College & Career Readiness Office of Adult Education Comprehensive Monitoring Procedures Manual 2025-26

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Title II Comprehensive Monitoring Procedures Manual Introduction

Welcome to the Title II Comprehensive Monitoring Manual. This document contains essential monitoring procedures and requirements for programs funded by the WIOA, Title II, Adult Education and Family Literacy Act (AEFLA). As mandated by 2 CFR 200.331, federal regulations require pass-through entities to monitor their sub-recipients and grantees. The North Carolina Community College System (NCCCS) is the pass-through entity for Title II AEFLA grant funding.

The monitoring cycle covers programs funded by Section 231 Adult Education Family Literacy Act, Section 225, Corrections Education, and 243 Integrated English Literacy and Civics Education (IELCE). Programs are monitored based on specific criteria which include carrying out allowable activities, fulfilling one-stop partner roles and responsibilities, and serving eligible adults, also compliance with Federal and State policies, performance levels, and valid data reporting are essential aspects of the monitoring process.

Identification for different levels of monitoring is determined through a comprehensive annual Risk Assessment process. Additionally, specific program characteristics, such as having a new director, Measurable Skills Gain (MSG) percentage, Employment 2nd Quarter after Exit, retention rates, time since the last monitoring, or being a new WIOA grantee, may influence the selection process.

The comprehensive monitoring process involves both continuous desktop monitoring and on-site and virtual comprehensive monitoring. Continuous desktop monitoring is required for all providers, whereas on-site and virtual comprehensive monitoring is conducted based on Risk Assessments and involves prerequisite activities. The on-site and virtual comprehensive monitoring process is divided into five modules; each aligned with the required 13 Considerations.

The monitoring team is comprised of the NCCCS Compliance and Monitoring Unit and staff members, including grant representatives and subject matter experts. Comprehensive monitoring visits include pre-monitoring activities, on-site or virtual visits, documentation review, post-monitoring follow- up, and program support to remedy identified deficiencies. Also, providers selected for monitoring must engage in an exit interview upon completing the monitoring sessions.

Furthermore, providers will receive an official Title II Monitoring Report with results within **60** business days of the on-site or virtual visit. If a Corrective Action Plan (CAP) is required, providers will have **30** days to respond in writing via the CAP response template, and the monitoring team will schedule monthly meetings to ensure the issues are resolved. Providers without a corrective action plan will have **30** days to respond to recommendations mentioned in the report.

Decisions regarding the monitoring your program will receive will be communicated to you prior to the official monitoring notification via email by Brandy Brown, Bbrown@nccommunitycolleges.edu.

This Comprehensive Monitoring Manual serves as your guide to ensuring compliance and enhancing the quality of your Title II-funded programs. This process will foster a strong partnership between the NCCCS, Office of Adult Education and local providers, leading to the continued growth and success of Adult Education and Family Literacy programs in North Carolina.

Title II Monitoring Procedures

Title II Monitoring Requirements

Per 2 CFR 200.331, Federal regulations require pass- through entities to monitor sub-recipients and grantees. In this case, the pass-through entity is the North Carolina Community College System (NCCCS). All Title II-funded programs are required to be monitored. The NCCCS, Monitoring and Compliance Unit conducts both on-site and virtual monitoring sessions.

Purpose of Monitoring

The purpose of monitoring is to ensure that local providers meet Adult Education and Family Literacy Act (AEFLA) requirements, to improve the quality of federally-funded activities, to provide assistance in identifying and resolving Title II accountability problems, to ensure the accuracy, validity, and reliability of data collection and reporting. Additionally, monitoring focuses on assisting programs with refining policies and procedures for program accountability. The monitoring cycle covers the current program year for providers funded by Section 231 AEFLA, 225 Corrections Education, and 243 Integrated English Literacy and Civics Education (IELCE).

Programs Monitoring Criteria:

1. Required 13 Considerations (34 CFR 76.720; 34 CFR 76.770)

   - Are you carrying out allowable activities?
   - Are you fulfilling one-stop partner roles and responsibilities?
   - Are you serving eligible adults?

2. Compliance with Federal and State policies and procedures regarding performance and assessment (2 CFR 200.329; 34 CFR 76.722)

   - Are you meeting performance level goals?
   - Are you providing the State with data that is valid and reliable?

3. Financial (budget) Reporting (2 CFR 200.328)

   - Are you using AEFLA funds in ways that are allowable under the statute?

Program Identification Process

Risk Assessment

Programs are identified for different levels of monitoring through a comprehensive Risk Assessment. The NCCCS, Compliance and Monitoring Unit administers the Title II Risk Assessment annually. Programs are selected for monitoring based upon the following:

1. New Director (3 years or less)
2. MSG percentage
3. Employment 2nd Quarter after Exit
4. Retention
5. Length of time since last monitoring
6. New WIOA grantee
7. Budget Expenditures
8. Continuous Reporting
9. Previous Corrective Action Plans (CAP)

Levels of Monitoring

- Continuous Fiscal and Programmatic Desktop Monitoring
  - Required for all providers.
  - Monthly and/or Semi-annual Time and Effort Report
  - Monthly XDBR or Request for Reimbursement (CBO)
- Comprehensive On-site and Virtual Monitoring
  - Conducted based on Risk Assessments
  - Requires prerequisite on-site and virtual activities
  - Divided into **five** modules based on the 13 Considerations

Comprehensive Monitoring Protocol

The comprehensive monitoring sessions are conducted by the NCCCS, Monitoring and Compliance Unit. Additionally, NCCCS Title II staff members, including grant representatives, subject matter experts for instruction, performance accountability, and program practices comprise the monitoring team.

Monitoring Process

Monitoring is conducted with on-site and virtual visits and required prerequisite on-site activities. It is organized around a monitoring checklist based on the required 13 Considerations which are divided into **five** modules. Each module has a checklist of questions and documentation that must be submitted before the site visit. The Monitoring Checklist is available on 2025-26 College & Career Readiness Comprehensive Monitoring Moodle.

Module 1- Instruction	Module 2- Program Practices	Module 3-Data and Performance Accountability

Module 4- Partnerships	Module 5- Financial Management
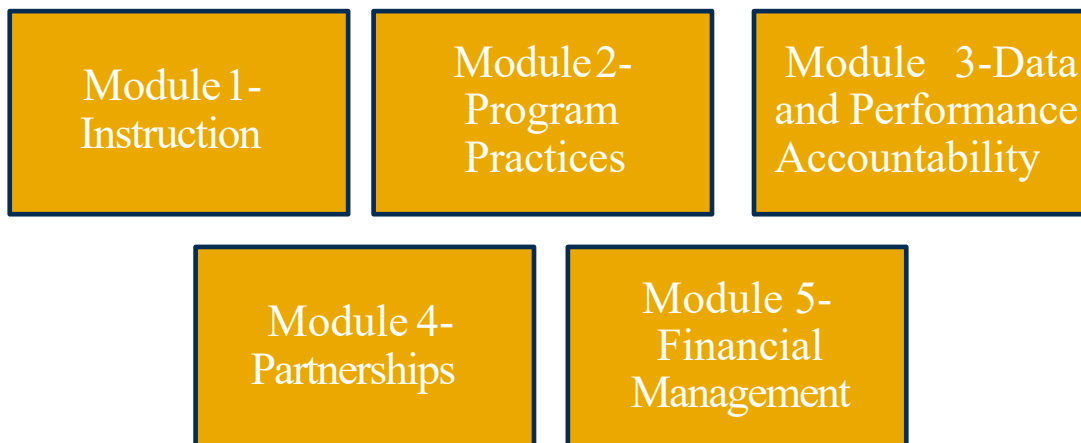
Beginning the Monitoring Process

1. Providers are evaluated for risk using the Title II Risk Assessment.

   - An official Risk Assessment letter is sent.

2. Programs identified for on-site and virtual comprehensive monitoring via the Risk Assessment communication are notified at least 30 days before the scheduled monitoring visit.

   - Providers are contacted to schedule monitoring site visits via phone or email.
   - A **confirmation notification** is sent to the Title II program director.

Pre-Monitoring Meeting Process

1. Pre-monitoring meeting: One month prior to the comprehensive monitoring sessions, a meeting will be conducted. The purpose of the pre-monitoring meeting is to ensure that the provider has clear directions and expectations about the upcoming on-site/virtual monitoring session.
   a. The pre-monitoring meeting should include the program director and other pertinent staff that will attend and participate in the on-site/virtual monitoring session.
   b. The pre-monitoring meetings will be scheduled for thirty **(30)** minutes.

Document Submission Process

2. Upon completion of the pre-monitoring meetings, the provider will be required to submit the Title II Monitoring Contact Information Form.

Instructional Review Observation Process

3. Programs will be required to submit all monitoring documentation at least **thirty** days before the scheduled comprehensive monitoring visit.
   a. Please use the Moodle link to submit required documentation. [2025-26 College & Career Readiness Comprehensive Monitoring](#)

An essential part of the on-site and virtual monitoring visits is the instructional observation conducted by the NCCCS Monitoring Team. See below the required documents.

- Programs will be required to submit a schedule that includes classes that are facilitated both on-campus and off-campus, day, and evening, online and hybrid. The class schedules submitted will be used by the monitoring team during the instructional observation sessions.
- Instructional observation for sections at a distance: please note, providers should submit online, hybrid, and traditional classes for observation:
   - Synchronous and Asynchronous courses: providers should provide access to the online courses by sending a Zoom or WebEx link to the CCR monitoring team members.
   - The monitoring team will review live online classes during the comprehensive monitoring sessions.

Programs will be required to submit the documentation for each of the modules in the 2025-26 College & Career Readiness Comprehensive Monitoring Moodle site.

