

State Review Protocol	C/I	Notes
h. Does the State assessment policy describe the training requirements that staff must meet in order to be qualified to administer and score each test selected by the eligible agency to measure the educational gains of students?	C	
i. Does the State assessment policy identify the alternate form or forms of each test that local eligible providers must use for post-testing?	C	
j. Does the State assessment policy indicate whether local eligible providers must use a locator test for guidance on identifying the appropriate pre-test?	C	
k. Does the State assessment policy describe the State's policy for the initial placement of a student at each NRS educational functioning level using test scores?	C	
l. Does the State assessment policy describe the State's policy for using the post-test for measuring educational gain and for advancing students across educational functioning levels?	C	

Methods of Collection:

- Document Review

Citation(s):

- [Secs. 116 and 212 of WIOA](#)
- [34 CFR § 462.40](#)

6. How does the eligible agency monitor data quality?

State Review Protocol	C/I	Notes
a. Do all or most local eligible providers have staff with a clear responsibility for data collection and data entry?	I	
b. Are local eligible provider data entered into the State data management system at least quarterly to ensure accurate reviews by the eligible agency?	C	
c. Does the eligible agency review local eligible provider data at least quarterly for errors, missing data, out-of-range values and is there a process in place to resolve problems?	C	
d. Does the eligible agency have documented procedures for dealing with analysis problems and deviations?	C	
e. Does the eligible agency have a system of regular contact with local programs on data analysis issues and reporting needs to identify technical assistance needs?	C	
f. Does the eligible agency have procedures to verify that local reports accurately reflect data collected (e.g., through review of local program documentation, onsite auditing)?	C	
g. Does the eligible agency compare data among programs and with prior years' data for discrepancies, reasonableness and to identify trends in good and bad performance?	I	

Methods of Collection:

- MIS Demonstration
- Document Review
- Interview

Citation(s):

- [Secs. 116 and 212 of WIOA](#)
- [Joint Performance ICR OMB Control Number 1205-0526](#)
- [AEFLA ICR OMB Control Number 1830-0027 OCTAE](#)

7. Does the eligible agency provide on-going staff development and training to support NRS that includes:

State Review Protocol	C/I	Notes
a. NRS accountability and reporting requirements under WIOA?	C	
b. Conducting assessment and follow-up?	C	
c. Data collection procedures?	C	
d. Data entry in MIS?	C	
e. Changes to the NRS as a result of WIOA Implementation?	C	
f. Data analysis for quality improvement?	I	

Methods of Collection:

- Document Review
- Interview

Citation(s):

- [Secs. 116, 212, and 223 of WIOA](#)
- [AEFLA ICR OMB Control Number 1830-0027](#)
- [OCTAE Program Memorandum 17-2](#)

8. Review of Program Performance

State Review Protocol	C/I	Notes
a. Where does the state rank in the quartiles for each performance indicator (MSG, Employment, Median Earnings, Credential Attainment)?	I	

Module 2 – Fiscal

Note: See Job Aid(s)

1. Have all required Federal Financial Reports (FFRs) been submitted?

State Review Protocol	C/I	Notes
a. If so, were the submissions timely?		
b. If not, what submissions remain outstanding?		

Methods of Collection:

- Document Review
 - Pre-review

Citation(s):

- [Sec. 212 of WIOA](#)
- [2 CFR § 200.327](#)

2.

State Review Protocol	C/I	Notes
a. Were the statutory percentage caps met in each report for State administration (not greater than 5%)?	C	
b. For State leadership (not greater than 12.5%)?		
c. For Corrections (not greater than 20%)?		

Methods of Collection:

- Document Review
 - Pre-review

Citation(s):

- [Secs. 221 and 222 of WIOA](#)

3.

State Review Protocol	C/I	Notes
3. Has the eligible agency negotiated a restricted indirect cost agreement?	C	

Methods of Collection:

- Document Review
 - Pre-review
- Interview

Citation(s):

- [Sec. 222\(a\)\(3\) of WIOA](#)
- [2 CFR § 200.414](#)
- [34 CFR §§ 76.563](#) and [76.564](#)

4. Is the eligible agency maintaining effort (MOE)?

State Review Protocol	C/I	Notes
a. On a per pupil or total cost basis?	C	
b. Has the MOE dropped (last 3 years)?	C	

Methods of Collection:

- Document Review
 - Pre-review

Citation(s):

- [Sec. 241\(b\) of WIOA](#)

5.

