



Technical College System of Georgia
Office of Adult Education
Local Program Monitoring Guide
Fiscal Year 2023



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Local Program Monitoring Guide

Updated August 2022

Note: OAE's Local Program Monitoring Guide was updated in August 2022. All updates are indicated in red throughout the document.

About this Guide

The Technical College System of Georgia's (TCSG) Office of Adult Education (OAE), as a pass through entity of Adult Education & Family Literacy Act (AEFLA) federal funds, is required to monitor local programs (2.CFR § 200.332). OAE's monitoring process has three main goals:

- Ensure each local program complies with all relevant state and federal regulations, as well as the terms of the grant award;
- Surface areas for program improvement and provide appropriate technical assistance; and
- Surface and understand areas where local programs are excelling.

This **Local Program Monitoring Guide** is designed to help programs prepare for an OAE monitoring visit. Specifically, this guide contains the following information:

- An Overview of the Monitoring Process
- Monitoring Protocol
- Sample Monitoring Schedules, Sample Interview Templates & Questions, Sample Observation Templates, and a blank Program Review Form

If, after reviewing this guide, you have additional questions or concerns regarding the monitoring process, please contact Christy Elliott, Director of Accountability, at 404.576.9797 or celliott@tcsg.edu.

Monitoring Process Overview

Monitoring Selection & Notification Process

OAE will conduct **both virtual and onsite monitoring** visits in any one or all of the following areas.¹

- Data, Intake & Assessment
- Instruction, Programming & Performance
- Fiscal

Each fall, OAE will conduct a **risk assessment** for each local program. Based on the risk assessment results, OAE may choose to conduct a full or partial onsite or virtual monitoring visit. *Please note that OAE may also choose to monitor programs that have not received a monitoring visit within the last three years or programs where OAE has a specific documented concern, regardless of the program's risk assessment score.*

OAE will notify programs via email at least one month prior to the monitoring visit. The monitoring notification email will contain additional instructions specific to each program’s review including the next steps to upload documents and schedule the visit. OAE will also conduct a pre-monitoring phone call to discuss the logistics of the monitoring visit.

Before the Monitoring

At least two weeks prior to a monitoring visit the program must upload required documents to a secure shared folder, located under the staff module of GALIS. Programs receiving a monitoring visit will receive further upload instructions upon notification of this visit. OAE staff will review these documents prior to the monitoring visit.

The first chart below displays documents that OAE has access to and will review prior to the monitoring visit. The second chart below displays documents the local programs must provide OAE prior to the monitoring visit. Please note the following:

- Local programs only need to upload documents for the areas OAE is monitoring. For example, if OAE were monitoring a program only on Data, Assessment & Performance, the local program would only need to upload the documents required for that area.
- Programs must clearly label each document. For example, if a program is uploading a program administrator job description, it should be labeled “**Program Administrator Job Description.**”
- If necessary, OAE may ask for additional documentation other than what is outlined in the chart below. Similarly, if a program has additional documentation that will provide the necessary information, it may upload those documents. For example, if an intake and assessment policy is in three separate documents rather than one, the program can upload all three documents

Documentation that OAE has access to and will review prior to the monitoring visit (documents from current program year)	
1	Grant application and attachments (PD offerings, class schedules, etc.)
2	Risk Assessment
3	GALIS reports regarding PD, class types/sites, enrollment, attendance, & performance
4	Fiscal reports: Budget Comparison, BD10, AP05 (technical colleges only)
5	Approved budget and amendments
6	Workiva audits and any applicable Quarterly audits
7	Program Inventory (Workiva)
8	Submitted cash requisition/cash draw requests

**Documentation the Local Program Must Provide OAE
(due at least two weeks prior to monitoring visit)**

Data, Intake & Assessment	
1	Program organizational chart
2	Data manager job description & resume
3	Job descriptions of any other staff involved with data, assessment, and intake
4	Test proctor training attendance records and certifications
5	Local intake, assessment, and data policy and procedures
6	Samples of completed intake or orientation agendas and sign in sheets
7	Random sample of student records (OAE will notify the program which students' records it would like to review)
8	Student recruitment materials
9	Strategic planning documents or notes that demonstrate the program uses data to make program improvements
10	Virtual enrollment procedures, including documentation of how the program determines a provisional Educational Functioning Level (EFL)
11	List of Distance Education Course Offerings and corresponding curricula and proxy contact hour method
12	If the program is utilizing the Learner Mastery Model, documentation of how the program designated proxy contact hours for Learner Mastery Model assignments
Instruction, Programming, & Performance	
1	Program organizational chart
2	Staff job descriptions (program administrator, transition/career services specialist, data manager, instructional lead, etc.)
3	Random sample of instructor certifications (resumes, degrees, or transcripts) (OAE will notify the programs which instructors' certifications it would like to review)
4	Samples of instructor observation records or notes whether in-person or virtual (in-person or virtual)
5	Local and other professional development/training attendance records
6	Random sample of lesson plans (OAE will notify the program which instructors' lesson plans it would like to review)
7	Links to recordings of classes or activities (in-person or virtual)
8	Course schedules
9	Student attendance records
10	Local distance education policy or course schedule

11	Partner MOUs or written agreements for the current or preceding fiscal year, whichever one is most recent (Certified Literate Community Program, IET training providers, correctional sites, other <i>critical</i> partner agencies, etc.)
12	One Stop MOU and Infrastructure Agreement (if applicable)
13	Calendar of career services events, workshop agendas & topics presented, and sign-in sheets
14	Career Services student folders with notes (random sampling)
15	Integrated Education & Training (IET) Single Set of Learning Objectives (SSLOs) and training provider agreements
16	Family Literacy Success Worksheet (if applicable)
17	Student recruitment materials
18	Nondiscrimination policy
19	Emergency operations & safety plans
Fiscal (Please note, all items requested are for FY2023, unless otherwise specified.)	
1	Budget and expenditure reports (current monthly budget comparison report by project which reflects expenditures and corrections)
2	Back up documentation for expenditures (invoices, purchase orders, etc. from the business office)
3	Documentation that funds were used to supplement not supplant local funds (ex: a comparison of funding sources for the previous vs. current year's expenditures)
4	Approved indirect cost rate agreement, if applicable
5	Open purchase orders (technical colleges should provide a PO13)
6	Bank reconciliations and unclaimed checks (most current month's completed, signed, and highlighting any checks affecting adult education)
7	Local procedures for Time and Effort submission and budget reconciliation between adult education office and business office
8	Completed Separation of Duties Worksheet (located in Appendix D)
9	Staff job descriptions for any individuals working on an adult education grant
10	Payroll ledgers (a labor distribution report which reflects hours for PT staff, account numbers, & pay periods for all staff)
11	Adjusting journal vouchers that affect payroll
12	Employee time sheets (signed by employee and supervisor)
13	Employee Time & Effort Reports (including documentation of reconciliation of time and effort)
14	Local procurement procedures
15	Procurement documentation for any hired contractors or services
16	Executed contracts and performance documents

17	Sampling of recruitment and marketing materials purchased with grant funds
18	Local travel policy
19	Employee travel reports and reimbursement requests (ex. Concur reports for technical colleges)
20	Physical inventory list records (including reconciliation of inventory)
21	Police reports of any missing or stolen equipment
22	Lending program procedures, policies, or student contracts
23	Most recent audit report
24	Budget/adult education staff meeting notes

In addition to uploading documents, OAE will email short, pre-monitoring surveys to one or more of the following groups: (a) instructors and staff, including the program administrator, (b) partner organizations, and (c) students. OAE will use the survey responses to inform the interview questions asked during the monitoring visit.