Day of Monitoring Activities

1. Providers should schedule at least two days for the monitoring sessions. The number of observation days will be determined by the CCR State Office staff.
2. Providers should have personnel available to meet with the monitoring team from the following areas:
   o Business and Finance Office
   o Data and Performance
   o Instructional Support
   o Title II Administrative Team
3. Upon completion of the comprehensive monitoring sessions, providers will engage in a one-hour exit interview.
4. Providers may invite the following personnel to the exit interview:
   o Organization Administrator(s)
   o Title II Program Director's Supervisor
   o Title II Program Director
   o Data and Performance Representative
   o Instructional Support Representative
   o Business and Finance Representative

Post-Monitoring Activities

Following the completion of the comprehensive on-site or virtual monitoring session, the subsequent activities will occur. Providers will receive an official copy of their Title II Monitoring Report with monitoring results within **60** business days.

If the provider is placed on a Corrective Action Plan (CAP), the provider will have **30** business days to respond in writing.

o All CAPs will be uploaded to the Moodle website learn.cord.org/login/index.php
o A member of the NCCCS Monitoring Team will conduct monthly meetings with the provider until the CAP is satisfied.
o The CAP response will be signed by the local Title II Program Director and the Assistant State Director of Compliance and Monitoring once the required actions have been resolved and monthly meetings are no longer necessary.
o Providers that are not placed on a CAP will have **30** days to respond to the recommendations section of the report.

Please note, the Title II Monitoring Report will be sent to the following personnel:

Community Colleges	Community-Based Organizations
Program Director	Executive Director
Supervisor of Program Director	Program Chair
President	Board Chair

Comprehensive Monitoring Session Determination

Note: A decision will be made about the type of monitoring your program will receive prior to your official monitoring notification. All monitoring notifications are sent via email by Brandy Brown, Monitoring and Reporting Specialist.

System Office Monitoring Team

The number of monitoring team members will be selected based upon the size of the organization. Experts from these areas will be included on the team.
Compliance Specialist
Financial Specialist
Instructional Specialist
Performance and Accountability Specialist
CCR Senior Administrator

Comprehensive Monitoring

Monitoring ensures local providers comply with Adult Education and Family Literacy Act (AEFLA) requirements, improve funded activities, address accountability problems, and validate data accuracy. It also supports the implementation of comprehensive policies and procedures for program accountability.
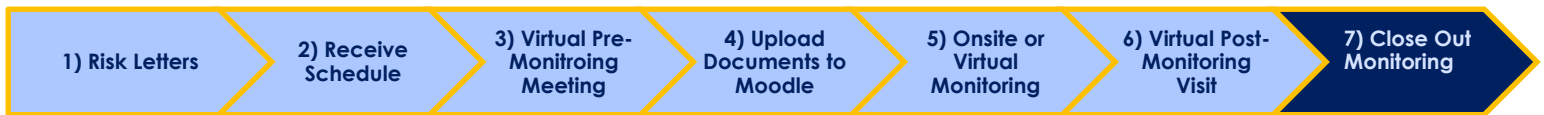
Comprehensive Monitoring Process

Procedures	Documents	Resources

1) Risk Letters	2) Receive Schedule	3) Virtual Pre-Monitroing Meeting	4) Upload Documents to Moodle	5) Onsite or Virtual Monitoring	6) Virtual Post-Monitoring Visit	7) Close Out Monitoring
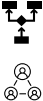
	Steps	*Resources*
	1) Risk Letters	Providers will receive risk letters, which will inform program Director's whether comprehensive monitoring will be required.
	2) Receive Schedule	Providers will receive a **comprehensive monitoring schedule** after the risk letter has been received. Please see the sample schedule.
	3) Pre-Monitoring Meeting	The pre-monitoring meeting takes place 45 days before the onsite or virtual monitoring visit. Please see the sample agenda for the pre-monitoring meeting.
	4) Upload Documents to Moodle	Providers will upload documentation to the **comprehensive monitoring Moodle** to support the request from the **Comprehensive Monitoring Checklist**. Please see examples below: • 231 Comprehensive Monitoring Checklist • 243 Comprehensive Monitoring Checklist • 225 Comprehensive Monitoring Checklist
	5) Onsite or Virtual Monitoring	Providers who will receive Module 1 complete the course schedule template. Please complete the contact form before the onsite or virtual visitation. Please see the sample agenda for the monitoring visit.
	6) Post-Monitoring Visit	The post-monitoring meeting (virtual) will take place 30 days after the onsite or virtual visit has concluded. Please see the sample agenda for the post-monitoring.
	7) Close Out Monitoring	Upon completion of the comprehensive monitoring session: Providers will receive an official copy of their **Title II Monitoring Report with monitoring** results within **sixty (60) business days**. If the provider is placed on a **Corrective Action Plan** (CAP), the provider will have thirty (30) business days to respond in writing. • All CAPs will be uploaded to the Moodle website. • A member of the monitoring team will conduct monthly meetings with the provider until the CAP has been satisfied. The CAP response will be signed by the Director of the College and Career Readiness Program and State Director of Monitoring and Compliance once the Required Actions have been resolved and monthly meetings are no longer necessary. Providers not placed on a CAP will have thirty (30) days to respond to the report's commendations and recommendations section.

To:	College and Career Readiness Directors, Community Based-Organization Directors
From:	Dr. Michael Tilley, Associate State Director for Monitoring and Compliance, NCCCS
Date:	Month XX, 20XX
Subject:	2025-26 Risk Assessment and Monitoring Protocols

Under 2 CFR 200.331, Federal regulations require pass-through entities to monitor Title II funded sub-recipient grantees. The North Carolina Community College System (NCCCS) is designated as the pass-through entity for the Adult Education and Family Literacy Act (AEFLA) Federal award. All AEFLA funded programs are required to engage in monitoring, which provides reasonable assurance that the grantee is managing the Federal funds in compliance with required statutes, regulations, and terms of the award (2 CFR 200.303).

As part of the Federal compliance process, the Federal Programs Monitoring and Compliance Unit at NCCCS is required to conduct an annual risk assessment on each Title II-funded provider. The Uniform Grant Guidance requires the pass-through entity to assess each sub-grantee's risk of not complying with Federal statues, regulations, and the terms and conditions of grant awards (CFR 200.331).

The results of the Risk Assessment inform how providers are monitored and evaluated per the requirements of Title II Section 223. Each year as part of Title II required activities, on-site and virtual monitoring is conducted on selected AEFLA funded providers. These providers are selected for on-site monitoring based on several criteria:

- Measurable Skill Gains (MSGs) **2025_12 Power BI**
- Second Quarter Employment Exit Rate
- Retention **2025_12 Power BI**
- Director's Experience, points received if greater than 3 years of experience
- Time since last monitoring
- On a Corrective Action Plan in the last five years
- Timely Reporting
  - o XDBRS
  - o Time and Effort
  - o Budget submissions
  - o Verifying data
- Percentage of Budget Expended; must expand 90% of all the budgets combined
- Federal and State Match larger than $250,000 a year
- Previous Audit Factor

Based on this year's risk assessment, a full **on-site** review of your Section 231 Adult Education and Family Literacy Act (AEFLA) Federal grant award is required. Per the North Carolina Office of Adult Education, providers are only monitored for one Federal funding stream at a time. Note, your agency will not engage in additional monitoring for the 225 (Corrections) or 243 (IELCE) Federal grant awards.

The **documentation upload process** will begin in the fall, and the **on-site review** will take place in the spring.

In addition to the on-site visit, all providers will receive continuous desktop monitoring during the program year. The continuous virtual monitoring components will include the following:

1. National Reporting System (NRS) data review
2. Samples of Time and Effort reports
3. Budget expenditures tracked and reviewed periodically during the program year

Process for Scheduling On-Site Comprehensive Monitoring Sessions
To schedule monitoring sessions, Brandy Brown, Monitoring and Reporting Specialist (bbrown@nccommunitycolleges.edu), will contact Title II program directors directly via email to coordinate on-site and virtual visits after the webinar mentioned below.

Title II Comprehensive Monitoring Webinar Information
To provide comprehensive guidance and support, program directors will engage in an informational webinar that will be facilitated on **9/10/2025 at 10:00 AM**.

Please note that updated on-site and virtual comprehensive monitoring materials, including a revised Title II Comprehensive Monitoring Checklist Document and the Title II Monitoring Procedures Manual, will be available on Moodle and sent via email after the scheduled monitoring webinar. The Title II Comprehensive Monitoring Webinar will address the topics listed below.

1. Title II Monitoring Procedures Manual
2. Title II Comprehensive Monitoring Checklist Document(s)
3. Pre-Monitoring Meeting Details
4. On-site and Virtual Visit Details
5. Post-Monitoring Meeting Details
6. Title II Comprehensive Monitoring Moodle Site
7. WIOA, Title II Monitoring Program Contact Form

We look forward to working with you and your team this year!

Sincerely,

Michael Tilley, Ed.D.
Associate State Director for Monitoring and Compliance

cc: College President or Chief Executive Officer of Community-Based Organization
    Program Supervisor
    Dr. Rob Van Dyke, Associate Vice President for Federal Programs
    Arbony Cooper, WIOA Title II, North Carolina State Director
    Rebecca Loli, WIOA Title II, Assistant State Director for Programs and Partner Engagement

Pre-Monitoring Contact Form

Below is an example of the Pre-Monitoring [Contact Form](#) that must be completed at least two weeks prior to the on-site visit.

NC COMMUNITY COLLEGES
CREATING SUCCESS

Pre-Monitoring Contact Form

NORTH CAROLINA COMMUNITY COLLEGE SYSTEM
Division of Academic and Student Services College and Career Readiness (CCR) Pre-Monitoring Contact Information

1. Provider:

Enter your answer

2. Program Director:

Enter your answer

3. Date of monitoring On-Site visit or Desk-Based monitoring meeting:

Please input date (M/d/yyyy)

4. Primary Contact: Title, Phone Number, and Email Address for Program Director:

Enter your answer

5. Address, Building Name, and Room Number where the CCR Monitoring Team will meet the Director and other staff the first day of the On- Site Monitoring Visit.

