THE UNIVERSITY OF THE STATE OF NEW YORK
THE STATE EDUCATION DEPARTMENT
Adult Career and Continuing Education Services (ACCES)
Adult Education Programs and Policy (AEPP)

Adult Education Compliance Self-Review/Monitoring Form

Program Year 2026-2027

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

Please be sure to download this form to your device and then open it into the fillable form:

Agency Name:		
Address:		
City:	**County:**	**Zip Code:**
Program Contact Name and Title:		
Telephone:	**E-mail:**	

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***	
WIOA Title II: – Program Area 1: Adult Basic Education and Literacy Services	☐	WIOA Title II – Program Area 2: Integrated English Literacy and Civics Education (IELCE)	☐
Funding Source		***Funding Source***	
WIOA Title II – Program Area 3: Corrections Education and Institutionalized Education Programs	☐	WIOA Title II – Enhancement Program: Literacy Zones (includes WEP funding)	☐
Funding Source		***Funding Source***	
Adult Literacy Education (ALE)	☐	Employment Preparation Education (EPE)	☐

Is your program placed on a Corrective Action Plan (CAP) or Individual Technical Assistance Plan (ITAP)? Yes ☐ No ☐

If you indicated yes, please explain which funding source(s) and whether it is a CAP or ITAP.

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

This compliance form has two purposes: a. agencies to complete as a self-review and b. 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. The electronic form must be downloaded onto your computer or device and then opened to enter your responses into the fillable form. Return the electronic copy electronically to this email address: Adulted@nysed.gov Your AEPP 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 16, 2026.**
- **It is required to return 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 WIOA Title II Program Areas of Integrated English Literacy and Civics Education (IELCE), 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.

      Addendum A: **EPE Programs Only**

      Addendum B: **WIOA Title II Program Area 2: Integrated English Literacy and Civics Education (IELCE)**
      WIOA Title II Program Area 3: Corrections Education and Other Institutionalized Education Programs

      Addendum C: **WIOA 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 EPE Distance Education 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 this form **electronically** to Adulted@nysed.gov with a cc to your regional

ADULT EDUCATION COMPLIANCE SELF-REVIEW/MONITORING FORM

A. INTAKE/ORIENTATION

Item	General Requirements – For All Programs	Compliance Status		Evidence/Comments
		Yes	No	
	Programs, please note that information in this first column represents AEPP General Requirements. Every program must respond to every item.			***This section must be completed; all programs must respond with a minimum of the evidence for how they are compliant with each requirement listed in the second column.***
1.	• An in-person intake/orientation session is provided to every student, including an initial academic assessment on TABE 13/14 or BEST Plus 3.0/Best Literacy 2.0 as appropriate, • Completion of the AEPP approved Individual Student Record Form (ISRF), including barriers to employment, • Completion of an Education and Employment Plan (EEP), • A process to identify the strengths and weaknesses of students for placement in appropriate educational programs, with an appropriate referral process used as necessary.	○	○	
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 or AEPP trained case manager 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.	○	○	
3.	The intake/orientation session explains support services, teacher/student roles and responsibilities, and delivery modalities/instructional materials, attendance policy	○	○	
4.	Participants are presented with the following information in a format they can understand: • Public Notice Under ADA, • Name of the person acting as ADA Compliance Coordinator, • Three Step Grievance Policy, and • The ADA Signature Sheet has been signed and placed in the student folder.	○	○	

	EPE Distance Education– 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. During intake, the student is supported while completing the EPE Distance Education Screening Tool			
6.	A referral process is in place for whom EPE Distance Education is not appropriate.			
7.	Intake/orientation includes a student/teacher contract and training in the curriculum and delivery modality.			

