented verifying that a process is in place to analyze UTopia data regarding appropriateness of intensity and duration of classes.(UTopia data – POM, NRS 4 & 4B reports, Target reports.)			
2. Program staff must select student goal(s) (improve ABE skills, improve ESOL skills, obtain a GED Targets or diploma, enter post-secondary education or training, obtain a job, retain a job.). For each student, a student SEOP is developed that includes goals that are obtainable within the program year. (Tab 2) (UTopia data)			
3. Is there evidence that 51% of students in your program have a documented social security number and a signed release waiver in UTopia? (Records are maintained in the student file.) (Tab 2)			
4. Processes are in place to provide students with support services and to make referrals to community services, processes for transition to post-secondary & training programs..			
3.3 Educational Gains Based on EFL			
1. Process is in place to appropriately place students according to their Entering Functioning Level (EFL). (Tab 1 and 2)			
2. Process is in place to appropriately post-test students after 50 (ABE/AHSC) hours instruction, 60 hours for ESOL instruction, or 40 hours if it is known that the student is leaving and not returning. (Tab 1)			
3.4 Measurements			
1. Assessment includes standardized and other diagnostic testing. (Tab 1)			
2. Administration of pre- and post-tests is accurate and follow test publishers’ protocol.			
3. Describe the process for securing assessment tools. (TABE, CASAS, BEST) including storage of test booklets, test forms, calculators, and scratch paper both during and outside of assessment times.			
4. Describe the process for securing tests and testing materials when proctoring a test.			
5. For the following several questions a sampling of student files was reviewed.			
A. Of the files reviewed, whose name appears as the “certified” person proctoring the tests? Does the name match the USOE master list? Name:			
B. The Test of Adult Basic Education (TABE) is used as the standardized test for ABE/AHSC students.			
C. The Test of Adult Basic Education (TABE) Locator is administered before a pre-test is given.			
D. The program uses levels L, E, M, D, and A of the TABE 9-10 for pre- and post-testing. (Tab 1)			
E. The program administers one of the following for a complete pre-test and final post-test; Full Survey Complete Battery (Tab 1)			
F. For ESOL students, the Comprehensive Adult Student Assessment System (CASAS) is used as the standardized test for English Language Learners. The CASAS oral screening (six questions) is administered first. (N/A if not using CASAS) (Tab 1)			
G. After the oral screening, Form 27 is given to low literacy ESL students to determine their Entering Functioning Level (EFL). (N/A if not using CASAS)			
H. For ESOL students, the Basic English Skills Test (BEST) Literacy and BEST Plus is used as the standardized test for English Language Learners. (N/A if not using BEST)			
I. The BEST Plus (for speaking and listening) Appraisal is administered first. (Print-based version only.) (N/A if program does not use BEST.) (Tab 1)			
6. Persons proctoring any of the state approved standardized tests are certified and their name appears on the USOE “approved assessor” list. (Answer sheet has signature of person administering the test.) (Utopia – staff demographic screen accurately matches the USOE qualified assessor list.)			
7. All testing protocols must be maintained for five years from the time of generation. (effective 7.1.14)			

Commendations:
Needs Improvement:
Corrective Action Required:

4. Student Indicators			
QUALITY INDICATORS	Evidence		
	YES	NO	Needs Improvement
4.1 Student Evaluation of Services			
1. Are student comments and input considered for program improvement?			
4.2 Student Services			
1. Describe the process/policies providing student counseling and transition services.			
2. Describe transition services provided to students including: support agencies (DWS, Vocational Rehabilitation others), applied technology or community colleges.			
3. Review of MOUs and letters of agreement with agencies defined in question #2.			
4. Describe how the program provides college and career related activities.			
5. Accommodations are made for learning differences and/or all disabilities. (Tab 5)			
6. Program recognizes student achievements.			
7. Program provides an appropriate adult learning environment with accessible, hazard-free facilities. (Tab 5)			
8. All programs and services are open and accessible to student and staff without regard to race, color, national origin, sex, disabilities, and age as evidenced by non-discrimination statements in all public information. Promotional materials, registration, and other publications provide continuous civil rights notifications and grievance procedures (listing contact position, phone number and address).			
9. Program facility is ADA accessible to all persons (including restrooms and classrooms).			

