

OVAE AEFLA MONITORING TOOLS

State Review Protocol	Type	Reviewers' Comments/Guidance	Methods of Collection/Examples of Documentary Evidence
Module 1 – NRS Implementation			
1. Is there a computerized individual student record-keeping system with a relational database? <ol style="list-style-type: none"> a. At the State agency level? b. At the local program level? <p style="text-align: center;">Sec. 212 AEFLA</p>	C		Demonstration
2. Can the existing MIS meet the Federal reporting requirements of the NRS? <p style="text-align: center;">Sec. 212 AEFLA</p>	C		Demonstration and Document Review (DR) below
Does the MIS:			
a. Disaggregate to subpopulations (such as student age, race, and sex) and program?	C		<ol style="list-style-type: none"> 1. Sample site and classroom level reports 2. Sample individual student reports 3. Federal NRS tables 4. Sample error reports 5. Sample edit checks 6. Reports used for program management and improvement 7. Printout of successful data matches
b. Identify individual students by goal for follow-up?	C		
c. Conduct edit checks for test scores and other data integrity?	C		
d. Conduct analyses for program improvement?	I		
e. Support the ability to data match with external data systems? <p style="text-align: center;">Sec. 212 AEFLA</p>	I		

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<p>3. Has the eligible agency established appropriate data collection policy and procedures to implement NRS?</p> <p>a. Are there data collection procedures for demographic, assessment, and attendance data?</p> <p>b. Have sufficient State fiscal resources been budgeted?</p> <p>c. Have data reporting timelines been established? How often does the State collect data from local programs?</p> <p>d. Have follow-up strategies been identified and implemented? What methods are used (data match, survey, combination)?</p> <p>Sec. 212 AEFLA</p>	C		<p>Interview and DR</p> <ol style="list-style-type: none"> 1. State policy guidance to the field on data collection and management 2. State manuals/users guides for local personnel running the MIS 3. State administrative rules 4. Job descriptions for data staff 5. State budget for MIS, including staff positions 6. Data reporting schedule or calendar distributed to local programs 7. Statewide survey form and survey protocols
<p>4. Has the eligible agency developed appropriate policy and procedures for student intake?</p> <p>a. Have goal-setting procedures for student goals relating to core measures been developed?</p> <p>b. Have procedures for follow-up surveys been developed and implemented?</p> <p>c. Does the State require a confidentiality release form for standard with goals that require follow-up?</p> <p>Sec. 212 AEFLA</p>	C		<p>Interview and DR</p> <ol style="list-style-type: none"> 1. State policy memoranda to the field on goal-setting and survey procedures 2. State manuals/users guides for local personnel running the MIS 3. State administrative rules 4. Statewide intake forms used by all locals 5. Sample confidentiality release forms.
<p>5. Has the eligible agency developed appropriate assessment policy to meet core measure requirements?</p> <p>a. Have assessment instruments been identified?</p> <p>b. Have policies for conducting pre/post</p>	C		<p>DR</p> <ol style="list-style-type: none"> 1. State policy memoranda to the field on outlining acceptable assessments and testing intervals

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<p>assessment been developed?</p> <p>c. Does the policy meet the standards established in the Data Quality Checklist?</p> <p>Sec. 212 AEFLA and 34 CFR 462 Subpart D</p>	C		<ol style="list-style-type: none"> 2. State manuals/users guides for local personnel running the MIS 3. State administrative rules 4. List of approved assessments posted on web 5. Sample reports on assessment screens 6. Data Quality Checklist 7. Interviews with State and local personnel
<p>6. How does the eligible agency monitor data quality?</p> <p>a. Data has error checking functions (identifies out-of-range values, missing data, etc.)?</p> <p>b. State has standardized forms (electronic or paper) for collecting student information (e.g. intake, attendance, goal setting) that include all NRS measures and have correct NRS definitions and categories?</p> <p>c. Local program data is entered into database at least quarterly?</p> <p>d. Does the policy meet the standards set forth in the Data Quality Checklist?</p> <p>e. State reviews local data at least quarterly for errors, missing data, out-of-range values and has process to resolve problems?</p> <p>Sec. 212 AEFLA</p>	<p>C</p> <p>C</p> <p>C</p> <p>C</p> <p>C</p>		<p>Interview, DR, Demonstration</p> <ol style="list-style-type: none"> 1. State policy memoranda to the field on data quality management 2. State manuals/users guides for local personnel running the MIS 3. Schedule or software interval for checking local data in the MIS. 4. State schedule showing personnel assigned to do agency on site data audits 5. Interviews with State and local staff.
<p>7. Does the eligible agency provide on-going staff development and training to support NRS that includes:</p> <p>a. General NRS requirements?</p> <p>b. Conducting assessment and follow-up?</p> <p>c. Data collection procedures?</p> <p>d. Data entry in MIS?</p> <p>e. Use of data for quality improvement?</p>	<p>C</p> <p>C</p> <p>C</p> <p>C</p> <p>C</p>		<p>Interview and DR</p> <ol style="list-style-type: none"> 1. Schedule of accountability/NRS trainings and courses offered 2. Training materials, such as manuals or screen shots

