Illinois Community College Board
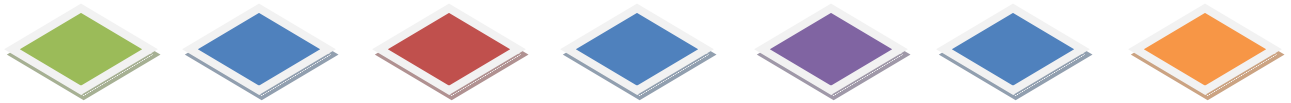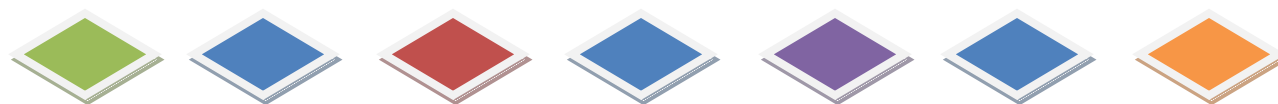
Adult Education and Family Literacy

Provider Manual

Fiscal Year 2014

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Illinois Adult Learning Hotline
800-321-9511

IL. Online AEFL Provider Locator
http://www.ilcco.net/adulted

The Illinois Community College Board –
Adult Education and Family Literacy Division

Introduction to Illinois Adult Education
"Creating Pathways for Adult Learners"
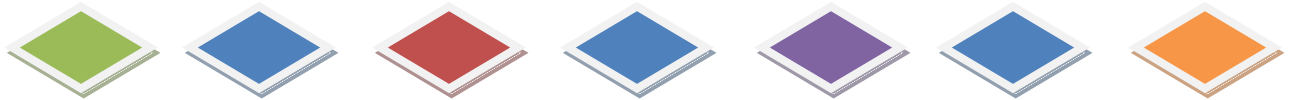
I.	Mission and Vision of Illinois Adult Education

The mission and vision of adult education is to provide every individual in Illinois access to Adult Education and Literacy services.   In Illinois, more than 1.8 million adults have less than 12 grades of formal education, approximately 2.6 million Illinois residents speak a language other than English in their home, and more than 552,000 immigrants reside in Illinois. With these staggering statistics it is important that services are available throughout Illinois that prepare adult learners to succeed.

The Illinois Community College Board is the state agency responsible for governing the Adult Education system in Illinois. The agency is also the coordinating agency for 39 community college districts in Illinois. The Illinois Community College Board seeks to prepare adult learners to compete for jobs of the present and the future. It is necessary to build a system that is education, training and workforce focused.

As stated in the Illinois Community College Board Adult Education Strategic Plan, "We envision adult education as the foundation of a career pathways system that prepares adult learners for economic self sufficiency. To achieve this vision, we will partner with adult education learners and key stakeholders to provide a clear direction, quality instruction and targeted support for achieving learner goals through further education, occupational training, and/or sustaining employment."
http://www.iccb.org/pdf/adulted/Adult_Education_Strategic_Plan_11-12-09_Final.pdf

To achieve the goals of the five year Strategic Plan, it is important that instruction is designed to meet the needs of adult learners while providing instruction that ensures a successful transition to postsecondary education and pathway employment. The Adult Education system should strive to meet these goals by:

- Aligning **Assessment, Curricula and Instructional** practices to prepare adults for education and employment.
- Providing comprehensive **Support Services** designed to reduce barriers and smooth the transition within programs as well as to other educational and employment opportunities.
- Ensuring a system that has **High Quality Teaching and Professional Development** which leads to better outcomes in the classroom.
- Forming **Partnerships** to design and deliver services that will meet the needs of students.

- Continuing to expand and strengthen the use of **Research, Data and Accountability** in improving programs and services offered to students.
- Incorporating career pathway programs into the overall **Program Design** to promote interest in career pathways employment or further education.

II.   Program Priority: Establish A Career Pathway System

To develop and establish a career pathway system that is inclusive of all eligible students and populations, the adult education system must partner with a variety of individuals and institutions, including but not limited to key stakeholders, business and industry, advocacy groups, the broader workforce community, education, and social service organizations. The Strategic Plan for Adult Education states that "adult education cannot accomplish this alone."

To provide a clear direction, quality instruction, and targeted support for accelerated achievement of learner goals through further education, occupational training, and employment, it will take multiple partners to ensure the pathway system is responsive to the needs of adult learners and the workforce.

This manual is designed to provide adult education providers funded through the Illinois Community College Board with pertinent policies and procedures necessary in successfully operating an Adult Education program in the State of Illinois. This document also contains specific information related to both state and federal adult education policies as well as process and procedural information to ensure compliance.

The following sections will highlight important information regarding Adult Education in Illinois.

III.   Purpose of Title II – Workforce Investment Act – Adult Education and Family Literacy

The federal Adult Education and Family Literacy Act is encompassed in Title II of the Workforce Investment Act (WIA) of 1998. The act created a new partnership among localities, states, and the federal government to provide for adult education and family literacy services. Federal funds authorized under the act are available to programs for the following purposes:
- To assist adults in becoming literate
- To assist adults in obtaining knowledge and skills necessary for employment and self-sufficiency
- To assist adults in obtaining the educational skills necessary to become full partners in their children's education
- To assist adults in completing their secondary school education

The eligible population is adults who have attained 16 years of age; who are not enrolled or required to be enrolled in secondary school under State law; and who:
- lack sufficient mastery of basic educational skills to enable the individuals to function effectively in society;
- do not have a secondary school diploma or its recognized equivalent, and have not achieved an equivalent level of education; or
- are unable to speak, read, or write the English language.

IV.   Priority Populations

The Illinois Community College Board is committed to serving the populations that are most in need of the services. The strategies for the delivery of instructional services should target the following populations:
- Low income and low-skilled adults
- Individuals with disabilities
- Single parents, Temporary Assistance to Needy Families (TANF) recipients, and displaced homemakers
- Unemployed, underemployed, and those not in the labor force who demonstrate a deficiency in basic skills
- Individuals with multiple barriers to educational enhancement, including individuals with limited English proficiency

V.   Adult Education Competitive Process – Request for Proposal

The Illinois Community College Board (ICCB) published and distributed broadly a Request for Proposals (RFP) in the spring of 2012.   In addition, the ICCB held bidder's conferences throughout the state to answer questions related to the application process. The RFP and Bidder's FAQs were also published and can be found on the ICCB website at http://www.iccb.org/rfp.competitivegrant.html.

During a competitive year, to be considered for funding, applicants must:
- Be an Eligible Applicant, as listed below
  - Local educational agencies (LEAs)
  - Community-Based Organizations (CBOs) of demonstrated effectiveness
  - Volunteer Literacy Organizations of demonstrated effectiveness
  - Institutions of Higher Education (IHEs)
  - Public or Private nonprofit agencies
  - Libraries
  - Public-housing authorities
  - Non-profit institutions that are described previously and have the ability to provide literacy services to adults and families
  - Consortia of agencies, organizations, institutions, libraries, or authorities described previously
- Respond to the Request for Proposal by the due date
- Complete all required portions of the application
- Meet all deadlines and other elements as specified in the Request for Proposal
- Meet all eligibility requirements

The Illinois Community College Board has the discretion to issue a competitive RFP or a continuation plan in a given year. Due to the delay in the reauthorization of the Workforce Investment Act, the ICCB may issue a continuation plan each year until a new law is enacted. To be considered for funding in a continuation year, applicants must:
- Be a currently funded provider
- Submit the continuation application by the due date

- Complete the application requirements
- Funding is contingent upon the continuing applicant's satisfactory performance in the preceding year and sufficient appropriation of funds

VI.   Program Considerations

The past effectiveness of an eligible applicant in improving the literacy skills of adults and families is a strong factor in the delivery of adult education instruction and supportive services. The ICCB will consider the success of a funded provider in meeting or exceeding such performance measures as identified by the Federal National Reporting System (NRS). The ICCB also recognizes the need to build a career pathway system for adult learners that will enhance education and employment opportunities. In order to accomplish this, the program/applicants must consider the following considerations as outlined in federal law.

1. The commitment of the eligible applicant to serve individuals in the community who are most in need of literacy services, including individuals who have low income and minimal literacy skills.
2. The program is of sufficient intensity and duration for participants to achieve substantial learning gains.
3. The program uses instructional practices and activities that research has proven to be effective in teaching individuals to read.
4. The program activities are built on a strong foundation of research and effective educational practice.
5. The program activities effectively employ advances in technology, as appropriate, including the use of computers.
6. The program activities provide learning in real-life contexts to ensure that an individual has the skills needed to compete in the workplace and exercise the rights and responsibilities of citizenship.
7. The program is staffed by well-trained instructors, counselors, support staff and administrators.
8. The program activities and cooperative agreements coordinate with other available resources in the community, such as by establishing strong links with elementary schools and secondary schools, postsecondary institutions, one-stop centers, job training programs and social service agencies. Priority consideration will be given to those respondents who, through a consortium of providers or as sole entity, administer comprehensive programs to meet the diverse needs of adult learners.
9. The program offers flexible schedules and supportive services (such as child care and transportation) that are necessary to enable individuals, including individuals with disabilities or other special needs, to attend and complete programs.
10. The program maintains a high-quality information management system that has the capacity to report participant outcomes and to monitor program performance against the Illinois Community College Board performance measures.
11. The local communities have a demonstrated need for additional English Literacy programs.
12. The proposed budget is consistent with the eligible provider's activities, is cost efficient within administrative guidelines and places emphasis on serving the target populations.

VII.   Adult Education Advisory Council

Public Act 91-0830 provides for governance of Adult Education and Family Literacy (AEFL) by the Illinois Community College Board (ICCB), stating the agency "shall establish an advisory council consisting of all categories of eligible providers; agency partners, such as the State Board of Education, the Department of Human Services, the Illinois Department of Employment Security, the Secretary of State literacy program; and other stakeholders to identify, deliberate, and make recommendations to the State Board on adult education policy and priorities."

The 30 members of the advisory council are appointed by the ICCB, and include representation from all provider types including community based organizations, community college, public schools/Regional Offices of Education; the Department of Corrections, members from stakeholder groups, required state agency partners, professional development, and professional associations. The chair of the advisory council is also appointed by the ICCB.

The council meets quarterly to identify, deliberate, and make recommendations to the ICCB on AEFL policies and priorities. Council members are assigned to specific committees to address issues as identified by the ICCB and/or as outlined in the Strategic Plan for Adult Education.

Meeting minutes are posted to the ICCB website at: http://www.iccb.org/advisorycouncil.html following approval by the advisory council.

VIII.   Federal and State Reporting

Illinois State Plan - Federal

As required in Title II of the Workforce Investment Act – Adult Education and Family Literacy Act, a State Plan for outlining services supported with federal funds must be submitted to the United States Department of Education, Office of Career, Technical and Adult Education (OCTAE) by April 1 of each year.

The Illinois State Adult Education Plan provides a description of planned activities for the next fiscal year. The Plan summarizes:
- the need for Adult Education in Illinois,
- the eligible population and those most in need of services,
- how equitable access to funding is achieved,
- allowable Adult Education activities,
- procedures for funding providers,
- evaluation of literacy activities,
- provision of services to persons in correctional facilities,
- integrated activities with the one-stop career centers (Illinois Employment and Training Centers), and
- proposed leadership and professional development activities.

Each year the State Plan is revised to reflect changes in the above activities for the next fiscal year. Also included in the revisions are the yearly negotiated performance targets for Adult Education, including educational gains, GED®/secondary completions, retained employment, obtained employment, and

transition to postsecondary education or vocational training. As required, a copy of the revised State Plan is provided to the Governor's Office for comments. Upon approval by the U.S. Department of Education, Office of Adult and Vocational Education, the Illinois State Plan is posted to the ICCB website: http://www.iccb.org/pdf/adulted/publications_reports/FY12StatePlan.pdf.

National Reporting System – Federal

Each year the federal government requires all states to submit an annual report for the Adult Education State-administered formula grant program.   All reports are due on or before December 31 following the end of the most recent fiscal year.   The required annual reports include:
- Statistical (performance) report,
- Financial status reports,
- Narrative report,
- Data quality checklist (with improvement plan, if needed),
- Data quality checklist certification, and
- Assessment policy.

In the spring of each year, federal performance targets for all eleven educational functioning levels and the four core outcome measures are negotiated with the Office of Career, Technical and Adult Education.

Annual Report to the Governor and General Assembly – State

Each year the Illinois Community College Board is required to submit a report on adult education activities to the Governor and General Assembly. This report is due on or before March 1st of each year and details adult education activities from the preceding fiscal year.   The annual report includes the following:
- a summary of adult education needs and programs;
- the number of students;
- the number of credit hours or units of instruction;
- the total adult education costs;
- state reimbursement for adult basic, adult secondary and vocational skills programs;
- the criteria used for program approval; and
- any other recommendations and program highlights.

This report is posted to the ICCB website at: http://www.iccb.org/aefl.pub.reports.html.

Section 2 – Area Planning Councils
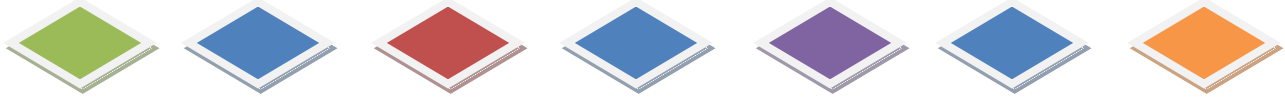
Major Policy Points

1. Area Planning Councils are established in state statute and operate within the boundaries of each community college district. (State Policy)
2. Area Planning Council membership is described in legislation and by the ICCB. (State Policy)
3. Each Area Planning Council must elect officers as well as develop and adopt bylaws that govern the operation of the APC. (State Policy)
4. Area Planning Councils must develop and submit a plan for coordination and provision of adult education services in the format and timeframe specified by the ICCB. (State Policy)
5. Area Plans may be changed during the planning year in accordance with the procedures established by the ICCB. (State Policy)
6. When entities within an Area Planning Council are unable to reach consensus, a Minority Report may be filed. (State Policy)

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1. Area Planning Councils are established in state statute and operate within the boundaries of each community college district.

According to state statute 105 ILCS 405/2-4 Area Planning Councils provide for the development and coordination of services to the eligible adult education population within the planning area (community college boundaries). The Department of Corrections maintains a separate Area Planning Council. APCs may choose to form a joint APC consisting of two or more community college districts if approved by the ICCB.

The APC planning process is inclusive of all ICCB AEFL providers and any other entities that serve adult education learners within the APC boundaries. Participation in the APC does not guarantee ICCB AEFL funding.

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2. Area Planning Council membership is described in legislation and by the ICCB.

The ICCB requires that all ICCB AEFL funded providers be members and participate in the local Area Planning Council. The following entities are entitled to one representative on the APC per the legislation:
- Each school district within the APC boundaries maintaining either grades K-12 or grades 9-12
- Each Regional Superintendent of Schools, the majority of whose region is included within the boundaries
- Community college

Related community representatives should be invited and are strongly encouraged to participate in the Area Planning Council.

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3. Each Area Planning Council must elect officers as well as develop and adopt bylaws that govern the operation of the APC.

Each APC, including all adult education providers, entitled representatives and appropriate community representatives is required to meet at least two times during each fiscal year. Additional meetings as appropriate are encouraged. The schedule of meetings should be provided to the appropriate Regional Program Support Specialist or designated ICCB staff member.

The initial council meeting each year shall be called and convened by the previous year's chairperson. The chairperson shall describe the roles and responsibilities of the APC, review the bylaws, conduct an election to select a new chairperson, vice or co-chair and/or secretary and facilitate a discussion/approval of any provider sites and services for the current fiscal year. The chairperson of the APC must represent an ICCB AEFL funded provider.

APCs must develop and adopt bylaws that govern the operation of the APC, including voting rights. A copy of the bylaws, including any revisions, must be submitted annually to the ICCB after their adoption. Required members and entitled representatives are allowed one vote per institution.

Each APC is required to maintain a file of the minutes of all meetings. A copy of the minutes is to be provided to the appropriate Regional Program Support Specialist after each meeting.

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4. Area Planning Councils must develop and submit a plan for coordination and provision of adult education services in the format and timeframe specified by the ICCB.

The Area Plan focuses on coordination of resources and services regardless of funding source. On or before March 1 of each year, all APCs must submit an annual plan for approval. The ICCB will provide each APC with the forms, due dates and requirements for the plan annually. Preparation of the Area Plan should follow the process outlined in the APC's bylaws.

The following are required minimum components of an Area Plan:
- Description and explanation of the educational needs of eligible students in the planning area
- Explanation of the educational needs of eligible students that are not being met
- Inclusion of data that support needs of eligible adults and their family members
  - Census reports, U.S. Department of Labor statistics, welfare data, free and reduced lunch counts, etc.
- Formulation of a proposed delivery system that includes identification of partner service providers and description of services to be provided by each
- Other information as specified by the ICCB

> **5. Area Plans may be changed during the planning year in accordance with the procedures established by the ICCB.**

All changes to the approved Area Plan, including sites and services, must follow the procedures indicated below.

     1. Submit the change to the chair of the APC.

     2. The chair will inform all members of the change(s), allowing ten business days for a response if the change is presented between scheduled APC meetings.

     3. If the members feel the change will result in duplication of services, then the chair must convene the APC and follow its own bylaws to approve the change.

     4. Should strong disagreement prevail, then it will be necessary to follow the procedures for submitting a Minority Report as outlined in this section.

     5. After APC adoption of changes, submit a copy of the APC Change Form provided at the end of this section to:

> Illinois Community College Board
> Adult Education and Family Literacy/Program Compliance
> 401 E. Capitol Avenue
> Springfield, IL 62701

> **6. When entities within an Area Planning Council are unable to reach consensus, a Minority Report may be filed.**

When strong disagreement prevails, dissenting members of the APC should explain the specific decision being sought and justification for seeking the decision in the Minority Report. The report must be signed by the dissenting members of the APC.

The Minority Report should be submitted with the Area Plan or submitted directly to the ICCB. The Minority Report will be reviewed by an ICCB Adult Education Review Committee. The Review Committee's recommendation, along with the Area Plan and the Minority Report, will be returned to the APC for consideration.

Within ten days of receipt of the recommendation, the APC will decide either to accept and adopt the recommendation or to appeal the recommendation. If the recommendation is accepted, the APC will revise the Area Plan accordingly and return it to the ICCB for review and processing.

If the recommendation is not accepted or if the APC wishes to appeal the decision, the APC must provide documentation regarding its reasoning for the continued review. A further review of the information will be conducted by the Adult Education Review Committee. Additional information may be requested which may include a meeting of the APC and the ICCB.

The ICCB has the final decision. The APC chairperson must reconvene the council if the local Area Plan is not approved. All amendments and/or revisions to the Area Plan must be formally approved by the APC membership before it is resubmitted to the ICCB.

Illinois Community College Board

Adult Education and Family Literacy

APC CHANGE FORM

Indicate the approved changes from the signed APC plan and submit for ICCB approval to the **Illinois Community College Board, Adult Education and Family Literacy Department, 401 E. Capitol Avenue, Springfield, IL 62701**.

Name of Program: _____   Requested Date of Change: _____

Site Information:

Provide complete site name, address, city and zip. (*APC 508* – Name the specific City College sub-area)

Site Name: _____

Site Address: _____

City: _____   ZIP: _____

Sub-area (508 only): _____

    Add? ☐   Eliminate? ☐

    If add:

        Estimate number of unduplicated students to be funded by ICCB: _____

        Estimate number of unduplicated students to be funded by other sources: _____

Instructional Services:

Type of Instruction/Classes/Courses: _____

    Add? ☐   AM ☐   PM ☐

    Eliminate? ☐

Funded by sources other than ICCB AEFL? ☐ Yes   ☐ No

Support Services:

Type of Support Service: _____

    Add? ☐   Eliminate? ☐

Funded by sources other than ICCB AEFL? ☐ Yes   ☐ No

    Change approved by APC on: _____   APC Chair Signature: _____

ICCB Approval : _____   Date: _____

    Associate Vice President for Adult Education and Workforce Development

Section 3 – General Fiscal Policies

Major Policy Points

1. There are five competitive sources of funds for Adult Education and Family Literacy provided through ICCB. Each funding source has statutory regulations, policies and guidelines which dictate the way dollars may be spent. **(Federal and State Policy)**
2. Providers may subcontract for the provision of services. **(Federal and State Policy)**
3. Funding allocations to providers are based upon the funding formula. **(State Policy)**
   a. Providers have the option to return unused funds or request additional funds in the spring of each year. In certain instances, providers will be required to return funds to the ICCB. **(State Policy)**
4. All funded providers must submit for approval, on the ICCB AEFL provided forms, a Post Allocation Budget and Budget Narrative. **(Federal and State Policy)**
   a. The Instructional Line of each budget for State Basic, State Public Assistance, Federal Basic and Federal EL/Civics must be generated. **(Federal and State Policy)**
5. Providers are required to award all contracts according to Community College Act 110 ILCS805/3.27.1. **(State Policy)**
6. All providers are required to submit an annual audit to the ICCB by October 15th of each year. **(Federal and State Policy)**

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1. There are five competitive sources of funds for Adult Education and Family Literacy provided through ICCB. Each funding source has statutory regulations, policies and guidelines which dictate the way dollars may be spent.

The five sources of funds for Adult Education and Family Literacy provided through ICCB consist of the following:

Federal Funding Categories	State Funding Categories
1. Federal Basic	1. State Basic
2. Federal EL Civics	2. State Public Assistance
	3. State Performance

For detailed information regarding the purpose, eligible participants, appropriate use of funds and assessment requirements for each funding source, please refer to the document titled "Overview of Funding Sources for Adult Education and Family Literacy" at the end of this section.

Revenues and expenditures for each individual funding source must be tracked separately within an individual budget. These funds are to be used to supplement, not supplant, existing resources and existing instructional and support services.

These are restricted purpose funds and may not be transferred to other grants. Records must be maintained to support the appropriate usage of AEFL funds. Amounts reported as expenditures must be for allowable services and must reflect actual expenditures. A written purchasing policy that includes appropriate checks and balances to ensure that state and federal funds are properly spent should be established and followed.

When issuing statements, press releases, bid solicitations and other documents describing programs funded in whole or in part with federal money, providers must follow the guidelines of the **Stevens Amendment**.
- Information provided must document the percentage of the total cost of the program that will be financed with federal money.
- The total amount of federal funds used for the program must also be documented.

Claims for allocated funds must be generated throughout the year, and records must support the claims. At the end of the year, 100% of the instructional costs spent (except for State Performance) must be generated.

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2.   Providers may subcontract for the provision of services.

In a subcontracting arrangement, all stipulations regarding the grant agreement are the responsibility of the ICCB AEFL funded provider. The funded provider is responsible for ensuring all subcontractors follow the ICCB AEFL program policies and procedures, stipulations in the grant agreement and the guidelines in EDGAR. A written agreement must be developed between the contract agency and the subcontracting agency and should include the following:
- Name(s), address(es), telephone number(s) and e-mail address(es) of subcontractors
- Time frame of agreement
- Proposed services provided by subcontractor(s)
- Projected number of participants to be served by subcontractor
- Costs to be paid under contract
- Payment schedule
- Conditions for amending the agreement
- Terms/Conditions for dissolution of the agreement

The contracting agency must maintain appropriate records (including fiscal) relating to subcontractor selection process and evaluation as well as subcontractor qualifications. The ICCB reserves the right to review and to approve all subcontracting agreements using ICCB AEFL funds. Additionally all subcontractor records are subject to audit and monitoring/evaluation.

> **3.** **Funding allocations to providers are based upon the funding formula.**
>   **a. Providers have the option to return unused funds or request additional funds in the spring of each year. In certain instances, providers will be required to return funds to the ICCB.**

Funding Methodology
The Illinois Community College Board Adult Education and Family Literacy funding allocations are determined based upon a funding methodology approved in May 2008. A description of the methodology is in the Adult Education Technical Appendix located on the ICCB website at http://www.iccb.org/aefl.pub.reports.html. This document details the data used in the calculation of each program's allocation.

In general, the funding allocation is calculated using the following components:
- Index of Need
- Base Funding
    - o Foundation Component
    - o Enrollment Component
    - o Units of Instruction
- Performance Funding
    - o Secondary Completions
        - ▪ GED completions
        - ▪ High School completions
    - o Level Gains
        - ▪ Education Functioning Level Gains based on post-test assessments within Test Publisher guidelines
        - ▪ Vocational Completions
        - ▪ Citizenship Completions

Funding Disbursement
Following notification of allocations, the provider receives a grant agreement that must be signed by the provider as well as the ICCB. Providers are then disbursed allocated funding on a schedule. State funding is dispersed on a monthly basis. Federal Basic and Federal EL/Civics) must be requested using the Payment Request Form included with the grant document. Providers may choose to receive federal funds on a set schedule (e.g. monthly, quarterly, school year) or on an as-needed basis. All federal funds should have been requested no later than 30 days after the end of the current fiscal year or by July 30.

Generation
A minimum of 45% of the allocation or the amount of funds spent on instruction (whichever is greater) for all funding sources with the exception of the State Performance budget must be generated. Upon submission of the mid-year Enrollment Report, the ICCB will review the report to determine if the instructional line of each funding source has been generated for each program. Budget generation is based upon student enrollment. For every 15 enrollment hours a student earns, one unit of instruction

is generated. Each unit is assigned a dollar value based on the instructional category of the unit. Unit rates are established by state statute.

Failure to generate 40% of the instructional line in a funding source (with the exception of State Performance) by mid-year will result in a hold on disbursement of funding. Once the generation is met, the disbursement of funds will be reinstated.

For State Public Assistance funds, programs that exceed the 90/10 rule at mid-term will have the third quarter payment of this fund held until the State Public Assistance 2nd quarter Master List reflects compliance with this rule. State Public Assistance 90/10 rule states that at least 90% of the units generated from individuals served through this funding source must meet the eligible identification numbers as listed in this section. Ten percent of the units may come from individuals with other public aid identification codes or those who are at 200% of the poverty level.

In the spring of each year, providers will be asked to review their budgets to determine whether they will use all of their allocated funding. This process is called the "Intent to Release/Request Additional Funding."   If applicable, providers will submit appropriate forms as determined by the ICCB releasing current funds or requesting additional funds that may be available through this process.

Providers should regularly review generation and expenditures throughout the year to determine if they have funds to release or could use additional funds as provided through the annual release/request process. If, at any point, a program does not intend to generate the full instructional budget for any funding source or expend the total AEFL grant allocation, the provider should contact the appropriate Regional Program Support Specialist for technical assistance.

Other reasons for return of funding that are not associated as a part of the Release/Request Additional Funds process may include:
- Instructional funds generated are less than 45% of the final actual expenditures.
- Expenditures for a full fiscal year are less than funds received.
    - If the reported end of year expenditures in a funding source are less than 90% of the allocation, then the calculations for instruction, General Administration, Program Support and indirect costs are based on the **new total eligible funding amount** and will not exceed the revised allocation. The new amount is calculated using instructional funds generated and the appropriate percentage allowed for the expenditure category.
- External Audit identifies unspent or inappropriate use of funds.
- The cumulative State Public Assistance grant does not meet the general 90/10 rule.
- The monitoring process determines an inappropriate use of funds.
- The end of the year expenditure report shows the need to return funds.

o   The calculations from the end of year expenditure report will alert programs to revisions and the return of funds. Funds should be returned as soon as external audits are finalized, but no later than October 15th.

Fees

Students may not be charged for instructional costs, including the cost of instructional materials. Public entities using State Basic and/or State Performance funds may supplement the cost of offering ASE classes using a $3.00 fee per student, per unit of instruction. An accounting of all fees collected must be maintained for each fiscal year. Additionally, an accounting of how the collected fees were used to provide services to ASE students must also be maintained. The fees collected during a fiscal year must be spent during that same fiscal year. All records dealing with a fee charge are subject to monitoring and audit.

The language in the legislation indicates it is for ASE instruction only. Only public entities can make the $3.00 charge. The legislation went into effect prior to the funding of CBO's so they are not included in the provision for charges.

There is never an instance when a student funded with State PA or Federal funds can be charged for services

Interest Income

All funded providers are required to adhere to the guidelines for federal funds as indicated in the Education Department General Administrative Regulations (EDGAR).
www.ed.gov/policy/fund/reg/edgarReg/edgar.html

- In accordance with federal law, federal funds cannot be advanced or held in an account more than thirty (30) days. Federal funds must be placed in an interest bearing account, unless:
    o   The Grantee receives less than $120,000 in federal awards per year;
    o   The best reasonably available interest-bearing account would not be expected to earn interest in excess of $250 per year on federal cash balances; or
    o   The depository would require an average or minimum balance so high that it would not be feasible within the expected federal and non-federal cash resources.

The timing and amount of federal funds requested should be as close as administratively feasible to the actual obligations. Pursuant to 34 CFR 74, the Grantee is required to maintain advances of federal funds in an interest bearing account with some exceptions. Grantees choosing to receive payments on a monthly or quarterly basis should note the following:

- Grantees should manage cash-on-hand to avoid holding funds in excess of 30 days.
- Any interest earned annually totaling $100 or less must be expended on the adult education program or returned to the ICCB.

Time distribution sheets must be maintained for all staff members paid from more than one federal fund. A sample is included at the end of this section.

- The federal time and effort requirement is at a minimum. Providers are required to keep documentation as required by OMB Circular A87 Attachment B-8h. Providers are encouraged to establish additional detail beyond federal requirements to support payroll and benefits charges.

4. **All funded providers must submit for approval, on the ICCB AEFL provided forms, a Post Allocation Budget and Budget Narrative.**
   a. **The Instructional Line of each budget for State Basic, State Public Assistance, Federal Basic and Federal EL/Civics must be generated.**

After receiving the allocation amount and returning the signed grant agreement to the ICCB, programs must develop and submit a Post Allocation Budget for each funding source received. A Budget Narrative for each source of funds must also be completed. Budgets within a single funding source may be modified without requesting approval from the ICCB as long as the changes do not affect the negotiated Program Support percentages for Federal Basic and Federal EL/Civics and/or other specific funding requirements for State and Federal budgets.

If a funded provider is a consortia of eligible entities, the lead agency is the fiscal agent for the consortia. As such this agency is responsible for the submission of all fiscal documents and reports and must ensure that each consortia member follows all federal and state policies and guidelines in the delivery of Adult Education Services.

Fifty-one percent (51%) or more of the direct instructional costs must be paid with ICCB AEFL funds to claim units for generation. Please refer to the "Overview of Funding Sources for Adult Education and Family Literacy" and the "Budget Descriptions" documents at the end of this section for more details.

5. **Providers are required to award all contracts according to Community College Act 110 ILCS805/3.27.1.**

- Providers can establish a more restrictive requirement for awarding contracts.
- All contracts for purchase of supplies, materials or work involving an expenditure in excess of $25,000 must meet the requirements as listed in the Community College Act.

6. **All providers are required to submit an annual audit to the ICCB by October 15th of each year.**

All providers subject to OMB Circular A133 must submit one paper and one electronic copy of the audit to the ICCB. Providers not subject to OMB Circular A133 must submit a grant specific audit according to the US Government Accounting Office, also known as the *Government Auditing Standards (The Yellow Book).* One paper copy and one electronic copy should be provided to the attention of Adult Education, Program Compliance.