During the Monitoring

A team of OAE staff members will complete each monitoring visit. During the visit, OAE staff may: (a) review and evaluate documentation, (b) conduct interviews with staff, program partners, and students; and (c) observe classes and other program activities (intake, orientation, career services event, etc.). Please note that the type of monitoring (onsite or virtual) will determine the type of activities that occur. For example, a virtual monitoring visit might include document review, teleconference interviews with students and staff, and observation of virtual classes, while an onsite monitoring visit might include staff and student interviews, classroom observations, and observations of intake or other activities.

The Monitoring Protocol on the next page provides detailed information regarding exactly what OAE will look for during the monitoring visit. In addition, samples of monitoring schedules, interview questions, what OAE staff will look for while observing classes, and the **Monitoring Review Form** are available in Appendices A-E of this document.

After the Monitoring

Within 30 days of the monitoring visit, OAE will provide the program with a completed **Monitoring Review Form** outlining commendations, required actions, and recommended actions. For reference, a blank copy of the **Monitoring Review Form** is located in **Appendix E** of this document. Depending on the monitoring results, OAE may place programs on a corrective action plan (CAP) to address areas of noncompliance or serious concerns.

Monitoring Protocol

The below protocol provides detailed information, in the form of questions, regarding what OAE will look for during both onsite and virtual monitoring visits. The chart also lists the relevant citations for each guiding question, as well as possible documents or activities (interviews, observations, etc.) that will help OAE assess each program. Please note, that while OAE will use this protocol during monitoring visits, it is also designed as a technical assistance tool for programs to self-assess if they are in compliance with applicable federal and state laws and if they are employing best practices in adult education.

Data, Intake & Assessment			
Guiding Questions	Citations	Possible Data Sources	Notes
<p>1. Does the program have trained and highly-qualified staff overseeing and implementing its data and assessment procedures?</p> <p style="margin-left: 20px;">a. Does the program have a designated staff member responsible for overseeing data & assessment? Who fulfills this role?</p> <p style="margin-left: 20px;">b. Have all program staff that handle and administer NRS-approved assessments been properly trained?</p> <p style="margin-left: 20px;">c. How does the program train or onboard new staff that will handle data or administer assessments?</p> <p style="margin-left: 20px;">d. How does the program ensure existing staff receive ongoing training on updates or changes to AEFLA data and assessments?</p>	<p>OAE Adult Learner Assessment Policy</p> <p><u>34 CFR Subpart D §462.40 (7, 12)</u></p>	<ul style="list-style-type: none"> - Program organizational chart - Data manager job description & resume - Job descriptions of any other staff involved with data and assessment - Professional development attendance records - Staff interviews 	
<p>2. Do the program's intake procedures enable it to collect accurate data,</p>			

<p>including barriers to employment, as required by the National Reporting System (NRS)?</p> <ol style="list-style-type: none"> a. Does the program attempt to get social security numbers from participants? b. Does the program verify that it is serving students eligible to receive Title II AELFA services? (over 16 years of age, not enrolled or required to be enrolled in school, is basic skills deficient, lacks a high school diploma or its equivalent or is an English language learner)? c. Does the program gather information related to if students have disabilities or need accommodations? d. Is the in person or virtual testing proctored and/or structured in accordance with the test manufacturer’s guidelines (ex: timed test, quiet environment, etc.)? 	<p>WIOA Sections 116 (c), 212, & 203 (4)</p> <p>OAE Policy & Procedure Manual</p>	<ul style="list-style-type: none"> - Local intake, assessment, and data policy and procedures - Virtual enrollment procedures - Intake or orientation agenda and sign in sheets - Observation of intake or orientation procedures - Staff and student interviews - GALIS data - Random sample of student records 	
<ol style="list-style-type: none"> 3. How does the program administer and utilize assessments? <ol style="list-style-type: none"> a. If possible, does the program pretest students with the appropriate NRS-approved assessment within the first 12 hours of instruction? 			

<p>b. If a student cannot take an NRS-approved assessment, does the program have a method for determining and recording a Provisional EFL? Does the program administer an approved NRS assessment as soon as it is feasible?</p> <p>c. Does the program use a locator test to determine which level of pretest to administer to a student (TABE and TABE CLAS-E only)?</p> <p>d. How does a program determine which subject area test(s) to administer to a student?</p> <p>e. Once a student's EFL is determined, how does the program decide what services to provide?</p> <p>f. How does a program determine when to posttest a student?</p> <p>g. Does the program posttest students only when they have passed the threshold for the minimum number of instructional hours?</p> <p>h. What are the program's procedures for testing students who have requested accommodation(s)?</p> <p>i. What procedure does the program follow for a student who returns to the program?</p>	<p>34 CFR Subpart D §462.41 - 42.</p> <p>OAE Policy & Procedure Manual</p> <p>OAE Adult Learner Assessment Policy</p>	<ul style="list-style-type: none"> - Intake, assessment, and data policy and procedures - Staff and student interviews - Random sample of student records - Virtual Enrollment Procedures or other documentation of how a program determines a provisional EFL 	
<p>4. Does the program follow procedures that ensure it maintains accurate, valid, and reliable data?</p>			

