Illinois Community College Board
Adult Education and Family Literacy
Monitoring Document

Program_____   **Date**_____

Team Member_____   **Fiscal Year Monitored**_____

FISCAL RECORDS (#1 through #3 to be reviewed at the ICCB . #4 and #5 to be reviewed locally)	Compliance		COMMENTS/RECOMMENDED ACTION FOR ICCB USE ONLY
	Yes	**No**	
1. Budgets have appropriate signatures and meet funding source requirements for minimum and maximum percentages.			
2. Expenditure Reports are appropriate with signed copies on file. Was money returned to Illinois Community College Board (ICCB)? If money was returned, why?			

3. **Audit:** Program Director has a copy of most recent audit. Audit was submitted by due date. Audit was submitted in the appropriate format. Audit contains opinions expressed by auditors. Audit findings are adequately addressed in the provider response. Questioned costs, if appropriate are returned.			
4. **Purchases:** The program has a purchasing policy that includes appropriate checks and balances to ensure that state and federal funds are properly spent. For any single item purchased over $5,000 the program received written approval from ICCB for the purchase. Equipment purchase inventory report was filed if appropriate. (Effective FY04. Will be filled electronically. Information on filing will be provided by e-mail prior to June 1, 2004)			

5. **Inventory:** An inventory of equipment purchased with AEFL funds is maintained. Accepted procedures for equipment disposal are followed and appropriate records are maintained.			
ADMINISTRATIVE RECORDS			
1. Copy of the signed application is available. Program has reported, in writing, any changes in staff listed on Attachment 1 of the application to ICCB.			
2. **Sites and Services**: Copy of signed Area Plan is available. Master List of Classes is available. There is correlation between the Master List of Classes and the approved program sites and services as listed in the Area Plan. Changes is sites/services were presented to the Area Planning Council for approval prior to implementation.			

3. Sub-contractual agreements contain appropriate information, signatures and copies are available.			
4. Copy of DHS agreement is available, if applicable.			
5. Partnership agreements contain appropriate Information, signatures and copies are available.			
6. Program has copy of Workforce Investment Act Memorandums of Understanding, if applicable. Program Director is aware of what Workforce Areas the program covers. How does the Program Director regularly communicate with the Adult Education Representative on the Workforce Board(s).			
7. Program maintains master list of all instructional personnel funded with ICCB Adult Education and Family Literacy (AEFL) funds including class assignments, work schedules, and job descriptions			

8. Program maintains master list of all full and part time support personnel funded with ICCB Adult Education and Family Literacy Funds including work schedules and job descriptions			
9. Program maintains a master list of all program administrative personnel funded with ICCB Adult Education and Family Literacy Funds including work schedules and job descriptions.			
10. Policies and practices promote an atmosphere of non-discrimination on the basis of race, color, national origin or sex as demonstrated by copies or evidence provided..			
11. Facilities are accessible to handicapped and meet the Illinois Accessibility Code requirements.			
12. Program printed informational materials comply with Section 511 of Public Law 101-166 (the Stevens Amendment)			

PROGRAMMATIC RECORDS (Prior to monitoring visit, a record of submission dates of required reports will be reviewed by the Monitoring Team)			
1. Mid-year and Year-end copies of signed STAIRS Enrollment Reports are available for all ICCB AEFL funding sources.			
2. Copies of signed quarterly STAIRS Performance Reports are available.			
3. Copies of final fiscal year Student Master Lists are available for all ICCB AEFL funding sources.			
4. Copies of each quarter as well as a cumulative list for the Fiscal Year of the STAIRS Public Assistance Master List are available.			
5. Adult Basic Education and Public Assistance students claimed on enrollment reports for restricted purposes funds are not being charged for services. Any charges made to Adult Secondary students funded with State Basic and/or State Performance funds do not exceed the $3 fee per student, per unit of instruction policy.			