B. STUDENT ELIGIBILITY

Item	General Requirements– For All Programs	Compliance Status		Evidence/Comments
		Yes	No	
1.	**WIOA Title II-**funded programs meet the age requirement for students, being 16 years of age or older, and are not enrolled or required to be enrolled in secondary school under NYS law.			
2.	**EPE-**funded programs claim for EPE generation, students who are 21 years of age or older and **do not** have high school diploma or equivalent.			
3.	**EPE-**funded programs claim students for EPE generation are who are 21 years of age or older and have a high school diploma or equivalent but have limited basic education skills below NRS level 5 in Math or Reading as determined by the TABE 13/14. The program will be reimbursed for the contact hours accrued up to 3% of EPE accrual for students without a high school diploma or equivalent.			
4.	ESOL students scoring above NRS Level 6 on BEST Plus pre-test are retested on the TABE 13/14 or BEST Literacy. Those who are provided TABE 13/14 as a pre-test are then enrolled in ABE/ASE classes.			
	EPE Distance Education – If Applicable			
5.	Students enrolled in GRASP have TABE tested on the 13/14 forms at NRS levels 4, 5, or 6.			
6.	Students enrolled in Skills To Make Adults Ready to Succeed (SMART) have TABE tested at NRS levels 2, 3 and 4.			
7.	ESOL students enrolled in ESOL Distance Education have tested with the BEST Plus or BEST Literacy assessment at NRS level 4 or above.			
8.	Students enrolled in an EPE Distance Education program must not be concurrently enrolled in a traditional classroom program in the ASISTS database.			

C. INSTRUCTIONAL SERVICES

Item	General Requirements– For All Programs	Compliance Status		Evidence/Comments
		Yes	No	
1.	The agency submits a Program Information Form (PIF) annually by September 30th.			
2.	Each traditional ABE, ASE, and ESOL program offers at minimum 150 hours of classroom instruction annually per student.			
3.	Each traditional class operates at least six (6) but not more than twenty (20) hours per week. Exclusion applies under a waiver for specific classes under EPE funding.*			
4.	Each traditional class has no more than twenty (20) students in attendance. Classes do not exceed an average daily attendance (ADA) of 25. Exclusion applies under a waiver under EPE funding.*			
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 1–4.			
6.	• The agency documents student attendance by maintaining accurate attendance rosters noting the class and each student's time in and time out as well as cumulative weekly and monthly contact hours. • Completed attendance roster must be signed by the respective teacher verifying accuracy/authenticity. Electronic record keeping of attendance records must have prior approval from AEPP. There are no programs currently approved for electronic storage of attendance records.			
7.	ABE/ASE instructional strategies should be guided by the TABE diagnostic instrument, whether paper or computer-based. Student profiles should be placed in student folders.			
8.	Education in a language other than English is not permitted by any AEPP funding source.			
9.	The agency adapts instructional strategies to allow for disability-related needs as reasonable.			
10.	Instruction is individualized for each student.			
11.	If instructional program includes non-academic content, for example, work readiness activities, instruction has, at a minimum, 50% academic content per weekly class period.			

12.	The program provides computer equipment, network, Internet access, software and maintenance for students and staff usage.			
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.			

	EPE Distance Education – If Applicable	Yes	No	Evidence/Comments
14.	Students receive a home study assignment packet with a minimum of twelve (12) hours' worth of work twice a month (two-week cycle) via regional library network, mail, or the students pick the packet up.			
15.	Physical packets are delivered in proximity to the student's residence. Students are made aware of multiple pick-up sites in their area.			
16.	Instructors are available electronically, in writing or by telephone, to support learners in addition to their scheduled tutoring sessions.			
17.	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).			
18.	Every teacher must consult the EPE Manual for detailed directions regarding each of the EPE Distance Education programs.			
19.	The corrected assignments returned to the student show evidence of thorough teacher review and appropriate comments, direction, and questions.			
20.	Teachers maintain an AEPP approved Teacher Instructional log to document time spent preparing and correcting assignments within the packets or working on other education related activities.			
21.	Teachers maintain an AEPP approved Student Assignment log to track the packets sent out, completed packets returned, and all assignments.			

