Adult Education and Literacy Monitoring

**Pre-Monitoring Data/Documentation Review**

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| **Program/Grantee:** | **Completed by (Consultant):** |
| **Monitoring Type:**

| [ ]  On-Site | [ ]  Desktop |
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 | **Date Completed:** |

This document is designed for use during the consultant’s review prior to desktop or on site monitoring of adult education and literacy (AEL) programs**. The review is based on Iowa’s AEL Program Standards, which are aligned with the Workforce Innovation and Opportunity Act requirements (Section 231(e)).**

Each review consists of two content areas: Learner Success and Organizational Capacity. In each of these areas, the six standards and their correlating criteria are indicated with suggested sources of evidence for submission. **Program leadership submit 2-3 documents to evidence the elements of each criterion.** The department’s review team examines the materials to determine whether documentation is complete and demonstrates compliance with Iowa AEL Program Standards.

Examples of acceptable evidence are given for each criterion. Evidence may be collected through a variety of methods:

* **Direct observation:** classroom activity, use of materials and technology, physical objects, learner and instructor behavior
* **Records and documents:** narrative reports, policy documents, lesson plans, handbooks, enrollment records, meeting notes, assessment records, learner records and folders, forms, notes from observations
* **Data:** attendance data, NRS reporting tables, demographic data, financial spreadsheets, etc.
* **Physical artifacts:** learner work, technology, photographs, instructional materials, promotional flyers
* **Information from administrators, core partners, staff, instructors, and learners:** surveys, interviews

Ideally, a combination of methods can provide greater confidence in the evidence being collected. The approach taken in the Monitoring Tool relies on multiple sources of evidence to compose a comprehensive picture of an exemplary adult education program.

If you need assistance identifying appropriate data/documents for the monitoring process, feel free to contact the department’s lead consultant.