State Review Protocol	C/I	Notes
a. Has the eligible agency met its AEFLA grant matching requirement (25 % for a State or 12% for an outlying area)?	C	
b. If the eligible agency exceeded the required match, by what percent does it match?	I	

Methods of Collection:

- Document Review
 - Pre-review

Citation(s):

- [Sec. 222\(b\) of WIOA](#)

6. Are the expenditures reported for MOE and match (recipient share row) on the most recent final financial report:

State Review Protocol	C/I	Notes
a. Verifiable from the eligible agency's records?	C	
b. Necessary and reasonable for the accomplishment of the program's objectives?	C	
c. Allowable costs to the AEFLA grant?	C	
d. Used only to match AEFLA and not paid by the Federal Government under another federal award?	C	

Methods of Collection:

- Document Review
- Interview

Citation(s):

- [Sec. 231\(b\) of WIOA](#)
- [2 CFR §§ 200.306](#) and [200.400](#)

7. Does the State collect program income?

State Review Protocol	C/I	Notes
a. If yes, does the State have a policy on program income?	C	
b. Does the policy comply with the requirements in box 10 on the GAN?		
c. Does the State ensure that program income is used for AEFLA activities?		

10. What State administration expenditures are charged to the grant? If funds are used for staff positions:

State Review Protocol	C/I	Notes
a. How many staff positions are funded?	C	
b. What percentage of time of each staff position is funded?	C	
c. Are time distribution (i.e. “time and effort”) reports maintained for positions funded by the grant?	C	

Methods of Collection:

- Document Review
- Interview

Citation(s):

- [Sec. 222 of WIOA](#)
- [2 CFR § 200.430](#)
- [34 CFR §§ 76.701](#) and [76.770](#)

11. What State leadership expenditures are charged to the grant? If funds are used for staff positions:

State Review Protocol	C/I	Notes
a. How many staff positions are funded?	C	
b. What percentage of time of each staff position is funded?	C	
c. Are time distribution (i.e., “time and effort”) reports maintained for positions funded by the grant?	C	

Methods of Collection:

- Document Review
- Interview

Citation(s):

- [Sec. 223 of WIOA](#)
- [2 CFR § 200.430](#)
- [34 CFR §§ 76.701](#) and [76.770](#)

Methods of Collection:

- Document Review
- Interview

Citation(s):

- [Sec. 121\(h\)\(1\)\(A\)\(i\) of WIOA](#)
- [34 CFR §§ 463.700 – 463.760](#)

15. Has the eligible agency reported training expenditures?

State Review Protocol	C/I	Notes
a. Are the expenditures for Integrated Education and Training (IET) activities?	C	

Methods of Collection:

- Document Review
 - Pre-review
- Interview

Citation(s):

- [Sec. 203\(11\) of WIOA](#)
- [34 CFR §§ 463.35 – 463.38](#)

16.

State Review Protocol	C/I	Notes
16. Has the eligible agency reported all subawards equal to or greater than \$30,000 in accordance with the Federal Funding Accountability and Transparency Act (FFATA)? The subawards reported by the eligible agency are displayed on www.USASpending.gov .	C	

Methods of Collection:

- Document Review
- Interview

Citation(s):

- [Sec. 2\(d\)\(2\) \(FFATA\)](#)
- [2 CFR § 25.110](#)

17. Does the eligible agency demonstrate that it documents the expenditure of section 243 Integrated English literacy and civic education (IELCE) activities separately from the basic State grant activities and funds?

State Review Protocol	C/I	Notes
a. Can the eligible agency demonstrate that activities supported by IELCE funds are attributable to IELCE only, for example through time and effort charts for State administrative activities?	C	
b. Can the State substantiate that the activities funded by IELCE are attributable only to State administration, local administration, or programs of instruction, and that there are not charges to State Leadership?	C	

Methods of Collection:

- Document Review
- Interview

Citation(s):

- [Sec. 243 of WIOA](#)
- [34 CFR § 76.702](#)

Module 3 – State Leadership

Note: See Job Aid(s)

1.

State Review Protocol	C/I	Notes
1. Is the eligible agency using no more than 12.5 percent of its grant for State Leadership activities?	C	

Methods of Collection:

- Interview
- Document Review

Citation(s):

- [Sec. 222\(a\)\(2\) of WIOA](#)

2.

State Review Protocol	C/I	Notes
2. What amount has the eligible agency expended in the current and previous two years for section 223 State leadership activities?	I	

Methods of Collection:

- Interview
- Document Review

Citation(s):

- N/A

3.

State Review Protocol	C/I	Notes
a. How much is expended by the eligible agency?	I	
b. How much is contracted outside the eligible agency?		

Methods of Collection:

- Interview
- Document Review

Citation(s):

- N/A

4.