Enter your answer

Course Schedule

Instructions: Please complete the course schedule templates for Traditional Daytime, Distance Education, and Evening Classes. If you find that you have additional classes, please add more lines to the document. Also, you may elect to complete the sheet multiple times for multiple classes.

Name of Class:	
Class Type:	(ABE, ASE, ESL)
Name of Instructor:	
Time (AM/PM)	
Days of the week:	
Mode of Delivery	(F2F, Hybrid, Blended)
Location: (Specify on-site, off-site, online)	
Number of students	

Name of Class:	
Class Type:	(ABE, ASE, ESL)
Name of Instructor:	
Time (AM/PM)	
Days of the week:	
Mode of Delivery	(F2F, Hybrid, Blended)
Location: (Specify on-site, off-site, online)	
Number of students	

Name of Class:	
Class Type:	(ABE, ASE, ESL)
Name of Instructor:	
Time (AM/PM)	
Days of the week:	
Mode of Delivery	(F2F, Hybrid, Blended)
Location: (Specify on-site, off-site, online)	
Number of students	

AGENDA

Title II Pre-Monitoring Meeting

Date: MM/DD/YYYY
Time: 10:00 AM

Attendees: Staff from North Carolina Community College System Office and College and Career Readiness Provider

10:00 AM – 10:05 AM	**Introductions** Local Provider and System Office Staff	Virtual
10:05 AM – 10:10 AM	**Review Monitoring Documents** Monitoring Procedures Manual Monitoring Checklist Document	Virtual
10:10 AM – 10:20 AM	**Expectations of Virtual or Onsite Monitoring** Document Submission Confirm document submission prior to the official monitoring date Post-Monitoring Conversation Pertinent Title II staff should attend the post monitoring meeting	Virtual
10:20 AM – 10:30 AM	**Post-Monitoring Follow-Up Actions** Receive official report in 60 days	Virtual

AGENDA

North Carolina Community College System

College and Career Readiness Monitoring Review

XX Community College

MM/DD/YYYY

9:00 AM - 9:30AM

(adjust as needed)

Entrance Interview   (In-person or Virtual)
Welcome and Introductions
Purpose and Expectations
NCCCS, College and Career Readiness Section,
Title II, Office of Adult Education

10:00 AM - 11:00 AM

Observe Instructional Sessions   (In-person or Virtual)
Student Interview (ABE, ASE, ESL)

11:00 AM - 12:00 PM

Observe instructional Sessions   (In-person or Virtual)
Continued (ABE, ASE, ESL)
Observe Integrated Education and Training (IET) (if applicable)
Interview with Instructor

12:00 PM - 1:15 PM

Lunch (System Office Staff Only)

1:15 PM - 4:00 PM

Interview with Data and Performance Manager   (In-person or Virtual)
Observe Student Intake (if applicable)
Observe Orientation (if applicable)
Observe Advising (if applicable)
Observe Instructional Sessions (if applicable)
Interview with Title II Program Director

5:00 PM - 6:30 PM

Observe Evening Classes (ABE, ASE, ESL)   (In-person or Virtual)

6:30 PM

Conclude Day   (In-person or Virtual)
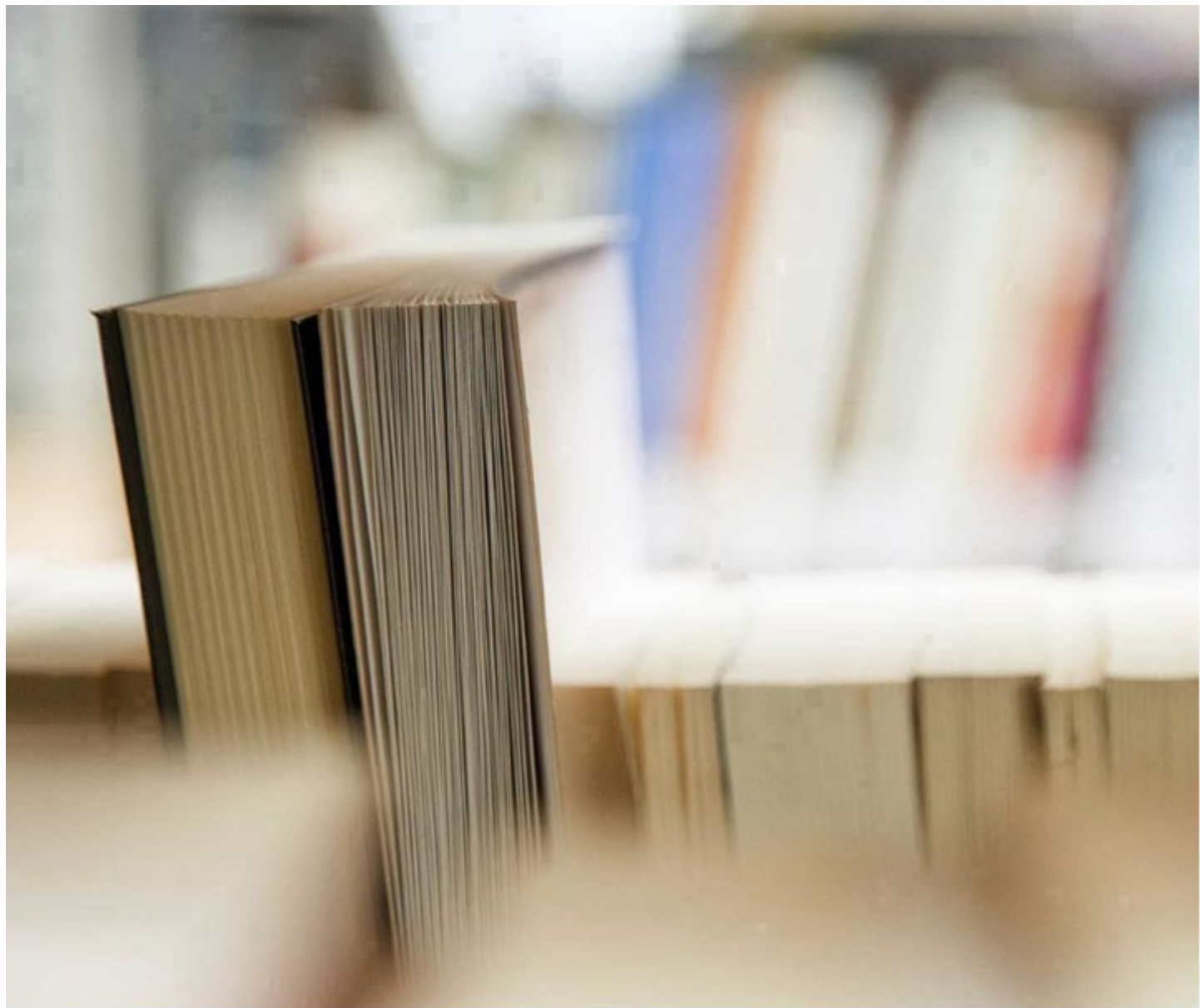
North Carolina Community College System, Office of Adult Education

WIOA, Title II, Adult Education Fiscal and Programmatic Interview Questions Packet

Purpose of the WIOA, Title II, Adult
Education Interview Packet

The following information will collect qualitative fiscal and programmatic data for all providers funded via the Adult Education and Family Literacy Act (AEFLA). Both fiscal and programmatic interviews will cover questions concerning sections 231 Adult Education and Family Literacy Act, 225 Corrections Education and Other Institutionalized Individuals, and 243 Integrated English and Civics Education Federal grant awards.

About this Packet

The North Carolina Community College System, Office of Adult Education, College and Career Readiness (CCR) Section, as the pass-through entity of the AEFLA Federal grant award, is required by the Office of Career, Technical, and Adult Education (OCTAE) to monitor local programs CFR (200.332).

The Title II AEFLA monitoring process is configured to examine and review the following items:

- Confirm that providers meet both the fiscal and programmatic requirements, per the specified WIOA, Title II State, and Federal assurances.
- Identify and highlight areas where providers are exceeding and surpassing required outcome measures.
- Develop and implement tangible work plans to support programs with meeting the required specifications of the allocated Title II grant awards.
- Provide appropriate professional development and technical assistance to support programs.

Inquiries and Questions

Please contact the Compliance and Monitoring Unit for inquiries about the interview questions. Please submit all questions about the packet in writing via email to Brandy Brown, Monitoring and Reporting Specialist (bbrown@nccommunitycolleges.edu). We look forward to working with you this program year!

Title II Provider Financial/Subrecipient Information

Provider Name:		Review Date(s):		
Contact Name:		Email:		
Type of Monitoring (Full/Targeted):		On-site/Virtual:		

	State Generated FTE/CBO Match	231 Amount	225 Amount	243 Amount
Title II Award Amount	$	$	$	$
Amount expended to date	$	$	$	$

Current Enrollment Number:	Current MSG Rate:
Percentage of SSNs Collected:	Student Retention Rate:

IET Programs Offered:

Notes:

Program Administrator Interview Questions (All Modules)

Describe your local program structure. Who is responsible for the following areas: • Supervising Adult High School (*if applicable*) • Supervising instructional practices • Supervising career pathways (IETs) • Supervising career and postsecondary education transition services • Supervising the fiscal and budget processes	
Describe your process for hiring highly qualified instructors and other Title II staff members.	
Describe your process for onboarding and transitioning new instructors into the classroom. • How long is the onboarding process?	
How often do you and your instructional leaders conduct classroom walkthroughs and observations? • Can you describe the documentation process? • How do you provide feedback after the observation? • What areas of instruction could be improved?	
Does your program offer a lesson planning repository? If so, what platform is used to house the lessons?	
How often do you offer information update meetings? (i.e., staff meetings; professional development) • What is your role as the program administrator? • What type of professional development have you completed within the last 6 months? • Describe your faculty and staff retention practices and cross-training process.	

