

**Illinois Community College Board**  
**Adult Education and Family Literacy**



**Provider Manual**

**Fiscal Year 2007**

***Purpose:***

The Illinois Community College Board has developed this Provider Manual as an easy reference to:

- 1) existing laws and regulations, both State and Federal;
- 2) best practices in the field of Adult Education and to
- 3) act as a desk reference for both new and existing program administrators.

If you have any questions or suggestions to make this manual more user friendly, please contact:

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# Table of Contents

0.1	What is the Purpose for the Federal Adult Education and Family Literacy Act of 1998?.....	5
0.2	How Does the Workforce Investment Act of 1988 Affect Adult Education and Family Literacy Providers?.....	6
1.1	What are the Application Procedures and Requirements for Becoming an AEFL Provider? .....	7
1.2	How Are Applications Evaluated?.....	9
1.3	How Do I Make Changes to the Application During the Course of a Year? .....	12
2.1	What is the Mission of an Area Planning Council, and How Does It Function?.....	13
2.2	What is Contained in the Area Plan? .....	15
3.1	What Sources of AEFL Funds Are Available, and What Are the Policies Regarding Their Use?.....	17
3.2	What Are the Policies Regarding Subcontracting?.....	21
3.3	What is Generation? .....	23
3.4	What is the Process for Earning and Receiving Performance Funds? .....	25
3.5	What is the Budgeting Process?.....	27
3.6	What is the Process for Receiving/Returning ICCB AEFL Funds?.....	36
4.1	What Should Be Included in the Student Intake Process?.....	39
4.2	What is AEFL Assessment? .....	44
4.3	What Are the Assessment Requirements for AEFL?.....	51
5.1	What Instructional Services are Allowable in ICCB Funded AEFL Programs? .....	53
5.2	What Are the Elements for an Approvable Course for AEFL?.....	55
5.3	What Is a Community College PCS/CIPS Code?.....	56
5.4	What Are the Considerations When Creating a Class? .....	57
5.5	How Are Classes Funded?.....	61
5.6	What Are Some Ways to Evaluate Instruction?.....	66
6.1	What Are Examples of Student Support Services for Students Engaged in Eligible AEFL Instructional Activities? ....	67
6.2	How Can I Provide Transportation and Childcare for Students? .....	69
6.3	What are the Administrative Requirements for Serving Students with Special Learning Needs?.....	72
7.1	What Is the NRS? .....	73
7.2	What Are the Core Measures and Criteria for NRS?.....	74
7.3	What Is the Procedure for Setting NRS Goals? .....	76
7.4	What Are the State and Federal Targets for Establishing NRS Program Measures?.....	77
7.5	How Is Program Data Viewed? .....	78

8.1	What Are the Components of a Quality Program? .....	79
9.1	How Can I Support My Staff in Their Pursuit of Professional Development? .....	87
9.2	What are the Requirements for Professional Development? .....	89
9.3	How Do I Create a Professional Development Plan? .....	92
9.4	What Are the Current Staffing Requirements for Adult Education and Family Literacy Professionals? .....	93
10.1	What Records Must My Program Keep? .....	95
11.1	What Types of Literacy Programming Can My Program Provide? .....	97
12.1	Why Are Programs Monitored?.....	99
12.2	What is the Monitoring Process? .....	100
13.1	What Reports Must Be Submitted to the ICCB Throughout the Year? .....	101
13.2	What Are the Characteristics of the ICCB Reports? .....	102
13.3	What Is the Format for Submitting the Reports? .....	105
14.1	What Is the Process for Auditing Adult Education and Family Literacy Providers? .....	107
15.1	What Are the Provisions of the GED Tests?.....	109
15.2	What Are the Provisions of the New Test?.....	112
	ICCB Adult Education and Family Literacy Staff Directory .....	114
	<b>Index:</b> .....	115

**Forms:**

- APC Change Form
- BEST Literacy Screener
- ICCB Budget and Operations Payment Request – EL/Civics
- ICCB Budget and Operations Payment Request – Federal Basic
- Federal Basic or EL Civics Grant Reconciliation Form
- ICCB AEFL Indicators of Program Quality Monitoring Document
- ICCB AEFL Monitoring Document
- Adult Education and Family Literacy Goal Modification Form
- Guidelines for Goal Modification
- Student Separation Form
- Student Intake Form
- Test Report for Transferring Students
- Out-Of-State/Country Professional Development Request Form
- National Reporting System (NRS) Goals By Level
- ICCB AEFL Final Expenditure Report Instructions
- Time Distribution Sheet

**Appendices:**

- Outcome Measures Definitions
- Equipment Report Instructions
- Professional Development Activity Flowchart for Instructional Staff
- Using the Professional Development Activity Flowchart
- Flowchart Examples
- New Teacher Orientation
- Abbreviations
- ICCB Adult Education ABE/ASE/ESL Generic Course List
- ICCB Adult Education and Family Literacy Audit Requirements

# Adult Education and Family Literacy Act

## *Intro 0.1 What Is the Purpose of the Federal Adult Education and Family Literacy Act of 1998?*

### **Overview**

The federal Adult Education and Family Literacy Act encompasses Title II of the Workforce Investment Act (WIA) of 1998. The act created new partnerships among localities, states, and the federal government to provide for adult education and family literacy services. While Title II retained adult education's commitment to the broad purposes of family, community, and work, the inclusion of adult education in the WIA was designed to promote coordination and partnerships between education and job training programs.

Congress envisioned that adult education providers would be more actively involved in the development of a state's job training system. It also envisioned that coordination of job training and adult education services would facilitate the elimination of the barriers facing individuals with low literacy skills who were seeking training and employment.

The most significant change in the statutory purpose from prior law was the inclusion of "family literacy services." The new emphasis on family literacy services provided federal support for adults to obtain the educational skills necessary to become full partners in their children's educational development.

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.

## ***Intro 0.2 How Does the Workforce Investment Act of 1998 Affect Adult Education and Family Literacy Providers?***

The WIA applies to adult education as it fits into the larger workforce development system in Illinois. The act attempts to create a new customer-oriented approach to job training by helping citizens access the services they need to manage their careers through information available at local One-Stop Centers. The State of Illinois has created the Illinois Workforce Investment Board and Local Workforce Investment Boards (LWIBs) in response to federal regulations. These boards are responsible for all activities included in WIA Title 1B.

The goal of WIA is to streamline services through One-Stop delivery systems that partner workforce and educational entities for easy access. The Adult Education and Family Literacy community, as a mandated partner in the local One-Stop Centers, has the right to a seat on the LWIB.

All partner seats are appointed by the Chief Elected Official within each Local Workforce Investment Area. In some areas, the adult education seat on the LWIB is held by the Area Planning Council (APC) chair. The APC chair is not entitled to the seat; however, the person appointed is to have optimum policymaking authority for adult education in his or her own organization. The LWIB adult education representative is responsible for keeping the community of Adult Education providers in the local area aware of the activities and discourse within the LWIB. Likewise, the LWIB adult education representative is expected to relay the adult education perspective to the LWIB. For more information, consult the *Federal Register* (65:156, p. 49300, under Subpart B – State Governance Provisions: 1. State Workforce Investment Board) and the *Code of Federal Regulations* (20 CFR 661.203).

*U.S. Department of Education*  
[www.ed.gov/](http://www.ed.gov/)

*Federal Register*  
[www.nara.gov/fedreg/](http://www.nara.gov/fedreg/)

*Code of Federal Regulations*  
[www.access.gpo.gov/nara/cfr/cfr-retrieve.html#page1](http://www.access.gpo.gov/nara/cfr/cfr-retrieve.html#page1)  
[www.access.gpo.gov/nara/cfr/cfr-table-search.html](http://www.access.gpo.gov/nara/cfr/cfr-table-search.html)

To learn more about the Workforce Investment Act, go to [usworkforce.org](http://usworkforce.org)

## **1.1 What Are the Application Procedures and Requirements for Becoming an Adult Education and Family Literacy Provider?**

The Illinois Community College Board (ICCB) will publish a Request for Proposals (RFP) annually and distribute it broadly. In addition, it will hold a bidders' conference to answer questions related to the RFP process. Dates for the distribution of the RFP and the bidders' conference can be found on the ICCB website at [www.iccb.state.il.us](http://www.iccb.state.il.us). The RFP will also be available for downloading from the website.

In a continuation year, the RFP may be distributed only to currently funded programs and a bidders' conference may not be held.

### **Eligible Applicants**

The following entities are eligible applicants for state and/or federal funds:

- Local educational institutions or agencies
- Community-based organizations of demonstrated effectiveness
- Volunteer literacy organizations of demonstrated effectiveness
- Faith-based organizations of demonstrated effectiveness
- Institutions of higher education
- Libraries
- Public housing authorities
- Consortiums of the institutions, agencies, organizations, libraries, or authorities described above

All applicants are strongly encouraged to attend and providers must be members of a local Area Planning Council (APC). If an applicant is planning to serve an area covering more than one APC, they must send separate applications for services provided in each APC. Funding each year is contingent upon a sufficient appropriation and the continuing applicant's satisfactory performance in the preceding year. See Section 2 for more information concerning APCs.

### **Evidence of Not-for-Profit Status and Other Documentation**

First-time Not-for-Profit applicants for funds under the authority of the Adult Education and Family Literacy Act must provide the following:

- Evidence of at least three consecutive years of successful agency operation by providing lists of board officers, annual reports, or other documentation
- Evidence of adequate liability insurance
- Evidence of at least three years of successfully providing direct Adult Education and Family Literacy (AEFL) services within the last five years as defined in Sections 6.2 and 6.3 of the State Plan; successfully providing adult education services that are defined in Section 6.2 of the State Plan may be substantiated by a combination of the following: instructor payroll records and/or instructor timesheets, student attendance and educational records, and curriculum and course descriptions

All private and public not-for-profit organizations must also supply the following:

- Evidence of incorporation, including name, address, and telephone numbers
- Evidence of IRS not-for-profit status (Section 501[c][3] of the *Internal Revenue Code*)
- List of current board members
- Agency audit summaries for the two most recently completed fiscal years that include a statement from an independent accountant verifying the applicant's use of generally accepted accounting principles
- Most recent A-133 audit summary or an independent program audit of any adult education funds (if applicable)
- Evidence proving that facilities are compliant with ADA

### **Target Population**

Strategies for the delivery of instructional services to populations should target low-income students; individuals with disabilities; single parents and displaced homemakers; and individuals with multiple barriers to educational enhancement, including individuals with limited English proficiency.

All applying entities **must** address the services or instruction proposed, 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 themselves to function effectively in society;
- (D) who do not have a secondary school diploma or its recognized equivalent, and have not achieved an equivalent level of education; or
- (E) who are unable to speak, read, or write the English language.

The primary intent of the federal Adult Education and Family Literacy Act is to serve those individuals without a high school diploma (with the exception of ESL learners). Priority services should be given to these individuals. Service to non-priority populations will be reviewed routinely by the ICCB.

### **Funding Allocations**

The ICCB awards funding on a multiyear grant to eligible applicants within the state to enable eligible applicants to develop, implement, and improve adult education and literacy activities. The provider must use the grant to establish or operate one or more programs that provide services or instruction in one or more of the following categories:

- Adult education and literacy services, including workplace literacy services
- Family literacy services
- English literacy programs

See Section 5.5 for further information.

*Illinois School Code (ILCS 405/1-3 and 5/10-22.20)* [www.legis.state.il.us/ilcs/ch105/ch105actstoc.htm](http://www.legis.state.il.us/ilcs/ch105/ch105actstoc.htm)

*The Illinois State Plan* [www.ed.gov/offices/OVAE/stateplans.html](http://www.ed.gov/offices/OVAE/stateplans.html)



## **1.2 How Are Applications Evaluated?**

Those applications meeting the eligibility criteria for funding will be considered by a review team composed of staff from the ICCB and from other state entities familiar with AEFL programming. New applicant proposals are evaluated based on the indicators of program quality listed below. Each new applicant proposal could receive a total score of up to 100 points. Continuing provider applicants were evaluated by teams of ICCB staff based on past performance and proposed services.

### **Program Planning (15 points)**

*Criterion 1:* The program has a planning process in place that is ongoing and participatory; guided by evaluation; and based on a written plan that considers community demographics, needs, resources, economic and technological trends, and is implemented to its fullest extent.

*Criterion 2:* The local communities have a demonstrated need for additional English literacy services and/or other literacy services funded under this RFP. The provider demonstrates a commitment to serve those most in need of literacy services.

*Criterion 3:* The activities and cooperative agreements will coordinate with other available resources in the community.

### **Educational Gains (15 points)**

*Criterion 1:* The applicant establishes realistic, measurable goals for the three core indicators: learning gains, secondary completions, and post-program outcomes.

*Criterion 2:* The applicant adequately describes methods used to measure improvements in literacy skills and documents past performance in improving the literacy skills of adults and families.

*Criterion 3:* The applicant documents past effectiveness in helping students successfully make transitions to more advanced education, training, or employment.

*Criterion 4:* The applicant describes a reasonable plan for helping students make the transition to advanced education, training, or employment.

### **Curriculum and Instruction (20 points)**

*Criterion 1:* The applicant's proposed curricula is appropriate for diverse populations and educational levels of students who will be served, is based on a strong foundation of research and effective educational practice, and provides learning in real-life contexts.

*Criterion 2:* The applicant's instructional practices and activities are proven to be effective in teaching individuals to read, built on a strong foundation of research and educational practice, and effectively employ advances in technology.

*Criterion 3:* The applicant documents that the proposed curriculum is of sufficient intensity and duration for participants to achieve substantial learning gains.

*Criterion 4:* The applicant adequately demonstrates its efforts and plans for collaboration to supplement and/or improve services available to students.

### **Staffing and Staff Development (15 points)**

*Criterion 1:* The applicant documents that its instructors, counselors, administrators, and other staff are well-trained and qualified.

*Criterion 2:* The applicant's staff development plan engages all staff and focuses on developing necessary skills and knowledge.

### **Support Services (15 points)**

*Criterion 1:* The applicant proposes to provide a wide range of non-instructional services and demonstrates how such services will improve educational success.

*Criterion 2:* The proposed plan demonstrates a range of collaborations to supplement non-instructional services.

### **Recruitment (5 points)**

*Criterion 1:* The target populations include those most in need of services and students with special needs.

*Criterion 2:* The applicant's recruitment plan proposes a wide variety of strategies to successfully engage and enroll a sufficient number of students from the identified target populations.

**Retention (5 points)**

*Criterion 1:* The applicant proposes a variety of recruitment strategies to keep students enrolled and actively participating.

*Criterion 2:* The proposed retention strategies will enable students to meet their educational objectives and make transitions to advanced education, training, or entry into the workforce.

**Funding Request (10 points)**

*Criterion 1:* The applicant proposes a reasonable funding request in relationship to programs and services proposed.

*Criterion 2:* The applicant proposes a reasonable funding request in relationship to estimated number of students/clients to be served.

*Criterion 3:* The applicant proposes a reasonable funding request in relationship to estimated student/client outcomes to be achieved.

Successful applicants will enter into contractual agreements with the ICCB. The contract will include all certifications, including Assurances, Drug-Free Workplace, Debarment, and Lobbying. The ICCB reserves the right to negotiate the award amount, budget items, and proposed activities with the selected applicant prior to entering into a contract. Failure of the successful applicant to accept these obligations may result in the cancellation of the award.

### ***1.3.1 How Do I Make Changes to the Application During the Course of a Year?***

Any changes to the approved application for the delivery of AEFL services must be submitted to the ICCB for approval. If changes involve sites and services, the APC chair must be notified according to the procedures in Section 2.3. Once the APC has approved the application, changes should be sent to the Illinois Community College Board. See Section 17 for the APC Change Form.

All other programmatic changes occurring during the fiscal year must be submitted to Program Compliance in letter form stating the change. Any change in contact information (all persons included on Attachment 1 of the RFP) must be immediately submitted and include appropriate e-mail addresses, phone numbers, etc. New courses proposed during a program year must be approved before offering them to students. Any changes in partnership/subcontractor agreements must also be approved prior to implementation.

All of the above changes should be sent to:  
Illinois Community College Board  
Adult Education and Family Literacy/Program Compliance  
401 E. Capitol Avenue  
Springfield, IL 62701

## **2.1 What is the Mission of an Area Planning Council, and How Does It Function?**

### **Mission of the Area Planning Council and Boundaries:**

According to state statute, the Area Adult Education Plan shall provide for the development and coordination of adult education programs in the area. (105 ILCS 405/2-4)

The APC pledges to serve the eligible population, which includes adults, age 16 years and older; 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 be able 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.

APCs are established within the boundaries of each community college district. The Department of Corrections School District maintains a separate APC. APCs may also elect to form a joint APC consisting of two or more community college districts if approved by the ICCB.

### **APC Membership**

The APC planning process is intended to be inclusive of all ICCB AEFL providers and any other entities that serve adult education learners within the APC boundaries. The ICCB requires that all Adult Education funded providers be members of their local Area Planning Council. The following entities are entitled to one representative on the APC as per 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;
- and the community college.

Related community representatives are strongly encouraged to participate in the Area Planning Council.

Participation in an APC does not guarantee ICCB AEFL funding. New applicants are strongly encouraged to participate in the APC planning process to demonstrate their commitment to providing services in the prescribed area.

## **Area Planning Council Management Requirements**

1. Each APC is required to meet at least two times during each fiscal year, although most APCs recognize a need to meet more often.
2. APCs must develop and adopt bylaws that govern the operation of the APC, including voting rights. A copy of the bylaws must be submitted to the ICCB after their adoption. If bylaws are revised, a copy of the revised bylaws must be submitted.
3. Each APC will be responsible for recording and maintaining a file of the minutes of all meetings. A copy of all minutes should be forwarded to the appropriate Regional Program Support Specialist.
4. Required members and entitled representatives are allowed one vote per institution.
5. The chair of the APC must be a funded provider.
6. Each APC must determine its own meeting schedule for each fiscal year. This schedule must be submitted to the ICCB.
  - a. The first meeting of each fiscal year will be called and convened by the previous year's chairperson who:
    - i. will describe the roles and responsibilities of the APC and review the former bylaws and guidelines and
    - ii. will conduct an election to select a member as the chairperson, vice chair/co-chair) and or/secretary.

## **Changes to the Area Plan:**

All changes to the approved Area Plan, including sites and services must follow the following procedures:

1. Submit the change to the chair of the APC or adhere to the local APC's bylaws.
2. Inform all members of the change(s), allowing ten business days for a response.
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 Section 2.2.
5. All members of the APC will be notified of the results of the Minority Report.
6. After APC adoption, submit a copy of the APC Change Form from the Forms section of this manual to:  
AEFL Program Compliance  
Illinois Community College Board  
401 E. Capitol Avenue  
Springfield, IL 62701

## **2.2 What Is Contained in the Area Plan?**

The Area Plan is a document that demonstrates that the AEFL providers in each district have worked together to better understand the needs of the area. The Area Plan focuses on coordination of resources and services regardless of ICCB AEFL funding status.

On or before March 1 of each year, each APC must submit an annual Area Plan. The plan should provide for the development and coordination of AEFL services in the planning area. Each year, the ICCB will provide each APC with the forms, due dates, and requirements for the Area Plan. Each APC is responsible for submitting the annual Area Plan for approval.

### **Minimum Components of an Area Plan**

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 and recommendations for a delivery plan
- Inclusion of data that supports the need 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

Preparation of the Area Plan should follow the process outlined in the APC's bylaws. In many APCs, the members agree to the plan through a consensus. Some APCs hold a formal vote. If some members do not agree with the Area Plan, they may submit a Minority Report with the Area Plan.

### **Minority Report**

The following are the procedures to submit a Minority Report:

1. Dissenting members of the APC should explain the specific decision being sought and justification for seeking that decision in the Minority Report. The report must be signed by the dissenting members of the APC.
2. The Minority Report should be submitted with the Area Plan to the ICCB.
3. The Minority Report will be reviewed by the ICCB Adult Education Review Committee.
4. The Review Committee's recommendation, together with the Area Plan and the Minority Report, will be returned to the APC for consideration.

5. Within ten days of receipt of the recommendation, the APC will decide either to accept and adopt the recommendation or to appeal the recommendation.
6. If the recommendation is accepted, the APC will revise its Area Plan accordingly and return it to the ICCB Adult Education Review Committee, which will proceed with the review and processing of the plan.
7. 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.
8. A further review of the information will be conducted by the ICCB Adult Education Review committee. Additional information may be requested which may include a meeting of the APC and the ICCB.
9. ICCB has the final decision.
10. 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.

*PA 91-830, ILCS 405/2-4*

[www.legis.state.il.us/ilcs/ch105/ch105actstoc.htm](http://www.legis.state.il.us/ilcs/ch105/ch105actstoc.htm)



### **3.1 *What Sources of Adult Education and Family Literacy Funds Are Available, and What Are the Policies Regarding Their Use?***

#### **Sources of ICCB AEFL Funds**

Each funding source directs the statutory regulations, policies, guidelines, and dictates the way dollars may be spent. There are two competitive sources of funds for Adult Education and Family Literacy provided through the ICCB:

1. **STATE FUNDS** including:
  - State Basic,
  - State Public Assistance, and
  - State Performance
2. **FEDERAL FUNDS** including:
  - Federal Basic and
  - Federal EL/Civics.

Funding is allocated through a competitive process outlined in Section 1.0 of this manual and located in the most recent RFP (see Section 5.5 of this manual).

## Funding Policies

AEFL funds are **restricted purposes funds** designated for specific use and may only be expended under ICCB guidelines. In using these funds, consider the following:

1. Each funding source must be tracked separately within an individual budget.
2. Each funding source may only serve specific populations as indicated in the following chart:

<b>Funding Category</b>	<b>Requirements for Maintenance of Funding</b>	<b>Expenditure Rules</b>	<b>Eligible Instructional Types</b>
<b>State Basic</b>	Generate Instructional budget line Expend all funds	Minimum 45% on Instruction Maximum 9% on General Administration	ABE, ASE, ESL, HSCR, VOC
<b>State Public Assistance</b>	Generate Instructional budget line Expend all funds Maintain compliance with 90/10 rule.	Minimum 45% on Instruction Maximum 9% on General Administration	ABE, ASE, ESL, HSCR, VOC; services to Public Assistance students with valid ID only*
<b>State Performance</b>	Expend all funds	Maximum 9% on General Administration	ABE, ASE, ESL, HSCR, VOC
<b>Federal Basic</b>	Generate Instructional budget line Expend all funds	Minimum 45% on Instruction Percent Negotiated for Program Support	ABE, ASE, ESL, HSCR
<b>Federal EL/Civics</b>	Generate Instructional budget line Expend all funds	Minimum 45% on Instruction Percent Negotiated for Program Support	Civics instruction taught in English; if pre- and post-tested**

\* For approved categories, see Section 13.2.

