



**Office of the State Superintendent of Education (OSSE)
Adult and Family Education (AFE)
Monitoring Protocol
Program Year 2012-2013 (PY13)**

Introduction

The Office of the State Superintendent of Education Adult and Family Education (OSSE AFE) Monitoring Protocol has the following goals:

- Define roles and expectations for all monitoring system stakeholders;
- Improve the flow of information among OSSE AFE, the monitoring teams, and sub-grantees through an agreed-upon timeline and deadlines;
- Ensure that the monitoring process is transparent; and
- Ensure that continuous program improvement occurs through timely filing of reports.

Scheduling Preliminary and Final Monitoring Visits

The schedule for preliminary and final monitoring visits will be determined by the following:

- Previous program year's final monitoring instrument scores. OSSE AFE sub-grantees with the lowest scores will be visited first.
- New sub-grantees. If a sub-grantee is new to OSSE AFE funding, the sub-grantee will have its preliminary and final visits scheduled earlier.
- Sub-grantee has a new program manager or has had turnover in key staff.
- Directive from OSSE that a particular sub-grantee must be visited early in the schedule.

The OSSE AFE staff will determine the order in which visits will occur and establish a timeline for these visits. OSSE AFE sub-grantees will then be contacted and given a few date options and times for the visit. Sub-grantees that receive more than 90% of the points on the final monitoring instrument for the previous program year may not be required to have a preliminary visit. OSSE AFE monitors will review, approve and disseminate the schedule to sub-grantees.

In the event that an OSSE AFE sub-grantee needs to change the scheduled date for a monitoring visit, the sub-grantees must:

- Immediately notify OSSE AFE that the originally scheduled date needs to be changed and indicate the reason.
- OSSE AFE staff will work with the sub-grantee to find an alternative date that, as best as possible, achieves the goals cited above.



Data to Be Reviewed Prior to and During the Preliminary and Final Monitoring Visits/Reviews

Prior to the Preliminary and Final Monitoring Visit/Review, the monitoring team will:

- Review the sub-grantee's Quarterly Reports, prior or current year Monitoring Instrument, Checklist (Preliminary/Final), and Desk Reviews to facilitate a discussion about program performance and progress toward resolution of directives, issues or concerns.
- Review Year-To-Date National Reporting System (NRS) Tables.

During the Preliminary Monitoring Visit/Review, the monitoring team will:

- Review the findings and directives from the sub-grantee's prior year Final Monitoring Instrument and Report with program staff.
- Review the sub-grantee's Quarterly Report and Desk Reviews with program staff and discuss program performance and progress toward resolution of directives, issues or concerns.

During the Final Monitoring Visit/Review, the monitoring team will:

- Review and discuss the sub-grantee's Preliminary Report, Quarterly Reports, and Desk Reviews;
- Discuss preliminary comments/scoring on Final Monitoring Instrument with program staff;
- Review the findings and directives from the sub-grantee's prior year Final Monitoring Instrument and Report with program staff; and
- Review the sub-grantee's Quarterly Report and Desk Reviews with program staff and discuss program performance and progress toward resolution of directives, issues or concerns.

Monitoring Instrument Completion and Submission Deadlines

Upon completion of the monitoring review/visit, each monitoring team will draft the instrument for review by the OSSE AFE State Director. Upon approval from the State Director, the monitoring instrument will be disseminated to the provider.

Review of Documents and Scoring Prior to Visit

Because documents, data, and other information are available electronically through the Literacy Adult Community Education System (LACES), the OSSE AFE state management information system, OSSE AFE has the capability to review data prior to the Preliminary and Final Monitoring Visits. Therefore, providers must have student data updated and current and information ready for review electronically at least 48-hours prior to the monitoring visit. Reviewing data prior to the visit will improve the efficiency and focus of the visit. Information that will be reviewed within 48-hours of the visit includes:

- National Reporting System (NRS) Tables;
- OSSE AFE Desk Review (available in LACES);
- Grant Award Notification (GAN) for the current program year; and
- Sub-grantee's Quarterly Report(s).



For the Final Monitoring Visit, *Category A: Learner Recruitment, Retention, Progress and Involvement* on the OSSE AFE Monitoring Instrument can be scored remotely as the data and information needed to rate Category A measures are available in LACES.

Process for Conducting Preliminary and Final Monitoring Visits

Preliminary Visit Process:

The goals of the Preliminary Monitoring Visit are to:

- Determine progress toward resolving any outstanding directives from the previous monitoring visit.
- Ensure that checklist items are acceptable as required.
- Ensure that the provider is making progress toward stated objectives in their approved Performance and Requirement Agreement. This will be accomplished in part by reviewing checklist items.
- Determine the reliability and accuracy of data through folder sampling.
- Identify technical assistance needs for the provider.

Within thirty (30) days of the preliminary visit, the monitoring team will complete the Monitoring Instrument (preliminary monitoring checklist and other applicable sections) and complete the folder sampling summary and form for the six (6) folders sampled.

Final Monitoring Visit Process:

The goals of the Final Monitoring Visit include all of the above listed for the Preliminary Monitoring Visit with the following addition:

1. Rate the provider on all measures on the final monitoring instrument and assign a total score. This score will be used to identify professional development and technical assistance needs of the sub-grantee.

Within thirty (30) days of the preliminary visit, the monitoring team will complete and score the final monitoring instrument. All folder sampling forms and folder summary sheet that are included in the final instrument document must also be completed.

Any questions related to the OSSE AFE Monitoring System may be directed to the State Director of Adult and Family Education at 202-741-5530.