6. Program Costs are charged to the appropriate funding source based upon: Enrollment Claims Job Descriptions and Job Responsibilities Time Sheets, Contracts or Work Schedules			
7. **Time Distribution Sheets**: Are available for staff paid from more than one Federal Source of Funds Have appropriate employee information and supervisor signature Are reflective of job descriptions			
8. Number of students served with a High School Diploma or GED correlates to written request. (Effective for FY04 only)			

9. **Child Care:** Are child care costs charged to the purchased services object of the appropriate budget? If service is provided by the program in conjunction with another entity, ICCB Adult Education and Family Literacy funds provide only those costs attributable to AEFL students. Attendance records for children provided child care correlate with attendance records for care givers receiving AEFL services..			
10. **Transportation:** Procedure for use of Public Transport is established and records of students provided services are available. If direct service is provided by the program: ICCB Adult Education and Family Literacy funds provide only those costs attributable to AEFL students. Transportation records for students provided service correlate with official student attendance records.			

11. **Operation and Maintenance Costs**: Costs claimed for reimbursement are specifically and directly attributable to the operation of the adult education program.			
12. **Data Collection:** Instructor Attendance records are signed and support enrollment claims which have been verified by student and programmatic data including verification of attendance entered into the STAIRS data system. Data is entered in the program database at scheduled, frequent and regular intervals. File Transfer Protocol (FTP) site data is reviewed on a quarterly basis. The end-of-year FTP site data is reviewed for accuracy and validity and *verified* in a timely manner. Programs review the STAIRS Program Status Report and STAIRS Performance Report for accuracy and validity on a quarterly basis. How does the program use data and reports for program planning and improvement?			

STUDENT RECORDS (A Master List of all students served with all funding sources for the fiscal year(s) being monitored will be provided to the ICCB prior to the visit. The Monitoring Team will select students whose files will be pulled for review during the visit.)			

1. Student file contains a standardized intake form
    tied to the program database for collecting
data   to be reported to ICCB.
 	
    Intake form includes attainment of a High
    School Diploma or GED for reporting as
    appropriate.			

2. Each student file contains an Educational and
    Employability Form (EEP) that reflects student
    goals and is signed and dated by the student.
 	
    Goal indicated on individual student EEP, or as
    otherwise documented in the student file
    matches goal entered on student record in
    STAIRS.			

3. Program uses the TABE locator or some other
    acceptable placement testing to determine
    the appropriate test level to be used for
    assessing student ability levels. Results of
    placement or locator test are contained in
    individual student files.			

4. **Pre and Post-testing:**			
Each staff member who facilitates testing has received training in the appropriate methods for use of each assessment instrument the staff member administers.			
Appropriate assessment instruments (ie TABE, Best Literacy, Best Plus or CELSA) are administered based upon information received during student intake or orientation. Programs must use the appropriate assessment instrument for the student's ability level.			
The program has an assessment policy that addresses pre and post testing and the policy has been disseminated to all appropriate program staff.			
The program assessment policy meets ICCB guidelines for pre and post testing as listed in Section 4 of the Provider Manual.			
Pre and post-test results with the test answer sheet or summary sheet, as appropriate, are part of each student's file.			
Answer sheet for each test administered includes student name, social security or identification number, date the test was administered and the score.			

5. Validation of student progress through examples of post-test scores, official GED test scores, completion of secondary credentials, instructors' written verification of progress or checklist of competencies, portfolio assessment, passing grades, classroom tests or exercises, audio tapes or other appropriate dated examples are included in student files.			
6. Documentation of separation from high school for students ages 16-18, if appropriate, is contained in the student file.			
7. Public Assistance case numbers meet guidelines as outlined in the DHS agreement.			
STAFFING/PROFESSIONAL DEVELOPMENT (Information for #8 will be provided by the ICCB)			
1. Program has a professional development plan that includes all staff ie. administrative, instructional, clerical, literacy, counseling, child care etc.			
2. All staff included in the professional development plan participate in development activities that will enhance performance and individual professional growth in the areas of program responsibility.			

3. Program employs staff with appropriate qualifications/certification/credentials to deliver Adult Education and Family Literacy Services.			
4. Local program travel policy provides for a procedure of "Prior Approval" for staff participating in professional development activities or traveling on program business.			
5. Program consistently follows a locally established travel policy or the Higher Education Travel Control Board's policies for payment of costs associated with professional development			
6. As applicable, program is in compliance with policies regarding written approval from the ICCB for multiple staff members to attend an out-of-state professional development activity.			
7. Program has requested written approval from the ICCB for out of country travel for programmatic or professional development activities. (Effective FY 05)			
8. Program staff have attended the two required state sponsored administrators' meetings.			