State Review Protocol	C/I	Notes
4. If the eligible agency procures services using State leadership funds, what procurement requirements does the eligible agency follow?	C	

Methods of Collection:

- Interview
- Document Review

Citation(s):

- [Secs. 222\(a\)\(2\) and 223 of WIOA](#)

5. Do contracts funded with State leadership funds show that:

State Review Protocol	C/I	Notes
a. All activities are allowable under section 223 of AEFLA?	C	
b. Costs are necessary, reasonable, and allocable?	C	

Methods of Collection:

- Document Review

Citation(s):

- [Secs. 223\(a\)-\(c\) of WIOA](#)
- [2 CFR part 200](#)

6.

State Review Protocol	C/I	Notes
6. How does the eligible agency identify areas of need for projects supported by State leadership funds?	I	

Methods of Collection:

- Interview
- Document Review

Citation(s):

- N/A

Required Activities

7. How is the eligible agency expending funds to meet requirement 223(a)(1)(A): Alignment with other core programs, including the development of career pathways?

State Review Protocol	C/I	Notes
a. What percentage of State leadership funds is being spent on this requirement?	C	
b. Is this expenditure sufficient to meet the State’s goals on this requirement?	I	
c. How are priorities set for this activity?	I	

Methods of Collection:

- Interview
- Document Review

Citation(s):

- [Secs. 102\(b\)\(2\)\(B\) and 223\(a\)\(1\)\(A\) of WIOA](#)

8. How is the eligible agency expending funds to meet requirement 223(a)(1)(B): Establishment or operation of high-quality professional development programs?

State Review Protocol	C/I	Notes
a. What percentage of State leadership funds is being spent on this requirement?	C	
b. Is this expenditure sufficient to meet the State’s goals on this requirement?	I	
c. How are priorities set for this activity?	I	
d. How does the eligible agency deliver professional development activities to its local providers (i.e., regional centers, single provider, various contractors, and internal staff)?	I	
e. What process does the eligible agency employ to ensure that professional development activities are widely accessed by instructors and program managers?	I	
f. Does the eligible agency area track participation in professional development activities?	I	
g. If yes, does the eligible agency have a process in place for using the evaluation data for continuous improvement? If no, why not?	I	

Methods of Collection:

- Interview
- Document Review

Citation(s):

- [Secs. 102\(b\)\(2\)\(D\)\(ii\)\(V\) and 223\(a\)\(1\)\(B\) of WIOA](#)

9. How is the eligible agency expending funds to meet requirement 223(a)(1)(C): Provide technical assistance to eligible providers?

State Review Protocol	C/I	Notes
a. What percentage of State leadership funds is being spent on this requirement?	C	
b. Is this expenditure sufficient to meet the State’s goals on this requirement?	I	
c. How are priorities set for this activity?	I	

Methods of Collection:

- Interview
- Document Review

Citation(s):

- [Secs. 102\(b\)\(2\)\(C\) and 223\(a\)\(1\)\(C\) of WIOA](#)

10. How is the eligible agency expending funds to meet requirement 223(a)(1)(D): Monitor and evaluate activities and disseminate information about models and proven or promising practices?

State Review Protocol	C/I	Notes
a. What percentage of State leadership funds is being spent on this requirement?	C	
b. Is this expenditure sufficient to meet the State’s goals on this requirement?	I	
c. How are priorities set for this activity?	I	
d. How does the eligible agency disseminate information about models and proven or promising practices within the State?	C	

State Review Protocol	C/I	Notes
e. Does the eligible agency have a process in place to evaluate the effectiveness of activities? If yes, describe the process.	C	

Methods of Collection:

- Interview
- Document Review

Citation(s):

- [Secs. 102\(b\)\(2\)\(C\) and 223\(a\)\(1\)\(D\) of WIOA](#)

11.

State Review Protocol	C/I	Notes
11. Describe the process for evaluating State leadership projects. For instance, is the level of impact measured by general satisfaction, teacher-level impact, or student level impact?	I	

Methods of Collection:

- Interview

Citation(s):

- N/A

Permissible Activities

12. Is the eligible agency carrying out any activities that are not permissible with the State leadership activities, if any?

State Review Protocol	C/I	Notes
a. If the eligible agency carries out permissible activities, what is its rationale for selecting and implementing these activities?	I	

Methods of Collection:

- Interview
- Document Review

Citation(s):

- [Sec. 223\(a\)\(2\) of WIOA](#)

Collaboration

13.

State Review Protocol	C/I	Notes
13. How does the eligible agency collaborate to maximize the impact of the State leadership activities where possible and in order to avoid duplicating efforts?	C	

Methods of Collection:

- Interview
- Document Review

Citation(s):

- [Sec. 223\(b\) of WIOA](#)

14.

