

Program:
Reviewer:

Date:

Wyoming Adult Education Site Visit and Compliance Checklist 2025-2026 For Virtual Monitoring

Instructions: The Adult Basic Education Compliance review indicates whether the basic skills programs, funded from the Workforce Innovation and Opportunity Act (WIOA) Title II, Adult Education and Family Literacy complies with federal and State regulations. Compliance reviews for FY 25/26 will be conducted virtually.

- (1) Programs are required to provide evidence for each item checked in the category. When it is not possible to provide evidence, a short description must be included in the comment section explaining the inability to provide evidence and to provide a written response to the item.
- (2) For any item in which the local provider is unable to provide a positive response to because the item is not completed/maintained by the program, the local program must provide a strategy to bring the program into compliance, action steps, and a timeline for implementation and expected outcomes.
- (3) All evidence must be submitted in electronic form by scanning the document on a 'thumb drive'. Thumb drives must be mailed to the State Educational Agency (SEA) for Adult Education at the address shown below:
Diane McQueen
1456 Spruce Street
Wheatland, Wyoming 82201
Email: diane.mcqueen@wyo.gov
- (4) Submitted evidence must be clearly labeled to indicate which chapter and item number the document(s) are being submitted for. For example, Item one, from Chapter One should be labelled: C1I1. Chapter Two, Item 3 would be labelled: C2I3, etc.
- (5) The evidence column of this form should indicate the items being submitted as evidence in a similar manner. (i.e. C1I1, C2I3, etc). In the event that there are more than one item submitted for an Item, labelling should be as follows:
 - a. Chapter 1- Item 1: Document #1: C1I1a
 - b. Chapter 1-Item 1: Document #2: C1I1b
 - c. Chapter 1-Item 1: Document #2: C1I1c
- (6) In the event that a document is being submitted as evidence for multiple items within the checklist, the document need only be uploaded ONE time; however, it should be titled to show which chapter and item it is being submitted for as evidence. For example, if an assessment report is being submitted as evidence that meets the criteria for Chapter One, Item Two AND Chapter Two, Item 3; it should be labeled as: C1I2-C2I3.
- (7) The column titled "Compliance Status" should not be completed by local providers. This column is for State staff and will be completed upon review of all submitted documents. Any items which the State indicates a 'No' for will also include an "F" or an "O", where an "F" indicates a 'Finding' and an "O" indicates an 'Observation.'

Note: What is the difference between a Finding and an Observation?

Answer:

The term '**Finding**' has a very specific meaning in the context of a monitoring. A 'Finding' is a violation of the Workforce Innovation and Opportunity Act or its associated regulations, federal or state policies, or OMB circulars.

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‘Observations’ are issues or concerns that are non-compliance oriented and are areas in need of improvement or are recommendations.

(8) Completed reviews will be provided to all local providers along with State comments and recommendations. A meeting will also be held between the local program and the State to review monitoring results.

(9) Local programs should use the comments section to provide additional information as necessary.

Virtual Monitoring of Local Programs for FY 25/26 will include the following programs:

Fall 2025: Evidence and a completed Checklist will be due by December 1, 2025. The State will conduct the review in December with virtual meetings occurring in late December or early January.

Spring 2026: Evidence and a completed Checklist will be due by March 31, 2026. The State will conduct the review in early April with virtual meetings occurring in late April.

Five-year grant cycle monitoring schedule

	FY 25/26		FY 26/27		FY 27/28		FY 28/29	
	Fall	Spring	Fall	Spring	Fall	Spring	Fall	Spring
CC				X				X
CWC			X				X	
EWC				X				X
GC	X				X			
LCCC			X				X	
NW		X				X		
SC	X				X			
UB1				X				X
WW		X				X		
WYDOC			X				X	

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Chapter One: Intake/Orientation (OCTAE Program Memorandum 17-7, State Policy #03092020, WIOA Sec 188, WIOA Title II, Program Assurance, WIOA Sec 231 & 232)