<p>a. How often does the program enter intake and assessment data into GALIS? Is it within ten days of the administration/completion date?</p> <p>b. Does the program use sign in sheets to track in-person student attendance and approved proxy contact hour methods to track attendance for distance education? Are contact hours entered into GALIS within five business days? Does the program appropriately designate in-person hours as “classroom hours” and “proxy hours” as proxy hours in GALIS?</p> <p>c. How does the program verify the accuracy and quality of its intake, assessment, and attendance/contact hour data? Who is involved in this process?</p> <p>d. Do the program’s enrollment, demographic, and completion data contain numbers that seem unrealistically high or unrealistically low?</p> <p>e. How often does the program verify the accuracy and quality of its data? Who is involved in this process?</p> <p>f. How does the program handle missing data or data errors? Who is responsible for this process?</p>	<p>OAE Adult Learner Assessment Policy</p> <p>OAE Grant Award Notification</p> <p>NRS Technical Assistance Guide</p>	<ul style="list-style-type: none"> - Intake, assessment, and data policy and procedures - GALIS data - Random sample of student records - Staff interviews - Sign-in sheets - Online software reports 	
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<p>g. How does the program protect personally identifiable student data, particularly during virtual enrollment?</p>			
<p>5. Does the program accurately measure and report contact hours for distance education (DE)?</p> <p>a. Does the program follow an approved method(s) for tracking proxy contact hours for distance education?</p> <p>b. Which proxy hour model(s) does the program utilize (Clock Time model, Learner Mastery Model, Teacher Verification Model)?</p> <p>c. For the Clock Time and Learner Mastery Models, does the program utilize approved DE curricula? If they utilize another curriculum, has it been approved by the state?</p> <p>d. For the Learner Master Model:</p> <p>i. Do the assignments align with the CCRS and/or ELPS?</p> <p>ii. How did the program calculate proxy contact hours for each assignment? (Ex: piloting the assignment with students, or</p>	<p>OAE Adult Learner Assessment Policy</p> <p>NRS Technical Assistance Guide</p> <p>OCTAE Memo 20-3</p>	<ul style="list-style-type: none"> - GALIS data - Local distance education policy and procedures - List of Distance Education Course Offerings and corresponding curricula and proxy contact hour method 	

<p>conducting a crosswalk with a similar curricula) Does it have documented evidence of this process?</p> <p>iii. Does the program conduct annual evaluations of approved Teacher Verification Model assignments by comparing the designated proxy contact hours with actual hours spent and updating the designated proxy contact hours as needed?</p>			
<p>6. Does the program correctly maintain student records?</p> <p>a. Does each student have a hard copy OR electronic file which contains intake assessment data, pre and post assessments, and student conference notes?</p> <p>b. Does the program maintain student records for 5 ½ years in accordance with TCSG’s record retention policy? How does the agency dispose of old records once the record retention period has passed?</p>	<p>OAE Policy & Procedure Manual</p>	<ul style="list-style-type: none"> - Random sample of student records 	

Best Practices

Guiding Questions	Citation	Possible Data Sources	Notes
1. Does the program utilize its data to inform course corrections and improve its programming? 2. How does the program explain the purpose and results of assessments to its students? Does it create a positive culture regarding assessments?	n/a	<ul style="list-style-type: none">- Staff and student interviews- Strategic planning documents or notes that demonstrate the program uses data to make program improvements	

Instruction, Programming, & Performance			
Guiding Questions	Citations	Possible Data Sources	Notes
<p>1. Does the program have highly qualified and trained leadership?</p> <p>a. Does the program have a full time (30 hours or more per week) program administrator? If not, does it have an approved waiver from the system office?</p> <p>b. Has the program administrator attended relevant professional development and training within the current grant period?</p> <p>c. Does program leadership cultivate an environment where all students and staff feel valued?</p> <p>d. Does the program administrator and leadership team consistently monitor the program to ensure that all staff members follow OAE and program-specific policies and procedures?</p>	<p>WIOA, Section 231(e) (9)</p> <p>OAE Grant Award Notification</p>	<ul style="list-style-type: none"> - Program administrator time sheets or job description - Professional development/training attendance logs - Student and staff interviews 	
<p>2. Does the program have trained and highly qualified instructors?</p> <p>a. What is the program's protocol for hiring and training new instructors?</p> <p>b. Do all instructors have a four-year degree?</p> <p>c. How often does program leadership observe instruction?</p>			

<p>d. Is the program utilizing the OAE Quality Instruction Rubric to train and support its instructors?</p> <p>e. How does the program ensure it provides timely, relevant, and actionable feedback to instructors? How does program leadership provide this feedback to instructors?</p> <p>f. What trainings or professional development opportunities does the program offer its instructors? Do these professional development opportunities adequately support teachers' needs?</p> <p>g. How does program leadership differentiate support to instructors who may have different needs?</p>	<p>WIOA, Section 231(e) (9)</p> <p>OAE Policy & Procedure Manual</p>	<ul style="list-style-type: none"> - Instructor job descriptions, degrees, and/or transcripts - Instructor observation records or notes - Evidence of the use of the QI Rubric to evaluate instruction - Professional development attendance records - Staff interviews 	
<p>3. Does the program deliver high-quality, evidence and standards-based instruction?</p> <p>a. What process do teachers use to plan lessons?</p> <p>b. Are teachers' lessons aligned to the College and Career Readiness Standards (CCRS) or the English Language Proficiency Standards (ELPS)?</p> <p>c. Do teachers' lessons plans use evidence-based instructional strategies?</p>	<p>OAE Policy & Procedure Manual</p> <p>WIOA 231(e) (5)(B), (6)</p>	<ul style="list-style-type: none"> - Random sample of lesson plans - Class observations - Staff interviews 	

<p>d. Do teachers incorporate the <u>essential components of reading instruction</u> (explicit instruction in phonemic awareness, phonics, vocabulary development, reading fluency, and reading comprehension strategies) into their instruction?</p> <p>e. Do instructors utilize both formal and informal assessment data to drive instruction?</p>			
<p>4. Does the program offer instructional options that adequately and effectively meet all students' needs?</p> <p>a. Does the program schedule all students for a minimum of six instructional hours per week?</p> <p>b. How does the program incorporate technology into instruction? Does the use of technology improve instruction or just serve a substitute for other methods?</p> <p>c. How does the program provide distance education or hybrid education opportunities to students? Does the program provide both synchronous and asynchronous instruction? How does the program help ensure its students can access distance education if in person class opportunities are not available?</p>	<p>WIOA 231(e) (7) (11)</p> <p>OAE Grant Award Notification</p>	<ul style="list-style-type: none"> - Course schedules - Student attendance records - Distance education policy or class schedule - MOUs with partner organizations that provide support services - Staff and student interviews - Recordings of classes (in-person or virtual) - Samples of student take-home instructional packets or lessons - Surveys or intake forms that assess student need for 	

<p>d. Does the program provide flexible schedules for students? What information does the program collect to determine what flexibility students need during this time (ex: synchronous/asynchronous instruction, weekend classes, night classes, etc.)?</p> <p>e. Does the program provide or coordinate support services for students (such as childcare, transportation, mental health services) that allow students successfully and fully participate in the program?</p> <p>f. How does the program ensure that students with disabilities or other special needs, including students in correctional facilities, participate in the program?</p>		<p>distance learning (laptops, mifis, etc.)</p>	
<p>5. Does the program coordinate its services with other local social service, education, training, and career services?</p> <p>a. Does the program partner directly with its local one-stop to provide services?</p> <p>i. Has the program entered into an MOU with the local workforce board or one-stop provider? Does the MOU specify how the program will participate in</p>	<p>WIOA 131 (b) (1) (A), 231 (e) (10) (11)</p>	<ul style="list-style-type: none"> - MOU with local one-stop provider - MOU or collaborative agreements with any other partner agencies 	