\*\*For further restrictions regarding the use of Federal Basic funds and for restrictions regarding the use of Federal EL/Civics funds, see Section 5.5.

3. Records must be maintained to support the appropriate usage of AEFL funds.
4. A written purchasing policy that includes appropriate checks and balances to ensure that state and federal funds are properly spent should be maintained and followed.
5. Amounts reported as expenditures must be for allowable services and must reflect actual expenditures.
6. Fifty-one percent or more of the instructional cost must be paid with ICCB AEFL funds to claim units for generation (see Section 3.3).

7. Claims for allocated funds must be generated throughout the fiscal year, and records must support the claims. At midterm, 40% of the instructional line of each funding source (except State Performance) must be generated. 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 2<sup>nd</sup> Quarter Master List reflects compliance with this rule. At the end of the year, 100% of the instructional line of each funding source (except State Performance) must be generated.
8. Budgets within a single funding category may be modified without requesting approval from the ICCB as long as the changes do not affect percentage requirements.
9. These are restricted purposes funds and may not be transferred to other grants. Existing Instructional or Support Services may not be duplicated. The AEFL funds are to supplement not supplant existing resources (Section 231(d) Special Rule, and 241(a), Supplement Not Supplant, of the Workforce Investment Act of 1998).

\*For further explanation of the 90/10 rule, see Section 5.5 of this manual.

### **Federal Funds Only**

For Federal funds, ICCB AEFL-funded programs are required to adhere to the following guidelines as indicated in *The Education Department General Administrative Regulations* (EDGAR) [ocfo.ed.gov/grntinfo/edgar.htm](http://ocfo.ed.gov/grntinfo/edgar.htm).

- 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:
  - the Grantee receives less than \$120,000 in Federal awards per year;
  - 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
  - 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.

Any interest earned must be expended on this program or returned to the ICCB.

- The timing and amount of federal funds requested should be as close as administratively feasible to the actual obligations.
- Time distribution sheets must be maintained for all staff members paid on more than one federal fund.

**Stevens Amendment of the Department of Defense Appropriations Act 1998**

This amendment mandates that issuing statements, press releases, bid solicitations, and other documents describing programs funded in whole or in part with federal money, all grantees receiving federal funds, including but not limited to local and state governments, shall clearly state the following in accordance with the Stevens Amendment: (1) the percentage of the total cost of the program which will be financed with federal money and (2) the dollar amount of federal funds for the program.

*For additional information regarding funding policies, refer to Section 5.5.*

### **3.2 What Are the Policies Regarding Subcontracting?**

Expenditure rules for AEFL programs allow for subcontracting. If an AEFL provider chooses to subcontract for the provision of services, all stipulations regarding the contract become the responsibility of the AEFL-funded program. The contracting agency must have a written agreement with the subcontracting agency indicating the conditions of the agreement. A copy of the signed agreement must be maintained with the program Administrative Records. **The ICCB reserves the right to evaluate and approve all subcontracting agreements.**

**In establishing any subcontracts, the contracting agency is responsible for ensuring that all subcontractors follow the ICCB AEFL program policies and procedures, stipulations in the Grant Agreement, and the guidelines in EDGAR. These records are subject to audit and monitoring/evaluation and as such must be kept at the contractor site as stipulated in Section 10.**

#### **Written Agreement Information**

It is *required* that the written agreement contains the following information regarding subcontracting:

- Name(s), address(es), and telephone number(s) of subcontractor(s)
- Associated cost (i.e., amounts to be paid under subcontracts)
- Projected number of participants to be served
- Proposed services provided by subcontractors
- Time frame of agreement

It is *recommended* that the written agreement contain the following information regarding subcontracting:

- Reporting requirements and policies including due dates
- Payment Schedule
- Conditions for amending the agreement
- Terms/Conditions for dissolution of the agreement

## **Records**

It is *required* that the contracting agency maintain the following records on subcontractor(s):

- Subcontractor selection process and evaluation
- Subcontractor qualifications

It is *recommended* that the contracting agency maintain the following records on subcontractor(s):

- Evidence of adequate liability insurance
- Private and public not-for-profit organizations must supply the following:
  - Evidence of incorporation
  - Evidence of IRS not-for-profit status (Section 501(c)(3) of the Internal Revenue Code)
  - List of current board members including name, address, and telephone numbers
  - Agency audit summaries for the two most recently completed fiscal years that include a statement from an independent accountant verifying the applicant's use of generally accepted accounting principles
  - Evidence proving that facilities are Americans with Disabilities Act (ADA) compliant

### 3.3 What is Generation?

#### Definition of Generation

Generation is a formula by which a unit of instruction is converted to real dollars, based on established rates in state statute. It is calculated based on units of instruction times the established rate. The Instructional line of each budget for State Basic, State Public Assistance, Federal Basic, and Federal EL/Civics must be generated. The Instructional line of the State Performance budget does not have to be generated; however, if 51% of the instructional costs for a student are funded with ICCB AEFL State Performance funds, the student must be assigned to State Performance when entered into the STAIRS data system.

Illinois PA 91-830 defines the rules for generating an allocation. Three factors determine the actual amount of funds to be reimbursed to a program:

1. the formula in PA 91-083, which establishes the maximum reimbursement per unit of instruction,
2. the approved budget, and
3. actual expenditures.

#### Generation Criteria

The following criteria are used to calculate generation:

1. One unit of instruction is equal to 15 hours of direct instruction provided by a paid instructor for a student enrolled in an approved class.
2. To claim a unit, the student must....
  - be enrolled and assessed by the third scheduled class period in a fixed-entry class.
  - be assessed by the third day of attendance in an open entry class.
  - have attended a minimum of 7.5 hours of direct instruction.
  - be making satisfactory progress at midterm.\*
  - not have five absences in a row prior to midterm. In a fixed enrollment program, students who have been dropped for five absences in a row 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.
3. Claimable units are those for which 51% of the instructional costs for a student are provided by ICCB AEFL funds.
4. Rates are established annually according to State law subsections 6(a) through 6(d) of Section 18-8 of the *Illinois School Code*.
  - **Adult Basic Education** (grade level equivalent of 0-8.9): The maximum reimbursement per unit of instruction is multiplied by 1.
  - **Adult Secondary Education** (grade level equivalent of 9.0 and above): The maximum reimbursement per unit of instruction for ABE is multiplied by .9.
  - **Vocational Skills Training**: The maximum reimbursement per unit of instruction for ABE is multiplied by 1.25.

- **English as a Second Language:** The maximum reimbursement per unit of instruction for ESL is the ABE rate multiplied by 1.
5. All providers generate at the same rate based on units of instruction and instructional category.

**Note:** Generation is automatically calculated in the STAIRS system.

\*Satisfactory progress at mid-term is defined as enrollment in, active participation in, and pursuit of educational objectives as evidences by student records of progress as verified by the instructor.

For assistance with calculating generation, see the ICCB AEFL website [www.iccb.state.il.us/adult edu/adulted/html](http://www.iccb.state.il.us/adult%20edu/adulted/html).



### **3.4 What Is the Process for Earning and Receiving performance Funds?**

#### **Earning Performance Funds**

Each year, the ICCB receives a set amount of Performance funds from the state. Programs are awarded these funds based on the following Performance Indicators:

1. **Levels gained** (includes Vocational [VOC] and Citizenship completions)
  - a. *Levels gained*: The number of federally defined levels completed by learners computed from test scores.
  - b. *Vocational*: The number of documented, self-reported vocational completions.
  - c. *Citizenship*: The number of documented, self-reported citizenship completions.

*Source*: STAIRS

2. **Secondary completions** (GED and High School completions)
  - a. *GED completions*: The number of learners whose electronic record matched the database of GED records from testing centers.
  - b. *High School completions*: The number of documented, self-reported high school diplomas.

*Source*: GED: data matched with STAIRS and ICCB annual Enrollment and Completion Records; High School Completion: STAIRS

3. **Test score gains**
  - a. *Definition*: The sum of reported non-negative test scores from pre-test to post-test.

*Source*: STAIRS

#### **Receiving Performance Funds**

Performance funding is based upon the total of all providers' data submissions regarding the above listed Performance Indicators from two years prior to the fiscal year date of the current contract. The amount of funds providers receive varies from one year to the next. A provider may have increased performance and yet be receiving less funds or a smaller percentage of the total Performance funds due to the following:

- The amount of Performance funds available for allocation by the ICCB may be less than the previous year.
- The rate of the individual provider increased performance may be lower than the system average.

Performance awards are distributed with all other state funds on a quarterly basis. Performance funds may not be carried over into the next fiscal year. Unspent funds must be returned to the ICCB by the end of the fiscal year.

**SPECIAL NOTE:** Effective with the implementation of the ICCB AEFL Funding Formula, Performance awards will be based upon a three year rolling average of outcomes for the above listed Performance Indicators. The following is a schedule of the average in the first years of the formula:

- FY06 Performance funding will be based on only one year of Performance Indicator Outcomes.
- FY07 Performance funding will be based on an average of two years of Performance Indicator Outcomes.
- FY08 and subsequent years will be based on a three year rolling average of Performance Indicator Outcomes.

### **3.5 What Is the Budgeting Process?**

After receiving the allocation amount and returning the signed grant agreement to the ICCB, a program must develop a Post Allocation Budget. The Post Allocation Budget Form must be used to submit a budget for each source of funds (i.e., State Basic, State Public Assistance, State Performance, Federal Basic, and EL/Civics funds).

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 percentages established for Program Support in Federal Basic or Federal EL/Civics or the required percentages for State and Federal Budgets.

Programs must remember....

- These are restricted purposes funds and as such may not be transferred.
- Existing Instructional or Support Services may not be duplicated.
- The AEFL funds are to supplement not supplant existing resources (Section 231[d] Special Rule, and 241[a], Supplement Not Supplant, of the Workforce Investment Act of 1998).

The following definitions provide guidance for completing the Post Allocation Budget Form:

#### **Line Items**

1. *Instruction:* The teaching of students or the direct interaction between a paid instructor—51% of the cost of which has been paid with ICCB AEFL funds—and students. Consider the following when developing the Instructional line of the budget:
  - Instruction may be provided for students in a classroom and in other learning environments.
  - Include the activities of paid aides or paid assistants of any type that assist in the instructional process.
  - Substitute instructors' salaries and benefits should be paid from the Instruction line.
  - Salaries and benefits for those instructors attending professional development activities must be transferred from the Instructional line to the Improvement of Instructional Service line.
  - 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.
  - Instructional items, such as blackboards, chalk, maps, texts, and teaching materials, are included under Supplies and Materials.

- Equipment, such as computers, printers, software, desks, tables, chairs, file cabinets, and bookcases 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.
2. *Social Work Services*: This area provides activities for . . .
    - improvement of students' attendance;
    - identification of patterns of non-attendance;
    - interventions to assist students dealing with problems involving the home, school, and community;
    - provision of referral assistance, and/or;
    - retention strategies.
  3. *Guidance Services*: This area provides activities that pertain to counseling students...
    - regarding learning styles/problems;
    - to evaluate their own abilities;
    - to assist them in making their own educational and career plans and choices;
    - to assist them in personal and social development;
    - to assist other staff members in planning and conducting guidance programs, and/or;
    - 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.
  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.
  - Volunteer Literacy may include activities that support classroom instruction and increased student learning gains such as coordination, tutor training, and tutor scheduling.
  - 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.
  - 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 caregiver 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 (see Section 9.1 for requirements, allowable costs, and non-allowable costs).
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:
  - Program administration activities
  - Program coordination activities
  - Finance and accounting activities
  - Secretarial activities
  - 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:
  - ICCB AEFL approved data system
  - Recruitment of students
  - Public relations functions
15. *Approved Indirect Costs*: Indirect Cost rates must be negotiated with the ICCB. The formula for calculating Indirect Costs is found on the bottom of each budget form. The Indirect Cost rate must be uniform across all budgets. For example, if a rate of 5% is used for the State Basic budget, that same rate must be used for all of the other budgets.
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:
  - 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).
  - Unemployment insurance
  - Workers compensation
  - Postal costs
  - Telephone costs
  - Mileage costs
  - Registration costs
  - Lodging and per diem costs
  - Field trip costs
  - Catering costs
  - 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 nonexpendable, 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 under written 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 outside.

## 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 Teacher's 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 may be charged proportionately to all sources of funds used to pay the employee's salary, regardless of the retirement system used.

- *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.
- *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.
- *Loans:* Programs are not permitted to use state and federal grant funds to pay interest expense on borrowing, financing, and refinancing operations.
- *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 [www.stateuniv.state.il.us](http://www.stateuniv.state.il.us). Programs must consistently follow one policy, however.
- *Equipment:* Equipment is defined as tangible nonexpendable property having a useful life of more than one year. The following contains guidelines for meeting the accountability requirements for equipment purchases with AEFL funding:
  - The purchase of new or used equipment is permissible with grant funds.



- ICCB and the grantee maintain joint ownership of all such equipment.
- ICCB must approve any changes in the intended use of such equipment.
- More than one source of funds may be used to purchase equipment. The breakdown of funds must be indicated on the inventory.
- The following conditions must be met when *purchasing equipment*:
  - *Reasonable and Necessary*: The equipment is reasonable and necessary to effectively operate the AEFL program.
  - *Need*: Existing equipment is not sufficient.
  - *Reasonable Cost*: The cost is reasonable.
- The following conditions must be met when *leasing equipment*:
  - Lease purchases that span more than one grant year are permissible.
  - Costs can be recovered from more than one year of grant funds.
- The following provisions should be understood related to such situations:
  - Interest and finance charges cannot be charged to federal grants. 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.
  - The grant recipient must keep financial and programmatic records that document the disbursement of funds associated with the agreement.
  - Lease purchases are budgeted under Purchase 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.
  - Grant continuation from the ICCB cannot be guaranteed.
- A local equipment inventory is required for all items of equipment purchased with state or federal funds that meet the above equipment definition. The local grantee should inventory all items of equipment documenting:
  - the date of purchase
  - item description
  - serial/model number
  - institutional tag number if applicable
  - purchase price
  - location of equipment
  - funds used for purchase
  - date of disposal
  - method of disposal
- A statement of all equipment purchased or leased exceeding \$5,000 per unit must be submitted to the ICCB at the end of each fiscal year.

- A control system must be developed to ensure adequate safeguards to prevent loss, damage, or theft of the property. Any loss, damage, or theft shall be investigated and fully documented by the ICCB.
- Adequate maintenance procedures must be developed to keep the property in good condition.
- If the grantee or subgrantee is authorized or required to sell the property, proper sales procedures must be established to ensure the highest possible return (see Section 5.8.5, Equipment Disposition in EDGAR).
- All equipment or property purchased with state and federal funds shall be identified and marked as such.
- Grant funds may be used to repair AEFL equipment that is part of a project or program. This applies to equipment purchased with or without public assistance, state, and federal funds. A grant recipient is also authorized to maintain existing equipment and buy new parts for existing equipment even though it may not be considered a repair.
- When equipment is no longer needed for the original project or program for which it was acquired, the equipment shall be used, by ICCB if needed, in other AEFL projects or programs. If the equipment is not needed in any other project or program, it may be retained, sold, or otherwise disposed of. The following specific procedures to eliminate any item from the AEFL inventory must be followed:
  - Items of inventory may be sold or otherwise disposed of with no further financial obligation to the ICCB if the equipment item has a per-unit current fair market value of less than \$5,000. The disposal of such items should be so noted on the equipment inventory.
  - Items of equipment with a per unit current fair market value of \$5,000 or more may not be disposed of without approval from the ICCB. An Equipment Deletion Report must be completed and submitted to the ICCB. Permission to dispose of such equipment will be granted in writing following a review of the report.
- Instructions, such as the following, that authorize the site or trade-in of the equipment will be included:
  - Obtain and submit, with the equipment disposal requests, two signed bids from potential purchasers or two appraisals from authorized appraisers to determine the current market value.
  - Equipment may be traded in when purchasing replacement equipment to reduce the cost of the equipment being purchased.
  - The ICCB representative will issue instructions that authorize the sale of the equipment to the highest bidder. If the equipment is sold, \$100 or 10% of the total sales proceeds, whichever is greater, may be deducted and retained from the amount otherwise due for selling and handling expenses. The remaining proceeds must be forwarded to ICCB.

See Section 13.2 for further information regarding equipment reporting.

- *Higher Expense Purchases:* The Public Community College Act, 110 ILCS 805/3-27.1, requires providers to “award all contracts for purchase of supplies, materials or work involving an expenditure in excess of \$10,000 to the lowest responsible bidder considering conformity with specifications, terms of delivery, quality, and serviceability.” Grantees should develop policies and procedures that, at a minimum, comply with these provisions of the Public Community College Act.

**The Public Community College Act**

*Illinois Compiled Statutes (110 ILCS 805)*

[www.legis.state.il.us/ilcs/ch110/ch110act805articles/ch110act805Sub1.htm](http://www.legis.state.il.us/ilcs/ch110/ch110act805articles/ch110act805Sub1.htm)

**Education Department General Administrative Regulations (EDGAR)**

[ocfo.edu.gov/grntinfo/edgar.htm](http://ocfo.edu.gov/grntinfo/edgar.htm)

### **3.6 What Is the Process for Receiving/Returning ICCB AEFL Funds?**

#### **State Funds**

After allocations have been determined and contracts have been signed, local providers will receive payments of state funds (which could include State Basic, Public Assistance, and State Performance) on a quarterly basis for the first two quarters. The third and fourth quarter payments are adjusted in relationship to the funding generated through the first two quarters.

#### **Federal Funds**

Federal funds (which could include Federal Basic and/or EL/Civics funds) **must** be requested from ICCB by using the Payment Request Form included with the Contract between ICCB and the Adult Education Provider. A sample copy of this form is included in Section 17. Providers may request funds be dispersed on a recurring monthly or quarterly basis or on an as needed basis. When requesting funds, providers should remember that all Federal funds must be dispersed by the local program within 30 days of receipt. **All Federal funds should have been requested prior to July 30 of the current fiscal year.**

#### **40% Generation Requirement**

Upon submission of the Mid-Year Enrollment Report, the ICCB will review the Instructional funding generated for each program. Programs not generating 40% of **each** Instructional budget of all funding sources, except State Performance, by midyear will have the third quarter payment of the non-generated funding source held. When 40% of an Instructional budget from a held funding source has been generated, programs must resubmit the Mid-Year Enrollment Report and funds for that funding source will be released. 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 2<sup>nd</sup> Quarter Master List reflects compliance with this rule.

#### **Returning Funds**

Programs receiving funds will be required to return funds for reasons such as the following:

- If the reported expenditures for a full fiscal year are less than funds received through the payment schedule
- If the Instructional generation is less than 45% of the final actual expenditures
- If the final external audit identifies unspent or inappropriate use of funds
- If the Cumulative State Public Assistance Master List exceeds the 90/10 rule
- If the monitoring visit identifies mis-spending of funds

If a program does not expect to generate the full Instructional budget for any funding source or expend the total AEFL grant allocation, contact the appropriate Regional Program Support for Technical Assistance and the Senior Director for Adult Education and Family Literacy to discuss the de-obligation of funds. Programs should regularly review generation and expenditures throughout the fiscal year to determine if they have funds to release or could use additional funds as provided through the annual release/request process.

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.

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 15.

\* For further explanation of the 90/10 rule, see Section 5.5 of this manual.



## **4.1 What Should Be Included in the Student Intake Process?**

The intake process is the key to a successful program. Intake is the point where programs can work with the student to clarify goals and explain available options. At intake, assessment will occur to determine the proper instructional level at which a student will enter. In addition, it is an opportunity to identify the need for support services such as childcare and transportation. Once the information is compiled, it will assist programs in determining the kinds of services needed to help students meet their educational goals and transition into employment or postsecondary education.

### **Intake Forms**

To facilitate the intake process and meet the requirements for maintaining student data, an Educational and Employability Plan (EEP) must be completed for each student. **The EEP is an important document that must be signed by the student and maintained in the student's file.** A sample Adult Education and Family Literacy Student Intake Form that meets the requirements of the EEP has been included in this manual to assist providers with the intake process. The Adult Education and Family Literacy Student Intake Form is aligned with STAIRS to ease the data entry process at the program level. A program can use any locally developed intake form that meets EEP requirements. The Adult Education and Family Literacy Student Intake Form can be found in Section 17 of this manual or downloaded from [www.iccb.state.il.us/HTML/adulted/adulted.html](http://www.iccb.state.il.us/HTML/adulted/adulted.html).

Properly recording information, particularly student goals, on the Student Intake Form is essential because it becomes the criteria used to measure student success.

### **Orientation**

Providers should have a procedure in place for orienting students to the program and helping them set goals for instruction. The proper time for this process to occur is when the learner first enters the program.

### **Assessment**

An integral part of the intake process includes assessment. The accurate placement of students into educational functional levels is critical. Such placement is not only good instructional practice, but allows for an accurate measure of educational gain. Pre-testing is required by either the third class meeting for the class (fixed-entry) or by the student's third class period (open-entry), in order to have a baseline to determine student progress. Throughout the program, there is ongoing progress evaluation, and post-testing is required to measure student progress. A detailed discussion of Assessment can be found in Sections 4.2 and 4.3.

## **Goal Setting**

The National Reporting System (NRS) for Adult Education requires students to choose a primary goal at intake. At this time, a student can choose an optional secondary goal if appropriate. The NRS was established to develop an accountability system for the federally funded Adult Education program. This system includes a set of student measures to facilitate assessment of the impact of adult education instruction; methodologies for collecting the measures; reporting forms and procedures; and training and technical assistance activities to assist states in collecting the measures. Detailed information about NRS can be found at [www.nrsweb.org](http://www.nrsweb.org) and in Section 7 (NRS).

At intake, setting students' goals is an integral part of the education process. Establishing goals not only helps define the areas in which instruction and learning are to be focused, but goals also provide a benchmark by which programs and students can assess student progress. Student goals should be established based on instruction. These goals should be reasonable and attainable during the current fiscal year.

Students should meet with an instructor or counselor a minimum of one additional time to review goal appropriateness and student progress.