Item	General Requirements	Evidence	Compliance Status (To be completed by State Staff)	
			Yes	No
1.	At intake, the participants are presented with the following information in a format they can understand: ADA compliance and name of ADA coordinator (WIOA Sec 188)			
2.	An intake session is provided to every learner which includes (a)n: (1) initial academic assessment (2) Career Services course (3) process to identify strengths & weaknesses of student for placement (4) local program student handbook of policies (5) guidance/counseling on assessment results (WIOA Sec. 3 (7) (C)) (6) plan of study and schedule (7) goal setting and transition planning (8) referrals, as needed (9) barriers to employment. State paper-based form is completed.	Example: Document #1: assessment Document #2: evidence of Career Service course Document #3: local program handbook Submitted evidence should be titled as shown below with notations made in this column referencing the document names. C1I2a, C1I2b, C1I2c, etc.		
3.	The intake processes include an explanation of: (1) the roles of instructor/student and responsibilities (2) instructional delivery platforms, inclusive of virtual learning, distance learning and instructional materials (3) College and Career Readiness Standards or ESL Standards, as appropriate (4) Employability & Social Capital Skill Standards (5) Referral services available			

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4.	Intake processes and Career Services courses are given at flexible times to accommodate students' schedules (morning/evening).			
5.	A valid NRS approved pre-test is given within the first 3 hours of instruction.			
6.	Virtual applications, where applicable, are responded to within 24 hours.			
7.	Students who register for AE services through the online portal but never attend have their LACES record marked as 'Never Attended' after 90 days.			
8.	Intake/Career Services course can be offered in either virtual or hybrid forms so that students can effectively utilize multiple types of learning platforms.			
Comments:				

Chapter Two: Student Eligibility, Marketing & Retention (State Assessment policy, WIOA Sec. 203, Sec. 211, Program Assurance, WIOA Sec 231)

Item	General Requirements	Evidence	Compliance Status (To be completed by State staff)	
			Yes	No
1.	Students meet the age requirement, being 16 years of age or older and are not required to be enrolled in secondary school.			
2.	Age waiver students: (1) complete a program of study (2) are enrolled in LACES (3) complete an OPT at the 'Well Prepared' level for HiSET or 'Ready to Test' level for GED after completing a program of instruction and has OPT scores recorded on LACES. (4) have a valid, NRS approved pre-test AND post-test (when applicable)			
2.	Enrolled students do not have a high school diploma/equivalent or have limited basic academic skills and function below 12.9.			

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3.	Placement into instruction is based upon test results identifying the appropriate Educational Functioning Level.			
4.	Low functioning ESL students and low AE literacy level students are individually assessed (beyond an NRS approved assessment) for phonemic awareness, fluency, vocabulary, and comprehension to determine his/her level of differentiation and the appropriate focus for beginning and/or continuing reading instruction.			
5.	Local program utilizes multiple media sources for recruitment purposes.			
6.	Local program continually monitors student performance and has an effective retention plan in place.			
Comments:				

Chapter Three: Sufficient Intensity and Duration (State Policy #012020R, WIOA Sec 231)

Item	General Requirements	Evidence	Compliance Status (To be completed by State staff)	
			Yes	No
1.	Program offers at least 6 hours per week at satellite classes and at least 20 hours per week at the main campus of instruction at a minimum.			
2.	Program documents participant attendance electronically or on sign-in sheets which are kept for two years.			
3.	Program adapts procedures to allow for disability-related needs which may include: (1) Audio or enlarged materials (2) Computers for use with students that have print-related disabilities (3) Allowing students with disabilities to participate in all programs and activities (4) Colored overlays			
4.	Distance learning and/or virtual learning platforms are offered to participants as an extension of traditional			

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	classroom models and proxy hours are correctly identified in LACES.			
5.	Program services are provided year-round.			
Comments:				

Chapter Four: Education/Instruction and Career Counseling (OCTAE Program Memorandum 15-7, State Policy #05012020, Wyoming State Plan, WIOA Sec 203, Program Assurance, WIOA Sec 231)

Item	General Requirements	Evidence	Compliance Status (To be completed by State staff)	
			Yes	No
1.	Education and career planning are discussed with students and results are used to guide instruction, where possible.			
2.	Education and career counseling or referral to services is made available to enrolled students.			
3.	(1) Career planning has been established to identify student career tracks and to help guide instruction. (2) Student career maps are maintained in student files and are used to help a student navigate a career pathways track.			
4.	Referrals for wrap-around support services to/from DWS, VR, or other service providers are made using a State approved referral system. Paper-based referral forms are maintained by the provider in a student file and all referrals are tracked in LACES.			
5.	Curriculum incorporates: (1) The Essential Components of Reading (2) Evidence and research-based instructional theories (3) Participatory Learning (4) Academic standards (i.e. CCRS or ESL standards)			