<p>the local one-stop, including how it will use funding to support infrastructure costs?</p> <p>ii. If not, then does the program provide a “direct linkage” from the one-stop center to its services?</p> <p>b. Does the program partner with its Certified Literate Community Program (CLCP), if applicable? How does the CLCP support adult education students?</p> <p>c. If the program serves students in correctional facilities, does the program’s partnership with the Department of Corrections or other applicable agency allow it to adequately serve those students?</p> <p>d. What other community partnerships does the program have? How do these partnerships provide students access to:</p> <p>i. Wraparound and support services (childcare, mental health, etc.),</p> <p>ii. Other educational opportunities (postsecondary, etc.),</p> <p>iii. Other training services, and</p> <p>iv. Career services?</p>		<ul style="list-style-type: none"> - Partner, student, and staff interviews - CSS Documentation (meeting agendas and notes) 	
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<p>6. Does the program adequately prepare students to transition into the workforce and postsecondary education?</p> <p>a. Does the program have at least a part-time transition/career services specialist dedicated to transitioning students into the workforce and providing career services? If the program is a CBO without a transition/career services specialist, does it have a partner organization that fulfills the duties of a transition/career services specialist?</p> <p>b. Are the program's transition services adequately meeting its students' needs and preparing them for college or career?</p> <p>c. How do the program's career services help students transition to postsecondary education, training or employment?</p> <p>d. What professional development or training opportunities does the program provide its transition/career services specialist? Do these opportunities adequately meet the transition/career services specialist's needs?</p>	<p>OAE Grant Award Notification</p> <p>WIOA 203 (9)(12), 231 (e)(8), 243 (a), 234 (c) (1)</p>	<ul style="list-style-type: none"> - Transition/career services specialist job description - Professional development attendance records - Calendar of career services events, workshop agendas & topics presented, and sign-in sheets - Career Services student folders - Staff and student interviews - IET SSLOs and partner agreements - Observation of IET activities - Observation of IELCE activities 	<ul style="list-style-type: none"> •
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<p>e. Does the program have ongoing Integrated Education & Training opportunities?</p> <ul style="list-style-type: none"> i. Does the IET offer adult education and training opportunities concurrently? Do the program's single set of learning objectives (SSLOs) demonstrate concurrent activities? ii. Is the training component of the IET offered by a qualified provider? Is the training provider actively engaged in planning IET activities? iii. Have IET participants successfully earned a credential and transitioned into the workforce? <p>f. If applicable, does the program offer Family Literacy that meets the four required components (see an updated Family Literacy Success Worksheet):</p> <ul style="list-style-type: none"> i. Adult education & literacy activities that prepare parents or caregivers to transition into postsecondary education, training programs or the workforce 			
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<ul style="list-style-type: none"> ii. Interactive literacy activities between parents and caregivers and their children iii. Training activities that support parents and caregivers in becoming their children’s first teachers and full partners in their children’s education iv. Age-appropriate education that prepares children for success in school and beyond (ex: mentoring, tutoring, etc.) <p>For IELCE Grantees Only:</p> <p>7. Does the program provide real-life experiences that enable adults who are English language learners to:</p> <ul style="list-style-type: none"> a. Obtain occupations that lead to economic self-sufficiency? b. Achieve competency in the English language and acquire the basic and more advanced skills needed to function effectively as parents, workers, and citizens in the United States? 			
<p>8. Do the program’s performance outcomes indicate it is effectively serving students?</p> <ul style="list-style-type: none"> a. Has the program demonstrated continuous program improvement in its MSG performance? Was its 	<p>WIOA 116 (b)</p>	<ul style="list-style-type: none"> - GALIS data - Student Interviews 	

<p>FY21 MSG performance no more than five percentage points below the state totals?</p> <ul style="list-style-type: none"> b. Is the program’s performance comparable with other similar programs (size, number of enrolled students, geographic area, etc.)? c. Are there any levels (ABE1, ABE2, etc.) or groups of students that are underperforming compared to their peers? d. Is the program on track to meet its negotiated FY22 enrollment and MSG targets? 			
<p>9. Does the program provide equitable access to, and participation in, its adult education program in compliance with the General Education Provisions Act, the Americans with Disabilities Act, TCSG’s nondiscrimination policy, and other applicable state and federal laws?</p> <ul style="list-style-type: none"> a. Are all buildings where classes are held (entrance, classrooms, bathrooms, shared spaces, etc.) handicapped accessible? b. Are the program’s facilities located in geographic areas that are convenient for students? c. Are the facilities conducive to learning for all types of students? d. Does the program have nondiscrimination and equal 			

<p>opportunity complaint procedures? Are these procedures readily accessible to students?</p> <p>e. Has the applicant identified barriers to participation (gender, race, national origin, color, disability, or age) and does it have strategies to overcome these barriers?</p> <p>f. Do the proportion of students served by demographics (age, ethnicity, race, gender) appear reasonable based on the service delivery area's needs and population?</p> <p>g. Does the program modify its activities (intake, assessment, instruction, career services) to accommodate students with disabilities?</p>	<p>General Education Provisions Act, Section 427</p> <p>OAE Grant Award Notification</p> <p>WIOA Section 231</p>	<ul style="list-style-type: none"> - Written nondiscrimination policies - Staff interviews - GALIS data - Building walkthrough - Student files (including those that indicate if an accommodation has been requested) 	
<p>10. Per state requirement, does the program have an emergency operations and safety plan and map for all locations that house classes or employees?</p>	<p>OAE Grant Award Notification</p> <p>Guide for Developing High-Quality Emergency Operation Plans for IHEs</p>	<ul style="list-style-type: none"> - Written Emergency Operations & Safety Plan and Map - Signs posted in classrooms or other locations that house classes or employees 	

Best Practices			
Guiding Questions	Citation	Possible Data Sources	Notes
1. Does the program create a safe and inclusive culture where all students and staff feel welcome? 2. How does the program recruit and retain students?	n/a	<ul style="list-style-type: none"> - Staff and student interviews - Student recruitment and retention materials and plans 	

Fiscal

Guiding Questions	Citations	Possible Data Sources	Notes
<p>1. Is the program in compliance with all AEFLA-specific fiscal requirements?</p> <p>a. Has the program budgeted and/or expended less than 5% of its adult education grant funds on administrative costs? If the program has budgeted/expended more than 5% of its adult education grant funds, does it have an approved waiver from TCSG?</p> <p>b. Has the program expended its adult education federal and state grant funds on the allowable activities as listed in AEFLA and its approved grant application? Can the program provide documentation that it has expended its adult education grant funds on allowable activities?</p> <p>c. Has the program utilized adult education grant funds to supplement, not supplant, state and local funds for adult education?</p> <p>d. If applicable, can the program demonstrate that it treats its IELCE grant funds as a separate grant and that IELCE grant funds are only used for IELCE activities? (Ex: through budget documentation or Time & Effort forms)</p> <p>e. Has the program reported any training costs related to IET? If so,</p>	<p>WIOA Sections 203(2), 233, 241, 243</p> <p>OAE Grant Award Notification</p>	<ul style="list-style-type: none"> - Budget and expenditure reports - Back up documentation for expenditures - Documentation that funds were used to supplement not supplant local funds (ex: a comparison of funding sources for the previous vs. current year's expenditures) - Approved indirect cost rate agreement 	