Program Administrator Interview Questions (All Modules)

How often must faculty and staff attend professional development sessions? • Have you implemented a threshold limit for professional development? Staff must attend at least 5 hours per semester of training. Professional Development includes the following areas: Performance and Accountability, Instruction, Business and Finance, etc.	
Describe your process for offering distance education courses. • Do you have specialized trained staff to support distance education? • What are the strengths of distance education? • What are the distance education weakness?	
Describe your current partnership relationships. Partnerships are beneficial to help students be placed in employment or curriculum courses. • What is the greatest strength of the program's established partnerships? • What can be improved with current partnerships?	
What is your largest demographic of students? (ESL, Justice Involved, ABE, ASE) • Describe your recruitment methods for the target population. • What are your current enrollment numbers?	
Describe your organization's plan to transition students to employment, workforce, postsecondary education? What training options are available for students? • As the administrator, what is your role in this process?	
Describe your disability support services for students. • As the administrator in charge, what is your role?	

Program Administrator Fiscal Questions (All Modules)

How often do you interact with your Business and Finance office? Who is your designated contact person for business and finance?	
How do you track and verify grant expenditures? How do you correct incorrect expenditures and payments?	
Describe your process for certifying Time and Effort Reports. Who reviews and signs the Time and Effort reports?	
Who is responsible for maintaining your inventory control policies and procedures? Specifically, how do you inventory equipment purchased with Title II funds?	

Business and Finance Office Administrator Interview Questions (Module 5)

Describe your local fiscal structure. Who is responsible for the following areas: • Facilitating budget review and approval • Supervising and approving monthly expenditures • Supervising the fiscal and budget processes (disseminating new policies and procedures as it pertains to finance) • How do you verify and remedy unallowable expenses?	
How often do you meet with Title II staff members? What is the process for ensuring that these meetings occur frequently?	
Describe your process for onboarding and transitioning new Title II program directors and staff members regarding budgets and finance. How long is the onboarding process?	
Describe your internal controls for fiscal recordkeeping. How do you ensure the appropriate use of federal funds and matching funds for the Title II grant award?	
Please describe the classification and separation of duties for the following positions and responsibilities: • Title Contracts (internal and external) • Purchasing (equipment, materials, supplies) • Title II monthly payroll • XBDR (reporting); Request for Reimbursements (ROR) • Budget amendments/modifications • Is there a reference manual available for cross-department use?	
What is your process for reconciling Time and Effort reports? • Who is the staff member responsible for reconciling the reports? • How often do you reconcile salary for the Time and Effort reports?	
Please describe your local inventory control procedures. • Is there a reference manual available? • How often are the procedures updated?	

Instructor Interview Questions (Module 1)

Questions	Answers
Describe your content area expertise (mathematics, reading instruction, history, science). • How long have you served as an instructor in adult education? • Do you have experience teaching distance education, blended, and hybrid courses?	
Describe your lesson planning review and implementation process. Where are your lesson plans located (course repository, notebook, etc.)?	
How often does the program administration complete classroom walkthroughs and observations? Do you receive written feedback about your instruction?	
Please describe how you accommodate students with disabilities. • Where do you maintain special accommodation plans for students with disabilities? • How often do you review the plans to ensure that you are meeting the learning needs of the students? • Are you involved in the instructional support planning process for students with disabilities?	
Please describe your process for integrating technology into the classroom. • Do you use smartboards, laptops, and tablets to facilitate the lessons? • Are students required to use technology outside the classroom to complete their assignments?	
How do you use standardized assessments such as TABE and CASAS to inform instruction?	
How do you work cross-functionally with The Data and Performance Team to meet the learning needs of students? • How are you alerted that students have met the required hours to post-test? • How do you record student attendance and ensure that it aligns to the required post-testing hours?	
Please describe the types of professional development you have completed in the last 6 months. What is the minimum amount of professional development hours required for instructors?	

Performance and Accountability Interview Questions (Module 3)

Describe your local data entry and validation structure. Who is responsible for the following areas: • Entering accurate data into Colleague/ADVANSYS • Facilitating data review and approval • Supervising and approving weekly data entry information • Supervising the data and performance accountability processes (disseminating new policies and procedures as it pertains to data and performance) • How are pre and post assessments validated? • How do you ensure appropriate facilitation of standardized testing such as CASAS, TABE, GED and HISET? • How do you verify/remedy data abnormalities?	
Describe your intake and workflow processes. • How often are the intake and workflow processes updated to meet changing program needs? • How often do you review data (daily, weekly, monthly) • How do you work with instructors to review data? Does the review data occur daily, weekly, monthly?	
Describe your process for onboarding and transitioning new Title II program directors and staff members regarding data and performance accountability. How long is the onboarding process?	
Please describe your process for maintaining data and performance records. Specifically, how do you maintain student records such as: • Social Security Number • Birthdates • Home Address • Do you have a locking file cabinet where data and intake occur in each location? • Is there a reference manual available for cross-department use?	

Student Intake/Orientation Professional Staff Interview Questions (Module 2)

Please provide a brief example of the intake process. • What happens when a student finds out about the program? How do they reach out to you? (via mobile device, email, or flyer?) • What happens when a student calls to enroll in the program? • Are orientations provided on-site, online, hybrid? • What happens when a student enrolls in the program?	
Please describe the support offered to students during the intake process. • What program support is offered to ensure the student is successful in the program? • What type of information is provided to the students (transportation, childcare, food and nutrition support, other wrap- around services)?	

Student/Program Participant Interview Questions (Modules 1, 2, 3, and 4)

How did you learn about this program? • What test did you take to enroll in the program? • How long was the orientation (Was the orientation online, in-person, or a combination of both?) • Did anyone talk with you about additional supports such as childcare, transportation, and social services programs such as SNAP, and TANF?	
How long have you been enrolled in this program? • What days do you come to class? • Are your classes online, in-person, or a combination of both online and in-person? • Upon completion of the program, are you planning to enter the workforce?	

Has a member of the staff spoken with you about possible career pathways and in- demand jobs in the area? • What career are you interested in? • What curriculum program are you interested in? • Have you spoken with a curriculum counselor? • Have you spoken with a career counselor?	
Is your instructor supportive while in class? • Are you able to ask questions? • Does your instructor respond to emails? • Are you able to interact with the administration?	
What is your favorite part of the adult education program? • Do you feel like you are a part of the overall campus community? • Do you have a campus ID and student email account?	
What is your least favorite thing about the adult education program? Are there any improvements that you suggest?	

Workforce Innovation and Opportunity Act (WIOA), Title II
Adult Education and Family Literacy Act (AEFLA)
On-site and Virtual Instructional Observation Checklist

Program Name:	Instructor Name:	Date:
Evaluator:	Course:	

A. Instructional Category	Submitted (Y/N)
Lesson plan available	
Subject(s) listed on lesson plan (math, reading, language, science, social studies)	
North Carolina Adult Education Standards	
Lesson plan materials are included	
Lesson plan objectives are included	
Lesson plan resources are included	
Lesson plan is contextualized	

B. Instructional Techniques	Submitted (Y/N)
Technology integrated into lesson	
Students are highly engaged in the lesson	
Questions about content are clear and succinct	
Allows students time to process information before answering questions	
Understands adult learning theories and pedagogies	
Demonstrates strong understanding of subject and content	

C. Instructional Presentation	Submitted (Y/N)
Instructor is well prepared for the lesson	
Clearly defines expectations and objectives of lesson	
Information is challenging and aligns to student transition	
Presents information in a clear and succinct manner	
Materials are ADA compliant to support all learners	
Visual aids are clear, legible, and effective	
Provides appropriate manipulatives and aides to facilitate lesson	
Presents information with confidence	
Allows adult learners to be inquisitive during the presentation	

D. Classroom Environment	Submitted (Y/N)
Information inside of classroom is age appropriate for adult learners	
Creates welcoming and comfortable learning environment for adult learners	
Recognizes students when instructional activities are completed, or content is successfully completed	
Has a strong rapport with adult learners	
Students are treated equitably	
Listens and responds appropriately to student inquires	
Responds to appropriately to students that display lack of understanding	
Classroom is ADA accessible	

Comments and Observation:

Check all that apply	Student Activity Observed	Check all that apply	Student Activity Observed
	Utilizing technology (laptop, smartboard, smartphone)		Completing assessment/quiz
	Applying skills learned during lesson		Reviewing videos
	Practicing new skills		Presenting information as a group/individually
	Analyzing presented information or content		Connecting presented content to real-world scenarios and events
	Engaging in small group		Connecting presented content to jobs and careers
	Individual content completion (in-class work)		

NORTH CAROLINA COMMUNITY COLLEGE SYSTEM
Division of Programs and Student Services
College and Career Readiness (CCR) Section

Provider Name:	**Provider Contact Person:**
Email Address for Program Director:	**Name and Email Address for College President or Board Chair:**
Name and Email Address for Program Director's Supervisor:	**CCR State Monitoring Staff:**
Date(s) of Monitoring Visit:	
Signature of Associate State Director for Monitoring and Compliance or Designee:	**Date of Signature:**

Module 1: Instruction

WIOA Consideration #5: Program is (A) of sufficient intensity and quality and based on the most rigorous research available so that participants achieve substantial learning gains; and (B) uses instructional practices that include the essential components of reading instruction.

Evidence and Documentation
- Course schedules (please provide a schedule for ABE, AHS, ASE, and ESL)
- Lesson plans for ABE, AHS and ASE Reading
- Do you run an Adult High School (AHS) Program? (Yes/No)

5-page limit per item listed (limited to a total of 15 pages)

Citation: OCTAE Program Memorandum 17-2	**Review Method:** Document Review, Classroom Observation, Interview

Documentation:

Comments:

Findings:

WIOA Consideration #6: The provider's activities, including whether reading, writing, speaking, mathematics, and English language acquisition instruction delivered by the eligible provider, are based on the best practices derived from the most rigorous research available and appropriate, including scientifically valid research and effective educational practice.