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<p style="text-align: center;">Secs. 212 & 223 AEFLA</p>			<ul style="list-style-type: none"> 3. Web postings of training opportunities 4. Schedule of online trainings 5. List of State staff participating in Federal regional NRS training.
<p>8. What fiscal resources are allocated to staff development and training related to NRS implementation annually?</p> <p style="text-align: center;">Secs. 212 & 223 AEFLA</p>	I		<p>DR</p> <ul style="list-style-type: none"> 1. State budget (administration and leadership) for MIS, including staff positions 2. State and AEFLA training budget showing share allocated to MIS training
Review of NRS Annual Report			
<p>1. Does the proportion of students served in ABE, ASE, and ESL appear reasonable based on the State's needs?</p> <p style="text-align: center;">Sec. 224 (b) (10) AEFLA</p>	I		<p>DR</p> <ul style="list-style-type: none"> 1. State plan and extensions 2. Census population information or updates 3. Funded proposals 4. Schedule of classes from large, local districts
<p>2. Does the data on student demographics (age, ethnicity, gender) raise any issues, for example lack of services to a particular group?</p> <p style="text-align: center;">Secs. 224 (b) (10) and 231 (e) (3) AEFLA</p>	C/I		<p>DR</p>

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3. Does the student outcome data on Table 4 indicate adequate performance compared to national data? Sec. 212 AEFLA	I		DR 1. AT team's national average performance data for most recent year 2. State targets and actual performance for last three years 3. State statistical report 4. Pre and posttest rates on Table 4B for last 2-3 years
4. Does the State have a history of meeting its performance targets? Sec. 212 AEFLA	C		
5. Is the State demonstrating continual improvements in its outcomes? Sec. 212 AEFLA	C		
6. Is the State obtaining an adequate pre and posttest rate on Table 4B? Sec. 212 AEFLA	I		
7. Does the average number of instructional hours indicate that program is of sufficient intensity and duration to produce learning gains? Sec. 231 (e) (4) AEFLA	C		Interview and DR Funded proposals for programs to be site visited
8. Is the State setting goals for employment and postsecondary outcomes on a reasonable number of participants? Sec. 212 AEFLA	I		DR 1. State performance report for last 2-3 years 2. Statewide unemployment rate or number of unemployed
9. Is Table 5 completed correctly? Sec. 212 AEFLA	C		DR
10. Are there irregularities in NRS data that need to be investigated during the State visit? Sec. 212 AEFLA	C		DR

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Module 2 – State Leadership			
<p>1. What amount has the State expended in the current and previous two years for section 223 State leadership activities? How much is expended by the State office? How much is contracted outside the State office?</p> <p>Secs. 222 & 223 AEFLA</p>	I		<p>Interview and DR</p> <ol style="list-style-type: none"> 1. Internal budgets 2. Budgets for contracted activities for the past three years
<p>2. What have the major priorities been for State leadership investment in the State?</p> <p>Sec. 223 AEFLA</p>	I		<p>Interview and DR</p> <ol style="list-style-type: none"> 1. Rank ordering of contracted activities by level of funding for the past three years. 2. If all internal, evidence of priorities?
<p>3. How does the State identify areas of need for projects supported by State leadership funds?</p> <p>Sec. 224 (b) (1) AEFLA</p>	I		<p>Interview and DR</p> <ol style="list-style-type: none"> 1. State plan or extension description of process 2. Field surveys or summaries of survey results 3. Conference agendas showing discussions of training needs 4. Reviews of State information on teacher qualifications or performance
<p>4. What procurement requirements does the State follow in awarding State leadership funds? Describe the process for awarding State leadership funds.</p> <p>Sec. 223 AEFLA</p>	C		<p>Interview and DR</p> <ol style="list-style-type: none"> 1. State procurement requirements 2. RFPs and proposals for leadership funds, if applicable 3. Reviewers' comments on proposals
<p>5. What level of support from State leadership funds has the State provided for data quality activities, such as NRS training or MIS development, over the last four years?</p> <p>Secs. 212 and 223 AEFLA</p>	I		<p>Interview and DR</p> <ol style="list-style-type: none"> 1. Proposals and contracts 2. State leadership budgets 3. Evidence of NRS training: new employee training, agendas, sign in sheets, evaluation forms, Web postings