## **Procedure to Select Goals for Student**

Goal setting should be a collaborative process between the provider and learner. A program **must assist a student in setting a primary goal** while an optional secondary goal may be selected, if appropriate. For STAIRS reporting that drives the NRS accountability initiative, a reasonable short-term goal attainable in the program year should be specified as the primary goal. If the optional secondary goal is selected, that goal must also be attainable in the program year. If a student chooses a primary and secondary goal, both goals will be tracked.



A Goal Matrix has been developed at the state level and has been included in the Appendices to assist programs in helping students select attainable and measurable goals. Learners are able to select from the ten goals in the following chart.

<b>NRS Goals</b>	<b>Definition</b>	<b>Data Match at State Level</b>	<b>Match Source</b>
<b>Obtain a job.*</b>	Obtain full- or part-time employment	Yes	IDES: UI Wage Data.
<b>Retain current job.*</b>	Upgrade skills to enable retention of current job	Yes	IDES: UI Wage Data.
<b>Improve current job.*</b>	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.	Yes	IDES: UI Wage Data.
<b>Earn a secondary school diploma or achieve a GED certificate*</b>	Achieve sufficient skills and credit hours to earn a state accredited secondary diploma or pass the GED Test.	Yes	ICCB: GED Testing Site Database Records. Self-Reported High School Diploma recorded in STAIRS.
<b>Enter postsecondary education or job training*</b>	Achieve skills to enable enrollment in a postsecondary education program or job training program.	Yes	ICCB: Community College Enrollment and Completion Data.
<b>Improve basic literacy skills.</b>	Improve overall foundational reading, writing or math literacy skills.	No	Self-Reported in STAIRS.
<b>Improve English skills.</b>	Improve overall skills in the English language (e.g., speaking, reading, writing).	No	Self-Reported in STAIRS.
<b>Obtain citizenship skills.</b>	Obtain skills to pass the citizenship test.	No	Self-Reported in STAIRS.
<b>Achieve work-based project learner goal.</b>	Obtain the skills needed to complete a project learner activity (i.e., a course of 12-30 hours duration designed to teach specific workplace skills).	No	Self-Reported in STAIRS.
<b>Other personal goal.</b>	Any goal related to instruction with a clearly definable outcome (such as passing a driver's test).	No	Self-Reported in STAIRS.

\* Follow-Up Measures (see page 43)

Providers will be held accountable for whether the learner achieves a selected goal. During your goal-setting process, consider whether there is a realistic chance that the student can achieve the goal during the time he or she will be attending during the fiscal year. For example, it is unlikely that students who are assessed into the lower level (e.g., ABE Beginning Basic Education) will enter postsecondary education or pass the GED test during this short period of time. In this instance, a provider would advise a learner to choose a goal attainable for that fiscal year such as “Improve Basic Literacy Skills.”

Assisting learners in selecting employment goals may be more difficult. During the goal setting process, explore with the learner the skills he or she needs to get a job and assist them in developing a realistic timeline to attain these skills. If a learner is in a lower level instruction, such as ESL Beginning Literacy or ABE Beginning Literacy, it is likely that an individual would have to improve his or her English language or basic literacy skills. Therefore, “Improve English Language Skills” or “Improve Basic Literacy Skills” should be selected.

As stated earlier, for guidance on properly setting learner goals, please refer to the NRS Goal Matrix in the Appendices.

If, during mid-year goal consultation, the student wants to change their original goal, the program **must** document this change using the NRS Goal Change Form (Section 17) and place this form in the student file. Only then should the goal be changed in the STAIRS system.

## **Procedures for Supporting Student Follow-up to Determine Goal Attainment**

The NRS includes certain outcome measures that must be collected from students after they separate from the program. The follow-up measures include Obtain a Job, Improve Current Job, Retain a Job, Earn a Secondary School Diploma or Achieve a GED Certificate, or Enter Postsecondary Education or Job Training. Under NRS guidelines, these measures are collected only from students who designate these outcomes as a primary or secondary goal at intake.

Data matching, which is completed at the state level, removes the burden on programs to obtain information about students with follow-up goals. Data matching links records from STAIRS to other administrative databases that have the needed information on the same people. For example, by using Social Security Numbers, student records from a program can be matched to the state unemployment insurance (UI) wage database to determine whether a student was employed or if he or she retained employment.

The ICCB-funded Adult Education and Family Literacy (AEFL) programs are responsible for recording the outcomes for all other goals—Improve Basic Literacy Skills, Improve English Skills, Obtain Citizenship Skills, Achieve Work-Based Project Learner Goal, and Other Personal Goal—for learners in STAIRS; however, during the fiscal year, if the program knows a learner achieved a follow-up goal—Obtain a Job, Retain a Job, Earn a Secondary School Diploma or Achieve a GED Certificate, or Enter Postsecondary Education or Job Training—this outcome information should also be recorded in STAIRS.

### **Data Inclusion Requirements for NRS Report**

To be included in federal NRS reporting, individuals need:

1. a minimum of 12 hours of attendance,
2. test scores properly reported in STAIRS, and
3. a primary goal for appropriate learners must be selected.

If a student separates from the program, it should be coded correctly in STAIRS. Per NRS guidelines, follow-up goal 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 he or 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.

A sample Adult Education and Family Literacy Separation Form has been included in Section 17 to assist providers with the separation process. It can also be downloaded from [www.iccb.state.il.us/HTML/adulted/adulted.html](http://www.iccb.state.il.us/HTML/adulted/adulted.html).

## **4.2 What is AEFL Assessment?**

### **Introduction**

Assessment is an integral part of any instructional program. It is conducted to place learners in appropriate instructional levels, to measure ongoing progress, to identify learner strengths and weaknesses, to qualify learners for academic and vocational programs, to demonstrate learner gains, or to determine program effectiveness. Different forms 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 required by the student's third class meeting in the enrollment period (open-entry classes) or by the third class period of the class (fixed entry class) to establish a baseline to determine student progress. Throughout the program, there is ongoing progress evaluation and post-testing to measure student progress.

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.

### **ESL Assessment**

The ICCB recommends that all students be tested for placement into the appropriate class. The program can use any ESL assessment instrument (commercial or locally developed) for placement that will appropriately place students according to their skill level. A program may also use the pre-test results of the BEST (Basic English Skills Test) Literacy Skills Test, BEST Plus, and the CELSA (Combined English Language Skills Assessment) to place students into the appropriate class.

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. As described later in this section, the three state-approved ESL tests are the **BEST Literacy Skills Test, BEST Plus, and the CELSA.**

The **BEST 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 and the criterion used assumes the learner has literacy skills in their native language.

The CELSA, a 75-item multiple-choice test measuring grammatical ability using authentic language, can be used for the intermediate and advanced levels of ESL, can be administered in a group setting, and has a maximum testing time of 45 minutes. **The CELSA test should not be used for lower-level ESL testing. Therefore, CELSA scores under 20 cannot be reported in the STAIRS system.**

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

In order to obtain valid and reliable results, **staff who are administering these tests must be trained in test administration.** The ICCB Adult Education and Family Literacy Service Center Network offers training workshops on each of the ESL assessment instruments. 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.

**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 and that the scores be reported in the STAIRS data system.** 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, where variable forms are not applicable.

The scaled scores from the BEST Plus and BEST Literacy pre- and post-tests must be recorded on the STAIRS system. The raw scores from the CELSA pre- and post-tests must be recorded on the STAIRS system. The answer sheets and scores from any of the tests must be kept in each student file. Post-testing should be program-specific in order to maximize gains for ESL students.

If a student lacks literacy skills to be validly assessed with a state-approved test (for example, a student is not literate in his or her native language), then administer the BEST Literacy Test Screener, which can be found in the Appendices, along with directions for administration.

## ESL Tests and NRS Levels

NRS Levels	BEST Literacy Scale Score	BEST Plus* Scale Score	CELSA Raw Score	Pre-/Post-Test Sequence
<b>Beginning Literacy</b>	0-7	Below 401	N/A	BEST Literacy Form B and C **
<b>Low Beginning</b>	8-35	401-417	N/A	BESL Literacy Form B and C**
<b>High Beginning</b>	36-46	418-438	20-23	BEST Literacy Form B and C** CELSA Form 1 and 2
<b>Low Intermediate</b>	47-53	439-472	24-29	BEST Literacy Form B and C **CELSA Form 1 and 2
<b>High Intermediate</b>	54-65	473-506	30-41	BEST Literacy Form B and C** CELSA Form 1 and 2
<b>Advanced</b>	66-72	507-540	42-70	BEST Literacy Form B and C** CELSA Form 1 and 2

\* The BEST Plus is a computer adaptive test; therefore, there is only one test and no forms.

\*\* Raw and Scale Scores are equivalent for Best Literacy Form B; however, Raw and Scale Scores differ slightly for Best Literacy Form C. Raw Scores must be converted to Scale Scores for Best Literacy Form C for data purposes.

## Progress Testing

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

## Summary of ESL Testing

When	What	Documentation
<b>Placement Testing</b> (optional) - Classes 1-3	Commercial or locally developed	Copy of answer sheet in student's file
<b>Pre-test</b> (required)	BEST Literacy;* BEST Plus;* CELSA*	Copy of answer sheet in student's file STAIRS data system
<b>Progress Testing</b> (optional) - Ongoing	-Samples of student work -Competency checklist -Instructor-made assessments -Student projects -Instructor comments	Copy in student's file
<b>Post-test</b> (required)	BEST Literacy; BEST Plus; CELSA	Copy of answer sheet in student's file STAIRS data system

\*May be used for placement.

The following chart describes the materials needed for each approved ESL assessments and where they can be obtained or purchased.

### Test Ordering

	<b>BEST Plus</b>	<b>BEST</b>	<b>CELSA</b>
<b>Materials Needed</b>	-Practice Disk -Test Administration Disk -Test Administrator's Guide	-Literacy Skills Test Booklets, Forms B and C -Literacy Skills Scoring Sheets, Forms B and C - <i>Administration Manual</i> , Forms B and C	Test Booklets Forms 1 and 2 (You must register for the state license by contacting the ALRC. The license will provide you with the Master Student Answer Sheet for duplication.)
<b>Contact</b>	Training to use these materials are available from the ALRC and the CIAESC.	-Curriculum Publications Clearinghouse Horrabin Hall 71B, Western Illinois University, Macomb, IL 61455, 800-322-3905, <a href="http://www.wiu.edu/cpc">www.wiu.edu/cpc</a> -Center for Applied Linguistics/CAL 4646 40 <sup>th</sup> Street NW, Washington, DC, 20016, 800-551-3709	Adult Learning Resource Center (ALRC) 1855 Mt. Prospect Rd. Des Plaines, IL 60018 847-803-3535

### ABE/ASE Assessment

The ICCB recommends that all students be tested for placement into the appropriate class. The program can use any reading assessment instrument (commercial or locally developed) for placement that will appropriately place students according to their reading level. A program may also use the results of the pre-test (TABE) to place students into an appropriate class.

With several exceptions noted at the end of this section, all Adult Basic Education (ABE) students and Adult Secondary Education (ASE) students **are required** to be pre- and post-tested in reading in order to document educational gains. Educational gains are defined as advancing from one functioning level to the next as described in the Appendices.

The ICCB-approved test to measure ABE/ASE student progress is the **TABE Forms 7/8 or Forms 9/10** (Reading portion). For students only enrolled in a Math-Only class within a given fiscal year, the TABE- Math (Computation and Applied Mathematics sections) is required. It is strongly recommended that the TABE locator test be administered to determine the appropriate difficulty level of the TABE test prior to pre-testing. Please note that the **TABE 9/10** has been developed to ensure that the content closely matches both national standards and the areas covered in the 2002 General Education Development TEST (GED).

The difficulty level of the TABE assessment instrument administered (Literacy, Easy, Medium, Difficult, or Advanced) should match the reading 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. On the STAIRS system, if the survey form is used, the form number is followed by an “s” (i.e., 7s or 8s). 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.

Maximum testing times for the required TABE tests are as follows. Please refer to the TABE Administration Guide for testing times related to other tests.

<b>Locator</b>	<b>Forms 9/10</b>	<b>Forms 7/8</b>
Reading	12 min.	18 min.
Math Computation	4 min.	16 min.
Applied Math	8 min.	
<b>Total</b>	<b>24 min.</b>	<b>34 min.</b>

<b>Survey Battery</b>	<b>Forms 9/10</b>	<b>Forms 7/8</b>
Reading	25 min.	25 min.
Math Computation	15 min.	9 min.
Applied Math	25 min.	25 min.
<b>Total</b>	<b>1 hr. 5 min.</b>	<b>59 min.</b>

<b>Complete Battery</b>	<b>Forms 9/10</b>	<b>Forms 7/8</b>
Reading	50 min.	50 min.
Math Computation	24 min.	15 min.
Applied Math	50 min.	50 min.
<b>Total</b>	<b>2 hrs. 4 min.</b>	<b>1 hr. 55 min.</b>

In order to obtain valid and reliable results, staff who are administering these tests must be trained in test administration. The ICCB Service Center Network offers training workshops on the TABE test. The assessment guidelines in the appropriate TABE *Examiner’s Manual* should be observed at all times.



In compliance with the federal NRS, all ABE/ASE students other than the exceptions noted at the end of this section, must be pre- tested using the ICCB-approved TABE test, and the scale scores must be reported in the STAIRS 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 STAIRS for those students (i.e., 160 on TABE 7/8). The answer sheet and test score must be kept in each student’s file. Students must be post-tested with a different form of the test to document progress in an ABE/ASE course.

### ABE/ASE Test and NRS Levels

NRS Levels	TABE 7/8 Scale Scores	TABE 9/10 Scale Score	Grade Level	Pre- and Post-Test
<b>Beginning Literacy</b>	Reading – 160-367 *Math – 313 or below	Reading – 367-below Math – 313 or below	0-01.9	TABE Reading or Math
<b>Beginning ABE</b>	Reading – 368-460 *Math – 314-441	Reading – 368-460 *Math – 314-441	2-03.9	TABE Reading or Math
<b>Low Intermediate ABE</b>	Reading – 461-517 *Math – 442-505	Reading – 461-517 *Math – 442-505	4-05.9	TABE Reading or Math
<b>High Intermediate ABE</b>	Reading – 518-566 *Math – 506-565	Reading – 518-566 *Math – 506-565	6-08.9	TABE Reading or Math
<b>Low Advanced ASE</b>	Reading – 567-595 *Math – 566-594	Reading – 567-595 *Math – 566-594	9-10.9	TABE Reading or Math
<b>High Advanced ASE</b>	Reading – 596+ *Math – 595+	Reading – 596+ *Math – 595+	11-12.9	TABE Reading or Math

\* TABE Math is the required test for students receiving MATH-ONLY instruction in English.

### Pre- and Post-Testing Exceptions

Students in certain classes may be exempt from the required pre- and post-testing for reading. Local programs are not required to test foreign language GED students or vocational-only students. (**Note:** Instruction in these categories cannot be paid with federal funds); however, if a program would like to have the opportunity to participate in performance funding based on students achieving test gains or moving an educational functioning level, the program may pre- and post-test students in these classes with the English reading TABE test. If the option to participate in performance funding is chosen, the local program must follow all requirements listed in this section for pre- and post-testing. Federal funding **may not** be used to fund foreign language GED students or vocational students.

### Progress Testing

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.

### Summary of ABE/ASE Testing

When	What	Documentation
<b>Placement Testing</b> (optional*) -Classes 1-3	Commercial or instructor/program developed test	Copy of answer sheet in student's file
<b>Pre-test</b> (required*)	TABE (Reading or Math*)	Copy of answer sheet in student's file STAIRS data system
<b>Evaluation of progress</b> (required) -Ongoing	-Samples of student work -Competency checklist -Instructor-made assessments -Student projects -Instructor comments	Copy in student's file
<b>Post-test</b> (required*)	TABE (Reading or Math*)	Copy of answer sheet in student's file STAIRS data system

\* TABE Math is the required test for students receiving MATH-ONLY instruction in English.

### Test Ordering

TABE test materials and supplemental information may be ordered through CTB/McGraw-Hill, Customer Services, 20 Ryan Ranch Road, Monterey, CA 93940, 1-800-538-9547 (phone) or 1-800-282-0266 (fax).

### **4.3 What Are the Assessment Requirements for AEFL?**

#### **ICCB Adult Education Testing Requirements**

The following ICCB guidelines must be observed for student testing:

- A pre-test must be administered by the student's third class meeting in the enrollment period for students enrolled in classes that are open-entry. For students enrolled in classes with fixed entry, the student must be present and complete the assessment by the third scheduled class period. Throughout the program, there is ongoing progress evaluation and post-testing to measure student progress.
- The last test administered during the fiscal year must be entered as the post-test in the STAIRS system. In the event that an ESL student has transitioned to a higher level within the fiscal year and has two sets of ESL tests with non-overlapping dates (i.e. BEST Literacy and CELSA), the earlier pre- and post-test may be the series claimed for the fiscal year. It is not mandatory that the latter series be selected.
- During the fiscal year, programs must rotate forms of the test when post-testing.
- A score from a post-test administered within the 120 days prior to the student's first day of attendance may be used as the pre-test score for a new enrollment period, re-enrollment, or new fiscal year.
- The Test Transfer Form (Section 17) may be used for students when they move from one program to another.
- All test answer sheets administered during the fiscal year must be kept in the student's file.
- All test answer sheets should contain the student's name, social security number or student identifier, test date, and score.
- Programs must consult the publisher's test administrator's guide for policies regarding administration of tests to persons with disabilities.
- Local programs must establish their own testing policies that include but are not limited to:
  - Ensuring that personnel in charge of testing are qualified and receive proper training.
  - Providing an adequate environment conducive to testing (i.e., well-lit, proper temperature, quiet, confidential, and free from distractions).
  - A post-test policy that takes into account the test publisher's recommendation as well as the ICCB AEFL recommendations listed on the next page as well as the intensity and duration of a program.

### Test Publishers Guidelines

<b>TABE 7/8</b>	60 hours of instruction
<b>TABE 9/10</b>	60 hours of instruction
<b>BEST Literacy</b>	Minimum of 60 hours of instruction; Recommend 80-100 hours of instruction
<b>BEST Plus</b>	Minimum of 60 hours of instruction; Recommend 80-100 hours of instruction
<b>CELSA</b>	2 ½ months of instruction

### ICCB Recommendations

	<b>Hours of Instruction Between tests</b>	<b>Acceptable Tests</b>
<b>ABE/ASE</b>	40-60*	TABE 7/8; TABE 9/10
<b>High School Credit Only</b>	60-80*	TABE 7/8; TABE 9/10
<b>ESL</b>	50-100*	BEST Literacy; BEST Plus; CELSA

\*If you know a student will not be returning to class, it is appropriate to administer a post-test OR;

\*If you believe, based on the student's work in the class, that gains have been made and that it would be beneficial to the student to see those gains, it would be appropriate to administer the post-test early as a tool for retention and motivation for the student.

## **5.1 What Instructional Services are Allowable in ICCB Funded Adult Education and Family Literacy Programs?**

The allowable activities include direct instruction provided to students in a classroom, workplace, or other learning environments. Instruction must be provided by an instructor, not a volunteer or lab assistant, who is paid from the instructional line in the budget. A claimable hour is an hour of direct instruction, 51% of the instructional cost of which has been paid with ICCB AEFL funds.

The following are allowable instructional service types:

1. **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 fifth-grade competency level. Intermediate level courses include grade six through the eighth-grade competency level. Each level of courses covers each content area. The curriculum is designed to accommodate the concept of open-entry/open-exit, 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; and family literacy/parenting.
2. **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). The curriculum is designed to accommodate the concept of open-entry/open-exit, individualized instruction and includes courses in general, basic skills; academic and intellectual skills; reading, literacy, and communication skills; computational skills; workforce/employability skills; life skills and career exploration/awareness skills; workplace literacy; and family literacy/parenting.

Foreign Language GED (Spanish or French) includes instruction designed for an adult who is literate in a foreign language and has sufficient education in that language to achieve a Foreign Language GED. Foreign Language ABE instruction or Native Language literacy is not fundable. Other than Foreign Language GED, all other classes must be taught in English.

3. **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, 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 open-entry/open-exit, individualized instruction.
4. **Vocational Skills Training (VOC)** consists of ICCB AEFL-approved courses that include short-term, secondary-level vocational specific training that provide entry-level workforce skills which may lead to employment. AEFL funds can provide no more than 12 units of instruction over the lifetime of a student's enrollment in an ICCB AEFL-approved program.
5. **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.

## 5.2 What Are the Elements for an Approvable Course for AEFL?

New courses of instruction must be approved by the ICCB as part of the application process. Additional new courses may be submitted to ICCB for approval during the program year as outlined in Section 1.3. Courses must be approved prior to implementation.

### New Course Considerations

1. Choose the instructional type(s) from the definition listed in Section 5.1 and also consider the following:
  - Courses may be approved to serve multilevel students (i.e., ABE/ASE).
  - All high school credit courses, including high school vocational courses, must be submitted under the HSCR instructional type.
  - **High school credit** programs serving other populations must submit separate ABE/ASE/ ESL/VOC courses.
  - The **VOC** instructional type should be used for all basic computer courses.
2. Assign an appropriate course title and number.
3. Select the appropriate course description based upon the following:
  - Consult the ICCB Adult Education and Family Literacy Generic Course List in the Appendices for ABE/ASE/ESL course descriptions.
  - **Citizenship Education** includes instruction in U.S. civics, history, and preparation for the U.S. citizenship test and is categorized as ESL instruction.
  - **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.
  - **Foreign Language GED** includes instruction designed for an adult who is literate in a foreign language and who has sufficient education in that language to achieve a foreign GED. Foreign ABE instruction or Native Language literacy is not fundable. Other than Foreign Language GED, all other classes must be taught in English.
4. Include intensity and duration of instruction in the course description. 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).
5. Include the range of units of instruction offered for each course. One unit equals 15 enrollment hours of direct instruction. The minimum allowable unit is .5 or 7.5 enrollment hours. The maximum allowable unit must be completed within a fiscal year.
6. The STAIRS job skills box must not be checked for VOC courses.
7. The STAIRS citizenship box should only be checked when the curriculum is predominately citizenship instruction.

**Note:** Community colleges must assign appropriate PCS/CIP codes.

### **5.3 What Is a Community College PCS/CIPS Code?**

All courses are organized into four major areas: Adult Basic Education, Adult Secondary Education, English as a Second Language, and Vocational Education. Each area has been coded to maintain consistency across the state through the use of **Program Classification System (PCS) codes**. Community colleges must follow the approval procedures established by the ICCB. PCS codes are used to classify instruction.