A grant specific audit will at a minimum include an audit opinion, a compliance report or an additional paragraph in the audit opinion which provides positive assurance of compliance with rules, regulations,

state and federal law and the ICCB Adult Education and Family Literacy expenditure requirements; a balance sheet; a statement of revenues and expenses; and relevant notes to the financials.

The Adult Education and Family Literacy audit requirements can be found in section 12 of this manual and on the ICCB website at http://www.iccb.org/manuals.html .

For additional information related to the budgets, expenditure reports and the audit, refer to Section 3 - General Fiscal Policies. For questions specific to the audit please contact Associate Director for Financial Compliance and Program Accountability, at the ICCB Springfield Office.

For Additional Information
Refer to the Following Items that Follow this Section   ●   Overview of Funding Sources for Adult Education and Family Literacy   ●   Time Distribution Sheet   ●   Budget Descriptions   **Also See**   ●   Adult Education and Technical Appendix (www.iccb.org)

Budget Descriptions
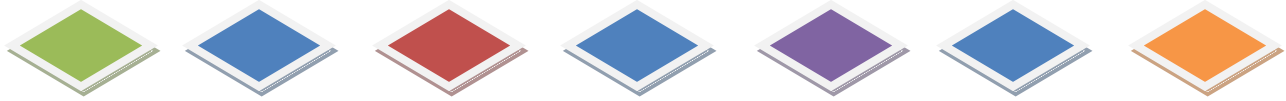
Line Items

1. *Instruction:* The teaching of students or the direct interaction between a paid instructor and students (with 51% or more of the cost paid with ICCB AEFL funds). Instructional costs associated with state budgets are further delineated within the instructional line to indicate instructional costs associated with Foreign Language GED and Vocational instruction. Federal funds cannot be used for these two instructional types.

   Consider the following when developing the Instructional line of the budget:
   a. Instruction may be provided for students in a classroom and in other learning environments.
   b. Include the activities of paid aides or paid assistants of any type that assist in the instructional process.
   c. Substitute instructors' salaries and benefits should be paid from the Instruction line.
   d. Salaries and benefits for those instructors attending professional development activities must be transferred from the Instructional line to the Improvement of Instructional Services line.
   e. Salaries and benefits for those instructors who have other responsibilities should be charged proportionately to the appropriate line. For example, if the individual teaches 80% of the time and works in administration 20% of the time, then 80% of salary and benefits must come from Instruction and 20% from General Administration.
   f. Instructional items, such as blackboards, chalk, maps, texts and teaching materials, are included under Supplies and Materials.
   g. Equipment, such as computers, printers, software, desks, tables, chairs, file cabinets and book cases which are used for the purpose of Instruction, is budgeted under Supplies and Materials unless the value of one single item is $5,000 or more which is budgeted under Capital Outlay. If these items are also used for purposes other than instruction, costs must be charged proportionally to the Supplies and Materials column on the appropriate line. For example, if computer hardware or software is used for multiple functions within the organization, then the cost of that item, such as a site license for *Microsoft Office* that is used both in the classroom and administratively, must be divided proportionally among Instruction and General Administration.
   a. All classes supported with restricted funds and to be claimed to the current fiscal year must end by June 30th. When scheduling classes that are funded with unrestricted or other restricted funds, it is advised not to schedule classes that begin in one fiscal year and

culminate in the next. This can help mitigate allocation concerns at the end of a fiscal year. This is also beneficial to ensure that students can earn adequate instructional hours to be post-tested for the end of the year.

- Any test administered on or before June 30th for students served in the fiscal year will be the final post-test for the fiscal year

2. *Social Work Services:* This area provides activities for:
   a. Improvement of students' attendance
   b. Identification of patterns of non-attendance
   c. Interventions to assist students dealing with problems involving the home, school and community
   d. Provision of referral assistance and/or retention strategies

3. *Guidance Services:* This area provides activities that pertain to counseling students:
   a. Regarding learning styles/problems
   b. To evaluate their own abilities
   c. To assist them in making their own educational and career plans and choices
   d. To assist them in personal and social development
   e. To assist other staff members in planning and conducting guidance programs
   f. ADA coordination
   g. To assist them in transitioning to job training, job placement, or future education

4. *Assistive and Adaptive Equipment:* Equipment and assistive devices or special printed materials for AEFL students with special needs.

5. *Assessment and Testing:* Activities carried out for the purpose of measuring individual student achievement. The information obtained is generally used to monitor individual and group progress in reaching learning goals and to compare individual and group performance with national norms established by test publishers. Includes materials and supplies necessary for assessment, such as large print tests.

6. *Student Transportation Services:* Activities concerned with conveying students and their children to and from schools as provided by Article 29 of the *Illinois School Code*. Includes trips between home and school and trips to school activities.

7. *Literacy Services:* Literacy activities in conjunction with AEFL instructional programming.
   a. Volunteer Literacy may include activities that support classroom instruction and increased student learning gains such as coordination, tutor training, and tutor scheduling.
   b. Family Literacy may include coordination and activities in parenting education and parent-child activities (PACT). Child education must be funded by an appropriate child education partner. Costs associated with Family Literacy that are for services such as instruction, assessment and testing, etc. should be budgeted on the appropriate line for these services.

c. Workplace Literacy may include coordination of workplace education projects that are designed to meet the unique needs of participating workers and employers. Costs associated with Workplace literacy that are for services such as instruction, curriculum development, assessment and testing, etc. should be budgeted on the appropriate line for these services.

8. *Childcare Services:* The care of children during a time for which a student is engaged in eligible AEFL instructional activities. The student must be the primary care giver of the child.

9. *Subtotal Instructional and Student Services:* Total of line items 1 through 8.

10. *Improvement of Instructional Services (Professional Development):* Activities which are designed to enable all local Adult Education staff (e.g., instructors, administrators and support staff) to effectively meet the crucial needs of students and continuously improve student learning achievement.

11. *General Administration:* Activities concerned with the overall administrative responsibility for the ICCB AEFL grant. Staff and activities funded under this category **would not** provide direct services to students, and the cost must be charged proportionately to reflect the job description and time distribution. This could include but not be limited to the following:
    a. Program administration activities
    b. Program coordination activities
    c. Finance and accounting activities
    d. Secretarial activities
    e. APC activities

12. *Operation and Maintenance of Plant Services:* Activities concerned with keeping the physical plant (i.e., grounds, buildings and equipment) in an effective and safe working condition. Rent and utilities are included in Operation and Maintenance of Plant Services under Purchased Services.

13. *Workforce Coordination:* Activities designed to streamline services through One-Stop delivery systems that partner workforce and educational entities for easy access and to establish and sustain community partnerships with local and state Workforce Development entities.

14. *Data and Information Services:* Includes activities concerned with the following:
    a. ICCB AEFL approved data system DAISI
    b. Recruitment of students
    c. Public relations functions

15. *Approved Indirect Costs:* Indirect Cost rates for Federal and State Funds must be negotiated with the ICCB. The Indirect Cost rate for Federal Funds (Federal Basic and Federal EL/Civics) are included as part of the Federal Program Support Negotiations. Indirect cost rates for Federal Funding Sources

must be consistent. The Indirect Cost rate for State Funds must be uniform across all State Budgets (ie State Basic, State Public Assistance and State Performance funds). For example, if a rate of 5% is used for the State Basic budget, that same rate must be used as the indirect cost rate for all other State funding source budgets.

Indirect costs represent the expenses of doing business that are incurred for a common or joint purpose benefitting more than one cost objective. These costs are not readily identified with a particular grant, contract, project function or activity.

16. *Subtotal Program Support:* Total of lines 10 through 15. In Federal Basic and Federal EL/Civics budgets, this amount may not exceed the negotiated Program Support Percentage.

17. *Total Costs:* Total of lines 9 and 16.

Object Items

In addition to Line Items, providers must document spending by Object Items (column).
Each Object Item on the Post Allocation Budget represents a category of expenditure.

- *Salaries:* Amounts paid to permanent, temporary or substitute employees on the payroll of the AEFL grant. This includes gross salary for personal services rendered while on the payroll of the grant.

- *Employee Benefits:* Amounts paid by the grant on behalf of the employees. These amounts are not included in the gross salary, and may include such items as retirement benefits, health and life insurance costs, and employer's contribution to social security. The costs of benefits should be proportional to the salary in the corresponding line item and funding source.

- *Purchased Services:* Amounts paid for the following services:
  o Those rendered by personnel who are not on the payroll of the grant such as consultants. Consultant fees are allowable at the maximum rate of $600 per day, plus expenses (up to a maximum of $200).
  o Unemployment insurance
  o Workers compensation
  o Postal costs
  o Telephone costs
  o Mileage costs
  o Registration costs
  o Lodging and per diem costs
  o Field trip costs
  o Catering costs

o   Internet costs

- *Supplies and Materials:* Amounts paid for material items of an expendable nature that are consumed, worn out or deteriorated in use. Included are general supplies, textbooks, library books, periodicals, etc. Computer software is considered a supply. It should be claimed according to its functional use. Equipment and non-expendable personal property with a per unit cost totaling **less than** $5,000 should be charged to this object.
- *Capital Outlay:* Expenditures for the acquisition of moveable equipment and the replacement of equipment with a minimum per unit cost of $5,000. Software and software licenses with a per unit value of $5,000 are defined as equipment. Equipment is the tangible non-expendable, personal property having a useful life of more than one year. A program may use a more restrictive definition of equipment if a more restrictive local policy exists. Expenditures for single items costing $5,000 or more (inclusive of labor and installation charges), whether budgeted on one or multiple lines, require written pre-approval by the ICCB.

- *Sub Contractual:* Amounts paid for services provided by sub-contractors' underwritten agreements.

- *Tuition:* Expenditures to reimburse other educational agencies for services rendered to students residing within the legal boundaries described for the paying agency. Payments to other educational facilities should be charged to the appropriate instructional function. Include also the tuition charge for "mainstreaming" students within the same agency or an outside agency.

Other Budgeting Considerations

- *Retirement:* The State Basic, State Public Assistance, and State Performance sources of funds are general revenue fund appropriations. Programs, with the exception of the Illinois Department of Corrections, are **not allowed** to charge the employer's contribution of State Universities Retirement System (SURS), State Employees Retirement System (SERS), or Teachers Retirement System (TRS) on these budgets. Separate appropriations are made by the state to pay these retirement contributions. The appropriate reporting should be made to these retirement systems. If individuals are covered under another retirement system, the employer's contribution may be charged to the grant. Consult your local financial officer if you have questions about the payment of retirement benefits.

  Under the federal sources of funds, Federal Basic and EL/Civics, the employer's contribution may be charged proportionately to the sources of funds used to pay the employee's salary, regardless of the retirement system used.

Employee's contributions to retirement systems if paid by the grantee as part of the employee's benefits should be charged proportionately to all sources of funds used to pay the employee's salary, regardless of the retirement system used.

- o *Interest:* In accordance with 30 ILCS 705/10, any interest earned on funds shall become part of the grant principal and be treated according to grant rules.
- o *WIA Costs:* WIA costs are claimed in relationship to their use. Renting classroom space at a One-Stop Center is categorized on the Operation and Maintenance of Plant Services line item under Purchased Services. If costs are incurred in terms of administrative staff time, then it is a General Administration line item under the appropriate budget column. If the costs are for coordination efforts, then it is a Workforce Coordination line item under the appropriate budget column.
- o *Loans:* Programs are not permitted to use state and federal grant funds to pay interest expense on borrowing, financing, and refinancing operations.
- o *Travel:* For travel, meals and hotel reimbursement, a provider should consult the travel policies of his or her organization. These policies should contain a provision for prior approval for business travel. In the absence of a formal travel policy, the provider should follow the Higher Education Travel Board's policies, which can be viewed at http://www.stateuniv.state.il.us/travel/. Programs must consistently follow one policy, however.

- *Leasing Equipment:* The following conditions must be met:
  - o Lease purchases that span more than one grant year are permissible.
  - o Costs can be recovered from more than one year of grant funds.

The following provisions should be understood related to such situations:
- o Interest and finance charges cannot be charged to federal grants.
- o The grant recipient should continue to list the equipment for approval for multiple years until the agreement is complete. The lease purchase concept should be so noted on the approval request.
- o The grant recipient must keep financial and programmatic records that document the disbursement of funds associated with the agreement.
- o Lease purchases are budgeted under Purchased Services. It is permissible to pay the interest cost associated with lease purchase arrangements only for equipment purchased with state grant sources. It is not permissible to pay interest charges from federal grants.
- o Grant continuation from the ICCB cannot be guaranteed.

Audit Requirements:
- o All providers subject to OMB Circular A133 must submit one paper and one electronic copy of the audit to the ICCB. Providers not subject to OMB Circular A133 must submit a grant specific audit according to the US Government Accounting Office, also known as the

Government Auditing Standards (The Yellow Book). One paper copy and one electronic copy should be provided to the attention of Adult Education, Program Compliance.

o A grant specific audit will at a minimum include an audit opinion, a compliance report or an additional paragraph in the audit opinion which provides positive assurance of compliance with rules, regulations, state and federal law and the ICCB Adult Education and Family Literacy expenditure requirements; a balance sheet; a statement of revenues and expenses; and relevant notes to the financials.

o The Adult Education and Family Literacy audit requirements can be found in section 12 of this manual and on the ICCB website at http://www.iccb.org/manuals.html.

o For questions specific to the audit please contact Associate Director for Financial Compliance and Program Accountability, at the ICCB Springfield Office.

Overview of Funding Sources for Adult Education and Family Literacy
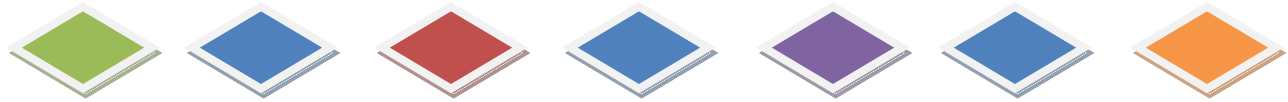
Program Specifications

There are five sources of funds for Adult Education and Family Literacy provided through the ICCB, consisting of both Federal and State funds. Federal Funds include two funding categories:
- Federal Basic
- Federal EL/Civics

State Funds include three funding categories:
- State Basic
- State Public Assistance
- State Performance

The charts on the following pages indicate for each funding source the purpose, eligible participants, appropriate use of funds, assessment requirements, and reporting requirements.

Overview of Funding Source: Federal Basic, Federal EL/Civics, State Basic, State Public Assistance, State Performance.

Federal Basic	*45% Minimum Instruction; 5% Maximum Program Support including Indirect Costs*
Federal EL/Civics	*45% Minimum Instruction; 5% Maximum Program Support including Indirect Costs*
State Basic	*45% Minimum Instruction; 15% Maximum Administration*
State Public Assistance	*45% Minimum Instruction; 15% Maximum Administration*
State Performance	*No Minimums or Maximums for Instruction or Administration*

ADULT EDUCATION AND FAMILY LITERACY
(FEDERAL BASIC)

Purpose
• To assist adults to become literate and obtain the knowledge and skills necessary for employment and self-sufficiency;   • To assist adults who are parents to obtain the educational skills necessary to become full partners in the educational development of their children;   • To assist adults in completion of a secondary school education.

Eligible Participants
Adult Education means instruction and support services below the postsecondary level for individuals: (A) who have attained 16 years of age; (B) who are not enrolled or required to be enrolled in secondary school under state law; and (C) who: • lack sufficient mastery of basic educational skills to enable the individuals to function effectively in society;   • do not have a secondary school diploma or its recognized equivalent, and have not achieved an equivalent level of education; or   • are unable to speak, read, or write the English language.

Use of Funds	Assessment (Pre & Post Test) Requirements
ABE	TABE
ASE	TABE
ESL	BEST Literacy, BEST Plus, CASAS
High School Completion	TABE

Required Reporting		
Report	Due Date	Format
Post - Allocation Budget	August 31	electronic submission
NRS Performance Report	October 30, January 30, April 30,	hard copy (aggregate report)
Program Status Report	October 30, January 30, April 30,	hard copy (aggregate report)
Enrollment Report	January 30, July 30	hard copy
Electronic Data Submission	October 30, January 30, April 30, July 30	electronic submission via DAISI
Expenditure Report	October 30, January 30, April 30 and August 15	electronic submission for all reports and hard copy for August 15 only
Federal Audit	30 days after receipt of the auditor's report(s), or nine months after the end of the audit period. NOTE: This audit is from the previous fiscal year.	hard copy

ADULT EDUCATION AND FAMILY LITERACY
(FEDERAL EL/CIVICS)

Purpose
To provide an integrated program of services that incorporates English Literacy and civics education to help immigrants and the other limited English proficient populations to effectively participate in the education, work and civic opportunities in this country.

Eligible Participants
Adult Education means instruction and support services below the postsecondary level for individuals: (A) who have attained 16 years of age; (B) who are not enrolled or required to be enrolled in secondary school under state law; and (C) who: • lack sufficient mastery of basic educational skills to enable the individuals to function effectively in society; • do not have a secondary school diploma or its recognized equivalent, and have not achieved an equivalent level of education; or • are unable to speak, read, or write the English language.

Use of Funds	Assessment (Pre & Post Test) Requirements
ESL - Contextualized English Literacy curriculum with civics content (EL Civics Competencies)	BEST Literacy, BEST Plus, CASAS

Required Reporting		
Report	**Due Date**	**Format**
Post - Allocation Budget	August 31	electronic submission
NRS Performance Report	October 30, January 30, April 30, July 30	hard copy (aggregate report)
Program Status Report	October 30, January 30, April 30, July 30	hard copy (aggregate report)
Enrollment Report	January 30, July 30	hard copies
Electronic Data Submission	October 30, January 30, April 30, July 30	electronic submission via DAISI
Expenditure Report	October 30, January 30, April 30 and August 15	electronic submission for all reports and hard copy for August 15 only
Federal Audit	30 days after receipt of the auditor's report(s), or nine months after the end of the audit period. NOTE: This audit is from the previous fiscal year.	hard copy

ADULT EDUCATION AND FAMILY LITERACY
(STATE BASIC)

Purpose
• To assist adults to become literate and obtain the knowledge and skills necessary for employment and self-sufficiency;   • To assist adults who are parents to obtain the educational skills necessary to become full partners in the educational development of their children;   • To assist adults in completion of a secondary school education.

Eligible Participants
Adult Education means instruction and support services below the postsecondary level for individuals (A) who have attained 16 years of age; (B) who are not enrolled or required to be enrolled in secondary school under state law; and (C) who: • lack sufficient mastery of basic educational skills to enable the individuals to function effectively in society;   • do not have a secondary school diploma or its recognized equivalent, and have not achieved an equivalent level of education; or   • are unable to speak, read, or write the English language.

Use of Funds	Assessment (Pre & Post Test) Requirements
ABE	TABE
ASE	TABE
ESL	BEST Literacy, BEST Plus, CASAS
High School Completion	TABE
Vocational	No requirement
Foreign Language GED®	SABE or appropriate locally developed assessment recommended

Required Reporting		
Report	Due Date	Format
Post - Allocation Budget	August 31	electronic submission
State Audit	October 15 (Previous Fiscal Year)	hard copy
NRS Performance Report	October 30, January 30, April 30, July 30	hard copy (aggregate report)
Program Status Report	October 30, January 30, April 30, July 30	hard copy (aggregate report)
Enrollment Report	January 30, July 30	hard copy
Electronic Data Submission	October 30, January 30, April 30, July 30	electronic submission via DAISI
Expenditure Report	October 30, January 30, April 30 and August 15	electronic submission for all reports and hard copy for August 15 only

ADULT EDUCATION AND FAMILY LITERACY
(STATE PERFORMANCE)

Purpose
- To assist adults to become literate and obtain the knowledge and skills necessary for employment and self-sufficiency;   - To assist adults who are parents to obtain the educational skills necessary to become full partners in the educational development of their children;   - To assist adults in completion of a secondary school education

Eligible Participants
Adult Education means instruction and support services below the postsecondary level for individuals: (A) who have attained 16 years of age; (B) who are not enrolled or required to be enrolled in secondary school under state law; and who: - lack sufficient mastery of basic educational skills to enable the individuals to function effectively in society;   - do not have a secondary school diploma or its recognized equivalent, and have not achieved an equivalent level of education; or   - are unable to speak, read, or write the English language.

Use of Funds	Assessment (Pre & Post Test) Requirements
ABE	TABE
ASE	TABE
ESL	BEST Literacy, BEST Plus, CASAS
High School Completion	TABE
Vocational	No requirement
Foreign Language GED	SABE or appropriate locally developed assessment recommended

Required Reporting		
Report	Due Date	Format
Post - Allocation Budget	August 31	electronic submission
State Audit	October 15 (Previous Fiscal Year)	hard copy
NRS Performance Report	October 30, January 30, April 30, July 30	hard copy (aggregate report)
Program Status Report	October 30, January 30, April 30, July 30	hard copy (aggregate report)
Electronic Data Submission	October 30, January 30, April 30, July 30	electronic submission via DAISI
Expenditure Report	October 30, January 30, April 30 and August 15	electronic submission for all reports and hard copy for August 15 only

ADULT EDUCATION PROGRAM AND FAMILY LITERACY
(STATE PUBLIC ASSISTANCE)

Purpose
To provide educational services for adults on Temporary Assistance to Needy Families (TANF) and adults who have been cancelled from TANF and receive extended medical assistance or receive food stamp assistance.

Eligible Participants
Ninety percent (90%) of the units of instruction generated and claimed for public assistance funding must be used to serve students in the following categories: 04 TANF Single Parent; 06 TANF Two Parent; 07, 08 Food Stamps Only; and 94, 96 Medical Assistance Only for TANF Eligible Because of Medical Expenses. These categories are subject to change.

Use of Funds	Assessment (Pre & Post Test) Requirements
ABE	TABE
ASE	TABE
ESL	BEST Literacy, BEST Plus, CASAS
High School Completion	TABE
Vocational	No requirement
Foreign Language GED®	SABE or appropriate locally developed assessment recommended

Required Reporting		
Report	**Due Date**	**Format**
Post - Allocation Budget	August 31	electronic submission
State Audit	October 15 (Previous Fiscal Year)	hard copy
NRS Performance Report	October 30, January 30, April 30, July 30	hard copy (aggregate report)
Program Status Report	October 30, January 30, April 30, July 30	hard copy (aggregate report)
Public Aid Master List	October 30, January 30, April 30, July 30	hard copy
Enrollment Report	January 30, July 30	hard copy
Electronic Data Submission	October30, January 30, April 30, July 30	electronic submission via DAISI
Expenditure Report	October 30, January 30, April 30 and August 15	electronic submission for all reports and hard copy for August 15 only

TIME DISTRIBUTION SHEET - SAMPLE

Name:	Employee ID#:
Month/Year:	Position:
Employee's Name:	Submission Date:

Day & Time	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31
8am																															
9am																															
10am																															
11am																															
12pm																															
1pm																															
2pm																															
3pm																															
4pm																															
5pm																															
Fund Source (s)																															

Activities		Funding Sources	
1 - Recruitment	8 - Data & Info Services	1 - Federal Basic	
2 - Retention	9 - Transportation	2 - Federal El Civics	
3 - Instruction	10 - Professional Dev	3 - State Basic	
4 - Assessment	11 - Program Planning	4 - State Performance	
5 - Counseling	12 - Fiscal	5 - State Public Assistance	
6 - Administration	13 - Clerical	6 - Unrestricted	
7 - Child Care	14 - Other:	7 - Other:	

_____
Employee's Signature & Date

_____
Supervisor's Signature & Date

Section 4 – Student Intake

<table>
<tr><td align="center">Major Policy Points</td></tr>
</table>

1. All students are required to complete one intake form per fiscal year. This should be completed when the student enters the program and the form must contain, at a minimum, specific and prescribed elements as outlined by ICCB. (Federal and State Policy)
2. Upon entering the program, all students must receive an appropriate orientation that outlines requirements and expectations, services available and guidance with career and educational planning. Appropriate assessment(s) must also be conducted to establish a baseline for instruction. (Federal and State Policy)
3. Upon entry into the program, students should be assisted in setting goals that reflect their reason(s) for entering the adult education program. (Federal and State Policy)

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1. **All students are required to complete one intake form per fiscal year. This should be completed when the student enters the program and the form must contain, at a minimum, specific and prescribed elements as outlined by ICCB.**

To facilitate the intake process and meet the requirements for maintaining student data, an intake form must be completed for each student.

- A sample student intake form that meets the requirements has been included at the end of this section to assist providers with the intake process.
- The Adult Education and Family Literacy Student Intake Form is aligned with the approved data system to ease the data entry process at the program level.
- A program can use any locally developed intake form as long as the form includes the required elements. If designing a local intake form, it is strongly recommended that the form layout be consistent with the approved data system screen to assist with data entry requirements.
- Accurately recording information from the Student Intake Form in the approved data system is essential because it becomes the criteria used to measure student success and examine program characteristics.
- It is required that programs have each student complete, date and sign an intake form each fiscal year.

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2. **Upon entering the program, all students must receive an appropriate orientation that outlines requirements and expectations, services available and guidance with career and educational planning. Appropriate assessment(s) must also be conducted to establish a baseline for instruction.**

Providers must have a procedure in place for orienting students to the program and assisting them in selecting personal goals for instruction and services. The program should also explain the commitment necessary for the student to be successful in the program. The proper time for this process to occur is when the student first enters the program. It is recommended that this orientation occur prior to a student attending the first class session and that procedures be implemented to regularly address student questions and concerns to assist with student retention.

Pre-testing, with an ICCB approved standardized assessment, must be conducted by either the third class meeting for a fixed-entry class or by the student's third class period in an open-entry class to establish a baseline for student progress. Detailed information regarding assessment can be found in Assessment (Section 5).

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3. Upon entry into the program, students should be assisted in setting goals that reflect their reason(s) for entering the adult education program.

Goal selection is important in helping a student make immediate and long-term plans that reflect the reason they have chosen to enroll in an adult education program. It is important to note that student goal selection has no bearing on the Core Outcome Measures for the National Reporting System (refer to Section 8 – National Reporting System). Instead, goal selection is a student centered process and should be used to help students map their plans for education and employment success.

Goals must be selected by the student with appropriate guidance from program intake staff. Goal information must be entered in the approved data system and the date the goal was selected must be recorded. In addition, when a goal is achieved, program staff should indicate this information within the approved data system. It is important to note that goal selection should be a student centered activity. To assist programs with tracking various achievements students accomplish during the fiscal year, a Student Achievement Record form has been included at the end of this section.

Students may elect to set two different goals per fiscal year, but only one goal is required upon entry. If a student initially sets only a Primary Goal, the student may later set a Secondary Goal if so desired. The goal(s) set by the student should be reported in the approved data system and reflected in the student file in documentation signed by the student.

Learners are able to select from the ten goals in the following chart. The chart also provides definitions for each goal.

Goals	Definition
Obtain a job	Obtain full- or part-time employment
Retain current job	Upgrade skills to enable retention of current job
Improve current job	Obtain a job that has increased pay or benefits, higher level of responsibility or that requires a higher level of skill compared to current or most recent job
Earn a secondary school diploma or achieve a GED certificate	Achieve sufficient skills and credit hours to earn a state accredited secondary diploma or pass the GED Test
Enter postsecondary education or job training	Achieve skills to enable enrollment in a postsecondary education program or job training program
Improve basic literacy skills	Improve overall foundational reading, writing or math literacy skills
Improve English skills	Improve overall skills in the English language (e.g., speaking, reading, writing)
Obtain citizenship skills	Obtain skills to pass the citizenship test
Achieve work-based project learner goal	Obtain skills needed to complete a project learner activity (i.e., a course of 12-30 hours duration designed to teach specific workplace skills)
Other personal goal	Any goal related to instruction with a clearly definable outcome (such as pass a driver's test)

For Additional Information
Refer to the Following Items that Follow this Section • Achievements Record • Adult Education and Family Literacy Student Intake Form **Also See** • FY14 AEFL Provider Manual – Assessment (Section 5)

ACHIEVEMENTS RECORD

<u>Fiscal Year:</u> _____

<u>Please check all that apply (for program use only):</u>

☐*Obtained a High School Diploma   Date Received: _____
☐Entered Other Academic or Vocational Program
☐*Completed Vocational Program
☐*Received U.S. Citizenship
☐Registered to Vote or Voted for the First Time
☐Gained Employment
☐Secured Employment Retention or Obtained Job Advancement
☐Removed from Public Assistance
☐Read More to Children (for learners in ICCB/AEFL-funded
    Family Literacy Program)
☐Greater Involvement in Children's Schooling (for learners in
    ICCB/AEFL-funded Family Literacy Program)
* Indicates self-reported achievements related to Performance Funding.