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<p>6. Do funded contracts in effect for State leadership funds show that:</p> <ul style="list-style-type: none"> a. All activities are allowable under section 223 of AEFLA b. Costs necessary and reasonable? <p>Sec. 223 AEFLA & OMB Circular A-87</p>	<p>C</p> <p>C</p>		<p>Interview and DR</p> <p>Contracts or grants funded with State leadership funds</p>
<p>7. How are training activities, participants, etc., tracked by the State?</p> <p>Sec. 223 AEFLA</p>	<p>I</p>		<p>Interview and DR</p> <p>Project reports, lists schedules</p>
<p>8. Describe the process for evaluating State leadership projects. Is the level of impact measured by general satisfaction, teacher-level impact, or student level impact?</p> <p>Sec. 223 AEFLA</p>	<p>I</p>		<p>Interview and DR</p> <ul style="list-style-type: none"> 1. State plan or extensions 2. Evaluation reports by State staff or outside consultants. 3. Evaluation forms from professional development events.
<p>9. Referring back to question two, does the State have State leadership initiatives that incorporate strategies for special populations, including:</p> <ul style="list-style-type: none"> a. Low-income students b. Individuals with multiple barriers to educational enhancement, including individuals with limited English proficiency? c. Single parents and displaced homemakers? d. Individuals with multiple barriers to educational enhancement, including individuals with limited English proficiency? <p>Sec. 224 (b) (10) AEFLA</p>	<p>I</p>		<p>Interview and DR</p> <ul style="list-style-type: none"> 1. Funded contracts and/or grants for beneficiaries 2. Evaluation reports of State leadership projects

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<p>10. What process does the State employ to ensure that professional development activities are widely accessed by instructors and program managers? Does the State have teacher training requirements or policies to support participation, such as paid release time, etc.?</p> <p>Sec. 223 AEFLA</p>	I		<p>Interview and DR</p> <ol style="list-style-type: none"> 1. Teacher training policies 2. Professional development requirements in RFPs or operational manuals
<p>11. How does the State deliver professional development activities to its local agencies (i.e. regional centers, single provider, various contractors, internal staff)?</p> <p>Sec. 223 AEFLA</p>	I		Interview
Module 3 – Funding Local Grants			
<p>1. Are all local grants distributed competitively? Please describe your process.</p> <p>Sec. 231 AEFLA</p>	C		<p>Interview and DR</p> <ol style="list-style-type: none"> 1. Announcements of funding opportunities, including web postings and print ads 2. RFPs and associated materials such as information or instruction packets 3. Formulas including AEFLA local grant funds
<p>2. Does the State use a formula <i>in addition to</i> a competition to distribute AEFLA funds? If so, what formula is used?</p> <p>Sec. 231 AEFLA</p>	C		<p>Interview and DR</p> <p>Legislation or State administrative rule establishing formula</p>
<p>3. Can the State demonstrate that:</p> <ol style="list-style-type: none"> a. All grants are multi-year, except under State plan extensions approved by OVAE? Sec. 231 (a) AEFLA b. Grant competitions are evaluated under criteria States must consider listed in Sec. 231(e) of AEFLA? If some criteria are not used, which ones? c. Grantees sought support services 	C		<p>DR</p> <ol style="list-style-type: none"> 1. Announcements of funding opportunities, including web postings and print ads 2. Instructions to review panel 3. Scoring protocol 4. RFPs and associated materials such as information or instruction packets 5. Funded proposals

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<p>through partnerships before investing AEFLA funds for such services? Sec. 231 (d) AEFLA</p>			6. Local MOUs
<p>4. Do all eligible providers have direct and equitable access to local grant funds: Sec. 231 (c) AEFLA</p> <p>a. Does the RFP invite participation of all eligible providers in Sec. 203 (5)?</p> <p>b. Do the RFP or other materials impose conditions on any eligible provider that would limit eligibility (such as requiring applicants to already have State or Federal adult education funds, or an MIS, or to format their application a specific way in order to be eligible to be rated by the review panel)?</p> <p>c. Does the State conduct outreach activities about the competition, such as grant-writing workshops, and invite <i>all eligible</i> providers (not just all current providers)?</p> <p>d. Can the State demonstrate that it receives applications from, and in fact funds, more than one type of provider?</p> <p>e. If the State uses a panel external to the AE unit, how is the panel selected?</p> <p>f. Does the panel include individuals who:</p> <p>i. Have subject matter expertise in adult education;</p> <p>ii. Are not local grantees;</p> <p>iii. Represent a cross-section of provider types; and</p> <p>iv. Will not benefit financially from the grant awards?</p>	<p>C</p> <p>C</p> <p>C</p> <p>C</p> <p>I</p> <p>I</p> <p>I</p> <p>C</p>		<p>Interview and DR</p> <p>1. Announcements of funding opportunities, including web postings and print ads</p> <p>2. RFPs and associated materials such as information or instruction packets</p> <p>3. Agendas, mailing lists and sign-in sheets for outreach sessions</p> <p>4. List of applicants, slate of proposals rated and ranked, list of funded projects.</p> <p>5. List of panelists and their affiliations</p>
<p>5. Are activities proposed to be funded:</p> <p>a. Necessary and reasonable?</p> <p>b. Allowable?</p> <p>OMB Circular A-87</p>	<p>C</p> <p>C</p>		<p>DR and local site visits</p> <p>Grants and contracts for funded projects being visited</p>
6. How has the State met the requirement to fund not	C		Interview and DR

