

**An Overview of the
Federal Adult Education
Monitoring Process**

Objectives...

- ✓ **Discuss the process for identifying sites to monitor**
- ✓ **Highlight differences between the full and target site reviews**
- ✓ **Emphasize critical process elements before, during, and after the visit**
- ✓ **Define and explain "the CAP" (corrective action plan)**
- ✓ **Outline common monitoring findings**
- ✓ **Practice the development of corrective actions**

DAEL Monitors States For...

- **Compliance with AEFLA**
- **Technical Assistance**
- **Student Achievement and Program Improvement**



3-Year Monitoring Picture

2003 – 2004 (FY 2004)

17 Visits – 8 Full

9 Targeted

2004 – 2005 (FY 2005)

18 Visits – 8 Full

10 Targeted

2005 – 2006 (FY 2006)

12 Visits – 6 Full

6 Targeted

The Chosen Ones...



Review Factors

- Lacking monitoring review for significant number of years
- Needing verification of data quality
- Performing consistently low on NRS indicators in several categories
- Having unresolved audit findings
- Having significant staff turnover in State offices
- Receiving a significant allotment of AEFLA funds

The Full Review...

- **Three Phases – Pre-visit**
 - On-site Visit**
 - Post-visit – Same for Full and Targeted visits**
- **Full Team - Area Coordinator**
 - 3 – 4 Subject Matter Experts from OVAE**
 - 1 Peer Reviewer**
 - 4-5 Days in Length**
- **Team visits 4 local programs Onsite**
- **8 Areas of Focus**

The Pre-Visit

- **Pre-visit begins 90 days before the visit**
- **Conduct 2-3 conference calls with the state**
- **Request limited materials from the state**
 - **local NRS performance data with a sample spread sheet to select local site visits**
 - **local site RFPs**
- **Finalize agenda and travel logistics**
- **Send monitoring tools to the state**
- **State assembles evidence for review**

The On-site Visit

- **Entrance Interview**
- **MIS Demonstration**
- **Review Evidence and Interview State Staff Members**
- **Visit Local Programs**
- **Meet with Partners and Local Adult Education Directors**
- **Team Time**
- **Exit Interview to Discuss Observations and Findings**

The Target Review...

PURPOSE

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graph TD; A[PURPOSE] --- B[FOLLOW-UP]; A --- C[SPECIFIC ISSUES]; A --- D[TECHNICAL ASSISTANCE]
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FOLLOW-UP

SPECIFIC ISSUES

TECHNICAL ASSISTANCE

State Review Modules

- National Reporting System
- State Leadership
- Funding Local Grant
- Evaluation of Local Programs
- Financial Considerations
- Organizational Status
- Collaboration/WIA
- EL/Civics Education



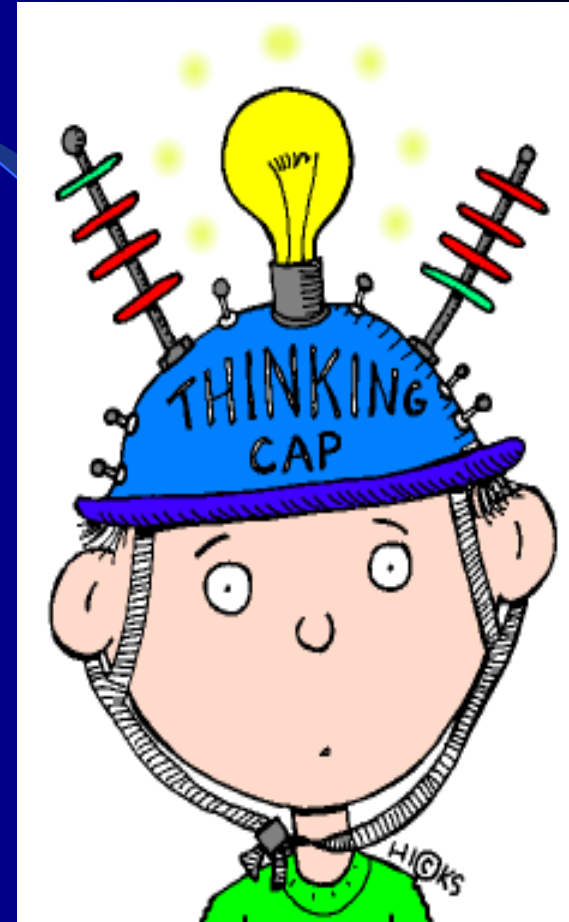
Post-Visit

- Written report due to state within 45 days
- Report includes commendations, findings, and required actions
- State response required within 45 days of receipt of report

“The CAP”

(Corrective Action Plan)

- State responds to findings from the written report
- Team reviews the CAP
- CAP is accepted or returned for revisions
- Open CAP monitored for completion
- CAP closed



CAP Template

TEMPLATE FOR STATE PROGRAM AND
TECHNICAL ASSISTANCE MONITORING CORRECTIVE ACTION PLAN

STATE: _____ DATE OF VISIT: _____ RECEIVED REPORT:

State Required Action	Strategy to Meet Required Action	Evidence of Action Completed	Projected Date for Completion	Assigned Staff if Appropriate	Status of Action Completed/ Pending

Do's & Don'ts

- Do, be excited...



Don't, be nervous!!!

DO...

- Be an active participant in developing the agenda
- Prepare documentation and organize the review materials by modules
- Inform your coordinator of your technical assistance needs
- Submit NRS data on local programs for site selection
- Ask questions (a lot...)
- Be flexible...

DON'T...

- Include information that is not relevant to the modules
- Forget to include the state superintendent or commissioner in entrance and exit interviews
- Be overtaken by the process

Ten Common Monitoring Themes

- 1:** State and local fiscal alignment
- 2:** Assessment policy
- 3:** Management Information System
- 4:** Non-allowable costs
- 5:** Local program evaluation
- 6:** Request For Proposals
- 7:** Goal setting
- 8:** Direct & equitable
- 9:** Report program income
- 10:** MOE/Match

Exercise...

- Participants are divided into teams
- Each team is given a finding for review
- Using the CAP template, each team develops actions to correct the finding
- Teams report out on corrective actions (5 minutes or less)

Q & A