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	(5) Employability standards (6) Social Capital skill standards (7) Digital & financial literacy (8) EL Civics is incorporated into all IELCE classes			
6.	Classroom instruction & syllabi includes: (1) A balance of academic & real-life contexts (2) A variety of special learning needs, where applicable (3) Skills & knowledge learners need to transition successfully to careers and postsecondary education (4) Contextualization of core program components			
7.	Instructional delivery models for career pathways include some of the following: (1) IET/IELCE programs of study (2) Apprenticeship, internships, and other work-based/career training models (3) Concurrent enrollments (with postsecondary) (4) Co-enrollments with WIOA core partners (5) Work-based training (6) Transitioning students to postsecondary / employment (7) Hybrid learning platforms (8) High school equivalency preparation courses (9) ABE/ASE/ESL courses (10) Bridge/transition courses			
8.	Local programs providing services within a correctional institution, give priority of services to those individuals who are likely to leave the correctional institution within five years of participation in the program.			
9.	Program can verify through LACES that they maintain: (1) A Career Service Course			

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	(2) An ABE/ASE 9+ course to track students who are pursuing a course of study at a 9 th grade level or higher			
10.	<p>Integrated Education and Training programs of study have a State approved syllabus that outlines:</p> <p>(1) Concurrent programs of study for Adult Education, Workforce T</p> <p>(2) Single Set of Learning Objectives</p> <p>(3) An integrated course outline</p> <p>IET programs of study have completed and submitted an IET Quality Indicator Assessment for each IET offered by the local program.</p>			

Comments:

Chapter Five: Program Personnel (Program Assurance, WIOA Sec 231)

Item	General Requirements	Evidence	Compliance Status (To be completed by State staff)	
			Yes	No
1.	Program is staffed by qualified administrative staff.			
2.	Program is staffed by qualified instructional staff (which may include a Bachelor's degree or higher, teacher certification, or organization approved requirements including preparation and experience).			
3.	All staff employed more than three months have received NRS training and understand quality data collection and its purpose.			
4.	Program has designated a staff person to act as an ADA resource for complaints and recordkeeping which may include a referral to the college or agency.			
5.	As outlined in the 2025 RFP, program has:			

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	<div><div>(1) One local program director at .5 FTE</div><div>(2) At least one instructor per site with varying FTE levels</div><div>(3) At least one intake and assessment specialist per site.</div><div>(4) At least one data entry specialist</div><div>(5) At least one distance learning facilitator (for applicants utilizing distance learning)</div><div>(6) Optional positions include:<div><div>a. Career navigator</div><div>b. Digital navigator</div></div></div></div>		
Comments:			

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Chapter Six: Staff - Professional Development (WIO Sec. 223, Grant, WIOA Sec 231)

Item	General Requirements	Evidence	Compliance Status (To be completed by State staff)	
			Yes	No
1.	New administrative staff have attended, or are scheduled to receive new instructor training or new local director training.			
2.	All instructional staff have received an instructor orientation to adult education training, assessment training and certification, and program specific training which includes local program policies and procedures.			
3.	Instructional staff attends a minimum of six hours of staff development annually related to their program in addition to the State Institute.			
4.	Local program provides staff with annual training in data collection and reporting procedures as related to the federal requirements for Adult Education reporting.			
5.	All program staff have received training in recognizing the characteristics of students with learning disabilities and know who the ADA resource person is for the program			
6.	Instructional staff receive annual training from the <u>local</u> program director on how to administer TABE assessments. (This does not refer to the completion of TABE certificates. Local programs are required to deliver, through an in-service, or other meeting, training on various aspects of TABE administration.)			
7.	All LACES users at the local level have attended at least three LACES trainings per year. Documentation should include sign-in sheets as verified by the local program director. Date of last LACES training: _____			

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	Attendees at last LACES Training:			
8.	Local director regularly attends State arranged monthly meetings and face to face meetings, as applicable.			
9.	Local program has a system in place for the dissemination of 'Best Practices', inclusive of local, state, regional, and national conference presentations.			
10.	The local program has a system in place to identify staff professional development needs and a description of how these needs are met.			
11.	Professional development hours completed by instructors is tracked in LACES.			
Comments:				

Chapter Seven: Assessment (State Policy #07152020, WY State Assessment Policy, Program Assurance)