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<p>less than one program that offers flexible schedules and support services necessary to allow persons with disabilities or other special needs to participate in adult education, after attempting to find such services through coordination?</p> <p>Sec. 224 (b) (5) AEFLA</p>			<p>Grants and contracts for funded proposals being visited include support services and flexible schedules for these populations</p>
<p>7. How are special populations being served including, at a minimum:</p> <ul style="list-style-type: none"> a. Low-income students b. Individuals with disabilities c. Single parents/displaced homemakers d. Individuals with multiple barriers to educational enhancement, including individuals with limited English proficiency? <p>Sec. 224 (b) (10) AEFLA</p>	<p>C</p> <p>C</p> <p>C</p> <p>C</p>		<p>DR and local site visits</p> <ul style="list-style-type: none"> 1. State plan or extension 2. NRS Table 6 3. Funded proposals
<p>8. Does the State have written policies and procedures in place to assist program staff in providing services to persons with disabilities?</p> <p>Sec. 224 (b) (10) AEFLA</p>	<p>I</p>		<p>Interview and DR</p> <ul style="list-style-type: none"> 1. Policy memos 2. State rules 3. Training materials 4. Schedule of trainings provided and sign-in sheets
Module 4—Evaluation of Local Programs			
<p>1. Are the State's evaluation activities consistent with the evaluation processes described in the State plan and any extensions?</p> <p>Sec. 224 (b) (3) AEFLA</p>	<p>C</p>		<p>Interview and DR</p> <ul style="list-style-type: none"> 1. State plan and extensions 2. Sample data tables used to conduct review of local performance measure data 3. Evaluation forms for local site visits 4. Evaluation reports for performance measures and local site visits
<p>2. Is the State annually evaluating all local programs on the performance measures in Sec. 212 of AEFLA</p> <ul style="list-style-type: none"> a. Does the State have data tables from 	<p>C</p>		<p>Interview and DR</p> <ul style="list-style-type: none"> 1. State plan and extensions 2. Sample data tables used to conduct review of performance measure data

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<p>local grantees used to conduct in-office reviews?</p> <p>b. Is there evidence that the State analyzes local performance data?</p> <p>Sec. 224 (b) (3) and Sec. 212 AEFLA</p>	I		<p>3. Spreadsheets demonstrating analysis (rankings, performance scores?)</p>
<p>3. Does the State require specific performance targets to be met by local programs? Are these set by the local itself, or set Statewide?</p> <p>Sec. 212 AEFLA</p>	I		<p>Interview and DR</p> <ol style="list-style-type: none"> 1. RFPs and information or instruction packets 2. State administrative rules or policy memoranda to the field
<p>4. Does the State use performance to evaluate local programs for funding, or continued funding? If so, does the State use:</p> <ol style="list-style-type: none"> a. Required local performance targets b. Information from on-site visits c. Audit findings d. All of the above? <p>Sec. 212 AEFLA</p>	I		<p>Interview and DR</p> <ol style="list-style-type: none"> 1. RFPs and information or instruction packets 2. State administrative rules or policy memoranda to the field 3. Performance funding documents
<p>5. How often does the State evaluate local programs on site? What percentage is evaluated annually on site? Who conducts the visits?</p> <p>Sec. 224 (b) (4) AEFLA</p>	I		<p>Interview and DR</p> <ol style="list-style-type: none"> 1. State plan and extensions 2. State administrative rules or policy memoranda to the field 3. Site visit schedules 4. Funded proposals including post-award requirements
<p>6. Does the State have a standard evaluation form for on site evaluations? Does the tool measure compliance? Does the tool measure program quality?</p> <p>Sec. 224 (b) (4) AEFLA</p>	I		<p>DR</p> <ol style="list-style-type: none"> 1. Evaluation form 2. Report of external evaluator
<p>7. Does the State require a corrective action or program improvement plan to address program issues? How is progress on this corrective action</p>	I		<p>Interview and DR</p> <ol style="list-style-type: none"> 1. Site visit report, including requirements for