<p>are these costs specific to the program's IET and do they support eligible individuals? Has the program spent no more than \$8,000 on training costs? If it has spent more than \$8,000 on training costs, has it received approval from OAE?</p> <p>f. If applicable, has the program expended funds on Family Literacy activities? Have they expended no more than \$8,000?</p> <p> i. If any funds are used to directly support individuals not eligible for WIOA, are there documented attempts to coordinate with other programs or services prior to spending the AEFLA funds?</p> <p>g. Is the program charging indirect costs to its AEFLA grant? If so, does it have an approved restricted indirect cost rate from its cognizant federal agency or TCSG? Is it including indirect costs as administrative costs in its budget?</p>			
<p>2. Is the program maintaining accurate books and supporting documentation related to its adult education grant funds? Do its books and supporting documentation demonstrate the appropriate use of federal and state grant funds?</p> <p> a. Are all budgeted and purchased items allowable, allocable,</p>	<p><u>2 CFR § 200.403 - 405</u></p> <p><u>2 CFR § 200.302</u></p>	<ul style="list-style-type: none"> - Budget records and expenditure reports - Back up documentation for expenditures - Open purchase orders - Bank reconciliations - Unclaimed checks 	

<p>reasonable, and necessary for the purposes of the program's AEFLA grant award?</p> <p>b. Are all expenditures charged to the correct cost objective? (Ex: administrative costs are classified as administrative)</p> <p>c. Can the program demonstrate that it tracks adult education grant funds separately from other funds? Does the program clearly identify the source of its adult education grant funds using the CFDA title and name, FAIN, etc.?</p> <p>d. Do the program's records clearly indicate the total award amount, obligations, expenditures, income, and interest?</p> <p>e. Does the subrecipient receive funds from sources other than TCSG for their adult education program? If the subrecipient receives funds from other sources, are those funds properly recorded in the program's financial system?</p> <p>f. Has the program updated its books and Workiva budget based on its most recently approved budget or budget amendment?</p> <p>g. Has the program obligated and liquidated funds within the period of availability for its grant award? Have any items been purchased</p>	<p><u>34 CFR § 76.730</u></p> <p><u>34 CFR § 76.703, 76.707 - 709</u></p> <p><u>OAE Monthly & Quarterly Financial Procedures</u></p>		
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<p>before or after the period of availability?</p> <p>h. Do the totals of open purchase orders and other obligations total at or fall below the current amount of funds available?</p> <p>i. Are bank reconciliations performed in a timely manner and all outstanding items cleared in a reasonable amount of time?</p> <p>j. Are all unclaimed checks related to the Adult Education grant properly listed and backup provided related to the Unclaimed Property Process?</p>			
<p>3. Does the program have documented cash management and internal controls to ensure appropriate oversight and use of federal and state grant funds?</p> <p>a. Does the program have a clear separation of duties among staff members for all tasks related to purchasing, contracts, payroll, budget amendments, etc.?</p> <p>b. Does the program have and follow written procedures for determining the allowability of expenditures? Are purchases and invoices regularly reviewed by both finance and adult education staff to ensure allowability?</p>	<p><u>2 CFR § 200.302 - 303</u></p>	<ul style="list-style-type: none"> - Local cash management procedures - Completed Separation of duties worksheet (located in Appendix D) - Budget records and reports - Interviews with fiscal and program staff 	
<p>4. Is the program maintaining appropriate documentation for all staff paid in full or in</p>			

<p>part with federal or state matching adult education grant funds?</p> <ol style="list-style-type: none"> a. Are all staff paid in full or in part with adult education grant funds working on allowable activities under AEFLA? b. Are all staff paid in full or in part with adult education grant funds maintaining appropriate Time & Effort forms (either a Semi-Annual Certification Work Activity Report) to support their duties and associated costs? c. Does the program reconcile salary expenses quarterly to ensure that staff are paid based on actual time worked rather than budget estimates? If needed, do they make budget amendments to account for any discrepancies? d. Are all staff paid with adult education grant funds listed in the original or most recently approved budget? <ol style="list-style-type: none"> i. Are staff being paid at the amounts listed in the budget? ii. Have new employees been added to the budget? iii. Have employees who no longer work for the program been removed from the budget? 	<p><u>2 CFR § 200.430</u></p> <p><u>OAE's Time & Effort Reporting Policies & Procedures</u></p>	<ul style="list-style-type: none"> - Program budget - Staff job descriptions - Payroll ledgers - Employee time sheets - Employee Time & Effort Reports 	
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<p>iv. Has the program updated its budget to include benefits (ex: annual leave payouts) for employees who no longer work for the program?</p>			
<p>5. Does the program have and follow written procurement procedures that comply with all applicable local, state, and federal regulations, including <u>2 CFR § 200.318 – 326</u>?</p> <p>a. Does the program confirm that any hired contractors are not on the suspension and debarment list?</p> <p>b. Do the program’s procurement procedures include a conflict-of-interest policy?</p> <p>c. Does the program utilize the correct procurement method for each purpose (ex: competitive bid, etc.)?</p> <p>d. Does the program maintain oversight to ensure that contractors perform in accordance with the terms, conditions, and specifications of the contract?</p>	<p><u>2 CFR § 200.318 – 326</u></p>	<ul style="list-style-type: none"> - Procurement procedures - Procurement documentation for any hired contractors or services - Executed contracts and follow up documents 	
<p>6. Does the program have and follow a written travel policy that complies with all applicable, local, and federal regulations, including those listed in <u>2 CFR § 200.474</u>?</p>	<p><u>2 CFR § 200.474</u></p> <p>OAE Grant Award Notification</p>	<ul style="list-style-type: none"> - Local travel policy - Employee travel reports and reimbursement requests 	