9. Staff has received training on ICCB state and NRS policy and data collection procedures through the Service Center Network training. If applicable, staff have been trained through a local train-the-trainer approach.			
10. Consultant fees for provision of professional development services comply with ICCB policies as stated in Section 9 of the Adult Education and Family Literacy Provider Manual.			
11. Salaries and any applicable benefits paid to instructional staff for attendance at professional development activities have been charged to Improvement of Instructional Services.			
CURRICULUM AND INSTRUCTION			
1. Curriculum guides or syllabi are available for all classes/courses being claimed to ICCB.			
2. All courses offered and claimed to ICCB have been approved through the appropriate process by ICCB Adult Education and Family Literacy staff.			

3. Courses have been claimed based upon the approved allowable instructional service type as identified in Section 5-Instruction of the ICCB Adult Education and Family Literacy Provider Manual.			

4. **Instructional Claims**
 	
Instruction is provided and appropriately claimed through:
 	
    Fixed entry
 	
    Open entry/exit
 	
    GED Illinois distance learning class
 	
Program does not claim students as generating enrollment who have participated in an open computer lab without an assigned instructor who provides direct instruction at scheduled days and times.			

5. Instructional services provided comply with ICCB Adult Education and Family Literacy Guidelines, as outlined in Section 5 of the Provider Manual for use of:
 	
    Federal Basic Funds
 	
    Federal EL/Civics Funds
 	
    State Basic Funds
 	
    State Public Assistance Funds			

6. Class sizes are reasonable and physical classroom equipment is appropriate for adults.			
7. Instructional materials are current, adult oriented and culturally sensitive, in adequate supply and appropriate for level and subject being taught.			
8. Program has integrated technology in the instructional process.			
9. Program uses a wide variety of delivery modes and innovative instructional approaches to meet students' needs and learning styles.			

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Reference Sources

The following charts provide the reference sources for items to be reviewed during the monitoring Process. Also included are possible documentation the monitoring team will request to review or will be reviewing to determine compliance with a particular policy or guideline. **Additional information not listed may be requested for review to determine compliance with Illinois Community College Board(ICCB) Adult Education and Family Literacy (AEFL) policies and guidelines.** The sections have been organized in the same order as the topics are listed in the ICCB Adult Education and Family Literacy Monitoring Document.

REFERENCE SOURCE	PROGRAM DOCUMENTATION
Fiscal Records	
1. Page 15 - September 2003 Printing - ICCB Adult Education and Family Literacy Provider Manual	Budget submissions will be reviewed.
2. Pages 81-84 - September 2003 Printing - ICCB Adult Education and Family Literacy Provider Manual	Expenditure Reports will be reviewed. ICCB records of returned funds will be reviewed. Initial Budgets and Expenditure reports will be compared.
3. Page 86 - September 2003 Printing - ICCB Adult Education and Family Literacy Provider Manual Appendices - September 2003 Printing - ICCB Adult Education and Family Literacy Provider Manual	During the monitoring visit, the Program Director will provide from program files, a copy of the audit for the fiscal year(s) being monitored. The Monitoring Team will review information provided by ICCB staff based upon the audit submission and appropriate agency records.

4. Pages 24 - 27 - September 2003 Printing - ICCB Adult Adult Education and Family Literacy Provider Manual	Copy of local purchasing policy or purchasing forms and directions for completion. Copies of approved requests for purchases over $5,000. Copy of equipment purchase inventory report indicating date filed.
5. Page 26 and 27 - September 2003 Printing - ICCB Adult Education and Family Literacy Provider Manual.	Copy of local program inventory records. Local program records of equipment disposal.
Administrative Records	
1. Page 77 - September 2003 Printing - ICCB Adult Education and Family Literacy Provider Manual.	Program Director will provide from program files, a copy of the application for fiscal year(s) being monitored. Copies of correspondence to ICCB advising of changes in staff listed on Attachment 1 of the application.
2. Page 77 - September 2003 Printing - ICCB Adult Education and Family Literacy Provider Manual. Page 10 - September 2003 Printing - ICCB Adult Education and Family Literacy Provider Manual.	At the time of the monitoring visit the Program Director will provide a Master List of all classes offered with ICCB AEFL funds. Sites and services on Master List will be compared with approved sites and services listed on the corresponding fiscal year Area Plan. Copies of program requests to the Area Planning Council for changes in sites/services and confirmation to program of approval will be reviewed.
3. Page 16 - September 2003 Printing - ICCB Adult Education and Family Literacy Provider Manual.	Copies of all sub-contractual agreements will be reviewed.
4. Page 77 - September 2003 Printing - ICCB Adult Education and Family Literacy Provider Manual.	Program Director will provide from program files at the time of the monitoring visit, a copy of the DHS agreement for the fiscal year(s) being monitored.