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<p>plan monitored?</p> <p>Sec. 224 (b) (4) AEFLA</p>			<p>program improvement plan</p> <ol style="list-style-type: none"> 2. Sample program improvement plan 3. State administrative rule or program memorandum to field
<p>8. How is evaluation information used for Statewide planning? How are results shared with the field?</p> <p>Sec. 224 (b) (4) AEFLA</p>			<p>Interview and DR</p> <ol style="list-style-type: none"> 1. Evaluation reports and distribution list 2. Conference agendas showing reports used for Statewide planning 3. Agendas for advisory group meetings showing discussion of evaluation reports for planning
Module 5—Financial Considerations			
<p>1. Have all required FSRs been submitted?</p> <ol style="list-style-type: none"> a. If so, were the submissions timely? b. If not, what remains outstanding? <p>Sec. 212 AEFLA</p>	C		<p>DR</p> <ol style="list-style-type: none"> 1. AT team records of submission dates over minimum of two cycles 2. AT team records of outstanding items
<p>2. Were the statutory caps met in each report for administration? For State leadership?</p> <p>Sec. 222 AEFLA</p>	C		<p>DR</p> <ol style="list-style-type: none"> 1. AT team analysis of most recent interim and final reports 2. State budget for Federally funded staff charged to AEFLA administration 3. State budget for Federally funded staff charged to AEFLA State leadership
<p>3. Is an indirect cost charged to the grant over and above the five percent or \$65,000 cap on administrative costs?</p> <p>Sec. 222 (a) (3) AEFLA 34 CFR 76.563 - 76.564</p>	C		<p>DR</p> <ol style="list-style-type: none"> 1. Most recent interim and final financial reports 2. Interview with State program staff 3. Interview with State finance staff 4. State finance staff work papers
<p>4. Has the grantee met the limitation on corrections spending as a percent of local grant funds? Has the grantee spent at least some AEFLA funds on corrections or institutionalized populations?</p> <p>Sec. 222 (a) (1) AEFLA</p>	C		<p>DR</p> <ol style="list-style-type: none"> 1. Most recent interim and final financial status reports 2. Corrections contract or funded proposal

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5. Is the State maintaining effort (MOE)? <ul style="list-style-type: none"> a. On a per pupil or total cost basis? b. Has the MOE dropped recently? Sec. 241 (b) AEFLA	C		DR <ul style="list-style-type: none"> 1. AT team analysis of MOE 2. Most recent interim financial status report
6. Has the State met its match? If the State exceeded the required match, by what percent does it match? Sec. 222 (b) AEFLA	C I		DR <ul style="list-style-type: none"> 1. AT team analysis of match 2. Most recent interim financial status report
7. Are all the costs allocated for MOE and match allowable costs to AEFLA? Used only to match AEFLA and not other programs? Sec. 231 (b) AEFLA OMB Circular A-87	C		Interview and DR <ul style="list-style-type: none"> 1. Interview with State program staff 2. Interview with State finance staff 3. State finance staff work papers
8. How much program income is being reported and how is it being spent at the local level? 34 CFR 80.25	C		DR Most recent interim financial status report
9. Are there any outstanding issues from prior audits? 34 CFR 76.702	C		DR <ul style="list-style-type: none"> 1. Division audit reports 2. AT team communications on audit resolution
10. What is the State level staffing pattern for adult education? <ul style="list-style-type: none"> a. How are the positions funded b. Is staffing adequate for the State's current adult education responsibilities? Sec. 223 AEFLA 34 CFR 76.701 & 76.770	I		DR <ul style="list-style-type: none"> 1. Organizational chart 2. State S & E budget 3. Job descriptions
11. Are State leadership funds used to support staff positions? If so: <ul style="list-style-type: none"> a. How many positions are supported? b. For what percent time? c. Does the State keep time and effort charts to account for payment for hours in adult education State leadership? 	C/I		Interview and DR <ul style="list-style-type: none"> 1. Budget breakout of staff salaries by funding source 2. Job descriptions 3. Time and effort charts

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<p>d. What specific job activities are supported?</p> <p>Sec. 223 AEFLA</p>			
<p>12. Are actual duties for Federally supported positions allowable costs to AEFLA?</p> <p>a. Do the duties observed match the job descriptions?</p> <p>b. Can the State provide evidence that Federally supported State staff keep time and effort charts to document allowable AEFLA activities?</p> <p>Secs. 222 & 223 AEFLA OMB Circular A-87</p>	C		<p>Interview and DR</p> <ol style="list-style-type: none"> 1. Job descriptions 2. Interviews with State program and finance staff 3. Time and effort charts
<p>13. Do State program and finance officials communicate regularly?</p> <p>34 CFR 76.702</p>	I		<p>Interview and DR</p> <p>Meeting schedules and agendas</p>
<p>14. Does the State director understand his/her fiscal report? Participate in its preparation?</p> <p>34 CFR 76.702</p>	I		<p>Interview and DR</p> <p>Meeting schedules and agendas</p>
<p>15. Do finance officials understand the requirements of AEFLA regarding spending caps, MOE, match and allowable costs?</p> <p>34 CFR 76.702 OMB Circular A-87</p>	I		<p>Interview and DR</p> <p>Evidence of training such as training agendas, schedules, or curriculum materials</p>
Module 6 – Organization Status			
<p>1. What is the eligible agency's organization structure? Where does adult education fit in the organization chart?</p> <p>34 CFR 770</p>	I		<p>DR</p> <ol style="list-style-type: none"> 1. State plan 2. Organization chart
<p>2. Has the State undergone (or is it considering undergoing) a reorganization that resulted in a change of agencies or a significant move within the</p>	I		<p>Interview and DR</p> <p>Enabling legislation, executive order, policy</p>

