# Adult Education Compliance Self-Review/Monitoring Form
## Program Year 2016-2017

**Annual submission is required for all agencies operating adult education programs funded by the Workforce Investment Act Title II (WIA Title II)**, **Employment Preparation Education (EPE),** **Welfare Education Program (WEP), and Adult Literacy Education (ALE)**.

*Please type or print*

| | |
|---|---|
| **Agency Name:**<br>    **HEMPSTEAD UFSD** | |

| **Address:**<br><br>    **185 PENINSULA BOULEVARD** |
|---|

| **City:**<br>    **HEMPSTEAD** | **County:**<br>    **NASSAU** | **Zip Code:**<br>    **11550** |
|---|---|---|

| **Program Contact Name and Title:**<br>    **SUSAN THOMPSON, COORDINATOR** |
|---|

| **Telephone:**<br>    **516-434-4047** | **E-mail:**<br>    **sthompson@hempsteadschools.org** |
|---|---|

This Adult Education Compliance Self-Review/Monitoring Form will indicate whether NYSED-funded adult education programs comply with federal and State policy and regulation. The form examines compliance issues and not necessarily the quality of programs. *Please indicate below ALL funding sources received and carefully review instructions on page 2 before completing the form.*

*Agency receives the following funding (check ✓ ALL that apply):*

| *Funding Source* | | *Funding Source* | |
|---|---|---|---|
| WIA Title II: – Program Area 1: Adult Basic Education and Literacy Services | | WIA Title II – Program Area 2: English Language/Civics | |
| *Funding Source* | | *Funding Source* | |
| WIA Title II – Program Area 3: Corrections Education and Institutionalized Education Programs | | WIA Title II – Enhancement Program: Literacy Zones (includes WEP funding) | |
| *Funding Source* | | *Funding Source* | |
| Adult Literacy Education (ALE) | | Employment Preparation Education (EPE) | **X** |

Reviewed by: _____ Date: _____
              *AEPP Regional Liaison*

# Adult Education Compliance Self-Review/Monitoring Form – Instructions for Completion

This compliance form has two purposes: for agencies to complete as a self-review and for Adult Education Programs and Policy (AEPP) staff to review/use as a monitoring tool during site visits. **All agencies are required to complete the form and submit it to the AEPP office annually** to ensure that critical compliance issues are being met. Per the directions at the bottom of the page, return one hard copy for our AEPP office program files and one electronic copy directly to your regional liaison for review. Your regional liaison will review the form and may contact the listed Program Contact for clarification.

In addition to the required submission, it is strongly recommended that program managers review this information with internal staff as appropriate so all program staff are aware of funding-specific program requirements. It is an especially useful tool for new program managers and other new adult education program staff.

**General Instructions:**

- **The *Compliance Self-Review/Monitoring Form* is due November 15, 2016.**

- **It is required to return both a hard copy and an electronic copy to the contacts listed below\*.**

- All agencies must complete all items under *General Requirements* in each section of the form, as applicable.

- **Agencies that receive funding from multiple sources only need to complete *one form*.** Those that receive funding from EPE, and WIA Title II Program Areas of English Language/Civics, Corrections Education and Other Institutionalized Education Programs, and/or Literacy Zones **also** must complete program area specific sections located at the end of the form in the Addendum sections. Note that these additional sections are required **in addition** to completion of the main body of the form. **Please contact your AEPP regional liaison if you have any questions about which sections/items are required for your agency.**

  > **Addendum A: EPE Programs Only**
  > **Addendum B: WIA Title II Program Area 2: English Language/Civics and**
  > **WIA Title II Program Area 3: Corrections Education and Other Institutionalized Education Programs**
  > **Addendum C: WIA Title II Enhancement Program: Literacy Zones**

- Check a **Yes** or **No** compliance status in the spaces provided on the form. Indicate the data examined or process followed to determine the compliance status in each *Evidence/Comments* section. The *Evidence/Comments* section **must be completed for each compliance item checked**, regardless of whether checked **Yes** or **No**. Note that items have been added specific to Distance Learning and some funding/program areas. **For all items not applicable to your program, indicate N/A (Not Applicable) in the *Evidence/Comments* section. Do not leave any *Evidence/Comment*s section blank.**

- In particular, **library and volunteer agencies** will find items not applicable to their unique program design. Again, indicate N/A in the *Evidence/Comments* section and do not leave any section blank.