<p>7. Does the subrecipient have appropriate property management policies and procedures?</p> <p>a. Does the subrecipient tag and inventory all equipment over \$5,000 in value or “pilferable” supplies such as laptops or tablets?</p> <p>b. Does the inventory list contain each item’s serial number or unique ID, acquisition date, funding source, unit price, location, condition, and, if applicable, disposition information?</p> <p>c. Does the program conduct a physical inventory annually and update its records accordingly?</p> <p>d. Is the listed equipment in the location noted on the inventory list?</p> <p>e. If equipment is missing or stolen, did the subrecipient report it to authorities (ex: police report)?</p> <p>f. If the program has a laptop lending program funded with adult education grant funds, does it have appropriate internal controls (ex: student contract, tracking system, etc.) to safeguard the equipment?</p>	<p><u>2 CFR § 200.313</u></p> <p><u>OAE Monthly & Quarterly Financial Procedures</u></p>	<ul style="list-style-type: none"> - Program inventory list - Physical inventory list records - Walkthrough of equipment (onsite visit only) - Police reports of any missing or stolen equipment - Lending program procedures, policies, or student contracts 	
<p>8. Does the subrecipient receive more than \$750,000 of federal funds per fiscal year? If yes, has it had a single audit conducted in accordance with <u>2 CFR § 200.501</u> and <u>200.514</u>?</p>	<p><u>CFR § 200.501</u></p> <p>OAE Grant Award Notification</p>	<ul style="list-style-type: none"> - Most recent audit report 	

<p>9. Has the program submitted timely financial reports, including cash requisitions requests or cash draws and updates the program's budget in Workiva?</p>	<p><u>OAE Monthly & Quarterly Financial Procedures</u></p>	<ul style="list-style-type: none"> - Submitted cash requisition/cash draw requests - Workiva documentation 	
<p>10. Do adult education staff and budget office staff meet at least monthly to reconcile expenditures? During these meetings, do they compare budgeted vs. expended amounts?</p>	<p><u>OAE Monthly & Quarterly Financial Procedures</u></p>	<ul style="list-style-type: none"> - Budget/adult education staff meeting notes - Budget comparison reports 	
<p>11. Does the program maintain all fiscal records in accordance with TCSG's record retention policy (5 ½ years from the date the final fiscal report was submitted)?</p>	<p>OAE's Policy and Procedure Manual</p>		
<p>12. Based on the financial review, is there any evidence that the subrecipient has committed fraud, waste, or abuse with its federal or state adult education grant funds?</p>			

Appendix A: Sample Monitoring Schedule

The below chart provides a sample schedule for a virtual or onsite monitoring visit. Please note, a program's exact schedule may vary depending on the size of the program and service delivery area and the scope of the monitoring visit. OAE will work directly with each program to develop a monitoring visit schedule.

Sample Monitoring Visit Schedule	
Timeframe	Activity
At least One Month Prior to Monitoring Visit	OAE notifies the local program of the monitoring visit, including the type (onsite or virtual) and the area(s) OAE will monitor.
Three to Four Weeks Prior to Monitoring Visit	Upon notification of the monitoring visit, OAE schedules a phone call with the local program to discuss the details of the monitoring visit (how to upload documents for review, what activities should occur during the visit, etc.) and to answer any questions the local program may have.
Two Weeks Prior to Monitoring Visit	<p>Program uploads documentation into shared folder.</p> <p>OAE reviews documentation prior to the visit. Local programs should be prepared that OAE may ask questions or ask for additional documentation during this review. OAE may also use a portion of the visit time to further review documentation.</p> <p>OAE emails short surveys to one or more of the following groups: (a) instructors and staff, including the program administrator, (b) partner organizations, and (c) students.</p>
One Week Prior to Monitoring Visit	Schedule for visit is finalized.
Day One of Monitoring Visit	<ul style="list-style-type: none"> • Monitoring Conference (no more than 20 minutes): introductions, schedule overview, etc. • Observations of classes, intake, or orientation/staff, student, or partner interviews/additional document review • Lunch break • Observations of classes, intake, or orientation/staff, student, or partner interviews/additional document review
Day Two of Monitoring Visit	<ul style="list-style-type: none"> • Observations of classes, intake, or orientation and staff, student, or partner interviews/additional document review • Lunch break/OAE meets to discuss observations from visit

	<ul style="list-style-type: none"> Monitoring conference (no more than one hour): OAE provides overview of monitoring visit, including commendations and any findings <p>*Please note, depending on the size of the program, OAE may complete the visit in one day.</p>
No More than 30 Days After Visit	OAE sends the completed Monitoring Review Form – including commendations, required actions, recommended actions, and next steps – to the local program.

Appendix B: Sample Interview Templates & Questions

The below chart provides examples of the nature and types of questions OAE may ask specific individuals (program administrator, instructors, data manager, transition coordinator, intake/orientation staff, students, and partner organizations) during the visit. Please note, this list is not inclusive of every question OAE may ask or every person OAE may interview, and the exact questions may vary depending on the program and the pre-monitoring survey responses.

Program Administrator Interview Questions	
Program Administrator Name:	
Interviewer Name:	
Question	Notes
1. Describe your organizational structure, including who is responsible for: (a) handling and inputting data into GALIS, (b) conducting intake and/or orientation, and (c) providing transition services.	
2. Describe the program culture you try to foster for both students and staff.	
3. Describe your program's intake and/or orientation process, including the procedures for pretesting students. What individuals are involved?	
4. What processes or procedures do your staff follow to ensure they collect accurate data (including demographic, assessment, and attendance data)? What happens if you or a staff member discovers missing or inaccurate data?	
5. Describe the hiring and onboarding process for new instructors or staff. Describe PD offered during this time.	

<p>6. How often do you (or other leaders) observe instruction? When you observe instruction, what do you look for? What formal processes and documentation are used? What follow up is conducted after an observation to provide feedback to the teacher?</p>	
<p>7. What distance education courses do you offer? Which proxy contact hour methods do you use? How do you train and support teachers with distance instruction?</p>	
<p>8. Describe the partnerships your program has in place to provide students with supportive services as well as training and career services</p> <ul style="list-style-type: none"> ○ Certified Literate Community Program ○ Department of Corrections ○ Other partners <p>Which one of these partnerships is the strongest? Which partnership needs the most improvement?</p>	
<p>9. Describe how your program partners with its local workforce board and one-stop center(s).</p>	
<p>10. Describe how your program supports students in transitioning into postsecondary education, training opportunities (including IET), or the workforce.</p>	

<p>11. Describe how you ensure all students can successfully participate in the program, including how you accommodate students with disabilities and how you provide flexible schedules and/or distance learning opportunities. If your program serves students in correctional facilities, please discuss how you ensure your program meets those students' unique needs.</p>	
<p>12. How do you accommodate students with disabilities during the intake and assessment process?</p>	
<p>13. How do you determine how and why students are leaving your program before making it to enrollment or before meeting a program goal? What are you doing to re-engage these students?</p>	
<p>14. What professional development have you attended over the last year? What areas do you feel you still need training or professional development?</p>	

<p>15. What local professional development have you offered staff this program year? How have you determined that this is a need?</p>	
<p>16. When looking at your student demographic and MSG data, which population seems to have the most success (e.g., 19-24 year olds, students in correctional facilities, English language learners, etc.)? What contributes to that success? Considering the populations of students you serve, which population seems to struggle the most? What contributes to these difficulties?</p>	
<p>17. Describe how you work with your budget office staff to ensure the appropriate use of federal and state adult education grant funds. How often do you meet? What occurs during those meetings?</p>	
<p>18. Describe the individuals involved in the adult education grant budget. What is each person's role and responsibility?</p>	
<p>19. What happens if you discover an unallowable expenditure? What processes or procedures do you utilize to ensure that all adult education grant funds are used for allowable, allocable, reasonable, and necessary items?</p>	

20. What process do staff follow to submit Time & Effort certifications? Who reviews and signs Time & Effort certifications? How often do you reconcile salary expenses?