Item	General Requirements	Evidence	Compliance Status (To be completed by State staff)	
			Yes	No
1.	All instructors administering assessments have been trained in standardized testing procedures and are certified examiners as outlined in the State Assessment policy. <u>Assessment policy</u> is available for instructional staff.			
2.	Pre and post-testing is completed using alternate forms of the test or the required additional hours between testing have been observed. <ul style="list-style-type: none"> • <u>NRS Level 1-4</u> TABE 13/14 minimum of 40 hours. • <u>NRS Level 5 & 6</u> – TABE 13/14 minimum of 30 hours • TABE CLAS-E Forms C/D minimum of 40 hours • CASAS: Minimum of 40 hours for all levels Program utilizes Fast Tracking for high level students.			

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3.	Students are pre and post-tested in person or through approved virtual monitoring processes, so that learner identity is verifiable.			
4.	Alternative placements, Initial test locators or full battery pretests for TABE and CASAS are given to students to determine the correct level for placement & the measurable skill gain to be determined.			
5.	Program has met the State post-test rate of 50% for the past two years.			
6.	Program can demonstrate an effective use of post-tests in meeting State performance targets for Measurable Skill Gains(MSG) for the past two years.			
7.	Posttest waivers are tracked, are available for review and are noted in LACES for individual students.			
8.	Official practice tests (when applicable) are given in person or through approved virtual monitoring processes and are entered into the student's LACES record.			
9.	OPT's are given to students when they have demonstrated a readiness to test AND have shown MSG gain.			
10.	Participants who have 'stopped out' with a 90 break in services are re-tested upon re-entry into the program if the initial assessment is 10-12 months old.			
Comments:				

Chapter Eight: Student Files (OCTAE Program Memorandums 17-2, 19-2, State Policies #03092020, 08112020R, #09302020, AEFLA Resource Guide, 34 CFR Part 80.42, Program Assurance)

Instructions: All items in Chapter 8 pertain to the 5 student files the Program selects for review. Programs must also complete the Student File checklist document found in the Appendix.

Item	General Requirements	Evidence	Compliance Status (To be completed by State staff)	
			Yes	No

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1.	Intake forms with the State approved release clause, are completed and signed with parental signature, when applicable.			
2.	A career assessment has been given to each participant and a copy is maintained in the student file.			
3.	A completed copy of all Age Waiver documentation for HSEC testing for 16 & 17 yr. old students is maintained in the student file with a copy of the <i>School Withdrawal Form</i> being uploaded into the student's LACES file BEFORE the commencement of instruction occurs.			
4.	Academic assessment results are in the student file: pre/post-tests, OPT's, copies of progress tests/quizzes used by instructors, etc. with NRS assessments and OPT's also entered into the student's LACES file.			
5.	Computer prescriptive assessment results or student profile is in the file.			
6.	Student attendance records match LACES. Type: (Time clock or Sign-In sheets, proxy hours are recorded as distance learning hours).			
7.	Documentation of a disclosed disability is placed into student file with appropriate notations made in the student's LACES file.			
8.	Assignments and work samples are maintained in the student file.			
9.	Documentation of student progress and referral notes are in student file.			
10.	All reportable and non-reportable students have data entered into LACES and have a local student file available.			
11.	HSE certificates/transcripts are uploaded into student files on LACES with a hard copy maintained in student file.			
12.	Student enrollments in postsecondary are tracked in the student's LACES file.			
13.	Participants who earn an industry recognized credential within one year of exiting the Adult			

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	Education program have a copy of the credential and/or transcript uploaded (when possible) into LACES with a hard copy maintained in student file. Note: If it is not possible to obtain a copy of the transcript/credential earned, this must be noted in student files AND their LACES record must indicate 'credential attainment' and the date in which the credential was earned under the post-secondary tab.			
14.	Co-enrolled participants: AE, DWS, and DVR should have case notes (when applicable), credentials earned and progress records maintained in the student's LACES file as well as in a local file.			
15.	Integrated Education and Training (IET) students who have made progress towards milestone have evidence of 'progress' in the student folder. The student's LACES record indicates achievement of this Measurable Skill Gain under the outcomes tab; IETP Measurable Skills Gain sub-tab.			
16.	IET students who have passed a technical exam or occupation skills exam have a copy of the earned credential in the student folder and have this MSG recorded on LACES under the Outcomes tab; IETP Measurable Skills Gain sub-tab. (OCTAE Program Memorandum 17-2)			
17.	A Barriers to Employment form is maintained in local student files and is completed each time a student (re)enrolls in the program.			
18.	Programs that maintain electronic student records also maintain a paper-based file for each individual served.			
Comments:				