\*Please return a **hard copy** of this form to the AEPP office at:

ACCES – AEPP, NYS Education Department, 89 Washington Avenue, 460 EBA, Albany, New York 12234

**\*And**, please return this form **electronically** to your regional liaison:

| | |
|---|---|
| Capital/North - Constance Carroll | constance.carroll@nysed.gov |
| Central-Southern Tier - Claudia Dean | claudia.dean@nysed.gov |
| Finger Lakes - Kathy Sheehy | kathleen.sheehy@nysed.gov |
| Hudson Valley - Anne Frank | anne.frank@nysed.gov |
| Long Island – Kimberly Malcolm | kimberly.malcolm@nysed.gov |
| New York City – Patricia Mooney | patricia.mooney@nysed.gov |
| West - Kathy Sheehy | kathleen.sheehy@nysed.gov |

# ADULT EDUCATION COMPLIANCE SELF-REVIEW/MONITORING FORM

## A. INTAKE/ORIENTATION

| Item | General Requirements – For All Programs | Compliance Status Yes | No | Evidence/Comments |
|------|------------------------------------------|------|------|-------------------|
| 1. | An in-person intake/orientation session is provided to every student, including an initial academic assessment on TABE or BEST Plus/Literacy as appropriate, completion of the Individual Student Record Form (ISRF), an Education and Employment Plan (EEP), the identification of goals, and a process to identify the strengths and weaknesses of students for placement in appropriate educational programs, with an appropriate referral process used as necessary. | x | | Learner File |
| 2. | **For EPE:** The following Intake/Orientation activities may be used to generate EPE aid as long as they are provided by a certified teacher and are delivered in person: standardized assessment; the development of the EEP for individual students; completion of an Individual Student Record Form used for NRS/ASISTS purposes; other testing as appropriate to assist the teacher in developing an education plan for the student, including screening for learning disabilities. | x | | Learner File |
| 3. | The intake/orientation session explains support services, teacher/student roles and responsibilities, and delivery modalities/instructional materials. | x | | Program Description, Orientation Power Point, Student Attendance Record/Program Rules and Regulations |
| 4. | Participants are presented with the following information in a format they can understand: Public Notice Under ADA, the name of the person acting as ADA Compliance Coordinator, and Three Step Grievance Policy. The ADA Signature Sheet has been signed and put into the student folder. | x | | Grievance Policy Statement, Public Notice and Learner File |
| | **Distance Learning – If Applicable** | | | |
| 5. | At an in-person intake/orientation, all participants are provided with information, either through an information session or an information sheet, outlining adult educational programming available in the area of residence. | | | N/A |
| 6. | Students have completed the Project IDEAL Distance Learning Survey. | | | N/A |
| 7. | Intake/orientation includes a student/teacher contract and training in the curriculum and delivery modality. | | | N/A |
| 8. | A referral process is in place to refer learners not appropriate for distance learning. | | | N/A |

## B.    STUDENT ELIGIBILITY

| Item | General Requirements– For All Programs | Compliance Status Yes | Compliance Status No | Evidence/Comments |
|------|----------------------------------------|-----|----|-------------------|
| 1. | **WIA Title II-**funded students meet the age requirement, being 16 years of age or older, and are not enrolled or required to be enrolled in secondary school under NYS law. | | | N/A |
| 2. | **WIA Title II**-funded students may have earned a high school diploma but pretest at or below 12.9 on reading or math grade levels on the TABE or other assessment as deemed acceptable by NYSED are eligible to receive postsecondary readiness instruction. | | | N/A |
| 3. | **EPE**-funded students claimed for EPE generation are 21 years of age or older and **do not** have high school diplomas or equivalent. | X | | Individual Student Record Form |
| 4. | **EPE**-funded students claimed for EPE II generation are 21 years of age or older and have a high school diploma or equivalent, but have limited basic education skills below 8.9 reading or math grade level as determined by the TABE. | X | | Individual Student Record Form, Attendance Record, Test Result Record |
| 5. | ESOL students scoring above 540 on the BEST Plus pre-test are retested on the TABE or BEST Literacy. Those who will use TABE as a pre-test are then enrolled in ABE/ASE classes. | | | Individual Student Record Form, Attendance Record, Test Result Record |
| 6. | Students enrolled in the Adult Secondary Education (ASE) programs have tested above the 8.9 grade level in reading or math. | X | | Individual Student Record Form, Attendance Record, Test Result Record |
| | **Distance Learning – If Applicable** | | | |
| 7. | Students enrolled in GRASP/Fast Forward have TABE tested at grade level 9.0 or above in reading (NRS levels 5 and 6). | | | N/A |
| 8. | Students enrolled in Skills To Make Adults Ready to Succeed (SMART) have TABE tested at grade level 4.0-7.9 in reading (NRS levels 3 and 4). | | | N/A |
| 9. | ESOL students enrolled in Crossroads Café have tested with the BEST Plus or BEST Literacy assessment at NRS level 4 or above. | | | N/A |
| 10. | Students enrolled in NEDP (National External Diploma Program) have tested at or above grade level 9.0 in both reading and math, and are 21 years of age or older. | | | N/A |
| 11. | Students coded in a distance learning program are not coded in a traditional classroom program in the ASISTS database. | | | N/A |