5. Page 77 - September 2003 Printing - ICCB Adult Education and Family Literacy Provider Manual.	Copies of all partnership agreements will be reviewed. (Effective FY04)
6. Page 77 - September 2003 Printing - ICCB Adult Education and Family Literacy Provider Manual. Item 3 (d) FY05 ICCB Adult Education and Family Literacy Area Planning Document.	MOU's for workforce area(s) served by the program will be reviewed. Program Director will be asked to describe the Workforce Areas being served and discuss the communication process with the Adult Education Representative on Local Workforce Board(s)
7. Page 77 - September 2003 Printing - ICCB Adult Education and Family Literacy Provider Manual.	Prior to visit program will provide a list of instructional personnel including class assignments, work schedule and job descriptions.
8. Page 77 - September 2003 Printing - ICCB Adult Education and Family Literacy Provider Manual.	Prior to visit program will provide a list of support personnel, full and part time, including work schedules and job descriptions.
9. Page 77 - September 2003 Printing - ICCB Adult Education and Family Literacy Provider Manual.	Prior to visit program will provide a list of administrative personnel including work schedule and job description.
10. Page ii - September 2003 Printing - ICCB Adult Education and Family Literacy Provider Manual.	Institutional applications for employment or enrollment forms, employee handbook, and/or information material will be reviewed for evidence of compliance
11. Page ii - September 2003 Printing - ICCB Adult Education and Family Literacy Provider Manual.	Review facilities for accessibility and if appropriate discuss alternative solutions program uses.
12. Page i - September 2003 Printing - ICCB Adult Education and Family Literacy Provider Manual.	Printed informational material will be reviewed.
Programmatic Records	
1. Page 77 and Page 81 - September 2003 Printing - ICCB Adult Education and Family Literacy Provider Manual.	Program Director will provide copies of reports from program files during the monitoring visit..

2. Page 77 - September 2003 Printing - ICCB Adult Education and Family Literacy Provider Manual. December 18, 2003 e-mail from Jennifer Foster to All Adult Education Providers.	Program Director will provide copies of reports from program files during the monitoring visit.
3. Page 77 - September 2003 Printing - ICCB Adult Education and Family Literacy Provider Manual.	Program Director will provide copies of reports from program files during the monitoring visit.
4. Page 77 - September 2003 Printing - ICCB Adult Education and Family Literacy Provider Manual.	Program Director will provide copies of reports from program files during the monitoring visit.
5. Page 49 - September 2003 Printing - ICCB Adult Education and Family Literacy Provider Manual.	Informational material will be reviewed for costs and discussion of policy with Program Director will occur. Copies of charges, enrollment records and evidence of secondary level ability will be reviewed for any charges made to students. (Sample review)
6. Pages 13, 14, 17, 18, 21, 22, 23 - September 2003 Printing ICCB Adult Education and Family Literacy Provider Manual.	A sample review of enrollment claim and cost allocation using indicated measures will be conducted for each ICCB AEFL funding source.
7. Page 14 - September 2003 printing - ICCB Adult Education and Family Literacy Manual. Regional Meeting Handout - April 2004 Administrators' Meeting.	A sample review of time distribution sheets for appropriate information and signatures will be compared with job descriptions.
8. Page 2 - September 2003 Printing - ICCB Adult Education and Family Literacy Provider Manual. FY04 Request for Proposal.	Comparison of approved request and information entered into STAIRS will be completed at the ICCB office.
9. Pages 55 - 59 - September 2003 Printing - ICCB Adult Education and Family Literacy Provider Manual.	Review of services provided, cost allocation method used, and sample comparison of student attendance records and child care provided.

