

*Bureau of Postsecondary and Adult Education
Division of Adult Education
Pennsylvania Department of Education*

2015-16 Primary Monitoring Tool

1. GENERAL INFORMATION

Type: **C = Compliance Issue** **I = Information**

Review Criteria	Type	Review Method	Evidence	Evaluation and Comments	Compliant	
					Yes	No
A: Agency Status						
1. Have there been changes to agency services listed in the grant application?	C	Interview	Administrator interview			
2. Has the agency, or any persons acting on behalf of the agency, been the subject of any formal, or informal, investigation or review conducted by any agency of the state or federal government within the last six program years or is any such matter pending?	C	Document review Interview	Document identifying the scope of inquiry Documents submitted in response to inquiry Reports			

Review Criteria	Type	Review Method	Evidence	Evaluation and Comments	Compliant	
					Yes	No
B: Board of Directors						
1. Is the Agency governed by a policy-making board? a. Are the board members from the public and private sectors of the community? b. How does the Board oversee the work of the program director?	C	Document review Interview	Meeting Schedule List of Board members Board member interviews Minutes from meetings – minimum one year			

Comments/General Observations
Recommendations

Review Criteria	T y p e	Review Method	Evidence	Evaluation and Comments	Compliant	
					Yes	No
C: Grant Application						
1. Which staff members assist in the grant writing process? a. Are direct service staff allowed to view the grant application?	I	Interview	Staff interviews			
2. If applicable - Does the agency have written agreements with subcontractors?	C	Document review	Copy of agreements			

Comments/General Observations
Recommendations

2. PROGRAM SERVICES

Review Criteria	Type	Review Method	Evidence	Evaluation and Comments	Compliant	
					Yes	No
A: Intake/Orientation						
1. What methods of student recruitment are used by the agency? a. Which is the most successful?	I I	Document review Interview	Pamphlets Flyers Advertisements Referral sheets, et. al.			
2. Are students screened for classroom readiness? a. If a student isn't ready for class, what does the agency do with them?	C	Observation Interview Documentation	Case notes Waiting list Intake information			
3. Does the agency have an intake/orientation process? a. Is there a written policy? b. Is the agency using the current intake form from the PDE website? c. How often is orientation offered? d. How much time is allotted for orientation (hours/days)? e. What is covered during orientation? f. Does the agency have a designated intake/orientation staff member? g. Are other staff members involved in the process? h. Is there a separate family literacy orientation (if applicable)?	C C C I I I I I I I	Document review Observation Interview	Orientation outline/schedule Intake/Orientation policy Intake form			
4. Does the agency review the policy regarding F-1 Visa students during orientation?	C	Document review	Intake procedure			
5. Is intake/orientation coordinated with student placement, case management and class scheduling? a. What criteria are used to	C C	Document review Interview	Interviews with intake staff, case manager and instructors			

appropriately place students into EL/Civics classes (if applicable)?						
6. Does the agency inform students about the Distance Learning Project ? a. If "YES" – describe referral process and use of Distance Learning screening tool.	C I	Document review Interview	Grant application e-Data v2 records Administrator interview Distance Learning Project interview			
7. Does the agency provide a handbook during orientation? a. Is the handbook reviewed with students?	C	Document review	Handbook/handouts			
8. Does the agency have a waiting list? a. If "Yes" – How does the agency manage the waiting list?	C	Document review	Waiting list			
9. Does the agency have a process to collect and access critical student health information?	C	Document review Interview	Administrator interview Agency intake procedures			
10. Does the agency serve students that are enrolled in secondary education? a. Post-secondary ed./training?	C I	Document review Interview	School withdrawal form Administrator interview			
11. Does the agency serve students that reside in an adjacent state?	C	Document review	Intake form Class assignments			