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## C. INSTRUCTIONAL SERVICES

| Item | General Requirements– For All Programs | Compliance Status Yes | Compliance Status No | Evidence/Comments |
|------|----------------------------------------|-----|----|-------------------|
| 1. | The agency submits a Program Information Form (PIF) annually as required per funding source. | X | | Program Information Form and Student Attendance Records |
| 2. | Each traditional ABE, ASE, and ESOL program offers at minimum 150 hours of classroom instruction annually per student. | X | | Program Information Form and Student Attendance Records |
| 3. | Each traditional class operates at least six but not more than 20 hours per week. | X | | Program Information Form and Student Attendance Records |
| 4. | Each traditional class has no more than 20 students in attendance. Classes do not exceed an average daily attendance (ADA) of 25. | X | | Class Roster, Program Information Form, SED Approved Waiver |
| 5. | **For EPE:** written waivers have been requested and approved for modifications to the limits set in Commissioner's Regulations for class size and class hours stated above in Items 1–3. | X | | Class Roster, Program Information Form, SED Approved Waiver |
| 6. | The agency documents student attendance by maintaining accurate attendance rosters noting the class and each student's time in and time out. Completed attendance roster must be signed by the respective teacher verifying accuracy/authenticity. If computerized versions of attendance documents are used, they must contain the same level of detail as paper rosters, be printed/signed by respective teacher, and stored. | X | | Attendance Policy & Student Attendance Records |
| 7. | ABE/ASE instructional strategies should be guided by the TABE diagnostic instrument, whether paper or computer-based. | X | | Individual Education Plan, Test Result Records, Lesson Plans |
| 8. | Education in a language other than English is not offered as a stand-alone service. | X | | Program Description, Orientation PowerPoints |
| 9. | The agency adapts instructional strategies to allow for disability-related needs as reasonable. | X | | Individual Education Plan, Test Result Records, Lesson Plans |
| 10. | Instruction is individualized for each student. | X | | Individual Education Plan, Test Result Records, Lesson Plans, Self-Assessment Rubric |
| 11. | If instructional program includes non-academic content, for example, work readiness activities, instruction has at minimum 50% academic content per week. | | | N/A |
| 12. | The program provides computer equipment, network, Internet access, software and maintenance for students and staff. | X | | Technology Equipment Inventories, Equipment Loan Request Forms |
| 13. | Teachers incorporate technology within their instruction, so students are prepared to be successful in computer based testing and to be able to use computers in the workplace. | X | | Lesson Plans |
| 14. | **For WIA Title II:** Results of the Technology Integration Self-Assessment, Distance Learning Self-Assessment and the Instructional | | | N/A |

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| | Technology Survey are used as a guideline for technology instruction. | | | |
| 15. | **For WIA Title II:** A technology summary of the past year's activities and technology plan for the current year are submitted annually to the AEPP office. | | | N/A |
| 16. | **For WIA Title II College Transition Programs only:** Program includes instruction in pre-collegiate preparation; college campus orientation; tutoring for college entrance examinations; counseling for successful postsecondary persistence. | | | N/A |
| 17. | **For WIA Title II I-BEST Programs only:** English language instruction is delivered in a team approach with career and technical education training. | | | N/A |
| | **Distance Learning – If Applicable** | | | |
| 18. | Students receive a home study assignment packet with a minimum of twelve hours worth of work twice a month (two week cycle) via regional library network, mail, by hand, or electronically through the Adult Education portal, e-Literacy NY. Exception: There are two months in a program year where there are more than four weeks in a month and an additional assignment packet may be issued. | | | N/A |
| 19. | Physical packets are delivered in proximity to the student's residence. Students are made aware of multiple pick-up sites in their area. | | | N/A |
| 20. | Instructors are available electronically, in writing or by telephone, to support learners. | | | N/A |
| 21. | The nonacademic content of the packet, if used, is closely aligned with the individual students' NRS goals for performance and their short and long term goals in their Education and Employment Plan (EEP). | | | N/A |
| 22. | Every teacher has access to distance learning manuals, which must be used with the EPE and NRS manuals and include: The *Program Manager and Instructor Guide for Distance Learning* obtained at the ACCES/AEPP web site, the *GRASP (Giving Ready Adults a Study Program) Manual* and if applicable, the online e-Literacy NY program guidelines obtained in training. | | | N/A |
| 23. | The corrected assignments returned to the student show evidence of thorough teacher review and appropriate comments and questions. | | | N/A |
| 24. | Students in NEDP (National External Degree Program) meet with the assessor face-to-face for one hour weekly to discuss assigned and corrected work. | | | N/A |
| 25. | Teachers maintain a teacher instructional log to document time spent preparing and correcting assignment packets or working on other education related activities. | | | N/A |