State Review Protocol	C/I	Notes
14. Does the eligible agency have a process in place to evaluate the effectiveness of such collaborative efforts? If yes, describe the process.	I	

Methods of Collection:

- Interview
- Document Review

Citation(s):

- N/A

State Review Protocol	C/I	Notes
c. Did the eligible agency conduct outreach activities about the competition, such as grant-writing workshops, and invite <i>all eligible</i> providers (not just all current providers)?	C	

Methods of Collection:

- Interview
- Document Review

Citation(s):

- [Sec. 231\(c\) of WIOA](#)
- [34 CFR § 463.20\(c\)-\(d\)](#)

7.

State Review Protocol	C/I	Notes
a. Does the eligible agency use the 13 considerations listed in sec. 231(e) of WIOA in awarding the grants or contracts?	C	
b. If some considerations were not used, which ones were they?		

Methods of Collection:

- Interview
- Document Review

Citation(s):

- [Sec. 231\(c\) of WIOA](#)
- [34 CFR § 463.20\(c\)-\(d\)](#)

8.

State Review Protocol	C/I	Notes
8. Were there any other practices in the competition that might raise concerns about direct and equitable access?	I	

Methods of Collection:

- Interview
- Document Review

Citation(s):

- N/A

Activities and Special Rule – Family Literacy

9. Are the eligible providers’ funded activities:

State Review Protocol	C/I	Notes
a. Consistent with the description of AEFLA activities in 34 CFR Part 463, Subpart D, and the same activities that are included in the approved State Plan?	C	
b. Offered concurrently? If yes, which ones?	C	

Methods of Collection:

- Interview
- Document Review

Citation(s):

- [Secs.102\(b\)\(2\)\(D\)\(ii\), 203\(2\), and 231\(b\) of WIOA](#)
- [34 CFR part 463, Subpart D](#)

10.

State Review Protocol	C/I	Notes
10. Did the RFP address if funds are being used to provide programs, services, or activities for individuals who are not eligible individuals under WIOA but who are participating in family literacy activities?	C	

Methods of Collection:

- Interview
- Document Review

Citation(s):

- [Sec. 231\(d\) of WIOA](#)
- [34 CFR § 463.20\(c\)\(3\)](#)

11.

State Review Protocol	C/I	Notes
11. If an eligible provider is using AEFLA funds to provide family literacy activities, what evidence demonstrates that the eligible provider attempted to coordinate with other non-AEFLA programs and services prior to using AEFLA funds for this purpose for individuals who are not eligible for AEFLA?	C	

Methods of Collection:

- Interview
- Document Review

Citation(s):

- [Sec. 231\(d\) of WIOA](#)
- [34 CFR § 463.20\(c\)\(3\)](#)

Local Board Review Process

12.

State Review Protocol	C/I	Notes
12. Did the eligible agency establish, within its grant or contract competition, a process that provides for the submission of all applications for AEFLA funds to the appropriate Local Boards for review?	C	

Methods of Collection:

- Interview
- Document Review

Citation(s):

- [Secs. 107\(d\)\(11\), 231\(e\), and 232 of WIOA](#)
- [34 CFR §§ 463.20-463.21](#)

13. Did the process include:

State Review Protocol	C/I	Notes
a. Submission of the applications to the appropriate Local Board for its review for consistency with the local plan within the appropriate timeframe	C	
b. An opportunity for the Local Board to make recommendations to the eligible agency to promote alignment with the local plan?	C	

Methods of Collection:

- Interview
- Document Review

Citation(s):

- [Secs. 107\(d\)\(11\), 231\(e\), and 232 of WIOA](#)
- [34 CFR §§ 463.20-463.21](#)

14.

State Review Protocol	C/I	Notes
14. Did the eligible agency consider the results of the Local Board’s review in determining the extent to which the application addressed the 13 required considerations in WIOA sec. 231(e) and 34 CFR § 463.20(d)?	C	

Methods of Collection:

- Interview
- Document Review

Citation(s):

- [Secs. 107\(d\)\(11\), 231\(e\), and 232 of WIOA](#)
- [34 CFR §§ 463.20-463.21](#)

Local Application Requirements

Did the eligible agency make clear in its RFP that the eligible provider must address:

15.

State Review Protocol	C/I	Notes
15. A description of how funds will be spent, including supporting budget documents, consistent with the requirements of AEFLA.	C	

Methods of Collection:

- Interview
- Document Review

Citation(s):

- [Sec. 232\(e\) of WIOA](#)
- [34 CFR § 463.22](#)
- [2 CFR §§ 200.302](#) and [200.402](#)

16.

State Review Protocol	C/I	Notes
16. A description of any cooperative arrangements the eligible provider has with other agencies, institutions, or organizations for the delivery of adult education and literacy activities?	C	

Methods of Collection:

- Interview
- Document Review

Citation(s):

- [Sec. 232\(e\) of WIOA](#)
- [34 CFR § 463.22](#)
- [2 CFR §§ 200.302](#) and [200.402](#)

17.