Industry Recognized Certificate Completion

Certificates	Career Cluster of Certificate	Specific Certificate Earned	Date Earned: (Month/Year)
1			
2			
3			
4			

_____
Program Staff Member's Signature   **Date**

Adult Education and Family Literacy Student Intake Form

(Information provided will be kept confidential in accordance with the Family Educational Rights and Privacy Act of 1974 (P.L. 93-380))

FY: _____

Check Program Type: ☐ **Illinois Community College Board**   ☐ **Other Program:** _____

Social Security #: _____   Last Name: _____   First Name: _____

Middle Name (if applicable): _____   Date of Birth: _____   Sex: ☐ Male ☐ Female

Marital Status (Check One): ☐ Single   ☐ Married   ☐ Divorced   ☐ Widow   ☐ Unknown

Are you Hispanic or Latino? (Or Are you of Spanish origin?) ☐ Yes   ☐ No

Are you from **one or more** of the following racial groups? **(Select All That Apply – required if student is not Hispanic nor Latino).**
☐ American Indian or Alaska Native ☐ Asian ☐ Black/African American ☐ Native Hawaiian or Pacific Islander ☐ White

Please identify your primary racial/ethnic group **(Select One):**
☐ American Indian or Alaska Native ☐ Asian ☐ Black/African American ☐ Hispanic or Latino ☐ Native Hawaiian or Other Pacific Islander ☐ White

English is Second Language? ☐ Yes   ☐ No   If yes, please record Native Language: _____

CONTACT INFORMATION

Address: _____   City: _____   Zip Code: _____

Home Phone: _____   Work Phone: _____

EDUCATION/EMPLOYMENT

School Type: ☐ **US Based Schooling**   ☐ **Non-US Based Schooling**   **Month/Year when last enrolled:** _____

Number of School Years **Completed** (Please check one of the following):

☐ **No Schooling**	☐ **Grade 4**	☐ **Grade 8**	☐ **Grade 12**	☐ **College or Professional Degree**
☐ **Grade 1**	☐ **Grade 5**	☐ **Grade 9**	☐ **HS Diploma or Alternative Credential**	☐ **Unknown**
☐ **Grade 2**	☐ **Grade 6**	☐ **Grade 10**	☐ **GED® Credential**	
☐ **Grade 3**	☐ **Grade 7**	☐ **Grade 11**	☐ **Some college, no degree**	

U.S. GED® upon entry? ☐ Yes ☐ No   U.S. Diploma upon entry? ☐ Yes ☐ No

If employed, what is your occupation? _____

STUDENT STATUS

Please check one (OPTIONAL INFORMATION):
- ☐ Not Disabled
- ☐ Physical Impairment
- ☐ Mental Impairment
- ☐ Learning Impairment
- ☐ Multiple Disabilities

Do you live in: (Please check one)
- ☐ Rural area
- ☐ Urban area with High Unemployment
- ☐ Neither

How did you hear about the program:
- ☐ Adult Education Instructor
- ☐ Other Instructor
- ☐ Employer
- ☐ Community Organization
- ☐ Career Center/WIA Office
- ☐ TV, Radio, Newspaper or Internet
- ☐ Flyer or Poster
- ☐ Friend or Relative
- ☐ Other
- ☐ No Response

Number of Dependents - minor children (optional): _____   Number of Dependents – Other (optional): _____

Yearly household income (optional): _____

Please check one of the following: (required)
☐ Not in the Labor Force ☐ Employed Part-Time
☐ Unemployed ☐ Employed Full-Time

If employed, hours per week: _____

Do you receive Public Assistance? (required) ☐ Yes ☐ No If yes, Public Assistance Number (required): _____

Additional Student Information (Please check all that apply):
- ☐ Low Income
- ☐ Displaced Homemaker
- ☐ Dislocated Worker
- ☐ Veteran
- ☐ Single Parent

Please check all that apply:
- ☐ Participant in a WORK-BASED LEARNER Project (enrolled in a 12-30 hr. course designed to teach work-based literacy skills)
- ☐ Participant in a FAMILY LITERACY Program (ICCB AEFL funded)
- ☐ Participant in a WORKPLACE LITERACY Program (ICCB AEFL funded)
- ☐ Participant in a VOLUNTEER LITERACY Program (ICCB AEFL funded)
- ☐ In a PROGRAM FOR THE HOMELESS
- ☐ In a CORRECTIONAL FACILITY
- ☐ In a COMMUNITY CORRECTIONAL PROGRAM
- ☐ In OTHER INSTITUTIONAL SETTING

_____   _____   _____   _____
Intake Signature   Date   Student's Signature   Date

GOALS RECORD

Primary or Secondary*	Goal	Date Set	Date Achieved
	Obtain A Job		
	Retain Current Job		
	Improve a Current Job		
	Earn GED/Secondary Education		
	Enter postsecondary education or job training		
	Improve Basic Literacy Skills		
	Improve English Language Skills		
	Obtain Citizenship Skills		
	Achieve a Work-Based Goal		
	Other Personal Goal		

*Please write #1 on the line next to your primary goal (**required**) and a #2 next to your secondary goal (**optional**).

_____   _____
Intake Signature   Date   Student's Signature   Date

TEST INFORMATION

Date	Test	Form	Level					Raw Score	Scale Score	GLE or SPL
☐Pre / ☐Post Date:_____ FY:_____	☐ TABE	☐9 ☐10	☐ L	☐ E	☐ M	☐ D	☐ A			
	☐ CASAS									
	☐ BEST-Literacy		N/A					Reading = _____ Writing =		
	☐ BEST-Plus	N/A	N/A							
☐Pre / ☐Post Date:_____ FY:_____	☐ TABE	☐9 ☐10	☐ L	☐ E	☐ M	☐ D	☐ A			
	☐ CASAS									
	☐ BEST-Literacy		N/A					Reading = _____ Writing =		
	☐ BEST-Plus	N/A	N/A							
☐Pre / ☐Post Date:_____ FY:_____	☐ TABE	☐9 ☐10	☐ L	☐ E	☐ M	☐ D	☐ A			
	☐ CASAS									
	☐ BEST-Literacy		N/A					Reading = _____ Writing =		
	☐ BEST-Plus	N/A	N/A							
☐Pre / ☐Post Date:_____ FY:_____	☐ TABE	☐9 ☐10	☐ L	☐ E	☐ M	☐ D	☐ A			
	☐ CASAS									
	☐ BEST-Literacy		N/A					Reading = _____ Writing =		
	☐ BEST-Plus	N/A	N/A							

Section 5 – Assessment

Major Policy Points
1. All students are required to be assessed with an ICCB approved assessment based on the student's enrollment type. Students enrolled in Vocational only or Foreign Language GED® only are the two exceptions to this requirement. (Federal and State Policy) a. Students enrolled in Foreign Language GED® instruction should be assessed to ensure they are functioning at the ASE level. Foreign Language GED® instruction can only occur at the ASE level. Programs have discretion in selecting the assessment tool to use (i.e. SABE or locally developed instrument), but it should be appropriate for the student population. (State Policy) 2. Staff administering the approved assessments must be properly trained and all official assessments used for student placement must be approved by ICCB. (Federal and State Policy) a. Current assessments for ESL include the BEST Literacy, BEST Plus and the CASAS. For ABE, ASE or HSCR, the approved assessment is the TABE 9/10. (Federal and State Policy) 3. Level gains are measured by improvement (based on point gain) from pre-test (first assessment used for the fiscal year) to the post-test (final assessment for the fiscal year). (Federal and State Policy) a. In order for results to be claimed, post-testing must be conducted within time frames established by the test publishers. (Federal Policy) b. Programs must ensure that students are administered alternating forms of the assessment as appropriate. (Federal Policy) c. Any testing accommodations for assessing special populations must be within the guidelines established by the test publisher. (Federal Policy) 4. Programs may elect to use an assessment from the previous fiscal year for placement in the new fiscal year if that assessment was administered within 120 days of the student's enrollment in the new fiscal year. (State Policy)

1. All students are required to be assessed with an ICCB approved assessment based on the student's enrollment type. Students enrolled in Vocational only or Foreign Language GED® only are the two exceptions to this requirement. a. Students enrolled in Foreign Language GED® instruction should be assessed to ensure they are functioning at the ASE level. Foreign Language GED® instruction can only occur at the ASE level. Programs have discretion in selecting the assessment tool to use (i.e. SABE or locally developed instrument), but it should be appropriate for the student population.

Assessment is an integral part of any instructional program. It is conducted to place students in appropriate instructional levels, to measure ongoing progress, to identify student strengths and weaknesses, to qualify students for academic and vocational programs, to demonstrate student gains, to guide instruction or to determine program effectiveness. Different types of assessment take place at

different points in the program. Initially, placement assessment is conducted to place students in the appropriate level.

- Pre-testing is to be completed by the student's third class meeting in the enrollment period (open-entry classes) or by the third period of the class (fixed-entry classes) to establish a baseline to determine student progress.
- Student placement for NRS purposes is required and must occur through ICCB AEFL approved assessments. Additional assessment based on locally developed assessment instruments for placement in appropriate course(s) can also be conducted to inform instruction. However, these locally developed tools cannot be used for official NRS placement and reporting.
- Students are required to be assessed with at least one approved ESL assessment for ESL instruction and either the TABE-R or TABE-M based on the type of ABE, ASE or HSCR enrollment that occurs.
- Throughout the program, there should be ongoing progress evaluation and post-testing to measure student progress. In order to report progress, all post-testing should be completed within the guidelines set by the test publisher for the specific assessment in use.
- The ICCB has established the minimum post-test rate target at 65%. This rate is subject to change on an annual basis. Programs should also closely monitor reports to ensure that NRS targets are reached for level gains.
- Each year, the ICCB negotiates targets for each of the Educational Functioning Levels (EFL's). All programs are expected, at a minimum, to meet these targets.

The results of the pre- and post-test are important to the learner, the teacher, and the program. For the teacher, the results of testing can be used to guide instruction and curriculum development. The results are critical for program improvement and program accountability in terms of achieving targeted outcomes, as well as continued financial support of the program.

Score ranges for each assessment are determined by the test publisher. Student level gains are determined by the post-test results and reflect the final assessment of the fiscal year for the student in comparison with the pre-test score. If the student earns enough points on the post-test, a level gain is granted.

Programs serving ESL students have the discretion to select from three ESL assessments (i.e. BEST Plus, BEST Literacy or CASAS). Programs can choose the assessment(s) that best meets the needs of the program and the students served. Programs may elect to administer up to two different ESL tests during the same fiscal year. As with TABE testing, in order to claim gains on assessments, post-testing must be conducted within the test publisher's guidelines and the pre-test and post-test must be from the same ESL assessment. While an ESL student can be tested with two different ESL assessments, only one is required. A second ESL assessment may be used to inform instructional practices. However, it is important to note that if two ESL assessments are given for placement and NRS purposes, the student's NRS level will be based on the assessment reflecting the lowest EFL.

> **2. Staff administering the approved assessments must be properly trained and all official assessments used for student placement must be approved by ICCB.**
>   **a. Current assessments for ESL include the BEST Literacy, BEST Plus and the CASAS. For ABE, ASE or HSCR, the approved assessment is the TABE 9/10.**

In order to obtain valid and reliable results, staff administering these tests must be trained in test administration with an understanding of how forms, levels and content ranges play a role in interpreting test results. It is important to follow the assessment procedures outlined in the *Administration Manual* for each test in order to ensure the validity and reliability of the results. The ICCB Adult Education and Family Literacy Service Center Network offers training workshops on each of the assessment instruments.

Placement and Progress Testing
The ICCB recommends additional assessment testing to specifically identify student strengths and weaknesses for the purposes of informing instruction. The following options may be used for determining student placement:

- An oral interview (formal or informal) may be used to determine which standardized assessment instrument is used for placement and/or pre-testing. Programs may use standardized assessment instruments such as the BEST Plus or program-developed instruments for this purpose.
- The program can use any ESL assessment instrument (commercial or locally developed) for placement that will appropriately place students according to their skill level. Students with six years or less of formal education, or students whose first language does not utilize the Roman alphabet, should be screened for basic literacy skills with the BEST Literacy Screener or a program-developed instrument or process.
- If the oral interview and/or the literacy screener determine that students have sufficient language proficiency, standardized or program-developed tests may be used in the placement process.
- To ensure accurate placement, student writing samples may be elicited with program-developed writing prompts.
- Additional placement testing to identify specific skill sets in various subject areas may be conducted using program-developed tools.
- A program may also use the pre-test results of the BEST Literacy Skills Test, BEST Plus, and/or the CASAS to place students into the appropriate class for ESL. TABE pre-test results may also be used for ABE, ASE or HSCR placement.

ESL Required Testing
All ESL and EL/Civics students must be pre- and post-tested in order to document educational gains. Educational gains are defined as advancement from one functioning level to the next. The three state-approved ESL tests are the BEST Literacy Skills Test, BEST Plus and the CASAS.

The **BEST (Basic English Skills Test) Literacy Skills Test** is a reading and writing test based on daily tasks such as reading clothing and food labels, addressing an envelope, and filling out an application. This assessment is appropriate for the lower levels of ESL, has a maximum time for administration of 60

minutes and can be administered individually or to a group. The key in scoring the Literacy Skills Test is comprehension. The criteria used assumes the learner has literacy skills in their native language.
The **CASAS** Life and Work Reading tests assess reading in life and work contexts through a multiple choice format. The tests may be administered in a paper-and-pencil format or an electronic format (the eTest). For the paper-and-pencil format, a 25-minute Appraisal identifies the correct pre-test level and form to give initially, while the pre-test score identifies the correct post-test to administer. The eTest moves seamlessly from a computer-adaptive locator into the correct pre-test level and form and identifies the correct post-test to administer. Both the paper and eTest formats take approximately 60 minutes to administer.

The **BEST Plus** is a face-to-face interview that assesses a student's oral proficiency. There is a computer-adaptive version on CD and a semi-adaptive print-based version. The student answers questions based on computer prompts. The items reflect everyday American life at home, at work and in the community.

In compliance with the federal NRS, it is required that all ESL students must be pre-tested using one of the state-approved ESL tests. Students must be post-tested with a different form of the test to document progress in the ESL course, with the exception of BEST Plus which is a computer adaptive test that changes with each administration.

Student scores used for placement and NRS purposes must be entered in the data collection system. Answer sheets and scores from any of the tests must be kept in each student's individual file. If a student lacks literacy skills to be validly assessed with the BEST Literacy Test (for example, a student is not literate in his or her native language), then administer the BEST Literacy Test Screener. (The BEST Literacy Test Screener along with directions for its administration can be found at the end of this section.) When the screener is used, a zero will be recorded in the data collection system. The screener should only be administered once during a fiscal year. Subsequent post-testing should use the appropriate BEST Literacy assessment.

Criteria for Standardized Test Selection
Appropriate selection of testing instruments should be based on the range of student proficiency being assessed. The BEST Literacy Screener may be used to determine whether the BEST Literacy test is appropriate as a pre-test for beginning-level students.

Program curriculum, enrollment size, qualified staff and available technology are some additional factors that must be considered when determining the appropriate standardized assessment instrument(s) for placement and pre- and post-testing in a program. One or more of these instruments can be integrated into the process of placing, and/or pre- and post-testing students.

ESL Tests and NRS Levels
It is important to note that two different ESL assessments can be administered during the same time period. However, only one is required. If two ESL assessments have been administered for placement and NRS reporting, the student's NRS placement will be based on the assessment reflecting the lowest NRS level.

Summary of ESL Testing

Categories			
Beginning Literacy	400 and Below	0 - 20	180 and Below
Low Beginning ESL	401 - 417	21 - 52	181-190
High Beginning ESL	418 - 438	53 - 63	191-200
Low Intermediate	439 - 472	64 - 67	201-210
High Intermediate	473 - 506	68 - 75	211-220
Advanced ESL	507 - 540	76 - 78	221-235
Exit Criteria	Above 540	NA	Above 235

* Students can be placed into Advanced ESL using Best Literacy but the test does not assess skills beyond this level so students cannot exit Advanced ESL with this test. Re-testing of students who enter this level with another assessment is appropriate if additional ESL services are needed. Programs should also alternate forms of the BEST Literacy as post-testing is conducted.

** Effective FY13 all levels of CASAS Life and Work reading tests can be used for assessment at any level. A score above 235 on the CASAS or a score above 240 on the BEST Plus places the student in the Exit Criteria range. Students scoring in this range should be transitioned to other services. If the student is in need of additional ESL services, an assessment that reflects the need should be administered. Programs administering the CASAS should alternate forms as post-testing is conducted.

The Best Plus is a computer adaptive test. The test changes with each administration and subsequently there is no form designation.

ESL students can be administered two different ESL assessments during the fiscal year if needed. Students should be pre and post tested with the same assessment. Exceptions include the following:

1. *If the student's pre-test score on the BEST Literacy places them in the Advanced Level and additional ESL services are needed, a 2nd ESL assessment should be given. It isn't necessary to post-test on the BEST Literacy as the 2nd assessment will be used for student placement.*
2. *If the student's pre-test score on either the CASAS or BEST Plus places them in the Exit Criteria, they should either be administered another ESL assessment that reflects the need for ESL services or be transitioned to ABE, ASE or post-secondary as appropriate. Post-testing on one of these assessments when the pre-test revealed the Exit Criteria range isn't necessary as the 2nd assessment will reflect the student's level.*
3. *If the student's pre-test on the BEST Literacy reveals ESL Advanced and a second ESL assessment's pre-test reveals the Exit Criteria range, the student should be transitioned to ABE, ASE or post-secondary as appropriate.*

ABE/ASE Required Testing

The ICCB-approved test to measure ABE/ASE or HSCR student progress is the TABE (Test for Adult Basic Education). TABE-R (Reading) and TABE-M (Math) are the two assessments that can be used. These allowed assessments come in forms 9 and 10. The ICCB requires that all students be pre-tested for ABE, ASE or HSCR placement using the TABE and recommends additional placement testing occur to specifically identify student strengths and weaknesses for the purposes of informing instruction.

The difficulty level of the TABE assessment instrument administered (Literacy, Easy, Medium, Difficult, or Advanced) should match the proficiency of the student to ensure valid scores. Either the complete battery or the survey may be used; however, the complete battery contains a larger number of items

and is thought to provide a more accurate measure of skill. The same difficulty level of the assessment instrument must be used to pre- and post-test a student, except when a student pre-tests near the top of the range, has made extraordinary progress in class, or retakes the Locator and scores at a higher level. It is recommended that programs use a Locator test and other appropriate placement tests to ensure that the student is placed in the appropriate level for pre-testing.

Students who enroll in Adult Basic Education (ABE), Adult Secondary Education (ASE) or High School Credit (HSCR) courses that are not Math-Only are required to be pre-tested on the TABE-R for placement purposes. It is important to note that in these types of courses, the TABE-M is an optional test.

For programs that offer courses that cover a variety of subjects, the program may find it appropriate to assess students with the TABE-M (Computation and Applied Mathematics sections). If the TABE-M is administered and the Educational Functioning Level (EFL) of the assessment is lower than the EFL reflected by the TABE-R, the TABE-M results will be used to measure student progress for NRS. Student placement for NRS is based on the assessment that reflects the student's lowest level. Students who are enrolled in Math-Only courses are required to be pre- tested on the TABE-M (both Computation and Applied Mathematics sections are required). Programs should consider the primary focus of instruction in determining whether to administer and report the TABE-M for placement and NRS purposes. While the TABE-M may be administered for this purpose, it may also be used only to inform instruction and not necessarily for placement and NRS purposes.

Post-testing to measure progress must be done within the guidelines established by test publishers. Educational gains are defined as advancing from one EFL to another based on gains from pre (first) to post (final) test of the fiscal year.

In compliance with the federal NRS, all ABE/ASE students other than the exceptions noted must be pre-tested using the ICCB-approved TABE test and scores must be recorded in the approved data system.

If a student lacks sufficient skills to be validly assessed with the TABE test, the student's file must contain documentation stating that the student could not be assessed. The lowest score available must be entered into DAISI for those students.

The answer sheet and test score must be kept in each student's file.

 Summary of ABE, ASE and HSCR Testing and NRS Levels

NRS Levels	-	
Beginning Literacy	Reading – 367or Below Math – 313 or Below	0.0 - 1.9
Beginning Basic	Reading – 368-460 Math – 314-441	2.0 - 3.9
Low Intermediate ABE	Reading – 461-517 Math – 442-505	4.0 - 5.9
High Intermediate ABE	Reading – 518-566 Math – 506-565	6.0 - 8.9
Low Advanced ASE	Reading – 567-595	9.0 - 10.9

	Math – 566-594	
High Advanced ASE	Reading – 596+ Math – 595+	11.0 - 12.9

In addition to pre- and post-testing, a student's progress must be documented in the student's file. Ongoing evaluation of progress can be demonstrated through samples of student work, competency checklists, quizzes, chapter tests, teacher-developed assessments, learner projects, etc.

3. **Level gains are measured by improvement (based on point gain) from pre-test (first assessment used for the fiscal year) to the post-test (final assessment for the fiscal year).**
   a. **In order for results to be claimed, post-testing must be conducted within time frames established by the test publishers.**
   b. **Programs must ensure that students are administered alternating forms of the assessment administered as appropriate.**
   c. **Any testing accommodations for assessing special populations must be within the guidelines established by the test publisher.**

As noted above, the scoring ranges for each NRS level are indicated for each type of assessment approved for use in Illinois. Movement from one level to another is based on movement through these score ranges and levels.

The various test publishers have established guidelines for conducting post-testing to measure this progress. Programs must ensure that minimum hours of instruction (based on student attendance) have been reached prior to conducting post-testing. These guidelines help to ensure that students have received an appropriate number of hours of instruction prior to post-testing to help measure student gain.

In addition and as outlined per the test administration manuals, staff administering assessments must ensure that test forms are rotated as appropriate during student post-testing. Accommodations given to students during test administrations must follow the test publisher's guidelines. ICCB does not allow for exceptions outside those established by the test publisher. The guidelines for each assessment approved for use in Illinois are outlined in the following table.

Test Publisher's Guidelines

TABE 9/10	Minimum of 40 hours of instruction; Recommend 60 hours of instruction
CASAS	Minimum of 40 hours of instruction; Recommend 70-100 hours of instruction
BEST Literacy	Minimum of 60 hours of instruction; Recommend 80-100 hours of instruction
BEST Plus	Minimum of 60 hours of instruction; Recommend 80-100 hours of instruction

> 4. **Programs may elect to use an assessment from the previous fiscal year for placement in the new fiscal year if that assessment was administered within 120 days of the student's enrollment in the new fiscal year.**

During the transition from one fiscal year to the next (July 1 begins the new fiscal year), there are sometimes instances where students who were tested in classes at the end of the prior fiscal year enter class(es) in the new fiscal year. When this occurs, it is not necessary to re-test those individuals. If the program so chooses, ICCB policy allows the assessment from the prior fiscal year to be used as the pre-test for the new fiscal year as long as certain criteria are met. The criteria include the following:

- The student must have a start or enrollment date that is within 120 days of the assessment administered in the prior fiscal year.
- The assessment that was administered in the prior fiscal year must be one that is required for the new enrollment (i.e. BEST Literacy, BEST Plus or CASAS for an ESL enrollment or TABE for an ABE, ASE or HSCR enrollment).
- It is also important to note that when applying the 120 day rule to use an assessment from a prior fiscal year, the attendance hours used to calculate the hours needed toward post-testing for the new fiscal year will only include those hours associated with the current fiscal year's classes.

The 120 day rule is only applicable when enrollments are across multiple fiscal years.

For Additional Information

Refer to the Following Items that Follow this Section
- Adult Education and Family Literacy Assessment Requirements Summary
- BEST Literacy Test Screener and Instructions
- Test Report for Transferring Students

Also See
- FY14 AEFL Provider Manual – National Reporting System (Section 8)

Adult Education and Family Literacy Assessment Requirements Summary

Enrollment Type(s)	Required Test	Optional Test	Notes

ESL[1]	One of the following ESL assessments: 1. BEST Literacy[1a] 2. BEST Plus 3. CASAS	If needed, a 2nd ESL can be administered to the student.
		
		IMPORTANT NOTE: Only one is required for NRS purposes. Programs may elect to administer a second ESL assessment to inform instructional practices.
			If two ESL assessments are administered for placement and NRS purposes, placement for the National Reporting System (NRS) is based on the following:
			1. Student is placed and progress is measured based on the assessment reflecting the lowest Educational Functioning level (EFL).
			2. If both assessments reflect the same EFL, NRS placement is based on the first assessment given (see exception below)[2]
			3. If both assessments reflect the same EFL and both were given on the same day, placement is assigned in the following order (see exception below)[2]:
			    a. BEST Plus
			    b. CASAS
			    c. BEST Literacy

ABE, ASE or HSCR (not classified as Math-Only)[3]	TABE-R	TABE-M **IMPORTANT NOTE: Only TABE-R is required for NRS. If the primary focus of instruction will be math in General Skills designated courses, the TABE-M may be appropriate.**	For students enrolled in ABE, ASE or HSCR courses, the TABE-R is required. However, students in these types of enrollments can also be given the TABE-M either to inform instruction or for placement and NRS purposes. Important items to note are as follows: 1. Students receiving only the required assessment (TABE-R) will be placed and progress measured based on that assessment. 2. If the optional test (TABE-M) is introduced, placement will occur and progress will be measured based on the assessment reflecting the lowest EFL. 3. If both the TABE-R and the TABE-M reflect the same EFL, the student will be placed based on the assessment with the lowest scale score. a. If the EFL's and the scale scores are the same, placement will be based on the TABE-R results.
Math-Only[4]	TABE-M	None	Students enrolled in Math-Only instruction should be administered the TABE-M. Placement will be based on the EFL reflected by this assessment.
Foreign Language GED	None	N/A	Foreign Language GED only or Vocational Only enrollments do not require assessments.
Vocational Only	None	N/A	

AEFL Assessment requirement notes

1. Students enrolled in ESL instruction must be administered at least one of the allowable ESL assessment. If appropriate and needed, a 2nd ESL assessment can also be administered. Both can be given simultaneously. If an ESL assessment is used to inform instruction, but not placement purposes, the test results must be maintained in the student file, but only scores used for placement and NRS purposes should be reported in the data collection system. In situations where two ESL assessments are reported for NRS purposes, placement is based on the information outlined above. Prior to post-testing, students must earn the minimum hours needed for the post-test as outlined per the Test Publisher's Guidelines.

* <u>SPECIAL NOTE RE: BEST LITERACY</u> - If a student's pre-test on the BEST Literacy reveals the student is at the Advanced level, one of the following should occur:
- The student should be transitioned to other instruction (i.e. post-secondary, ABE, ASE, etc) as appropriate. If transitioned to ABE or ASE, appropriate TABE testing should be conducted.
- If the student needs additional ESL services, a second ESL assessment reflecting the need for ESL services should be administered.

2. Exceptions regarding student placement for ESL include the following:
   a. For enrollment only in ESL, if the student's pre-test in the BEST Literacy is at the Advanced Level and another ESL assessment reflects the ESL Exit Criteria range, placement will be based on the BEST Literacy test.
      i. If a student's pre-test on the BEST Literacy reflects the Advanced ESL level and either the CASAS or BEST Plus assessment reflects an equal or lower level, placement will occur based on the CASAS or BEST Plus.
   b. For ESL students with either a BEST Literacy *pre-test* at the Advanced level or another ESL *pre-test* in the Exit Criteria range who are dually enrolled a class requiring the TABE (i.e. ABE, ASE, etc), the student's placement and progress for NRS will be based on the EFL of the TABE assessment.
      i. SPECIAL NOTE: In all other instances of dual enrollment between ESL and ABE or ASE, the student's placement and progress will be based on the ESL assessment.

3. TABE-R is the required assessment for ABE, ASE or HSCR enrollment. The attendance hours earned in all classes claimed with an ABE, ASE or HSCR designation will count toward the post-testing on the TABE-R or the TABE-M. Programs may elect to administer the TABE-M if appropriate. If a TABE-M assessment is used to inform instruction, but not placement purposes, the test results must be maintained in the student file, but only scores used for placement and NRS purposes should be reported in the data collection system. If administered for NRS purposes, the EFL for NRS will be based on the assessment reflecting the lowest level. If the TABE-M is administered, attendance hours earned in all ABE, ASE or HSCR courses will count toward post-testing.

Pre- and Post-Testing Exceptions
- Local programs are not required to test Foreign Language-Only GED students or Vocational-Only students.
- Federal funding **may not** be used to fund Foreign Language GED students or Vocational students.
- Students who are placed in the ASE High level based on the pre-test used to officially place them for NRS purposes do not require post-testing on that assessment.

Using the BEST Literacy Screener

This screener was developed to help programs determine if a student should be pre-tested with the *BEST Literacy Test*. If you are registering a beginning-level student who is not literate in his/her native language or who speaks a language that does not use the Roman alphabet, you may want to use the screener.

If a student cannot complete all the items on the screener, **do not** administer the *BEST Literacy*. Comprehensibility of written information, not 100% accuracy, is acceptable, as described below.

Name: First and last names must be provided (print or script acceptable)

Address: Street number and street name must be provided; misspellings are acceptable.

City: Misspellings are acceptable if comprehensible.

Date: Any date written in numbers or words acceptable, in any order (i.e., month or date may appear first). Misspellings of month are acceptable if comprehensible.

Signature: Printing, cursive or initials are acceptable.

If any of the above five items are not acceptable according to the guidelines provided, date the form and indicate that the student could not test and place him/her in a beginning literacy class. Put the form in the student folder and record a 0 score for the *BEST Literacy* on DAISI for the pre-test. The screener can only be used once and the student will take the *BEST Literacy* (Form B, C or D) as the post-test.

If the student completes the entire form correctly, then administer the BEST Literacy.

The screener will help programs save time and cut down on the cost of the test booklet.