Commendations:

Needs Improvement:

Corrective Action Required:

5. Community Connections			
QUALITY INDICATORS	Evidence		
	YES	NO	Needs Improvement
5.1 Recruitment of Students			
1. Process is in place to assess local community needs based on demographic data.			
Marketing and recruitment efforts/methods are evident.			
5.2 Partnerships			
1. Contracts, memoranda of understanding , or letters of agreement exist with partnering agencies.			
2. Program is represented at USOE required State/Regional Adult Education Director/Coordinator Meetings.			
5.3 Sharing of Resources			
1. Process is in place to share best practices with other program directors/coordinators.			
2. Program director/coordinator attends a local DWS regional/coordinating council meeting at regular intervals.			
5.4 Adult Education Services at USOE			
1. Our program receives good information from USOE.			
What needs or services can USOE provide to better assist your program?			

Commendations:
Needs Improvement:
Corrective Action Required:

6. Safety and Security			
QUALITY INDICATORS	Evidence		
	YES	NO	Needs Improvement
6.1 Safety and Security			
1. There is a system for contacting security in emergency situations.			
2. There is a system for documenting serious incident reports.			
3. State and/or district health and safety policies and procedures are utilized.			
4. Safety instruction is planned, carried out and documented.			
5. Appropriate equipment is provided to protect students and instructors from injury.			

Commendations:

Needs Improvement:

Corrective Action Required:

7. Facilities, Equipment, and Supplies			
QUALITY INDICATORS	Evidence		
	YES	NO	Needs Improvement
7.1 Facilities			
1. Storage space is functional and sufficient for instructional materials, supplies, and equipment.			
2. Classrooms and laboratories are safe, clean, properly maintained, and in good repair to provide an environment conducive to learning.			
3. Instructor workstations are adequate and appropriately equipped.			
4. Facilities are properly maintained to provide an environment conducive to learning.			
7.2 Equipment and Supplies			
1. Equipment provided is consistent with program objectives.			
2. Established procedures for the maintenance, repair, and replacement of equipment are followed.			
3. Supplies or an annual supply budget is provided to instructors.			
4. Program is adequately equipped and supplied to meet the needs of all students.			
5. An inventory of non-consumable items (teaching materials and equipment) is maintained and updated annually. Inventory includes fixed asset number (inventory control number), model number, date of purchase, funding source, serial number, and purchase price. (Tab 9)			
6. Inventory is conducted annually.			

Commendations:

Needs Improvement:

Corrective Action Required:

Program director/coordinator comments or concerns regarding program review.

DESK MONITORING TOOL PROCESS

Written 7.3.14 Effective 7.3.14
Revised 9.15.14

Monthly, an adult education specialist will schedule a desk monitoring appointment for the purpose of assisting overall program improvement.

At the beginning of the fiscal/program year, you will receive the Desk Monitoring Tool, which will be used for providing and tracking monitoring points/outcomes during the current program year.

The following serves as a guide to completion of the monitoring points. UTopia reports are to be used in reporting each monitoring data point.

1. **Date (column A, rows 4-15)(Row 20, columns D-O)** – Fill in the date that UTopia reports were run to generate the monitoring data. This should be done the day of, or the day before, the monitoring session.
2. **# of Students Who Need a Pre-Test (column B, rows 4-15)** – Enter the number of students fitting this category using the “Students Who Need Pre-Tests” report. To obtain the report, use the following parameters:
 - a. Select the entire program for the current program year.
 - b. “Include students separated from program” – no.
 - c. “Include students previously in classes but not now” – yes.
3. **# of Students Who Can Post-Test (column C, rows 4-15)** – Enter the number of students with 50+ instructional hours (note: 60+ hours for ESL students) using the “Students Who Can Post-Test” report. To obtain the report, use the following parameters:
 - a. Select the entire program for the current program year.
 - b. “Include students separated from program” – no.
 - c. “Include students previously in classes but not now” – yes.
 - d. Sort the report by “Contact Hours.”
4. **“Participants” Through “Credits” (column D-K, rows 4-15)** – Use the current POM report for the data in these columns. To obtain the report, use the following parameters:
 - a. Select the entire program for the current program year.
 - b. “Show details” – no.
 - c. Sort status: “E then P then NP” – yes.
5. **Program Targets % to Date for ESOL 1 Through AHSC 1 (rows 21-31, columns D-O)**
Use the “Target Level Gains and Post-Testing Percentage Rate” report. Enter the numbers from the current year’s column E.
To Obtain the report, use the following parameters:
 - A. Select the entire program for the current program year.
 - B. “Only include distance learning students” – No
 - C. “Only include students referred by DWS” – No
 - D. “Only include Hispanic students” - No
6. **Program Director’s Comments (row35)** – Enter a date and any comments you would like to share regarding your data, recent/upcoming events, questions, etc. during the monitoring.
7. Prior to your scheduled desk monitoring appointment:
 - a. Save the completed document.
 - b. E-mail the completed form to your TA.
 - c. Be prepared to propose a date for your next desk monitoring appointment.