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Chapter Nine: Cooperative Planning and Partnership Arrangements for Developing Career Pathways (OCTAE Program Memorandums 15-3, 15-4, Wyoming State Plan, Program Assurance, WIOA Sec 231)

Item	General Requirements	Evidence	Compliance Status (To be completed by State staff)	
			Yes	No
1.	Program actively participates in the WIOA network including Title I Adult and Dislocated Worker, Title III-Wagner Peyser, and Title IV Vocational Rehabilitation			
2.	Local program provides services through the One-Stop System. <i>Describe how this occurs.</i>			
3.	Program staff plan and/or work cooperatively with other community agencies and organizations for the implementation of a career pathways system and to place participants, when applicable into work experience/training programs.			
4.	Local program can demonstrate that collaborative efforts have led to a reduction in the duplication of services among core partners, as required by WIOA. <i>Describe how this has occurred.</i>			
5.	Local Memorandum(s) of Understanding includes roles and responsibilities of each partner and are available to review.			
6.	Local director or designee is a member of the Next Generation Sector Partnership, when applicable, and maintains copies of minutes from the local meetings.			
7.	Local program can demonstrate alignment / participation with at least one of the following: (1) Wyoming Unified State Plan (2) Educational Attainment Initiative (3) Perkins V (4) DWS Workforce Contracts			

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8.	Program works collaboratively with local Next Gen teams, employers, educational institutions, Career & Technical Education (CTE), and/or the Office of Apprenticeships to effectively address Wyoming workforce needs, particularly for 'in-demand' jobs for the region.			
Comments:				

Chapter Ten: Facilities, Equipment, & Supplies (Program Assurance, WIOA Sec 231)

Instructions: Programs must submit photos for each of the items found in this chapter.

Item	General Requirements	Evidence	Compliance Status (To be completed by State staff)	
			Yes	No
1.	Heating, lighting and ventilation of instructional facilities are conducive to learning.			
2.	Facilities used to provide instruction are free of physical barriers, accommodating adults and appropriate for individuals with disabilities. Where facilities do not meet these requirements, students are referred to alternate accessible locations.			
3.	All equipment and frequently used materials are located on shelves in wheelchair-accessible areas.			
4.	Handicap accessible parking is available.			
5.	Local program has computers, internet, and other equipment available for students to use within the facility and/or available to check out for distance/virtual learning, when applicable.			
6.	Equipment and supplies purchased through AEFLA grant funds are labeled: "These services are federally funded through the AE program administered by the WCCC."			
Comments:				

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Chapter Eleven: High Quality Data Management Information System (State policies #08112020R, #08142020, #08142020, #09302020, Program Assurance, WIOA Sec 231)

Item	General Requirements	Evidence	Compliance Status (To be completed by State staff)	
			Yes	No
1.	Program uses the LACES database for (NRS) reporting requirements.			
2.	Program data collected from the intake form and other required forms is entered weekly into LACES.			
3.	LACES data for students is validated monthly and includes: (1) Name and age of student (2) Contact information (3) Demographic information (4) Co-enrollments with core partners, when applicable (5) Keyword descriptor of place where instruction occurs (6) Evidence of enrollments into 9+ class for students who have not earned NRS 5/6 in all tested subject levels (7) Types of programs/courses student was enrolled in (8) Credentials & transcripts earned (9) 'Overall Status' has been marked as Completed for all students who have earned an HSEC. (10) Evidence of 'milestones' when applicable (11) Evidence of 'who needs to be surveyed' (12) Work history showing updates on students who are re-enrolled (i.e. students who exit and then are			