NOTE: If a student is not able to complete the form with reasonable accuracy, do not administer the *BEST Literacy Test.*   Enter a score of 0 (zero) into DAISI. The *BEST Literacy Test* must be given as a post-test.

```
┌────────────────────────────────────────┐
│            Program Use ONLY              │
│                                          │
│ Student Name:                            │
│                                          │
│ Student ID #:                            │
│                                          │
│ Date:                                    │
│                                          │
│ Score:                                   │
│                                          │
└────────────────────────────────────────┘
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Illinois Community College Board
BEST Literacy Test Screener

Name: _____

Address: _____

City: _____

Date: _____

Signature: _____

Illinois Community College Board

Test Report for Transferring Students

Name of Program: _____

Program Address: _____

Program Telephone: _____

Program Contact: _____

Student Name: _____

Date of Birth: _____

Last Test Taken	Date Taken*	Form/Level	Raw Score	Scaled Score/GE**
BEST Literacy				
BEST Plus				
CASAS				
TABE				

**GE Grade equivalency for TABE only

Signature of Program Contact: _____

Date: _____

*This score is valid for 120 days from the date of the last test taken.

Section 6 – Support Services

Major Policy Points
1. Programs are required to provide comprehensive student services to reduce personal barriers to retention and accelerate smooth transitions within and between educational/training providers and into the workforce. (Federal and State Policy)
2. Programs are required to develop written procedures and maintain auditable records describing how students will receive support services. (State Policy)
3. Programs are legally responsible to adhere to administrative requirements according to the Americans with Disabilities Act. (Federal and State Policy)

> **1. Programs are required to provide comprehensive student services to reduce personal barriers to retention and accelerate smooth transitions within and between educational/training providers and into the workforce.**

Programs will provide learners with a comprehensive array of support and follow-up services as needed. Services may be provided by the program or in coordination with internal and external partnerships. These activities may include but are not limited to:

a) Social Work Services**:**
- Improvement of students' attendance
- Identification of patterns of non-attendance
- Interventions to assist students dealing with problems involving home, school, and community
- Provision of referral assistance
- Retention strategies

b) Guidance Services:
- Counseling activities with students regarding learning styles/problems
- Evaluating the abilities of students
- Assisting students to make their own educational and career planning and exploration choices
- Assisting students in personal and social development
- Assisting other staff members in planning and conducting guidance programs
- Assisting students in transitioning to job training, job placement, or future education

c) Assistive and Adaptive Equipment**:**
- Assistive or adaptive equipment or special printed materials for AEFL students with special needs

d) Assessment and Testing:
  - Activities to measure individual student achievement and outcomes
  - Any diagnostic testing used to further understand the instructional needs of the student
e) Student Transportation Services:
  - Services which convey students and their children (in a family literacy setting) to and from school
  - Includes trips between home and school and trips to school activities
f) Literacy Services: Literacy activities in conjunction with AEFL instructional programming.
  a) Services may include:
    - Volunteer Literacy: includes coordination, tutor training, tutor scheduling, and other support activities that promote student learning.
    - Family Literacy: includes coordination and activities in parenting education and parent-child activities (PACT). Child education must be funded by an appropriate child education partner.
    - Workplace Literacy: may include coordination of workplace education projects that are designed to meet the unique needs of participating workers and employers.

Other strategies for developing supportive services for the target population include planning and coordination of activities, assuring access to services, and providing specialized services to include but not limited to:
  - Explore areas of support that are available to populations most in need.
  - Identify through the Area Planning Council the opportunity to provide coordination and collaboration of funding sources.
  - Develop special services and projects for target populations, and provide specialized services for individuals with special learning needs.
  - Convene regional topical interest groups to gather input on target populations, workforce development, career pathway and transition issues.
  - Provide transition services to students who want to attend postsecondary education. Transition services include, but are not limited to, tutoring, childcare assistance, career counseling, academic advising or counseling, referrals to supportive housing, and assistance accessing income supports or other types of financial aid such as grants or scholarships.
  - Explore, identify and share options for providing high-quality counseling and advising to assist all adult education learners in designing an appropriate social, academic and/or career pathway and enabling them to persist in the continuum of programs, making successful transitions along the way.
  - Promote and coordinate regular outreach by community colleges and other training providers to assist adult education learners in connecting with financial aid and available transitioning services.
  - Develop closer partnerships with social service agencies to assist immigrants and refugees with multiple native languages who may have difficulty understanding initial guidance and career counseling.
  - Strengthen the identification process of learners with special learning needs and provisions for accommodating those needs.
  - Provide support services that empower all learners to take responsibility for self-advocacy.

- Partner with agencies in the community to provide case management services and continued support to assist learners in moving along their chosen career pathways.

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2. Programs are required to develop written procedures and maintain auditable records describing how students will receive support services.

The provision of support services such as child care and transportation are an allowable use of ICCB Adult Education funding. However, programs are required to develop written procedures that outline how support services will be provided and the process for selection of individuals to receive services. It is important to note that programs must have a process that provides all eligible learners access to support services. As much as possible, programs should coordinate services within the local community.

The program must establish and maintain written procedures that include at minimum, the following items:
- the type of support service to be offered
- a description of the support service
- the eligible population to receive the services
- how learners will be selected
- how often services will be provided
- how the services will be documented

If programs provide support services using AEFL Funds, auditable records must be maintained and include the appropriate proportionate distribution of funding. For example:
- If transportation is provided, the program must keep an accurate listing of attendance to show the need for transportation assistance.
- If child care is provided, the program must show that a student is actually in class the days that child care services are provided.
- If the student or the class is funded with federal and state funding or other funding sources, the distribution of the funding needs to be calculated based upon the proportionate share using cost allocation principals.

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3. Programs are legally responsible to adhere to administrative requirements according to the Americans with Disabilities Act.

Programs are responsible for compliance with the Americans with Disabilities Act.
- Each program must have a designated ADA coordinator.
  - The designated ADA coordinator must satisfactorily complete the annual online ICCB Adult Education and Family Literacy ADA Coordinator training. Contact the Southern Illinois Professional Development Center (SIPDC) for more information at www.siue.edu/**SIPDC/**.
- Each program must provide public notice.
- Each program must have an established grievance policy.
- Each program must conduct a self evaluation.
- Each program must develop a transition plan regarding accessibility.

- Each program must submit to the ICCB an approved annual report in a specified format.

An ADA Coordinator Manual is available to ADA Coordinators who have completed the training. General guidelines for programs serving students with learning disabilities and other special learning needs may be found at: http://www.iccb.org/pdf/adulted/LD%20Guidelines%20Complete.pdf

Americans with Disabilities Act (ADA) Annual Report Form

(Due by June 30 each year)

Program Name:

Person completing form:

Fiscal Year:

For each category below, enter the totals for all Adult Education students served this past fiscal year.

Number of students referred for learning disabilities diagnosis.

Number of students with diagnosed learning disabilities served.

Number of students approved for GED testing accommodations.

Number of students who received instructional accommodations.

Provide the following contact information for your program's ADA Coordinator:*

Name:

Address:

Email:

Phone Number:

_____   _____

Signature of Person Completing this Form   Date

Submit completed form to:

Associate Director for Program Compliance

Illinois Community College Board

401 E. Capitol Ave.

Springfield, IL 62701

*If the ADA coordinator at your program changes during the year, updated name and contact information must immediately be provided to the ICCB Associate Director for Program Compliance.

Section 7 – Instruction
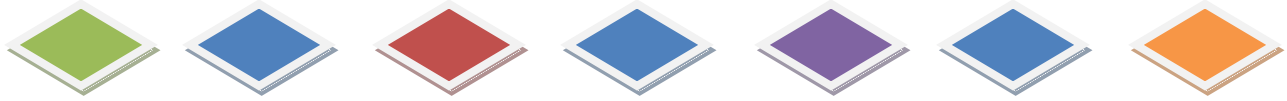
Major Policy Points

1. Programs are required to provide services in at least one instructional category including, Adult Basic Education, Adult Secondary Education (excluding Foreign Language Instruction), English as-Second Language, or High School Credit. (Federal and State Policy)
2. Programs may choose to provide Vocational Skills Training to students. (Federal and State Policy)
3. Programs who received EL/Civics funding are required to use and document the use of the Illinois EL/Civics Competencies. Students enrolled in EL/Civics instruction are required to complete a minimum of two competencies per 15 hours of attendance. (State Policy)
4. All courses must be approved by the ICCB prior to instruction. (State Policy)
5. Courses must be offered in a fixed entry, open-entry/exit, and/or an individualized instruction format. (State Policy)
6. As applicable, programs are required to incorporate Evidence Based Reading Strategies into instruction. (Federal and State Policy)
7. Programs are required to incorporate career pathways into the instructional process. This includes providing all adult learners with access to Bridge Program instruction either as a single program or through a coordinated approach within an Area Planning Council. (State Policy)
8. Programs are required to incorporate the Illinois Adult Education Standards into curricula and instruction. (State Policy)
9. Programs must ensure they are only serving students who meet the criteria as outlined in state and federal law and guidance. (Federal and State Policy)
10. Programs may provide instructional activities in Family Literacy, Volunteer Literacy, and Workplace Literacy. (State Policy)
11. Students served in i-Pathways are claimed as Distance Education students if specific criteria are met. Distance Education students must adhere to the same requirements as all other adult education students. (Federal and State Policy)

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1. **Programs are required to provide services in at least one instructional category including, Adult Basic Education, Adult Secondary Education (excluding Foreign Language Instruction), English as-Second Language, or High School Credit.**

Programs are required to provide instruction in at least one of the instructional categories listed below. Each of the instructional categories has specific information that will assist programs in the development of instructional offerings.

- **Adult Basic Education** (ABE) curriculum consists of approved courses designed to bring a student from grade zero through the eighth-grade competency level as determined by standardized testing. Beginning level courses cover grade zero through the third-grade competency level. Intermediate level courses include grade four through the eighth-grade competency level. Each level of courses covers each content area. The curriculum is designed to accommodate the concept of individualized

instruction and includes courses in general basic skills; reading literacy and communication skills; computational skills; workforce/employability skills; life skills; career exploration/awareness skills; workplace literacy; family literacy/parenting; Bridge instruction and U.S. Citizenship Education.

- **Adult Secondary Education** (ASE) curriculum consists of approved courses designed to bring a student from grade nine through the twelfth-grade competency level as determined by standardized testing. The curriculum is designed to prepare a student to achieve a GED® (General Educational Development) credential. The curriculum is also designed to accommodate the concept of individualized instruction and includes courses in basic skills; general academic and intellectual skills; reading literacy and communication skills; computational skills; workforce/employability skills; life skills and career exploration/awareness skills; workplace literacy; family literacy/parenting; Bridge instruction and U.S. Citizenship Education.

- **Foreign Language GED® (Spanish or French) instruction is** designed for an adult who is literate in a foreign language and who has sufficient education in that language to achieve a foreign language GED® credential. Native Language or Native Language literacy is not fundable. With the exception of Foreign Language GED® instruction, all other classes must be taught in English. All Foreign Language GED® classes must be associated with courses at the ASE level.
  - o Federal funds cannot be used for Foreign Language GED® instruction. Foreign Language ABE services are not an allowable activity.

- **English Literacy/English as a Second Language** (ESL) curriculum consists of approved courses designed to include **instruction in English** for those whose native language is not English. Beginning, intermediate and advanced courses include a curriculum in listening, speaking, reading, and writing using the English language. Other courses using the English language may include instruction in life skills, citizenship education, career exploration, employability skills, workplace literacy, family literacy, Bridge instruction and EL/Civics. Student levels are based on proficiency as measured by ICCB-approved standardized tests. The curriculum is designed to accommodate the concept of individualized instruction.

- **High School Credit** (HSCR) consists of approved courses offered in collaboration with locally approved school districts. Upon satisfactory completion, the student must meet the requirements of the locally approved school district for graduation. **ICCB AEFL funds can only be used for approved core academic courses and electives that will prepare students for college and career readiness.**

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2.   Programs may choose to provide Vocational Skills Training to students.

A program may choose to offer Vocational Skills Training in addition to the required instructional categories listed above. The recommended method to offer VOC training is as a part of either a bridge program or an integrated training model.

Vocational Skills Training (VOC) consists of an ICCB AEFL-approved course that is short-term in nature. It is recommended that VOC training lead to an industry recognized certificate or credential related to a specific career pathway. The training must provide entry-level workforce skills which may lead to entry into career pathway postsecondary education and employment. For the purpose of awarding performance dollars, a VOC completion will only be granted if an industry recognized certificate is

awarded. However, a program may choose to offer VOC training that may not issue an industry recognized certification.

AEFL funds can provide no more than 12 units of instruction (180 hours) in Vocational training over the lifetime of a student's enrollment in an ICCB AEFL-approved program. Only state funding can be used to fund vocational training. VOC training will allow for more than 180 hours of instruction if the additional hours are paid from unrestricted or other restricted funds. However, vocational completion for performance dollars will only be awarded based upon ICCB restricted – adult education state resources.

> **3. Programs who received EL/Civics funding are required to use and document the use of the Illinois EL/Civics Competencies. Students enrolled in EL/Civics instruction are required to complete a minimum of two competencies per 15 hours of attendance.**

The Illinois Community College Board receives funding to provide civics instruction to immigrants residing in Illinois. Federal law stipulates the use of these funds for the purpose of providing integrated educational services to actively engage individuals in the civic process.

English Literacy/Civics (EL/Civics) includes integrated English literacy and civics education to immigrants and other limited proficient populations, which allows participants to effectively participate in the education, work, and civic opportunities of the United States of America.

The Illinois EL/Civics competencies consist of five thematic units (components) of civics development and more than 40 practical and immediately relevant activities for immigrant integration and success. The five thematic units include: Democratic Process (DP), Community Resources (CR), U.S. School System (SS), Health Services (HE), and Housing (HO).

Throughout a combination of classroom instruction and community connections, these competencies will enable participants to effectively engage in education, work, civics opportunities, and rights and responsibilities of citizenship while continuing to build their English Language and Literacy skills. The competencies may be used at each level of ESL instruction; however a program should increase the level of difficulty as the student progresses.

All students claimed to EL/Civics funding will be required to complete a minimum of two competencies per 15 hours of attendance. It is suggested that programs use their EL/Civics funds for classes at the High Beginning ESL level and above.

Programs and/or instructional staff should use the attached competency checklist in demonstrating proficiency in achieving the competency as well as formal documentation of the success. This information must be entered into the approved data collection system and a copy of the checklist maintained with the master class file **(if using the class checklist) or with the student file (if using the individual checklist)**.
. The competencies and competency checklist are provided at the end of this section.

> **4. All courses must be approved by the ICCB prior to implementation.**

All courses funded with ICCB Adult Education Federal and State resources are required to be submitted for approval prior to implementation using the established process. All courses are organized around each Educational Functional Level covered by the National Reporting System (NRS). Each area has been coded to maintain consistency across the state through the use of **Program Classification System (PCS) codes and the Classification of Instructional Programs (CIP) codes.** PCS and CIP codes are used to classify courses. The CIP codes are generically defined to guide the programs in the correct classification of the courses. The codes are used in the Integrated Postsecondary Educational Data System (IPEDS) and within systems for the Office of Career, Technical and Adult Education (OCTAE). The PCS codes are listed below as well as an example of PCS and CIP code usage.

PCS Code	Instructional Category
1.7	**Adult Basic Education (ABE)**
1.8	**Adult Secondary Education (ASE/ High School Credit (HSCR)**
1.9	**English as a Secondary Language (ESL)**
0	**Vocational (VOC)**

Example:

PCS Code 1.7	CIP Code: 32.0220	Two Course Levels
Adult Basic Education Intermediate Level (4.0 to 8.9 Grade Level)	**Generic Description** **Basic Skills, General.** Courses which may include basic skills, such as literacy, reading, communication, and computational skills; life skills; library and study skills; and family education skills.	• Low Intermediate Basic Education ABE (Grade 4.0 to 5.9) • High Intermediate Basic Education (Grade 6.0 to 8.9)

Programs must select the appropriate PCS and CIP code classification of courses from the Generic Course Descriptions included at the end of this section.

Course Submissions and Modifications: Non-Community Colleges Only
Once the appropriate PCS and CIP code identifiers are determined, the information is then entered on the New Course Addition Form as well as any additional forms (11D), as applicable. The course form is included at the end of this section.

After completing the form(s), the program administrator should submit the course(s) to the ICCB Adult Education Division for review and processing.

Following the review of the courses, the program administrator will be notified by the ICCB Adult Education staff of the decision.

Throughout the year there may be changes to the courses that were submitted. The Course Modification form, included at the end of this section, should be completed and submitted to the ICCB for review and processing.

Following the review of the course modification form, the program administrator will be notified by the ICCB Adult Education staff of the decision.

<u>Course Submissions and Modifications: Community Colleges Only</u>

Adult Education Programs in a community college must follow their internal course approval process. These programs should work with the individuals in the college assigned to process course approvals. Once courses are received at the ICCB, the Adult Education program is notified that courses have been submitted for review and processing.

The forms for course approval are similar to that of the non-community college programs, but college Adult Education programs should use the forms or online process specifically for community college submissions.

Following the review of the courses, the institution will be notified through the specified process. Community Colleges should follow their individual internal course submission processes.

Upon approval, the course(s) must be entered in the approved data collection system. See the DAISI User Manual for more information.

<u>New Course Considerations</u>

When developing new courses, the following is provided as guidance in completing the course process.

1. Choose the instructional type(s) from the definition listed in the section above and also consider the following:
    - Courses may be approved to serve one instructional type only. However, multilevel instruction may be offered in the classroom, with each student enrolled in the appropriate course.
    - All high school credit courses, including high school vocational courses, must be submitted under the HSCR instructional type.
        o **High school credit** programs serving other populations must submit separate ABE/ASE/ESL/VOC courses.
        o High school credit courses providing instruction for different subjects must have separate courses for each (e.g. English, Math, Science, etc.)
2. Assign an appropriate course title and number that is meaningful to your program.
3. Assign the appropriate PCS/CIP code, using the Generic Course Master List.
4. Write an appropriate course description taking into consideration the following:
    - Consult the ICCB Adult Education and Family Literacy Generic Course List at the end of this section.
    - Write the course description using these as guidelines, and include the content/topic area, skills taught, and the targeted audience for the course.
        o **Citizenship Education** includes instruction in U.S. civics and history, in preparation for the U.S. citizenship test and may be categorized as ABE, ASE, or ESL depending on the population served by the course.

- o **EL/Civics** includes integrated English literacy and civics education to immigrants and other limited proficient populations, which allows participants to effectively participate in the education, work, and civic opportunities of the United States of America.
  - o **Foreign Language GED®** instruction is designed for an adult who is literate in a foreign language and who has sufficient education in that language to achieve a foreign language GED® credential. Foreign ABE instruction or Native Language literacy is not fundable.
- Other than Foreign Language GED® instruction, all classes must be taught in English including those Foreign Language requirements for High School Credit courses.
- Bridge Programs may require additional information to be submitted and other supplemental forms.

5. Course approval forms must include intensity and duration. This must include a range of class offerings (i.e., five classes, twice a week for two and a half hours per day, for eight weeks **and** two classes, three times a week for two hours per day, for six weeks).

6. Include the range of units of instruction offered for each course. To determine the maximum allowable units, calculate the total number of possible attendance hours for each class attached to the course. Determine the number of times a student could be enrolled in the course during one fiscal year. Multiply the number of attendance hours by the number of times a student could be enrolled during a fiscal year and divide by 15 to get the number of units. Each course should have a minimum of .5 credit hours.

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5. Courses must be offered in a fixed entry, open-entry/exit, and/or an individualized instruction format.

Programs are required to establish systems of courses or classes that meet the needs of students. Classes should be offered at flexible and convenient times and locations to accommodate student needs. Programs must make the determination as to which process best fits the students and the individual institution. Currently many classes are offered ranging from eight week to sixteen week intervals providing flexibility in scheduling to meet the needs of the student.

Below are a number of formats that may be offered by a program. A program may consider offering multiple formats when offering classes. However, it is recommended that programs examine movement to a more managed enrollment approach to ensure a higher quality focus on instructional services offered.

Many programs choose to provide instruction and programming in a managed enrollment environment. Managed enrollment is a system developed by local programs that is characterized by entry points that are set at logical break points in the curriculum or at the beginning of short classes or modules (typically 3-6 weeks or up to 8 weeks long). Class terms are determined by examining curriculum and using program data to identify how many weeks students attend a class and to help avoid high rates of attrition. Programs may choose to operate a managed enrollment system through fixed, open and/or individualized instruction formats. All classes supported with restricted funds and to be claimed to the current fiscal year must end by June 30th. Appropriate post-testing for these classes must be conducted on or before June 30th in accordance with test publisher guidelines. Any testing conducted after June 30th will only be used in calculating outcomes for the next fiscal year. Programs that utilize Unrestricted or Other Restricted funds to support classes should be aware of the cutoff dates in which testing can be claimed for a fiscal year and the implications for federal reporting.

Adult Education programs also have an option to utilize i-Pathways. This program may be offered as an individualized enrollment option for distance learners, in a hybrid format or as a supplemental curriculum within a fixed or open entry class. At this time, this is the only ICCB AEFL approved distance education instruction. For more information regarding options for using i-Pathways and setting up classes in DAISI, consult the DAISI User Manual at the following website http://www.iccb.org/daisi.html.

- **Fixed entry** is defined as a class that has a fixed starting and ending date, which meets on specific days and times.
    - o The class has an assigned instructor who provides direct instruction that is guided by an appropriate curriculum.
    - o Class sessions must be a minimum of 50 minutes of direct instruction. It is not appropriate to claim more than one hour of instruction for a 60-minute hour.
    - o Students may only enter within the first three days of class (with the exception provided by the Enrollment/Transfer code).
        - ▪ For more information regarding the use of the Enrollment/Transfer (ET) code, refer to the document "Use of Transfer Code in Fixed Entry Classes" at the end of this section.
    - o Students must be present and complete assessment by the third scheduled class period.
    - o The midterm is defined as the midpoint of the class (e.g., a quarter, semester, or year).
    - o If a student is attending and making progress at midterm, the student receives enrollment hours for the entire term.
    - o After five consecutive absences, if the student is not present on the sixth day, they will be officially dropped, and may be dropped sooner, if appropriate. A student must be in attendance at midterm to claim all enrollment hours. In a fixed enrollment program, students who have been dropped may be re-enrolled in the program but must be placed in a class section with a starting date consistent with the re-enrollment date.
    - o Non-attendance days (e.g., emergency closings, professional development days, or holidays) may be claimed as enrollment days.
    - o Students are enrolled in the class, a class list is generated, and attendance records must be available to support all student claims.
    - o Complete class information must be entered into the DAISI data system.
    - o Attendance hours in a specific class section begin to accrue once a student has earned at least 7.5 hours of attendance in that class section.

- **Open-entry/exit** is defined as a class that meets on specific days and times but allows a student to enter at any time. The start and end date of the class may extend for the entire duration of the fiscal year or may be isolated to quarters or semesters.
    - o The class has an assigned instructor who provides direct instruction that is guided by an appropriate curriculum.
    - o Class sessions must be a minimum of 50 minutes of direct instruction. It is not appropriate to claim more than one hour of instruction for a 60-minute hour.
    - o Students must complete an assessment by their third class attendance day.
    - o The student may enter and exit the program at any time.

- Open-entry/exit midterm is the midpoint of when a specific student starts and exits a class, not to exceed one fiscal year. An open-entry/exit midterm can only be determined at the end of the student enrollment period.
- After five consecutive absences, if the student is not present on the sixth day, they will be officially dropped, and may be dropped earlier, if appropriate. A program may choose to re-enroll the student.
- Non-attendance days (e.g., emergency closings, professional development days, or holidays) may be claimed as enrollment days.
- Students are enrolled in the class, a class list is generated, and attendance records must be available to support all student claims.
- Complete class information must be entered into the DAISI data system.
- Attendance hours in a specific class section begin to accrue once a student has earned at least 7.5 hours of attendance in that class section.

- **Individualized instruction** is a format used only for at-a-distance classes and can currently only be used with i-Pathways. This format is designed to report activity for individuals enrolled in i-Pathways at-a-distance instruction only. With this class format, attendance is reported only through numeric values. Currently, one hour of attendance is granted for each i-Pathways lesson a student completes with 70% accuracy or greater.
  - The class has an assigned instructor who provides direct instruction that is guided by an appropriate curriculum.
  - Students must complete an appropriate assessment prior to enrollment in i-Pathways.
  - It is strongly encouraged that students who test below the 9.0 reading level not be enrolled in i-Pathways as a distance-learning student. As i-Pathways is expanded, it will include content appropriate for students below this level of instruction.
  - The student may enter and exit the program at any time.
  - For every lesson successfully completed at the 70% level, the student earns one hour of instruction. The student must complete eight lessons to be claimed for generation in this type of class section.
  - Students are enrolled in the class, a class list is generated, and a record of completed units must be available to support all student claims.
  - Upon completion or when appropriate, the class exit reason should be recorded for the student.
  - Complete class information must be entered into the DAISI data system.
  - Attendance hours in a specific class section begin to accrue once a student has earned at least 7.5 hours of attendance in that class section.

6.   Programs are required to incorporate Evidence Based Reading Strategies into instruction.

Evidence Based Reading Instruction (EBRI) practices integrate findings from the best available reading research to maximize reading gains for adults.   EBRI focuses on four components of reading instruction including Alphabetics, Vocabulary, Fluency, and Comprehension. The professional development used in assisting programs in the implementation of the EBRI is the Student Achievement in Reading (STAR).

This tool provides teachers and programs with strategies to unlock barriers to successful readers through the use of diagnostic assessments and explicit learning. This training examines data, classroom structures, and leveled teaching to help students become good readers.

Adult Education programs in Illinois are expected to implement Evidence Based Reading Instruction to better assist students who may be struggling readers. The state through its contractor, the Adult Learning Resource Center, has developed a statewide plan to expand the use of EBRI in all programs, as applicable.

More information about Evidence Based Reading and STAR can be found at
http://www.thecenterweb.org/alrc/.

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7. Programs are required to incorporate career pathways into the instructional process. This includes providing all adult learners with access to Bridge Program instruction either as a single program or through a coordinated approach within an Area Planning Council District.

In the development of a career pathways system for adult education, programs are required to incorporate career pathways services to all adult learners and at all educational functioning levels. This includes the incorporation of career awareness, career development activities designed to assist learners in making informed decisions regarding making smooth transitions to postsecondary education. The use of bridge programs has been piloted and has shown promise in introducing adult learners to different career options while increasing basic skills. A statewide definition of bridge programs was developed to provide a consistent approach in the development of Bridge programs and is available at the end of this section.

Bridge programs provide adult education learners with contextualized occupation-specific basic skills needed to successfully transition to postsecondary education and employment in high-growth industries. The Illinois Community College Board and other key state agencies and stakeholders, developed a bridge definition that is used to ensure consistency in use statewide. This group defined a bridge as a program that prepares adults with limited academic or limited English skills to enter and succeed in credit-bearing postsecondary education and training leading to career-path employment in high-demand, middle- and high-skilled occupations.

The goal of bridge programs is to sequentially bridge the gap between the initial skills of individuals and what they need to enter and succeed in postsecondary education and career-path employment. Three core elements are required to be included as part of a bridge program:

- *Contextualized instruction* that integrates basic reading, math, and language skills and industry/occupation knowledge.
- *Career development* that includes career exploration, career planning within a career area, and understanding the world of work (specific elements depend upon the level of the bridge program and on whether participants are already incumbent workers in the specific field).
- *Transition services* that provide students with the information and assistance they need to successfully navigate the process of moving from adult education or remedial coursework to credit or occupational programs. Services may include (as needed and available) academic