#### **PCS Coding System**

- **Vocational (VOC)** classes are designated 1.6,
- **Adult Basic Education (ABE)** classes are designated 1.7,
- **Adult Secondary Education (ASE)** classes are designated 1.8, and
- **English as a Secondary Language (ESL)** classes are designated as 1.9.

The courses are further defined by the **Classification of Instructional Programs (CIP) code** and are organized into four major areas: ABE, ASE, ESL, and VOC. Each area has been coded to maintain consistency across the state through the use of PCS codes. The CIP code was developed by the U.S. Department of Education's National Center for Educational Statistics. The codes are used in the Integrated Postsecondary Educational Data System (IPEDS) and within systems for the Office of Vocational and Adult Education (OVAE). See the Adult Education and Family Literacy Course List in the Appendices for examples of CIP and PCS codes.

#### **Process for Community Colleges**

Courses assigned at the 1.6, 1.7, 1.8, or 1.9 levels are reviewed through an ICCB and an adult education approval process. Consider the following when creating courses:

- Identify the instructional type as defined in Section 5.1.
- Only one instructional type may be assigned per course.
- Only one curriculum prefix and number may be assigned per course.
- When a multilevel class is offered, students must be enrolled in the appropriate curriculum and a separate class list must be maintained.

More information can be found in the *Illinois Community College Board Program Manual* regarding community college courses.

[www.iccb.state.il.us/HTML/pdf/manuals/programmanual3-04.pdf](http://www.iccb.state.il.us/HTML/pdf/manuals/programmanual3-04.pdf)



## 5.4 What Are the Considerations When Creating a Class?

There are several options to consider when creating a class:

- A. A claimable hour is an hour of instruction, 51% of the instructional cost of which has been paid with ICCB AEFL funds. There are three categories of hours:
  1. **Attendance hours** are those hours when a student is in class. Attendance records must support all student claims.
  2. **Enrollment hours** are all scheduled hours during a class period, including holidays, professional development days contained in the professional development plan, and emergency days. A student may not have accumulated five absences in a row and must be in attendance at midterm to claim all enrollment hours.
  3. **Contact hours** include attendance hours, assessment time out of class (such as placement or progress assessment), and miscellaneous time (such as tutoring).
  
- B. Choose a category of class that is most appropriate for the population and location. There are three categories of classes:
  1. **Fixed entry** is defined as a class that has a fixed starting and ending date, which meets on specific days and times.
    - The class has an assigned instructor who provides direct instruction that is guided by an appropriate curriculum.
    - 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.
    - Student may only enter within the first three days of class.
    - Students must be present and complete assessment by the third scheduled class period.
    - The midterm is defined as the midpoint of the class (e.g., a quarter, semester, or year).
    - If a student is attending and making progress at midterm, the student receives enrollment hours for the entire term.
    - A student will be officially dropped after five consecutive absences and may be dropped earlier, if appropriate. A student may not have accumulated five absences in a row and must be in attendance at midterm to claim all enrollment hours. In a fixed enrollment program, students who have been dropped for five absences in a row 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.
    - 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 STAIRS data system.
2. **Open-entry/exit** is defined as a class that meets on specific days and times but allows a student to enter at any time and does not have a specified class duration period.
- The class has an assigned instructor who provides direct instruction that is guided by an appropriate curriculum.
  - 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.
  - Students must be present and complete assessment by their third class period.
  - 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.
  - A student will be officially dropped after five consecutive absences 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 STAIRS data system.
3. **GED Illinois** is defined as a distance learning class or a supplemental curriculum for fixed or open-entry classes. When utilized as a distance learning class, the following is true:
- 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 GED Illinois.
  - It is strongly encouraged that students who test below the 9.0 reading level not be enrolled in GED Illinois as a distance-learning student.
  - The student may enter and exit the program at any time.
  - For every lesson successfully completed at the 70% level, the student earns 50 minutes or one hour of instruction. The student must complete eight lessons to be claimed for generation.

- 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.
- For specific information regarding entry into the STAIRS system, contact ICCB.

**Note: Open computer labs without enrolled students with an assigned instructor providing direct instruction at scheduled days and times cannot be claimed as generating student enrollment.**

- C. Classes can be set up to serve single or multilevel populations.
- The class must be assigned to a course approved at both the ABE and ASE levels.
  - Students must be enrolled at the appropriate levels.
  - The instructor will teach one class using methods appropriate to both levels.
  - The instructor must maintain and sign a class roster that reflects the student enrollment.
- D. Students in classes funded by ICCB AEFL state and federal funds (with the exception of State Performance funds) must generate, according to state law. If 51% of the instructional costs for a student are funded with ICCB AEFL State Performance funds, the student must be assigned to State Performance when entered into the STAIRS data system. Refer to Section 3.4 for further information regarding generation. See STAIRS Attendance Codes on the next page.

### E. STAIRS Attendance Codes

<b>STAIRS</b>	<b>When to Use</b>	<b>Counts as Attendance</b>	<b>Counts as Enrollment</b>
Absent A or 1	Scheduled class that student does not attend.	No	Yes
Blank B or 0	Day that student is not enrolled in class. May be used to erase days if student enrollment was entered incorrectly.	No	No
Completed C or 2	Scheduled class day on which student completed all the requirements for the class whether absent or present (used for open enrollment classes or fixed classes).	Yes	Yes
Dropped D or 3	Day that student is dropped from class. (Generally the scheduled class day after the fifth consecutive absence.)	No	No
Enrolled E or 4	First day of attendance for a student who enrolls in a class or returns after being dropped. The "E" begins a new enrollment period for the student (used for open enrollment classes).	Yes	Yes
Given Day G or 9	Recognized holidays, staff development days, and emergency days that fall on scheduled class days.	No	Yes
Present P or 6	Scheduled class that student attends.	Yes	Yes
Testing T or 7	Scheduled class used for pre-/post-testing is conducted outside of class time; report testing hours on the student's test information window.	Yes	Yes
Unscheduled U or 8	Scheduled class day that is eliminated; class does not meet (e.g., canceled class, school vacations, breaks).	No	No

## **5.5 How Are Classes Funded?**

There are two competitive sources of funds for AEFL provided through the ICCB: (1) state and (2) federal. State funds include three funding categories: (1) State Basic, (2) State Public Assistance, and (3) State Performance. Federal funds include two funding categories: (1) Federal Basic and (2) Federal EL/Civics. The following charts indicate the purpose, eligible participants, appropriate use of funds, assessment requirements, and reporting requirements for each funding source.

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 courses using a \$3 fee per student, per unit of instruction.

## Adult Education Program and Family Literacy (Federal Basic)

Purpose	<ul style="list-style-type: none"> <li>• To assist adults to become literate and obtain the knowledge and skills necessary for employment and self-sufficiency.</li> <li>• To assist adults who are parents to obtain the educational skills necessary to become full partners in the educational development of their children.</li> <li>• To assist adults in completion of a secondary school education.</li> </ul>												
Eligible Participants	<p>Adult Education means instruction and support services below the postsecondary level for individuals (1) who have attained 16 years of age; (2) who are not enrolled or required to be enrolled in secondary school under state law; and (3) who . . .</p> <ul style="list-style-type: none"> <li>• lack sufficient mastery of basic educational skills to enable the individuals to function effectively in society.</li> <li>• do not have a secondary school diploma or its recognized equivalent, and have not achieved an equivalent level of education.</li> <li>• are unable to speak, read, or write the English language.</li> </ul>												
Use of Funds	<p><b>Instruction</b></p> <ul style="list-style-type: none"> <li>• ABE</li> <li>• ASE</li> <li>• ESL</li> <li>• High School Completion</li> <li>• Math Only</li> <li>• Citizenship</li> </ul>												
Assessment Requirements	<p>ABE and ASE students – Pre- and Post-test (TABE-R)          ESL students – Pre- and Post-test (BEST Literacy, BEST Plus, CELSA)          High School Completion – Pre- and Post-test (TABE-R)          Math Only – Pre- and Post-test (TABE-Math)          Citizenship – Pre- and Post-test (BEST Literacy, BEST Plus, CELSA)</p>												
Required Reporting	<table border="0"> <tr> <td style="vertical-align: top;">August 31</td> <td>Budget</td> </tr> <tr> <td style="vertical-align: top;">October 30</td> <td>Performance Report – Signed Original and electronic submission (aggregate report)</td> </tr> <tr> <td style="vertical-align: top;">January 30</td> <td>Enrollment Reports – Signed Original (one for each funding source, except Performance funding) Performance Report – Signed Original and electronic submission (aggregate report)</td> </tr> <tr> <td style="vertical-align: top;">July 30</td> <td>Enrollment Reports – Signed Original (one for each funding source, except Performance funding) Performance Report – Signed Original and electronic submission (aggregate report)</td> </tr> <tr> <td style="vertical-align: top;">August 15</td> <td>Final Expenditure Report – On-line submission and Signed Original</td> </tr> <tr> <td style="vertical-align: top;">Federal Audit</td> <td>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.</td> </tr> </table>	August 31	Budget	October 30	Performance Report – Signed Original and electronic submission (aggregate report)	January 30	Enrollment Reports – Signed Original (one for each funding source, except Performance funding) Performance Report – Signed Original and electronic submission (aggregate report)	July 30	Enrollment Reports – Signed Original (one for each funding source, except Performance funding) Performance Report – Signed Original and electronic submission (aggregate report)	August 15	Final Expenditure Report – On-line submission and Signed Original	Federal Audit	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.
August 31	Budget												
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August 15	Final Expenditure Report – On-line submission and Signed Original												
Federal Audit	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.												

## Adult Education Program and Family Literacy (Federal EL/Civics)

Purpose	English Literacy (EL/Civics) To provide an integrated program of services that incorporates English Literacy and civics education to help immigrants and the other LEP 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 (1) who have attained 16 years of age; (2) who are not enrolled or required to be enrolled in secondary school under state law; and (3) who are unable to speak, read, or write the English language.	
Use of Funds	<b>Instruction</b> ESL – Contextualized English Literacy curriculum with civics content	
Assessment Requirements	ESL students – Pre- and Post-test (BEST Literacy, BEST Plus, CELSA)	
Required Reporting	August 31	Budget
	October 30	Performance Report – Signed Original and electronic submission (aggregate report)
	January 30	Enrollment Reports – Signed Original (one for each funding source, except Performance funding) Performance Report – Signed Original and electronic submission (aggregate report)
	April 30	Performance Report – Signed Original and electronic submission (aggregate report)
	July 30	Enrollment Reports – Signed Original (one for each funding source, except Performance funding) Performance Report – Signed Original and electronic submission (aggregate report)
	August 15	Final Expenditure Report – On-line submission and Signed Original
	Federal Audit	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.

## Adult Education Program and Family Literacy (State Basic)

Purpose	<ul style="list-style-type: none"> <li>• To assist adults to become literate and obtain the knowledge and skills necessary for employment and self-sufficiency.</li> <li>• To assist adults who are parents to obtain the educational skills necessary to become full partners in the educational development of their children.</li> <li>• To assist adults in completion of a secondary school education.</li> </ul>														
Eligible Participants	<p>Adult Education means instruction and support services below the postsecondary level for individuals (1) who have attained 16 years of age; (2) who are not enrolled or required to be enrolled in secondary school under state law; and (3) who . . .</p> <ul style="list-style-type: none"> <li>• lack sufficient mastery of basic educational skills to enable the individuals to function effectively in society.</li> <li>• do not have a secondary school diploma or its recognized equivalent, and have not achieved an equivalent level of education.</li> <li>• are unable to speak, read, or write the English language.</li> </ul>														
Use of Funds	<p><b>Instructional</b></p> <ul style="list-style-type: none"> <li>• ABE</li> <li>• ASE</li> <li>• ESL</li> <li>• High School Completion</li> <li>• Citizenship</li> <li>• Vocational</li> <li>• Spanish GED</li> <li>• Math Only</li> </ul>														
Assessment Requirements	<p>ABE and ASE students – Pre- and Post-test (TABE-R)          ESL students – Pre- and Post-test (BEST Literacy, BEST Plus, CELSA)          High School Completion – Pre- and Post-test (TABE-R)          Citizenship – Pre- and Post-test (BEST Literacy, BEST Plus, CELSA)          Math Only – Pre- and Post-test (TABE-Math)          Vocational – TABE-R optional          Foreign Language GED – TABE-R optional</p>														
Required Reporting	<table border="0"> <tr> <td>August 31</td> <td>Budget</td> </tr> <tr> <td>October 15</td> <td>Audit</td> </tr> <tr> <td>October 30</td> <td>Performance Report – Signed Original and electronic submission (aggregate report)</td> </tr> <tr> <td>January 30</td> <td>Enrollment Reports – Signed Original (one for each funding source, except Performance funding) Performance Report – Signed Original and electronic submission (aggregate report)</td> </tr> <tr> <td>April 30</td> <td>Performance Report – Signed Original and electronic submission (aggregate report)</td> </tr> <tr> <td>July 30</td> <td>Enrollment Reports – Signed Original (one for each funding source, except Performance funding) Performance Report – Signed Original and electronic submission (aggregate report)</td> </tr> <tr> <td>August 15</td> <td>Final Expenditure Report – On-line submission and Signed Original</td> </tr> </table>	August 31	Budget	October 15	Audit	October 30	Performance Report – Signed Original and electronic submission (aggregate report)	January 30	Enrollment Reports – Signed Original (one for each funding source, except Performance funding) Performance Report – Signed Original and electronic submission (aggregate report)	April 30	Performance Report – Signed Original and electronic submission (aggregate report)	July 30	Enrollment Reports – Signed Original (one for each funding source, except Performance funding) Performance Report – Signed Original and electronic submission (aggregate report)	August 15	Final Expenditure Report – On-line submission and Signed Original
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August 15	Final Expenditure Report – On-line submission and Signed Original														



## 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.	
Eligible Participants	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 Food Stamp; 08 Food Stamps; and 94, 96 Medical Assistance Only for TANF Eligible Because of Medical Expenses.	
Use of Funds	<b>Instructional</b> <ul style="list-style-type: none"> <li>• ABE</li> <li>• ASE</li> <li>• ESL</li> <li>• High School Completion</li> <li>• Vocational</li> <li>• Citizenship</li> <li>• Foreign Language GED</li> <li>• Math Only</li> </ul>	
Assessment Requirements	ABE and ASE students – Pre- and Post-test (TABE-R) ESL students – Pre- and Post-test (BEST Literacy, BEST Plus, CELSA) High School Completion – Pre- and Post-test (TABE-R) Citizenship – Pre- and Post-test (BESL Literacy, BESL Plus, CELSA) Math Only – Pre- and Post-test (TABE-Math) Vocational – TABE-R optional Foreign Language GED – TABE-R optional	
Required Reporting	August 31 October 15 October 30  January 30  April 30  July 30  August 15	Budget Audit Public Assistance Master List for 1 <sup>st</sup> Quarter – Signed Original Performance Report –Signed Original and electronic submission (aggregate report) Public Assistance Master List for 2 <sup>nd</sup> Quarter – Signed Original Enrollment Reports – Signed Original (one for each funding source, except Performance funding) Performance Report – Signed Original and electronic submission (aggregate report) Public Assistance Master List for 3 <sup>rd</sup> Quarter – Signed Original Performance Report – Signed Original and electronic submission (aggregate report) Public Assistance Master List for 4 <sup>th</sup> Quarter – Signed Original Public Assistance Cumulative Report (July-June) – Signed Original Enrollment Reports – Signed Original (one for each funding source, except Performance funding) Performance Report – Signed Original and electronic submission (aggregate report) Final Expenditure Report – On-line submission and Signed Original

## **5.6 What Are Some Ways to Evaluate Instruction?**

The following are considerations when evaluating instruction:

### **1. Student Outcomes**

- Regular evaluation using pre- and post-testing. Refer to Sections 4.2 and 4.3.
- Documentation in student's file demonstrating progress. Refer to Sections 4.2 and 4.3.
- Evaluation of student goal achievement. Refer to Section 7.
- Instructor and staff anecdotal records.

### **2. Curriculum** – *Refer to Section 8, Item 3*

- Appropriate intensity and duration
- Appropriate to student levels and learning styles
- Research based
- Variety of delivery methods and schedules

### **3. Staffing** – *Refer to Section 8, Item 4*

- Appropriate qualifications and experience
- Ongoing professional development
- Regular instructor evaluation

### **4. Program Evaluation**

- Availability and appropriateness of support services
- Recruitment of target population
- Student retention to achieve individual goals
- Student-driven evaluation of program and staff

## **6.1 What Are Some Examples of Student Support Services for Students Engaged in Eligible Adult Education and Family Literacy Instructional Activities?**

1. *Social Work Services*: Activities for the following:

- Improvement of student attendance
- Identification of patterns of non-attendance
- Interventions to assist students dealing with the problems involving home, school, and community
- Provision of referral assistance
- Retention strategies

2. *Guidance Services*: Counseling activities with students:

- Regarding learning styles/problems
- Evaluating the abilities of students
- Assisting students to make their own educational and career plans and 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

3. *Assistive and Adaptive Equipment*: Assistive or adaptive equipment or special printed materials for AEFL students with special needs.

4. *Assessment and Testing*: Activities to measure 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.

5. *Student Transportation Services*: Services which convey 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. Further information regarding Student Transportation Services can be found in Section 6.2.

6. *Literacy Services*: Literacy activities in conjunction with AEFL instructional programming.
- Volunteer Literacy may include coordination, tutor training, tutor scheduling, and other support activities that promote student learning gains.
  - 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.
  - Workplace Literacy may include coordination of workplace education projects that are designed to meet the unique needs of participating workers and employers.
7. *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 caregiver of the child. Further information on regarding Childcare Services can be found in Section 6.2.

## **6.2 How Can I Provide Transportation and Childcare for Students?**

### **Transportation**

Transportation can be provided for eligible AEFL students and their children to and from classes and or class activities. Providers can choose from options, such as, but not limited to, the following:

1. Direct reimbursement to students
2. Purchase of service from an external transportation agency
3. Bulk purchase of tickets, tokens, etc., for use with public transportation
4. Provision of in-house transportation

**Auditable records must be maintained that document each eligible student's attendance and provision of transportation services.**

A transportation budget included in the Post Allocation Budget Worksheet is an expenditure option that a local program may choose based upon the needs of enrollees and budget constraints. Information on budget development for these services can be found in Section 3.5.

### **Childcare**

Childcare can be provided for children of eligible AEFL students during the time the adult student is attending class or participating in a class-sponsored activity. The AEFL student must be the primary caregiver of the child(ren).

If the program elects to provide or purchase childcare, there will be no income eligibility requirements for receipt of services. The first priority for provided or purchased childcare should be students who are unable to access subsidized childcare through a Child Care Resource and Referral (CCR&R) agency. Programs may also refer students for state-subsidized childcare.

Providers can choose from options such as, but not limited to, the following:

1. Purchase service with an external childcare provider
2. Provision of childcare in-house

**Auditable records must be maintained that document each student's attendance and provision of childcare services.**

A childcare budget included in the Post Allocation Budget Worksheet is an expenditure option that a local program may choose based upon the needs of enrollees and budget constraints. Information on budget development for these services can be found in Section 3.5.

## **Childcare Referral Systems**

The agencies in this system provide information about eligibility for subsidized childcare, rates and co-payments, and the availability and location of childcare providers in the area. All parents who receive a subsidized childcare payment must make a co-payment based on a sliding fee scale.

An AEFL Literacy program that chooses to provide or purchase childcare must include the amount of funds budgeted. All sources of funding (public assistance, state, federal, and performance) may be used for childcare expenses. These are reimbursed based on actual expenditures, with a maximum being the approved budget amount.

The amount of funds claimed for childcare may be determined in one of two ways:

1. The costs may be divided among funding sources in the same proportion as the total number of enrolled students (parents). For example, assume there are two funding sources to be used for childcare. If 60% are claimed on the public assistance budget and 40% of the students are claimed on the state budget, the percentage of childcare costs claimed should be 60% public assistance and 40% state. Reimbursement will be for actual expenditures not to exceed the budgeted amount. Receipts must support expenditures. The percentage of students enrolled in each funding source should be determined at least twice a year and maintained in program files for audit purposes.
2. The costs may be divided among funding sources in the same percentage as the number of children who enroll in childcare. If 70% of the children who enroll in childcare have parents who are claimed on public assistance budgets and 30% have parents claimed on the state budget, the percentage of childcare costs claimed should be 70% to the public assistance budget and 30% to the state budget. A list of children by funding source of their parents must be maintained for those enrolled for childcare. This list must include the name of the parent in the AEFL program. Reimbursement will be for actual expenditures not to exceed the budgeted amount. Receipts must support expenditures. The percentage of students enrolled for childcare in each funding source should be determined at least twice a year and maintained in program files for audit purposes.

Programs may elect to purchase services from another provider. In the event that a program is purchasing childcare services from another provider, the costs may not exceed the amount charged to any other person by that provider.

If a program is reimbursing the student in order to pay an outside provider for childcare, the Department of Children and Family Services' (DCFS) rates must apply. For purchased childcare, the amount paid by the program cannot exceed Department of Human Services' (DHS) childcare payment rates for subsidized childcare.

The following are the DCFS childcare definitions:

- Full day is defined as care given for five hours or more in any 24-hour period.
- Half day is defined as care lasting less than five hours in any 24-hour period.
- Infant care is defined as care for children under 2<sup>1/2</sup> years of age.

AEFL programs that purchase childcare may use only the seven legal childcare arrangements:

- Licensed Childcare Center
- License-Exempt Childcare Center
- Licensed Family Childcare Home
- Licensed Group Family Childcare Home
- License-Exempt Family Childcare Home (No more than three unrelated children may be cared for, including the provider's own children, unless all children are from the same household.)
- Childcare by Non-relatives in the Child's Home
- Childcare by Relatives in the Relative's or Child's Home (No more than three unrelated children may be cared for, including the provider's own children, unless all children are from the same household.)

Students enrolled in AEFL may be eligible for subsidized childcare from the CCR&R system for children under age 13, if the family meets income guidelines. For further information, contact the local DHS office.

Families with low-income caregivers, who are not receiving TANF, can obtain childcare assistance to attend adult education, vocational education, or postsecondary education. Childcare assistance covers class hours and research, laboratory, library, and transportation time, and any time spent working.

Families who are eligible for subsidized childcare can attend adult education or vocational training for up to two years with no work requirements; after two years, there is a 20-hour per week work requirement plus the hours in adult education or vocational training. There is no minimum number of educational hours. Families with parents who work full-time or part-time are eligible for subsidized childcare provided the family's income falls within guidelines. The part-day rate is paid to the client for up to five hours of childcare; the full-day rate is paid for five to twelve hours of childcare. Because the full-day rate is paid whether the child is in care six or twelve hours, a client's work schedule might allow the client to attend an adult education program while the child(ren) is in childcare. For example, a parent who works for eight hours three days a week could attend an education program for up to four hours each day.