State Review Protocol	C/I	Notes
17. A description of how the eligible provider will provide services in alignment with the local workforce development plan, including how it will promote concurrent enrollment in programs and activities under title I of WIOA, as appropriate?	C	

Methods of Collection:

- Interview
- Document Review

Citation(s):

- [Sec. 232\(e\) of WIOA](#)
- [34 CFR § 463.22](#)
- [2 CFR §§ 200.302](#) and [200.402](#)

18.

State Review Protocol	C/I	Notes
18. A description of how the eligible provider will meet the State-adjusted levels of performance for the primary indicators of performance identified in the State's Unified or Combined State Plan, including how the provider will collect data to report on the performance indicators?	C	

Methods of Collection:

- Interview
- Document Review

Citation(s):

- [Sec. 232\(e\) of WIOA](#)
- [34 CFR § 463.22](#)
- [2 CFR §§ 200.302](#) and [200.402](#)

19. A description of how the eligible provider will fulfill, as appropriate, required one-stop partner responsibilities to—

State Review Protocol	C/I	Notes
a. Provide access through the one-stop delivery system to adult education and literacy activities?	C	
b. Use a portion of the AEFLA funds to maintain the one-stop delivery system, including payment of the infrastructure costs for the one-stop centers, in accordance with the methods agreed upon by the Local Board and described in the memorandum of understanding or the determination of the Governor regarding State one-stop infrastructure funding?	C	

State Review Protocol	C/I	Notes
c. Enter into a local memorandum of understanding with the Local Board, relating to the operations of the one-stop system?	C	
d. Participate in the operation of the one-stop system consistent with the terms of the memorandum of understanding, and the requirements of WIOA?	C	
e. Provide representation to the State Board to the extent provided under WIOA sec. 101?	C	

Methods of Collection:

- Interview
- Document Review

Citation(s):

- [Sec. 232\(e\) of WIOA](#)
- [34 CFR § 463.22](#)
- [2 CFR §§ 200.302](#) and [200.402](#)

20.

State Review Protocol	C/I	Notes
20. A description of how the eligible provider will provide services in a manner that meets the needs of eligible individuals?	C	

Methods of Collection:

- Interview
- Document Review

Citation(s):

- [Sec. 232\(e\) of WIOA](#)
- [34 CFR § 463.22](#)
- [2 CFR §§ 200.302](#) and [200.402](#)

21.

State Review Protocol	C/I	Notes
21. Information that addresses the 13 considerations listed in WIOA sec. 231(e) and 34 CFR §463.20(d)?	C	

Methods of Collection:

- Interview
- Document Review

Citation(s):

- [Sec. 232\(e\) of WIOA](#)
- [34 CFR § 463.22](#)
- [2 CFR §§ 200.302](#) and [200.402](#)

22. Documentation to support that the eligible provider followed a process consistent with the requirements of 34 CFR §463.21 to determine the extent to which its application was aligned with the local plan?

State Review Protocol	C/I	Notes
a. Costs for the one-stop centers, in accordance with the methods agreed upon by the Local Board and described in the memorandum of understanding or the determination of the Governor regarding eligible agency one-stop infrastructure funding?	C	
b. Enter into a local memorandum of understanding with the Local Board, relating to the operations of the one-stop system?	C	
c. Participate in the operation of the one-stop system consistent with the terms of the memorandum of understanding, and the requirements of WIOA?	C	
d. Provide representation to the eligibility agency Board to the extent provided under WIOA sec. 101?	C	

Methods of Collection:

- Interview
- Document Review

Citation(s):

- [Sec. 232\(e\) of WIOA](#)
- [34 CFR § 463.22](#)
- [2 CFR §§ 200.302](#) and [200.402](#)

Demonstrated Effectiveness

23.

State Review Protocol	C/I	Notes
23. Did the eligible agency assess the demonstrated effectiveness of eligible providers to determine eligibility?	C	

Methods of Collection:

- Interview
- Document Review

Citation(s):

- [Secs.203\(5\) and 231\(e\)\(3\) of WIOA](#)
- [34 CFR §§ 463.23-463.24](#)

24. Were all eligible providers required to provide demonstrated effectiveness data?

State Review Protocol	C/I	Notes
a. Did the RFP require an eligible provider to submit performance data on its record of improving the skills of eligible individuals, particularly eligible individuals who have low levels of literacy, in the content domains of reading, writing, mathematics, English language acquisition, and other subject areas relevant to the services contained in the eligible agency’s application?	C	