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agency? What opportunities and challenges does it present? Sec. 203 (4) AEFLA			memoranda
3. Is the AE office staffing level sufficient to carry out the responsibilities associated with administering the Federal grant? 34 CFR 770	I		Interviews and DR 1. Interviews with State staff 2. Interviews with local program personnel 3. Budgets for staffing 4. Job descriptions
4. Is the agency involved in any "systemic reform" effort, such as standards-based education? If yes, what is the role of the adult education office? Sec. 203 (4) AEFLA	I		Interview
5. How are statewide policies developed? a. If an advisory body is used, who serves on it? b. How are members selected? Sec. 221 AEFLA	I		Interview and DR 1. State plan and extensions 2. State administrative rules 3. Advisory body roster listing names and member affiliations
6. How are State policies communicated to the field? Sec. 221 AEFLA	I		Interview and DR 1. Distribution list for State policy memoranda 2. Website postings 3. Conference or hearing agendas with sign in sheets
7. How much funding has the State appropriated for adult education, as defined in AEFLA, for the last two years? a. In the long-term, has the State funding level trended up or down? b. To what extent is State funding sufficient to meet program challenges? Sec. 222 AEFLA	I		DR 1. AT report (lags behind) 2. State appropriations table for last five years
8. How is program information communicated to the public? How does the State provide performance	I		Interview and DR

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data to the public? Sec. 224 AEFLA			1. News releases 2. Website postings 3. Public service announcements
Module 7—Collaboration/WIA Partners			
1. Who represents the eligible agency on the State Workforce Investment Board (SWIB)? Sec. 117 WIA	C		Interview and DR 1. Roster of SWIB 2. DOL SWIB plan
2. If the agency is represented on the SWIB, a. How has this involvement benefited the delivery of adult education services? b. Are joint training efforts conducted for agency staff? c. Does this person sit on or chair any special committees that could advance the role of adult education in the State? Sec. 117 WIA	I I I I		Interview and DR 1. Documents produced collaboratively 2. Policies produced collaboratively such as common definitions 3. Evidence of joint training such as agendas and sign in sheets
3. What areas of joint planning exist, including common measures? Secs. 116 and 117 WIA	I		Interview and DR 1. Documents produced collaboratively 2. Policies produced collaboratively such as common definitions 3. Evidence of joint training such as agendas and sign in sheets
4. Has the agency developed MOUs with any State partners? Which partners and for what purpose? Sec. 121 WIA	I		Interview and DR MOUs

State Review Protocol	Type	Reviewers' Comments/Guidance	Methods of Collection/Examples of Documentary Evidence
<p>2. If the State received an incentive grant under WIA, to what extent have incentive funds been used to support adult education services? What are the projects?</p> <p>Sec. 503 WIA</p>	I		<p>Interview and DR</p> <ol style="list-style-type: none"> 1. Incentive grant proposal 2. OVAE comments on proposal
<p>3. How many Local Workforce Investment Boards (LWIBs) and one-stops exist in the State?</p> <ol style="list-style-type: none"> a. Has the State provided guidance or taken other steps to require adult education representation on each LWIB? b. Can State officials describe the extent to which adult education is represented on LWIBs? <p>Sec. 116 WIA</p>	C		<p>Interview and DR</p> <ol style="list-style-type: none"> 1. List of LWIBs 2. State policy memoranda to the field 3. State administrative rules
<p>4. What mechanism does the State have in place to track the quantity and quality of collaboration among mandatory partners?</p> <p>Sec. 221 AEFLA</p>	I		Interview
<p>5. How does adult education contribute to core services of the one-stop centers?</p> <p>Sec. 117 of WIA</p>	C		<p>Interview and DR</p> <ol style="list-style-type: none"> 1. State plan 2. MOUs
<p>6. Have MOUs been signed between adult education providers and the LWIBs?</p> <ol style="list-style-type: none"> a. Are all local providers included in MOUs? If not, why not? b. What role did adult education providers play in developing local plans? c. Is a portion of AEFLA funds used to provide core services, either in cash or in kind, to create and maintain the State's one-stop delivery system? d. Under the MOU, what types of contributions are made to the WIB? 	I/C		<p>Interview and DR</p> <ol style="list-style-type: none"> 1. State plan 2. Local MOUs 3. State administrative rules