Evidence and Documentation
- Classroom observation tool(s)
- Curriculum Guide (*The Template is available in the Comprehensive Monitoring Moodle:* *https://learn.cord.org/login/index.php*)
- Staff training and professional development records
- Documentation of AHS program existence (if applicable)
- Record retention and storage process for AHS (if applicable)
- Course delivery methods and software usage documentation for AHS (if applicable)

5-page limit per item listed (limited to a total of 30 pages)

Citation: 34 CFR (Code of Federal Regulations) §§ 463.23-463.24	**Review Method:** Document Review, Classroom Observation, Interview

Documentation:

Comments:

Findings:

WIOA Consideration #7: Provider's activities effectively use technology, services, and delivery systems, including distance education in a manner sufficient to increase the amount and quality of learning and how such technology, services, and systems lead to improved performance.

Evidence and Documentation
- Class schedules for distance education (Hybrid, Online, Synchronous, and Asynchronous)
- Instructor/student interactions with students (syllabus, office hour schedule)
- Evidence of a plan for intervention and remediation
- Outline of Distance Education orientation

5-page limit per item listed (limited to a total of 20 pages)

Citation: §463.30	**Review Method:** Document Review, Classroom Observation, Interview

Documentation:

Comments:

Findings:

WIOA Consideration #8: Whether the eligible provider's activities provide learning in context, including through integrated education and training (IET), so that an individual acquires the skills needed to transition to and complete postsecondary education and training programs, obtain and advance in employment leading to economic self-sufficiency, and to exercise the rights and responsibilities of citizenship.

Evidence/Documentation
- IET planning process/tool
- Approval email from State Office
- Contextualized curricula demonstrating single set learning objectives
- Evidence of collaboration among training partners
- Schedule of classes

4-page limit per item listed (limited to a total of 20 pages)

Citation: 34 CFR part 463	Review Method: Document Review, Classroom Observation, Interview
Documentation:	
Comments:	
Findings:	

WIOA Consideration #9: Provider's activities are delivered by well-trained instructors, counselors, and administrators who meet any minimum qualifications established by the State, where applicable, and who have access to high quality professional development, including through electronic means.

Evidence and Documentation
- Staff training and professional development records for NC credentials (*There is a template is available in the Comprehensive Monitoring Moodle:* https://learn.cord.org/login/index.php)
- Job descriptions for:
  - Business and Finance Office (CFO, Accountant, Controller)
  - Data and Performance Accountability (LEIS Specialist, Data Coordinator, Performance Data)
  - Instructional Support (Academic Tutor, Instructor, Instructional Specialist)
  - Title II Administrative Team (Program Director, Executive Director, Dean)
- Staff chart with qualifications (Table 7)
- Professional Development Schedule

5-page limit per item listed (limited to a total of 20 pages)

Citation: 223(a)(1)(B) of WIOA	**Review Method:** Document Review, Interview
Documentation:	
Comments:	
Findings:	

Module 2 - Program Practices

WIOA Consideration #1: The program serves individuals in the community who were identified in such plan as most in need of adult education and literacy activities, including individuals who have low levels of literacy skills or who are English language learners.

Evidence/Documentation
- American Community Survey results and analysis of the Local Workforce Development Board Plan.

5-page limit per item listed (limited to a total of 5 pages)

Citation: §463.30	**Review Method:** Document Review, Interview

Documentation:

Comments:

Findings:

WIOA Consideration #2: The provider serves eligible individuals with disabilities, including eligible individuals with learning disabilities.

Evidence/Documentation
- Standardized intake process for students with disabilities
- Partnership with Disability Services-indicate Yes or No (if applicable)
- Marketing process and procedures for students with disabilities
- Standardized transition plans for students with disabilities.

5-page limit per item listed (limited to a total of 20 pages)

Citation: Section 427 of the General Education Provisions Act (GEPA), 20 U.S.C. 1228a(b)	**Review Method:** Document Review, Interview

Documentation:

Comments:

Findings:

WIOA Consideration #3: The past effectiveness of the eligible provider in improving the literacy of eligible individuals, especially those individuals who have low levels of literacy, and the degree to which those improvements contribute to the eligible agency meeting its State-adjusted levels of the primary indicators of performance.

Evidence and Documentation
- NRS Data and analysis three-year trend (2021-22; 2022-23; 2023-24)
- ESL levels 1-2
- ABE levels 1-2
- Number of hours to make progress (Assessment Workflow)

5-page limit per item listed (limited to a total of 20 pages)

Citation: 34 CFR §§ 463.23-463.24	**Review Method:** Document Review, Interview

Documentation:

Comments:

Findings:

WIOA Consideration #4: The eligible provider demonstrates alignment between proposed activities and services and the strategy and goals of the local plan under section 108, as well as the activities and services of the one-stop partners.

Describe arrangements and agreements that align provider activities and services with the local plan and one-stop partner activities and services.

Evidence and Documentation
-Evidence of communication with representation on the Local Workforce Development Boards (LWDB)
-One-stop partner agreement (Memorandum of Understanding)
-Scheduled collaboration with one-stop partner
-Referral policy and process with one-stop partner

5-page limit per item listed (limited to a total of 20 pages)

Citation: 34 CFR §§ 463.305(b), 463.415(b), 463.430	**Review Method:** Document Review, Interview

Documentation:

Comments:

Findings:

Annual Program Evaluation

Describe your annual evaluation process. How do you use the annual evaluation for program improvement?

Evidence and Documentation
- Standardized evaluation process for WIOA Title II programing
- Process for continuous program improvement

5-page limit per item listed (limited to a total of 10 pages)

Citation:	**Review Method:** Document Review, Interview
Documentation:	
Comments:	
Findings:	

Module 3- Data, Performance, Assessment-
National Reporting System

WIOA Consideration #12: The provider maintains a high-quality information management system that has the capacity to report measurable participant outcomes and to monitor program performance.
Evidence/Documentation
- Submit monthly participant outcome reports (current program year)
5-page limit per item listed (limited to a total of 5 pages)

Citation: 34 CFR part 463, Secs. 116 and 212 of WIOA	**Review Method:** Document Review, Interview
Documentation:	
Comments:	
Findings:	

Staff/Instructor Awareness

What type of training do your employees receive on the National Reporting System (NRS) and student information system? Provide documentation of the dates, training and participants trained.

Evidence/Documentation

- Complete Performance Accountability Table (*The Required Form is in the Comprehensive Monitoring Moodle: https://learn.cord.org/login/index.php*)
- Standardized number of training hours for all staff (what is the minimum number of training hours?)
- Documentation demonstrating data personnel working cross functionally with instructors
- Samples of agendas assigned for faculty and staff meetings

5-page limit per item listed (limited to a total of 20 pages)

Citation: 223(a)(1)(B) of WIOA	**Review Method:** Document Review, Interview
Documentation:	
Comments:	
Findings:	

Workflow

Describe your data workflow that includes recording keeping, student files, and folders.

Evidence/Documentation *(Please redact any personal student information)*
- Standardized Literacy Education Information System (LEIS) forms (must be completed with test scores)
- Computer based score report and/or paper-based assessments
- Standardized student intake process
- Standardized method for record keeping
- Standardized student information files and folders
- Central location for student files/folders
- 3-page limit per item listed (limited to a total of 18 pages)

Citation: 34 CFR part 463, Secs. 116 and 212 of WIOA	**Review Method:** Document Review, Interview
Documentation:	
Comments:	
Findings:	

Data Quality

How are you utilizing the student information system to monitor data quality?

Evidence/Documentation
- Standardized written policy for NRS assessments and evaluation
- Process to ensure data accuracy, quality, and validity
- Policy for entering student data into the ADVANSYS data management system in a timely manner
- Policy for reporting contact hours, or membership hours

5-page limit per item listed (limited to a total of 20 pages)

Citation: Secs. 116 and 212 of WIOA, 34 CFR § 462.40	**Review Method:** Document Review, Interview

Documentation:

Comments:

Findings:

Analyzing Student Data

Analyzing data to meet performance measures. How do you identify areas in need of performance improvement?

Evidence and Documentation

- Performance Accountability staff with clear responsibility for all matters related to data collection (*submit job description*)
- Standardized student retention process
- Submit the reports used to monitor program performance and ensure data quality
- Evidence of intervention based on student data and information.

5-page limit per item listed (limited to a total of 20 pages)

Citation:	Review Method: Document Review, Interview
Documentation:	
Comments:	
Findings:	

Student Folders and Files (Onsite Only)
What should be added to the student files:

Evidence/Documentation
- Signed LEIS Forms, completed with scores, or digital LEIS Form
- Score reports for computer base testing and/or original paper-based assessments
- Sample of academic records from the Publisher for proof of MSG 1d (if applicable)

Citation:	**Review Method:** Document Review, Interview
Documentation:	
Comments:	
Findings:	

Module 4- Partnerships

WIOA Consideration #10: The provider's activities coordinate with other available education, training, and social service resources in the community, such as by establishing strong links with elementary schools and secondary schools, postsecondary educational institutions, institutions of higher education, local workforce investment boards, one-stop centers, job training programs, social service agencies, business, industry, labor organizations, community-based organizations, nonprofit organizations, and intermediaries, for the development of career pathways;

Evidence and Documentation
- Memorandum of Agreement (MOA) with the Department of Social
  Services
- Standardized process for providing wrap-around services
- Memorandum of Agreement (MOA) with Local Education Agencies

5-page limit per item listed (limited to a total of 20 pages)

Citation: 34 CFR §§ 463.305(b)(4), 463. 420, 463. 435	**Review Method:** Document Review, Interview

Documentation:

Comments:

Findings:

WIOA Consideration #11: Whether the eligible provider's activities offer flexible schedules and coordination with Federal, State, and local support services (such as childcare, mental health services, and career planning) that are necessary to enable individuals, including individuals with disabilities or other special needs, to attend and complete programs.