State Review Protocol	C/I	Notes
b. Did the RFP require an eligible provider to submit information regarding its outcomes for participants related to employment, attainment of a secondary school diploma or its recognized equivalent, and transition to postsecondary education and training?	C	
c. Did the RFP require that eligible providers that have been previously funded under AEFLA provide performance data required under WIOA’s performance accountability provisions to demonstrate effectiveness?	C	
d. Did the RFP require that eligible providers that have not been previously funded under AEFLA provide performance data to demonstrate effectiveness in serving basic skill-deficient eligible individuals, including evidence of success in achieving the outcomes listed in paragraph (a) and (b) of this section?	C	

Methods of Collection:

- Interview
- Document Review

Citation(s):

- [Secs.203\(5\) and 231\(e\)\(3\) of WIOA](#)
- [34 CFR §§ 463.23-463.24](#)

Local Administrative Costs

25.

State Review Protocol	C/I	Notes
25. Did the eligible agency provide eligible providers the opportunity to negotiate a rate greater than 5% of its AEFLA award for local administration if 5% is too restrictive to carry out administrative activities? (This opportunity may be addressed in the RFP or in the budget review and negotiations process.)	C	

Methods of Collection:

- Interview
- Document Review

Citation(s):

- [Sec. 233 of WIOA](#)
- [34 CFR § 463.25](#)

26. Did the eligible agency make clear that allowable administrative costs consist of:

State Review Protocol	C/I	Notes
a. Planning;	C	
b. Administration (including carrying out performance accountability requirements);	C	
c. Professional development;	C	
d. Providing adult education and literacy services in alignment with local workforce plans (including promoting co-enrollment in programs and activities under Title I of WIOA, as appropriate); and	C	

State Review Protocol	C/I	Notes
e. Carrying out one-stop partner responsibilities (described in 34 CFR §463.420), including contributing to the infrastructure costs of the one-stop delivery system?	C	

Methods of Collection:

- Interview
- Document Review

Citation(s):

- [34 CFR § 463.26](#)

27.

State Review Protocol	C/I	Notes
27. Did the eligible agency’s review process ensure that all administrative costs are necessary, reasonable, and allocable?	C	

Methods of Collection:

- Interview
- Document Review

Citation(s):

- [2 CFR § 200.403-200.405](#)

State-Imposed Requirements

28.

State Review Protocol	C/I	Notes
a. Did the eligible agency implement any rule or policy relating to the administration or operation of its AEFLA program that has the effect of imposing a requirement that is not imposed under federal law?	C	
b. If yes, did the eligible agency identify, to eligible providers, the rule or policy as being imposed by the eligible agency?		

Methods of Collection:

- Interview
- Document Review

Citation(s):

- [Sec. 223\(c\) of WIOA](#)

GEPA Section 427 Statement from Eligible Providers

29.

State Review Protocol	C/I	Notes
a. Did the eligible agency require eligible providers to include in their applications a description of the steps proposed to take to ensure equitable access to, and participation in, its federally-assisted program for students, teachers, and other program beneficiaries with special needs?	C	
b. The statute highlights six types of barriers that can impede equitable access or participation: gender, race, national origin, color, disability, or age. If it is not requested as part of the application, when does the eligible agency request this information from eligible providers?		

Methods of Collection:

- Interview
- Document Review

Citation(s):

- [Section 427 of the General Education Provisions Act \(GEPA\), 20 U.S.C. 1228a\(b\)](#)

Identification of Subaward Elements and Amounts

30.

State Review Protocol	C/I	Notes
30. Did the eligible agency ensure that every subaward is clearly identified to the subrecipient as a subaward at the time of the subaward?	C	

Methods of Collection:

- Interview
- Document Review

Citation(s):

- [2 CFR § 200.332\(a\)2](#)

31.

State Review Protocol	C/I	Notes
31. Did the eligible agency include in each award notice the required award elements as outlined in the Uniform Guidance at 2 CFR §200.331(a)?	C	

Methods of Collection:

- Interview
- Document Review

Citation(s):

- [2 CFR § 200.332\(a\)](#)

Annual Risk Assessment

32.

State Review Protocol	C/I	Notes
32. Does the eligible agency conduct an annual risk assessment of AEFLA eligible providers to evaluate each eligible provider’s risk of noncompliance with federal statutes, regulations, and terms and condition of the AEFLA subaward?	C	

Methods of Collection:

- Interview
- Document Review

Citation(s):

- [2 CFR § 200.332\(b\)](#)

33. Does the eligible agency consider the following factors in its risk assessment?

State Review Protocol	C/I	Notes
a. The eligible provider's prior experience with the same or similar subawards considered.	C	
b. The results of previous audits including whether or not the eligible provider receives a Single Audit in accordance with Subpart F—Audit Requirements of the Uniform Guidance, and the extent to which the same or similar subaward has been audited as a major program considered.	C	
c. Whether the eligible provider has new personnel or new or substantially changed systems.	C	
d. The extent and results of federal awarding agency monitoring (e.g., if the subrecipient also receives federal awards directly from a federal awarding agency).	C	
e. Other factors.	C	

Methods of Collection:

- Interview
- Document Review

Citation(s):

- [2 CFR § 200.332\(b\)](#)

34.