advising, tutoring, study skills, coaching, and referrals to individual support services, e.g., transportation and child care.

Training in the development of the Bridge Program is available through Southern Illinois Professional Development Center. Information can be found at http://www.siue.edu/SIPDC/.

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8. Programs are required to incorporate the Illinois Adult Education Standards into curricula and instruction.

Curriculum based upon standards assures that all instruction in Illinois is held to the same high standards and prepares students to make smooth transition to careers, postsecondary education, and to employment. All programs are required to develop curriculum based upon the appropriate content standards. Standards are available for Adult Basic Education (ABE) and Adult Secondary Education (ASE) as well as English-as-a-Second Language (ESL). The standards were developed by adult educators with expertise in the instructional areas.

The ABE/ASE Content Standards were recently revised and aligned with Common Core and College Readiness Standards, Career Pathway Essential Knowledge and Skills, Evidence Based Reading, and Technology Skills. The Illinois ABE/ASE Content Standards broadly define what learners who are studying reading, writing, and math should know and be able to do as a result of ABE/ASE instruction at a particular level. Content standards also help teachers ensure their students have the skills and knowledge they need to be successful by providing clear goals for student learning.

The Illinois ABE/ASE Content Standards should be used as a basis for curriculum design and may also be used to assist programs and teachers with selecting or designing appropriate instructional materials, instructional techniques, and ongoing assessment strategies. Standards do not tell teachers how to teach, but they do help teachers figure out the knowledge and skills their students should have so that they can build the best lessons and learning environments for their classrooms.

The ABE/ASE Content Standards are located at http://www.iccb.org/aefl.pub.reports.html. To assist in the development and alignment of curriculum with the ABE and ASE standards, professional development and training is available through Central Illinois Adult Education Services Center (CIAESC) at www.cait.org/ciaesc/.

The Illinois ESL Content Standards define what adult English Language Learners should know and be able to do as a result of ESL instruction at a specific level. The standards may be used to assist programs and teachers in selecting appropriate instructional materials, instructional techniques and assessment strategies. These standards should serve as the main basis for curriculum development and provide a common language among ESL levels and programs.

The Illinois ESL Content Standards should serve as the basis for a program's curriculum development process. For programs with an existing curriculum, that curriculum should be aligned to the standards. For programs without a curriculum, the standards provide an excellent framework and starting point for the curriculum development process.

The ESL Content Standards are located at http://www.iccb.org/aefl.pub.reports.html. For assistance with ESL Standards alignment and curriculum development, professional development and training is available through the Adult Learning Resource Center (ALRC) at www.thecenterweb.org/alrc/.

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9. Programs must ensure they are only serving students who meet the criteria as outlined in state and federal law and guidance.

The eligible population is adults who have attained 16 years of age; who are not enrolled or required to be enrolled in secondary school under state law; and who:
- lack sufficient mastery of basic educational skills to enable the individuals to function effectively in society;
- do not have a secondary school diploma or its recognized equivalent, and have not achieved an equivalent level of education; or
- are unable to speak, read, or write the English language.

Adult Education programs may serve individuals who have earned a high school diploma or a GED® credential if they have a demonstrated deficiency in basic skills. This may be determined through the use of approved assessments for adult education. Services to this population must not prevent those without a high school diploma from attending the program.

In addition, Adult Education Instructional and Support Services to 16 and 17 year old individuals is allowable, if:
- the individual is not enrolled or required to be enrolled under state law, and
- formal separation documentation for 16 and 17 year old students is obtained from the public school system.
  o The documentation verifying the separation must be provided by the school district based upon the student's current residence.
  o The documentation must be received prior to a student's enrollment in an Adult Education program.
  o The documentation must be maintained in the student file.

If the withdrawal documentation is not received, the program cannot serve the student until the documentation is received.

If the student is 16 or 17 years of age and is served across fiscal years, a copy of the original documentation showing separation from the public school district should be maintained in the subsequent fiscal year student file. In addition, for students within this age range, programs must indicate this information has been received within the DAISI system.

ICCB AEFL funded programs are prohibited from serving au pairs in adult education classes. These students do not qualify for adult education classes because:
- Au pairs are required to take postsecondary classes since they are high school graduates. Adult education classes are not postsecondary nor can they grant academic credit.
- Au pairs are here under J-1- Cultural Exchange visa and persons with that status do not qualify for adult education classes.

However, it is appropriate to use adult education funds to serve students with the following types of visas:

- Temporary worker (H 1-4)
- Spouses of U.S. citizens (K-3)
- Individuals who have green cards (legal entries)

If au pairs, or students with visas other than those indicated, need instructional services, refer them to academic or intensive English classes at your institution or another program if these classes are not offered.

ICCB is **not** suggesting that you ask your students for their visa status, but often students will identify their status while inquiring about class availability or during the orientation/intake process.

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10. Programs may provide instructional activities in Family Literacy, Volunteer Literacy, and Workplace Literacy.

In addition to the instructional services listed above, programs may choose to provide a full complement of instructional and support services to students by offering Family Literacy, Volunteer Literacy, and Workplace Literacy. Programs should assess the needs of the local area for these services and as applicable, partner with other agencies, employers, and volunteer organizations to ensure the needs of the students are met.   These additional instructional services are described as follows:

- **Family Literacy** is an integrated, intensive service for at-risk families that must include, but is not limited to, the four components—adult education, parenting education, parent/child activities, and child education—of family literacy.   Each component is defined as:
    o **Adult education** as defined above.
    o **Parenting education** includes information and support for parents on issues such as childbirth, development and nurturing of children, child rearing, family management, support for children learning, effective advocacy strategies for the rights of all children, and parent involvement in their child's education.
    o **Parent/child activities** include regularly scheduled, interactive literacy-based learning activities for parents and children.
    o **Child education** includes age-appropriate education to prepare children for success in school and life experiences (includes early childhood programs, school programs and/or childcare).

    Only three components—adult education, parenting education, and parent/child activities—can be funded by ICCB Adult Education and Family Literacy (AEFL) funds. The fourth component—child education—must be funded by an appropriate child education partner.

- **Volunteer Literacy** may include coordination, tutor training, tutor scheduling, and other support activities that promote student learning gains. Volunteer literacy services must be in conjunction with Adult Education and Family Literacy instructional programming provided by trained volunteers to target population students.

Volunteer Literacy Services support classroom instruction and increasing student learning gains. Trained volunteers may work with students during classroom instruction under the supervision and coordination of a paid instructor in an AEFL funded class.

Contact hours may not be claimed for this tutoring because it occurs during regular class time and enrollment hours are already being claimed for those hours because of the student's enrollment in an ICCB AEFL funded class. In this situation, the one-on-one or small group tutoring that occurs during regularly scheduled class time under the supervision of a paid classroom instructor is a supplement to classroom instruction.

- **Workplace Literacy** may include coordination of workplace education projects that are designed to meet the unique needs of participating workers and employers. Workplace Literacy refers to an individual's ability to read, write, speak, compute, and otherwise solve problems with enough proficiency to meet everyday needs on the job and to pursue professional goals. This includes a knowledge of phonics, word identification and comprehension, which enables the employee to read technical information and complex manuals. Workplace literacy also refers to the ability of an individual to function in job situations involving higher order thinking and the capacity to evaluate work situations and processes. An employee who is workplace literate has increased job success, less frustrations in the workplace, higher self-esteem, and less need for retraining as the job and technology change.

  Workplace Literacy can be funded with Adult Education and Family Literacy funds provided the class or classes have the same open access as traditional Adult Education classes. All other rules of the AEFL grant apply as well.

  See the Budgeting Section for more information on Family Literacy, Volunteer Literacy and Workplace Literacy allowable costs.

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11. Students served in i-Pathways are claimed as Distance Education students if specific criteria are met. Distance Education students must adhere to the same requirements as all other adult education students. (Federal and State Policy)

As a part the National Reporting System (NRS), each state must have a policy that defines which students are claimed as Distance Education. The Illinois Community College Board Adult Education and Family Literacy program claims a student as a Distance Education student when the following criteria are met:

1. The student has been appropriately assessed within ICCB's assessment guidelines. Distance Education students must adhere to the same assessment policies as all other students. *The student is error free and must meet all other requirements to be included in the NRS Performance Report.*

2. To be claimed as a Distance Education student, the student must additionally meet one of the following two criteria:
   - earn a minimum of 12 attendance hours outside the traditional classroom setting in distance education instruction, **OR**

- the majority of the student's attendance hours must be earned outside the traditional classroom via an ICCB approved Distance Education instructional model.*

  * Currently i-Pathways is the only Distance Education instructional model allowed in Illinois.

For Additional Information

Refer to the Following Items that Follow this Section
- Adult Education and Family Literacy Generic Course List
- Bridge Definition and Core Elements
- Course Approval Form (Non-community college programs)
- Course Modification Form (Non-community college programs)
- Form 11 (Community colleges only)
- Form 11C (Community colleges only)
- Form 11D
- Form 12 Course Change Form (Community colleges only)
- EL Civics Competencies List
- El Civics Competency Checklist – Sample
- Use of Transfer Code in Fixed Entry Classes

Also See
- FY14 AEFL Provider Manual – General Fiscal Policy (Section 3)
- DAISI User Manual (http://www.iccb.org/daisi.html)
- ABE/ASE Content Standards (http://www.iccb.org/aefl.pub.reports.html)
- ESL Content Standards (http://www.iccb.org/aefl.pub.reports.html)

ICCB Adult Education ABE/ASE/ESL Generic Course List
PCS/CIP Codes for the Illinois Adult Education System

Adult Basic Education (ABE 1.7)
Beginning Level (0 – 3.9 Grade Level)
Curricula must reflect Adult Basic Education (ABE) Content Standards/Benchmarks for each level, as appropriate. See the ABE Content Standards/Benchmarks for more information.

Course CIP	Description
32.0200	**Basic Skills, General.** Courses which may include basic skills, such as literacy, reading, communication, and computational skills; library and study skills; and family education skills.

Beginning ABE Literacy (Grade 0 to 1.9)
Beginning Basic Education ABE (Grade 2.0 to 3.9)

32.0201   **Reading, Literacy, and Communication Skills.** Courses that describe the development of reading, writing, and speaking abilities that are needed to perform day-to-day tasks. Includes instruction in the use of basic communication skills to develop and transmit ideas and thoughts through courses, such as English, writing, and speaking and listening skills.

Beginning ABE Literacy (Grade 0 to 1.9)
Beginning Basic Education ABE (Grade 2.0 to 3.9)

32.0202   **Computational Skills.** Courses that describe the development of computing and other mathematical reasoning abilities. Includes courses in adding, subtracting, multiplying, dividing, fractions and decimals, percents, and measurements.

Beginning ABE Literacy (Grade 0 to 1.9)
Beginning Basic Education ABE (Grade 2.0 to 3.9)

32.0203   **Workforce Skills.** Courses that describe the development of skills related to job searches and self-marketing. Includes instruction in assessing one's own capabilities and skills, filling out an application, and handling at interview.

Beginning ABE Literacy (Grade 0 to 1.9)
Beginning Basic Education ABE (Grade 2.0 to 3.9)

32.0204   **Life Skills.** Courses which may include instruction in basic consumer education, health and safety, community awareness, and government and law necessary for coping with life in the U.S.

Beginning ABE Literacy (Grade 0 to 1.9)
Beginning Basic Education ABE (Grade 2.0 to 3.9)

32.0205   **Career Exploration/Awareness Skills.** Courses that describe the linkage between individual capabilities and the job market. Includes instruction in the variety scope of available employment, how to access job information, and techniques of self- analysis.

Course CIP	Description
	Beginning ABE Literacy (Grade 0 to 1.9)
	Beginning Basic Education ABE (Grade 2.0 to 3.9)

32.0206 **Workplace Literacy.** Courses that include basic skills training for learning or upgrading skills for workplace. Courses may be designed and/or customized to meet specific business and industry needs.

Beginning ABE Literacy (Grade 0 to 1.9)
Beginning Basic Education ABE (Grade 2.0 to 3.9)

32.0207 **Family Literacy.** Courses that include literacy activities and parenting education training to foster a level of proficiency in basic skills sufficient for adults to function effectively in society.

Beginning ABE Literacy (Grade 0 to 1.9)
Beginning Basic Education ABE (Grade 2.0 to 3.9)

32.0208 **U. S. Citizenship Education**. Courses that prepare individuals fluent in English or for whom English is their native language to take the naturalization test and learn about the rights and responsibilities that accompany United States citizenship. Includes preparation for the state-mandated Constitution examination.

Beginning ABE Literacy (Grade 0 to 1.9)
Beginning Basic Education ABE (Grade 2.0 to 3.9)

Adult Basic Education (ABE 1.7)
Intermediate Level (4.0 to 8.9 Grade Level)
Curricula must reflect Adult Basic Education(ABE) Content Standards/Benchmarks for each level, as appropriate. See the ABE Content Standards/Benchmarks for more information. For Adult Education Bridge Programs, courses must also meet the approved Bridge Definition requirements.

Course CIP	Description
32.0220	**Basic Skills, General.** Courses which may include basic skills, such as literacy, reading, communication, and computational skills; life skills; library and study skills; and family education skills.

Low Intermediate Basic Education ABE (Grade 4.0 to 5.9)
High Intermediate Basic Education (Grade 6.0 to 8.9)

32.0221 **Reading, Literacy, and Communication Skills.** Courses that describe the development of reading, writing, and speaking abilities that are needed to perform day-to-day tasks. Includes instruction in the use of basic communication skills to develop and transmit ideas and thoughts through courses, such as English, writing, and speaking and listening skills.

Low Intermediate Basic Education ABE (Grade 4.0 to 5.9)
High Intermediate Basic Education (Grade 6.0 to 8.9)

Course CIP	Description
32.0222	**Computational Skills.** Courses that describe the development of computing and other mathematical reasoning abilities. Includes courses in adding, subtracting, multiplying, dividing, fractions and decimals, percents and measurements.

Low Intermediate Basic Education ABE (Grade 4.0 to 5.9)
High Intermediate Basic Education (Grade 6.0 to 8.9)

32.0223	**Workforce Skills.** Courses that describe the development of skills related to job searches and self-marketing. Includes instruction in assessing one's own capabilities and skills, filling out an application, and handling an interview.

Low Intermediate Basic Education ABE (Grade 4.0 to 5.9)
High Intermediate Basic Education (Grade 6.0 to 8.9)

32.0224	**Life Skills.** Courses which may include instruction in basic consumer education, health and safety, community awareness, and government and law necessary for coping with life in the U.S.

Low Intermediate Basic Education ABE (Grade 4.0 to 5.9)
High Intermediate Basic Education (Grade 6.0 to 8.9)

32.0225	**Career Exploration/Awareness Skills.** Courses that describe the linkage between individual capabilities and needs and the job market. Includes instruction in the variety and scope of available employment, how to access job information, and techniques of self-analysis.

Low Intermediate Basic Education ABE (Grade 4.0 to 5.9)
High Intermediate Basic Education (Grade 6.0 to 8.9)

32.0226	**Workplace Literacy.** Courses that include basic skills training for learning or upgrading skills for workplace. Courses may be designed and/or customized to meet specific business and industry needs.

Low Intermediate Basic Education ABE (Grade 4.0 to 5.9)
High Intermediate Basic Education (Grade 6.0 to 8.9)

32.0227	**Family Literacy.** Courses that include literacy activities and parenting education training to foster a level of proficiency in basic skills sufficient for adults to function effectively in society.

Low Intermediate Basic Education ABE (Grade 4.0 to 5.9)
High Intermediate Basic Education (Grade 6.0 to 8.9)

32.0228	**U. S. Citizenship Education**. Courses that prepare individuals fluent in English or for whom English is their native language to take the naturalization test and learn about the rights and responsibilities that accompany United States citizenship. Includes preparation for the state-mandated Constitution examination.

Low Intermediate Basic Education ABE (Grade 4.0 to 5.9)
High Intermediate Basic Education (Grade 6.0 to 8.9) Course CIP Description

Course CIP	Description
32.0229	**ABE Bridge Program Instruction** Courses that are contextualized by integrating basic skills with occupational specific knowledge and skills designed to prepare students to transition into postsecondary and/or into employment. These courses must include career awareness as well as intensive supportive services.

High Intermediate Basic Education (Grade 6.0 to 8.9)

Adult Secondary Level (ASE 1.8)
(9.0 to 12.9 Grade Level)
Curricula must reflect Adult Secondary Education (ASE) Content Standards/Benchmarks for each level, as appropriate. See the ASE Content Standards/Benchmarks for more information. For Adult Education Bridge Programs, course must meet the approved Bridge Definition requirements.

Course CIP	Description
32.0300	**Basic Skills, General.** Courses which may include instruction in reading, writing, literature, mathematics, science and social studies in preparation for the General Educational Development examination or high school diploma. Includes study skills and test preparation skills.

Low Adult Secondary Education ASE (Grade 9.0 to 10.9)
High Adult Secondary Education ASE (Grade 11.0 to 12.9)

Course CIP	Description
32.0301	**Academic and Intellectual Skills.** Courses that describe the ability to reason through analytical and logical thinking. Includes the study of basic science principles (biology, chemistry, physics, and other natural sciences) and the basic principles of the social and behavioral sciences (includes the study of history and government, the constitution, and the arts)

Low Adult Secondary Education ASE (Grade 9.0 to 10.9)
High Adult Secondary Education ASE (Grade 11.0 to 12.9)

Course CIP	Description
32.0302	**Reading, Literacy, and Communication Skills.** Courses that include the study of English, including literature and composition, speech, pre-writing and writing skills.

Low Adult Secondary Education ASE (Grade 9.0 to 10.9)
High Adult Secondary Education ASE (Grade 11.0 to 12.9)

Course CIP	Description
32.0303	**Computational Skills.** Courses that describe the development of computing and other mathematical reasoning abilities. Includes courses in basic mathematical principles and concepts, algebra, geometry and trigonometry.

Low Adult Secondary Education ASE (Grade 9.0 to 10.9)
High Adult Secondary Education ASE (Grade 11.0 to 12.9)

Course CIP	Description
32.0304	**Workforce Skills.** Courses that describe the development of skills in preparation for the world of work. Includes instruction in assessing one's own capabilities and skills, resume writing, interviewing, job search, and job keeping skills.

Course CIP	Description
	Low Adult Secondary Education ASE (Grade 9.0 to 10.9)
	High Adult Secondary Education ASE (Grade 11.0 to 12.9)

32.0305   **Life Skills.** Courses which may include instruction in basic consumer education, health and safety, community awareness, and government and law necessary for coping with life in the U.S.

Low Adult Secondary Education ASE (Grade 9.0 to 10.9)
High Adult Secondary Education ASE (Grade 11.0 to 12.9)

32.0306   **Career Exploration/Awareness Skills.** Courses that describe the linkage between individual capabilities and needs and the job market. Includes instruction in the variety and scope of available employment, how to access job information, and techniques of self-analysis.

Low Adult Secondary Education ASE (Grade 9.0 to 10.9)
High Adult Secondary Education ASE (Grade 11.0 to 12.9)

32.0307   **Workplace Literacy.** Courses which include basic skills training for learning or upgrading skills in the workplace. Courses may be designed and/or customized to meet specific business industry needs.

Low Adult Secondary Education ASE (Grade 9.0 to 10.9)
High Adult Secondary Education ASE (Grade 11.0 to 12.9)

32.0308   **Family Literacy.** Courses that include literacy activities and parenting education training to foster a level of proficiency in basic skills sufficient for adults to function effectively in society.

Low Adult Secondary Education ASE (Grade 9.0 to 10.9)
High Adult Secondary Education ASE (Grade 11.0 to 12.9)

32.0309   **U. S. Citizenship Education.** Courses that prepare individuals fluent in English or for whom English is their native language to take the naturalization test and learn about the rights and responsibilities that accompany United States citizenship. Includes preparation for the state-mandated Constitution examination.

Low Adult Secondary Education ASE (Grade 9.0 to 10.9)
High Adult Secondary Education ASE (Grade 11.0 to 12.9)

32.0310   **ASE Bridge Program Instruction.** Courses that are contextualized by integrating basic skills with occupational specific knowledge and skills designed to prepare students to transition into postsecondary and/or into employment. These courses must include career awareness as well as intensive supportive services.

Low Adult Secondary Education ASE (Grade 9.0 to 10.9)
High Adult Secondary Education ASE (Grade 11.0 to 12.9)

English as a Second Language (ESL 1.9)
Beginning Level
For students who possess limited or not oral proficiency in English and may or may not read and write in their primary language. Curricula must reflect English as-a-Second Language (ESL) Content standards for each educational functioning level, as appropriate. See the ESL Content Standards for more information.

Course CIP	Description
32.0400	**Beginning ESL.** Courses that may include instruction in listening, speaking, reading, and writing using the English language. Includes life skills, career exploration, and workforce skills. Beginning ESL Literacy (BEST Plus 400 and Below/BEST Literacy 0-20/CASAS 180 and Below) Low Beginning ESL (BEST Plus 401-417/BEST Literacy 21-52/CASAS 181-190) High Beginning ESL (BEST Plus 418-438/BEST Literacy 53-63/CASAS 191-200)
32.0401	**Workplace Literacy.** Courses that include the development of English vocabulary and other basic skills needed for the workplace. Instructional materials may be designed and/or customized to meet specific business and industry needs. Beginning ESL Literacy (BEST Plus 400 and Below/BEST Literacy 0-20/CASAS 180 and Below) Low Beginning ESL (BEST Plus 401-417/BEST Literacy 21-52/CASAS 181-190) High Beginning ESL (BEST Plus 418-438/BEST Literacy 53-63/CASAS 191-200)
32.0402	**Family Literacy.** Courses that include literacy activities and parenting education training to foster a level proficiency in basic skills sufficient for adult to function effectively in society. Beginning ESL Literacy (BEST Plus 400 and Below/BEST Literacy 0- 20/CASAS 180 and Below) Low Beginning ESL (BEST Plus 401-417/BEST Literacy 21-52/CASAS 181-190) High Beginning ESL (BEST Plus 418-438/BEST Literacy 53-63/CASAS 191-200)
32.0403	**U. S. Citizenship Education**. Courses that prepare individuals, for whom English is not their native language, to take the naturalization test and learn about rights and responsibilities that accompany United States citizenship. Includes preparation for the state-mandated Constitution examination. Beginning ESL Literacy (BEST Plus 400 and Below/BEST Literacy 0- 20/CASAS 180 and Below) Low Beginning ESL (BEST Plus 401-417/BEST Literacy 21-52/CASAS 181-190) High Beginning ESL (BEST Plus 418-438/BEST Literacy 53-63/CASAS 191-200)

English as a Second Language (ESL)
Intermediate Level
For students who possess skills to function satisfactorily in basic situations related to needs, comprehend conversation, participate in basic conversations, read simplified material, and write short messages. Curricula must reflect English as-a-Second Language (ESL) Content standards for each educational

functioning level, as appropriate. See the ESL Content Standards for more information. For ESL Bridge Programs, course must meet the approved Bridge Definition requirements.

Course CIP	Description
32.0420	**Intermediate ESL.** Courses that may include instruction in listening, speaking, reading, and writing using the English language. Includes life skills, career exploration, and workforce skills.

        Low Intermediate ESL (BEST Plus 439-472/BEST Literacy 64-67/CASAS 201-210)
        High Intermediate ESL (BEST Plus 473-506/Best Literacy 68-75/CASAS 211-220)

32.0421	**Workplace Literacy.** Courses that include the development of English vocabulary and other basic skills needed for the workplace. Instructional materials may be designed and/or customized to meet specific business and industry needs.

        Low Intermediate ESL (BEST Plus 439-472/BEST Literacy 64-67/CASAS 201-210)
        High Intermediate ESL (BEST Plus 473-506/Best Literacy 68-75/CASAS 211-220)

32.0422	**Family Literacy.** Courses that include literacy activities and parenting education training to foster a level of proficiency in basic skills sufficient for adults to function effectively in society.

        Low Intermediate ESL (BEST Plus 439-472/BEST Literacy 64-67/CASAS 201-210)
        High Intermediate ESL (BEST Plus 473-506/Best Literacy 68-75/CASAS 211-220)

32.0423	**U. S. Citizenship Education**. Courses that prepare individuals, for whom English is not their native language, to take the naturalization test and learn about rights and responsibilities that accompany United States citizenship. Includes preparation for the state-mandated Constitution examination.

        Low Intermediate ESL (BEST Plus 439-472/BEST Literacy 64-67/CASAS 201-210)
        High Intermediate ESL (BEST Plus 473-506/Best Literacy 68-75/CASAS 211-220)

32.0424	**ESL Bridge Program Instruction.** Courses that are contextualized by integrating listening, speaking, reading and writing skills with occupational specific knowledge and skills designed to prepare students to transition into postsecondary and/or into employment. These courses must be taught in English and include career awareness as well as intensive supportive services.

        Low Intermediate ESL (BEST Plus 439-472/BEST Literacy 64-67/CASAS 201-210)
        High Intermediate ESL (BEST Plus 473-506/Best Literacy 68-75/CASAS 211-220)

English as a Second Language (ESL)
Advanced Level
For students who posses skills to function effectively in social situations, comprehend conversations on unfamiliar topics, participate in extended conversation, read authentic materials, and compose routine correspondence and paragraphs. Curricula must reflect English as-a-Second Language (ESL) Content standards for each educational functioning level, as appropriate. See the ESL Content Standards for more information. For ESL Bridge Programs, course must meet the requirement of the Bridge Definition.

Course CIP	Description
32.0440	**Advanced ESL.** Courses that may include instruction in listening, speaking, reading, and writing using the English language. Includes life skills, career exploration, and workforce skills.

Advanced ESL (BEST Plus 507-540/BEST Literacy 76-78/CASAS 221-235)

32.0441   **Workplace Literacy.** Courses that include the development of English vocabulary and other basic skills needed for the workplace. Instructional materials may be designed and/or customized to meet specific business and industry needs.

 Advanced ESL (BEST Plus 507-540/BEST Literacy 76-78/CASAS 221-235)

32.0442   **Family Literacy.** Courses that include literacy activities and parenting education training to foster a level of proficiency in basic skills sufficient for adults to function effectively in society.

Advanced ESL (BEST Plus 507-540/BEST Literacy 76-78/CASAS 221-235)

32.0443   **U. S. Citizenship Education**. Courses that prepare individuals, for whom English is not their native language, to take the naturalization test and learn about rights and responsibilities that accompany United States citizenship. Includes preparation for the state-mandated Constitution examination.

Advanced ESL (BEST Plus 507-540/BEST Literacy 76-78/CASAS 221-235)

32.0444   **ESL Bridge Program Instruction.** Courses that are contextualized by integrating listening, speaking, reading and writing skills with occupational specific knowledge and skills designed to prepare students to transition into postsecondary and/or into employment. These courses must be taught in English and include career awareness as well as intensive supportive services.

Advanced ESL (BEST Plus 507-540/BEST Literacy 76-78/CASAS 221-235)

BRIDGE DEFINITION AND CORE ELEMENTS

Bridge programs prepare adults with limited academic or limited English skills to enter and succeed in credit-bearing postsecondary education and training leading to career-path employment in high-demand, middle- and high-skilled occupations. The goal of bridge programs is to sequentially bridge the gap between the initial skills of individuals and what they need to enter and succeed in postsecondary education and career-path employment.

CORE ELEMENTS

Bridge programs assist students in obtaining the necessary academic, employability, and technical skills through three required components—contextualized instruction, career development, and support services. Required elements include:

- *Contextualized instruction* that integrates basic reading, math, and language skills and industry/occupation knowledge.

- *Career development* that includes career exploration, career planning within a career area, and understanding the world of work (specific elements depend upon the level of the bridge program and on whether participants are already incumbent workers in the specific field).

- *Transition services* that provide students with the information and assistance they need to successfully navigate the process of moving from adult education or remedial coursework to credit or occupational programs. Services may include (as needed and available) academic advising, tutoring, study skills, coaching, and referrals to individual support services, e.g., transportation and child care.

  Note: Career development and transition services should take into account the needs of those low-income adults who will need to find related work as they progress in their education and career paths.

Eligibility

Bridge programs are designed for adults 16 years and older, who:
- Have reading and math levels at or above the 6[th] grade through pre-college level *or*
- Have English language proficiency at or above the low-intermediate ESL level

- May or may not have a high school credential
- May or may not be an incumbent worker

Specific eligibility requirements will depend upon the type of provider offering the bridge program and program requirements.

PROGRAM DESIGN OPTIONS

A bridge program may be designed as 1) a single course (for students at higher reading and math levels) that moves students directly into credit-bearing courses, with the aim of eliminating the need for remediation or

2) a series of courses, in which students first complete a lower-level bridge course that prepares them to enter a non-credit or credit occupational course or program that leads to an entry-level job. In this case, the student can stop out for needed work/income and return to a higher-level bridge course without having to repeat content.

The bridge program must prepare students to enter credit-bearing courses and programs within one of the 16 nationally recognized career clusters (see: http://www.careerclusters.org/16clusters.cfm). That is, the course content must contain the knowledge and skills common for entry-level occupations within a broad cluster (e.g. Health Science, Manufacturing, Information Technology, etc.). This curriculum design element exposes the student to career information and to information about the skills and knowledge required by a broad range of occupational options within a cluster. The bridge program must be of sufficient duration and intensity to produce these transition results.

Education and Training Providers (and partnerships):

Bridge programs may be provided by: (1) an Illinois Community College Board-approved and funded adult education program[1]; (2) the credit or non-credit department(s) of a community college; and (3) community-based organizations or other types of provider that offer non-credit workforce training.

---

[1] ICCB-approved adult education providers currently include community-based organizations, community colleges, regional offices of education, public school districts, the Illinois Department of Corrections, and a university.

Bridge programs may be offered by a single entity (e.g., a community-based organization or a community college) or by a partnership (e.g., a community-based organization and a community college). Regardless of the provider, they:

- May provide opportunities to earn college credit (such as through escrow credit accounts)
- May offer dual enrollment in credit and non-credit programs
- May offer a multi-level program that moves people from an adult education course offered by one provider to a non-credit occupational course offered by the same or another provider.

All bridge program providers will use pre-skill assessments consistent with program requirements to place students into the appropriate courses as well as post-skill assessments to measure progress, and all providers will use data tracking systems to collect and analyze key information about bridge program participants and graduates.

Outcomes:

Short-Term

1. Higher number of low-income working adults enroll in postsecondary education
2. Bridge program graduates who enroll in credit programs will succeed in their courses.

Long-Term

1. Higher proportion of low-income working adults attain degrees and/or certificates.
2. Higher proportion of Adult Basic Education (ABE)/GED, English-as-a-Second-Language (ESL), Adult Secondary Education (ASE), and developmental/remedial adult learners transition into and completion of associates degrees and/or certificates.
3. Increases in earnings and job quality for low-income adults engaged in career pathways.

ILLINOIS COMMUNITY COLLEGE BOARD

ADULT EDUCATION AND FAMILY LITERACY

New Course Addition Form

Program Name: _____ **APC # and Code:** _____

PCS Code: _____ **CIP Number:** _____ **Instructional Category:** _____

Program Course Prefix: _____ **Program Course Number:** _____

Course Title: _____ (Title cannot exceed 36 characters, including spaces & punctuation)

Range of Units of Instruction (1 Unit = 15 hours of enrollment): _____ to _____ **Maximum Units of Instruction** _____