State Review Protocol	Type	Reviewers' Comments/Guidance	Methods of Collection/Examples of Documentary Evidence
<p>e. What is the impact of the LWIBs on the State adult education plan?</p> <p>Sec. 117 WIA</p>			
<p>Module 8—English Literacy/Civics Education (EL/C)</p>			
<p>1. Was an appropriate competition conducted for EL/Civics?</p> <p>Sec. 231 AEFLA</p>	C		<p>DR</p> <ol style="list-style-type: none"> 1. Announcement of funding opportunities for EL/Civics 2. RFP and information or instruction packages 3. List of applicants 4. Slate of funded proposals 5. Sample funded proposals
<p>2. Does the State submit a separate FSR for EL/Civics?</p> <p>Annual appropriations law</p>	C		<p>DR</p> <p>Financial status reports for most recent 2- 3 years</p>
<p>3. Can the State demonstrate that it keeps a separate audit trail for EL/Civics?</p> <p>Annual appropriations law</p>	C		<p>DR</p> <ol style="list-style-type: none"> 1. Separate code finance office for EL/Civics funds 2. Sample reports on EL/Civics spending by State and by local programs 3. State and local staff working partly on EL/Civics keep time and effort charts to attribute allowable costs
<p>4. Can the State demonstrate that activities supported by EL/Civics funds are attributable to EL/Civics only, for example through time and effort charts for administrative activities?</p> <p>Annual appropriations law</p>	C		<p>DR</p> <ol style="list-style-type: none"> 1. Job descriptions 2. Time and effort charts 3. Conference materials 4. Separate budget categories for allotment vs. EL/Civics
<p>5. Does the State take administration or leadership funds from the EL/Civics allotment? If so, do the amounts taken meet the statutory caps?</p> <p>Sec. 222 (a) AEFLA</p>	C		<p>DR</p> <p>EL/Civics financial status reports for the last two years.</p>

State Review Protocol	Type	Reviewers' Comments/Guidance	Methods of Collection/Examples of Documentary Evidence
<p>6. Are the investments reflected in funded proposals or EL/Civics administration and leadership budgets allowable costs for EL/Civics?</p> <p>Annual appropriations law, OMB circular A-87</p>	C		<p>Interview and DR</p> <p>Funded proposals for EL/Civics programs to be site-visited</p>
<p>7. Does the State provide direct and equitable access for EL/Civics competitions?</p> <p>a. Is the same grant competition and RFP used for all eligible providers?</p> <p>b. Does the State conduct outreach to all eligible providers to make them aware of available EL/ Civics competitions?</p> <p>Sec. 231 (e) AEFLA</p>	C		<p>DR</p> <ol style="list-style-type: none"> 1. Distribution list for EL/Civics announcement of availability of funds or applicant workshops 2. Website postings
<p>8. Is the competition rated by the criteria in sec. 231 of AEFLA or some other standard? If other, what standard is used?</p> <p>Sec. 231 (e) AEFLA</p>	C		<p>DR</p> <ol style="list-style-type: none"> 1. Scoring protocol for EL/Civics competition 2. Funded proposals for EL/Civics programs to be site-visited
<p>9. Does the State use EL/ Civics funds to support classes that are integrated programs of English language learning and civics education?</p> <p>Annual appropriations law</p>	C		<p>Interview, DR, and local site visits</p> <p>Funded proposals for EL/Civics programs to be site-visited</p>
<p>10. Has the State provided teachers of EL/Civics with special training or support?</p> <p>Sec. 223 AEFLA</p>	I		<p>DR</p> <ol style="list-style-type: none"> 1. Notices of training opportunities mailed or posted on website 2. Conference agendas with sessions for EL/Civics training and sign-in sheets

Local Protocol	Type	Reviewers' Comments/Guidance	Methods of Collection/ Examples of Documentary Evidence
Module 1 – NRS Implementation			
1. Does the local provider have access to a <i>State-supported</i> electronic MIS that has individual student records in a relational database?	C		On-site demo
2. Can the existing MIS meet the Federal reporting requirements of the NRS? Does the MIS: <ul style="list-style-type: none"> a. Disaggregate data to instructional site or classroom level? b. Identify individual students by goal for follow-up? c. Conduct edit checks for test scores and other data integrity? d. Conduct analyses for program improvement? e. Support the ability to data match with external data system? 	C C I I I		On-site demo
3. Has the local provider adopted appropriate data collection policy and procedures to implement NRS? <ul style="list-style-type: none"> a. Are there data collection procedures for demographic, assessment, and attendance data? b. Are there clear descriptions of staff roles and responsibilities for data collection? c. Have fiscal resources been budgeted? d. Have data reporting timelines been established? 	C C I C		Interview

Local Protocol	Type	Reviewers' Comments/Guidance	Methods of Collection/ Examples of Documentary Evidence
<ul style="list-style-type: none"> e. What follow-up strategies been identified and implemented? f. Have quality control procedures been established? 	<ul style="list-style-type: none"> C C 		
<ul style="list-style-type: none"> 4. Does the local provider have appropriate policy and procedures for student intake? <ul style="list-style-type: none"> a. Are goal-setting procedures for student goals related to core measures included in the intake and orientation process? b. Is local program using State intake form? c. Are students informed if program will conduct student follow-up surveys? d. Does the local program require a confidentiality release form for goals that require follow-up? 	<ul style="list-style-type: none"> C C I I 		Interview Student file review
<ul style="list-style-type: none"> 5. Is the local program following the State assessment policy? <ul style="list-style-type: none"> a. Are they using appropriate assessments? b. Is the pre and posttest administered according to State policy? c. Are staff who are administering assessments properly trained d. Are appropriate test administration procedures being followed (timing of test, proper forms, use of locators, etc.)? 	<ul style="list-style-type: none"> C 		Interview Student file review