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| **Learner Success** | **Standard 1: Learner Progress:** Learners demonstrate progress toward attainment of literacy skills, including reading, writing and speaking in English, computing and solving problems at levels of proficiency and are able to demonstrate the ability to transfer learning from the classroom to real life necessary to function on the job, in the family of the individual and in society. |
| **Criteria for Learner Progress** | **0** **Not in Place** | **1 Minimal** | **2****Adequate** | **3** **Well developed** |
| 1.A.1. The program has a written orientation procedures with designated staff member(s) for coordinating and monitoring the enrollment process to ensure consistency across sites and dates.**Sample Evidence:**Orientation materials Interviews or surveys of instructors and staff Other evidence (describe): |  |  |  |  |
| Notes: |
| 1.A.3. The program provides each learner with information, or a handbook, detailing the orientation procedure (length, fees, expectations and standardized assessment), along with policies and practices which may include but is not limited to: attendance, absenteeism, grievance procedure, educational and career advising, support services, course offerings, severe weather, safety procedures, privacy and record keeping, drug and alcohol and/or behavioral expectations, and other appropriate program specific information.**Sample Evidence:**Adult Learner HandbookOrientation materials Other evidence (describe): |  |  |  |  |
| Notes: |
| 1.A.4. The program has a system (policy, staffing and resources) in place to provide reasonable accommodations for learners with self-disclosed disabilities through its own resources or by referral to outside agencies.**Sample Evidence:**ADA PolicyEvidence of trainingsOther evidence (describe): |  |  |  |  |
| Notes: |
| 1.B.1. Approved standardized adult education and literacy assessments are administered by certified staff member(s) in conditions conducive to testing and with appropriate accommodations according to publishers’ guidelines, Iowa’s Assessment Policy and federal disability legislation.**Sample Evidence:**CASAS certificationsList of instructors that serve as proctorsInterviews or surveys of instructors and staff Other evidence (describe): |  |  |  |  |
| Notes: |
| 1.B.2. The program achieves the minimum required state target for learners pre and post tested on a state approved standardized assessment.**Sample Evidence:**Irregularity ReportsTE® ReportsOther evidence (describe): |  |  |  |  |
| Notes: |
| **Learner Success** | **Standard 2: Curriculum, Instruction and Professional Development:** The program has a written, standards-based curriculum and provides instruction matching learner needs while supporting an ongoing professional development process that is linked to a professional development plan supporting the programs’ vision and goals. |
| **Criteria for Curriculum, Instruction and Professional Development** | **0** **Not in Place** | **1 Minimal** | **2****Adequate** | **3** **Well developed** |
| 2.A.2. Staff members are trained in the use of standards, the relevant curriculum and the development and use of aligned lesson plans.**Sample Evidence:**Lesson PlansTraining AgendasInterviews or surveys of instructors and staff Other evidence (describe): |  |  |  |  |
| Notes: |
| 2.A.3. The curricula, or units of instruction are contextualized with the goals, interests, and needs of the learner and aligned with regionally developed career pathways. **Sample Evidence:**Curriculum detailsEvidence of regional career pathwaysInterviews or surveys of instructors and staff Other evidence (describe): |  |  |  |  |
| Notes: |
| 2.B.5. The program uses resources to effectively provide all learners with instructional materials for classroom use, and for review at home at no or reasonable cost.**Sample Evidence:**Interviews or surveys of instructors and staff Program Policy on checking out materialsOther evidence (describe): |  |  |  |  |
| Notes: |
| 2.C.1. Every staff member (including administrators) creates an individual professional development plan annually that addresses individual professional goals and relevant program improvement goals, all new staff receive orientation on the professional development system within the first 30 days of employment as evidenced by administrative documentation.**Sample Evidence:**MyLearningPlan™Interviews or surveys of instructors and staff Other evidence (describe): |  |  |  |  |
| Notes: |
| 2.C.2. Documentation is on file that each staff member has engaged in relevant staff development activities for at least 12 hours/year, as appropriate, and the program has a policy for when staff does not meet the requirements. **Sample Evidence:**MyLearningPlan™Interviews or surveys of instructors and staff Other evidence (describe): |  |  |  |  |
| Notes: |
| 2.C.4. On-going professional development addresses adult education theory, fundamental teaching skills, classroom management, special learning needs, current research in literacy, numeracy, language acquisition, the use of technology, and cross-cultural communication in a variety of activities – self-study, peer groups, workshops, webinars, trainings and credit courses.**Sample Evidence:**PD PlanTraining Agenda/Attendance RecordsMyLearningPlan™Interviews or surveys of instructors and staff Other evidence (describe): |  |  |  |  |
| Notes: |
| 2.C.5. The program has staff and volunteer orientation procedures and preservice professional development appropriate to participate and improve the quality of the adult education and literacy program.**Sample Evidence:**PD PlanNew Instructor OrientationMyLearningPlan™Other evidence (describe): |  |  |  |  |
| Notes: |
| **Learner Success** | **Standard 3: Program Design and Leadership**: The program implements the key design elements articulated in its funded proposal and program leadership ensures that the vision for success is shared by staff and learners and that the program engages in a continuous improvement planning process. |
| **Criteria for Program Design and Leadership** | **0** **Not in Place** | **1 Minimal** | **2****Adequate** | **3** **Well developed** |
| 3.A.4. The program services are housed in a safe, physical environment with adequate space and access to facilities, technology and equipment as rated by staff members and learners and which contribute to creating an adult appropriate learning environment. **Sample Evidence:**ADA compliance reviewInterviews or surveys of instructors or participantsOther evidence (describe): |  |  |  |  |
| Notes: |
| 3.A.5. The program involves key stakeholders in the strategic planning of their application and in the development of their mission to allow for a smooth transition of services from adult education and literacy to other education, training and employment leading to family sustaining wages. **Sample Evidence:**Program vision and mission statements (Grant application)Interviews or surveys of instructors and core partners Other evidence (describe): |  |  |  |  |
| Notes: |
| 3.A.6. The program services are offered in a flexible yet structured delivery with the majority of classes offered in a managed enrollment delivery. **Sample Evidence:**Class site listingClassroom policy Interviews or surveys of instructors or participantsOther evidence (describe): |  |  |  |  |
| Notes: |
| 3.A.7. Evidence of a Student Experience Model (SEM) is found in the application and the program services.**Sample Evidence:**Orientation materials Classroom policy Interviews or surveys of instructors or participantsOther evidence (describe): |  |  |  |  |
| Notes: |
| 3.B.1. The program has a clear and compelling vision and mission which is communicated to all stakeholders and if applicable fits in a logical and effective way within the overall mission of the organization. **Sample Evidence:**Program vision and mission statements (Grant application)Interviews or surveys of instructors and core partners Staff and/or board meeting minutesNotes from strategic planning meetingsOther evidence (describe): |  |  |  |  |
| Notes: |
|  | 3.B.2. The program administration promotes high expectations and strategies and structures for learners and staff members that is based on accountability and college and career readiness. **Sample Evidence:**Learner and Instructor HandbookHiring policyInterviews or surveys of instructors or participantsOther evidence (describe): |  |  |  |  |
| Notes: |
| 3.B.3. The program establishes minimum qualifications aligned with state requirements and maintains regionally competitive salaries, benefits (including compensation for paid prep time), and opportunities for full-time employment along with career growth opportunities, as applicable.**Sample Evidence:**Instructor HandbookHiring policyInterviews or surveys of instructors Other evidence (describe): |  |  |  |  |
| Notes: |
| 3.B.4. The program administration energizes and empowers staff members, and delegates responsibility and authority as appropriate and provides the necessary support in those endeavors. **Sample Evidence:**Instructor HandbookHiring policyJob descriptionsOrganizational chartInterviews or surveys of instructors Other evidence (describe): |  |  |  |  |
| Notes: |
| 3. B.5. The program administration ensures staff members are orientated, receive training on key policies and procedures that may include performance appraisal, a current organizational chart, working hours and professional development, adult education learning theory as well as a clear and updated job description.**Sample Evidence:**Instructor HandbookHiring policyJob descriptionsOrganizational chartInterviews or surveys of instructors Other evidence (describe): |  |  |  |  |
| Notes: |
| 3. C.1. The program uses a variety of methods to gather and document input from learners, staff members and key stakeholders in order to determine satisfaction with the program and to inform program improvement.**Sample Evidence:**Current CIPSurveys from instructors, core partners and participantsOther evidence (describe): |  |  |  |  |
| Notes: |
| 3.C.2. The program’s continuous improvement planning includes a systematic approach to collecting and using data in order, but not limited, to:* access program strengths and needs;
* identify priorities and goals for program improvement;
* strategies to implement the plan; and
* develop methods to evaluate effectiveness of the plan.