Intensity and Duration: (frequency of offerings, i.e., number of hours per day, number of days per week, number of weeks. (Fixed or open enrollment): _____

Course Description:

Does this course offer **Job Skills?** Y ☐ N ☐ Is this **Citizenship-Only?** Y ☐ N ☐

Will **I-Pathways** be utilized? Y ☐ N ☐ Is this a **Math Only Class?** Y ☐ N ☐

If **I-Pathways** is used will it be used: ☐ **At-A-Distance** ☐ **As Supplemental Instruction** ☐ **As a Hybrid** (Check all that apply)

_____

Signature: _____ **Date:** _____

Phone: _____ **E-Mail:** _____

_____

ICCB USE ONLY: Status: Approved Not Accepted

(7/13) Processed by _____ Date _____

ILLINOIS COMMUNITY COLLEGE BOARD

ADULT EDUCATION AND FAMILY LITERACY

Course Modification Form

Current Course Information:

Program Name: APC# and Code:

PCS Code: CIP Number: Instructional Category:

Course Title: Program Course Prefix: Program Course Number:

Item Being Changed: ☐ Range of Units of Instruction   ☐ Course Description

                        ☐ Intensity and Duration   ☐ Job Skills Offered

                        ☐ Citizenship Only   ☐ i-Pathways utilized

Please use the space below to describe in detail the changes being made to the approved course and indicate why the changes are being requested.

Signature: _____   Date: _____

                        Program Course Contact

Phone: _____   Email: _____

ICCB USE ONLY: Modification Status: Approved   Not Accepted

Processed By: _____   Date: _____

FORM 11
(September 2013)

ILLINOIS COMMUNITY COLLEGE BOARD
COURSE ADDITION/WITHDRAW/REUSE
ON COURSE MASTER FILE
(submit in duplicate)

COLLEGE NAME:		5-DIGIT COLLEGE NUMBER:	
Course Action Desired:	ADD (complete sections A & B)	Withdraw (complete section A only)	Reuse (complete sections A & B)

A	**COURSE PREFIX:**		**COURSE NUMBER:**	

COURSE TITLE:		**PCS/CIP:**	

Title cannot exceed 36 characters, including spaces & punctuation	Consider for Adult Education Funding If yes, *attach Form 11C* - Required	☐ Yes	☐ No

☐ Documentation for transfer course articulation is attached (please check)

COURSE ENDING DATE: (FOR WITHDRAWAL)

COURSE DESCRIPTION AS IT WILL APPEAR IN THE COLLEGE CATALOG: (*please insert description in box below*)

CURRICULUM PREFIX:		**CURRICULUM NUMBER**:		5-digit college #: *(For multi districts only)*	

B	**STUDENTS THE COURSE IS EXPECTED TO SERVE:**	

TIMES REPEAT (0 to 3):		VARIABLE (N or V):	

(Attach justification for course repetition and variable credit hours)

CREDIT HOURS:		LECTURE HOURS:		LAB HOURS:		**EFFECTIVE DATE:**	

SIGNED:		
CHIEF ADMINISTRATIVE OFFICER	DATE	

ICCB USE ONLY:	CIRCLE STATUS:	A-ACTIVE	W-WITHDRAWN	N-APPROVED/NONFUNDED
INDICATE UPDATE TYPE:	A-ADD	W-WITHDRAW	Q-REUSE	OTHER
Processed by:		On:	Record Updated By	On:

Illinois Community College Board
Adult Education and Family Literacy Course Information

College Name:

Course Title:

Prefix: No.   PCS: CIP:

1. Intensity and Duration

    a.   Frequency of offerings

    b.   Enrollment status – please choose one:

         ☐FIXED   ☐OPEN

2.   Does this course include instruction in **Job Skills**?   Yes☐   No☐

3.   Is this course **Citizenship-Only**?   Yes☐   No☐

4.   Will **i-Pathways** be utilized?   Yes☐   No☐

    a.   If Yes, indicate:

    ☐Stand Alone

    ☐Supplement

Illinois Community College Board

Adult Education and Family Literacy Bridge Program Instruction

College Name: _____

Course Title: _____

Prefix: _____   No.: _____   PCS: _____   CIP: _____

1. Intensity and Duration:

     a. Frequency of offerings:

     b. Enrollment status: please choose one: ☐ Fixed   ☐ Open

       2.   This Bridge Course is: ☐ Stand alone   ☐ Part of a series of courses*
                                                  *Attach a list of all other courses that will be a part of the series

3.   This Bridge Course includes **each** of the following core elements:

      ☐ Contextualized Instruction

      ☐ Career Development

      ☐ Transition Services

4.   This Bridge Course is a part of which Career Cluster?

☐ Health Science	☐ Business Management & Administration	☐ Information Technology
☐ Manufacturing	☐ Education & Training	☐ Law, Public Safety, Corrections & Security
☐ Transportation, Distribution & Logistics	☐ Finance	☐ Marketing
☐ Agriculture, Food, & Natural Resources	☐ Government & Public Administration	☐ Science, Technology, Engineering & Mathematics
☐ Architecture & Construction	☐ Hospitality and Tourism	
☐ Arts, A/V Technology, & Communications	☐ Human Services	

Please note: A copy of the course curriculum and the details/description of the transition services, as defined in the Bridge Definition, must be sent to the ICCB.

Form 12
(JULY 2013)

Illinois Community College Board
COURSE MASTER FILE CHANGES
(Submit in duplicate)

COLLEGE NAME:				5-DIGIT COLLEGE NO.:					
Complete for ALL Courses: *Current* **Information**				**Complete Only Items to be changed:** Information					
PCS code	Course Prefix	Course No		Course Prefix	Course#	Title (limit to 36 characters)	PCS CIP Code	Curric Prefix	Curric
				# of Repeats	Variable Y ☐ N ☐	Credit hours / Lecture hours / Lab hours	Effective Date:		
PCS code	Course Prefix	Course No		Course Prefix	Course#	Title (limit to 36 characters)	PCS CIP Code	Curric Prefix	Curric
				# of Repeats	Variable Y ☐ N ☐	Credit hours / Lecture hours / Lab hours	Effective Date:		
PCS code	Course Prefix	Course No		Course Prefix	Course#	Title (limit to 36 characters)	PCS CIP Code	Curric Prefix	Curric
				# of Repeats	Variable Y ☐ N ☐	Credit hours / Lecture hours / Lab hours	Effective Date:		
SIGNED BY		DATE		ICCB USE ONLY	UPDATED BY:			ON	
College Official Responsible									

Illinois EL/Civics Competencies—*Revised*

The Democratic Process (DP)

DP1. Identify the basic rights of immigrants and U.S. citizens.
DP2. Define and explain the importance of voting.
DP3. List the requirements for voting in their communities.
DP4. Identify the titles of executive leaders of national, state, and local government.
DP5. Identify the legislative leaders of national, state, and local government.
DP6. Identify various courts of the judicial system (e.g., traffic court, small claims court, Supreme Court).
DP7. Identify ways to contact their elected leaders.
DP8. Contact an elected official to express their opinions.
DP9. Participate in a decision-making process in their communities (e.g., by attending a local government meeting, by signing a petition, by sending a letter or email).

Community Resources (CR)

CR1. Distinguish between emergency and non-emergency situations and make a list of the corresponding telephone numbers to call for help.
CR2. Call 911 or other police/fire emergency telephone numbers to report an emergency.
CR3. State the laws regarding safe transportation of themselves and their children in motor vehicles (e.g., using seat belts and child car seats, following speed limits).
CR4. Read common traffic and pedestrian signs.
CR5. Identify or participate in community safety education programs (e.g., Neighborhood Watch, crime prevention, CPR classes).
CR6. Identify social services available in the community (e.g., elder care, food pantries, transportation for disabled residents).
CR7. Locate, visit, or use a public library in the community and, if applicable, apply for a library card.
CR8. Identify opportunities for volunteer work in the community.
CR9. Use appropriate language and behavior if stopped by the police.
CR10.Identify situations in which they are entitled to interpreter services (e.g., health clinics, courts, 911).

The U.S. School System (SC)

SC1. Identify how schools are organized in the U.S. school system (i.e., preschool through college).
SC2. Identify the ages of children that public schools are required to serve.
SC3. Identify the organization of grades and schools within their local school districts.
SC4. Explain the function of school boards.
SC5. Differentiate between public and private schools.
SC6. Describe the similarities and differences between the U.S. school system and the school system in their native countries.
SC7. Identify ways in which parents and community members can participate in schools and interact with school personnel.
SC8. Identify additional services available to students in local school districts (e.g., extracurricular activities, lunch programs, accommodations for disabilities).
SC9. Identify sources of financial assistance for vocational and/or post-secondary education.

Health and Wellness (HW)

HW1. Explain the difference between public and private health care.
HW2. Locate public health services in their communities and/or complete an application.
HW3. Complete a health information form, including family medical history, current medications, and allergies.
HW4. Explain the importance of good nutrition and where to find information about it.
HW5. Explain the importance of physical fitness and locate fitness programs in their communities.
HW6. Identify community resources for wellness programs including prenatal care, immunizations, and screenings.

Health and Wellness (HW) Continued

HW7. Describe situations needing intervention including domestic violence, child abuse, substance abuse, and mental health issues.
HW8. Identify community resources for crisis services including domestic violence, child abuse, substance abuse, and mental health issues.

Housing (HO)

HO1. Identify types of housing in their communities (e.g., rental, purchase, shelter).
HO2. Locate agencies to assist with finding affordable housing.
HO3. Identify the rights and responsibilities of landlords and tenants.
HO4. Identify components of a rental or lease agreement and list typical features of rental agreements (e.g., first/last month's rent, 12-month agreement, pet policy).
HO5. Report housing problems to landlords, property associations, or other officials.
HO6. Contact utility providers for service or to report a problem.
HO7. Identify resources for resolving housing problems.
HO8. Identify resources for home ownership information.
HO9. Check the references of contractors or solicitors and/or report a complaint against them.

Employment (EM)

EM1. Identify job titles, responsibilities, wages, and places of work.
EM2. Describe common employee benefits (e.g., health care, vacation, sick days).
EM3. Identify typical steps in obtaining a job.
EM4. Complete a job application (paper or online), resume, or cover letter.
EM5. Identify local employment agencies, training agencies, and/or resource centers.
EM6. Locate local job market information using the Internet (e.g., Illinoisworknet.com or other resources).
EM7. Identify typical and illegal job interview questions and how to respond.
EM8. Describe the function of a labor union.
EM9. Explain the rights that workers are entitled to (e.g., overtime pay, breaks, safe work environment) and identify ways to report violations.
EM10. Read and interpret a pay stub.
EM11. Read safety signs and instructions commonly found at work.
EM12. Read and write basic work-related messages.
EM13. Compare and contrast differences in U.S. workplace behavior and communication with workplace behavior and communication in their native countries.
EM14. Describe ways employers may evaluate work performance.
EM15. Identify opportunities to gain marketable skills and work experience as a volunteer in a work setting.

Consumer Economics (CE)

CE1. Locate financial service options (e.g., banks, check cashing services) in their communities and describe services offered.
CE2. Describe the advantages and disadvantages of bank services and check-cashing services.
CE3. Prepare a household budget.
CE4. Explain the role of credit in the U.S. economy (e.g., credit cards, personal credit rating, interest rates).
CE5. Compare credit and debit cards.
CE6. Define identity theft and describe ways to protect against it.
CE7. Distinguish between legitimate and fraudulent mail, phone, and email solicitations.
CE8. Identify common consumer complaints and locate agencies to help resolve them.
CE9. Identify services provided by notary publics in Illinois and locate notaries in their communities.
CE10. Describe types of insurance (e.g., car, home, life) and/or how to file a claim.

Illinois English Literacy/Civics Education (EL/CE) Competencies
Students Must Be Able to Demonstrate These in English

Student Name: _____   **ID #** _____

Program: _____   **Class Level:** _____

Teacher Signature: _____

Documentation Codes
T O = Teacher Observation
O R = Oral Response/Report
W E = Written Evidence
O   = Other – Specify in "Other" Column

Code	*EL/Civics Competency*	*Date Demonstrated*	*Documentation Code*	*Other Documentation*
The Democratic Process (DP)				
DP1.	Identify the basic rights of immigrants and U.S. citizens.			
DP2.	Define and explain the importance of voting.			
DP3.	List the requirements for voting in their communities.			
DP4.	Identify the titles of executive leaders of national, state, and local government.			
DP5.	Identify the legislative leaders of national, state, and local government.			
DP6.	Identify various courts of the judicial system (e.g., traffic court, small claims court, Supreme Court).			
DP7.	Identify ways to contact their elected leaders.			
DP8.	Contact an elected official to express their opinions.			
DP9.	Participate in a decision-making process in their communities (e.g., by attending a local government meeting, by signing a petition, by sending a letter or email).			
Community Resources (CR)				
CR1.	Distinguish between emergency and non-emergency situations and make a list of the corresponding telephone numbers to call for help.			
CR2.	Call 911 or other police/fire emergency telephone numbers to report an emergency.			
CR3.	State the laws regarding safe transportation of themselves and their children (e.g., proper use of restraints) in motor vehicles.			
CR4.	Read Common traffic and pedestrian signs.			
CR5.	Identify or participate in community safety education programs (e.g., Neighborhood Watch, crime prevention or CPR classes).			
CR6.	Identify social services available in the community (e.g., elder care, food pantries, transportation for disabled residents).			
CR7.	Locate, visit or use a public library in the community and, if applicable, apply for a library card.			
CR8.	Identify opportunities for volunteer work in the community.			
CR9.	Use appropriate language and behavior if stopped by the police			
CR10.	Identify situations in which they are entitled to interpreter services (e.g., health clinics, courts, 911).			

Code	EL/Civics Competency			
	The U. S. School System (SC)	*Date Demonstrated*	*Documentation Code*	*Other Documentation*
SC1.	Identify how schools are organized in the U.S. school system (i.e., preschool through college).			
SC2.	Identify the ages of children that public schools are required to serve.			
SC3.	Identify the organization of grades and schools within their local school districts.			
SC4.	Explain the function of school boards.			
SC5.	Differentiate between public and private schools.			
SC6.	Describe the similarities and differences between the U.S. school system and the school system in their native countries.			
SC7.	Identify ways in which parents and community members can participate in schools and interact with school personnel.			
SC8.	Identify additional services available to students in local school districts (e.g., extracurricular activities, lunch programs, accommodations for disabilities).			
SC9.	Identify sources of financial assistance for education.			
	Health and Wellness (HW)			
HW1.	Explain the difference between public and private health care.			
HW2.	Locate public health services in their communities and/or complete an application.			
HW3.	Complete a health information form, including family medical history, current medications and allergies.			
HW4.	Explain the importance of good nutrition and where to find information about it.			
HW5.	Explain the importance of physical fitness and locate fitness programs in their communities.			
HW6.	Identify community resources for wellness programs including prenatal care, immunizations, and screenings.			
HW7.	Describe situations needing intervention including domestic violence, child abuse, substance abuse, and mental health issues.			
HW8.	Identify community resources for crisis services including domestic violence, child abuse, substance abuse, and mental health issues.			
	Housing (HO)			
HO1.	Identify types of housing in the communities (e.g., rental, purchase, shelter).			
HO2.	Locate agencies to assist with finding affordable housing.			
HO3.	Identify the rights and responsibilities of landlords and tenants.			
HO4.	Identify components of a rental or lease agreement and list typical features of rental agreements (e.g., first/last month's rent, 12-month agreement, pet policy).			
HO5.	Report housing problems to landlords, property associations, or other officials.			
HO6.	Contact utility providers for service or to report a problem.			
HO7.	Identify resources for resolving housing problems..			
HO8.	Identify resources for home ownership information.			
HO9.	Check the references of contractors or solicitors and/or report a complaint against them.			

Code	EL/Civics Competency			
Employment (EM)				
EM1.	Identify job titles, responsibilities, wages, and places of work			
EM2.	Describe common employee benefits (e.g., health care, vacation, sick days).			
EM3.	Identify typical steps in obtaining a job.			
EM4.	Complete a job application (paper or online), resume, or cover letter.			
EM5.	Identify local employment agencies, training agencies, and/or resource centers.			
EM6.	Locate local job market information using the Internet (e.g., Illinoisworknet.com or other resources).			
EM7.	Identify typical and illegal job interview questions and how to respond.			
EM8.	Describe the function of a labor union.			
EM9	Explain the rights that workers are entitled to (e.g., overtime pay, breaks, safe work environment) and identify ways to report violations.			
EM10	Read and interpret a pay stub.			
EM11	Read safety signs and instructions commonly found at work.			
EM12	Read and write basic work-related messages.			
EM13	Compare and contrast differences in U.S. workplace behavior and communication with workplace behavior and communication in their native countries.			
EM14	Describe ways employers may evaluate work performance.			
EM15	Identify opportunities to gain marketable skills and work experience as a volunteer in a work setting.			
Consumer Economics (CE)				
CE1.	Locate financial service options (e.g., banks, check cashing services) in their communities and describe services offered.			
CE2.	Describe the advantages and disadvantages of bank services and check-cashing services.			
CE3.	Prepare a household budget.			
CE4.	Explain the role of credit in the U.S. economy (e.g., credit cards, personal credit rating, interest rates).			
CE5.	Compare credit and debit cards.			
CE6.	Define identity theft and describe ways to protect against it.			
CE7.	Distinguish between legitimate and fraudulent mail, phone, and email solicitations.			
CE8.	Identify common consumer complaints and locate agencies to help resolve them.			
CE9.	Identify services provided by notary publics in Illinois and locate notaries in their communities.			
CE10.	Describe types of insurance (e.g., car, home, life) and/or how to file a claim.			

Illinois English Literacy/Civics Education (EL/C) Competencies
Students Must Be Able to Demonstrate These in English

Program: _____ **Class Level:** _____ **Teacher Signature:** _____

COMPETENCY CODE LEGEND

Record the appropriate competency code(s) below in the column titled "Competency(ies)" Demonstrated"

The Democratic Process (DP): DP1, DP2, DP3, DP4, DP5, DP6, DP7, DP8, DP9

Community Resources (CR): CR1, CR2, CR3, CR4, CR5, CR6, CR7, CR8, CR9. CR10

The U. S. School System (SC): SC1, SC2, SC3, SC4, SC5, SC6, SC7, SC8, SC9

Health and Wellness (HW): HW1, HW2, HW3, HW4, HW5, HW6, HW7, HW8

Housing (HO): HO1, HO2, HO3, HO4, HO5, HO6, HO7, HO8, HO9

Employment (EM): EM1, EM2, EM3, EM4, EM5, EM6, EM7, EM8, EM9, EM10, EM11, EM12, EM13, EM14, EM15

Consumer Economics (CE): CE1, CE2, CE3, CE4, CE5, CE6, CE7, CE8, CE9, CE10

Documentation Codes
T O = Teacher Observation
O R = Oral Response/Report
W E = Written Evidence
O = Other – Specify in "Other Documentation" Column

Record the time period the competencies listed below were demonstrated (Start date to end date) _____

Student Name	ID#	Competency(ies) Demonstrated	Documentation Codes	Other Documentation

Student Name	ID#	Competency(ies) Demonstrated	Documentation Codes	Other Documentation

Use of Transfer Code in Fixed Entry Classes

Students enrolled in one fixed entry class can transfer to another fixed entry class under certain conditions. These conditions include the following:

1. This transfer code (ET) is only to be used in fixed entry classes.

2. The student must have met the enrollment requirements for the class from which they are transferring.

3. Transfers into a class are allowed during the first two weeks (14 calendar days) of the class start date. After 14 days of the class start date, no transfers into the class will be allowed.

4. Students can not earn units in both classes. If the student has made it to the midterm point of their original class, thus earning the units associated with that class, they can not transfer into another class using the ET code. Programs should ensure that this does not occur.
   a. When the student is dropped from the original class, the user should record the drop code ("D") on that date. A custom class exit code can be created to indicate the reason for the drop is a Transfer. This can then be used at the time the "D" is recorded.

5. When enrolling a student in a fixed entry class beyond the first three days of the class, the ET code is used. When this code is used, two boxes appear in DAISI. The user will record the student's original Class/Section No and the reason for the transfer.

The original Class/Section No field allows the user to record the Class/Section No the student is transferring from while the Reason for Transfer field is pre-populated with the following 4 options for users.

Reasons for Transfer:
1. Teacher Request
2. Student Request
3. Initial placement was inappropriate based on student's current level
4. Other Administrative Reason

When the ET code is used, it generates both attendance and enrollment hours. Hours earned in the original class do not transfer with the student, but if the student successfully reaches the midterm point in the class to which they have transferred, they will be eligible for all the enrollment hours and units generated by that class.

A report is available through DAISI titled "Student Transfer Report" that will list all transfers that have occurred through the use of this code. This report is accessible through the Static Reports Center.

STUDENT TRANSFER REPORT

Program Name:
Date report generated:
Time period covered:

Student Name	SS#	Date of Transfer	Original Class Section #:	New Class Section #:	Reason for Transfer

Section 8 – National Reporting System

Major Policy Points

1. The National Reporting System (NRS) is an outcome based reporting system for state administered, federally funded adult education programs. Illinois must report prescribed data and outcomes information to the Office of Career, Technical and Adult Education (OCTAE) through the NRS. This is based on data collected through student and program level records. (Federal Policy)
2. NRS reportable students are a subset of the program's entire population. In order to be reported to the NRS, students must meet certain criteria. (Federal and State Policy)
3. Since the NRS is an outcome based reporting system, certain core measures are examined to determine student progress in adult education. This includes level gains in educational functioning levels and follow-up measures related to employment, attaining GED®/secondary credential and entry into postsecondary education. (Federal and State Policy)
4. As students exit the program, they must be separated for the appropriate reason to indicate why services are no longer warranted. (Federal Policy)

The National Reporting System (NRS) for Adult Education is an outcome-based reporting system for the state-administered, federally funded adult education program. Developed with the support of the U.S. Department of Education's Division of Adult Education and Literacy (DAEL), the NRS continues a cooperative process between state adult education directors and DAEL to manage a reporting system that demonstrates student outcomes for adult education. The NRS meets the accountability requirements for the adult education program in Title II of the Workforce Investment Act as described in the Introduction section of the manual.

The NRS provides public accountability of the adult education program by documenting its ability to meet federal policy and programmatic goals. The collection of state outcomes enables states to correlate practices and programs with successful outcomes and also assists states in assessing progress in meeting their adult education goals. For local providers, the NRS helps instructors and administrators plan instructional activities and services to enhance student outcomes and to correlate effective practices and programs with successful outcomes. All NRS reporting for local programs and the state are generated from data collected within the approved data collection system.

A complete guide for implementation of NRS guidelines can be found at www.nrsweb.org.

It is highly recommended that adult education administrators and staff complete the NRS Online Training System located at http://www.nrsweb.org/trainings/online.aspx.

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2. NRS reportable students are a subset of the program's entire population. In order to be reported to the NRS, students must meet certain criteria.

In order to be included in the NRS, students must meet the following criteria:

- Student must have a minimum of **12 attendance** hours from claimable activity (for fixed-entry programs, the student must also be successfully retained through the midterm of a class).
- Student must be assessed with an appropriate and approved assessment based on their instructional enrollment. The assessment must be recorded in the approved data system.
- All necessary and required data must be collected and reported within the approved data system. The student must be free from all data errors as reported by the approved data collection system.

For students meeting these criteria, NRS requires tracking of participation measures (i.e. hours of attendance, instructional service type, etc.) and descriptive measures (i.e. student demographics, student status, and goals selected).

SPECIAL NOTE - Foreign Language GED® only students and Vocational only students are not reported in the NRS.

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3. Since the NRS is an outcome based reporting system, certain core measures are examined to determine student progress in adult education. This includes level gains in educational functioning levels and follow-up measures related to employment, attaining GED®/secondary credential and entry into postsecondary education.

Educational Gains Measure
The Educational Gains Measure reflects the primary purpose of the adult basic education program: to improve the basic literacy skills of participants. This goal is the reason that all students reported to the NRS are counted in the educational gain measure. The NRS approach to measuring educational gains is to define a set of educational functioning levels at which students are initially placed based on their abilities to perform literacy-related tasks in specific content areas as measured by official approved assessments allowed by the state. After a set time period or number of instructional hours, students are again assessed to determine their skill levels. If their skills have improved sufficiently to be placed one or more levels higher, an advance (or level gain) is recorded for that student.

All students who meet the criteria to be included in NRS reporting are included in the Educational Gains Measure.

Core Outcome Measures
For the follow-up measures, students must meet the criteria to be included in NRS and must also exit (or separate) from the program in order to be included in the Core Outcome Measures. An individual student may end up in multiple cohorts as long as the student meets the criteria outlined below for each measure. For all of these measures, success is determined through a data matching process (with the exception of High School Diplomas which are self reported by the program).

Entered Employment Measure

Students in this measure are made up of just one group. This includes the following:

1 Students who are not employed at the time of entry into the program, **who are in the labor force** and who exit during the program year.

- Success rate for the program will be determined by those from this group who are employed one quarter after their exit quarter.

Retained Employment Measure

Students in this measure are made up of two groups. These groups include the following:

1 Students who were counted in the success rate for Entered Employment.
2 Students who enter the program employed and who exit during the program year.

- Success rate for the program will be determined by students from these two groups who are still employed in the third quarter after their exit quarter.

Receipt of a Secondary School Diploma or GED® Credential Measure

Students in this measure are made up of three groups (currently for Illinois only two of the three are applicable). These groups include the following:

1 Students who take all parts of the GED® tests and exit during the program year.
2 Students enrolled in adult high school at the ASE High level and exit during the program year.
3 Students enrolled in the assessment phase of an External Degree Program (EDP) (currently not applicable for Illinois) and who exit during the program year.

- Success rate for the program will be determined by the number of students from group #1 who pass all parts of the GED® as indicated via data matching and the students from group #2 who are awarded a High School Diploma as documented in the approved data collection system and student file.

Entered Postsecondary Education or Training Measure

Students in this measure are made up of three groups. These groups include the following:

1 Students who were counted in the success rate for receipt of a Secondary School Diploma or GED® Credential Measure (i.e. earned their GED® credential or received their High School diploma).
2 Students who have a secondary credential upon entry and exit during the program year.
3 Students who enroll in a course specifically designed for transitioning to postsecondary education and exit during the program year.

- Success rate for the program will be determined by the number of students from these three groups who enroll in a postsecondary education, occupational skills training program, or an apprenticeship training program.

A Core Measure Flowchart is available at the end of this section to help explain the process of how students enter the program and then what is necessary for them to move into the various follow-up measures.

4. As students exit the program, they must be separated for the appropriate reason to indicate why services are no longer warranted.

If a student separates from the program, it should be correctly coded in DAISI. Per NRS guidelines, follow-up core outcomes are only measured for students that are separated from the program. According to the federal NRS for Adult Education, students should be coded as separating when:

1. Instruction ends and the student indicates that he/she will not be returning;
2. The learner terminates; or
3. A student has not received instruction for 90 calendar days and is not scheduled to receive further instruction.

Separation indicates that a student will no longer be receiving adult education services from the program. Separation codes are different than Class Exit codes in that Class Exits indicate why a student left a specific class section while the Separation code indicates why the student left the program.

Separations should be conducted, at a minimum, on a quarterly basis and recorded in the approved data system. Students are separated after completing the program or after 90 days of inactivity with no additional services planned. If a student has been separated, but returns to the program, the student can continue with adult education services as needed. The separation reason previously recorded will automatically be removed from the system when additional attendance activity is recorded.

A sample Adult Education and Family Literacy Separation Form has been included at the end of this section to assist providers with the separation process. It can also be downloaded from www.iccb.org.

For Additional Information

Refer to the Following Items that Follow this Section
- Core Outcome Measures Flowchart
- Student Separation Form

Also See
- FY14 AEFL Provider Manual – AEFL Assessment (Section 5)

NATIONAL REPORTING SYSTEM - ENTERED EMPLOYMENT COHORT

Does the student meet criteria for NRS reporting? (i.e. Earned 12 attendance hours*, error free in DAISI and not a VOC or Foreign Language GED only student)

→ **NO** Student is not reported to NRS

YES

Be sure to distinguish between "Unemployed" and "Not in the Labor Force"

Was the student unemployed (and in the labor force) at the time of entry into the program?
(Note - If not seeking employment upon entry into the program, the student shouldn't be marked as unemployed.)

→ **NO** Student will not be in the Entered Employment Cohort for NRS Reporting

YES

Did the student separate from the program during the fiscal year?

→ **NO** Student will not be in the Entered Employment Cohort for NRS Reporting

YES

This student will be part of your program's Entered Employment Cohort and state level follow-up through data matching will occur to see if the student was employed one quarter after their exit quarter.

* Students in Fixed Entry classes must also meet the midterm requirement for their activity to be claimed.

NATIONAL REPORTING SYSTEM - RETAINED EMPLOYMENT COHORT

Does the student meet criteria for NRS reporting? (i.e. Earned 12 attendance hours*, error free in DAISI and not a VOC or Foreign Language GED only student) → **NO** → **Student is not reported to NRS**

↓ **YES**
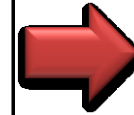
Don't FORGET! The Retained Employment cohort is made up of TWO different groups of students.

GROUP #1 - Was the student employed (either part-time or full-time) when they entered the program?
OR
GROUP #2 - Was the student a part of the Entered Employment cohort that was successful in Entering Employment? → **NO** → **Student will not be a part of the Retained Employment measure for NRS Reporting**

↓ **YES**
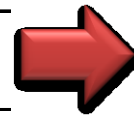
Did the student separate from the program during the fiscal year? → **NO** → **Student will not be in the Retained Employment measure for NRS Reporting**

↓ **YES**

This student will be part of your program's Retained Employment Cohort and state level follow-up through data matching will occur to see if the student was employed three quarters after their exit quarter.

* Students in Fixed Entry classes must also meet the midterm requirement for their activity to be claimed.

NATIONAL REPORTING SYSTEM - Earn GED or Secondary School Diploma Cohort

Does the student meet criteria for NRS reporting? (i.e. Earned 12 attendance hours*, error free in DAISI and not a VOC or Foreign Language GED only student)

→ **NO** → Student is not reported to NRS
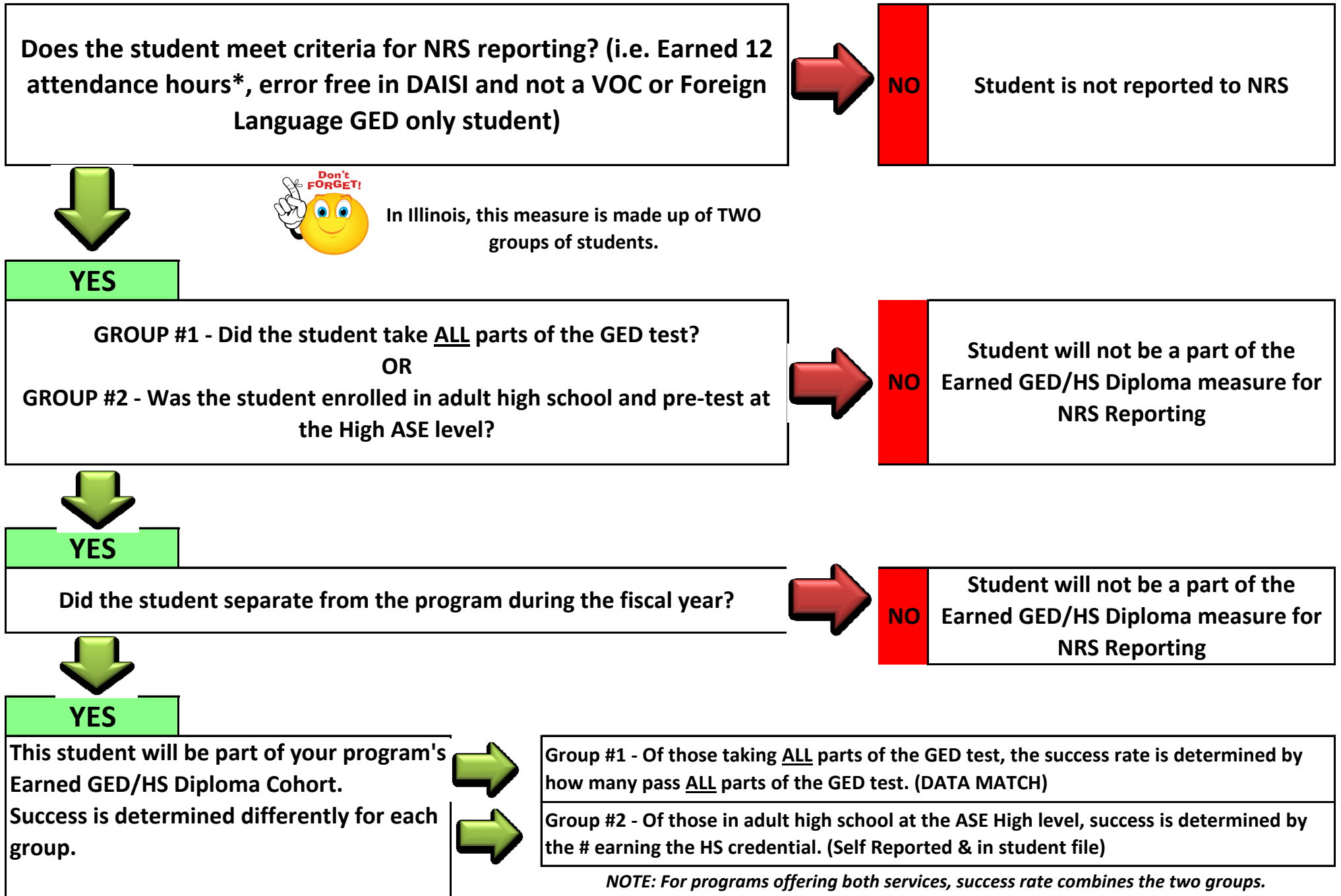
Don't FORGET! In Illinois, this measure is made up of TWO groups of students.

YES ↓

GROUP #1 - Did the student take ALL parts of the GED test?
OR
GROUP #2 - Was the student enrolled in adult high school and pre-test at the High ASE level?

→ **NO** → Student will not be a part of the Earned GED/HS Diploma measure for NRS Reporting

YES ↓

Did the student separate from the program during the fiscal year?

→ **NO** → Student will not be a part of the Earned GED/HS Diploma measure for NRS Reporting

YES ↓

This student will be part of your program's Earned GED/HS Diploma Cohort.
Success is determined differently for each group.

→ Group #1 - Of those taking ALL parts of the GED test, the success rate is determined by how many pass ALL parts of the GED test. (DATA MATCH)

→ Group #2 - Of those in adult high school at the ASE High level, success is determined by the # earning the HS credential. (Self Reported & in student file)

NOTE: For programs offering both services, success rate combines the two groups.

* Students in Fixed Entry classes must also meet the midterm requirement for their activity to be claimed.

NATIONAL REPORTING SYSTEM - Entered Post-Secondary Education or Training Cohort

Does the student meet criteria for NRS reporting? (i.e. Earned 12 attendance hours*, error free in DAISI and not a VOC or Foreign Language GED only student) → **NO** → **Student is not reported to NRS**

YES

Don't FORGET! In Illinois, this measure is made up of THREE groups of students.

GROUP #1 - Was the student a part of the group that was counted as a success for the Earned GED/HS Diploma cohort?
OR
GROUP #2 - Did the student enter the program with a Secondary Credential?
OR
GROUP #3 - Was the student enrolled in a course specifically designed to transition them to post-secondary education? → **NO** → **Student will not be a part of the Entered Post-Secondary measure for NRS Reporting**
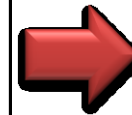
YES

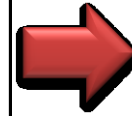**Did the student separate from the program during the fiscal year?** → **NO** → **Student will not be a part of the Entered Post-Secondary measure for NRS Reporting**

YES

This student will be part of your program's Entered Post-Secondary Education or Training Measure. Success from this group is determined by the number from these three groups who enroll in a post-secondary educational, occupational skills training program, or an apprenticeship training program as shown by data matching at the state level.

* Students in Fixed Entry classes must also meet the midterm requirement for their activity to be claimed.

ILLINOIS COMMUNITY COLLEGE BOARD
ADULT EDUCATION AND FAMILY LITERACY

Student Separation Form

Last Name: _____

First Name: _____