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	re-enrolled must have their work history updated upon re-enrollment) (13) Barriers to Employment (updated for each re-enrollment)			
4.	Program has implemented a plan to monitor data quality and error correction using: (1) Diagnostic tables (2) LACES Dashboard (3) NRS & SPR tables (4) Cross referencing classroom enrollments to NRS tables			
5.	Program uses data matching and/or the required survey instrument and can provide records on survey follow-up (See NRS Implementation Guidelines). LACES survey instrument or a paper-based surveying tool with appropriate tracking sheet has been utilized to collect post exit outcome measures information and is available for review. (Please submit a copy)			
6.	Program has a policy in place to identify students who need to be surveyed which is to include: (1) Students who do not provide a SSN (2) Special populations (as identified in State policy) whose earnings are not reportable to UI			
7.	Program data matches for postsecondary through the National Student Clearinghouse and through the local community college for non-credit workforce course enrollments/credentials earned are conducted quarterly.			
8.	Program has identified staff to be involved in data entry and is able to produce reports. Name of staff person responsible for data entry: _____			

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9.	All program staff who utilize LACES have signed the Confidentiality Agreement and it is on file at the State AE office before being given access to LACES.			
10.	Program uses performance data to establish goals for continuous improvement. Explain how this is done.			
11.	Program has implemented a procedure for accurate data entry in accordance with guidelines from the NRS and the State for reporting purposes.			
12.	Program has a process to enter and check the accurate contact hours for instruction.			
13.	A data quality checklist is completed each year and shows exemplary levels.			
Comments:				

Chapter Twelve: Internal Program Evaluation (OCTAE Program Memorandum 19-1, Grant, AEFLA Resource Guide, NRS Evaluation Program Effectiveness Resource, Program Assurance, WIOA Sec 231)

Item	General Requirements	Evidence	Compliance Status (To be completed by State staff)	
			Yes	No
1.	Local program utilizes summative and formative evaluation processes, as outlined in the grant application.			
2.	Staff evaluations are completed annually and include the use of SIA observations conducted by the local program.			
3.	Participants are presented with an opportunity to complete an end of course evaluation that evaluates instructor performance as well as the quality of instruction.			
4.	Participants in a Career Services course are presented with an opportunity to complete an end of course evaluation.			
5.	Program has a local evaluation plan in place to monitor:			

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	(1) Data quality & data validity (2) Multi-year post-test rate (3) Program design (4) Multi-year Measurable Skill Gains & Outcome measures (5) Overall administration of the grant (6) Career Pathways Implementation			
6.	Data is used as a means to improve program performance. <i>Provide a succinct discussion on how this is accomplished.</i>			
7.	At least one 'data dive' is conducted yearly to identify and evaluate an area in which program improvements can be focused upon.			
Comments:				

Chapter Thirteen: Fiscal Review (EDGAR, AEFLA Section 241(a), Single Audit Act Amendments of 1996 (31 U.S.C. 7501-7507), and revised OMB Circular A-133, OMB Circular A-133; 34 CFR Part 80.26, 34 CFR Part 80.42, Program Assurance)

Item	General Requirements	Evidence	Compliance Status (To be completed by State staff)	
			Yes	No
1.	Program ensures that funds are expended as approved in the final budgets for both federal and state appropriations. Who enters the drawdowns? _____			
2.	Program follows cost principles as identified in OMB Uniform Guidance.			
3.	Program ensures that expenditures are properly documented. <u>Instructions:</u> Evidence for this item must include the following: 1) Vouchers, purchase orders, invoices			

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	<ul style="list-style-type: none">2) Payroll records & benefits paid3) Credit card payments4) And any other evidence for the expenditure of AE/IELCE grant funds5) Drawdown <p>Submitted documentation must balance to the submitted drawdown for that month.</p> <p>Note:</p> <p>A) Programs monitored in the fall must submit all expenditure documents for September of the current fiscal year.</p> <p>B) Programs monitored in the spring must submit all expenditure documents for January of the current fiscal year.</p>			
4.	Program prepares and submits final cash and in-kind match reports as specified in the grant award.			
5.	Program prepares and submits the State Financial Status Reports (FSR) at the end of the year by the required due date and certifies that the expenses are true and correct.			
6.	Program notifies the State AE office of planned changes to budgets so that the drawdown system can be adjusted accordingly.			
7.	Program maintains payroll records for grant-funded personnel and time and task logs where staff are paid from multiple funding sources.			
8.	Program keeps an appropriate inventory of equipment & materials paid for with AEFLA grant funds.			
9.	Program fiscal and student records are retained for 3 years after the completion of a current grant cycle.			
10.	Program follows its own local procurement procedures.			
11.	Program income collected in a fiscal year is used by the local program for AEFLA allowable costs within the			