Evidence and Documentation
- Criteria used for creating course schedules
- Sample course schedules for ABE, ESL, ASE and Adult High School (minimum of 2)
- Standardized process for coordinating with Disability Services or Vocational Rehabilitation
- MOA with other local agencies (childcare, mental health, career services, and other agencies)

5-page limit per item listed (limited to a total of 20 pages)

Citation: 34 CFR §§ 463.420	**Review Method:** Document Review, Interview
Documentation:	
Comments:	
Findings:	

WIOA Consideration #13: Whether the local area in which the eligible provider is located has a demonstrated need for additional English language acquisition programs and civics education programs. Provide documentation.

Evidence and Documentation
- Demographic information for the English Language Learner (ELL) population
- Standardized local assessment to determine ELL literacy needs in the service area

5-page limit per item listed (limited to a total of 10 pages)

Citation: 34 CFR §§ 463.23-463.24	**Review Method:** Document Review, Interview

Documentation:

Comments:

Findings:

Source: Request for Proposal (RFP)

College and Career Readiness Statement of Assurances page 16.

<table>
<tr><td colspan="2">

Program Operations and Fiscal Management:

College and Career Readiness organizational chart and Business Finance Office organizational chart showing the placement of individuals responsible for program and financial matters.

Evidence and Documentation
- Business and Finance Office Organizational Chart
- Adult Education and Literacy Organizational Chart

5-page limit per item listed (limited to a total of 10 pages)

</td></tr>
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Citation: §463.30

</td><td>

Review Method: Document Review, Interview

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Documentation:

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Comments:

</td></tr>
<tr><td colspan="2">

Findings:

</td></tr>
</table>

General Fiscal Management:

What fiscal management/accounting system or software is used for managing fiscal procedures?

Provide current fiscal management policies and procedures.
What is the date of the most recent external audit report (*conducted by Certified Public Accountant*)?

Evidence and Documentation
- Identify the type of fiscal management/accounting software
- Copy of the Accounting Procedures Manual (*may upload manual or provide a link*)
- Copy of the Chart of Accounts (*excerpts*)
- Copy of the Purchasing Manual (*excerpts*)
- Copy of submitted budget amendments/modifications (*if applicable*)
- Standardized process and procedures for submitting financial documentation
- Staff responsible for financial matters (*may submit names or highlight on organizational chart*)
- Standardized process for internal training on financial and accounting procedures

5-page limit per item listed (limited to a total of 40 pages)

Citation: 2 CFR 200.328	**Review Method:** Document Review, Interview
Documentation:	
Comments:	
Findings:	

COLLEGE & CAREER READINESS

Time and Effort Reports:

Programs must adhere to the policies and procedures and complete all time and effort reports as required, in compliance with WIOA statutes.

Evidence and Documentation
- Standardized process for completing and submitting Time and Effort reports
- Latest Time and Effort Report (*Monthly/Semi-Annual*) and back up documentation. (*Be sure to redact any personal information*).
- Number of full-time staff
- Number of part-time staff

5-page limit per item listed (limited to a total of 20 pages)

Citation: 200.430(i)(1) 200.403 (g)	**Review Method:** Document Review, Interview
Documentation:	
Comments:	
Findings:	

Equipment *(not office or educational supplies/materials*) **purchased with AEFLA funds:**

Confirm presence and location of equipment: computers, printers, and laptops purchased with AEFLA funds.

Evidence and Documentation

- Inventory control policies and procedures (*The Template is available in the Comprehensive Monitoring Moodle: https://learn.cord.org/login/index.php*)

5-page limit per item listed (limited to a total of 5 pages)

Citation:	Review Method: Document Review, Interview
Documentation:	
Comments:	
Findings:	

COMMENDATIONS

RECOMMENDATIONS

REQUIRED ACTIONS

NORTH CAROLINA COMMUNITY COLLEGE SYSTEM
Division of Academic and Student Services
College and Career Readiness (CCR) Section

Provider Name:	**Provider Contact Person:**
Email Address for Program Director:	**Name and Email Address for College President or Board Chair:**
Name and Email Address for Program Director's Supervisor:	**CCR State Monitoring Staff:**
Date(s) of Monitoring Visit:	
Signature of Associate State Director for Monitoring and Compliance or Designee:	**Date of Signature:**

243 Integrated English Literacy and Civics Education (IELCE)

Program Participants and Services
The IELCE program provides education services to English Language Learners who are adults, including professionals with degrees and credentials in their native countries.

Evidence and Documentation
- Recruiting materials/outreach plan
- Partnerships for recruiting
- Data on students served and MSG (Measurable Skills Gain)
- List of IELCE sections

5-page limit per item listed (limited to a total of 20 pages)

Citation: §463.70	**Review Method:** Document Review, Interview

Documentation:

Comments:

Findings:

Instructional Programs
IELCE program must include instruction in literacy and English Language Acquisition.

Evidence and Documentation
- Course rosters
- Lesson plans
5-page limit per item listed (limited to a total of 10 pages)

Citation: §463.33	**Review Method:** Document Review, Interview
Documentation:	

Comments:

Findings:

Integrated Education and Training (IET)
IELCE participants are enrolled in Integrated Education and Training (IET).

Evidence and Documentation
- Schedule of classes
- Evidence of collaboration among training partners
- Contextualized curricula demonstrating single set learning objectives

5-page limit per item listed (limited to a total of 15 pages)

Citation: §463.74	**Review Method:**
Documentation:	

Comments:

Findings:

IELCE Civics Education
The IELCE program includes instruction on the rights and responsibilities of citizenship and civic participation.

Evidence and Documentation
- Sample civic/citizenship classroom materials
- Standardized process for internal training for IELCE faculty and staff

5-page limit per item listed (limited to a total of 10 pages)

Citation: §463.33	**Review Method:** Document Review, Interview

Documentation:

Comments:

Findings:

Workforce Prep Activities

The IELCE prepares adults who are English language learners for, and places such adults in, unsubsidized employment in in-demand industries and occupations that lead to economic self-sufficiency. IELCE integrates with the local workforce development system and its functions to carry out the activities of the program.

Evidence and Documentation

- Career exploration assessments
- Strategies for connecting learners to employers
- Services referral process/plan

5-page limit per item listed (limited to a total of 15 pages)

Citation: §463.73	Review Method: Document Review, Interview
Documentation:	
Comments:	
Findings:	

Professional Development:
Comprehensive professional development provided for faculty and staff.

Evidence and Documentation

- Standardized process for internal training for IELCE faculty and staff
- Completion of IELCE 5 Modules Training - Dates of training/certificates of completion
- Schedule of professional development activities (*There is a template is available in the Comprehensive Monitoring Moodle: https://learn.cord.org/login/index.php*)

5-page limit per item listed (limited to a total of 10 pages)

Citation:	**Review Method:** Document Review, Interview
Documentation:	
Comments:	
Findings:	

Annual Program Evaluation

Describe your annual evaluation process. How do you use the annual evaluation for program improvement?

Evidence and Documentation

- Standardized evaluation process for WIOA Title II program
- Process for continuous program improvement

5-page limit per item listed (limited to a total of 10 pages)

Citation:	Review Method: Document Review, Interview

Documentation:

Comments:

Findings:

Data, Performance, Assessment- National Reporting System

WIOA Consideration #12: The provider maintains a high-quality information management system that has the capacity to report measurable participant outcomes and to monitor program performance.

Evidence/Documentation
- Submit monthly participant outcome reports (*current program year*)

5-page limit per item listed (limited to a total of 5 pages)

Citation: 34 CFR part 463, Secs. 116 and 212 of WIOA	**Review Method:** Document Review, Interview

Documentation:

Comments:

Findings:

Staff/Instructor Awareness

What type of training do your employees receive on the National Reporting System (NRS) and student information system? Provide documentation of the dates, training and participants trained.

Evidence/Documentation

- Complete Performance Accountability Table (*The Required Form is in the Comprehensive Monitoring Moodle: https://learn.cord.org/login/index.php*)
- Standardized number of training hours for all staff (what is the minimum number of training hours?)
- Documentation demonstrating data personnel working cross functionally with instructors
- Samples of agendas assigned for faculty and staff meetings

5-page limit per item listed (limited to a total of 20 pages)

Citation: 223(a)(1)(B) of WIOA	**Review Method:** Document Review, Interview
Documentation:	
Comments:	
Findings:	

Workflow
Describe your data workflow that includes recording keeping, student files and folders.

Evidence/Documentation *(Please redact any personal student information)*
- Standardized Literacy Education Information System (LEIS) forms (must be completed with test scores)
- Computer based score report and/or paper-based assessments
- Standardized student intake process
- Standardized method for record keeping
- Standardized student information files and folders
- Central location for student files/folders
- 5-page limit per item listed (limited to a total of 18 pages)

Citation: 34 CFR part 463, Secs. 116 and 212 of WIOA	**Review Method:**
Documentation:	
Comments:	
Findings:	

Data Quality

How are you utilizing the student information system to monitor data quality?

Evidence/Documentation

- Standardized written policy for NRS assessments and evaluation
- Process to ensure data accuracy, quality, and validity
- Policy for entering student data into the ADVANSYS data management system in a timely manner
- Policy for reporting contact hours, or membership hours

5-page limit per item listed (limited to a total of 20 pages)

Citation: Secs. 116 and 212 of WIOA, 34 CFR § 462.40	**Review Method:** Document Review, Interview

Documentation:

Comments:

Findings:

Analyzing Student Data

Analyzing data to meet performance measures. How do you identify areas in need of performance improvement?

Evidence and Documentation

- Performance Accountability staff with clear responsibility for all matters related to data collection (*submit job description*)
- Standardized student retention process
- Submit the reports used to monitor program performance and ensure data quality
- Evidence of intervention based on student data and information.