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| 26. | Teachers maintain a student assignment log to track the packets sent out, completed packets returned, the assignments and the results of the assignments. | | | N/A |
| 27. | Students are considered ACTIVE when they have returned their completed packet to the teacher, who has reviewed it and has sent out a new packet. | | | N/A |
| 28. | The educational materials used are appropriate for the program, i.e. HSE level preparation materials for GRASP. | | | N/A |
| 29. | GRASP programs have sufficient books available in all five areas of HSE preparation so each student can receive instruction in at least two areas simultaneously. | | | N/A |
| 30. | Programs using video/workbook series or online platforms are using them according to publisher guidelines. | | | N/A |
| 31. | Student folders contain sufficiently detailed information so that other teachers can pick up instruction at any point. | | | N/A |
| 32. | If tutoring is provided, a separate tutoring roster is maintained. Tutoring is provided either on a one on one basis, small group, or in a classroom setting. | | | N/A |
| 33. | **For EPE:** The distance learning formula is used to claim EPE aid and is applied according to EPE guidelines. | | | N/A |
| 34. | **For EPE:** The number of instructional hours claimed in a given week does not exceed the ACTIVE enrollment multiplied by .5 For example, if a teacher works 40 hours in a given week, the ACTIVE enrollment cannot exceed 80. | | | N/A |
| 35. | **For EPE**: Tutoring, if provided, generates traditional EPE and is coded as a traditional class offering in ASISTS. Distance learning teachers who tutor distance learning students provide this instruction in addition to the hours of EPE generated by the distance learning formula. | | | N/A |
| 36. | **For EPE:** If applicable, a maximum of six hours (three hours per week) is claimed in a two-week period for the generation of traditional EPE for tutoring. | | | N/A |

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## D. CASE MANAGEMENT/EDUCATION AND CAREER COUNSELING

| Item | General Requirements– For All Programs | Compliance Status | | Evidence/Comments |
|------|----------------------------------------|-------------------|-----|-------------------|
| | | Yes | No | |
| 1. | **For all WIA Title II:** At minimum, program provides one case manager for every 400 students served. | | | N/A |
| 2. | An Education and Employment Plan (EEP) is developed for each student, which includes personal, educational and/or employment goals.  The agency offers case management/education and career counseling services to ALL students. | | | N/A |
| 3. | **For EPE:** Case management activities that are not directly related to intake/assessment/NRS are NOT used to generate EPE aid.  This includes counseling in areas such as substance abuse, child care, transportation, or social services. | X | | Individual Education & Employment Plan, Group & Individual Counseling Log |
| 4. | The agency follows NRS guidelines by using case management/education and career counseling services to achieve performance targets. | X | | Individual Education & Employment Plan, Group & Individual Counseling Log |
| 5. | The agency uses case management/education and career counseling to stabilize families and access benefits. | X | | Individual Education & Employment Plan, Group & Individual Counseling Log |
| 6. | The agency uses case management/education and career counseling to assist students preparing for a high school equivalency diploma, including transition to postsecondary study and training. | X | | Individual Education & Employment Plan, Group & Individual Counseling Log |

## E. PROGRAM PERSONNEL

| Item | General Requirements– For All Programs | Compliance Status | | Evidence/Comments |
|------|----------------------------------------|-------------------|-----|-------------------|
| | | Yes | No | |
| 1. | **For EPE**: For programs operated by a public school district or BOCES, the instructional staff has valid temporary or permanent Pre-K-12 NYSED teacher certification or NYSED adult education certification. | X | | Personnel Files |
| 2. | **For EPE**: An adequate number of FTEs for administrative staff are assigned to the EPE program based on the EPE allocation. Refer to the current year's EPE application for requirements. | X | | Personnel Files, EPE Budget |
| 3. | **For EPE**: An adequate number of FTEs for data staff are assigned to the EPE program based on the EPE allocation. Refer to the current year's EPE application for requirements. | X | | Personnel Files, EPE Budget |
| 4. | The agency has designated a staff person to act as an ADA resource for complaints and record keeping. | X | | ADA Grievance Procedures, ADA Public Notice |