Comments/General Observations

Recommendations

Review Criteria	Type	Review Method	Evidence	Evaluation and Comments	Compliant	
					Yes	No
B: Assessment						
1. Does the agency have a written assessment policy and procedures plan?	C	Document review Interview	MyLearningPlan Hub			
2. Does the agency have an Intake/ Assessment specialist who is trained in accordance with the assessment policy?	C	Document review Interview	MyLearningPlan Other documentation			
3. Do additional staff members who give state-approved assessments receive training? a. How often?	C	Document review Interview	MyLearningPlan Other documentation			
4. Which state-approved assessments are used? (CASAS, BEST, GAIN, TABE)? a. Are locators and/or appraisals used? b. Does agency have up-to-date assessment manuals? c. Are test booklets kept in secure location? d. Are stop watches/timers available?	C C C C I	Document review	Student files e-Data records Copies of manuals Timers/stop watches			
5. What is the agency's post-testing practice? a. Does the agency follow all test publisher guidelines when posttesting students? b. If a student is not post-tested in the recommended timeframe, is a rationale on file?	C	Document review	Student files e-Data records Agency assessment policy			
6. Are students with Learning Differences (LD) provided suitable accommodations?	C	Interview	Student Files Agency assessment procedures			
7. Are additional (informal) assessments used?	I	Document review	Student files			
8. If the agency has documented special needs students, is a goal attainment system in place?	C	Document review	Student files			

9. (Family Lit.) Are State approved Early Childhood assessments used? a. Who administers early childhood assessments (FL staff or collaborating agency)? b. Which assessments are used? c. If one-time screening tool is used, did the agency request a waiver?	C I I C	Document review Interview	Student files – test results Interview with family literacy staff			
10. (Family Lit.) Are at least 2 staff members trained in ACIRI (family assessment)?	C	Document review	My Learning Plan, other training documentation			
11. (Family Lit.) Are the required families being given the ACIRI?	C	Interview	Student files – Assessment forms			

Comments/General Observations

Recommendations

Review Criteria	Type	Review Method	Evidence	Evaluation and Comments	Compliant	
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C: Goal Setting						
1. What is the agency's procedure for finding out student goals? a. Which staff members are involved in this process? b. Does the agency use the SMART (Specific, Meaningful, Attainable, Realistic, Timely) goal process?	C I I	Document review Observation Interview	Teacher/case manager interviews Student files - IEP/ILP MyLearningPlan Other documentation			

c. Does staff review goals with the students?	I					
2. (EL/Civics) Does the agency set secondary goals? a. Are these reviewed with the students?	C	Document review	Student files – intake forms e-Data report			
3. (Family Lit.) Are family focused secondary goals set for participants?	I	Document review Interview	Student files - Intake form			

Comments/General Observations

Recommendations

Review Criteria	Type	Review Method	Evidence	Evaluation and Comments	Compliant	
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D: Case Management						
1. Does the case manager participate in the orientation process? a. If not, how are support services introduced to the students?	I I	Document review Interview	Case Manager, teacher, and student interviews			
2. Does the agency use information gained from formal and informal assessments to direct case management services?	I	Document review Interview	Diagnostic tools Case management notes Case Manager interviews			
3. Does the agency provide support services to assist students in overcoming educational and personal barriers?	C	Document review Interview	Student files – case notes Case manager/teacher interviews Student interviews			

4. Does the case manager provide support for transition to employment and postsecondary education and training?	C	Document review Interview	Student files – case notes Case manager/teacher interviews Student interviews			
5. Does the case manager provide support services to tutored and distance learning students?	C	Document review Interview	Student files – case notes Case manager interview Student interviews			
6. Does the case manager offer follow-up and support for students who miss class?	C	Document review Interview	Student files - case notes Case manager/teacher interviews			

Comments/General Observations

Recommendations

Review Criteria	Type	Review Method	Evidence	Evaluation and Comments	Compliant	
					Yes	No
E: Instruction						
1. Does the agency use information gained from assessments to guide instruction?	I	Document review Interview	Lesson plans Diagnostic tools Teacher interviews			
2. Is career awareness provided during instruction?	C	Document review Interview Observation	Syllabus Teacher interviews			
3. Does the instruction support transition to employment and postsecondary education and training?	C	Document review Interview	Syllabus Lesson plans Teacher and student interviews			
4. What curriculum/instructional framework/scope and sequence does the agency use?	C	Document review	Grant application Lesson plans Syllabus			
5. Do teachers have instructional plans?	C	Document review	Teacher/tutor lesson plans			