5-page limit per item listed (limited to a total of 20 pages)

Citation:	Review Method: Document Review, Interview
Documentation:	
Comments:	
Findings:	

Student Folders and Files (Onsite Only)
What should be added to the student files:

Evidence/Documentation
- Signed LEIS forms, completed with scores, or digital LEIS form
- Score reports for Computer Base Testing and/or original paper-based assessments
  - Sample of academic records from the Publisher for proof of MSG 1d (*if applicable*)

Citation:	**Review Method:** Document Review, Interview
Documentation:	
Comments:	
Findings:	

Financial Monitoring
Source: Request for Proposal (RFP) College and Career Readiness Statement of Assurances.

Program Operations:
College and Career Readiness organizational chart and Business/Finance Office organizational chart showing placement of individuals responsible for program and financial matters.

Evidence and Documentation
- Business and Finance Office Organizational Chart
- Adult Education and Literacy Organizational Chart

5-page limit per item listed (limited to a total of 10 pages)

Citation: §463.30	**Review Method:** Document Review, Interview

Documentation:

Comments:

Findings:

General Fiscal Management:

What fiscal management/accounting system or software is used for managing fiscal procedures?

Provide current fiscal management policies and procedures.

What is the date of the most recent external audit report (*conducted by Certified Public Accountant*)?

<u>**Evidence and Documentation**</u>

- Identify the type of fiscal management/accounting software
- Copy of the Accounting Procedures Manual (*may upload manual or provide a link*)
- Copy of the Chart of Accounts (*excerpts*)
- Copy of the Purchasing Manual (*excerpts*)
- Copy of submitted budget amendments/modifications (*if applicable*)
- Standardized process and procedures for submitting financial documentation
- Staff responsible for financial matters (*may submit names or highlight on organizational chart*)
- Standardized process for internal training on financial and accounting procedures

5-page limit per item listed (limited to a total of 40 pages)

Citation: 2 CFR 200.328	**Review Method:** Document Review, Interview
Documentation:	
Comments:	
Findings:	

Time and Effort Reports:
Programs must adhere to the policies and procedures and complete all time and effort reports as required, in compliance with WIOA statutes.

Evidence and Documentation
- Standardized process for completing and submitting Time and Effort reports
- Latest Time and Effort Report (*Monthly/Semi-Annual*) and back up documentation. (*Be sure to redact any personal information*).
- Number of full-time staff
- Number of part-time staff

5-page limit per item listed (limited to a total of 20 pages)

Citation: 200.430(i)(1) 200.403 (g)	**Review Method:** Document Review, Interview
Documentation:	
Comments:	
Findings:	

Equipment (*not office or educational supplies/materials***) purchased with AEFLA funds:**	
Confirm presence and location of equipment: computers. printers, and laptops purchased with AEFLA funds.	
Evidence and Documentation - Inventory control policies and procedures (*The Template is available in the Comprehensive Monitoring Moodle: https://learn.cord.org/login/index.php*) 5-page limit per item listed (limited to a total of 5 pages)	
Citation:	**Review Method:** Document Review, Interview
Documentation:	
Comments:	
Findings:	

Commendations, Required Actions, Recommendations

COMMENDATIONS
•

REQUIRED ACTIONS
•

RECOMMENDATIONS
•

NORTH CAROLINA COMMUNITY COLLEGE SYSTEM Division of Academic and Student Services College and Career Readiness (CCR) Section	
Provider Name:	**Provider Contact Person:**
Email Address for Program Director:	**Name and Email Address for College President or Board Chair:**
Name and Email Address for Program Director's Supervisor:	**CCR State Monitoring Staff:**
Date(s) of Monitoring Visit:	
Signature of Associate State Director for Monitoring and Compliance or Designee:	**Date of Signature:**

225 - Corrections and Other Institutionalized Individuals

Adult Education and Literacy Services:
The program provides education services to criminal offenders and other institutionalized individuals.

Evidence and Documentation

- Class rosters

- Sample lesson plans (ABE, ESL, and ASE if offered)

5-page limit per item listed (limited to a total of 10 pages)

Citation: 34 CFR §§ 463.23-463.24 34 CFR § 462.40	**Review Method:** Document Review, Interview

Documentation:

Comments:

Findings:

Post-Release and Transition Services

The program provides post-release and transition services.

Evidence and Documentation

- Representation on local re-entry councils
- Coordination with re-entry entities and services
- Schedule of events regarding post-release and transition services
- Priority given to justice involved individuals who are within five years of release.

5-page limit per item listed (limited to a total of 20 pages)

Citation: 34 CFR part 463	**Review Method:** Document Review, Interview

Documentation:

Comments:

Findings:

Integrated Education and Training (IET)

Individuals are enrolled in Integrated Education and Training (IET).

Evidence and Documentation (*if applicable*)
- Schedule of classes
- Evidence of collaboration among training partners
- Contextualized curricula demonstrating single set learning objectives
- Labor market analysis for jobs that do not have criminal history restrictions

5-page limit per item listed (limited to a total of 20 pages)

Citation: 34 CRF § 463.35	**Review Method:** Document Review, Interview

Documentation:

Comments:

Findings:

Instructor Professional Development

Describe how professional development is offered that prepares instructors for the unique needs of incarcerated populations.

Evidence and Documentation

- Schedule of professional development activities (*There is a template is available in the Comprehensive Monitoring Moodle: https://learn.cord.org/login/index.php*)
- Dates of training/certificates of completion

5-page limit per item listed (limited to a total of 10 pages)

Citation: 223(a)(1)(B) of WIOA § 463.60	**Review Method:** Document Review, Interview

Documentation:

Comments:

Findings:

Annual Program Evaluation
Describe your annual evaluation process. How do you use the annual evaluation for program improvement?

Evidence and Documentation
- Standardized evaluation process for Title II WIOA program
- Process for continuous program improvement

5-page limit per item listed (limited to a total of 10 pages)

Citation:	**Review Method:** Document Review, Interview

Documentation:

Comments:

Findings:

Data, Performance, Assessment- National Reporting System

WIOA Consideration #12: The provider maintains a high-quality information management system that has the capacity to report measurable participant outcomes and to monitor program performance.

Evidence/Documentation
- Submit monthly participant outcome reports (*current program year*)

5-page limit per item listed (limited to a total of 5 pages)

Citation: 34 CFR part 463, Secs. 116 and 212 of WIOA	**Review Method:** Document Review, Interview

Documentation:

Comments:

Findings:

Staff/Instructor Awareness
What type of training do your employees receive on the National Reporting System (NRS) and student information system? Provide documentation of the dates, training and participants trained.

Evidence/Documentation
- Complete Performance Accountability Table (*The Required Form is in the Comprehensive Monitoring Moodle: https://learn.cord.org/login/index.php*)
- Standardized number of training hours for all staff (what is the minimum number of training hours?)
- Documentation demonstrating data personnel working cross functionally with instructors
- Samples of agendas assigned for faculty and staff meetings

5-page limit per item listed (limited to a total of 20 pages)

Citation: 223(a)(1)(B) of WIOA	**Review Method:** Document Review, Interview

Documentation:

Comments:

Findings:

Workflow

Describe your data workflow that includes recording keeping, student files and folders.

Evidence/Documentation *(Please redact any personal student information)*
- Standardized Literacy Education Information System (LEIS) forms (must be completed with test scores)
- Computer based score report and/or paper-based assessments
- Standardized student intake process
- Standardized method for record keeping
- Standardized student information files and folders
- Central location for student files/folders
- 5-page limit per item listed (limited to a total of 18 pages)

Citation: 34 CFR part 463, Secs. 116 and 212 of WIOA	**Review Method:** Document Review, Interview

Documentation:

Comments:

Findings:

Data Quality

How are you utilizing the student information system to monitor data quality?

Evidence/Documentation

- Standardized written policy for NRS assessments and evaluation
- Process to ensure data accuracy, quality, and validity
- Policy for entering student data into the ADVANSYS data management system in a timely manner
- Policy for reporting contact hours, or membership hours

5-page limit per item listed (limited to a total of 20 pages)

Citation: Secs. 116 and 212 of WIOA, 34 CFR § 462.40	**Review Method:** Document Review, Interview

Documentation:

Comments:

Findings:

Analyzing Student Data
Analyzing data to meet performance measures. How do you identify areas in need of performance improvement?

Evidence and Documentation
- Performance Accountability staff with clear responsibility for all matters related to data collection (*submit job description*)
- Standardized student retention process
- Submit the reports used to monitor program performance and ensure data quality
- Evidence of intervention based on student data and information.

5-page limit per item listed (limited to a total of 20 pages)

Citation:	Review Method: Document Review, Interview
Documentation:	
Comments:	
Findings:	

Student Folders and Files (Onsite Only)
What should be added to the student files:

Evidence/Documentation
- Signed LEIS Forms, completed with scores, or digital LEIS Form
- Score reports for computer base testing and/or original paper-based assessments
- Sample of academic records from the Publisher for proof of MSG 1d (*if applicable*)

Citation:	**Review Method:** Document Review, Interview
Documentation:	
Comments:	
Findings:	

Module 5- Financial Monitoring
Source: Request for Proposal (RFP) College and Career Readiness Statement of Assurances.

Program Operations and Fiscal Management:
College and Career Readiness organizational chart and Business/Finance Office organizational chart showing placement of individuals responsible for program and financial matters.

Evidence and Documentation
- Business and Finance Office Organizational Chart
- Adult Education and Literacy Organizational Chart

5-page limit per item listed (limited to a total of 10 pages)

Citation: §463.30	**Review Method:** Document Review, Interview
Documentation:	

Comments:

Findings:

General Fiscal Management:
What fiscal management/accounting system or software is used for managing fiscal procedures?

Provide current fiscal management policies and procedures.
What is the date of the most recent external audit report (*conducted by Certified Public Accountant*)?