21. Describe your inventory procedures.

Other Questions Asked During the Interview
(Please record questions and responses)

Instructor Interview Questions

Instructor Name(s):		
Interviewer Name:		
Question	Notes	
1. Describe your lesson planning process.		
2. How do you modify your instruction or course materials to accommodate students with disabilities?		
3. Describe how you utilize technology.		
4. Describe how you utilize both formal (ex. TABE, BEST Plus) and informal assessments? How do you know when to posttest a student? How do you know when a student is ready to move to the next level?		
5. How do you track student attendance? What is the process for the student attendance data to get into GALIS?		
6. Describe any professional development you have received over the past year. Has it been helpful? If so, how? If not, what other support or professional development do you need?		

<p>7. Describe how program leadership supports you as an instructor. How often does program leadership observe your instruction? How often do you receive feedback about your instruction? If you are experiencing challenges in certain areas (ex: classroom management), how does program leadership help you?</p>	
<p>8. How do you integrate career pathways or workforce preparation skills and/or activities into your instruction?</p>	
<p>9. Describe your program's staff and student culture.</p>	
<p>Other Questions Asked During the Interview <i>(Please record questions and responses)</i></p>	

Data Manager or Coordinator Interview Questions

Data Manager Name:	
Interviewer Name:	
Question	Notes
1. Describe your intake process, including how your program ensures it gets accurate demographic data, as well as barriers to employment, from students?	
2. Describe how and when your program enters pre and posttest data into GALIS. Who is responsible for data entry?	
3. Describe the process for entering attendance data or proxy contact hour data into GALIS.	
4. How do you protect students' personally identifiable data?	
5. How often do you review GALIS data? When you review data, what do you look for? How do you handle missing or inaccurate data?	

6. What training have you received on data collection, data management, or GALIS? Has it been helpful? Is so, how? Are there any areas you feel you need additional training?

7. Does your program use GALIS and other data to inform program improvements? If so, how?

Other Questions Asked During the Interview
(Please record questions and responses)

Career Services/Transition Coordinator Questions

Career Services/Transition Coordinator Name:	
Interviewer Name:	
Question	Notes
1. Describe your role as a transition/career services specialist. What does a typical week look like?	
2. Describe the types of services, support, and/or events you offer students. How have you modified events and services to include distance education students (i.e., Blackboard)?	
3. Describe any partnerships your program has that support your students in transitioning into postsecondary, training or career opportunities?	
4. What are the biggest challenges your students face in successfully transitioning into the workforce and postsecondary education? How did you identify these challenges? How is your program addressing these challenges?	
5. Describe how you help students transition to post-secondary education or training. How do you know when a student is ready for transition? How often do you meet with students regarding transitioning to post-secondary education or training?	

6. Describe the professional development you have received over the past year? Has it been helpful? If so, how? What, if any, professional development or training do you feel you still need?

Other Questions Asked During the Interview
(Please record questions and responses)

Intake/Orientation Staff Questions

Intake/Orientation Staff Name(s):	
Interviewer Name	
Question	Notes
1. Walk me through a student's typical intake experience, from finding out about the program to enrolling in classes.	
2. What information do you provide students during the intake or orientation process?	
3. How are students informed that they could disclose learning needs or disabilities? If a student does indicate they have a disability, what steps do you take to ensure you meet his/her needs?	
4. How do you ensure you collect accurate data from students, including barriers to employment and social security numbers?	
5. When do you pretest students? How do you determine which test to use to pretest students?	
6. Who decides which services students need based on pre-test scores? How do they decide which classes the student should attend both at the pre-test and after a posttest?	

7. Describe the culture your program tries to foster for students during the intake or orientation process.

Other Questions Asked During the Interview
(Please record questions and responses)

Student Interview Questions

Student Name(s):		
Interviewer Name:		
Question	Notes	
1. How did you find out about the adult education program? What made you interested in taking classes?		
2. What steps did you have to take to start classes? What paperwork or tests did you have to complete or take prior to starting classes?		
3. How long have you been taking classes? How do you know if you are progressing?		
4. What classes are you currently taking? How often are your classes held? What happens if you cannot attend class?		
5. How often do you take tests? Do you know what the purpose of the tests are?		
6. Does the program provide you any other services, such as childcare, transportation, or help finding a job?		
7. Who is your Career Services Specialist and how often do you meet with them? What services have they provided to you?		

8. What do you think are the biggest barriers to your success in this program?	
9. What do you like best about the adult education program? (ex. Instructor, class instruction, class environment, access to supportive services)	
10. What do you like least about the adult education program? What could be changed to improve your experience?	
Other Questions Asked During the Interview <i>(Please record questions and responses)</i>	

Partner Organization Questions

Partner Organization	
Partner Organization Representative Name(s):	
Interviewer Name:	
Question	Notes
1. Describe your organization’s partnership with the adult education program, including how the partnership benefits the program and its students.	
2. Do you have an MOU or written agreement with the adult education program? If so, how was it developed? What are each partner’s responsibilities, as outlined in the MOU?	
3. Do you provide any financial support for students in the adult education program (ex: paying for training, childcare, etc.)? If so, please describe the financial support you provide.	
4. Describe the areas where you feel the partnership is working well.	

5. Are there areas of the partnership that could be improved? If so, how?

Other Questions Asked During the Interview
(Please record questions and responses)

Budget Office/Fiscal Staff Interview Questions

Staff Member Name(s):	
Staff Member Position(s)	
Interviewer Name:	
Question	Notes
1. Describe how you work with adult education program staff on their budget. How often do you meet? What happens during the meetings?	
2. Describe the individuals involved in the adult education grant budget. What is each person's role and responsibility?	
3. Describe your internal controls for ensuring the appropriate use of federal and state adult education funds. How do you separate duties related to purchasing, contracts, payroll, budget amendments, etc.?	
4. What process do staff follow to submit Time & Effort certifications? Who reviews and signs Time & Effort certifications? How often do you reconcile salary expenses?	
5. What happens if you discover an unallowable expenditure? What processes or procedures do you utilize to ensure that all adult education grant funds are used for allowable, allocable, reasonable, and necessary items?	