10. Pages 55 - 57 - September 2003 Printing - ICCB Adult Education and Family Literacy Provider Manual.	Review of services provided, cost allocation method used, and sample comparison of student attendance records with transportation records.
11. Pages 23, 24, & 25 - September 2003 Printing - ICCB Adult Education and Family Literacy Provider Manual.	Review of charges and as appropriate cost allocation method used.
12. Page 18 - September 2003 Printing - ICCB Adult Education and Family Literacy Provider Manual. NRS Presentation - August 2002 Administrators' Meeting.	Using the master list of instructors and class assignments, a sample of attendance records will be requested and reviewed for signature and comparison to data in the STAIRS system. Discussions involving the Program Director and STAIRS staff will determine frequency of data entry. The local program will be asked to provide any records available to support information on the frequency of data entry. Program will be asked to provide evidence of how data and reports are used for program planning and improvement.
Student Records	
1. Page 29 and Forms Section - September 2003 Printing - ICCB Adult Education and Family Literacy Provider Manual	The intake form in a selected sample of student files will be reviewed for content with attention to the inclusion of US High School Diploma or GED certification effective FY04.
2. Pages 30, 31, 32 - September 2003 Printing - ICCB Adult Education and Family Literacy Provider Manual.	EEP will be reviewed in a selected sample of student files to determine the inclusion of student goal(s), student signature and date. Information regarding goals contained in the reviewed student files will be compared with the information entered into the STAIRS system for goals.
3. Pages 38 & 39 - September 2003 Printing - ICCB Adult Education and Family Literacy Provider Manual.	Selected sample of student files will be reviewed for placement testing records. Placement testing should reflect student name, date administered and student social security or other identification number. Date of enrollment and date of placement testing will be compared.

4. Pages 34, 35, 37, 38, & 40 - September 2003 Printing - ICCB Adult Education and Family Literacy Provider Manual.	Records of staff training and professional development for administration of testing and assessment will be reviewed. These records may include agendas from local training, attendance at service center trainings or other appropriate training provided by developers of assessment materials. Appropriate attendance information (registration forms, travel forms or attendance sheets) will be reviewed. A comparison will be made using the master list of instructors and class assignments and training attendance information. Selected sample of student files will be reviewed for assessment instruments and will be compared with intake information and student program enrollment. Student files will be reviewed to determine that test answer or summary sheets are included in file and each has student name, social security or identification number, date test was administered and score. Records will also be reviewed to determine that the appropriate assessment instrument has been used based upon the student's ability level. (Example - All students are not tested on TABE form D or the CELSA is not administered to low level ESL students) Program assessment policy including pre and post testing guidelines will be reviewed to determine compliance with ICCB guidelines. Dissemination of the assessment policy to staff might be documented in a staff manual, staff meeting agendas, local professional development activity agenda or other local program specific information.
5. Pages 35 & 39 - September 2003 Printing - ICCB Adult Education and Family Literacy Provider Manual.	Selected sample of student files will be reviewed for examples of student progress as demonstrated by pre and post test results or other examples listed in the ICCB Adult Education and Family Literacy Provider Manual.

6. Page 78 - September 2003 Printing - ICCB Adult Education and Family Literacy Provider Manual.	Selected sample of student files will be reviewed for documentation of separation from high school for students ages 16-18. Program will be asked to provide information on forms and procedures used to obtain this documentation.
7. Page 53 and Page 82 - September 2003 printing - ICCB Adult Education and Family Literacy Provider Manual.	Selected sample of student files served with Public Assistance Funds will be reviewed to determine clients meet guidelines as outlined in the DHS agreement for the fiscal year being monitored.
Staffing/Professional Development	
1. Pages 69 & 75 - September 2003 Printing - ICCB Adult Education and Family Literacy Provider Manual.	Program will provide to ICCB prior to the monitoring visit a copy of the professional development plan for the fiscal year(s) being monitored.
2. Page 71 - September 2003 Printing - ICCB Adult Education and Family Literacy Provider Manual.	Randomly selected records of staff participation in professional development activities will be reviewed during the monitoring visit. This may included but is not limited to a review of registration forms, travel reimbursement records or other program records documenting attendance.
3. Page 76 - September 2003 Printing - ICCB Adult Education and Family Literacy Provider Manual.	Qualifications/certification/credentials as listed on job descriptions will be reviewed prior to the monitoring visit.
4. Informational Topic	Approval process for local program travel policy will be reviewed during the monitoring visit.
5. Page 71 - September 2003 Printing - ICCB Adult Education and Family Literacy Provider Manual.	Written local program travel policy will be reviewed and a random sample of travel reimbursement records will reviewed for consistency with the locally established travel policy.
6. Page 72 and Forms Section - September 2003 Printing - ICCB Adult Education and Family Literacy Provider Manual.	Copies of approved travel forms for multiple staff members to attend out-of-state professional development activities will be reviewed in the ICCB office.