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## F.    STAFF DEVELOPMENT

| Item | General Requirements– For All Programs | Compliance Status | | Evidence/Comments |
|------|----------------------------------------|-------|------|-------------------|
| | | Yes | No | |
| 1. | Program managers/administrators regularly attend program manager meetings held by the RAEN and NYSED. | X | | Professional Training Log @ LI-RAEN |
| 2. | Instructional staff and counselors/case managers attend a minimum of twelve hours of staff development annually related to their program area. All training is offered through the RAEN and/or is NYSED-approved. | X | | Professional Training Log @ LI-RAEN, Professional Development Schedule, Workshop Attendance Sheets |
| 3. | **For WIA Title II:** A staff development plan is submitted that describes the projected content area of training and the number of hours for each instructional, counselor/case manager and administrator/supervisory positions related to this program. | | | N/A |
| 4. | **For WIA Title II:** All new instructional staff must attend the RAEN-sponsored learning disability training *Learning to Achieve.* | | | N/A |
| 5. | Staff receives training in instructional methodologies to provide effective learning experiences for individuals with disabilities. | X | | Professional Training Log @ LI-RAEN, Professional Development Schedule, Workshop Attendance Sheets |
| 6. | All program staff attends NRS Foundations training within the past three years. Data manager and data entry staff must attend ASISTS Data Entry training within the past three years. | X | | Professional Training Log @ LI-RAEN, Professional Development Schedule, Workshop Attendance Sheets |
| 7. | All instructional staff attends training in teaching to common core standards. | X | | Professional Training Log @ LI-RAEN, Professional Development Schedule, Workshop Attendance Sheets |
| 8. | Staff receives training in technology initiatives to address the staff development needs identified in summaries of Technology Integration Self-Assessment, Distance Learning Self-Assessment (if applicable) and the Instructional Technology Survey and other needs assessments. | X | | Professional Training Log @ LI-RAEN, Professional Development Schedule, Workshop Attendance Sheets |
| 9. | Staff that administers the TABE and BEST Plus are trained/ recertified by the RAEN per AEPP requirements: TABE test administrators must be recertified every three years and trained BEST Plus test administrators must take the BEST Refresher annually. | X | | Professional Training Log @ LI-RAEN, Professional Development Schedule, Workshop Attendance Sheets |
| | **Distance Learning – If Applicable** | | | |
| 10. | Agencies that are new distance learning providers have received appropriate staff development before generating EPE state aid in order to thoroughly understand EPE guidelines relating to the distance learning formula. | | | N/A |

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| Item | | Compliance Status | | |
|------|------|:---:|:---:|------|
| 11. | Instructional staff of established distance learning programs has attended or are scheduled to attend the approved distance learning training provided through the RAEN by NYS certified trainers. | | | N/A |
| 12. | Teachers are recertified in their content area (GRASP, etc.) according to AEPP guidelines every three years. | | | N/A |
| 13. | Staff must be trained in Distance Learning 101 to understand distance learning policy and procedures and must be recertified every three years. | | | N/A |
| 14. | Staff has been trained in data collection and reporting in ASISTS according to the distance learning formula. | | | N/A |

## G.    ASSESSMENT

| Item | General Requirements– For All Programs | Compliance Status | | Evidence/Comments |
|------|------|:---:|:---:|------|
| | | Yes | No | |
| 1. | Students are pre-tested and post-tested in person, whether paper or computer-based format is used. | X | | Learner File, Test Result Record |
| 2. | **For ABE/ASE**, at minimum, the TABE locator tests in reading and math are used to determine the correct level TABE test to be administered. | X | | Learner File, Test Result Record |
| 3. | **For ABE/ASE**, TABE forms 9 and 10, Complete Battery, are used for assessment. | X | | Learner File, Test Result Record |
| 4. | **For ESOL**, BEST Plus is used for assessment. ESOL students scoring above 540 on the BEST Plus pre-test are retested on the TABE or BEST Literacy. | X | | Learner File, Test Result Record |
| 5. | Pre-testing is done within the first twelve contact hours. | X | | Student Attendance Record, Individual Student Record Form |
| 6. | Students in a class meeting 9 hours or less per week are post-tested at least every 100 instructional hours. Intervals are also determined by students' readiness or program intensity. | X | | Student Attendance Record, Individual Student Record Form |
| 7. | Students in a class meeting 10 or more hours per week are post-tested at least every 200 instructional hours. Intervals are also determined by students' readiness or program intensity. | X | | Student Attendance Record, Individual Student Record Form |
| 8. | Students in a volunteer tutoring program are post-tested at least every 50 instructional hours or at minimum, prior to June 30th every fiscal year. | | | N/A |
| 9. | If applicable, ASE students are referred to the TASC test only after they have demonstrated readiness on the TASC Readiness Test at cut scores determined by NYSED. | X | | Student Attendance Record, Individual Student Record Form, Learner File, Test Result Record |