22.	Students are considered ACTIVE when they have returned their completed packet to the teacher, who has reviewed it and has issued a new packet.			
23.	The educational materials used are appropriate for the program, (i.e. HSE level preparation materials for GRASP).			
24.	GRASP programs have sufficient books and/or workbooks available in all areas of HSE preparation so that each student can receive instruction.			
25.	Programs using video/workbook series or online platforms are using them according to publisher guidelines.			
26.	Student folders contain sufficiently detailed information so that other teachers can pick up instruction at any point.			
27.	When 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.			
28.	**For EPE fiscal reporting:** The EPE Distance Education formula is used to claim EPE aid and is applied according to EPE guidelines.			
29.	**For EPE fiscal reporting:** 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 students.			
30.	**For EPE fiscal reporting**: Tutoring generates traditional EPE and is coded as a traditional class offering in ASISTS. Distance Education teachers who tutor distance Education students provide this instruction in addition to the hours of EPE generated by the distance Education formula for the packet portion of the program.			
31.	**For EPE fiscal reporting:** If applicable, a maximum of six (6) hours (three hours per week) is claimed in a two-week period for the generation of traditional EPE for tutoring.			
32.	All staff providing any EPE Distance Education programming has been trained and certified via the RAEN EPE Distance Education Training made available since October 2021. All EPE Distance Education teachers must attend this training every three (3) years.			
33.	School districts and BOCES use AEPP released tracking forms for EPE Distance Education. At minimum agencies must maintain and have available for NYSED monitoring or audit purposes: • AEPP approved/issued Teacher Instructional Log • AEPP approved/issued Student Assignment Log • AEPP approved/issued Student Work-time Record Sheet			

D. CASE MANAGEMENT

Item	General Requirements– For All Programs	Compliance Status		Evidence/Comments
		Yes	No	
1.	<table><tr><td>WIOA Program Area #1 (Core)</td><td>1.0 FTE</td><td>200 Participants</td></tr><tr><td>WIOA Program Area #2 (IEL/CE)</td><td>1.0 FTE</td><td>200 Participants</td></tr><tr><td>WIOA Program Area #3 (Corrections)</td><td>1.0 FTE</td><td>200 Participants</td></tr><tr><td>WIOA Program Area #4 (Literacy Zones)</td><td>1.0 FTE</td><td>100 Participants</td></tr><tr><td>EPE State Aid Funding</td><td>1.0 FTE</td><td>600 Participants</td></tr></table> **Programs must have the required amount of Case Manager FTEs based on the chart above.**			
2.	• An Education and Employment Plan (EEP) is developed for each student, which includes personal, educational, and employment goals. • The agency offers case management/education and career counseling services to ALL students.			
3.	**For EPE:** Case management activities that are not directly related to intake/assessment/NRS/classroom activities are NOT used to generate EPE aid.			
4.	The agency follows NRS/NYRS guidelines by using case management/education and career counseling services to achieve performance targets.			
5.	The agency uses case management/education and career counseling to stabilize families and access benefits by referring students to appropriate and applicable community partner agencies.			
6.	The agency uses case management/education and career counseling to assist students preparing for a high school equivalency diploma, including transition to post-secondary study and training opportunities.			
7.	All case managers have completed the NYSED Certified Case Manager Training provided through the RAEN centers. The updated training was made available beginning in FY26.			

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 must have valid temporary or permanent Pre- K-12 NYSED teacher certification or NYSED Adult Education certification.			
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 and/or EPE Manual for requirements.*			
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 and/or EPE Manual for requirements.			
4.	The agency has designated a staff person to act as an ADA resource for complaints and record keeping.			

F. PROFESSIONAL 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.			
2.	All staff, both full and part time including Instructional staff and case managers attend a minimum of fourteen hours of professional development annually related to their program area. All training counting toward the fourteen hour requirement must be taken though the RAEN.			
3.	**For WIOA Title II:** A staff development plan is submitted that describes the projected content area of training and the number of hours for each instructional, case manager and administrator/supervisory positions related to this program.			
4.	Staff receives training in instructional methodologies to provide effective Education experiences for individuals with disabilities.			
5.	All program staff attend NRS/NYRS Fundamentals training in FY 26-27; then every 3 years thereafter. Data manager and data entry staff must attend ASISTS Data Entry and ASISTS Reports training within the most recent three years.			
6.	All instructional staff attends training in AEPP/CUNY College and Career Readiness Standards			
7.	Program staff that administer the TABE and BEST Plus are trained/certified/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 through the RAEN.			
	AEPP Hybrid/Remote Instruction – If Applicable			
8.	Agencies that are approved for the Hybrid and/or Remote Learning modality in FY27 have received approval for each funding source where an application was submitted.			
9.	When an agency receives(d) AEPP approval for the Hybrid and/or Remote Learning Model, each agency also receives(d) the AEPP Hybrid or Remote Learning Model expectations document, the ASISTS Hybrid or Remote Learning Model Student Screening Tool, and the program manager (turnkey) training for Remote and Hybrid Education. The program manager MUST complete the Remote and Hybrid Education Training prior to beginning programming.			

