



INDIANA  
**WORKFORCE**  
DEVELOPMENT  
AND ITS **WorkOne** CENTERS

**TO:** Adult Education Consortia Partners

**FROM:** Scott B. Sanders  
Commissioner

**DATE:** August 23, 2013

**SUBJECT:** DWD Policy 2013-06  
Adult Education Program Monitoring and Improvement Policy

**PURPOSE**

This policy describes the process for monitoring and evaluating Adult Education (AE) programs.

**RESCISSION**

DWD Policy 2011-11, Adult Education Program Monitoring and Improvement Policy

**CONTENT**

The Department of Workforce Development (DWD), Division of Adult, Career, and Technical Education will monitor Adult Education (AE) programs based on the regional grant application submitted to and approved by DWD. If DWD determines a program is not meeting conditions in the grant, DWD will identify the program for improvement.

Monitoring

DWD will monitor AE programs by analyzing real time program data in InTERS. As required by federal law, DWD staff will also perform an on-site review of at least twenty (20) percent of local programs annually. Programs will be notified of an on-site review and may access the monitoring form on the DWD adult education administration-website found at:

<http://www.in.gov/dwd/adultedadmin/>.

Identification for Improvement

DWD has the discretion to determine if a program and/or fiscal agent is not meeting conditions of the approved regional grant and may identify the program for improvement. If a program is identified for improvement, DWD will notify the fiscal agent overseeing the program. Within two weeks of notification, the program must submit a Corrective Action Plan (CAP) that addresses programming deficiencies identified by DWD. Programs may view the CAP at

<http://www.in.gov/dwd/adultedadmin/>.

After receipt, DWD staff will review the CAP and provide feedback to the program within thirty (30) business days. The fiscal agent and/or program must then implement the DWD-approved CAP and schedule an on-site follow-up monitoring visit between two (2) and four (4) weeks of receiving the CAP. Failure to implement elements of the CAP or achieve negotiated performance targets during a second consecutive year will result in DWD taking further action. These actions may include fiscal agent change and/or removal of AE programs eligibility for federal and state funding.

#### Student Record Retention

DWD requires AE programs to maintain student records in InTERS and in a student folder for data validation purposes, in accordance with AE Data Collection and Reporting Policy.

At a minimum student folders shall be kept for three (3) full program years. If a program's student record is monitored, audited, or removed before the three (3) year period has passed, records must be maintained until the monitoring is completed or the three (3) year period has passed, whichever is later. To ensure the protection of student information, the folder's contents shall be disposed of eliminating the contents after no less than the necessary retention period (e.g., paper shredding).

In the event of a site or program closure, the student folders must be transferred to the program taking over the students. The incoming program will assume responsibility of those student records.

#### *Student Folder*

Folders shall be kept in a secure area such as cabinets. Folder tabs shall be labeled legibly with the student's last and first name.

The student folder shall contain the following information:

- Release of information;
- Registration form(s);
- Paper-based assessment information;
- Exit with principal's signature for any student at the ages of 16 and 17; and,
- Original versions of any additional signed documents.

#### *Special Circumstance for Youth*

The exit form with principal's signature is required for any student at the ages of 16 and 17. AE programs may reuse this form if the student reenters the program.

#### **OWNERSHIP**

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**EFFECTIVE DATE**  
Immediately

**ENDING DATE**  
Upon rescission

**ACTION**  
Indiana's Adult Education system will follow the guidance contained in this policy.

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