| Item | General Requirements | Compliance Status Yes | Compliance Status No | Evidence/Comments |
|---|---|---|---|---|
| 10. | If applicable, programs refer ASE students to the TASC test with an accurately completed and signed T-TAF Form, which includes the preparation program five-digit NYSED HSE test preparation program code. | X | | Individual Student Record Form, Learner File |
| 11. | Federal guidelines state that every student must be able to demonstrate educational gain. If students do not show gain for three consecutive fiscal years, they must be referred out for different services. | X | | Student Attendance Record, Individual Student Record Form, EEP |
| | **Distance Learning – If Applicable** | | | |
| 12. | Students are post tested after completing 8 two-week packets of work which equates to approximately 100 hours of student work. | | | **N/A** |

## H.    NETWORKING

| Item | General Requirements– For All Programs | Compliance Status Yes | Compliance Status No | Evidence/Comments |
|---|---|---|---|---|
| 1. | Agency attends local networking meetings conducted by their Regional Adult Education Network (RAEN). | X | | LI-RAEN Network Meeting Attendance Sheets |
| 2. | Agency develops a coordinated strategy with other literacy providers to meet the literacy needs in the local workforce investment area. | X | | LI-RAEN Network Meeting Attendance Sheets |
| 3. | Agency develops linkages and coordinates program planning with the local One-Stop Centers. | X | | LI-RAEN Network Meeting Attendance Sheets |
| 4. | Agency supports the local One-Stop system through the provision of literacy assessment as a core service. | X | | LI-RAEN Network Meeting Attendance Sheets |

## I.    FACILITIES

| Item | General Requirements– For All Programs | Compliance Status Yes | Compliance Status No | Evidence/Comments |
|---|---|---|---|---|
| 1. | The facilities used to provide instruction are covered by fire and liability insurance and meet all applicable State or local fire and safety standards. | X | | Signed Statement of Assurances |
| 2. | The heating, lighting and ventilation of instructional facilities are conducive to learning. | X | | Signed Statement of Assurances |
| 3. | The facilities used to provide instruction are free of physical barriers, accommodating to adults and accessible to individuals with disabilities.  Where facilities do not meet these requirements, students are referred to alternate accessible locations. | X | | Signed Statement of Assurances |

## J. PROGRAM ACCOUNTABILITY

| Item | General Requirements– For All Programs | Compliance Status | | Evidence/Comments |
|---|---|---|---|---|
| | | **Yes** | **No** | |
| 1. | The agency uses the NYSED ASISTS database to record data to meet the National Reporting System (NRS) reporting requirements. Data is entered at minimum on a quarterly basis. | X | | Data Collection Task Master, NRS Monitoring and Final Reports |
| 2. | The agency uses the state mandated and approved Individual Student Record Form (ISRF). | X | | Student Program Files |
| 3. | The agency maintains an individual student record paper folder in a secured location accessible to NYSED for monitoring and audit purposes. These individual student folders must include the student's ISRF, EEP, pre and post-test assessment score sheets, learning plans, samples of student work, and signed ADA.  These folders are kept confidential. | X | | Student Program Files |
| 4. | The agency also maintains a student work folder accessible to the teacher and student, which includes student assignments, student assignment logs, and student goals and outcomes. | X | | Learner File |
| 5. | The agency has implemented a plan to monitor data quality on a quarterly basis as a minimum. | X | | Data Collection Task Master |
| 6. | The agency conducts follow-up student surveys and documents results in ASISTS per NRS guidelines. | X | | Participate Follow-up Survey Files |
| 7. | The agency has established a Program Improvement Team that includes administrators, teachers, data staff, and case managers.  The PIT review NRS performance data a minimum of once per quarter and recommend changes aimed at student outcome improvement | X | | Program Improvement Sign-in Sheets,  Meeting Minutes |
| 8. | The agency has implemented a procedure for data entry in accordance with guidelines from NRS and ASISTS for reporting purposes including student attendance data. | X | | Data Collection Task Master |
| | **Distance Learning – If Applicable** | | | |
| 9. | The agency codes classes in ASISTS per each DL program to allow for disaggregation of DL data. | | | N/A |
| 10. | The student work folder, maintained by the teacher, includes teacher instructional logs, student assignment logs and work time record sheets. | | | N/A |
| 11. | Agencies use the forms included in the Appendix of the Program Manager and Instructor Guide for Distance Learning. At minimum agencies must maintain and have available for NYSED monitoring or audit purposes:<br>• The Teacher Instructional Log<br>• The Student Assignment Log<br>• Student Work-time Record Sheet<br>• Project IDEAL DL Survey | | | N/A |