### **6.3 What are the Administrative Requirements for Serving Students with Special Learning Needs?**

All ICCB providers of Adult Education and Family Literacy are legally responsible for five specific administrative requirements according to the Americans with Disabilities Act:

1. **Each program must have a designated ADA coordinator.** This person may be the ADA Coordinator designated the institution, or a program may designate a member of the AEFL staff specifically. All Coordinators must be identified in the Adult Education organizational chart, meaning there is a clear path for the AEFL department to this ADA coordinator.

It is highly recommended that the ADA Coordinator possess one of the following:

- Completion of the Special Learning Needs Training,
- B.A. in Special Education and/or
- Completion of the ICCB AEFL ADA Coordinator Training.

All ICCB AEFL programs will receive a copy of the ICCB AEFL Special Learning Needs guidelines. After an ADA Coordinator has been identified by the AEFL program, that person will receive the ICCB AEFL ADA Coordinator Manual.

2. **Each program must provide public notice.**
3. **Each program must have an established grievance policy.**
4. **Each program must conduct a self-evaluation.**
5. **Each program must develop a transition plan regarding accessibility.**

For all questions regarding services for students with special learner needs and further administrative requirements, program must reference the “Guidelines for Serving Students with Learning Disabilities and Other Special Learning Needs Enrolled in Adult Education and Family Literacy Programs in Illinois” manual.



## **7.1 What Is the NRS?**

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 learner outcomes for adult education. The NRS meets the accountability requirements for the adult education program in Title II of the Workforce Investment Act.

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 relate effective practices and programs with successful outcomes.

A complete guide for implementation of guidelines for the NRS can be located at the following website: [www.nrsweb.org](http://www.nrsweb.org). It is highly recommended that adult education administrators and staff complete the NRS Online Training System located at [www.oei-tech.com/nrs](http://www.oei-tech.com/nrs).

## 7.2 What Are the Core Measures and Criteria for NRS?

### Core Measures for the NRS

The *required* core measures include the following:

- Participation Measures (hours of attendance and instructional type)
- Descriptive Measures (student demographics, student status, and goals for attending)
- Outcome Measures—The following are the five NRS core outcome measures:

#### 1. Core Outcome Measure #1: Educational Gains

*Definition:* Learner completes or advances one or more educational functioning levels from starting level measured on entry into the program. Entry-level descriptors for the educational functioning levels and the state assessment guidelines are provided in the Appendices.

#### 2. Core Outcome Measure #2: Entered Employment\*

*Definition:* Learner obtains a job by the end of the first quarter after the program exit quarter.

#### 3. Core Outcome Measure #3: Retained Employment\*

*Definition:* Learner remains employed in the third quarter after the exit quarter.

#### 4. Core Outcome Measure #4: Receipt of a Secondary School Diploma or GED\*

*Definition:* Learner who obtains a certification of successful completion of the GED Tests or who obtains a diploma documenting satisfactory completion of secondary studies.

#### 5. Core Outcome Measure #5: Placement in Postsecondary Education or Training\*

*Definition:* Learner enrolls in a postsecondary educational or occupational skills training program that does not duplicate other services or training received, regardless of whether the prior services or training were completed.

*\*Note:* The Entered Employment, Retained Employment, Receipt of a Secondary School Diploma or GED, and Placement in Postsecondary Education or Training are follow-up measures collected on students after they leave and separate from the program. These measures only apply to students who designated these outcomes as goals on intake into the program.

**Criteria for Inclusion in the NRS**

- Minimum **12** hours of attendance required.
- Test scores must be properly reported in STAIRS.
- A primary goal for appropriate learners must be selected. An additional secondary goal may be selected if appropriate. Please reference Sections 4.1 and 7.3 for further information regarding NRS inclusion.

**Note:** No Voc-Only or Foreign Language GED students are included.

### **7.3 What Is the Procedure for Setting NRS Goals?**

The NRS requires students to choose a primary goal at intake. In addition, a student can choose an optional secondary goal if appropriate. Both primary and secondary goals are tracked by the state; however, only the primary goal is required. A secondary goal should only be selected if the learner has a reasonable chance of achieving the goal in the program year. All goals should be short-term and should be attainable within one program year. Accurate tracking of goal setting and achievement is critical.

At intake, setting student goals is an integral part of the education process. Establishing goals not only helps define the areas in which instruction and learning are to be focused, but goals also provide a benchmark by which programs and students can assess their student progress.

Students should meet with an instructor or counselor at least once to review goals and student progress. Detailed information about NRS can be found at [www.nrsweb.org](http://www.nrsweb.org) and in Section 4 (Intake). For guidance on properly setting goals with learners, refer to the NRS Goal Matrix in the Appendices.

#### **ICCB Procedures for Setting NRS Goals**

1. Program must provide guidance to the student during the goal selection process, however the goal must be selected by the student.
2. The student must sign off on a goal before it can be entered into the ICCB approved data system.
3. If, during the course of the fiscal year, a student would like to change his/her goal, the NRS Goal Change Form (Section 17) must be used and placed in the student file. The goal can then be changed in the ICCB approved data system.
4. All documentation regarding NRS Goal selection must be kept in the student file.

## **7.4 What Are the State and Federal Targets for Establishing NRS Program Measures?**

Each year the state has an identified State Preliminary Target for each of the core outcome measures that has been negotiated with the federal government. This target is based on a continuous improvement model that considers the history of Actual Statewide Percentage Achievement. The state data used to evaluate this performance is a compilation of the achievements of all of the ICCB-funded Adult Education and Family Literacy (AEFL) programs.

For Illinois to qualify for a federal incentive grant, the negotiated performance levels for the core outcome measures must, on average, be exceeded. Ideally, each program should set and achieve results that meet or exceed the higher of:

1. Actual Statewide Percentages or
2. State Preliminary Targets.

Illinois would then be assured of meeting its determined levels of performance for each core outcome measure. Realistically, programs that do not serve all instructional types will only be required to report on those students served. Therefore, programs must strive to continuously improve local performance by setting challenging, yet reasonably attainable, goals each year.

## **7.5 How Is Program Data Viewed?**

The File Transfer Protocol (FTP) site will be updated during the year to contain the previous year's actual frequency counts and the current midyear or end-of-year frequency counts. Individuals with the greatest knowledge of a program must carefully review the frequency counts and verify the demographic, participation, and program data for accuracy. The FTP site contains the following information:

- Program information
- Student demographics
- Attendance data
- Enrollment data
- Student goal information
- Pre- and post-tests results

For more information on accessing the FTP site, contact the Assistant Director for Policy Studies/Adult Education and/or the appropriate Program Support Specialist.

## **8.1 What Are the Components of a Quality Program?**

The ICCB is committed to program quality. These components are integrated throughout the entire Adult Education and Family Literacy (AEFL) system. These components are part of the application narrative and the basis for mandated recordkeeping. During the ICCB AEFL Program Monitoring, the Indicators of Program Quality, as submitted in the program application, will be reviewed in relation to compliance. This will determine if the required number of goals have been selected for each indicator, if the measure presented is appropriate for the goal, and if the data source(s) presented will document the projected outcomes. The ICCB AEFL Evaluation Process will evaluate the goals, measures, and outcomes included in the Indicators of Program Quality for their appropriateness to the program designed service delivery and their use for continuous program improvement as well as the quality of the measures and outcomes presented. Information regarding ICCB AEFL Program Monitoring and Program Evaluation can be found in Section 12 of the *Provider Manual*. The basis for program quality in AEFL are as follows.

1. *Program Planning Quality Indicator:* A quality program has a planning process that is ongoing and participatory; guided by evaluation; is based on a written plan that considers community demographics, needs, resources, and economic and technological trends; and is implemented to its fullest extent.

**Goal 1.1:** A quality program has a planning process. Examples of appropriate measures are as follows:

- Program plan includes a needs assessment that considers community demographics, needs, resources, and economic and technological trends to identify community needs.
- Program planning includes input from various internal partners (e.g., students, staff).
- Program planning includes input from external partners (e.g., other entities such as community/service agencies, local employers) to identify community needs and employment trends.
- Program identifies targeted population.
- Program identifies required education and/or support services to be delivered through cooperative arrangements.

**Goal 1.2:** The program plan has been implemented. Examples of appropriate measures are as follows:

- Number and percent of the targeted population are identified through the needs assessment who are enrolled.
- Program conducts education and/or support services through cooperative arrangements, as specified in the program plan.

**Goal 1.3:** The program revises the plan periodically based on various factors, including, but not limited to, changing needs, evaluation results, and staff and student/client input. Examples of appropriate measures are as follows:

- Program conducts periodic review and evaluation of changing local and/or state demographics.
- Program revises plan and submits appropriate plan amendments to the APC and the state agency, based on the review and evaluation, if required.

**Goal 1.4:** The program's planning process identifies areas requiring coordination with other entities and includes mechanisms for coordinating with them. Examples of appropriate measures are as follows:

- The existing level of coordination is congruent with the level of coordination set forth in the program plan. The level of coordination specified in the program plan may include, but is not limited to, the following:
  - Area plan and application lists agencies and focus or areas of agreement.
  - Independent programs working together to serve common population.
  - Integrated delivery of services (e.g., shared client programming, funding, facilities).
  - Joint staff development.
- The program has a plan or process to identify new coordination opportunities and to assess the limitations of service coordination with other entities.

**Goal 1.5:** The governing body of the adult education or other program provides support for the program. Examples of appropriate measures are as follows:

- The goals and missions of the program and its governing body are reflective of each other.
- The adult education program is included in the organization chart of the institution.
- The governing body provides direct and/or indirect support for the adult education program (e.g., staff, space, resources, etc.).

*2. Educational Gains Quality Indicator:*

- Learners demonstrate progress toward attainment of basic skills and competencies that support their educational needs.
- Learners advance in the instructional program or complete program educational requirements that allow them to meet their goals, continue their education or training, or become employed.



**Goal 2.1:** The program measures educational gains or progress toward student goals. Examples of appropriate measures are as follows:

- Use of a state-determined standardized pre-test and post-test and/or use of additional/alternative methods to measure educational gains or progress towards student goals (e.g., observations, self-assessments, peer evaluations, anecdotal records, competency checklists, portfolios).
- Students have an opportunity to articulate their own goals and evaluate their progress in attaining their articulated goals.
- Number and percent of eligible students who are both pre-tested and post-tested with state-determined standardized test are tracked.

**Goal 2.2:** Students demonstrate educational progress in such areas as goal attainment, learning gains, acquisition of skills and competencies, and advancement in the educational system. Examples of appropriate measures are as follows:

- Number and percent of students who demonstrate progress in attainment of individual goals.
- Number and percent of students who demonstrate learning gains on state-determined, standardized tests.
- Number and percent of students who demonstrate learning gains on alternative types of student assessments.
- Number and percent of students who attain skills and competencies within the same educational level.
- Number and percent of students who complete the educational level in which they enroll and/or advance to a higher class level.
- Number and percent of students who take and/or pass GED practice tests.
- Number and percent of students who attain secondary completion.
- Number and percent of students who advance to higher education.
- Number and percent of GED completers who advance to higher education.

**Goal 2.3:** The program has a process to help students transition into more advanced education, training, and employment. Examples of appropriate measures are as follows:

- Number and percent of students who meet with a staff member to discuss education and career plans.
- Number and percent of students who are referred within the organization or to outside organizations for advanced education, training, or employment.

**Goal 2.4:** Students demonstrate progress in non-academic areas. Examples of appropriate measures are as follows:

- Number and percent of students who attain jobs and/or advance in their employment.
- Number and percent of students whose welfare payments are reduced and/or are no longer on welfare.
- Number and percent of students who transition into training.

3. *Curriculum and Instruction Quality Indicator:* The instructional program has appropriate curricula and a variety of methods to meet diverse student learning needs.

**Goal 3.1:** The program has a participatory process to develop a curriculum and instruction plan. Examples of appropriate measures are as follows:

- Students/instructors/tutors collaborate in setting appropriate instructional goals and objectives based on students' goals and instructional needs.
- Students/instructors/tutors collaborate in selecting curriculum components and instructional materials based on students' goals and instructional needs.
- Staff collaborate in developing and updating the curriculum and instruction plan.

**Goal 3.2:** The program implements the curriculum and instruction contained in the curriculum and instruction plan. Examples of appropriate measures are as follows:

- Traditional and alternative assessments (e.g., diagnostic, curriculum-based, skills-based, and proficiency-based assessments) are conducted periodically and are used to guide the instructional process.
- Program has a core curriculum that is broad in scope and sequence and provides flexibility to meet student needs and skill levels.
- Program curriculum is reviewed on a regular basis by all constituents and is revised, as appropriate, to meet changing student needs.
- Instructional materials are current, adult-oriented, and culturally sensitive, and are based on students' levels of preparedness.
- Program uses a wide variety of delivery modes and innovative instructional approaches (e.g., technology, collaborative groups, individualized instruction, teacher-made materials, field trips, real-life situations, community involvement activities) to meet student needs and learning styles.
- Instruction is offered at various times and in various settings and locations, as appropriate to student needs.

4. *Staffing and Staff Development Quality Indicator:* The program has an ongoing process to: select, develop, and retain staff members who consider the specific needs of their students; offer training in the skills necessary to provide quality instruction, and; include opportunities for practice and systematic follow-up.

**Goal 4.1:** The program has an ongoing process to select, develop, and retain staff members who consider the specific needs of their students. Examples of appropriate measures are as follows:

- Job descriptions reflect the needs of students.
- Staff qualifications reflect student demographics (e.g., language, ethnicity, program type).
- Evaluation of staff performance is conducted and used for program/professional development.
- Orientation training is conducted for newly appointed, part-time and full-time teachers, support staff, and volunteers.

**Goal 4.2:** The program has a process to offer training to staff in the skills necessary to provide a quality program that includes opportunities for practice and systematic follow-up. Examples of appropriate measures are as follows:

- Program conducts a needs assessment of paid and unpaid staff that is ongoing and consistent with the mission of the institution, the program, and the ICCB.
- Program develops a strategic plan based on the needs assessment.

**Goal 4.3:** The program implements its staff development plan. Examples of appropriate measures are as follows:

- Program provides staff with a diversity of opportunities for development (e.g., distance learning; action research; cross training among teachers, staff, and other agencies; peer coaching; learning circles).
- Staff participates in staff development activities. Staff include paid and unpaid, full-time and part-time instructional, support, and administrative staff.
- Staff development activities result in the incorporation of improved practices in the program.
- Program conducts systematic follow-up and ongoing evaluations of staff development to determine whether it is effective and whether the contents are applied and incorporated into the program.
- Number and percent of instructional, support, and administrative staff who participate in staff development activities.

5. *Support Services Quality Indicator:* The program identifies student needs for support services, and makes services available to students directly or through referral to other educational and service agencies.

**Goal 5.1:** The program has a process that includes students to help the program identify their need for services. Examples of appropriate measures are as follows:

- Program staff conducts either a formal or informal assessment of students' service needs at program entry (e.g., interviews, focus groups, etc.).
- Program has a process to identify emerging needs on an ongoing basis.

**Goal 5.2:** The program makes identified support services available to students either directly or through referral to other education and service agencies. Examples of appropriate measures are as follows:

- Program informs staff and students of support services available in the community, current resources, and referral procedures designed to meet student needs.
- Program refers students to or provides students with needed support services consistent with its mission, structure, size, and other factors.
- Number and percent of students reporting need for specific support services who receive services from the program or are referred to other service providers by the program are tracked.

6. *Recruitment Quality Indicator:* The program successfully recruits the population in the community identified in the Adult Education Act or other authorizing legislation as needing services.

**Goal 6.1:** Program has a process to recruit different target populations. Examples of appropriate measures are as follows:

- Program employs diverse recruitment strategies appropriate to different target population(s), as identified through the program planning process (e.g., mentor/student referrals/activities, language/culturally sensitive materials).
- Program's recruitment efforts provide information to enable participants to make informed choices about programs (e.g., program purposes, alternatives available, support services available, success at purposes, costs).
- Program evaluates the effectiveness of recruitment efforts in enrolling the targeted population(s) and modifies the efforts based on the evaluation.
- Program coordinates recruitment within its own agency and with other agencies, where appropriate.

**Goal 6.2:** Program's recruitment process effectively recruits the targeted population(s).  
Examples of appropriate measures are as follows:

- Number and type of recruitment strategies utilized.
- Number and percent of targeted population recruited by program.
- Number and percent of targeted population who register in the program.
- Number and percent of targeted population who enroll in the program.

7. *Retention Quality Indicator:* Students remain in the program long enough to meet their educational goals.

**Goal 7.1:** Program has a process to retain students. Examples of appropriate measures are as follows:

- Program employs diverse retention strategies appropriate to different student populations (e.g., staff and student follow-up, use of volunteers, tutoring, incentives).
- Program evaluates the effectiveness of retention strategies and modifies strategies based on the evaluation.

**Goal 7.2:** Program effectively retains the student population. Examples of appropriate measures are as follows:

- Number and percent of students who attend classes for X hours.
- Number and percent of students who attend X percent of scheduled classes.



## **9.1 How Can I Support My Staff in Their Pursuit of Professional Development?**

Illinois emphasizes professional development to enable all local adult education staff (instructors, administrators, and support staff) to effectively meet the crucial needs of students and continuously improve student learning achievement. Professional development activities assist adult educators in improving their understanding of philosophies, methods, materials, and the latest research in their profession. The ICCB Adult Education and Family Literacy Service Center Network is the state-sponsored system responsible for the communication, delivery, and facilitation of these varying levels of activities.

Local programs should develop a process to identify professional development needs and to evaluate the effectiveness of professional development activities. To allow for maximum participation of all adult education staff, the ICCB places special emphasis on locally directed staff development that reflects state priorities, as well as program and individual staff needs.

Programs are encouraged to use their professional development dollars judiciously by:

1. accessing and participating with the Service Center Network and their activities and
2. jointly sponsoring programs and costs within an Area Planning Council (APC).

## **The Adult Education and Family Literacy Service Center Network**

The ICCB-funded Service Center Network offers workshops, seminars, technical assistance, and conferences. They can provide assistance in the development of an annual plan that will incorporate local and regional activities.

This network utilizes content experts, research, and current trends to deliver high-quality services to individuals and programs. They work collaboratively to provide practitioner-based and user-friendly services, including single and multi-day trainings, intensive institutes, individualized technical assistance, group facilitation, networking and problem-solving provider groups, tele-conferences, publications, and annual conferences. The Service Center Network disseminates relevant materials to the field.

For details on the services that can be provided, contact the ICCB Adult Education and Family Literacy Service Center in your region:

### ***Region I & Region II – Northern Illinois Service Center Adult Learning Resource Center (ALRC)***

1855 Mt. Prospect Road  
Des Plaines, IL 60018  
(847) 803-3535  
Fax: (847) 803-3231  
[www.thecenterweb.org/](http://www.thecenterweb.org/)

### ***Region III – Central Illinois Adult Education Service Center (CIAESC)***

Horrabin Hall 5A  
Western Illinois University  
Macomb, IL 61455  
(800) 572-9033  
Fax: (309) 298-2288  
[www.cait.org/ciaesc/](http://www.cait.org/ciaesc/)

### ***Region IV – Southern Illinois Professional Development Center (SIPDC)***

Southern Illinois University at Edwardsville  
Campus Box 1128  
Edwardsville, IL 62026  
(618) 650-2254  
Fax: (618) 650-3455  
[www.siu.edu/SIPDC/index.html](http://www.siu.edu/SIPDC/index.html)

### ***Statewide – Center for Adult Learning and Leadership (CALL)***

Center for Adult Learning and Leadership  
705 E. Lincoln Street, Suite 209  
Normal, IL 61761  
(309) 454-3329  
Fax: (309) 452-1388  
[www.coe.ilstu.edu/ipdpc/](http://www.coe.ilstu.edu/ipdpc/)



## **9.2 What are the Requirements for Professional Development?**

### **ICCB Requirements and Costs**

- The costs associated with Professional Development may be used in accordance with the standards and policies set by your agency. In the absence of a formal travel policy, the provider should follow the Higher Education Travel Control Board's policies, which can be viewed at [www.stateuniv.state.il.us/travel](http://www.stateuniv.state.il.us/travel). Programs must consistently follow one policy.
- All Instructional staff must receive at least 6 hours of professional development training each fiscal year. The Professional Development Flow Chart, located in the appendix should be used to determine what are considered acceptable activities. A record of each professional development activity should be maintained in the program's Administrative Records (See Section 10).
- Permission must be granted by the ICCB to expend AEFL funds for more than one staff member to attend an Out-of-State Professional Development Activity.
- Permission must be granted by the ICCB to expend any AEFL funds for any staff member to attend a Professional Development Activities outside of the United States.
- All New Adult Education Instructors must complete a New Teacher Orientation within six months of his or her hire date. An outline of what should be contained in a New Teacher Orientation is located in the appendix of this manual.
- Programs must develop a Professional Development Plan for each fiscal year that includes activities for all AEFL staff. See Section 9.3 for guidance in developing a professional development plan for staff.
- At least one appropriate staff member is required to attend the two state-sponsored administrator's meetings per year.

### **Allowable Costs**

Allowable costs charged to the Improvement of Instructional Services line on the Post-Allocation Budget are described below:

- *Salaries and Benefits:* Professional Development funds may be used to pay a corresponding portion of salaries and benefits for non-administrative personnel for the following: the time instructors spend in program planning, developing, or evaluating activities outside of contracted instructional time to improve the local program; curriculum planning and development; mentoring or shadowing another instructor; program evaluation meetings; development and delivery of staff training materials or programs; and when instructors are paid for attending professional development activities.

The corresponding portion of salaries and benefits for those who attend professional development activities must be transferred from the Instructional line to the Improvement of Instructional Services line on the Post-Allocation Budget. If a substitute is hired while an instructor is attending a professional development activity, the substitute's salary and any applicable benefits should be charged to the Instruction line on the Post-Allocation Budget. Payment for and the amount instructors are paid for attending staff development activities is a local decision and must be based on existing local policies.