State Review Protocol	C/I	Notes
34. When a subrecipient is identified as high risk according to 2 CFR §§ 200.205, or fails to meet the subaward requirements (including performance goals), does the eligible agency consider imposing specific subaward conditions upon an eligible provider, if appropriate, during the multi-year grant award period?	I	

Methods of Collection:

- Interview
- Document Review

Citation(s):

- [2 CFR § 200.332\(c\)](#)

Grant Continuations

35.

State Review Protocol	C/I	Notes
35. Does the eligible agency have an annual grant continuation process that meets the requirement of the Uniform Guidance?	C	

Methods of Collection:

- Interview
- Document Review

Citation(s):

- [2 CFR § 200.332\(b\)-\(h\)](#)

Monitoring Requirements

36.

State Review Protocol	C/I	Notes
36. Does the eligible agency monitor the activities of each AEFLA eligible provider as necessary to ensure that the subaward is used for authorized purposes under WIOA, i.e., using the funding to establish or operate a program that provides adult education and literacy activities, in compliance with the eligible agency Plan from 34 CFR §76.700, applicable statutes, regulations, and the terms and conditions of the subaward; and that subaward performance goals are achieved?	C	

Methods of Collection:

- Interview
- Document Review

Citation(s):

- [34 CFR §§ 76.700, 76.701](#), and [76.770](#)
- [2 CFR § 200.332\(d\)](#)

37. Does the eligible agency’s monitoring of the eligible provider include:

State Review Protocol	C/I	Notes
a. Reviewing financial and programmatic reports required by the eligible agency.	C	

State Review Protocol	C/I	Notes
b. Following-up and ensuring that the eligible provider takes timely and appropriate action on all deficiencies pertaining to the federal award provided to the eligible provider from the eligible agency detected through audits, on-site reviews, and other means.	C	
c. Issuing a management decision for audit findings pertaining to the federal award provided to the eligible provider from the eligible provider from the eligible agency as required by 2 CFR §200.521 Management decision.	C	
d. Additional eligible agency-imposed monitoring requirements.	C	

Methods of Collection:

- Interview
- Document Review

Citation(s):

- [34 CFR § 76.702](#)
- [2 CFR § 200.332\(b\) and \(d\)](#)

Standard Monitoring Protocol

38.

State Review Protocol	C/I	Notes
38. Does the eligible agency have a standard monitoring protocol?	C	

Methods of Collection:

- Interview
- Document Review

Citation(s):

- [2 CFR § 200.332\(d\)](#)

Monitoring Tools

39. After conducting a risk assessment, does the eligible agency use any of the following monitoring tools to ensure proper accountability and compliance with program requirements and achievement of performance goals:

State Review Protocol	C/I	Notes
a. Provide eligible providers with training and technical assistance on program-related matters;	I	
b. Performing onsite reviews of the eligible provider’s program operations;	I	
c. Arranging for agreed-upon-procedures engagements as described in 2 CFR §200.425 (Audit services) of the Uniform Guidance; or	I	
d. Other.	I	

Methods of Collection:

- Interview
- Document Review

Citation(s):

- [2 CFR § 200.332\(e\)](#)

Audit Requirement

40.

State Review Protocol	C/I	Notes
40. Does the eligible agency verify that every eligible provider is audited when it is expected that the eligible provider’s federal award expended during the respective fiscal year equaled or exceeded \$750,000 in federal grant funds?	C	

Methods of Collection:

- Interview
- Document Review

Citation(s):

- [2 CFR § 200.332\(f\)](#)
- [2 CFR § 200.425](#)

Non-Compliance Action

41. Does the eligible agency consider taking enforcement actions against noncompliant eligible providers in an attempt to remedy non-compliance, when necessary, including one or more of the following:

State Review Protocol	C/I	Notes
a. Temporarily withhold cash payments pending correction of the deficiency by the non-federal entity or more severe enforcement action by the federal awarding agency or eligible agency.	I	

State Review Protocol	C/I	Notes
b. Disallow (that is deny both use of funds and any applicable matching credit for) all or part of the cost of the activity or action not in compliance.	I	
c. Wholly or partly suspend or terminate the federal award.	I	
d. Initiate suspension or debarment proceedings.	I	
e. Withhold further federal awards for the project or program.	I	
f. Take other remedies that may be legally available.	I	