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## K.    FISCAL

| Item | General Requirements– For All Programs | Compliance Status Yes | No | Evidence/Comments |
|------|------|------|------|------|
| 1. | The agency follows cost principles as identified in OMB Circulars A-87 (school districts and BOCES), A-122 (community based organizations) and A-21 (institutions of higher education). | X | | Approved EPE Application (Budget Narrative) |
| 2. | The agency ensures that expenditures are properly documented. Refer to *A Guide to Grants Administration* at http://www.oms.nysed.gov/cafe/guidance/Guide.html | **X** | | EPE Expenditure Reports |
| 3. | The agency prepares and submits final expenditure reports as specified in the grant award notice (FS-10F) by the required due date and certifies that expenses are true and correct. (Final filing dates are up to 30 days after the end of the project for State funded projects and up to 90 days for federally funded projects.) | X | | EPE Expenditure Reports |
| 4. | The agency has appropriate checks and balances in place to ensure program expenses are related to the approved budget. Program and fiscal staff meet at least once in a program cycle (preferably January) to review expenditures and program needs. | X | | EPE Expenditure Reports |
| 5. | Adjustments to the budget are reviewed with AEPP before an amendment is submitted. The agency seeks prior approval for all budget amendments in a timely fashion but no later than May 31 of the program year. | X | | Approved EPE Application |
| 6. | The agency safeguards assets by keeping an appropriate inventory of equipment, supplies and materials. | X | | Technology Equipment Inventories, Equipment Loan Request Forms |
| 7. | The agency maintains payroll records for grant-funded personnel as required by the appropriate OMB circulars. | X | | District Payroll Records |
| 8. | The agency has a records retention plan in place that ensures both fiscal and student records are retained as required. | X | | District BOE Policy Manual |
| 9. | The agency follows the local procurement procedures for subcontracting. The agency is aware of M/WBE requirements and the subcontracting limits as set forth by NYSED. | X | | District BOE Policy Manual |
| 10. | **For WIA Title II:** WIA Title II funds are not used to support occupational education. | | | N/A |
| 11. | **For EPE:** Programs that generate EPE funds include only those approved on the application. | x | | EPE Application, District Audit Reports |
| 12. | **For EPE**: An accurate process is in place for tracking and documenting EPE contact hours. | X | | NRS ASISTS Data Reports, Signed Claim Forms |
| 13. | **For EPE:** EPE funds are expended for the EPE program only. | X | | EPE Expenditure Reports, District Audit Reports |
| 14. | **For EPE:** Agency fiscal staff complies with policy that, within a given year, expenditures must meet or exceed revenues. | X | | EPE Expenditure Reports |

# ADDENDUM A–EPE PROGRAMS ONLY

## 1. GEOGRAPHIC RANGE (All EPE Programs)

| Item | General Requirements | Compliance Status | | Evidence/Comments |
|------|----------------------|-------------------|----|-------------------|
| | | Yes | No | |
| | **BOCES** | | | |
| 1. | If BOCES operates traditional programs physically located in another BOCES district, signed agreements have been obtained and are on file from all school districts and BOCES districts in which the program is located, listing program offerings. | | | N/A |
| 2. | If BOCES operates a distance learning program serving students residing in other BOCES districts, signed agreements have been obtained and are on file from all school districts and BOCES districts in which students participating in the program reside. | | | N/A |
| | **School Districts** | | | |
| 3. | If a district operates a traditional program physically located within the boundaries of another school district, a signed agreement has been obtained and is on file from each district in which the programs are located. | | | N/A |
| 4. | If a district operates a distance learning program serving students who reside in other school districts, a signed agreement has been obtained and is on file from each district in which the students reside. | | | N/A |