10.	Teachers are recertified in their content area (GRASP, SMART, ESOL) according to AEPP guidelines every three (3) years.			
11.	EPE program staff have been trained in data collection and reporting in ASISTS according to the EPE Distance Education formula.			

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 within the first twelve (12) contact hours.			
2.	**For ABE/ASE**, at minimum, the TABE locator tests in reading and math are used to determine the correct level TABE 13/14 to be administered. TABE Locator test is stored in the student's folder.			
3.	**For ABE/ASE**, TABE forms 13 and 14, Complete Battery, are used for assessment.			
4.	**For ESOL**, BEST Plus 3.0 and CASAS are used for assessment. ESOL students scoring above 850 on the BEST Plus pre-test may be retested on the TABE 13/14 or BEST Literacy 2.0.			
5.	Pre-testing is done within the first twelve (12) contact hours.			
6.	Post-testing is done according to NYSED Post-testing schedule			
7.	If applicable, programs refer ASE students to the GED portal to register to take any of the four (4) areas of the GED test. Students are encouraged to include the program's five-digit GED/AEPP Prep Code when registering to take the GED test.			
8.	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 community services.			

H. NETWORKING

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

I. FACILITIES

Item	General Requirements– For All Programs	Compliance Status		Evidence/Comments
		Yes	No	
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.			
2.	The heating, lighting and ventilation of instructional facilities are conducive to Education.			
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.			

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) and/or New York's Reporting System (NYRS) reporting requirements. • Data is entered at minimum on a monthly basis. Data must be entered into ASISTS by the end of the month following the month where attendance occurred. (example: September data is due by October 31st)			
2.	The agency uses the state mandated and approved AEPP Certified Individual Student Record Form (ISRF).			
3.	• The agency maintains an individual student record paper folder in a secure 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 (Locator if using TABE), Education plans (EEP), samples of student work, and signed ADA. • These folders are kept confidential and must be kept in a locked cabinet.			
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; any record of the student's SSN must be redacted from these folders.			
5.	The agency has implemented a plan to monitor data quality on a monthly basis as a minimum.			
6.	The agency conducts follow-up student surveys for students who do not have a SSN recorded in ASISTS, and documents results in ASISTS per NRS guidelines.			
7.	The agency has established a Program Improvement Team (PIT) that includes administrators, teachers, data staff, and case managers. The PIT reviews NRS/NYRS performance data a minimum of once per quarter and recommends changes aimed at student outcome improvement			
8.	The agency has implemented a procedure for data entry in accordance with guidelines from NRS/NYRS and ASISTS for reporting purposes including student attendance data.			

K. FISCAL

Item	General Requirements– For All Programs	Compliance Status		Evidence/Comments
		Yes	No	
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).*			
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*			
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*.) Refer to the* ***AEPP Due Date Chart*** *for all individual fiscal deadlines.*			
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.			
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 10th of the program year.			
6.	The agency safeguards assets by keeping an appropriate inventory of equipment, supplies and materials. All program assets may be under review during AEPP monitoring visits.			
7.	The agency maintains payroll records for grant-funded personnel as required by the appropriate OMB circulars.			

8.	The agency has a records retention plan in place that ensures both fiscal and student records are retained as required.			
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. *You may reference your program's contract/grant with AEPP for further detail.*			
10.	**For WIOA Title II:** WIOA Title II funds are not used to support occupational education.			
11.	**For EPE:** Programs that generate EPE funds include only those areas of programming and courses approved on the application.			
12.	**For EPE:** An accurate process is in place for tracking and documenting EPE contact hours and all contact hours are entered into ASISTS. Only an electronic SA160 is permitted for EPE reimbursement proceedings.			
13.	**For EPE:** EPE funds are expended for the EPE program only.			
14.	**For EPE:** Agency fiscal staff comply with policy that, within a given year, expenditures must meet or exceed revenues.			