Local Protocol	Type	Reviewers' Comments/Guidance	Methods of Collection/ Examples of Documentary Evidence
<p>6. Does the local provider monitor data quality by:</p> <ul style="list-style-type: none"> a. Database error-checking function (e.g. missing data or out-of-range values)? b. Use of standardized intake forms and processes? c. Policy and procedures on inputting data on a timely and regular schedule? 	C		Interview
<p>7. Has the local program provided the opportunity for staff development and training to support NRS implementation? What percentage of the local grant is allocated to staff development and training related to the NRS?</p>	C		<p>Interview and DR</p> <p>Agendas from trainings Conference materials Local program budget</p>
<p>8. Has all staff involved in data collection trained in following proper procedures?</p>	C		Interview
<p>9. Are there clear roles and responsibilities outlined for each level of data collection?</p>	C		<p>Interview and DR</p> <p>Job descriptions</p>
Module 2 – State Leadership			
<p>1. Is there evidence that local staff participated in a process for communicating professional development needs to the State for the current year? Do locals believe that their input was used in creating professional development programs?</p>	I		Interview

Local Protocol	Type	Reviewers' Comments/Guidance	Methods of Collection/ Examples of Documentary Evidence
2. How is staff development financed: State support, local budget, or negotiated administrative rate?	I		Interview
3. To what extent are teachers and directors able to access State-sponsored training?	I		Interview
4. Do local personnel believe that State-sponsored activities are positive and helpful?	I		Interview
5. Can local programs describe changes and improvements that were made as a result of State-sponsored staff development activities?	I		Interview
Module 3 – Funding Local Grants			
1. Are the activities observed in the program the same as those contained in the proposal?	C		DR and local site visits 1. Funded application 2. Class schedules
2. Are all the activities observed allowable uses of AEFLA funds?	C		DR and local site visits
3. Is the intensity and duration of instruction offered by the program sufficient to provide meaningful learning gains?	C		Interview and DR 1. Application 2. Class schedules
Module 4—Evaluation of Local Programs			
10. How are performance targets established at the local level?	I		Interview
11. What kind of feedback is provided to the local programs about their performance? Is technical assistance provided?	I		Interview and DR Feedback document, if applicable
12. When was the local program last evaluated on site? Does the State issue a written report?	I		Interview and DR Evaluation report if applicable

Local Protocol	Type	Reviewers' Comments/Guidance	Methods of Collection/ Examples of Documentary Evidence
13. What kind of corrective action, if any, was required? Does the State provide technical assistance?	I		Interview and DR Program improvement plan if applicable
Module 5—Financial Considerations			
1. How do local programs draw down funds made available in their grants?	C		Interview
2. If the reimbursement system is based on performance, what effect is it having on local program services?	I		Interview
3. If the local program is spending more than five percent for administration, did it negotiate a higher rate with the State? a. What activities are being supported with the additional funds? b. Are these activities allowable uses of administrative funds?	C		Interview and DR Local budget and requests for changes
4. Do local program charge fees? If so, how do local programs report those fees to the State?	C		Interview and DR Local report form
Module 6 – Organization Status			
1. How has a transfer or reorganization affected the local program?	I		Interview
2. Has any major Statewide “reform” affected local programs? Describe.	I		Interview
3. How effective are State office communications with local programs?	I		Interview

Local Protocol	Type	Reviewers' Comments/Guidance	Methods of Collection/ Examples of Documentary Evidence
4. To what extent are the levels and types of State funds adequate to meet program needs?	I		Interview
Module 7—Collaboration/WIA Partners			
1. To what extent are the local programs represented on the LWIB? Its committees?	C		2. Interview and DR 3. MOU 4. Committee Rosters
2. If adult education is represented on the LWIB, to what extent were the local programs actively involved in developing the local five-year plan and MOU for Title I services? If not, why?	I		Interview
3. Are local programs providing “core services” through the one-stop? Are the services co-located or made available through referral?	C/I		Interview
4. If there is a referral process to and from the one-stop, does it result in improved services to clients? Is it common practice to co-enroll students?	I		Interview Policy on referral Policy on co-enrollment
5. Do local agencies have copies of the MOU and the local plan describing their role in providing services? Are these understood and implemented?			Interview and DR MOU and local plan
Module 8—English Literacy/Civics Education (EL/C)			
1. Do funded activities provide integrated programs of English language learning and civics education?			Interview, DR, local site visit 1. Funded proposal 2. Curriculum

Local Protocol	Type	Reviewers' Comments/Guidance	Methods of Collection/ Examples of Documentary Evidence
2. Are the activities necessary and reasonable? Are they allowable costs?			DR, local site visit Funded proposal
3. Do program operations fully meet the requirements of Section 231, for example, intensity and duration or using research-based practices, and well trained staff?			DR, local site visits 1. Funded proposal 2. Class schedules 3. Curriculum