Evidence and Documentation
- Identify the type of fiscal management/accounting software
- Copy of the Accounting Procedures Manual (*may upload manual or provide a link*)
- Copy of the Chart of Accounts (*excerpts*)
- Copy of the Purchasing Manual (*excerpts*)
- Copy of submitted budget amendments/modifications (*if applicable*)
- Standardized process and procedures for submitting financial documentation
- Staff responsible for financial matters (*may submit names or highlight on organizational chart*)
- Standardized process for internal training on financial and accounting procedures

5-page limit per item listed (limited to a total of 40 pages)

Citation: 2 CFR 200.328	**Review Method:** Document Review, Interview
Documentation:	
Comments:	
Findings:	

Time and Effort Reports:
Programs must adhere to the policies and procedures and complete all time and effort reports as required, in compliance with WIOA statutes.

Evidence and Documentation
- Standardized process for completing and submitting Time and Effort reports
- Latest Time and Effort Report (*Monthly/Semi-Annual*) and back up documentation. (*Be sure to redact any personal information*).
- Number of full-time staff
- Number of part-time staff

5-page limit per item listed (limited to a total of 20 pages)

Citation: 200.430(i)(1) 200.403 (g)	**Review Method:** Document Review, Interview

Documentation:

Comments:

Findings:

Equipment (*not office or educational supplies/materials***) purchased with AEFLA funds:**

Confirm presence and location of equipment: computers. printers, and laptops purchased with AEFLA funds.

Evidence and Documentation

- Inventory control policies and procedures (*The Template is available in the Comprehensive Monitoring Moodle: https://learn.cord.org/login/index.php*)

5-page limit per item listed (limited to a total of 5 pages)

Citation:	**Review Method:** Document Review, Interview
Documentation:	
Comments:	
Findings:	

Commendations, Required Actions, Recommendations

COMMENDATIONS
•

REQUIRED ACTIONS
•

RECOMMENDATIONS
•

Next Steps after Onsite or Virtual Monitoring Visit

NC COMMUNITY COLLEGES | COLLEGE & CAREER READINESS

Providers will engage in a virtual one-hour post-monitoring meeting to discuss their agency's monitoring **30** days after the onsite visit.

Providers will receive an official copy of their Title II Monitoring Report with their agency's monitoring results within **60** business days.

If a provider does not have any Corrective Actions or Recommendations, the provider is not required to complete any further action. The provider will receive an official letter stating that there are no other actions required from the System Office.

If a program is placed on a Corrective Action Plan, the provider will have **30** days to respond in writing using the template provided by the System Office.

If a provider receives a Recommendation, the provider will have **30 days** to respond in writing using the template provided by the System Office.

The provider will complete and sign the Corrective Action Plan document.
Once the provider has remedied the required actions the Title II, Assistant State Director will sign the document indicated the CAP is closed.

The provider will receive a closeout memo.

1

AGENDA

Title II Post Monitoring Meeting

Date: Thursday, June 27, 2025
Time: 10:00 AM – 11:30 AM

Attendees:	Local Provider and System Office Staff	
10:00 AM – 10:05 AM	**Introduction**	Virtual
	Local Provider and System Office Staff	
10:05 AM – 10:25 AM	**Review Monitoring Conclusions**	Virtual
	<u>Personnel that should attend</u> Title II Administrative Team Business Services Representative Instructional Team Representative Data and Performance Team Representative	
10:25 AM – 11:30 AM	**Conclude Meeting** <u>Personnel that should attend</u> Title II Administrative Team	Virtual

Additional Instruction:

All providers that engaged in comprehensive monitoring will receive their agency's report in 60 business days. If you should have questions, please feel free to reach out to Michael Tilley at mtilley@nccommunitycolleges.edu.

TO: Director Name
Title, Department
Provider Name

FROM: Michael Tilley
Associate State Director for Compliance and Monitoring
North Carolina Community College System Office

SUBJECT: WIOA, Title II, Corrective Action Plan Close Out Communication

DATE: Monday, November 4, 2025

Memorandum

Title II Monitoring Requirements

Per 2 CFR 200.331, Federal regulations require pass-through entities to monitor sub-recipient grantees. The pass-through entity for the WIOA, Title II, Adult Education and Family Literacy Act (AEFLA) grant is the North Carolina Community College System (NCCCS). All Title II funded programs are required to be monitored. In the 2025-26 program year, the North Carolina State Office will facilitate continuous desktop and on-site and virtual comprehensive monitoring.

The purpose of monitoring is to ensure that local providers meet AEFLA requirements, improve the quality of federally-funded activities, and identify and resolve performance accountability issues.

Furthermore, monitoring ensures there is a local process to ensure accuracy, validity, and reliability of data collection and accountability reporting. The Title II monitoring process specifically helps programs implement comprehensive policies and procedures for program accountability.

[Provider Name] Corrective Action Plan Results

A targeted virtual comprehensive monitoring review of your agency's Title II, AEFLA program performance accountability processes was conducted on **Wednesday, July 3, 2025**. Per our records, your agency was placed on a 180-day Follow-up Action Plan for the following items:

1. Required Action 1: Two distinct individuals must be designated to enter and approve data
2. Required Action 2: Understand the type(s) of assessment accommodations for disabilities
3. Required Action 3: Consistency of intake documentation

Per the submitted documentation, your agency has satisfied the requirements of the Follow-up Action Plan for program year 2025-26. This signed communication confirms that your agency is now compliant with the statutes and regulations of the Title II, AEFLA program. Furthermore, your agency's Follow-up Action Plan is **closed** for the 2025-26 program year.

We look forward to our continued work together.

In Partnership,

TO: Director's Name
Department
Provider

FROM: Dr. Michael Tilley
Associate State Director for Compliance and Monitoring
North Carolina Community College System Office

SUBJECT: Title II Monitoring Communication

DATE: MM/DD/YYYY

Thank you for your time and attention as we conducted the comprehensive monitoring review of the Title II, Adult Education and Family Literacy Act (AEFLA) grant awarded to **Provider's Name**.

This review was conducted by the North Carolina Community College System, Monitoring and Compliance Unit. The attached report provides both fiscal and programmatic observations prepared by the CCR Monitoring Review Team. Please review and share the attached Title II Monitoring Report with your organization's leadership team.

1. Please note, items identified as Required Actions must be addressed in the Correction Action Plan to be submitted via Moodle no later than mm/dd/yyyy.

2. Also, please include your organization's progress and responses to all Programmatic Recommendations. As a reminder, recommendations are provided as additional guidance for best practices of your adult education program. Your organization must address comments regarding the Recommendations in the Corrective Action Plan section of the official monitoring report.

Corrective Action Plan Instructions

Please respond to the items listed in the Corrective Action Plan within the next 30 business days. The responses to the Corrective Action Plan must be uploaded via Moodle: 2025-2026 College & Career Readiness Monitoring.

- List of required actions in the corrective action plan.

To remedy the issues identified in the Corrective Action Plan, the local Title II provider will meet with a representative from the NCCCSO Monitoring and Compliance Unit monthly. Both parties will meet via Microsoft Teams once per month for the next 180-days to resolve the Corrective Action Plan. Please note, the monthly Corrective Action Plan meetings will begin mm/dd/yyyy.

Please keep the transmittal letter and attached documents for your records.

If you should have any questions about this communication, please contact Michael Tilley at mtilley@nccommunitycolleges.edu. For technical questions about Moodle, please contact Brandy Brown at bbrown@nccommunitycolleges.edu.

CC: XX, President, XX Community College
        XX, Title, XX Community College
        Dr. Rob Van Dyke, Associate Vice President for Federal Programs
        Arbony Cooper, WIOA Title II, North Carolina State Director
        Rebecca Loli, WIOA Title II, Assistant State Director for Programs and Partner Engagement

Corrective Action Plan

for

XX Community Colleges

The program did not meet all the required program practices for the Adult Education and Family Literacy Act (AEFLA). A Corrective Action Plan must be developed and submitted as a follow-up to the monitoring visit. Please remember these elements are based on the observation of the program within the monitoring visit's timeframe and the National Reporting System data findings. Insert additional *Required Action* fields as needed.

Required Action 1:			
Target Date for Completion	**Evidence of Action(s) completed**	**Staff Assigned**	**Status** **(Pending or completed)**
Strategies to carry out the required action:			

Required Action 2:			
Target Date for Completion	**Evidence of Action(s) completed**	**Staff Assigned**	**Status** **(Pending or completed)**
Strategies to carry out the required action:			

By signing below, the local program director has reviewed and approved contents of the Corrective Action Plan.

_____   _____
Title II, WIOA, Adult Education Program Director   Date

The signature below indicates that the Corrective Action Plan
has been resolved, per the records of the North Carolina Community College System Office,
Office of Adult Education.

_____   _____
Associate State Director for Compliance and   Date
Monitoring or Designee

North Carolina Community College System

Title II, WIOA

Corrective Action Plan

Provider Name

Date: mm/dd/yyyy
Time: XX:XX

In Attendance

XXXX

Arbony Cooper, NC State Director CCR, NCCCS

Dr. Michael Tilley, Associate State Director for Monitoring and Compliance, NCCCS

Brandy Brown, Monitoring and Reporting Specialist, NCCCS

Corrective Action Items for Discussion

XXXX

Meeting Notes

Each CAP item discussed will have a set of notes placed here. The information will be shared with the Title II program director.

Questions

Questions should be placed here from the provider.

Next Meeting

Date | time

The program did not have any Required Actions for the Adult Education and Family Literacy Act (AEFLA). However, there are a few recommendations that must be developed and submitted as a follow-up to the monitoring visit. Please remember these elements are based on the observation of the program within the monitoring visit's timeframe and the National Reporting System data findings.

1ˢᵗ Recommendation:

Target Date for Completion	Evidence of Action(s) completed	Staff Assigned	Status (Pending or completed)
Strategies to carry out the recommendation:			

By signing below, the local program director has reviewed and approved the contents of the recommendations.

_____   _____

Title II, WIOA, Adult Education Program Director   Date

The signature below indicates that the recommendations
have been resolved, per the records of the North Carolina Community College System Office, Office of Adult Education.

_____   _____

Associate State Director for Monitoring   Date
and Compliance or Designee