ADDENDUM A–EPE PROGRAMS ONLY

1. GEOGRAPHIC RANGE (All EPE Programs)

Item	General Requirements	Compliance Status		Evidence/Comments
		Yes	No	
	BOCES			
1.	If a BOCES operates traditional programs physically located in another BOCES district, signed agreements have been obtained and have been approved by AEPP and are on file from all school districts and BOCES districts in which the program is located, and list program offerings. (Appendix 4 in the EPE Application document)			
2.	If a BOCES operates an EPE Distance Education program serving students residing in other BOCES districts, signed agreements have been obtained and have been approved by AEPP and are on file from all school districts and BOCES districts in which students participating in the program reside. (Appendix 4 in the EPE Application document)			
	School Districts			
3.	If one school district operates a traditional program physically located within the boundaries of another school district, a signed agreement has been obtained and has been approved by AEPP and is on file from each district in which the programs are located. (Appendix 4 in the EPE Application document)			
4.	If one school district operates an EPE Distance Education program serving students who reside in other school districts, a signed agreement has been obtained and has been approved by AEPP and is on file from each district in which the students reside. (Appendix 4 in the EPE Application document)			

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.			
2.	The traditional component consists of programs that are approved in the agency's application.			
3.	The work experience component is unpaid.			
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.			
5.	Evidence is kept in ASISTS of the students' attendance and tasks at the worksite.			
6.	Evidence is kept in ASISTS that exited students have attained employment.			

ADDENDUM B–WIOA TITLE II PROGRAM AREAS 2 AND 3

PROGRAM AREA 2: Integrated English Literacy and Civics Education (IELCE)

Item	Specific Program Requirements	Compliance Status		Evidence/Comments
		Yes	No	
1.	**Instructional Services:** The ESOL portion of the IEL/CE is contextualized around and specifically aligned with the training component. The literacy and training must run concurrently within the same start and end dates			
2.	The attendance for the training component must be recorded in ASISTS. The training classes must show in ASISTS that they are connected to the literacy classes in ASISTS.			
3.	The literacy class component is funded by the WIOA Area 2 (IEL/CE) grant/contract; the training component must be funded by a source other than WIOA or ALE funding. Please indicate how the training is funded in the space provided.			

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 five (5) years of release.			
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.			
3.	**Case Management/Education and Career Counseling:** The program is connected with employers who indicate that they will hire students after release.			

ADDENDUM C–WIOA TITLE II ENHANCEMENT PROGRAM: LITERACY ZONES

Item	Specific Program Requirements	Compliance Status		Evidence/Comments
		Yes	No	
1.	**Family Welcome Center (FWC)** is established and fully functioning as stated in RFP and identified accordingly in ASISTS. Additional Literacy Zone sites are functioning in parallel to FWC (only those listed in original proposal or SED approved additional sites) and are identified accordingly in ASISTS.			Identify location of Family Welcome Center (address, zip code, census tract): Identify location(s) of all LZ Additional Sites that have been approved by AEPP:
2.	FWC hours of operation are scheduled to accommodate participants.			List hours of operation:
3.	Public transportation is available.			List type of public transportation: (i.e. bus, subway, etc.)
4.	FWC is handicapped-accessible.			
5.	If applicable, Schools Under Regents Review (SURR)/Schools In Need of Improvement (SINI) are identified and included in the plan.			List SURR/SINI:
6.	The geographic boundaries of the target community (Census tracts) are clearly identified and services are provided within those boundaries.			Identify Census tracts as stated in LZ proposal:
7.	Services and programs provided at FWC can be clearly identified.			Attach additional documentation stating how and where they are identified.
8.	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. If Remote has been approved, it can be remote.			
9.	**Priority Partner** list of services is provided to students during intake.			Attach Priority Partners Matrix.
10.	Potential students are referred to priority partners for direct services/ resources, when they are not available at the FWC			Attach any referral documentation.
11.	All referrals to priority partner services are entered into ASISTS.			
12.	Priority Partners and Stakeholders meet quarterly.			
13.	**Pathways out of Poverty (as noted in all contracts/grants with AEPP)**: Agency addresses ten (10) pathways specifically related to this literacy zone. If a specific pathway is not included, agency can provide a clear justification as to why.			

Regional Review Comments

Program Manager Signature: **Date:**

Chief Administrator Signature: **Date:**

AEPP Regional Signature: **Date:**