**Sample Evidence:**Current CIPEvidence of contributions or public commentInterviews or surveys from instructors, core partners and participantsOther evidence (describe): |  |  |  |  |
| Notes: |
| 3.C.4. The program holds full staff meetings on a regular basis (at least quarterly) that allows for the maximum possible participation of both full and part time staff that includes the ongoing data analysis of the daily operations, program planning and continuous improvement planning of the program.**Sample Evidence:**Agenda, notes and attendance for staff meetingsOther evidence (describe): |  |  |  |  |
| Notes: |

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| **A. List below the criteria for which a rating of 0 (not in place) or 1 (minimal) was assigned.** |
| **B. Identify the additional evidence or interview questions necessary to address the above criteria.**  |
| **C. List below the criteria for which an action plan for program improvement is needed.**  |

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| **Organizational Capacity** | **Standard 4: Accountability:**  The program has policies and best practices to demonstrate fiscal responsibility, ensure data reporting of learner progress is accurate, reliable and protected according to federal requirements and show progress toward achieving state performance benchmarks. |
| **Criteria for Accountability** | **0** **Not in Place** | **1 Minimal** | **2****Adequate** | **3** **Well developed** |
| 4.A.2. The program maintains the required match commitment annually with properly documented and verifiable recipient records which have not been used for other federally assisted programs. **Sample Evidence:**Process describing how match funds are calculatedEvidence of in-direct calculations based on OMB guidanceOther evidence (describe): |  |  |  |  |
| Notes: |
| 4.B.2. The program reports learners’ demographics, attendance, instructional hours, and performance data in conformance with state and federal guidelines.**Sample Evidence:**Irregularity ReportsTE® ReportsOther evidence (describe): |  |  |  |  |
| Notes: |
| 4.C.4. The program provides accurate reports of learner performance, status updates on the activities provided by the program in accordance to funding agreements and professional development tracking in a timely manner through the state’s approved data, grant, and professional development accountability systems. **Sample Evidence:**Iowagrants submissionsMyLearningPlan™TE®Other evidence (describe): |  |  |  |  |
| Notes: |