- *Continuing Education:* Local AEFL staff may be reimbursed for postsecondary credit up to a maximum of two courses per fiscal year as long as it pertains to the field of adult education or a related subject area 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 AEFL-funded Service Center Network are, however, allowable Professional Development costs.
- *Membership Dues:* Membership dues for professional organizations relating to adult education are an allowable Professional Development cost.
- *Conferences:* Expenses related to attendance at appropriate in-state AEFL conferences are allowable Professional Development costs.
- *Out-of-State Travel:* Expenses related to attendance at recognized out-of-state AEFL conferences and workshops are an allowable cost; however, no more than one person per local program may attend. Justifiable deviations from this policy will be considered on an individual program basis. For approval to send more than one person, per program to an out-of-state AEFL conference or workshop, complete the Out-of-State Professional Development Request form (Section 17) and send it to the Associate Director for Adult Education and Family Literacy Staff Development and Marketing. **Note:** Per ICCB policy, Milwaukee, Wisconsin, and St. Louis, Missouri, are considered in-state for Professional Development purposes. **All requested travel outside of the contiguous United States** must be submitted utilizing the Out-of-State Professional Development Request Form no later than 60 days in advance of the departure date. In addition, a narrative and supporting documentation explaining the need for such travel must accompany the form. Programs will be notified of acceptance or denial at least 30 days prior to the departure date.
- *Consultant Fees:* Consultant fees are an allowable cost at the maximum rate of \$600 per day, plus expenses (up to a maximum of \$200).

### **Non-Allowable Costs**

The following activities are not supported by Professional Development funds:

- Substitute instructors covering classrooms
- Routine duties of staff which could include, but are not limited to, meeting with students, grading tests or papers, attending staff meetings, or other duties not associated with specific professional development

### ***Special Note:***

Instructors' salaries may not be paid out of Instructional funds for the days they are attending professional development activities. These costs are charged to Improvement of Instructional Services (Professional Development, line 10 of the Post Allocation Budget form). (See Section 3.5 for a complete explanation of items classified under Instruction.) The amount instructors are paid for attending professional development activities is a local decision and must be based on existing local policies.

### **9.3 How Do I Create a Professional Development Plan?**

Local professional development activities that reflect state priorities, as well as program and individual staff needs, should be the number one priority of a plan that is inclusive of all staff.

The following questions are suggested for use in the creation of a professional development plan for a local program:

- Does the professional development plan include orientation training for newly appointed, part-time and full-time instructors, support staff, volunteers, and administrators?
- Does the professional development plan provide for the inclusion of all staff irrespective of whether staff members are employed full- or part-time and whether they have day or evening work schedules?
- Does the professional development plan provide all staff with a diversity of opportunities for development, such as distance learning; action research; and cross training among instructors, staff, and other agencies; peer coaching; and learning circles?
- Does the professional development process indicate a clear relationship between staff development and . . .
  - the mechanisms used to identify staff and program needs?
  - the method used to make decisions on objectives and related activities?
  - the stated objectives in the proposal, and the mission of the program and institution?
- Does the professional development plan include participation in service center, state, and national activities, including required participation at two ICCB-sponsored administrator's meetings annually?
- Does the professional development plan suggest an emphasis on local APC activities?
- Does the professional development plan include the number and/or percent of instructional, support, and administrative staff participating in professional development activities?
- Does the program conduct systematic follow-up and ongoing evaluation of professional development to determine whether it is effective and whether the contents are applied and incorporated into the program?
- Does the program conduct an evaluation of staff performance to use for future program/professional development?

## **9.4 What Are the Current Staffing Requirements for Adult Education and Family Literacy Professionals?**

The professional standards for ICCB AEFL instructors are currently being reviewed. Until further standards are implemented, the following guidelines should be used.

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

### **Preferred Qualifications for Educational Counselors and Support Service Coordinators**

- BA or BS degree in educational counseling or related field OR equivalent experience
- Counseling experience
- Extensive knowledge of interview techniques
- Experience working with disadvantaged individuals
- Bilingual skills, including cultural sensitivity when working with culturally and linguistically diverse populations



## **10.1 What Records Must My Program Keep?**

Records must be maintained to ensure fiscal accountability and the collection of information for local, state, and federal reporting. There are two types of records: (1) Administrative Records and (2) Individual Student Files. **ALL records must be maintained 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. Also, agencies approved by ICCB to subcontract are responsible for all programmatic and fiscal records of the subcontracting agency relative to services provided with ICCB funds. Records, such as those listed below, must be maintained for at least five years or disposed of according to Edgar guidelines.

### **Administrative Records**

- Copy of signed Area Plan
- Copy of signed application, contract, budget(s), and audit(s)
- Copy of Request for Federal Payment Forms, expenditure reports, and equipment purchase inventory reports
- Bids on all contracts for purchase of supplies, materials, or work involving an expenditure in excess of \$10,000
- Copy of all ICCB Adult Education and Family Literacy (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), if applicable
- Master list of names of instructors, class assignments, and/or work schedules and job descriptions of all personnel funded by ICCB AEFL funds
- Master list of all full- and part-time support personnel, work schedules, and job descriptions of all personnel funded by AEFL funds
- Master list of all program administrative personnel work schedules and job descriptions of personnel funded by AEFL funds
- Copy of signed STAIRS Enrollment Report(s)
- Copy of signed STAIRS Performance Report(s)
- Copy of final STAIRS Student Master List
- Copies of each quarter's STAIRS Public Assistance Master List
- Copies of signed instructor's attendance records
- Copy of Professional Development Plan for all AEFL including records of Professional Development activities attended by Instructional staff
- Childcare and transportation lists, if appropriate
- Other information as requested by ICCB

## Individual Student Files

- Documentation of any placement test given to the student (if applicable)
- Pre- and post-test results with the test answer sheet for each test administered (if applicable, BEST-Plus is computer adapted, thus, no test answer sheet would be available), including student name, social security number, date the test was administered, and the score
- Educational and Employability Plan (EEP), signed and dated by the student
- One example of the validation of student progress. The preferred example would be a pre-/post-test sequence. If that is not available, the following would be acceptable:
  - official GED test scores,
  - completion of secondary credentials,
  - instructors' written verification of progress,
  - passing grades, documented competencies, or
  - classroom tests or exercises
- Formal documentation of separation from high school for students ages 16-18, if appropriate
- Student Intake form
- Student Goal Change form (if applicable)
- ICCB Test-Score Transfer Letter (if applicable)



## **11.1 What Types of Literacy Programming Can My Program Provide?**

### **Family Literacy**

Family Literacy is an integrated, intensive service for at-risk families that must include, but is not limited to, four components—adult education, parenting education, parent/child activities, and child education—of family literacy. 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.

1. **Adult education** as defined in Section 5.1
2. **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
3. **Parent/child activities** include regularly scheduled, interactive literacy-based learning activities for parents and children
4. **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)

Allowable costs for Family Literacy are outlined in Section 3.5.

### **Workplace Literacy**

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.

Allowable cost for Workplace Literacy are outlined in Section 3.5.

## **Volunteer Literacy**

Volunteer Literacy Services as provided with ICCB AEFL funds should focus on supporting 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. 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.

To help increase student learning gains, volunteer literacy services may also be offered through individual or small group tutoring sessions held before or after scheduled classes or at other convenient times outside of classroom instruction. In these instances, miscellaneous contact hours may be reported, but enrollment hours may not be claimed.

Volunteer Literacy is an option that programs may elect to use when a class is full or when a new class is not scheduled to begin in the near future. This will allow students to be engaged in the learning process prior to a class being available to them.

Allowable costs for Volunteer Literacy Services are outlined in Section 3.5.

## **12.1 Why Are Programs Monitored?**

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.

All programs will be monitored during a three-year cycle with one third of the programs in each region monitored each year. Selection of programs for monitoring is based on:

- recommendation of the ICCB Senior Director for Adult Education and Family Literacy in consultation with ICCB staff;
- at the request of a funded AEFL program, and;
- by random selection.

Programs will be notified by July of each year that they have been selected to be monitored and a specific date for the monitoring visit will be scheduled. The monitoring visit will be conducted by team of ICCB staff and consultants familiar with Adult Education policies.

## **12.2 What is the Monitoring Process?**

All programs will be monitored using the Monitoring Documents included in Section 17. Local programs will provide designated information to the ICCB prior to the monitoring visit. This information, along with specified internal copies of records submitted by programs to the ICCB, will be reviewed prior to the on-site visit. The records used for the monitoring process will be from the two previous completed fiscal years prior to the year in which the monitoring visit occurs and will be from the following area:

- Fiscal
- Administrative
- Programmatic
- Student Files
- Staffing and Professional Development
- Curriculum and Instruction
- Indicators of Program Quality (for FY05 and FY06 records **ONLY**)

Dependent upon program size, most local program visits should be conducted in one or two days. At the conclusion of the on-site monitoring visit, an informal exit interview will be held. The monitoring process will be concluded for the program with the completion of the following actions:

- ICCB provides written results of monitoring visit to the program;
- Program submits a written plan indicating what corrective actions will be taken and when these actions will/have been implemented;
- ICCB Staff approves the corrective Action Plan, and;
- Program Support or other appropriate ICCB staff conducts a follow-up documenting completion of corrective actions.

### 13.1 What Reports Must be Submitted to the ICCB Throughout the Year?

The ICCB distinguishes between records kept by Adult Education and Family Literacy providers and information required for reporting to the ICCB. In order to find out more about records, please see Section 10.1, Records.

There are both fiscal and student reports required for each funding source. If required reports are inaccurate, incomplete, or late, subsequent payments may be held until such reports are accurate and received in the specified format. Reports must be submitted to the ICCB in order to meet state and federal guidelines. **Note:** Only those students supported by at least 51% of ICCB AEFL funds should be reported. The following table indicates provider report requirements. For further information regarding format, see Section 13.3.

Report	Providers Submitting	Submission	Due Date
STAIRS NRS Performance	All providers	Signed aggregate original and electronic submission	October 30, January 30, April 30, and July 30
STAIRS Enrollment/Generation	All providers	Signed original for each funding source, expect Performance	January 30* and July 30
STAIRS Program Status Report	All providers	Signed aggregate original	October 30, January 30, April 30, and July 30
Data Quality Standards Self-Review	All providers	Signed original	45 days after the completion of NRS Phase III Training
Equipment Report (Capitol Outlay)	Providers purchasing equipment with a value of \$5,000 or more per unit	Submit on-line through ICCB website and mail signed original	July 30
Budget	All providers	Signed original for each funding source	August 30
Final Expenditure	All providers	Submit on-line through ICCB website and mail signed original	August 15* ***Refund, if applicable due September 15
Audit	All providers	Signed original from auditing firm	State – October 15 Federal****

\* If generation is less than 40% of the Instructional budget, subsequent payments will be held. Payments will resume upon receipt of an enrollment report showing 40% generation.

\*\* The August 15 submission consists of a quarterly submission and cumulative submission for the fiscal year.

\*\*\* After electronic submission (due by August 15), a paper copy must be printed, signed, and submitted, along with the refund (if any), as quickly as possible but no later than September 15.

\*\*\*\*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.

## **13.2 What Are the Characteristics of the ICCB Reports?**

### **Enrollment/Generation Report**

- Report is based on generating\* units of direct instruction for ABE, ASE, ESL, HSCR, VOC, 51% of the cost of which is funded by ICCB AEFL funds.
- Students must have accumulated a minimum of 7.5 enrollment hours and making progress at midterm.
- Students may be duplicated.
- Forty percent of the instructional budget for each funding source (except State Performance) must be generated by midyear.
- One-hundred percent of the instructional year-end budget for each funding source (except State Performance) must be generated by year end.
- STAIRS Generated report

\*See Section 3.3 for more information regarding Generation

### **NRS Performance Report**

- Based on student demographic and education functioning levels for ABE, ASE, ESL, and HSCR students. VOC, Foreign Language GED, and Citizenship students are included if appropriate pre-test is administered.
- Based on student receiving a minimum of 12.0 attendance hours of direct instruction and being pre-tested.
- Students are unduplicated.
- STAIRS Generated report.

### **Public Assistance (PA) Report**

- Master List of students' enrollment hours.
- 90% of instructional units must be in approved Public Aid category (04, 06, 07, 08, 94, 96).
- 10% of instructional units can serve other students outside the above categories
- Annual DHS agreement specifies currently approved categories.

PA categories:

04 – TANF Single Parent

06 – TANF Two Parent

07 – Food Stamp

08 – Food Stamps

94 – Medical Assistance ONLY for TANF Eligible Because of Medical Expenses

96 – Medical Assistance ONLY for TANF Eligible Because of Medical Expenses

### **Final Expenditure Report**

- This report is online and is accessed through the ICCB website at [www.iccb.state.il.us/HTML/adulted/adulted.html](http://www.iccb.state.il.us/HTML/adulted/adulted.html).
- Report only actual expenditures of AEFL funds.
- Submit report for each source of funds allocated (State Basic, State Public Assistance, State Performance, Federal Basic, and Federal EL/Civics).
- Total Instructional funds generated, per the STAIRS Enrollment/Generation Report, must be entered for each funding source.
- Changes may be made at any time until report is electronically submitted.
- Permission must be requested for any changes needed after electronic submission.

### **Budget Report**

- See Section 3.5.

### **Audit Report**

- See Section 14.1.

### **Data Quality Standards Self-Review**

- This instrument examines local program processes and procedures that effect data quality and program outcomes. It also analyzes local program actual performance for the NRS Core Outcome Measures and related measures.
- Programs use the Self-Review instrument to rate their implementation of quality data collection and data analyses processes and procedures.
- For each measure under a Data Quality Standard, additional details (dot points) are provided to help define the measure and aid in the ranking of measures.
- The director/administrator of the local adult education program must certify (written signature and date) the Self-Review instrument and submit it no later than 45 days after the completion of NRS III training.

### **Equipment Report (Capital Outlay Report)**

- Items purchased and used with AEFL funds with a value of more than \$5,000 per unit must be reported.
- A computer monitor is one unit, the hard drive is another unit, and the printer is a separate unit.
- Equipment may not be used to generate revenue.
- Disposition of items must be recorded with the ICCB.
- Disposition must be pre-approved by ICCB.
- Instructions can be found on [www.iccb.state.il.us/HTML/adulted/adulted.html](http://www.iccb.state.il.us/HTML/adulted/adulted.html)

### **Field Descriptions**

Items purchased with **State** funds (State Basic, State Public Assistance, or State Performance funds) must be listed on the **State** report. Items purchased with **Federal** funds (Federal Basic or EL/Civics funds) must be listed on the **Federal** report.

*Item Number:* The serial number, if present, or a local cataloging or reference number.

*Source:* The place of purchase (i.e., STAPLES, XYZ Office Supply).

*Acquisition Date:* The date of purchase.

*Initial Cost:* The price agreed upon for the item on the date of purchase.

*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, building name).

*Condition:* Rate the item on a scale from 1-5, with 1 being very poor and 5 being like new.

*Date of Last Physical Inventory:* Each item of equipment over \$5,000 per unit must be inventoried at least every two years.

*Safe-Guarded Against Theft or Damage:* List whether the item is (I) insured; (SL) in a safe location, as in a locked room; and (SH) secure from hazard such as water damage (For each item, this line could contain one of these, a combination of these, or none of these.)

*Date of Last Maintenance:* In the *Code of Federal Regulations*, providers are responsible for providing maintenance on equipment.

*Disposition Date:* List the date of disposition, 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.

*Sale Price:* List the sale price if the item was sold in the current year and is no longer owned by the AEFL program.

Questions regarding this report should be directed to the Financial Assistant of Budget and Operation Division at ICCB.



### **13.3 What Is the Format for Submitting the Reports?**

Each report must be submitted in the format as outlined in Section 13.1. The methods for transmitting reports to the ICCB include the following:

*Signed Original:* The authorized AEFL official must sign original copy of the report. The accepted official may be any one of the four individuals listed on Attachment 1 of the current fiscal year Request for Proposal/Continuation Plan.

*Paper Copy:* Required report does not need authorized official signature.

*Electronic Submission:* May include 3½-inch diskette, zip disks, CDs, e-mail attachments, or reports submitted directly via the Internet.

*Online Through ICCB Website:* The proper form can be accessed and submitted on the ICCB website at [www.iccb.state.il.us/HTML/adulted/adulted.html](http://www.iccb.state.il.us/HTML/adulted/adulted.html).

For all reports, mail the signed original, paper copy, or diskette by the due date to:

Program Compliance  
Adult Education and Family Literacy  
Illinois Community College Board  
401 E. Capitol Avenue  
Springfield, IL 62701-1711

All reports must be received either on or prior to the due date. If the due date falls on a holiday or a weekend, the report is due the following Monday.



## **14.1 What Is the Process for Auditing Adult Education and Family Literacy Providers?**

Program and fiscal records must be available for audit upon request by authorized agents of the ICCB. The costs claimed for reimbursement should be auditable to determine that they are specifically and directly attributable to the operation of the AEFL programs. The costs of the audit should be claimed under Administration.

The ICCB has identified five distinct categories of providers with regard to the audit standards: (1) community colleges, (2) school districts, (3) regional offices of education (ROEs), (4) community-based organizations, and (5) other state entities.

- All providers will be subject to the same basic audit standards; however, separate audit guides will be developed for each category.
- Financial audits will focus on the eligibility of expenditures and compliance with certain specific restrictions on expenditures, as listed in Section 3.1 and the audit requirements.
- All providers subject to federal A-133 audit requirements will be required to file two copies of their A-133 report with the ICCB.
- Providers not meeting the federal requirements to file an A-133 audit are required by the ICCB to file a grant specific audit.
- 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 audit period will be July 1 to June 30 regardless of the entity's fiscal year.
- A provider whose fiscal period is different from the AEFL grant period (July 1-June 30) will have an A-133 audit that reports AEFL grant expenditures based on the provider's fiscal periods and if all funds are not accounted for, it is the provider's responsibility to provide a written explanation of any differences to the ICCB with the submission of the audit.
- The due dates for the audit sections are as follows:
  - State Grant Compliance Section – October 15
  - Federal Audit -
    - 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.
    - **Note:** The ICCB will coordinate with the Office of the Auditor General to obtain the audits for the Regional Offices of Education, Illinois Department of Corrections, and Southern Illinois University.

- Audits for state entities will be coordinated with the Auditor General’s Office.
  - Refunds should be returned with the external audit by October 15.
  - If refund amounts reported in the external audit are different than the refund amount originally estimated in the August 15th on-line Expenditure Report, the on-line Expenditure Report should be updated by October 15 to reflect final audited expenditures.
- Community college audit requirements will be updated in the *ICCB Fiscal Management Manual*.
- Once original budgets have been determined, budget amendments will not be required. As long as the aforementioned expenditure restrictions are met, dollar amounts may be transferred among expenditure categories within each AEFL grant.

**See the Appendices for a complete listing of audit requirements and samples for community colleges, school districts, ROEs, and community-based organizations.**

## **15.1 What Are the Provisions of the GED Tests?**

The specific purpose of the General Educational Development (GED) Tests is the measurement of the educational development of adults who have not completed their formal high school education. Adults may earn a High School Equivalency Certificate and thus qualify for admission to colleges or other educational institutions, meet educational requirements for employment or promotion, satisfy educational qualifications for induction into the armed services, fulfill requirements of local or state licensing boards, and gain personal satisfaction.

The GED Testing Program began as a means of assisting World War II veterans to achieve their educational, vocational, and personal goals on their return to civilian life. The U.S. Armed Forces Institute developed the first tests in 1942, and the American Council on Education, the National Association of Secondary School Principals, and regional accrediting associations supported the program.

In August 1945, the Veterans Testing Service was established and administered by the Commission on Accreditation of Service Experiences of the American Council on Education. The Veterans Testing Service took over the GED Testing Program and focused on helping World War II veterans pursue educational, vocational, and personal goals without returning to the classroom. State departments of education and colleges extended the use of the tests to all adult citizens, and by 1959, non-veteran test takers outnumbered veterans. In 1963, the Veterans Testing Service was officially renamed the General Education Development Testing Service.

Adults should apply to take the GED Tests through the Regional Superintendent of Schools in their county of residence (residents of Cook County test with the Cook County GED Testing Center), provided they meet one of the following criteria:

- 18 years of age or older, maintain residence in the State of Illinois for at least 30 days, and are not high school graduates but whose high school class has graduated
- A member of the Armed Forces of the United States on active duty, who is 17 years of age or older, and who is stationed in Illinois or is a legal resident of Illinois
- A ward of the Department of Corrections who is 17 years of age or older, or an inmate confined in any branch of the Illinois State Penitentiary or in a county correctional facility who is 17 years of age or older
- A female who is 17 years of age or older who is unable to attend school because she is either pregnant or the mother of one or more children
- A male 17 years of age or older who is unable to attend school because he is the father of one or more children
- A person who is 17 years of age or older who has been a dropout for a period of at least one year
- A person who is enrolled in the youth education program sponsored by the Illinois National Guard

Any applicant who cannot qualify as stated previously and who has been out of school for at least one year may be administered the GED Tests upon written request of the director of a program who certifies to the chief examiner of an official GED Test Center that the applicant has completed a program of instruction provided by such agencies as the Job Corps, the Postal Service Academy, or an apprenticeship training program; another State Department of Education in order to meet regulations established by the U.S. Department of Education; a post-high school educational institution for purposes of admission; the Department of Professional Regulation for licensing purposes; or the U.S. Armed Forces for induction purposes. If the applicant meets all the Illinois standards, the applicant shall be issued the Illinois High School Equivalency Certificate upon reaching the age of 18 years.

Servicemen and veterans who have previously passed the GED Tests through the U.S. Armed Forces Institute, official GED Test Centers in other states, or Veterans Administration Hospitals should file the application form ISBE 28-18, accompanied by the official GED Test report with the Regional Superintendent of Schools of the county in which the applicant has maintained residence.

The GED Tests are designed to measure, as nearly as possible, the major outcomes generally associated with four years of regular high school instruction. The tests are not intended to penalize candidates who lack recent academic or classroom experience or who have acquired their education in an informal manner. The test items attempt to measure skills relevant to adult experience. Most test questions require the understanding of broad concepts and generalizations, rather than the ability to remember facts, details, or precise definitions.

Each of the five tests in the GED battery is developed from specifications established by experienced secondary school and adult educators and reviewed by subject-area experts. The GED Testing Service developed the current tests using rigorous guidelines concerning appropriateness of the content in relation to the intended population and the intended level of difficulty. Each test item was subjected to multiple reviews by test specialists and was pre-tested prior to the assembly of the final test forms. The GED Tests are standardized using a national sample of graduating high school seniors. These seniors establish the performance standard required for examinees to earn a High School Equivalency Certificate.

GED candidates must achieve a standard score of 410 or above on each of the five tests and a total standard score of 2250 or above on the entire battery (average score of 450 on each test).