Last 4 digits of SSN or Student ID#: _____

Birth Date: _____

Separation Date: _____

Separation Reason (Check one):

☐	1. Entered Employment
☐	2. Met Personal Objective
☐	3. Lack of Interest, Instruction Not Helpful to Participant
☐	4. Illness/Incapacity
☐	5. Lack of Transportation Resources
☐	6. Lack of Dependent/Childcare Resources
☐	7. Family Problems
☐	8. Time and/or Location of Services Not Feasible
☐	9. Moved
☐	10. For Other Known Reasons
☐	11. Cannot Locate or Contact

Section 9 – Reporting and Records

Major Policy Points

1. **All ICCB AEFL funded programs must submit student and program level reports on a quarterly basis. (Federal and State policy)**
2. **All ICCB AEFL funded programs must submit an annual budget, quarterly expenditure and final expenditure reports. (Federal and State policy)**
3. **All ICCB AEFL funded programs must submit an annual audit. (Federal and State policy)**
4. **All ICCB AEFL funded programs must maintain an Equipment/Inventory Report. This report must include all non-consumable items purchased with federal funds and any items with a cost of $500 or more purchased with state funds. (Federal and State policy)**
   a. **Programs must submit an annual report reflecting items with a single unit purchase price of $5,000 or more.**
5. **All programs must submit an AEFL Certification of Units Report annually. (State policy)**
6. **Administrative and individual student records must be maintained by the program. All records must be maintained by the institution for at least five years. If an audit is in progress at the end of the fifth year, records must be maintained until the audit is complete. After five years disposal of records should be in accordance with EDGAR guidelines. (Federal and State policy)**
7. **Programs approved by ICCB to enter into subcontractual agreement(s) are responsible for all student, programmatic and fiscal records of the subcontracting agency relative to services provided with ICCB funds. (Federal and State policy)**
8. **The lead applicant is the fiscal agent for a consortium and is responsible for ensuring each consortium partner member submits required information and complies with all policies, procedures and regulations. (Federal and State policy)**

1. **All ICCB AEFL funded programs must submit student and program level reports on a quarterly basis.**

All programs must submit reports on a regular and ongoing basis throughout the fiscal year. These reports reflect program and student data needed to monitor program progress and performance. Programs should ensure that data is entered regularly. Data from a month prior should be entered by the 15th of the next month.

Student and program level reports are all DAISI generated reports and include the following:

- NRS Performance Report
- Enrollment Report
- Program Status Report
- Public Aid Master List (Quarterly and Cumulative)

- Electronic Data submission

For detailed information related to each of these Required Reports generated from the DAISI system, refer to the Explanatory Documents provided in the DAISI User Manual.

Reporting Requirement Table for Student Level Records

Report		
NRS Performance Report	Signed aggregate original and electronic submission	October 30, January 30, April 30, July 30
Enrollment Generation	Signed original for each funding source, except performance	January 30 and July 30
Program Status Report	Signed aggregate original and electronic submission	October 30, January 30, April 30, July 30
Public Aid Master List	Signed original for each quarter and a cumulative report should also be submitted for 2^{nd}, 3^{rd} and 4^{th} quarters	Quarter - October 30, January 30, April 30 and July 30 Cumulative – January 30, April 30 and July 30
Electronic Data Submission	Quarterly aggregate, electronic only	October 30, January 30, April 30, July 30

> **2. All ICCB AEFL funded programs must submit an annual budget, quarterly expenditure and final expenditure reports and other reports as necessary.**

All reports must be submitted in the format provided by ICCB. Report submission requirements come in the form of both electronic and signed paper copies. The ICCB disseminates instructions for submitting various reports through emails, listservs and other guidance.

Programs are responsible for ensuring that contact information, as required in the ICCB application, is current. Any personnel, email, phone number or address changes should be reported to the ICCB through a communication on institutional letter-head signed by the President/CEO. This information should be provided to the Associate Director for Program Compliance and the Provider Directory Update Form at the end of this section should be submitted along with the letter detailing the changes identified.

> **3. All ICCB AEFL funded programs must submit an annual audit <u>to the ICCB by October 15th of each year</u>.**

All providers subject to OMB Circular A133 must submit one paper and one electronic copy of the audit to the ICCB. Providers not subject to OMB Circular A133 must submit a grant specific audit according to the US Government Accounting Office, also known as the *Government Auditing Standards (The Yellow Book)*. One paper copy and one electronic copy should be provided to the attention of Adult Education, Program Compliance.

A grant specific audit will at a minimum include an audit opinion, a compliance report or an additional paragraph in the audit opinion which provides positive assurance of compliance with rules, regulations, state and federal law and the ICCB Adult Education and Family Literacy expenditure requirements; a balance sheet; a statement of revenues and expenses; and relevant notes to the financials.

The Adult Education and Family Literacy audit requirements can be found in section 12 of this manual and on the ICCB website at http://www.iccb.org/manuals.html .

For additional information related to the budgets, expenditure reports and the audit, refer to Section 3 - General Fiscal Policies. For questions specific to the audit please contact the Associate Director for Financial Compliance and Program Accountability, at the ICCB Springfield Office.

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4. **All ICCB AEFL funded programs must maintain an Equipment/Inventory Report. This report must include all non-consumable items purchased with federal funds and any items with a cost of $500 or more purchased with state funds.**

   a. **Programs must submit an annual report reflecting items with a single unit purchase price of $5,000 or more.**

A local Equipment/Inventory Report must be maintained for all items purchased with state or federal funds that have a useable life of more than one year and are non-consumables (i.e. don't list books, testing materials, office supplies, etc.). The local grantee should inventory all such items and submit the Equipment / Inventory report annually. The Equipment / Inventory report includes a listing of non-consumable items as defined in this section, including items that have a single purchase price value of more than $5,000 per unit. A sample of the Equipment/Inventory Report format can be found at the end of this section. The Equipment/Inventory Report should include the following:

- Items purchased and used with AEFL funds with a value of more than $5,000 per unit must be pre-approved and reported. For example, a computer monitor is one unit, the hard drive is another unit, and the printer is a separate unit. Pre-approval for any of these items would only be necessary if the single unit cost was $5,000 or more.
- Items must be used in conjunction with the ICCB Adult Education and Family Literacy program.
- Items are subject to the guidelines found in the Code of Federal Regulations, 34 CFR 80.32.
- Items must be shared, if possible, for use on other federal programs if purchased with federal funds.
- Items may not be used to generate revenue.

- Disposition of the items with a single unit cost of $5,000 or more must be pre-approved and recorded with the ICCB, following the guidelines in 34 CFR 80.32.
- Instructions for annual submission of the Equipment/Inventory Report of items with a single unit cost of $5,000 or more will accompany the instructions for end of year expenditure reports.
- A control system must be used to ensure adequate safeguards to prevent loss, damage, or theft of the property. Any loss, damage or theft shall be investigated and fully documented to the ICCB.

The Equipment/Inventory Report should indicate the source(s) of funds used to purchase items. The items listed should be non-consumables and have a useable life of more than one year. Report details should include:

- *Item Number*: The serial number or a local cataloguing or reference number. All items meeting the criteria to be included in the Equipment/Inventory Report purchased with ICCB AEFL grant funds must be clearly marked as such.
- *Item Description*: The description of the item.
- *Item cost $5,000 or more*: Indicate "Yes" for any item costing $5,000 or more per unit.
- *Acquisition Date*: The date of purchase.
- *Purchase Price:* The price agreed upon for the item on the date purchased.
- *Source(s) of funds used to pay for the item*: Indicate whether Federal AEFL (Federal Basic or Federal EL/Civics), State AEFL (State Basic, State Public Assistance or State Performance) or Institutional/Other funds (if funds were combined to purchase item).
- *Cost paid with ICCB funds*: The amount of ICCB AEFL funds used to purchase the item.
- *Location:* The current location of the item (i.e., street address, bldg. name).
- *Date of Disposal:* List the date of disposal, if it occurred in the current fiscal year. If disposition occurred prior to the current fiscal year, the item should not be listed on the report. Five years after disposal item may be deleted from Equipment/Inventory Report.
- *Method of Disposal:* Method of Disposal should follow the program's institutional method of disposal except in cases where the unit value is $5,000 or greater. In those instances, the program must contact ICCB prior to disposal of the equipment.

This report must be submitted by October 15. This report is online submission only; no hard copy is required.

Reporting Requirement Table for Fiscal Records

Report	Submission	Due Date
Quarterly Expenditure Reports	Submit online through ICCB website **and mail signed original**	Dates specified by ICCB
Final Expenditure Report	Submit online through ICCB website **and mail signed original**	*October 15 **Refund, if applicable due October 15
Budget	Signed original for each funding	August 30 (dependent upon

	source	receipt of federal and state allocation)
Annual Audit	Signed original from auditing firm	State – October 15 ***Federal
Equipment/Inventory Report (Single unit value of $5,000 or more)	Submit online	October 15
AEFL Certification of Units Report	Signed original	October 15

*The October 15 submission consists of a cumulative submission for the fiscal year.

**If the audit does not match the Final Expenditure Report, a new report must be resubmitted to reflect changes.

***The Federal audit of Adult Education and Family Literacy funds shall be completed and submitted within the earlier of 30 days after receipt of the auditor's report (s), or nine months after the end of the audit period which runs from July 1 to June 30.

5.   All programs must submit an AEFL Certification of Units Report annually.

The AEFL Certification of Units Report is a one page report used as a basis for headcount and unit information utilized for the ICCB AEFL funding formula. This report reflects the activity of claimable students funded with State Basic, State Public Assistance and/or Federal Basic funding sources.

The report must be submitted by October 15 and signed by the Chief Executive Officer and the Chief Financial Officer.

6.   Administrative and individual student records must be maintained by the program. All records must be maintained by the institution for at least five years. If an audit is in progress at the end of the fifth year, records must be maintained until the audit is complete. After five years disposal of records should be in accordance with EDGAR guidelines.

Specific administrative and student records must be maintained by the program. The most recent three years must be maintained in paper copy and the final two years may be maintained electronically. All record disposal must be in accordance with EDGAR guidelines.

The following administrative records must be maintained by the institution for at least five years and readily accessible by the program administrator:

- Copy of signed Area Plan
- Copy of signed application, contract, budget(s) and audit(s)

- Copy of Request for Federal Payment Forms and expenditure reports
- Bids on all contracts for purchase of supplies, materials or work involving an expenditure in excess of $10,000
- Copy of Equipment/Inventory Report
- Copy of all ICCB AEFL approved courses, with their intensity and duration, description, outline, syllabus and/or task completion list
- Copy of any new (current fiscal year) approved courses and/or sites
- Copy of all sub-contractual agreements with appropriate signatures
- Copy of all partnership agreements with appropriate signatures
- Copy of the Department of Human Services (DHS) contract, if Public Assistance funding is received
- Copy of Workforce Investment Act (WIA) Memorandums of Understanding (MOU), as it pertains to the Adult Education Program
- Master list of names of instructors, class assignments and/or work schedules and job descriptions of all personnel funded in part or totally by ICCB AEFL funds
- Master list of names of full- and part-time support personnel, work schedules and job descriptions of all personnel funded in part or totally by ICCB AEFL funds totality
- Master list of names of all program administrative personnel, work schedules and job descriptions of personnel funded in part or totally by ICCB AEFL funds
- Copy of signed DAISI Enrollment Report(s)
- Copy of signed DAISI Program Status Report(s)
- Copy of signed DAISI Performance Report(s)
- Copy of final DAISI Student Master List
- Copies of each quarter's DAISI Public Assistance Master List
- Copies of signed instructor's attendance records
- Copies of signed Acknowledgement of Confidentiality and Appropriate use of DAISI for all persons with access to the DAISI system
- Copy of Professional Development Plan for all ICCB AEFL funded staff
- Copy of records of Professional Development activities attended by instructional staff to ensure minimum professional development requirements have been met
- Copies of records outlining provision of childcare and transportation services, if appropriate
- Copies of records required for the provision of services addressing special learning needs of students
- Copies of required submissions relating to Data Quality checklists
- Copies of required responses to Monitoring/Evaluation Findings
- Copies of the annual budget, Expenditure Reports and annual audit
- Copy of the annual ADA Report
- Copy of Adult Education and Family Literacy Certification of Units Report
- Other information as requested by ICCB

The following student records must be maintained by the institution for at least five years and readily accessible by the program administrator:

- Documentation of any placement test given to the student (if applicable)
- All ICCB approved assessment test results with the test answer sheet for each test administered including the following:
    - Student name
    - Last four digits of the social security number *or* other unique identification number
    - Date the test was administered and the score.
    - For BEST Plus, only the individual student score sheet should be included
- Student Intake form with Goals Record signed
- Verification of Public Aid status, if applicable. Examples of how this requirement can be met include the following:
    - Copy of the student's Public Aid card in the individual student file
    - A hard copy or electronic record from a local DHS office outlining students served in the program and their public aid status
- Additional examples of the validation of student progress may include the following:
    - Achievement Record
    - Official passing GED® test scores
    - Completion of secondary credentials
    - Instructors' written, signed and dated verification of progress listing skills gained
    - Passing grades
    - Documented competencies
    - Classroom tests or exercises that are dated and demonstrate progress
- Formal documentation of separation from high school for students ages 16-17, if appropriate
- ICCB Test-Score Transfer Letter (if applicable)

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7. Programs approved by ICCB to enter into subcontractual agreement(s) are responsible for all student, programmatic and fiscal records of the subcontracting agency relative to services provided with ICCB funds.

Successful applicants may enter into a subcontracting agreement with another eligible entity, which is not already funded by the ICCB, to provide additional services to support the adult education population served. However, all program responsibilities are to be retained by the applicant to ensure compliance with the terms and conditions of the grant. **The ICCB reserves the right to review and approve all subcontracting agreements.**

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8. The lead applicant is the fiscal agent for a consortium and is responsible for ensuring each consortium partner member submits required information and complies with all policies, procedures and regulations.

A consortium of eligible applicants applying for funding is allowable; however an individual eligible applicant is not allowed to apply as part of a consortium and as an individual eligible applicant during a grant process.

The lead applicant in a consortium is the fiscal agent and is responsible for ensuring each consortium partner member submits required information and complies with all policies, procedures and regulations.

Each consortium partner member must have clear responsibilities and a description of services to be provided by each partner as outlined in the Request for Proposal (RFP) must be maintained. **All consortium partner members are subject to ICCB approval.**

For Additional Information
Refer to the Following Items that Follow this Section • Acknowledgement of Confidentiality and Appropriate use of DAISI • Equipment/Inventory Report • Provider Directory Update Form **Also See** • FY14 AEFL Provider Manual – General Fiscal Policies (Section 3) • FY14 AEFL Provider Manual – Student Intake (Section 4) • FY14 AEFL Provider Manual – AEFL Assessment (Section 5)

Acknowledgement of Confidentiality and Appropriate Use of
Data and Information System - Illinois for Adult Education and Family Literacy

Illinois Community College Board
401 East Capital Avenue
Springfield, IL 62701-1711

Authorized users are required to preserve the confidentially of all DAISI records and information.
Authorized users must adhere to the following standards of appropriate use.

1. All users granted access to the DAISI system must comply with all requirements of the Family and Educational Privacy Act (FERPA). Additional information related to FERPA can be found at the US Department of Education website.
2. Unauthorized use or access to DAISI records and information is prohibited.
3. Access to DAISI may only be used for work associated with the Adult Education and Family Literacy program.
4. Users are prohibited from exposing any DAISI records or reports, except in the execution of normal duties and responsibilities.
5. Users are prohibited from sharing information revealing student level personal information with unauthorized personnel.
6. Users agree to maintain log in and password security. Disclosure or sharing of access information is prohibited.
7. Users agree to maintain adequate security precautions for access, use, retention, and disposal of student data and agree to exit DAISI before leaving computer unattended.
8. Users will immediately report any known or suspected breach of security to the program administrator and to the Associate Director for Data System Support at the Illinois Community College Board.
9. Users are prohibited from including false, inaccurate, or misleading data in any records or reports.
10. Users are prohibited from personally benefiting or allowing others to benefit from knowledge of any confidential information gained through DAISI.
11. Program Administrators will ensure that as soon as DAISI access is no longer needed or warranted for an individual that any accounts granting access rights to that individual will be made inactive.
12. Violation of security precautions to protect confidential information may be a crime, and may be subject to appropriate disciplinary action, legal action, and/or criminal prosecution.
13. The prohibitions, rules and regulations included in this acknowledgement are meant to supplement and not supplant any existing rules and regulations. Any additional rules and requirements of the Adult Education Provider's institution must also be followed.

I hereby acknowledge that I have read, understand, and agree to the terms of the *Acknowledgement of Confidentiality and Appropriate Use of the Data and Information System – Illinois (DAISI) Data system.*

_____   _____
Name   Title

_____   _____
Signature   Date

Item Number	Item Description	Item Cost $5,000 or More	Acquisition Date	Purchase Price	Source(s) of Funds Used to Pay for the Item	Cost Paid with ICCB Funds	Location	Date of Disposal	Method of Disposal	Amount of time since disposal (Calculated field)

Illinois Community College Board - Adult Education and Family Literacy Equipment/Inventory Report

		CATEGORY DESCRIPTIONS	
A	**Item Number**	*The serial number or a local cataloguing or reference number. All items meeting the criteria to be included in the Equipment/Inventory Report purchased with ICCB AEFL grant funds must be clearly marked as such.*	
B	**Item Description**	*The description of the item.*	
C	**Item Cost $5,000 or More**	*Indicate "Yes" for any item costing $5000 or more per unit.*	
D	**Acquisition Date**	*The date of purchase.*	
E	**Purchase Price**	*The price agreed upon for the item on the date purchased.*	
F	**Source(s) of Funds Used to Pay for the Item**	*Indicate whether Federal AEFL (Federal Basic or Federal EL/Civics), State AEFL (State Basic, State Public Assistance or State Performance) or Institutional/Other funds (if funds were combined to purchase item).*	
G	**Amount of ICCB AEFL Funds Used to Pay for the Item**	*The amount of ICCB AEFL funds used to purchase the item.*	
H	**Location**	*The current location of the item (i.e., street address, bldg. name).*	
I	**Date of Disposal**	*List the date of disposal, if it occurred in the current fiscal year. If disposition occurred prior to the current fiscal year, the item should not be listed on the report. Five years after disposal item may be deleted from Equipment Inventory Report.*	
J	**Method of Disposal**	*Method of Disposal should follow the program's institutional method of disposal except in cases where the unit value is $5,000 or greater. In those instances, the program must contact ICCB prior to disposal of the equipment.*	

ICCB AEFL Provider Directory Update Form

Program Name:

Chief Executive Director

Name:

Title:

Address:

City, State, Zip:

Telephone:

FAX:

E-Mail:

Project Administrator

Name:

Title:

Address:

City, State, Zip:

Telephone:

FAX:

E-Mail:

Chief Fiscal Officer

Name:

Title:

Address:

City, State, Zip:

Telephone:

FAX:

E-Mail:

Project Coordinator

Name:

Title:

Address:

City, State, Zip:

Telephone:

FAX:

E-Mail:

To update your contact information on the ICCB Provider Directory, the following steps should be taken:

1. Submit a letter on Program Letterhead, signed by the President/CEO, to inform the ICCB <u>for each update</u> to the Provider Directory that is needed.
2. Use the provided template to identify the name, title and contact information for the 4 specified positions listed on the directory. Please note that these will be the *only* individuals included on the ICCB email lists.
3. Mail the original signed letter and updated Directory entry to:

> **ICCB**
> **Associate Director AEFL Program Compliance**
> **401 E. Capitol Ave.**
> **Springfield, IL 62701**

Section 10 – Professional Development

<table>
<tr><td align="center">Major Policy Points</td></tr>
</table>

1. Programs are required to develop a professional development plan that outlines the requirements for all staff working in Adult Education. (State Policy)
    a. Programs are strongly encouraged to develop specialists in the areas of assessment, math, reading, writing, and transitions. (State Policy)
2. Programs are required to evaluate the transference of learning from professional development into practice. (State Policy)
3. All instructional staff is required to complete a minimum of 8 hours of professional development. (Federal and State Policy)
4. All new instructors are required to complete ICCB New Teacher Orientation (NTO) within six months of hire. (State Policy)
5. Program staff must meet minimum qualifications for Adult Education. (State Policy)
6. Administrators are required to attend state sponsored administrator training and meetings. (State Policy)
7. Programs must meet in state and out of state travel requirements. (State Policy)

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1. **Programs are required to develop a professional development plan that outlines the requirements for all staff working in Adult Education.**
    a. **Programs are strongly encouraged to develop specialists in the areas of assessment, math, reading, writing, and transitions.**

To ensure staff members meet professional development requirements, an individualized professional development plan should be developed that outlines the goals and priorities of the individual, program and ICCB Adult Education and Family Literacy. The Professional Development Planner is available to assist with this process. A Professional Development Planner and other tools, developed by the Service Center Network, are helpful in assessing the need of individual instructors. These materials may be found at http://www.iccb.org/prodevelopment.html.

Each program is required to submit a Professional Development plan for the year that is inclusive of all staff. The Annual Professional Development Plan should accompany the Post-allocation budgets and narratives and is submitted to the Associate Director for Program Compliance – 401 E. Capitol Ave., Springfield, IL 62701.

A well trained staff is necessary for effective programming and a well developed professional development plan is essential to ensuring staff have the skills necessary to perform their jobs. A professional development plan must be:
- Program wide
- Inclusive of all staff members

- Submitted to ICCB each fiscal year

Components of the plan include:
- Needs Assessment
    - What data was used in determining the need?
    - How is evaluation data from the previous year used in determining need?
    - How was staff included in the needs assessment process?
    - How were staff needs assessed?
- Activities and Priorities
    - How were activities selected to meet identified needs?
    - What priorities will the professional development plan focus on?
- Dissemination
    - How is the information in the training shared/disseminated to other staff members?
- Evaluation
    - What process is in place to document the transference of learning?
    - How is evaluation data used to determine whether priorities were met?

The program administrator is responsible for ensuring activities a staff member participates in are appropriate professional development and lead to accomplishments of individual and program priorities. A Professional Development flowchart has been developed to aid an administrator in this process and can be found at the end of this section.

Local Adult Education and Family Literacy staff may be reimbursed for postsecondary credit up to a maximum of two courses per fiscal year as long as the credit pertains to the field of adult education or a related subject that will benefit the provider's adult education students. The maximum allowable cost is the cost per credit hour at the nearest public university (to the provider), per semester or quarter per staff member. Mileage, lodging and per diem are not allowable costs for staff to pursue university credit. Activities that provide optional credit and that are sponsored by the ICCB or the ICCB AEFL funded Service Center Network are, however, allowable professional development costs. The maximum of two courses per year is also applicable to the optional credit format.

Records of course descriptions and satisfactory completion of the university credit should be maintained in the staff member's personnel file.

2. Programs are required to evaluate the transference of learning from professional development into practice.

The successful development of a professional development plan requires evaluation and ongoing monitoring to ensure the plan is effective. Programs should ensure that professional development activities are used to help the program and program staff more effectively recruit, teach, retain and transition students through the program.

In order for professional development to be effective, the program should have a strategic approach to ensuring that professional development is transferred into classroom instruction. Professional Development plans should be examined not just for the number of professional development hours and how participants rate the various training sessions, but on the professional development's impact on program and student success.

3. All instructional staff is required to complete a minimum of 8 hours of professional development.

All instructors active during the fiscal year, whether full or part time are expected to meet the professional development requirement. Programs should make every effort to ensure all instructors receive the necessary professional development. The state expects that at a minimum 90% of instructors will meet the minimum professional development requirement during the fiscal year.

Eight hours is a minimum requirement. Additional professional development may be necessary and required by the program or institution for those specializing in specific areas.

Individuals are responsible for reporting their professional development to the program and are strongly encouraged to keep a file tracking their activities. This file should include certificates of completion and other documents which show completion of professional development. Programs are responsible and required to utilize DAISI in a timely manner to report the professional development activity of individuals within the program.

4. All new instructors are required to complete ICCB New Teacher Orientation (NTO) within six months of hire.

New Teacher Orientation (NTO) does not count towards the eight hour minimum for professional development. Programs may create a local NTO; however it may not supersede completion of the ICCB New Teacher Orientation. Contact your Service Center for more information.

Instructors who move between programs are not required to take the ICCB NTO if they have documentation that they have completed NTO within the last five years. However, the program may require additional professional development and specific orientation training for their local program.

Instructors employed by more than one program need only complete NTO once. All programs employing the instructor must maintain documentation of completion of NTO. It is preferred that new instructors complete the core training components as a pre-service activity.

5. Program staff must meet minimum qualifications for Adult Education.

The professional standards for ICCB are as follows:

Minimum Qualifications for Instructors
- BA or BS degree in education or related field (excluding VOC-only Instructors)

Preferred Qualifications for Instructors
- Three years experience in teaching ABE, GED®, Vocational, or ESL
- MA in Adult Education, ESL, or related field
- Training or coursework in teaching reading and math
- Experience with disadvantaged individuals

- Demonstration of proficiency in oral and written English
- Teacher certification
- Completion of at least three instructional workshops in subject area being taught or other relevant topics to the instructional assignment
- Demonstration of competency in subject area development

Educational Counselors and Support Service Coordinators
- **Preferred Qualifications**
  - o BA or BS degree in educational counseling or related field
  - o Counseling experience
  - o Extensive knowledge of interview techniques
  - o Experience working with disadvantaged individuals
  - o Bilingual skills, including cultural sensitivity when working with culturally and linguistically diverse populations

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6. Administrators are required to attend state sponsored administrator training and meetings.

The Illinois Community College Board requires adult education administrators to attend statewide meetings and trainings. These meetings are designed to assist providers in the operation of their programs, and to ensure that administrators receive updates on federal and state information. Trainings may be held in person (statewide or regional), online, or via teleconferencing.

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7. Programs must meet in state and out of state travel requirements.

Professional Development is essential in ensuring that staff has access to high quality training. In state and out of state travel related to Adult Education is permissible with both state and federal resources. It is important that a program has a well developed process for determining who will attend professional development activities at the national, state, regional and local level. Program administrators must ensure that the budget will support travel costs.

International Travel with Adult Education and Family Literacy funds (partial or full) **requires prior approval** from the Illinois Community College Board Adult Education Division. The travel must be adult education related. A letter detailing the travel location, the reason for the travel, the dates of the travel and the approximate costs should be submitted to the ICCB for approval.

For Additional Information

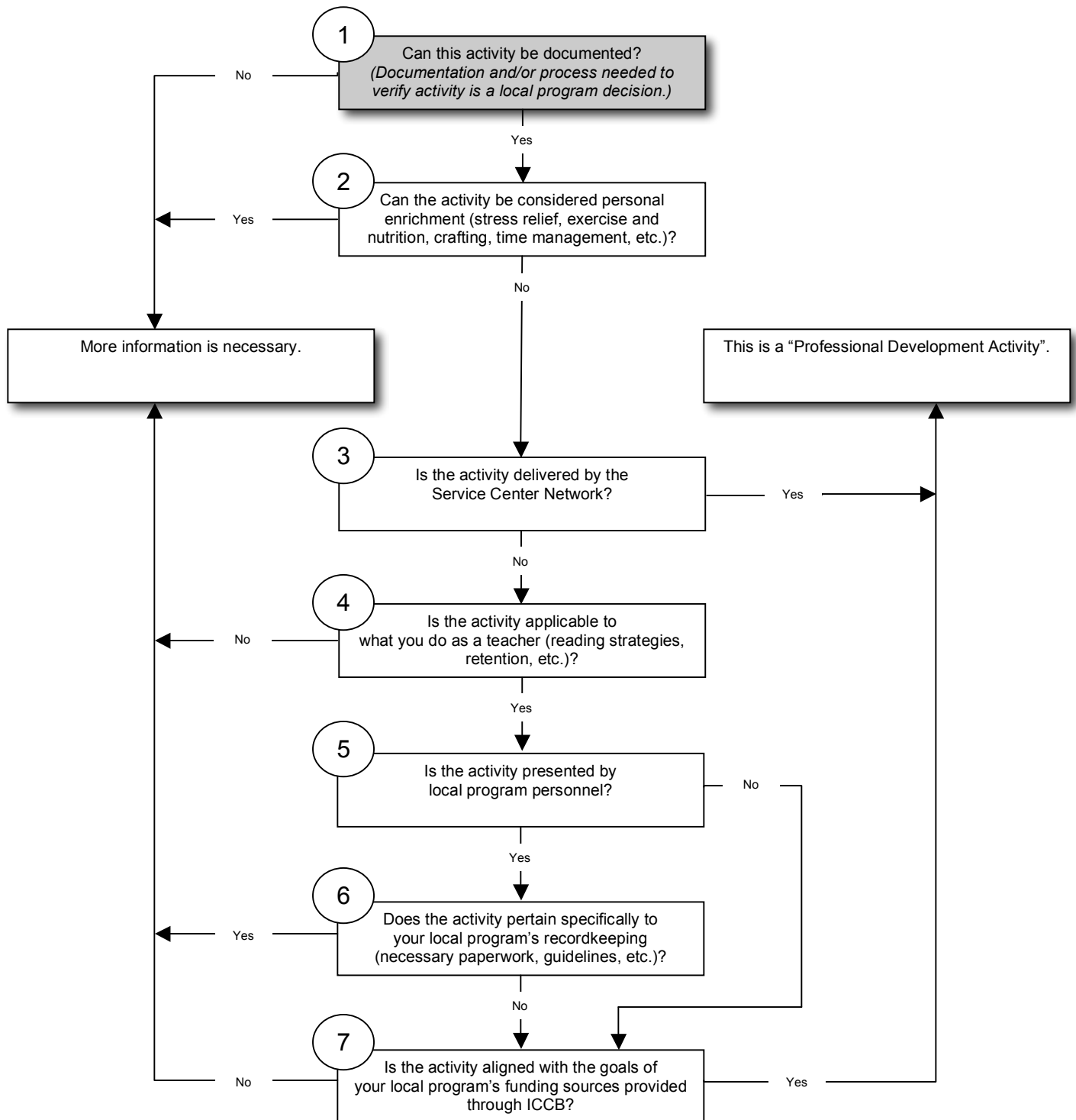**Refer to the Following Items that Follow this Section**
- Professional Development Flowchart Activity Flowchart for Instructional Staff
- Using the Professional Development Activity Flowchart

Also See
- FY14 AEFL Provider Manual – General Fiscal Policies (Section 3)
- Professional Development Planner (http://www.iccb.org/prodevelopment.html)

Professional Development Activity Flowchart
For Instructional Staff

Professional Development includes activities that contribute to student success. Ultimately, the local program administrator is responsible for deciding what qualifies as Professional Development as referred to in the local program's program improvement plan and its RFP. The following flowchart provides some guidelines for deciding whether an activity qualifies as a "Professional Development Activity". See narrative for further explanation and examples.

1 — Can this activity be documented? *(Documentation and/or process needed to verify activity is a local program decision.)* — No

Yes

2 — Can the activity be considered personal enrichment (stress relief, exercise and nutrition, crafting, time management, etc.)? — Yes

No

More information is necessary.

This is a "Professional Development Activity".

3 — Is the activity delivered by the Service Center Network? — Yes

No

4 — Is the activity applicable to what you do as a teacher (reading strategies, retention, etc.)? — No

Yes

5 — Is the activity presented by local program personnel? — No

Yes

6 — Does the activity pertain specifically to your local program's recordkeeping (necessary paperwork, guidelines, etc.)? — Yes

No

7 — Is the activity aligned with the goals of your local program's funding sources provided through ICCB? — No / Yes

Using the Professional Development Activity Flowchart

Professional Development includes activities that contribute to student success. Ultimately, the local program administrator is responsible for deciding what qualifies as Professional Development as referred to in the local program's program improvement plan and its RFP. The attached flowchart provides some guidelines for deciding whether an activity qualifies as a "Professional Development Activity".

① *Documentation*
First, the flowchart asks, "Can the activity be documented?" Programs are responsible for maintaining records of instructor participation in "Professional Development Activities". Each program determines what constitutes acceptable documentation. For instance, depending upon the type of activity, some programs may require a copy of the agenda or handouts (when available). Other programs may require a short written report of the concepts covered in the activity. If the activity cannot be documented, more information is needed before the local program director accepts the activity as a "Professional Development Activity".

② *Personal Enrichment*
The next question is, "Can the activity be considered personal enrichment?" Workshops and other trainings are available regarding a variety of topics. "Professional Development Activities" do not usually include those regarding topics such as crafting, stress management, exercise, investing, etc. There may be instances, however, when it does. Therefore, if an activity falls in one of these categories, more information is needed before the local program director accepts the activity as a "Professional Development Activity".

③ *Service Center Activities*
Next, the flowchart asks, "Is the activity delivered by the Service Center Network?" Illinois Service Centers deliver "Professional Development Activities". If the activity is delivered by a Service Center, no additional information is necessary.

④ *Teaching*