7. Regional Meetings - Administrators' Meeting April 2004 and FY05 Request for Proposal.	Copies of approved travel forms for out of country travel for programmatic or professional development activities will be reviewed in the ICCB office. (Effective with FY05)
8. Page 71 - September 2003 Printing - ICCB Adult Education and Family Literacy Provider Manual.	Attendance records for two required state sponsored administrators' meetings will be obtained from the ICCB office.
9. Page 72 - September 2003 Printing - ICCB Adult Education and Family Literacy Provider Manual.	Payment to consultants, using ICCB AEFL funds will be reviewed for compliance with ICCB guidelines.
10. Pages 71 & 72 - September 2003 Printing - ICCB Adult Education and Family Literacy Provider Manual.	A selected sample of instructor's payment for attending professional development activities will be reviewed and compared with expenditure charges to the Improvement of Instruction Line of ICCB AEFL budgets.
Curriculum and Instruction	
1. Page 77 - September 2003 Printing - ICCB Adult Education and Family Literacy Provider Manual.	Local program will provide copies of curriculum guides or course syllabi for all classes/courses being claimed to ICCB prior to the monitoring visit.
2. Pages 44 & 45 - September 2003 Printing - ICCB Adult Education and Family Literacy Provider Manual. ICCB Adult Education and Family Literacy Request for Proposal.	Master list of courses offered during fiscal year(s) being monitored will be compared with ICCB AEFL approved courses on file.
3. Pages 42, 49, 50, 51, 52, & 53 - September 2003 Printing - ICCB Adult Education and Family Literacy Provider Manual.	Master list of courses offered during the fiscal year(s) being monitored will be used as the basis for comparison of: - the approved instructional service type identified on program application and course approval information and - enrollment claims

4. Pages 46, 47, & 48 - September 2003 Printing - ICCB Adult Education and Family Literacy Provider Manual.	A sample of student records including student files, attendance records and enrollment claims as generated through the STAIRS data collection system will be compared to determine compliance with guidelines for fixed entry, open entry/exit or GED Illinois distance learning class.
5. Pages 50 - 53 - September 2003 Printing - ICCB Adult Education and Family Literacy Provider Manual.	A selected sample of student files for each funding source will be reviewed to determine the student receiving services met funding guidelines for a claimed funding source.
6. A maximum of 20-25 students is the ICCB Adult Education and Family Literacy preferred class size.	Class rosters will be reviewed to determine number of students per classroom is within ICCB preferred guidelines. Classrooms will be visited to determine chairs, tables, desks and other equipment is appropriate for adults.
7. Page 68 - September 2003 Printing - ICCB Adult Education and Family Literacy Provider Manual.	Program Director will provide information during monitoring visit regarding classroom instructional materials used. Instructional materials will be reviewed during classroom visit.
8. Page 68 - September 2003 Printing - ICCB Adult Education and Family Literacy Provider Manual.	Program Director will provide information during monitoring visit regarding integration of technology in the instructional policy. Curriculum guides and course syllabi will be reviewed for evidence of inclusion of technology in instruction.
9. Page 68 - September 2003 Printing - ICCB Adult Education and Family Literacy Provider Manual.	Curriculum guides and course syllabi will be reviewed prior to monitoring visit for evidence of instructional delivery. Class handouts or other information may be provided by the program during the monitoring visit.

ICCB-AEFL Monitoring/Resource Document 7/2005