6. Does the agency have Individual Learning Plans for each student?	I	Document review	Student files			
7. Is instruction in English?	C	Interview Observation	Student interviews Classroom observations			
8. Are LD students provided with suitable learning tools?	C	Document review Interview Observation	LD Tool Kit Student interview			
9. Are computers available for student use in each facility? a. Do the computers have internet access?	I	Interview Observation	Computers with internet access			
10. Does the agency provide supplemental learning opportunities outside the classroom?	I	Document review Interview	Teacher interviews Lesson Plans Websites, homework packets			
11. Does the agency provide instructional and post testing support for referred distance learning students? a. Does the agency have a distance learning liaison?	C I	Document review Interview	Student files Teacher interview Distance Learning Project interview			
12. Does weekly class instruction time meet the Bureau guidelines?	C	Document review Interviews Observations	Class schedules Teacher/student interviews			
13. Does the agency have an enforced, written student attendance policy?	C	Document Review	Student handbook/handout MyLearningPlan Hub			
14. Does the instructor offer follow-up and support for students who miss class?	C	Document review Interview	Student files - case notes Teacher interviews			
15. What is the agency's student persistence rate?	I	Document review Interview	Sept. – Dec. monitoring visit: Previous PY result Jan. – June: Current e-Data v2 Access Template report			
16. Does the agency give instructors protected preparation time? a. How many hours per/week? b. Are teachers compensated for prep time?	C I C	Document review Interview	Fiscal records/contracts Teacher interviews Teacher schedules			
17. (EL/Civics) Does the agency have an EL/Civics curriculum that incorporates English language instruction into civics content?	C	Document review Interview	Lesson plans Grant application			

<p>18. (Family Lit.) Is instruction provided in all four components? a. Are any components provided by collaborating agencies?</p>	C	Document review Interview	Class schedule Teacher interviews Document of collaboration, attendance documents, other reports from collaborators.			
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Comments/General Observations
Recommendations

Review Criteria	T y p e	Review Method	Evidence	Evaluation and Comments	Compliant	
					Yes	No
F: Tutoring						
<p>1. What is the current number of active tutors? a. Do all tutors meet minimum education requirements for their position? b. Does the agency make use of teacher aides?</p>	C C I	Document review Interviews	Tutor coordinator interview			
<p>2. Does the agency provide orientation training for the new tutors? a. If so, how many hours? b. Do tutors participate in other PD activities?</p>	I I I	Document review Interviews	Tutor Coordinator and IHPDS interviews			

3. Does the tutor coordinator provide support for tutoring pairs/small groups?	C	Document review Interviews	Tutor Coordinator and student interviews			
4. Does weekly tutor instruction time meet the Bureau guidelines?	C	Document review Interviews Observations	Class schedules Teacher/student interviews			
5. Do tutors have instructional plans?	C	Document review	Teacher/tutor lesson plans			
6. If the agency has Literacy Corps, are the tutors getting a minimum of 40 hours with their students? a. Which university/college is collaborating with the agency? b. What course is used for this model?	C I I	Document review	e-Data v2 records			

Comments/General Observations
Recommendations

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G: Performance						
1. Does staff receive annual training in the National Reporting System?	C	Document review	MyLearningPlan			
2. Is the agency on track to meet this year's enrollment?	C	Document review Interview	Longitudinal data Administrator interview			
3. Did the agency meet their contracted enrollment number in the preceding program year? a. Did the agency serve more than the contracted number of students?	C	Document review	e-Data v2Access Template report			

4. In the prior program year (PY), how many students exited the program without completing an educational level?	I	Document review Interview	Informal data – Table 4/4B Teacher interviews			
5. In the current PY, how many students have made educational gains?	C	Document review	e-Data v2 Access Template report			
6. Has the agency met core follow-up outcome performance targets over the past three years? a. If not, has there been improvement?	C	Document review Interview	Final Performance Report			
7. Has the agency met the Educational Functioning Level (EFL) targets over the past 3 years? a. If not, has there been improvement?	C	Document review Interview	Final Performance Report			
8. In the previous PY, did the agency average at least one outcome per student?	I	Document review Interview	Final Performance Report 3-year performance report			
9. (EL/Civics) For the previous year, what was the agency's secondary outcome performance?	I	Document review Interview	EL/Civics Final Report Grant application e-Data v2 Access Template report			
10. (Family Lit.) Are "Pre-K year before K" children making gains or demonstrating appropriate skills?	C	Document review Interview	PALS Pre-K and PPVT assessments			
11. (Family Lit.) Are school-age children performing at grade level?	C	Document review Interview	End of Year School Progress Reports			
12. (Family Lit.) Are families making progress on ACIRI?	I	Document review	ACIRI scoring sheets			