Next, the flowchart asks, "Is the activity applicable to what you do as a teacher?" A "Professional Development Activity" should be directly applicable to **what an instructor does in the classroom to promote student success**. A workshop on Reading Strategies would be applicable for an ABE/GED teacher. It may or may not be applicable to an ESL teacher. Likewise, a workshop on Spanish grammar may be applicable to an ESL teacher, but may or may not be applicable to a GED teacher. If there is not a direct link from the activity to the classroom, more information is needed before the local program director accepts the activity as a "Professional Development Activity".

⑤ & ⑥ *Local Program Personnel, Policy, and Paperwork*
The next two questions, "Is the activity presented by local program personnel?" and "Does the activity pertain specifically to your local program's recordkeeping?" are intended to address staff meetings and other local events. Many of those activities (such as a new teacher orientation covering adult learning theory, reading strategies, and group work) have a direct link to **what an instructor does in the classroom to promote student success.** Those activities regarding specific programmatic issues (such as office procedures and logistics) require more information before the local program director accepts the activity as a "Professional Development Activity".

⑦ *Adult Education and Family Literacy Grant*
The last question, "Is the activity aligned with the goals of your local program's funding sources provided through ICCB?" is a final reminder that the "Professional Development" includes only those activities that contribute to student success via the instructional services agreed upon in the RFP. For instance, a teacher may attend a workshop regarding the recruitment and retention of CNA students. This workshop may have a direct link to what the instructor does in the classroom to promote student success, however, if the program is not funded to provide this vocational training, the activity is not aligned with the goals of the local program's funding sources through ICCB and more information is necessary before the local program director accepts the activity as a "Professional Development Activity".

Flowchart Examples

<u>University Class</u>
Taking a university class is one option that instructional staff may choose as a professional development activity. Since the over-arching goal of professional development for instructional staff is to improve teaching effectiveness and thereby contribute to improved student success, any class that is attempted must be geared to that goal.

As an example, consider an instructor who enrolls at the local university in an Art History course. Using the flow chart, consider the questions in each of the seven numbered boxes:

① *Can the activity be documented?* Yes.
② *Can the activity be considered personal enrichment?* Perhaps. Art History, for example, may be of personal interest to the instructor and may be part of a transfer plan that the instructor is considering for class use. In that case, more information is needed in order to determine if this is a "professional development activity". If the activity is <u>not</u> for personal enrichment, then the next question is:
③ *Is the activity delivered by the Service Center Network?* No. Go to Step 4.
④ *Is the activity related to other adult educator in similar adult education programs?* Answer is probably no. Again, more information is needed.

<u>Regional Workshop</u>
Adult Educators have a variety of workshops available from which to choose. A variety of individuals, organizations, and institutions deliver these workshops. For example, a Regional Office of Education may hold an Institute that would include a session on improving student test scores and another on meth labs. Using the flowchart, the session on meth labs would not qualify, while the one on improving test scores might.

① *Can this activity be documented?* Yes, there is a sign-in sheet and various handouts.
② *Can the activity be considered personal enrichment?* No.
③ *Is the activity delivered by the Service Center Network?* No.
④ *Is the activity applicable to what you do as a teacher*? Probably not for the session on meth labs. More information is necessary. Regarding the session on test scores, continue to question ⑤.
⑤ *Is the activity presented by local program personnel?* No. Continue to question ⑦.
⑦ *Is the activity aligned with the goals of your local program's funding sources provided through ICCB?* Probably. Thus, the session on improving test scores could be considered a "Professional Development Activity".

<u>Staff Meeting</u>
Staff meetings are common. Some of these meetings may qualify as a "Professional Development Activity". However, some may not. Consider the following example:

The teachers of a program participate in a 3-hour staff meeting led by the local program administrator. The agenda for the meeting includes a 2-hour review of record keeping – forms, procedures, etc. for things like travel, grading, and attendance. One hour of the agenda is devoted to a discussion of classroom strategies. A teacher has submitted this meeting for credit as a "Professional Development Activity".

① *Can this activity be documented?* Yes, there are handouts, forms, and a sign-in sheet.
② *Can the activity be considered personal enrichment?* No.
③ *Is the activity delivered by the Service Center Network?* No.
④ *Is the activity applicable to what you do as a teacher*? Yes.
⑤ *Is the activity presented by local program personnel?* Yes. Stop. More information is needed. For example, if the review was specific to local programmatic issues, this activity probably does not count. However, since part of the meeting included a discussion of classroom strategies, the administrator may decide that the discussion portion of the meeting can be considered a "Professional Development Activity".

Action Research
Participating in action research is another activity an instructor may choose for professional development.

For example, perhaps a program plans to have teachers use reading instruction strategies with ABE students to determine if student outcomes can be improved. First, teachers set a personal professional development goal to improve his or her reading instruction. Then, an in-service introduces a few strategies. Next, teachers use these strategies in the classroom and keep a log of his or her reflections. The teachers forward the logs to a coordinator who provides feedback and support as necessary. Finally, the program compares student learning gains with those of the previous fiscal year.

① *Can the activity be documented?* Yes. There will be attendance at trainings, written personal professional development plans, teachers' logs and a report at the end documenting the learner gains and comparisons.
② *Can the activity be considered personal enrichment?* No
③ *Is the activity delivered by the Service Center Network?* No
④ *Is the activity applicable to what you do as a teacher?* Yes. The activity is directly connected to classroom instruction.
⑤ *Is the activity presented by local program personnel?* Yes. The in-services were given by the program coordinator, and all of the other work of the project is being done by program staff.
⑥ *Does the activity pertain specifically to your local program's recordkeeping?* No
⑦ *Is the activity aligned with the goals of your local program's funding sources provided through ICCB?* Yes. The program planned for this activity and budgeted for it using ICCB funds allocated for professional development.

Section 11 – Program Monitoring

Major Policy Points
1. Programs are monitored throughout the year through program visits, the Desktop Monitoring Tool, fiscal and compliance monitoring, and other onsite monitoring as conducted by the ICCB. (Federal and State Policy)
2. Programs must adhere to policies outlined in the ICCB AEFL policy manual and to the ICCB AEFL grant agreement. (Federal and State Policy)
3. Programs failing to meet set targets for the National Reporting System are subject to being placed on a probation or watch List. (State Policy)

1. Programs are monitored throughout the year through program visits, the Desktop Monitoring Tool, fiscal and compliance monitoring, and other onsite monitoring as conducted by the ICCB.

ICCB funded Adult Education and Family Literacy Programs are monitored:
- for program improvement;
- to determine the degree to which the programs comply with ICCB, state and federal policies and guidelines;
- for information to be used in local program planning and
- to meet federal requirements.

During the course of the fiscal year all programs are reviewed through a combination of program visits by ICCB staff, the state's Desktop Monitoring Tool and approved data collection system and other contact with program staff by the ICCB.

Fiscal and compliance monitoring is conducted throughout the year to determine compliance with federal and state requirements. Programs will be contacted to schedule the review. Reviews may be onsite and or may be handled through online submissions. Specific information on fiscal and compliance monitoring will be provided to programs in advance of the monitoring review.

2. Programs must adhere to policies outlined in the ICCB AEFL policy manual and to the ICCB AEFL grant agreement.

The expectations are that programs will strive to meet all the policies and guidelines as they are outlined in the policy manual and grant agreement. Any changes to these policies will be communicated through Adult Education Provider and Administrator listservs and/or posted to the ICCB website at www.iccb.org.

> **3. Programs failing to meet set targets for the National Reporting System are subject to being placed on a probation or watch list.**

Beginning in FY2015, a formal probation and watch list will be instituted. These lists are designed to identify and assist struggling programs to improve both state and local performance. However, the watch/probation process does not replace other expectations. No part of the watch/probation process is intended to replace or supplant existing rules and requirements.

The probation and watch lists will be based on a program's performance in meeting the statewide targets for the Federal National Reporting System. The initial phase of the watch/probation process will look specifically at how programs perform related to the rolled-up (average) state target for Educational Functioning Level (EFL) gains. The state target is established at the beginning of each fiscal year and is determined by negotiations between ICCB and the *Office of Career, Technical and Adult Education (OCTAE).* As a part of that process, watch and probation benchmarks will be adjusted.

When examining program performance, it is expected that, at a minimum, programs will meet the state targets for level completion rates for EFLs. The watch/probation process will specifically look at the number of NRS reportable students and of that number, the overall percentage of students obtaining a level gain as determined by post-testing conducted within test publisher guidelines. Students pre-testing at and classified as ASE High students are excluded from this calculation.

The watch/probation process begins in FY2015 and will be based on FY2014 outcomes. The process is as follows:
1. Programs submit all FY2014 End of Year (EOY) DAISI reports.
2. After EOY submissions, programs will complete the verification process to ensure that data reflected in end of year reports is accurate and reflects program performance.
3. After verification, the overall level completion rates achieved by all programs in the state will be reviewed.

After verification and upon review of overall level completion rates, the following will occur:
1. Programs failing to meet the state's EFL rolled-up target of 37% will be placed on either a watch or probation list
   - Programs performing below 32% will be placed on the probation list
   - Programs performing between 32% - 36.99% will be placed on a watch list
2. A formal letter placing the program on the watch or probation list will be sent to the President/CEO of the institution and the Program Director.
3. Programs placed on the probation list will develop a corrective action plan to outline methods that will be used to improve performance.
   - Programs failing to show marked improvement after one year on the probation list will remain under a corrective action plan.
   - Programs that remain on the probation list for multiple years may experience reductions in funding. Continued failure to meet state targets may result in the program being defunded.
   - Programs on probation making marked improvement and meeting state targets may, based on performance, be moved to the watch list or removed from the watch and probation

process entirely. Once removed from the probation list, the corrective action plan will no longer be required.

4. Programs placed on the watch list will not be required to develop a corrective action plan. However, ICCB will closely monitor these programs to ensure state targets are met.
   - Programs failing to show improvement and reach the state target after one year on the watch list will either remain on the list for a second year or be moved to the probation list (if performance warrants).
   - Programs on the watch list for multiple fiscal years without improvement may be moved to the probation list.
   - Programs on either the watch or probation list will be assisted and monitored through contact with ICCB staff.
   - Programs on the watch list making improvement and meeting the state target will be removed from the list.

In the future, additional National Reporting System measures may be included in the watch/probation process.   These may include the following:
   - Entered employment
   - Retained employment
   - Earned GED® credential or High School Diploma
   - Entry into Postsecondary Education

For Additional Information
Refer to the Following Items that Follow this Section ● National Reporting System – FY14 Illinois Targets **Also See** ● FY14 AEFL Provider Manual – Assessment (Section 5) ● FY14 AEFL Provider Manual – National Reporting System (Section 8)

National Reporting System
FY2014 Illinois Targets

MEASURE	FY14 Targets
Educational Functioning Levels	
ABE Beginning Literacy	45%
ABE Beginning Basic Education	43%
ABE Intermediate Low	38%
ABE Intermediate High	33%
ASE Low	37%
ESL Beginning Literacy	40%
ESL Low Beginning	40%
ESL High Beginning	43%
ESL Intermediate Low	40%
ESL Intermediate High	33%
ESL Advanced	19%
CORE MEASURES	
Entered Employment	32%
Retained Employment	60%
Obtained Secondary Diploma or GED	57%
Entered Postsecondary Education or Training	32%

Section 12 – Audit Requirements

ILLINOIS COMMUNITY COLLEGE BOARD

ADULT EDUCATION AND FAMILY LITERACY

AUDIT REQUIREMENTS

JUNE 2013

Table of Contents

A. GENERAL AUDIT REQUIREMENTS FOR ADULT EDUCATION AND FAMILY LITERACY

- All providers will be subject to the same basic audit standards; however, each category of provider will be subject to separate audit guidelines.

- Financial audits will focus on eligibility of expenditures and compliance with certain specific restrictions on expenditures, such as:

  o A minimum of 45% each of total State Basic, Public Assistance, Federal Basic, and EL/Civics funds must be spent on Instruction.
  o A maximum of 15% each of State Basic and Public Assistance grant funds may be expended for General Administration expenses.
  o Providers are limited to the negotiated percentage for Federal Basic and EL/Civics grants that may be used for Program Support, as negotiated during the post-allocation budgeting process.

- The audit period will be from July 1 to June 30.

- An annual audit must be made by an independent auditor in accordance with Government Auditing Standards.

- One paper and one electronic copy of the annual State Grant Compliance audit must be submitted to the ICCB by October 15 following the end of the grant period.   Additionally, one paper copy and one electronic copy of the A-133 federal audit must be completed and submitted within the earlier of 30 days after receipt of the auditor's report(s), or nine months after the end of the audit period.   However, the ICCB strongly encourages early completion and submission.   Audits should be sent to Associate Director for Compliance, Adult Education and Literacy, Illinois Community College Board, 401 East Capitol Ave., Springfield, IL   62701.   Electronic Copies should be forwarded to: aeflprogramcompliance@iccb.org

- All entities subject to federal A-133 audit requirements must have an audit conducted annually in accordance with the Single Audit Act Amendment of 1996 and the Office of Management and Budget (OMB) Circular A-133.

- Audit requirements for community colleges will also be included in the ICCB Fiscal Management Manual.

- The State Grant Compliance audit must be presented on the accrual basis of accounting. Further, this basis of accounting must be shown in the notes to the State Grant Compliance financial statements.

- The separate funding streams of federal dollars must be separately identified in the Schedule of Federal Financial Assistance, even though they share the same CFDA number (i.e., Federal Basic, EL/Civics, and Leadership, where applicable).

- Only Adult Education and Family Literacy grant funds may be shown in the State Grant Compliance section of the audit. Inclusion of other funds will distort the actual use of the state funds for compliance purposes.

B. SPECIFIC REQUIREMENTS - ICCB STATE GRANT COMPLIANCE SECTION

The ICCB distributes several grants to Adult Education and Family Literacy providers on a periodic basis throughout the fiscal year. In order to facilitate the audit of each community college provider, the ICCB provides to each of the community college Chief Financial Officer a summary of ICCB grants distributed throughout the year which the external auditor should obtain to use in verifying that these restricted purposes funds have been properly accounted for and expended in accordance with state requirements. For all providers, the AEFL End of Year Online Expenditure report under the Final Reports/Adult Education heading at http://www.iccb.org/budget.grantreporting.html summarizes total grant payments from the ICCB to the provider and the provider's self-reported expenditures throughout the year.

The ICCB State Grant Compliance section should include the following and be arranged in the order set forth below (for illustrative purposes, sample Adult Education and Family Literacy financial statements are presented):

- Auditor's Report on Compliance with State Requirements for Adult Education and Family Literacy (see page 13)

- Adult Education and Family Literacy Financial Statements
    - Balance Sheet (see page 14)
    - Combined Statement of Revenues, Expenditures, and Changes in Fund Balance (see page 15)
    - Background information on grant activity (see page 17)

- Notes to the financial statements

C. SPECIFIC REQUIREMENTS – FEDERAL FINANCIAL AND COMPLIANCE AUDIT

Federal Financial and Compliance Audit

Each provider receiving federal funds is required to submit one paper copy and one electronic copy of its completed annual financial and compliance audit within the earlier of 30 days after receipt of the auditor's report(s), or nine months after the end of the audit period. However, the ICCB strongly encourages early completion and submission. This report may be included in, or attached to, the provider's regular audit report.

In order to meet this requirement, the provider <u>must</u> contract with an independent certified public accounting firm to have an audit performed in accordance with OMB circular A-133. Independent certified public accountants should use their professional judgment in determining the necessary procedures and reporting requirements.

While all community colleges and most school districts receive federal funds in excess of $500,000 which requires they have an A-133 conducted, some CBOs may receive funds below that threshold. If you are a provider that receives less than $500,000 total in all federal funds, to meet the ICCB audit requirements you should contract with your audit firm to conduct a Yellow Book audit that essentially meets the single audit act filing requirements and includes the reports and schedules previously mentioned in this section. Any additional audit costs resulting from this additional audit may be charged to the state grant funds.

Minimally, the Federal Financial and Compliance Audit section must include the following items (for illustrative purposes, the schedule of federal financial assistance is presented):

- Auditor's Report on the Schedule of Federal Financial Assistance (not illustrated)

- Schedule of Federal Financial Assistance (all federal financial assistance expenditures listed - see page 10)

- Auditor's Reports on the Compliance with the Laws and Regulations Related to Major and Nonmajor Federal Financial Assistance Programs (Specific and General Requirements) (not illustrated)

- Study and Evaluation of Internal Accounting Controls Used in Administering Federal Financial Assistance Programs (not illustrated)

- Background information on grant activity (see page 11)

It is essential that the user of this manual become familiar with the following most recent authoritative literature when auditing federal funds:

- Standards for Audit of Governmental Organizations, Programs, Activities, and Functions by the Comptroller General of the United States

- The Office of Management and Budget Compliance Supplement

- The Office of Management and Budget Circular A-133, Audits of Institutions of Higher Education and Other Nonprofit Organizations, and related Compliance Supplement for Audits of Institutions of Higher Learning and Other Nonprofit Institutions

- The Office of Management and Budget Circular A-110, Grants and Agreements with

Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations (Attachment F, Subparagraph 2h, has been superseded by OMB A-133)

- The Grant Agreement between the Subgrantee and the ICCB

- Statement on Auditing Standards #68 for Compliance Auditing Applicable to Government Entities and Other Recipients of Federal Financial Assistance (supersedes SAS #63)

- The Office of Management and Budget Circular A-21"Cost Principles for Educational Institutions"

- The Office of Management and Budget Circular A-122"Cost principles for Nonprofit Organizations"

- Any other applicable GASB guidance not specifically listed.

D. AUDIT PROGRAM GUIDE: ADULT EDUCATION AND FAMILY LITERACY

Contents

Section A – Introduction
Section B – Audit Objectives and Compliance Determinations
Section C – Requirements for Adult Education and Family Literacy Restricted Grant
                    Expenditures and Reporting
Section D – Illustrative Audit Procedures

A. Introduction

There is a broad-based agreement in the state that the education provided for citizens will determine America's future role in the community of nations, the character of society, and the quality of individual lives.   Thus, education has become the most important responsibility of the nation and state with an imperative for bold and new directions and renewed commitments. This section is intended to provide technical assistance to the auditors as they review and audit this program.

B. Audit Objectives and Compliance Determinations

The objective of a compliance review of the payments made to the Adult Education and Family Literacy provider is to apply audit procedures and gather audit evidence which will enable the auditor to determine with reasonable but not absolute assurance:

1. whether the provider has expended funds in accordance with the legal and contractually imposed restrictions for which such funds have been authorized by law and grant agreement; and

2. whether the amounts indicated on the statements were received or receivable, properly classified, and adequately described; and

3. whether units of instruction data are reported properly in the DAIS-I reporting system

C. Requirements for Restricted Grant Expenditures and Reporting

Section a - Purpose of Grant
Section b - Allowable Activities
Section c - Expenditure Limitations
Section d - Grant Administration Standards

a. Purpose of Grant
    There is a broad-based agreement in the state that the education provided for citizens will determine America's future role in the community of nations, the character of society, and the quality of individual lives.   Thus, education has become the most important responsibility of the nation and state with an imperative for bold and new directions and renewed commitments.   To meet the challenges and opportunities of this agreement, the ICCB will administer a program of funding that offers transparency, focuses on achievement, and assures adequate, stable, and flexible resources.   In addition, there exists an effort to achieve the purpose of Title II Adult Education and Family Literacy of the Workforce Investment Act of 1998, which is to create a partnership among the federal government, states, and localities to provide, on a voluntary basis, Adult Education and Family Literacy services.   These services are designed to:

    1. Assist adults to become literate and obtain the knowledge and skills necessary for employment and self-sufficiency;

    2. Assist adults who are parents to obtain the educational skills necessary to become full partners in the educational development of their children; and

    3. Assist adults in the completion of a secondary school education.

b. Allowable Activities
        Instructional and Student Services
            Instruction
            Social Work Services
            Guidance Services
            Assistive and Adaptive Equipment
            Assessment and Testing
            Student Transportation Services
            Literacy Services
            Child Care Services
        Program Support
            Improvement of Instructional Services

General Administration
Operation and Maintenance of Plant Services
Workforce Coordination
Data and Information Services
Approved Indirect Costs

c. Expenditure Limitations
Federal Basic:
1. A minimum of 45% of the grant must be for Instruction.
2. Program support expenditures do not exceed the approved program support rate.

EL/Civics:
1. A minimum of 45% of the grant must be for Instruction.
2. Program support expenditures do not exceed the approved program support rate.

State Basic:
1. A minimum of 45% of the grant must be for Instruction.
2. General Administration costs must not exceed 15% of the grant.

Public Assistance:
1. A minimum of 45% of the grant must be for Instruction.
2. General Administration costs must not exceed 15% of the grant.

d. Grant Administration Standards

The grant funds shall be accounted for in a set of self-balancing accounts within the restricted purposes fund.

The grant funds shall be expended or obligated prior to June 30 each year, the last day of the fiscal year. Goods for which funds have been obligated shall be received and paid for prior to August 31 following the end of the fiscal year for which funds were appropriated. Funds for services, including salaries and benefits, may not be obligated for services rendered after June 30. Unexpended funds must be returned to the ICCB by October 15 following the end of the fiscal year.

Grant funds not used in accordance with these criteria shall be returned to the ICCB by October 15 following the end of the fiscal year. Other identification of improper expenditures subsequently verified by the ICCB shall be returned upon notification by the ICCB.

D. Illustrative Audit Procedures

1. Review requirements for restricted grant expenditures and reporting which govern operation of the grant.

2. Verify that funds are set aside in a restricted purposes account and that they are accounted

for properly.

3. Confirm grant amounts received from the ICCB by obtaining and reviewing (for community colleges) the summary of ICCB grants distributed throughout the year and/or (for other providers) the AEFL End of Year Online Expenditure report under the Final Reports/Adult Education heading at http://www.iccb.org/budget.grantreporting.html.

4. Test a representative sample of expenditures for compliance with ICCB requirements for Restricted Grant Expenditures and Reporting.

5. Test the grant records for compliance with the following:

   Federal Basic:
   1. A minimum of 45% of the grant must be for Instruction.
   2. Program support expenditures do not exceed the approved program support rate.

   EL/Civics:
   1. A minimum of 45% of the grant must be for Instruction.
   2. Program support expenditures do not exceed the approved program support rate.

   State Basic:
   1. A minimum of 45% of the grant must be for Instruction.
   2. General Administration costs must not exceed 15% of the grant.

   Public Assistance:
   1. A minimum of 45% of the grant must be for Instruction.
   2. General Administration costs must not exceed 15% of the grant.

6. Determine whether unexpended funds from the prior year's appropriation were returned by October 15.

7. Test payments of prior year's encumbrances (if applicable).

8. Review units of instruction for compliance and accuracy with DAIS-I reporting requirements.

   a. Obtain an understanding of the eligibility and classification requirements by reviewing DAIS-I reporting requirements for student data which generates units of instruction.

   b. Obtain a copy of the units of instruction certified annually by the provider to the ICCB. This is an available DAIS-I report which is printed and signed by provider officials annually.

   c. Review a small sample of student records from DAIS-I and test the records for proper coding and classification.

(*Students in courses where the funding source is paid with at least 51% from AEFL grant funds are able to generate on DAIS-I. Those students in courses which are paid with non-AEFL funds should not be generating on DAIS-I. The funding is typically determined by what source the instructor was paid from.)

E. SCHEDULE OF FEDERAL FINANCIAL ASSISTANCE

<Provider Name>

SCHEDULE OF FEDERAL FINANCIAL ASSISTANCE
FOR THE YEAR ENDED JUNE 30, 20XX
(sample)

Federal Grantor/Pass-Through Grantor

U.S. Department of Education (DOE)

Program Title	Federal CFDA Number	Pass Through Grantors Number	Program or Award Amount	Beginning Fund Balance July 1, 20XX	Revenues	Expenditures	Ending Fund Balance June 20XX
Pass-through Illinois Community College Board							
Adult Education State Grant Program (aka Federal Basic)	84.002 A	NA	$xxx,xxx	-0-	$xxx,xxx	$xxx,xxx	-0-
EL/Civics Program	84.002 A	NA	$xxx,xxx	-0-	$xxx,xxx	$xxx,xxx	-0-
223 Leadership	84.002 A	NA	$xxx,xxx	-0-	$xxx,xxx	$xxx,xxx	-0-
TOTAL U.S DOE			**$xxx,xxx**	**-0-**	**$xxx,xxx**	**$xxx,xxx**	

BACKGROUND INFORMATION ON GRANT ACTIVITY

Restricted Grants/Federal

Federal Basic

Grant awarded to Adult Education and Family Literacy providers to assist adults in becoming literate and obtain the knowledge and skills necessary for employment and self-sufficiency; to assist adults who are parents in obtaining the educational skills necessary to become full partners in the educational development of their children; and to assist adults in completing a secondary school education.

EL/Civics

Grant awarded to Adult Education and Family Literacy providers for educational programs that emphasize contextualized instruction on the rights and responsibilities of citizenship, naturalization procedures, civic participation, and U.S. history and government to help students acquire the skills and knowledge to become active and informed parents, workers, and community members.

F. STATE GRANT COMPLIANCE REPORTS

<u>AUDITOR'S REPORT ON COMPLIANCE WITH STATE REQUIREMENTS</u>
<u>FOR THE ADULT EDUCATION AND FAMILY LITERACY GRANT</u>

To the Board of Trustees
<Provider Name>
Anywhere, IL XXXXX

We have audited the balance sheet of the Adult Education and Family Literacy grant of <Provider Name> as of June 30, 20XX, and the related statements of revenues, expenditures, and changes in fund balance - actual for the year then ended. These financial statements are the responsibility of the Institution's management. Our responsibility is to express an opinion on these financial statements based on our audit.

We conducted our audit in accordance with generally accepted audit standards and the grant policy guidelines of the Illinois Community College Board's *Adult Education and Family Literacy Audit Requirements*. Those standards and guidelines require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement. An audit includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements. An audit also includes assessing the accounting principles used and significant estimates made by management, as well as evaluating the overall financial statement presentation. Our audit also included a review of compliance with the provisions of laws, regulations, contracts, and grants between <Provider Name> and the state of Illinois and Illinois Community College Board. We believe that our audit provides a reasonable basis for our opinion and <Provider Name> is in compliance with the provisions of laws, regulations, contracts, and grants.

In our opinion, such financial statements referred to above present fairly, in all material respects, the financial position of the Adult Education and Family Literacy grant of <Provider Name> at June 30, 20XX, and the results of their operations for the year ended in conformity with generally accepted accounting principles.

CPA Firm
Anywhere, Illinois

<Provider Name>
BALANCE SHEET

STATE ADULT EDUCATION AND FAMILY LITERACY RESTRICTED FUNDS
AS OF JUNE 30, 20XX
(sample)

ASSETS	State Basic	Public Aid	Performance	Total (Memorandum Only)
Cash				
Accounts Receivable				
Deferred Expenditures				
TOTAL ASSETS				
LIABILITIES AND FUND BALANCE				
Accounts Payable				
Accrued Expenditures				
Deferred Revenue				
TOTAL LIABILITIES				
Fund Balance				
TOTAL FUNDS BALANCE				
TOTAL LIABILITIES AND FUND BALANCE				

<Provider Name>
STATEMENT OF REVENUES AND EXPENDITURES

STATE ADULT EDUCATION AND FAMILY LITERACY RESTRICTED FUNDS
AS OF JUNE 30, 20XX
(sample)

	State Basic	Public Aid	Performance	Total (Memorandum Only)

Revenues:
Grant Revenue

Expenditures by Program:
Instruction
Social Work Services
Guidance Services
Assistive and Adaptive Equipment
Assessment and Testing
Student Transportation Services
Literacy Services
Child Care Services
      Subtotal Instructional and Student Services
Improvement of Instructional Services
General Administration
Operation and Maintenance of Plant Services
Workforce Coordination
Data and Information Services
Approved Indirect Costs
      Subtotal Program Support
TOTAL COSTS

Excess Revenue Over (Under) Expenditures
Fund Balance July 1, 20XX
Fund Balance June 30, 20XX

See Notes to Financial Statements

ICCB COMPLIANCE STATEMENT FOR THE
ADULT EDUCATION AND FAMILY LITERACY GRANT

EXPENDITURE AMOUNTS AND PERCENTAGES FOR ICCB GRANT FUNDS ONLY
FOR THE YEAR ENDED JUNE 30, 20XX
(sample)

Enter the dollar amounts and percentages of actual, audited expenditures for each of the following grant streams:

State Basic	Audited Expenditure Amount	Actual Expenditure Percentage
Instruction (45% Minimum Required)		
General Administration (15% Maximum Allowed)		

State Public Assistance	Audited Expenditure Amount	Actual Expenditure Percentage
Instruction (45% Minimum Required)		
General Administration (15% Maximum Allowed)		

BACKGROUND INFORMATION ON GRANT ACTIVITY

Restricted Grant/State

State Basic

Grant awarded to Adult Education and Family Literacy providers to establish special classes for the instruction of persons age 21 and over or persons under the age of 21 an not otherwise in attendance in public school for the purpose of providing adults in the community, and other instruction as may be necessary to increase their qualifications for employment or other means of self-support and their ability to meet their responsibilities as citizens including courses of instruction regularly accepted for graduation from elementary or high school and for Americanization and General Education Development Review classes. Included in this grant are funds for support services, such as student transportation and child care facilities or provision.

Public Assistance

Grant awarded to Adult Education and Family Literacy providers to pay for instruction, fees, books, and materials incurred in the program for the students who are identified as recipients of public assistance. Priority for services must be given to educationally disadvantaged students with basic literacy skills from beginning literacy through low intermediate ABE/ESL and to recipients of Temporary Assistance for Needy Families (TANF). Persons eligible for services on a priority basis are employed and unemployed TANF clients and persons who have been cancelled from TANF and receive extended medical assistance. Other eligible persons are those who receive TANF Medical Assistance No Grant (MANG)/KidCare Assist, non-assistance food stamps, and noncustodial parents who are referred by the Department of Human Services or by the court system.

Performance

Grant awarded to Adult Education and Family Literacy providers based on performance outcomes.

G. FEDERAL GRANT RECONCILIATION FORM

The Federal Grant Reconciliation form is not a required part of the external audit. It should be completed and submitted to the ICCB if there is a difference between the allocated federal grant revenue and the A-133 audited expenditures of the grant. It is a form to explain to the ICCB any reconciling items of the Federal Basic and EL Civic grant. If you receive both grants, a form is to be submitted for each if there is a difference between the federal grant revenue and grant expenditures.

ICCB ADULT EDUCATION & FAMILY LITERACY
FEDERAL BASIC or EL CIVICS GRANT
RECONCILIATION FORM

Provider_____

Federal Grant_____

Fiscal Year_____

Line 1   ICCB Allocated Federal Grant Revenue   _____

Line 2   A133 Audited Federal Expenditures   _____

Line 3   Difference   _____

Reconciling Items - please provide detail

Line 4   Deferred Revenue, Deferred Expenditures   _____

Line 5   Other -provide detailed explanation   _____

Line 6   Total Reconciling Items   _____
                Line 3 and 6 should equal

Return completed form with your A133 audit submission
(not a required report in the A133 audit)

Please complete and submit the form if there is a difference between federal grant revenue and A133 audited federal grant expenditures.