

Key Documents from the State

Module 1 Performance Accountability

- ☐ State policies for data collection procedures and data management
- ☐ State policies regarding supplemental data collection
- ☐ Statewide survey forms and survey protocols (if applicable)
- ☐ State manuals/users guides for local personnel running the MIS
- ☐ Job descriptions for staff responsible for data collection and management information systems
- ☐ Data reporting schedule or calendar distributed to local programs
- ☐ Statewide intake forms
- ☐ Sample confidentiality release forms (may be part of the intake form)
- ☐ Sample reports on assessment tracking screens from the State data system
- ☐ State policy memoranda to the field on data quality management
- ☐ Schedule or software interval for checking local data in the MIS.
- ☐ State schedule showing personnel assigned to do agency on site data audits
- ☐ Schedule of accountability/NRS face-to-face and online trainings offered
- ☐ Training agendas and materials
- ☐ List of State staff participating in federal regional NRS training

Module 2 Fiscal Key Document from the State

- ☐ Budgets for the most recent 3 years for State Administration and State Leadership
- ☐ Budgets for a sample of local grants or contracts (231, 225, 243)
- ☐ State Leadership. Local grants and/or contracts
- ☐ Expenditure reports for most recent 3 years verifying FFR reported amounts for section 222 State Administration and 223 State Leadership
- ☐ Expenditure Reports for Section 225 – Corrections Education
- ☐ Expenditure Reports for Section 243 – Integrated English Literacy and Civics Education (IELCE)
- ☐ **Organization Chart**
- ☐ Position Descriptions of State staff supported by State Administration and/or State Leadership
- ☐ Time and effort Sheets (*i.e. staff time sheets*) for three different pay periods during year.
- ☐ Program Income Policy
- ☐ Indirect Cost Rate Agreements for reporting periods on FFR (if not in IDC Group SharePoint)
- ☐ Documentation supporting the following identified FFR cells:
 - (a) State Administration – Basic Grant
 - (a) State Administration - Integrated English Literacy and Civics Education (Sec. 243)
 - (a) State Administration –Recipient Share of Expenditures
 - (b) State Leadership – Basic Grant
 - (b) State Leadership –Recipient Share of Expenditures
 - (c) Programs of Instruction (ABE 1-4 and ESL 1-6) – Basic Grant
 - (c) Programs of Instruction (ABE 1-4 and ESL 1-6) – Integrated English Literacy and Civics Education (Sec. 243)
 - (c) Programs of Instruction (ABE 1-4 and ESL 1-6) - Recipient Share of Expenditures
 - (d) Programs of Instruction (ABE 5-6) – Basic Grant
 - One-Stop Infrastructure Costs (Local)
 - One-Stop Infrastructure Costs (State)
 - (e) Training – Basic Grant
 - (e) Training – Integrated English Literacy and Civics Education (Sec. 243)
 - (e) Training – Recipient Share of Expenditures

Module 3 – State Leadership

- ☐ Expenditure reports for most recent 3 years verifying FFR reported amounts for section 223 (if a hard copy is available). **(ADVANCE REQUEST)**
- ☐ State procurement policy documents (if any section 223 funds are contracted). Include State grant policies if grants are used. **(ADVANCE REQUEST)**
- ☐ 1-2 sample State Leadership contracts.
- ☐ Documents that demonstrate section 223 expenditures were used to meet required activity for alignment of core programs, including career pathways. These may include contracts/grants, as well as position descriptions of internal staff paid from section 223 and performing functions activities related to this requirement.
- ☐ Documents that demonstrate section 223 expenditures were used to meet required activity to establish or operate high quality professional development systems. These may include contracts/grants, as well as position descriptions of internal staff paid from section 223 and performing functions activities related to this requirement.
- ☐ Documents that demonstrate section 223 expenditures were used to meet required activity to provide technical assistance to eligible providers. These may include contracts/grants, as well as position descriptions of internal staff paid from section 223 and performing functions activities related to this requirement.
- ☐ Documents that demonstrate section 223 expenditures were used to meet required activity to monitor, evaluate activities, and disseminate models and proven practices. These may include contracts/grants, as well as position descriptions of internal staff paid from section 223 and performing functions activities related to this requirement.

Module 4 - Competitions and Monitoring Locals

Please provide the following documentation for each competition conducted by the State. If the State conducted separate competitions for Section 243 (IELCE) or Section 225 (Corrections Education), the State must provide a complete set of documents for each competition conducted. Likewise, if the State conducted more than one competition using Section 231 funds, such as separate workplace education, family literacy or other special application, the State must provide a complete set of documents for each competition.

- ☐ Notice of Availability of Funds
- ☐ Complete Application Package (such as Request for Proposals {RFP} and accompanying documents such as instructions, guidelines or other documents referenced in the application)
- ☐ Application review materials, including pre-screening instruments used to determine applicant eligibility and application scoring rubrics
- ☐ Outreach materials used to disseminate the Notice of Availability of Funds (such as State Bulletins, community outreach materials, web postings, etc.)
- ☐ Bidder's conference information and materials
- ☐ Q&As developed during application process
- ☐ 3 sample completed score sheets from panelists
- ☐ Correspondence documenting outreach to local boards with established procedures and timelines on the review and feedback process)
- ☐ 3 sample completed reviews from local boards
- ☐ Slate of consensus scores
- ☐ Final funding slate
- ☐ A list of all funded applicants and their respective allocations of federal and other funding
- ☐ Award notifications
- ☐ Complete grant award documents for 3 awardees
- ☐ Multiyear award continuation application
- ☐ Policies and procedures used to conduct risk assessment of grantees

- ☐ Risk assessment protocols
- ☐ Latest year completed risk assessment documents, including any decision documents
- ☐ State- specific grants management policies and procedures pertaining to grant monitoring
- ☐ State adult education monitoring plan for most recent 2 years, if available
- ☐ On-site monitoring protocols and tools
- ☐ In-office monitoring protocols and tools, including desk monitoring protocols related to performance
- ☐ Three sample monitoring reports (most recent year)
- ☐ Three sample corrective action plans (most recent year)
- ☐ Sample corrective action plan closures
- ☐ Samples of required programmatic and financial reports
- ☐ Samples of documents that apply enforcement actions to grantees (such as withholding payment, disallowing use of funds, suspension or debarment hearing, etc.)
- ☐ Audit management decision memo (if applicable)

Module 5 – WIOA Shared Monitoring

- ☐ State Board Membership List (preferably with affiliation)
- ☐ Designation of local provider as one stop partner
- ☐ Master list of local areas and MOU/IFA with executed dates
- ☐ Sample of 2-3 MOUs/IFAs
- ☐ Governor's/State Board Guidance on IFAs (**ADVANCE REQUEST**)