Methods of Collection:

- Interview
- Document Review

Citation(s):

- [2 CFR § 200.332\(h\)](#)

Module 5 – WIOA Shared Monitoring

Note: See Job Aid(s)

Shared Monitoring Supplemental Protocol

The Supplemental Protocol consists of three *Core Activities*: Governance; One-Stop Operations; and Performance Accountability. The questions contained in this module are intended to augment existing program-specific monitoring tools with additional compliance questions that are shared across partner programs. The questions were developed jointly by: U.S. Department of Education: Office of Career, Technical and Adult Education, U.S. Department of Education: Rehabilitation Services Administration, U.S. Department of Health and Human Services: Administration for Children and Families, and U.S. Department of Labor: Employment and Training Administration.

Core Activity - Governance: State Workforce Development Board (SWDB) Membership

1.

State Review Protocol	C/I	Notes
1. Is the lead State official with the primary responsibility for the Adult Education and Family Literacy Act program represented on the SWDB?	C	

Methods of Collection:

- Interview
- Document Review

Citation(s):

- 20 CFR § [679.110\(b\)\(3\)\(iii\)](#) and [679.110\(b\)\(3\)\(iii\)\(A\)\(1\)\(ii\)](#)

2.

State Review Protocol	C/I	Notes
2. Does the representative for the AEFLA program meet the requirement that the AEFLA representative may not serve as a representative of more than one program or interest (unique representation)?	C	

Methods of Collection:

- Interview
- Document Review

Citation(s):

- 20 CFR §§ [679.110\(b\)\(3\)\(iii\)](#) and [679.110\(f\)\(3\)](#)

3.

State Review Protocol	C/I	Notes
3. Does the AEFLA representative meet the requirement that the representative must be an individual who has optimum policy making authority for the AEFLA program?	C	

Methods of Collection:

- Interview
- Document Review

Citation(s):

- 20 CFR §§ [679.110\(b\)\(3\)\(iii\)](#) and [679.110\(e\)](#)

Core Activity – One-Stop Operations: One-Stop Partner Roles and Responsibilities

4.

State Review Protocol	C/I	Notes
4. Has the eligible agency designated its funded eligible providers to fulfill its roles and responsibilities in the one-stop delivery system?	C	

Methods of Collection:

- Interview
- Document Review

Citation(s):

- 34 CFR § [463.415\(b\)](#)

5.

State Review Protocol	C/I	Notes
5. Does the eligible agency have procedures to determine if its designees provide access to adult education program or activities through the one-stop delivery system utilizing onsite staffing, cross training of partner staff, or direct linkage?	C	

Methods of Collection:

- Interview
- Document Review

Citation(s):

- 34 CFR § [463.305](#)

6.

State Review Protocol	C/I	Notes
6. Does the eligible agency have procedures to determine if its designees provide career services consistent with AEFLA allowable activities through AJCs in the State?	C	

Methods of Collection:

- Interview
- Document Review

Citation(s):

- 34 CFR § [463.420](#)

Core Activity – One-Stop Operations: Memoranda of Understanding

7.

State Review Protocol	C/I	Notes
7. Has the State or its designees executed an MOU with each LWDB in the State?	C	

Methods of Collection:

- Document Review

Citation(s):

- 34 CFR § [463.420](#)

8.

State Review Protocol	C/I	Notes
8. Do MOUs contain a description of services to be provided through the one-stop delivery system, including the manner in which the services will be coordinated and delivered through the system?	C	

Methods of Collection:

- Document Review

Citation(s):

- 34 CFR § [463.500](#)

9. Do MOUs contain one-stop operating budgets identifying the costs of the services and the operating costs of the system? Do MOUs include:

State Review Protocol	C/I	Notes
a. An IFA for the infrastructure costs of one-stop centers in accordance with §§463.700 through 463.755; and	C	
b. Funding of the shared services and operating costs of the one-stop delivery system described in §463.760?	C	

Methods of Collection:

- Document Review

Citation(s):

- 34 CFR § [463.500](#)

10.

State Review Protocol	C/I	Notes
10. Do MOUs contain methods for referring individuals between the one-stop operators and partners for appropriate services and activities?	C	

Methods of Collection:

- Document Review

Citation(s):

- 34 CFR § [463.500](#)

11.

State Review Protocol	C/I	Notes
11. Do MOUs contain methods to ensure that the needs of workers, youth, and individuals with barriers to employment, including individuals with disabilities, are addressed in providing access to services, including access to technology and materials that are available through the one-stop delivery system?	C	

Methods of Collection:

- Document Review

Citation(s):

- 34 CFR § [463.500](#)