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	same year and is reported on the appropriate FSR documents.		
Copy of last audit provided. ____ Y or ____ N (This can be submitted by mail in or email along with the thumb drive)			
Comments:			

Chapter Fourteen: Reports (General & Program Assurances-State Requirements)

Item	General Requests	Evidence	Compliance Status (To be completed by State staff)	
			Yes	No
1.	FY Based Diagnostic Report (under “Searches” in LACES) is utilized on a monthly basis as a means to validate data.			
2.	“Hours Between Assessment Report” is utilized monthly to identify students who have been post-tested before 40 hours. All students testing early must have waivers to test early in either the student file or a master file at the main office.			
3.	Age Report indicates that no students under the age of 16 have been or are being served.			
4.	Current Dashboard from LACES reflects to-date progress on meeting federally negotiated targets and post-test rate.			
5.	All Mid-year reports, quarterly reports, and monthly data reports are submitted on time.			
Comments:				

Chapter Fifteen: WIOA System Network (OCTAE Program Memorandum 17-4, Wyoming State Plan, AEFLA Resource Guide, Program Assurance, WIOA Sec 231)

Item	General Requirements	Evidence	Compliance Status (To be completed by State staff)	

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			Yes	No
1.	Provide a succinct response to: how access to Adult Education program services through the One-Stop Center is through direct linkage or in-person.			
2.	Cross trainings between Adult Education, DWS, VR, and other community service providers is completed on a regular basis.			
3.	Workforce system partners work in a seamless customer focused delivery network. <i>Provide a succinct explanation of how this is done.</i>			
4.	Regional workforce strategies, as identified by Next Generation Sector Partnerships or through the Wyoming Unified State Plan are used to address local/regional workforce needs (WIOA Sec 3(7)(C).			
5.	Local program is an active participant in regional Next Generation Sector Partnership meetings, when applicable. <i>Describe involvement in Next Gen activities in your region over the past six months.</i>			
Comments:				

Chapter Sixteen: General Education Provision Act (GEPA Section 427) (WIOA Sec 188, General & Program Assurances)

Item	General Requirements	Evidence	Compliance Status (To be completed by State staff)	
			Yes	No
1.	Applicant has submitted a “sufficient section 427 statement with their application. <i>Attach GEPA statement from grant reapplication.</i>			
2.	A description of the steps the applicant proposes to take to ensure equitable access to, and participation in, it’s Federally –assisted program for students, instructors, and other program beneficiaries with special needs.			
3.	Examples of how the applicant might satisfy the requirement are clearly stated.			

Updated May 12, 2025

Program:

Date:

Reviewer:

Comments:

Program:		Appendix: Student File Checklist										Date:						
Reviewer:		Audit																
	Student Name	In ta ke fo r m s co m p l e t e d & sig ne d	Car eer Ass ess me nt is in file	16-1 7 has waiv er docu ment or court orde r	TA BE (o r BE ST) pr e/ po st te st re su lts	Co m pu te r pr es cri pti ve re su lts in fil e	Rel eas e of info for ms sign ed and dat ed	Att end anc e rec ord s mat ch LAC ES	Evidenc e of co-enro llments are noted in the student s LACES records	Di scl os ed di sa bil ity do cu men ta ti on in fil e	As sig n men ts and w ork sa m pl es	Docu ment ation of stud ent progr ess and refer ral note s are in file	Car eer Pla nni ng doc um ent s are in the file	Earn ed cre den tial s are in file	Enrol lmen ts in posts econ dary are reco rded in LACE S	Co-enr ollment s with DWS/D VR are noted in student file	Evidence of 'progress ' towards mileston es is included in local file for IET students	
1																		
2																		
3																		
4																		
5																		
Example of labelling	Steve Brown	Brown-INT	Brown-CA	Brown-AW	Brown-Test		Brown-RL	Brown-ATT	Brown-CE	Brown-DIS	Brown-ASG	Brown-REF-PRG	Brown-CP	Brown-EC	Brown-PS	Brown-CO	Brown-EV	
	Note: Program will select 5 student from LACES to conduct a random sample evaluation of student files																	
	Instructions:																	
	Documentation submitted as evidence for the Student File checklist should be labelled as follows: Last name of student + coding shown in the example above.																	

Program:

Date:

Reviewer:

		Local programs may utilize an N/A for any item not applicable to the selected student.						
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