Comments/General Observations

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Recommendations

3. RECORD KEEPING/DOCUMENTATION

Review Criteria	Type	Review Method	Evidence	Evaluation and Comments	Compliant	
					Yes	No
A: Financial Management						
1. Does the agency have written policies and procedures to ensure segregation of duties, internal controls, and uniform fiscal practices?	C	Document review Interviews	Policies Procedures Accounting manual			
2. Does the agency have written policies and procedures for procurement?	C	Document review	Policy Procedures			
3. Does the agency have a staff member assigned to financial management?	C	Interview	Fiscal staff interview			
4. Does the agency have an operating budget for each of its grants?	C	Document review	Operating budget Account Codes			
5. Does agency have documentation of the local match? a. What sources are used by the agency to meet the local match requirements?	C	Document review	Documentation of match funds			
	C	Interview	Fiscal staff interview			
6. Does the agency have procedures in place to track and document time and effort for all employees?	C	Document review	Time and Effort sheets Time Studies/journals Agency policy			
7. Are students served under the correct funding stream?	C	Document review	Intake form e-Data class reports			

8. Are the agency's administration expenses (WIA 231 grant) on track not to exceed 5% (or negotiated %)?	C	Document review	Most recent quarterly report			
9. Are the agency's administration expenses (Act 143 grant) on track not to exceed 10%	C	Document review	Most recent quarterly report			
10. Are the agency's pupil support services (Cost Function 2100) expenses on track not to exceed 10% (Act 143 grant)?	C	Document review	Most recent quarterly report			
11. Is the agency on track not to exceed its negotiated dollar amount for institutional instruction?	C	Document review	Most recent quarterly report			
12. Is the agency on track to meet its budgeted tutor training expenses?	C	Document review	Most recent quarterly report			
13. Does the agency use subcontractors to provide services? a. Do subcontractors' fiscal practices comply with federal and/or state funding requirements? b. Are subcontractors in compliance with Bureau policies and guidelines?	I C C	Document review Interview	Administrator interview Agency monitoring reports Subcontractor expense files Subcontractor operating budget related to Division funding			
14. Are agency's costs allowable? a. Are they allocated correctly?	C	Document review	Current fiscal spreadsheets Audit reports-including Management Letters			
15. Does the agency meet the criteria for a Single Audit? If yes, was an audit held?	C	Document review	Audit reports-including Management Letters			
16. Has the agency had an independent audit, other than a single audit, done in the last 6 years?	I	Document review	Audit reports-including Management Letters			

Comments/General Observations

Recommendations

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B: Data Collection/Entry						
1. Does the agency have a written data collection and entry policy and procedures?	C	Document review	MyLearningPlan Hub Policy/Procedural form			
2. Is all data entered at least monthly?	C	Document review	e-Data v2 report			
3. Which staff member(s) are responsible for data collection and entry? a. Do staff members receive data entry training? b. How many staff members are trained as backups?	C	Document review Interview	MyLearningPlan Other documentation Staff interviews			
4. Is a staff file created for every person (paid/volunteer) working under any bureau funded contract? a. Is this information entered into e-Data v2?	C C	Document review	Staff files e-Data v2 files			
5. Do student files (main office) contain the following information: a. Intake form b. Appraisals/locators c. Assessments d. Attendance e. Release form for non-PDE entities f. Referral information g. Individual learning plans h. Case notes	C C C I C I I I	Document review	Documentation of each form			

i. Special Needs Information *If applicable, is information available for all family members served (family literacy only)	C					
6. Does the agency collect and document student attendance?	C	Document review	Attendance form			
7. Are agency records kept on file for six years? a. How are old records disposed of?	C	Document review	Student files – 6 years Fiscal records – 6 years			
8. Are procedures in place to keep all student and staff records confidential?	C	Document review	Agency security procedures			
9. Are the agency’s records secure from theft and damage?	C	Observation	Locked files			
10. (EL/Civics) Does the agency document achievement of secondary outcomes?	C	Document review	Student files			

Comments/General Observations
Recommendations

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					Yes	No
C: Reporting						
1. Are agency reports submitted on time?	C	Document review	*Information to be provided by Division staff			
2. Are agency reports complete and correct?	C	Document review	*Information to be provided by Division staff			

3. If applicable - Does the agency require specific reports from subcontractors?	C	Document review Interview	Copies of all relevant reports Administrator interview Subcontractor interviews			
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Comments/General Observations
Recommendations