Special accommodations may be requested through ICCB GED Testing Office. ICCB sponsors a GED informational hotline at (800) 321-9511.

## **U.S. Constitution**

In addition to the five GED Tests, Illinois residents are required to pass an examination on American patriotism and the principles of representative government as enunciated in the U.S. Constitution, the Declaration of Independence, and the Constitution of the State of Illinois, as well as on the proper use and display of the American Flag as provided by Section 27-3 of the *Illinois School Code*. Qualified Illinois residents who apply for the High School Equivalency Certificate and who have passed the GED Tests may take the Constitution examination at an ICCB-funded Adult Education Program, official GED Test Center, or the Regional Superintendent of School's office. A study guide ICCB Constitution Test, it has to be electronically scored at an approved test-scoring center.

A program-generated test may be created based on the same criteria as the ICCB-developed test. This test does not have to be pre-approved with ICCB or an ROE.

## **15.2 What Are the Provisions of the New Test?**

As of January 1, 2002, revised GED Tests were implemented. The GED Test Battery has an increased emphasis on critical thinking skills. Each subject area is closely aligned with accepted secondary subject area curriculum standards. Also, there is an increase in the amount of questions using graphical information, and an integration of some skills across test subject areas. Another focus of the new test is an emphasis on workplace skills. Specific criteria for each test is as follows:

### **Language, Arts, Writing**

#### **Part 1: Editing**

- 50 questions
- 200-300 word passages
- 12-18 numbered sentences
- Business documents
- “How To” documents
- 15% Organization
- 30% Sentence structure
- 30% Usage
- 25% Mechanics; spelling is no longer tested

#### **Part II: The Essay**

- Must be of sufficient length to develop the topic
- 4 point scoring scale
- If score below 2, fail entire test

### **Social Studies**

- 50 questions
- 25% U.S. History
- 15% World History
- 15% Geography
- 20% Economics
- 25% Civics and Government
- 40% passages
- Up to 60% graphics
- At least one practical document (voter’s guide, etc.)
- At least one excerpt from a historical document (Declaration of Independence, U.S. Constitution, *The Federalist Papers*, or a landmark Supreme Court decision)



## **Science**

- 50 questions
- 20% Earth Science
- 35% Physical Science
- 45% Life Science
- 50% graphics
- 25% short passage sets
- 75% single-item questions
- 50% conceptual understanding
- 50% problem solving

## **Language Arts/Reading**

- 40 questions
- 75% literacy text
- 25% nonfiction text (including business documents and critical reviews)
- 20% comprehension
- 15% application
- 30-35% analysis
- 30-35% synthesis

## **Mathematics**

- Alternative answer formats
- Formula and calculator pages
- Two parts (25 questions each)
- Part One: Casio fx 260 calculator allowed
- Part Two: no calculator allowed
- 20-30% numbers operation
- 20-30% measurement and geometry
- 20-30% data; statistics
- 20-30% algebra; patterns



**Illinois Community College Board  
401 E. Capitol Avenue  
Springfield, IL 62701-1711**

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# Index

## 45%

45%, 18, 36, 113

## 51%

51%, 23, 27, 53, 57, 59, 101, 102

## A

A-133 audit, 8, 107  
Administrative Records, 21, 89, 95  
administrators, 2, 10, 29, 73, 87, 92  
Adult Education and Family Literacy Act, 5, 7, 8  
aggregate report, 62, 63, 64, 65  
allocations, 36  
application process, 55  
applications, 7, 9  
Assessment and Testing, 28, 67  
Assistive and Adaptive Equipment, 28, 67  
Assurances, 11  
Attendance Codes, 60  
attendance hours, 57, 102  
audits, 37, 107

## B

BEST Plus, 44, 45, 46, 47, 52, 62, 63, 64, 65  
budget, 11, 18, 23, 27, 30, 32, 36, 37, 53, 69, 70, 95,  
101, 102, 108  
Budget Report, 103  
bylaws, 14, 15

## C

Capital Outlay, 28, 31, 103  
CCR&R, 69, 71  
changes, 12, 14, 19, 27, 33, 101, 103  
child education, 29, 68, 97  
childcare services, 69, 70  
citizenship education, 54  
claimable hour, 53, 57  
class, 23, 39, 44, 47, 48, 51, 52, 55, 56, 57, 58, 59, 60,  
69, 71, 81, 95, 97, 98, 109  
competitive sources of funds, 17, 61  
conferences, 88, 90  
Contact hours, 57, 98  
Continuation Plan, 105  
Continuing Education, 90  
core measures, 74  
course, 7, 41, 45, 49, 55, 56, 59, 76  
cross training, 83, 92  
curriculum, 7, 10, 29, 44, 53, 54, 55, 56, 57, 58, 63,  
82, 89, 112  
curriculum and instruction, 82  
Curriculum and Instruction Quality Indicator, 82  
Curriculum Publications Clearinghouse, 47

## D

Data and Information Services, 30  
de-obligation of funds, 37  
Department of Corrections, 13, 32, 107, 109  
Descriptive Measures, 74  
direct instruction, 23, 53, 55, 57, 58, 59, 102  
Disposition, 103, 104

## E

Educational Counselors, 93  
educational gains, 44, 47, 81  
Educational Gains Quality Indicator, 80  
EL/Civics, 4, 27, 32, 36, 44, 54, 55, 63, 104  
eligible applicants, 7, 9  
eligible population, 5, 13  
Employee Benefits, 30  
English literacy, 9, 55  
enrollment hours, 55, 57, 98, 102  
Enrollment/Generation Report, 102, 103  
Entered Employment, 74  
equipment, 29, 31, 32, 33, 34, 35, 67, 95, 101, 104  
Equipment Disposition, 34  
Equipment Report, 4, 101, 103  
equipment reporting, 35  
ESL Testing, 46  
evaluation, 9, 21, 22, 39, 44, 46, 49, 51, 66, 72, 79, 80,  
84, 85, 92  
Evidence of Not-for-Profit Status, 7  
expenditure report, 95

## F

family literacy, 5, 53, 54, 97  
Federal Adult Education and Family Literacy Act, 3, 5  
Federal Basic, 4, 17, 18, 23, 27, 30, 32, 36, 61, 62,  
103, 104  
Federal EL/Civics, 17, 18, 23, 27, 30, 61, 63, 103  
Field Descriptions, 104  
fixed entry, 44, 51  
foreign GED, 55  
frequency counts, 78  
full-time, 71, 83, 92  
funding categories, 61  
funding request, 11

## G

GED completions, 25  
GED Illinois, 58  
General Administration, 18, 27, 28, 29, 32, 37  
generation, 18, 23, 24, 36, 37, 58, 59, 101  
Generic Course List, 4, 55  
Goal Matrix, 41, 42, 76  
goal setting, 42, 76  
goals, 9, 28, 39, 40, 41, 42, 43, 66, 67, 73, 74, 76, 77,  
79, 80, 81, 82, 85, 97, 109  
Guidance Services, 28, 67

## H

high school diploma, 8, 25  
High School Equivalency Certificate, 109, 110, 111  
Higher Education Travel Board, 32  
Higher Expense Purchases, 35

## I

Illinois High School Equivalency Certificate, 110  
Illinois National Guard, 109  
Illinois School Code, 9, 23, 28, 67, 111  
Illinois State Penitentiary, 109  
Illinois State Plan, 9  
Improvement of Instructional Services, 29, 89, 90, 91  
Indirect Costs, 30, 37  
Individual Student Files, 95, 96  
instruction, 8, 9, 18, 23, 24, 28, 29, 39, 40, 41, 42, 43, 44, 49, 50, 52, 53, 54, 55, 56, 57, 58, 61, 62, 63, 64, 65, 66, 76, 82, 83, 98, 110  
Instruction line, 27, 90  
instructional line, 19, 53  
instructional services, 8, 10  
instructors, 10, 27, 29, 73, 82, 87, 89, 90, 91, 92, 93, 95, 96  
intensity and duration, 10, 51, 55, 66, 95  
interest, 19, 32, 33

## J

Job Corps, 110

## L

Levels gained, 25  
liability insurance, 7, 22  
line items, 29  
literacy services, 5, 9  
Literacy Skills Test, 44, 47  
Loans, 32  
Local Workforce Investment Area, 6  
locator test, 47

## M

maintenance procedures, 34  
midterm, 19, 23, 57, 58, 102  
Mid-Year Enrollment Report, 36  
Minority Report, 14, 15

## N

not-for-profit organizations, 8, 22  
NRS Goals, 3, 41, 76

## O

Object Items, 30  
One-Stop, 6, 30, 32  
Open computer lab, 59  
open-entry/exit, 58  
Operation and Maintenance of Plant Services, 29, 32  
orientation, 92

outcome measures, 43, 74, 77  
Out-of-State Travel, 90

## P

parent/child activities, 97  
parenting education, 29, 68, 97  
Participation Measures, 74  
part-time, 41, 71, 83, 92, 95  
PCS codes, 56  
Performance funds, 23, 25, 26, 59  
Performance Report, 62, 63, 64, 65, 95, 102  
Placement Testing, 46, 50  
Post Allocation Budget, 27, 30, 69, 91  
post-test, 18, 25, 39, 44, 45, 46, 47, 48, 49, 51, 52, 60, 66, 78, 81, 96  
Post-Testing Exceptions, 49  
pre-test, 25, 44, 45, 47, 48, 51, 81, 102, 110  
primary goal, 40, 43, 75, 76  
professional development, 27, 57, 58, 66, 83, 87, 89, 90, 91, 92  
professional development plan, 57, 89, 92  
Program coordination, 29  
program evaluation, 89  
program measures, 81  
program planning, 84, 89, 99  
Program Planning Quality Indicator, 79  
Progress Testing, 46, 49  
Public Assistance Master List, 65, 95  
Public Community College Act, 35  
Purchased Services, 29, 31, 32

## R

records, 7, 19, 21, 22, 24, 25, 33, 43, 57, 58, 66, 69, 81, 95, 100, 101, 107  
recruitment, 10, 11, 84, 85  
Recruitment Quality Indicator, 84  
Regional Program Support Specialist, 14  
Regional Superintendent of Schools, 13, 109, 110  
reports, 7, 15, 95, 101, 105, 107  
restricted purposes funds, 18, 19, 27  
retention, 11, 28, 41, 52, 66, 85  
Retention Quality Indicator, 85  
retirement, 30, 32  
RFP, 7, 9, 12, 17

## S

salaries and benefits, 27, 89  
satisfactory progress, 23  
scale score, 49  
secondary completions, 9  
secondary goal, 40, 43, 75, 76  
Senior Director for Adult Education and Family Literacy, 37, 99, 114  
separation, 43, 96  
Service Center Network, 45, 48, 87, 88, 90  
Social Work Services, 28, 67  
Spanish GED, 64  
staff development, 10, 60, 80, 83, 87, 90, 92  
Staffing, 4, 10, 66, 83, 93, 100  
Staffing and Staff Development Quality Indicator, 83  
STAIRS data system, 23, 45, 46, 49, 50, 58, 59

State Performance, 17, 18, 19, 23, 27, 32, 36, 59, 61, 102, 103, 104  
State Plan, 7  
State Public Assistance, 17, 18, 19, 23, 27, 32, 36, 61, 65, 103, 104  
Stevens Amendment, 20  
student assessment, 81  
Student Files, 100  
Student Intake, 3, 4, 39, 96  
student outcomes, 73  
Student Transportation Services, 28, 67  
subcontracting, 21, 95  
supplement not supplant, 19, 27  
Supplies and Materials, 27, 28, 31  
support services, 39, 62, 63, 64, 66, 79, 84  
Support Services Quality Indicator, 84  
support staff, 29, 83, 87, 92

## **T**

TABE, 47, 48, 49, 50, 52, 62, 64, 65  
target, 8, 10, 66, 77, 84  
target population, 10, 66, 84  
Test Ordering, 47, 50  
Test score gains, 25  
timesheets, 7  
transportation, 39, 69, 71, 95  
travel, 32, 89, 90  
tuition, 31

## **U**

U.S. Constitution, 111, 112  
Unspent funds, 26

## **V**

Vocational Skills Training, 23, 54  
volunteer literacy, 98  
volunteers, 83, 85, 92, 98

## **W**

WIA costs, 32  
Workforce Coordination, 30, 32  
Workforce Investment Act of 1998, 6, 19, 27  
workplace literacy, 9, 53, 54

# Illinois Community College Board



## Adult Education and Family Literacy

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### APC CHANGE FORM

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Make appropriate changes from the signed APC plan and submit for ICCB approval to the Associate Director for Adult Education and Family Literacy/Program Compliance, 401 E. Capitol Avenue, Springfield, IL 62701.

**Name of Program:** \_\_\_\_\_

**Date of Requested Change:** \_\_\_\_\_

**Site Information:**

Provide complete site name, address, city and zip. (*APC 508* – Name the specific City College sub-area, if known (i.e. North, NW, Central/West, South, SW or SE), and action indicated.

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 (508 only): \_\_\_\_\_

**Instructional Services:**

Type of Instruction/Classes/Courses: \_\_\_\_\_

Add? \_\_\_\_\_ Eliminate? \_\_\_\_\_

Funded by sources other than ICCB AEFL (508 only)? \_\_\_\_\_

**III Support Services:**

Type of Support Service: \_\_\_\_\_

Add? \_\_\_\_\_ Eliminate? \_\_\_\_\_

Funded by sources other than ICCB AEFL (508 only)? \_\_\_\_\_





***BEST Literacy Test Screener***

Name: \_\_\_\_\_

Address: \_\_\_\_\_

City: \_\_\_\_\_

Date: \_\_\_\_\_

Signature: \_\_\_\_\_

## 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.

Originally, the *BEST* consisted of two parts: the Oral *BEST* and the Literacy skills section. The Oral *BEST* contains a check on sight words and a short form that the student is required to complete before he/she can take the *BEST* Literacy. Since you are not administering the oral test, you can use the screener to determine if the *BEST* Literacy should be administered.

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 STAIRS for the pre-test. The screener can only be used once and the student will take the *BEST Literacy* (Form B or C) as the post-test.

If the student completes the entire form correctly, then administer the *BESL 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 STAIRS. The *BEST Literacy Test* must be given as a post-test.

### Program Use ONLY

Student Name:

Student ID #:

Date:

Score:

ILLINOIS COMMUNITY COLLEGE BOARD  
BUDGET AND OPERATIONS - PAYMENT REQUEST  
401 E. CAPITOL AVENUE  
SPRINGFIELD, ILLINOIS 62701-1711

Contact: \_\_\_\_\_  
Person (please print) \_\_\_\_\_ Phone Number \_\_\_\_\_ Fax Number \_\_\_\_\_  
E-mail \_\_\_\_\_ Request Number \_\_\_\_\_

1. Total EL/Civics Allocation: ..... \$
2. Total Recurring Expenditures: \_\_\_\_\_ (This line can be \$ 0.)
3. Remaining Allocation: \_\_\_\_\_ (If this line is \$ 0, no future requests are necessary.)  
(Complete the following for non-recurring expenditures only)
4. Total Previous Requests: \_\_\_\_\_
5. Amount This Request: \_\_\_\_\_
6. Remaining Allocation: \_\_\_\_\_

If you are requesting recurring expenditures, please choose your schedule:

\_\_\_\_ Quarterly Monthly: \_\_\_\_ 12 equal payments \_\_\_\_ 9 equal payments (Sept. thru May)  
\_\_\_\_ Other (describe) \_\_\_\_\_

*I certify that these federal funds are for reimbursement of past expenditures or will be expended promptly upon receipt.*

\_\_\_\_\_  
Signature of Authorized Representative Date \_\_\_\_\_

\_\_\_\_\_  
Title \_\_\_\_\_

\_\_\_\_\_  
ICCB Approval Date \_\_\_\_\_

## FEDERAL PAYMENT REQUEST FORM

Due to federal law, it is illegal for the ICCB or any provider to hold federal monies.

**The Federal Government is becoming stricter in enforcing this law concerning no excess cash on hand. With that in mind, we strongly encourage you to choose the payment schedule that best fits your cash needs. Quarterly payments will now be processed in the third month of each quarter instead of the first.**

Attached is a personalized Federal Payment Request Form – one for Federal Basic and one for EL/Civics, if applicable. Please use these as originals from which to make copies as you need them.

Options:

A. Request entire allocation as “recurring expenditures” – if you are able to project your monthly or quarterly expenditures (such as rent, payroll, etc.) for the entire year, complete lines 2 and 3 and submit once (line 2 will be the entire allocation and line 3 will be 0). Payments will be processed according to the schedule you choose in the next section -- either quarterly or monthly. **CHANGE IN FY ‘06: quarterly payments will be processed in the third month of each quarter (September, December, March, and June).** If you choose "Monthly" -- “Other”, please describe. Example: total allocation is \$120,000 -- \$30,000 in September and January; \$7,500 in the remaining 8 months. If you wish to set up a monthly schedule, but each month is a different amount, please attach a separate page.

If you choose "12 equal payments" and your grant agreement is executed in September, your first payment will include July, August, and September. If your grant agreement is not returned until October, your first payment will include the first four months.

- B. Combination of recurring and periodic expenditures – if you are able to project your recurring expenditures (rent, payroll, etc.) but will also have expenditures that, at this time, are unknown (equipment, travel, brochures), complete lines 1 through 3 and submit now to set up your schedule. Then submit additional requests (completing lines 4 through 6) as you incur the remaining expenditures throughout the year. There is no limit to the number of additional requests that can be made during the fiscal year. Final payment requests are due by August 1st.
- C. Periodic expenditures only – if you are unable to project your expenditures or prefer to be on a strictly reimbursement basis, enter 0 on line 2 and your total allocation on line 3. For your first request, enter 0 on line 4. For all additional requests, enter your cumulative previous requests. Enter your current request on line 5 and your remaining allocation (line 3 minus lines 4 and 5) on line 6. There is no limit to the number of requests that can be made during the fiscal year. Final payment requests are due by August 1st.

**PLEASE NOTE: These forms are to be used for federal awards only. State funds will be automatically distributed on a quarterly basis (first month of each quarter).**



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**PLEASE NOTE: These forms are to be used for federal awards only. State funds will be automatically distributed on a quarterly basis (first month of each quarter).**

**Illinois Community College Board**  
**Adult Education and Family Literacy**

**FEDERAL BASIC or EL CIVICS GRANT**  
**RECONCILIATION FORM**

Provider \_\_\_\_\_

Federal Grant \_\_\_\_\_

Fiscal Year \_\_\_\_\_

Line 1        ICCB Federal Grant Revenue        \_\_\_\_\_

Line 2        A133 Audited Federal Grant Revenue        \_\_\_\_\_

Line 3        Difference        \_\_\_\_\_

Reconciling Items - please provide detail

Line 4        Deferred Revenue, Deferred Expenditures        \_\_\_\_\_

Line 5        Other        \_\_\_\_\_

Line 6        Total Reconciling Items

\_\_\_\_\_ Line 3 and 6 should equal





Illinois Community College Board  
**Adult Education and Family Literacy**  
**Indicators of Program Quality**  
**Monitoring Document**

**Program** \_\_\_\_\_

**Date** \_\_\_\_\_

**Team Member** \_\_\_\_\_

**Fiscal Year Monitored** \_\_\_\_\_

DRAFT

INDICATORS OF PROGRAM QUALITY	YES	NO	COMMENTS/RECOMMENDED ACTION (FOR ICCB USE ONLY)
1. Program has selected at least two goals for each of the seven Indicators of Program Quality			

Attached are sheets for each of the seven Indicators of Program Quality. Local program staff are to list goals and measurable objectives they established for each of the Indicators. In the second column, the program should indicate progress made toward achieving each objective and the data source used to measure that progress. This information is to be provided to ICCB prior to the monitoring visit. Confirmation of the progress will be made during the monitoring visit. In the third column, the monitoring team member will evaluate the measurability of the goal, comment on progress and the source of data used to report progress, and make recommendations for improvement. Duplicate these forms as necessary.

DRAFT

**Illinois Community College Board  
Adult Education and Family Literacy  
Indicators of Program Quality Monitoring  
Fiscal Year Monitored \_\_\_\_\_**

**Submitting Program** \_\_\_\_\_

**Date** \_\_\_\_\_

**Submitted By** \_\_\_\_\_

**Monitoring Team Member** \_\_\_\_\_

<b>INDICATORS OF PROGRAM QUALITY</b>	<b>PROGRESS TOWARD MEETING OBJECTIVES AND SOURCE(S) OF DATA</b>	<b>COMMENTS/RECOMMENDED ACTION (FOR ICCB USE ONLY)</b>
<b>1. Program Planning</b>		

<b>INDICATORS OF PROGRAM QUALITY</b>	<b>PROGRESS TOWARD MEETING OBJECTIVES AND SOURCE(S) OF DATA</b>	<b>COMMENTS/RECOMMENDED ACTION (FOR ICCB USE ONLY)</b>
<b>2. Educational Gains</b>	<p style="text-align: center; font-size: 48px; color: lightgray;">DRAFT</p> <p style="text-align: center; font-size: 48px; color: lightgray;">DRAFT</p>	

<b>INDICATORS OF PROGRAM QUALITY</b>	<b>PROGRESS TOWARD MEETING OBJECTIVES AND SOURCE(S) OF DATA</b>	<b>COMMENTS/RECOMMENDED ACTION (FOR ICCB USE ONLY)</b>
<b>3. Curriculum and Instruction</b>	<p>DRAFT</p> <p>DRAFT</p>	

<b>INDICATORS OF PROGRAM QUALITY</b>	<b>PROGRESS TOWARD MEETING OBJECTIVES AND SOURCE(S) OF DATA</b>	<b>COMMENTS/RECOMMENDED ACTION (FOR ICCB USE ONLY)</b>
<b>4. Staffing and Professional Development</b>	<p style="text-align: center; font-size: 48px; color: lightgray;">DRAFT</p> <p style="text-align: center; font-size: 48px; color: lightgray;">DRAFT</p>	

<b>INDICATORS OF PROGRAM QUALITY</b>	<b>PROGRESS TOWARD MEETING OBJECTIVES AND SOURCE(S) OF DATA</b>	<b>COMMENTS/RECOMMENDED ACTION (FOR ICCB USE ONLY)</b>
<b>5. Support Services</b>	<p style="font-size: 48pt; color: lightgray; opacity: 0.5;">DRAFT</p> <p style="font-size: 48pt; color: lightgray; opacity: 0.5;">DRAFT</p>	

<b>INDICATORS OF PROGRAM QUALITY</b>	<b>PROGRESS TOWARD MEETING OBJECTIVES AND SOURCE(S) OF DATA</b>	<b>COMMENTS/RECOMMENDED ACTION (FOR ICCB USE ONLY)</b>
6. Recruitment	<p style="text-align: center; font-size: 48px; opacity: 0.3;">DRAFT</p> <p style="text-align: center; font-size: 48px; opacity: 0.3;">DRAFT</p>	

<b>INDICATORS OF PROGRAM QUALITY</b>	<b>PROGRESS TOWARD MEETING OBJECTIVES AND SOURCE(S) OF DATA</b>	<b>COMMENTS/RECOMMENDED ACTION (FOR ICCB USE ONLY)</b>
7. Retention	<p>DRAFT</p> <p>DRAFT</p>	



**Illinois Community College Board  
Adult Education and Family Literacy  
Monitoring Document**

**Program** \_\_\_\_\_

**Date** \_\_\_\_\_

**Team Member** \_\_\_\_\_

**Fiscal Year Monitored** \_\_\_\_\_

<b>FISCAL RECORDS</b> (#1 through #3 to be reviewed at the ICCB . #4 and #5 to be reviewed locally)	<b>Compliance</b>		<b>COMMENTS/RECOMMENDED ACTION</b>  <b>FOR ICCB USE ONLY</b>
	<b>Yes</b>	<b>No</b>	
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?  Were there any major changes in line items between budget submission and submission of expenditure reports?			