6. Describe your inventory procedures.

Other Questions Asked During the Interview
(Please record questions and responses)

Appendix C: Sample Observation Templates

Classroom Observation Monitoring Tool

Course:	Instructor:
Observed By:	
Look For . . .	Notes/Evidence
The teacher’s lesson plan includes standards (CCRS or ELPS) that are relevant to the student population.	
The learning objectives are aligned with the lesson’s standards and demonstrate appropriate depth of knowledge.	
The teacher reviews prior learning to confirm students’ readiness and ability to connect new concepts.	
The teacher appropriately modifies instruction or course materials to accommodate all students, including those with disabilities.	
The instructor uses strategies that actively engage all students.	

<p>The lesson activities build upon the life experiences of students and emulate real-world tasks that help to prepare students for postsecondary education, and/or career opportunities.</p>	
<p>The instructional activities support the lesson objectives and provide opportunities for students to engage, interact, and learn from one another.</p>	
<p>The teacher provides an opportunity for all students to demonstrate their understanding and mastery of the content taught.</p>	
<p>Other Observations or Notes</p>	

Integrated Education & Training Observation Monitoring Tool	
IET:	Instructor:
Training Provider:	Portion of IET Observed: Classroom Training
Observer:	
Look For . . .	Notes/Evidence
The instructor's lesson plan or the training activity is based off of a Single Set of Learning Objectives (SSLOs).	
Students are engaged in activities and/or instruction that is preparing them for success in the training component of the IET (<i>classroom observation only</i>).	
The training component of the IET is conducted by a highly qualified training provider. During the training, students are learning necessary skills to transition directly into the workforce.	
The instructor and/or training provider uses activities that actively engage students.	

The education and training activities are offered concurrently.

Other Observations or Notes

Family Literacy Observation Monitoring Tool

Family Literacy Class:		Instructor:	
Observer:			
Look For . . .		Notes/Evidence	
<p>The instruction includes adult education & literacy activities that prepare parents or caregivers to transition into postsecondary education, training programs or the workforce.</p>			
<p>The instructor facilitates interactive literacy activities between parents and caregivers and their children.</p>			
<p>The class includes training activities that support parents and caregivers in becoming their children’s first teachers and full partners in their children’s education.</p>			

The children's lessons include are designed with age-appropriate education that prepares children for success in school and beyond (ex: mentoring, tutoring, etc.).

Other Observations or Notes

Appendix D: Separation of Duties Worksheet

Responsibility	Responsible Individual(s)	Title/Position(s)
Commit to Purchasing Obligation		
Commit to Contracts		
Commit to agreements		
Commit to purchases of supplies		
Commit to purchases of equipment		
Commit to purchases of Professional Services		
Prepare Purchasing Obligations		
Prepare Contracts		
Prepare Agreements		
Prepare Grant Budget prior to submission to System Office		
Prepares Grant Budget Amendment prior to submission		
Enters Budget Information into Workiva		
Review of Purchasing Obligations		
Review of Contracts		
Review of Agreements		
Review of Travel		
Review of Payroll Time Sheets		
Review Grant Budget prior to submission to System Office		
Reviews Grant Budget Amendment prior to submission		
Reviews/compares expenditures to Budgetary limits		
Reviews/Compares Revenue to Budgetary amounts		
Responsibility	Responsible Individual(s)	Title/Position(s)
Confirms restricted revenue is segregated and used only for restricted program		

Confirms current year activities are not co-mingled with prior year activity		
Approval of Purchasing Obligations		
Approval of Contracts		
Approval of Agreements		
Approval of Travel		
Approval of Payroll Time Sheets		
Approves Grant Budget prior to Submission to System Office		
Approves Grant Budget Amendment prior to submission		
Signing of Purchasing Obligations		
Signing of Contracts		
Signing of Agreements		
Signing of Travel Authorizations		
Signing of Payroll Time Sheets		
Signs Grant Budget prior to Submission to System Office		
Signs Grant Budget Amendment prior to submission		
Receives Vouchers		
Receives Invoices		
Receives Other Source Documents		
Reviews / Approves Vouchers		
Reviews / Approves Invoices		
Reviews / Approves Other Source Documents		
Responsibility	Responsible Individual(s)	Title/Position(s)
Codes Vouchers		
Codes Invoices		
Codes Other Source Documents		

Codes Grant Budget received from System Office		
Codes Grant Budget Amendment		
Enters into system – Vouchers		
Enters into system – Invoices		
Enters into system – Payroll		
Enters into system – Travel		
Enters into system – Equipment		
Enters Grant Budget received from System Office		
Enters Grant Budget Amendment		
Maintains records of – Vouchers		
Maintains records of – Invoices		
Maintains records of - Payroll		
Maintains records of – Travel		
Maintains records of Equipment		
Maintains record of Grant Budget received		
Maintains record of Grant Budget Amendment		

Appendix E: Monitoring Review Form

The Technical College System of Georgia's (TCSG) Office of Adult Education (OAE) completed a Monitoring Review on [DATES] with [PROGRAM NAME]. This final report contains the results of commendations, findings, and recommendations. The findings are based on evidence of required documentation, observations, interviews, and surveys.

The next step is for [PROGRAM NAME] to respond to the findings below with a detailed description on how the program will correct the finding, including the action steps, timeline, and resources needed. The local program will review, respond, sign, and email the completed form back to Christy Elliott (celliot@tcsg.edu) by [DATE]. A 90-day follow-up meeting will take place on [DATE] where the corrective action plan described below will be reviewed for completion.

Subrecipient & Program Review Information						
Program:				Review Date:		
Service Delivery Area:				GPSC:		
Annual Award Amount:	State	231	225	223	243	TOTAL
	\$	\$	\$	\$	\$	\$
Amount Expended:	\$	\$	\$	\$	\$	\$
Areas of Monitoring:	<input type="checkbox"/> Intake, Assessment & Data <input type="checkbox"/> Instruction, Programming & Performance <input type="checkbox"/> Fiscal			Type of Monitoring:	<input type="checkbox"/> On Site <input type="checkbox"/> Virtual	
	<input type="checkbox"/> Risk Assessment Score <input type="checkbox"/> Program Has Not Been Monitored in the Past Three Years <input type="checkbox"/> OAE has a documented concern					
Reason for Monitoring <i>(select all that apply)</i>						
Areas Noted From Risk Assessment/Documented Concern						

Contact Information			
Program Contact		Office of Adult Education Contact	
Name:		Name:	Christy Elliott
Title:		Title:	Director of Accountability
Email Address:		Email Address:	celliot@tcsg.edu
Phone Number:		Phone Number	404.679.1651

Overview of Commendations, Findings, Required Actions & Recommended Actions

Commendations

Findings & Required Actions

Finding	Related Policies & Citation(s)	Description/Required Actions
		Description:
		Required Action:
		Program Response:
		Description:
		Required Action:
		Program Response:
		Description:
		Required Action:
		Program Response:

Areas for Improvement & Recommended Actions	
Area for Improvement	Recommended Action
Additional Comments	

Signatures		
Office of Adult Education Signatures		
Name & Title	Signature	Date
Local Program Signatures		
Name & Title	Signature	Date