4. PROGRAM SUPPORT

Review Criteria	Type	Review Method	Evidence	Evaluation and Comments	Compliant	
					Yes	No
A: Staff Requirements and Qualifications						
1. Do all staff members meet the minimum education requirements for their position? a. Does the agency have additional education and/or experience requirements for staff?	C I	Interview Document review	Administrator interview Staff files Staff Section - eGrants			
2. Does the agency have job descriptions for positions?	C	Document review	Copy of job descriptions			
3. Are teachers required to be trained in subject matter? a. Adult education methodology?	I	Document review	MyLearningPlan			

Comments/General Observations
Recommendations

Review Criteria	Type	Review Method	Evidence	Evaluation and Comments	Compliant	
					Yes	No
B: Facilities						
1. Do all facilities meet ADA requirements?	C	Observation	Site observations			
2. Are facilities safe and secure for staff and students?	C	Observation	Site observations			
3. Are facilities appropriate for the type of class/no. of students?	C	Observation	Site observations			
4. Is there an individual trained in first aid/CPR in each facility?	I	Interview	Administrator/staff interviews			
5. (Family Lit.) Do ECE rooms: a. Meet health and safety standards? b. Reflect a literacy rich environment? c. Have appropriate staff/child ratio?	C	Observation	Observation			

Comments/General Observations

Recommendations

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					Yes	No
C: Collaboration						
1. Does the agency collaborate with a. PA CareerLink® b. Local Adult Education	C	Document review Interview	Administrator interview PA Careerlink® staff interviews			

providers c. Other service providers d. Post-secondary/training providers			Meeting minutes One Stop Partnering Agreement (OSPA) Referral form			
2. Does the agency collaborate with Industry Partnership groups? a. Does the agency provide fee for service classes with local companies? b. Does the agency have a Bureau-funded class that meets regularly at a local company?	I	Interview	Administrator interview			
3. Does the agency administrator meet regularly with other agencies to coordinate adult education services and present information to the LWIB on an annual basis?	C	Document review Interview	Administrator interview Meeting minutes			
4. (Family Lit.) Does agency have the required collaborations in place (i.e. school district, Head Start, library)?	C	Document review	Documents of collaboration			
5. (Family Lit.) Does agency attend local collaborators meetings?	I	Interview	Minutes, reports, etc.			
6. (Family Lit.) Do collaborators submit shared information when requested?	C	Document review Interview	Attendance records, reports, other documentation.			

Comments/General Observations

Recommendations

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					Yes	No
D: Continuous Program Improvement and Professional Development						
1. Does the agency have a Program Improvement/Professional Development Worksheet? a. Was it developed in coordination with the PIT and Lead Consultant?	C	Document review Interview	Administrator interview MyLearningPlan Hub Lead Consultant interview PIT minutes			
2. Does the agency have a PIT? a. Who serves on the PIT: agency wide representation or by grants? b. How often does the PIT meet?	C C C	Document review Interview	List of PIT participants Staff interviews PIT meeting minutes			
3. Is data used to determine program improvement activities?	C	Document review Interview	Administrator interview Staff interviews PIT meeting minutes			
4. Does the agency have an in-house professional development specialist? a. Does the person have current or prior adult education teaching experience? b. How much time is budgeted for this role?	C C I	Document review Interview	Administrator and staff interviews Time and Effort sheets			
5. Does the agency track professional development (PD) and program improvement (PI)?	C	Document review Interview	PIT minutes PD and PI tracking system MyLearningPlan			
6. Is staff development consistent with the PIPD Worksheet?	I	Document review Interview	Individual PDPs Administrator interview PD staff interview MyLearningPlan Hub Lead Consultant interview			
7. Has the PIPD Worksheet been modified during the year?	I	Document review Interview	Administrator interview PD staff interview MyLearningPlan Hub			
8. What additional PD have staff participated in? (in-house, inter-agency, community)	I	Document review Interview	Administrator interview PD staff interview MyLearningPlan Other documentation			

<p>9. Has new staff taken required professional development course in the mandated time?</p> <ul style="list-style-type: none"> a. Adult Education Overview b. Case Management c. New Administrator training d. EL/Civics On-line e. Family Literacy Foundations 	C	Document review	MyLearningPlan and other documentation			
<p>10. Is the agency working with the PDS Lead Consultant?</p>	C	Document review Interview	Administrator interview MyLearningPlan			
<p>11. Is agency staff given paid time for professional development?</p>	C	Interview	Staff interviews			
<p>12. Does the agency support job embedded professional development?</p>	C	Interview	Administrator interview PD staff interview			

<p>Comments/General Observations</p>	
<p>Recommendations</p>	