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|  | **Standard 5: Community Interaction and Outreach:** The program actively builds a visible and valued presence in the community which supports the program’s capacity by recruiting learners and talents and coordinating local resources in the provision of support services, economic opportunity through career pathways and further education and training. |
| **Criteria for Community Interaction and Outreach**  | **0** **Not in Place** | **1 Minimal** | **2****Adequate** | **3** **Well developed** |
| 5.A.4. The program’s staff members possess the knowledge and skills necessary to make appropriate, informed referrals to support services offered within the program and in the community to reduce learner barriers.**Sample Evidence:**Referral policyEvidence of referrals in TE®Interviews or surveys from instructors, core partners and participantsOther evidence (describe): |  |  |  |  |
| Notes: |
| 5.A.5. The program has a written process for addressing retention and low attendance that includes but is not limited to a communication plan, reassessing support service needs and reengagement.**Sample Evidence:**Retention strategies (grant application)Communication planSupport services policyInterviews or surveys from instructors, core partners and participantsOther evidence (describe): |  |  |  |  |
| Notes: |
| 5.A.6. The program ensures that all sites maintain a current listing of community, educational, and/or workplace support services that is reviewed and updated at least annually.**Sample Evidence:**Current listing of support services Interviews or surveys from instructors, core partners and participantsOther evidence (describe): |  |  |  |  |
| Notes: |
| 5.C.1. The program has a written communication and recruitment plan that is evaluated at least quarterly based on cumulative enrollment with appropriate plans for modifications.**Sample Evidence:**Recruitment/Marketing policyProgram promotional materials (print and electronic)Interviews or surveys from instructors, core partners and participantsOther evidence (describe): |  |  |  |  |
| Notes: |
| 5.C.2. The program involves learners, staff members, and stakeholders in the communication and recruitment activities as documented in the plan.**Sample Evidence:**Recruitment/Marketing policyProgram promotional materials (print and electronic)Documentation of media coverageInterviews or surveys from instructors, core partners and participantsOther evidence (describe): |  |  |  |  |
| Notes: |
| **Organizational Capacity** | **Standard 6: One-Stop System Integration:** The program takes concrete steps toward implementing the Workforce Innovation and Opportunity Act (WIOA) vision as expressed in Iowa’s Unified State and local plan for a seamless system of education and workforce services that supports career pathways. |
| **Criteria for One-Stop System Integration** | **0** **Not in Place** | **1 Minimal** | **2****Adequate** | **3** **Well developed** |
| 6.A.2. The Title II representative for the regional workforce development board and standing committee member meet the WIOA requirements of having optimum policy making authority defined by WIOA section 107(b)(2)(5) and/ or has been appointed from nomination where there is more than one AEL provider. **Sample Evidence:**Board notes or agendaOther evidence (describe): |  |  |  |  |
| Notes: |
| 6.A.3. The program’s local plan is inclusive of the services provided by Title II and allows for appropriate linkages, referrals, and aligned services that support education and training in regionally identified career pathways.**Sample Evidence:**Current approved LWDB planGrant application (Iowagrants)Other evidence (describe): |  |  |  |  |
| Notes: |
| 6.A.4. The local plan includes details of the “skilled workforce needs”, “existing and emerging in-demand industry sectors” and a thorough “analysis of the knowledge and skills needed to meet the employment needs” relative to the population served by Title II, including learners with multiple barriers to employment.**Sample Evidence:**Current approved LWDB planGrant application (Iowagrants)Other evidence (describe): |  |  |  |  |
| Notes: |
| 6.C.1. The program presents performance data relative to services provided by Title II, basic career services, and intensive career services on at least a quarterly basis with the regional workforce development board and/or the core and required partners. **Sample Evidence:**Board notes or agendaCopy of presentation materialsOther evidence (describe): |  |  |  |  |
| Notes: |

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| **A. List below the criteria for which a rating of 0 (not in place) or 1 (minimal) was assigned.** |
| **B. Identify the additional evidence or interview questions necessary to address the above criteria.**  |
| **C. List below the criteria for which an action plan for program improvement is needed.**  |