## 2. WORK EXPERIENCE (EPE Programs, As Applicable)

| Item | General Requirements | Compliance Status | | Evidence/Comments |
|------|----------------------|-------------------|----|-------------------|
| | | Yes | No | |
| 1. | The program consists of at least 30% traditional classroom hours each week, and at least 50% of the traditional program is academic. | | | N/A |
| 2. | The traditional component consists of programs that are approved in the agency's application. | | | N/A |
| 3. | The work experience component is unpaid. | | | N/A |
| 4. | Evidence is kept that a certified teacher visits the worksite at least once a week, and a staff person at the worksite supervises the student. | | | N/A |
| 5. | Evidence is kept of the student's attendance and tasks at the worksite. | | | N/A |
| 6. | Evidence is kept that program completers have attained employment. | | | N/A |

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# ADDENDUM B–WIA TITLE II PROGRAM AREAS 2 AND 3

## 1.    PROGRAM AREA 2:   ENGLISH LANGUAGE/CIVICS

| Item | Specific Program Requirements | Compliance Status | | Evidence/Comments |
|---|---|---|---|---|
| | | Yes | No | |
| 1. | **Instructional Services:** The curriculum clearly emphasizes contextualized instruction on the rights and responsibilities of citizenship, naturalization procedures, civic participation, and U.S. history and government to help students acquire the skills and knowledge to become active and informed parents, workers and community members. | | | N/A |
| 2. | **Instructional Services:** It is clearly described how the program provides learning in real-life contexts to ensure that an individual has the skills needed to compete in the workplace and exercise the rights and responsibilities of citizenship. | | | N/A |

## 2.    PROGRAM AREA 3:   CORRECTIONS EDUCATION AND OTHER INSTITUTIONALIZED EDUCATION PROGRAMS

| Item | Specific Program Requirements | Compliance Status | | Evidence/Comments |
|---|---|---|---|---|
| | | Yes | No | |
| 1. | **Student Eligibility:** Target population is those who are within three years of release. | | | N/A |
| 2. | **Instructional Services:** The program overcomes potential barriers to limited technology/Internet access and provides instruction in digital literacy, preparation for computer-based testing and computer skills for the workforce. | | | N/A |
| 3. | **Case Management/Education and Career Counseling:** The program is connected with employers who indicate that they will hire students after release. | | | N/A |
| 4. | **Case Management/Education and Career Counseling:** Program follows up with students who have been released from the institution to ascertain if they have obtained employment, retained employment or entered postsecondary education. | | | N/A |

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# ADDENDUM C–WIA TITLE II ENHANCEMENT PROGRAM

## ENHANCEMENT PROGRAM: LITERACY ZONES

| Item | Specific Program Requirements | Compliance Status Yes | No | Evidence/Comments |
|------|-------------------------------|-----|-----|-------------------|
| 1. | **Family Welcome Center (FWC)** is established and fully functioning as stated in RFP and identified accordingly in ASISTS.<br><br>Satellite Centers are functioning in parallel to FWC (only those listed in original proposal or SED approved additional sites) and are identified accordingly in ASISTS. | | N/A | Identify location of Family Welcome Center:<br><br><br>Identify location(s) of all LZ Satellite Centers: |
| 2. | FWC hours of operation are scheduled to accommodate participants. | | N/A | List hours of operation: |
| 3. | Public transportation is available. | | N/A | List type of public transportation: (i.e. bus, subway, etc.) |
| 4. | FWC is handicapped-accessible. | | N/A | |
| 5. | If applicable, SURR/SINI are identified and included in the plan. | | N/A | List SURR/SINI: |
| 6. | The geographic boundaries of the target community (Census tracts) are clearly identified and services are provided within those boundaries. | | N/A | Identify Census tracts as stated in LZ proposal: |
| 7. | Services and programs provided at FWC can be clearly identified. | | N/A | Attach additional documentation stating how and where they are identified. |
| 8. | FWC has the necessary space to administer the TASC™ Readiness Test and to provide assistance for TASC™ Test Application. | | N/A | |
| 9. | A face-to-face intake session is provided to every potential student that includes: a pre-test, completion of the ISRF, an EEP, and ADA signature. | | N/A | |
| 10. | **Priority Partner** list of services is provided to students during intake. | | N/A | Attach Priority Partners Matrix. |
| 11. | Potential students are referred to priority partners for direct services/ resources, when they are not available at the FWC | | N/A | Attach any referral documentation. |
| 12. | All referrals to priority partner services are entered into ASISTS. | | N/A | |
| 13. | Priority Partners and Stakeholders meet quarterly. | | N/A | |
| 14. | **10 Pathways out of Poverty**: Agency addresses ten pathways specifically related to this literacy zone. If a specific pathway is not included, agency can provide a clear justification as to why. | | N/A | |

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