<p><b>3. Audit:</b></p> <p>Program Director has a copy of most recent audit.</p> <p>Audit was submitted by due date.</p> <p>Audit was submitted in the appropriate format.</p> <p>Audit contains opinions expressed by auditors.</p> <p>Audit findings are adequately addressed in the provider response.</p> <p>Questioned costs, if appropriate are returned.</p>			<p style="text-align: center; font-size: 48px; opacity: 0.5;">DRAFT</p>
<p><b>4. Purchases:</b></p> <p>The program has a purchasing policy that includes appropriate checks and balances to ensure that state and federal funds are properly spent.</p> <p>For any single item purchased over \$5,000 the program received written approval from ICCB for the purchase.</p> <p>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)</p>			<p style="text-align: center; font-size: 48px; opacity: 0.5;">DRAFT</p>

<p><b>5. Inventory:</b></p> <p>A current inventory of equipment is maintained.</p> <p>Accepted procedures for equipment disposal are followed and appropriate records are maintained.</p>			
---	--	--	--

<b>ADMINISTRATIVE RECORDS</b>			
<p>1. Copy of the signed application is available.</p> <p>Program has reported, in writing, any changes in staff listed on Attachment 1 of the application to ICCB.</p>	DRAFT		
<p><b>2. Sites and Services:</b></p> <p>Copy of signed Area Plan is available.</p> <p>Master List of Classes is available.</p> <p>There is correlation between the Master List of Classes and the approved program sites and services as listed in the Area Plan.</p> <p>Changes in sites/services were presented to the Area Planning Council for approval prior to implementation.</p>			

<p>3. Sub-contractual agreements are appropriate in scope for adult education, contain appropriate signatures and copies are available.</p>			
<p>4. Copy of DHS agreement is available, if applicable.</p>			
<p>5. Partnership agreements are appropriate in scope for adult education, contain appropriate signatures and copies are available.</p>			
<p>6. Program has copy of Workforce Investment Act Memorandums of Understanding, if applicable.</p> <p>Program Director is aware of what Workforce Areas the program covers and regularly communicates with the Adult Education Representative on the Workforce Boards.</p>			
<p>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</p>			
<p>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</p>			

<p>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.</p>			
<p>10. Policies and practices promote an atmosphere of non-discrimination on the basis of race, color, national origin or sex.</p>			
<p>11. Facilities are accessible to handicapped and meet the Illinois Accessibility Code requirements.</p>			
<p>12. Program printed informational materials comply with Section 511 of Public Law 101-166 (the Stevens Amendment)</p>			

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<p><b>PROGRAMMATIC RECORDS</b> (Prior to monitoring visit, a record of submission dates of required reports will be reviewed by the Monitoring Team)</p>			
<p>1. Mid-year and Year-end copies of signed STAIRS Enrollment Reports are available for all ICCB AEFL funding sources.</p>			
<p>2. Copies of signed quarterly STAIRS Performance Reports are available.</p>			
<p>3. Copies of final fiscal year Student Master Lists are available for all ICCB AEFL funding sources.</p>			
<p>4. Copies of each quarter as well as a cumulative list for the Fiscal Year of the STAIRS Public Assistance Master List are available.</p>			
<p>5. Adult Basic Education and Public Assistance students claimed on enrollment reports for restricted purposes funds are not being charged for services.</p> <p>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.</p>			

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

DRAFT

**9. Childcare:**

Costs conform to requirements for Purchased Services.

If direct service is provided by the program:

Abide by DCFS rules for staffing qualifications, space allocation and equipment requirements.

Staff who provide meals or snacks possess appropriate food service sanitation certification

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..

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<p><b>10. Transportation:</b></p> <p>Procedure for use of Public Transport is established and records of students provided services are available.</p> <p>If direct service is provided by the program:</p> <p>Equipment and staff meet local program policy and procedures for provision of services.</p> <p>ICCB Adult Education and Family Literacy funds provide only those costs attributable to AEFL students.</p> <p>Transportation records for students provided service correlate with official student attendance records.</p>			
<p><b>11. Operation and Maintenance Costs:</b></p> <p>Costs claimed for reimbursement are specifically and directly attributable to the operation of the adult education program.</p>			

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DRAFT

**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.

Program uses data and reports for program planning and improvement.

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<p><b>STUDENT RECORDS</b> (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.)</p>			
<p>1. Student file contains a standardized intake form tied to the program database for collecting data to be reported to ICCB.</p> <p>Intake form includes attainment of a High School Diploma or GED for reporting as appropriate.</p>			
<p>2. Each student file contains an Educational and Employability Form (EEP) that reflects student goals and is signed and dated by the student.</p> <p>Goal indicated on individual student EEP matches goal entered on student record in STAIRS.</p>			
<p>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.</p>			

**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 (i.e. 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.

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<p>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 examples are included in student files.</p>			
<p>6. Documentation of separation from high school for students ages 16-18, if appropriate, is contained in the student file.</p>			
<p>7. Public Assistance case numbers meet guidelines as outlined in the DHS agreement.</p>			

DRAFT

<p><b>STAFFING/PROFESSIONAL DEVELOPMENT</b> (Information for #8 will be provided by the ICCB)</p>			
<p>1. Program has a professional development plan that includes all staff i.e. administrative, instructional, clerical, literacy, counseling, child care etc.</p>			
<p>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.</p>			
<p>3. Program employs staff with appropriate qualifications/certification/credentials to deliver Adult Education and Family Literacy Services.</p>			
<p>4. Local program travel policy provides for a procedure of “Prior Approval” for staff participating in professional development activities or traveling on program business.</p>			
<p>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.</p>			

<p>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.</p>			
<p>7. Program has requested written approval from the ICCB for out of country travel for programmatic or professional development activities. (Effective FY 05)</p>			
<p>8. Program staff have attended the two required state sponsored administrators' meetings.</p>			
<p>9. 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.</p>			
<p>10. Salaries and any applicable benefits paid to instructional staff for attendance at professional development activities have been charged to Improvement of Instructional Services.</p>			

<b>CURRICULUM AND INSTRUCTION</b>			
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.			
<p>4. <b>Instructional Claims</b></p> <p>Instruction is provided and appropriately claimed through:</p> <p>Fixed entry</p> <p>Open entry/exit</p> <p>GED Illinois distance learning class</p> <p>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.</p>			



<p>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:</p> <p style="padding-left: 40px;">Federal Basic Funds</p> <p style="padding-left: 40px;">Federal EL/Civics Funds</p> <p style="padding-left: 40px;">State Basic Funds</p> <p style="padding-left: 40px;">State Public Assistance Funds</p>			
<p>6. Class sizes are reasonable and physical classroom equipment is appropriate for adults.</p>			
<p>7. Instructional materials are current, adult oriented and culturally sensitive, in adequate supply and appropriate for level and subject being taught.</p>			
<p>8. Program has integrated technology in the instructional process.</p>			
<p>9. Program uses a wide variety of delivery modes and innovative instructional approaches to meet students' needs and learning styles.</p>			

Illinois Community College Board  
**Adult Education and Family Literacy**  
**Monitoring Document**  
**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
<b>Fiscal Records</b>	
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 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.

<p>5. Page 26 and 27 - September 2003 Printing - ICCB Adult Education and Family Literacy Provider Manual.</p>	<p>Copy of local program inventory records.</p> <p>Local program records of equipment disposal.</p>
<p><b>Administrative Records</b></p>	
<p>1. Page 77 - September 2003 Printing - ICCB Adult Education and Family Literacy Provider Manual.</p>	<p>Program Director will provide from program files, a copy of the application for fiscal year(s) being monitored.</p> <p>Copies of correspondence to ICCB advising of changes in staff listed on Attachment 1 of the application.</p>
<p>2. Page 77 - September 2003 Printing - ICCB Adult Education and Family Literacy Provider Manual.</p> <p>Page 10 - September 2003 Printing - ICCB Adult Education and Family Literacy Provider Manual.</p>	<p>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.</p>
<p>3. Page 16 - September 2003 Printing - ICCB Adult Education and Family Literacy Provider Manual.</p>	<p>Copies of all sub-contractual agreements will be reviewed.</p>
<p>4. Page 77 - September 2003 Printing - ICCB Adult Education and Family Literacy Provider Manual.</p>	<p>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.</p>
<p>5. Page 77 - September 2003 Printing - ICCB Adult Education and Family Literacy Provider Manual.</p>	<p>Copies of all partnership agreements will be reviewed. (Effective FY04)</p>
<p>6. Page 77 - September 2003 Printing - ICCB Adult Education and Family Literacy Provider Manual.</p> <p>Item 3 (d) FY05 ICCB Adult Education and Family Literacy Area Planning Document.</p>	<p>MOUs 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)</p>
<p>7. Page 77 - September 2003 Printing - ICCB Adult Education and Family Literacy Provider Manual.</p>	<p>Prior to visit program will provide a list of instructional personnel including class assignments, work schedule and job descriptions.</p>

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.
<b>Programmatic Records</b>	
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.

<p>7. Page 14 - September 2003 printing - ICCB Adult Education and Family Literacy Manual.</p> <p>Regional Meeting Handout - April 2004 Administrators' Meeting.</p>	<p>A sample review of time distribution sheets for appropriate information and signatures will be compared with job descriptions.</p>
<p>8. Page 2 - September 2003 Printing - ICCB Adult Education and Family Literacy Provider Manual.</p> <p>FY04 Request for Proposal.</p>	<p>Comparison of approved request and information entered into STAIRS will be completed at the ICCB office.</p>
<p>9. Pages 55 - 59 - September 2003 Printing - ICCB Adult Education and Family Literacy Provider Manual.</p>	<p>Review of services provided, cost allocation method used, and sample comparison of student attendance records and child care provided.</p>
<p>10. Pages 55 - 57 - September 2003 Printing - ICCB Adult Education and Family Literacy Provider Manual.</p>	<p>Review of services provided, cost allocation method used, and sample comparison of student attendance records with transportation records.</p>
<p>11. Pages 23, 24, &amp; 25 - September 2003 Printing - ICCB Adult Education and Family Literacy Provider Manual.</p>	<p>Review of charges and as appropriate cost allocation method used.</p>
<p>12. Page 18 - September 2003 Printing - ICCB Adult Education and Family Literacy Provider Manual.</p> <p>NRS Presentation - August 2002 Administrators' Meeting.</p>	<p>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.</p>
<p><b>Student Records</b></p>	
<p>1. Page 29 and Forms Section - September 2003 Printing - ICCB Adult Education and Family Literacy Provider Manual</p>	<p>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.</p>

<p>2. Pages 30, 31, 32 - September 2003 Printing - ICCB Adult Education and Family Literacy Provider Manual.</p>	<p>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.</p>
<p>3. Pages 38 &amp; 39 - September 2003 Printing - ICCB Adult Education and Family Literacy Provider Manual.</p>	<p>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.</p>
<p>4. Pages 34, 35, 37, 38, &amp; 40 - September 2003 Printing - ICCB Adult Education and Family Literacy Provider Manual.</p>	<p>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.</p> <p>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)</p> <p>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.</p>

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.
<b>Staffing/Professional Development</b>	
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.
<b>Curriculum and Instruction</b>	
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.



## Adult Education and Family Literacy Goal Modification Form

Student Name: \_\_\_\_\_

Social Security Number: \_\_\_\_\_

Goals: Please write #1 on the line next to the primary goal (required) and #2 next to the secondary goal (optional).

### Goal Modification 1

	<u>Goal</u>	<u>Date Set</u>	<u>Date Achieved</u>
_____	Obtain a Job	_____	_____
_____	Retain a Current Job	_____	_____
_____	Improve a Current Job	_____	_____
_____	Earn GED/Secondary Diploma	_____	_____
_____	Enter Postsecondary Education/Training	_____	_____
_____	Improve Basic Literacy Skills	_____	_____
_____	Improve English Language Skills	_____	_____
_____	Obtain Citizenship Skills	_____	_____
_____	Achieve a Work-Based Goal	_____	_____
_____	Other Personal Goal	_____	_____

Explanation: \_\_\_\_\_

Student Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Program Staff Signature: \_\_\_\_\_

Date: \_\_\_\_\_

### Goal Modification 2

	<u>Goal</u>	<u>Date Set</u>	<u>Date Achieved</u>
_____	Obtain a Job	_____	_____
_____	Retain a Current Job	_____	_____
_____	Improve a Current Job	_____	_____
_____	Earn GED/Secondary Diploma	_____	_____
_____	Enter Postsecondary Education/Training	_____	_____
_____	Improve Basic Literacy Skills	_____	_____
_____	Improve English Language Skills	_____	_____
_____	Obtain Citizenship Skills	_____	_____
_____	Achieve a Work-Based Goal	_____	_____
_____	Other Personal Goal	_____	_____

Explanation: \_\_\_\_\_

Student Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Program Staff Signature: \_\_\_\_\_

Date: \_\_\_\_\_

# Guidelines for Goal Modification

- A goal should only be modified if there is a realistic chance for a learner to attain the goal within a fiscal year. The Adult Education and Family Literacy Modification Form's **main purpose** is to have documentation if a learner changes goals during the first few weeks of instruction.
- After original goals are selected at student intake, a learner's primary and secondary goal can each be modified *twice* during a fiscal year.
- Goals should *only* be modified with assistance from program staff and consent from the learner. A program staff member and the learner's signature is required on the modification form.
- Documentation of modified goal(s) *is required* within individual student files.

**ILLINOIS COMMUNITY COLLEGE BOARD**  
**ADULT EDUCATION AND FAMILY LITERACY**

**Student Separation Form**

Last Name: \_\_\_\_\_

First Name: \_\_\_\_\_

Social Security Number: \_\_\_\_\_

Birth date: \_\_\_\_\_

Separation Date: \_\_\_\_\_

Separation Reason (circle 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

*Information provided will be kept confidential in accordance with the Family Educational Rights and Privacy Act of 1974  
(Public Law 93-380)*



**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) \_\_\_\_\_ Address: \_\_\_\_\_

City \_\_\_\_\_ Zip Code \_\_\_\_\_ Home # \_\_\_\_\_ Work \_\_\_\_\_

Ethnicity (Circle one): Pacific Islander/ Native Hawaiian    American Indian/ Alaskan Native    Black/ African American    Asian    Hispanic/ Latino    White    Other

Check if English is NOT FIRST LANGUAGE    Date of Birth \_\_\_\_\_    Sex (Circle One): Male    Female

Marital Status (Circle One): Divorced    Single    Married    Widow(er)    Unknown    Other \_\_\_\_\_

Name of last school attended: \_\_\_\_\_ # of years completed \_\_\_\_\_

Obtained a U.S. High School Diploma     Obtained a U.S. GED

**STUDENT STATUS**

Please check one (OPTIONAL INFORMATION):

- Not Disabled
- Physical Impairment
- Mental Impairment
- Learning Impairment
- Other: \_\_\_\_\_

Please check one of the following:

- Employed Full-Time    Hours Employed/Week: \_\_\_\_\_
- Employed Part-Time
- Unemployed
- Not in Labor Force

Do you live in:     Rural Area     Urban Area with High Unemployment

Do you receive Public Assistance (circle one)?    Yes    No

If yes, Public Assistance Number (required): \_\_\_\_\_

Intake Signature \_\_\_\_\_ Date \_\_\_\_\_

Student's Signature \_\_\_\_\_ Date \_\_\_\_\_

- 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**

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## GOALS

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

<b>Primary or Secondary*</b>	<b>Goal</b>	<b>Date Set</b>	<b>Date Achieved</b>
	Obtain A Job		
	Retain Current Job		
	Improve a Current Job		
	Earn GED/Secondary Education		
	Improve Basic Literacy Skills		
	Improve English Language Skills		
	Obtain Citizenship Skills		
	Achieve a Work-Based Goal		
	Other Personal Goal		

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**STUDENT PROGRESS TEST**

Last Name: \_\_\_\_\_ First Name: \_\_\_\_\_ Middle Name (if applicable): \_\_\_\_\_

Social Security Number: \_\_\_\_\_ Birth date: \_\_\_\_\_

<b>Date</b>	<b>Test</b>	<b>Form</b>	<b>Level</b>	<b>Raw Score</b>	<b>Scale Score</b>	<b>GLE</b>
Pre / Post Date: FY:	<input type="checkbox"/> TABE	7 8 9 10	L E M D A			
	<input type="checkbox"/> CELSA	1 2	N/A			
	<input type="checkbox"/> BEST-Literacy	B C	N/A			
	<input type="checkbox"/> BEST-Plus					
Pre / Post Date: FY:	<input type="checkbox"/> TABE	7 8 9 10	L E M D A			
	<input type="checkbox"/> CELSA	1 2	N/A			
	<input type="checkbox"/> BEST-Literacy	B C	N/A			
	<input type="checkbox"/> BEST-Plus					
Pre / Post Date: FY:	<input type="checkbox"/> TABE	7 8 9 10	L E M D A			
	<input type="checkbox"/> CELSA	1 2	N/A			
	<input type="checkbox"/> BEST-Literacy	B C	N/A			
	<input type="checkbox"/> BEST-Plus					
Pre / Post Date: FY:	<input type="checkbox"/> TABE	7 8 9 10	L E M D A			
	<input type="checkbox"/> CELSA	1 2	N/A			
	<input type="checkbox"/> BEST-Literacy	B C	N/A			
	<input type="checkbox"/> BEST-Plus					

## CLASS RECORD

Last Name: \_\_\_\_\_ First Name: \_\_\_\_\_ Middle Name (if applicable): \_\_\_\_\_

Social Security Number: \_\_\_\_\_ Birth date: \_\_\_\_\_

	<b>Class #1</b>	<b>Class #2</b>	<b>Class #3</b>	<b>Class #4</b>
<b>Class/Section #</b>				
<b>Class Name</b>				
<b>Instructor Name</b>				
<b>Student Start Date</b>				
<b>Circle Day(s)</b>	<b>M / T / W / R / F / S</b>	<b>M / T / W / R / F / S</b>	<b>M / T / W / R / F / S</b>	<b>M / T / W / R / F / S</b>
<b>Instructional Category /Funding Source</b>	<b>3405 – State Basic</b> <b>3410 – State Public Asst.</b> <b>4800 – Federal Basic</b> <b>4805 – Federal EL/Civics</b> <b>4815 – State Performance</b> <b>4900 – Unrestricted</b> <b>4910 – Restricted</b>	<b>3405 – State Basic</b> <b>3410 – State Public Asst.</b> <b>4800 – Federal Basic</b> <b>4805 – Federal EL/Civics</b> <b>4815 – State Performance</b> <b>4900 – Unrestricted</b> <b>4910 – Restricted</b>	<b>3405 – State Basic</b> <b>3410 – State Public Asst.</b> <b>4800 – Federal Basic</b> <b>4805 – Federal EL/Civics</b> <b>4815 – State Performance</b> <b>4900 – Unrestricted</b> <b>4910 – Restricted</b>	<b>3405 – State Basic</b> <b>3410 – State Public Asst.</b> <b>4800 – Federal Basic</b> <b>4805 – Federal EL/Civics</b> <b>4815 – State Performance</b> <b>4900 – Unrestricted</b> <b>4910 – Restricted</b>
<b>Exit Reason</b>				

Class Exit Reasons:

- 1 Currently Enrolled
- 2 Completed Class
- 3 Additional Reasons to be defined by program
- 4 Additional Reasons to be defined by program

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## ACHIEVEMENT RECORD

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Last Name: \_\_\_\_\_ First Name: \_\_\_\_\_ Middle Name (if applicable): \_\_\_\_\_

Social Security Number: \_\_\_\_\_ Birth date: \_\_\_\_\_ Fiscal Year of Achievement : \_\_\_\_\_

Please check all that apply:

- 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
- 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)



# Illinois Community College Board Adult Education and Family Literacy



Guy H. Alongi  
Chairman

Geoffrey S. Obrzut  
President/CEO

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## 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**
BESL Literacy				
BEST Plus				
CELSA				
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.

## **Instructions for Test Report for Transferring Students**

The Test Report Form can be used when a student transfers from one ICCB AEFL funded program to another.

### **Test Report Form:**

1. A program staff member needs to complete and sign the form.
2. The student is responsible for taking the Test Report Form to the program she/he is transferring.
3. This form replaces the need for students to be retested and should be kept in the student's file instead of the test answer sheet.
4. Do not attach any answer sheet to the form.
5. The student's test score on the form is only valid for 120 from the date the test was given.

**Illinois Community College Board  
Adult Education and Family Literacy**



**Out-Of-State/Country Professional Development Request Form**

This form is to request out-of-state/country professional development through the Illinois Community College Board Adult Education and Family Literacy. For questions regarding out-of-state/country travel, reference Section 9.0 of the ICCB AEFL Provider Manual, or contact either the Associate Director for Staff Development Training and Marketing or your local Regional Program Support person.

<b>Program Contact Information</b>	
<i>Contact person name</i>	
<i>Address</i>	
<i>Phone Number</i>	
<i>Fax</i>	
<i>E-mail address</i>	
<i>Date submitted</i>	

<b>Professional Development Activity Information</b>		
<i>Name</i>	<i>Date of Activity</i>	<i>Location*</i>

\*If out-of-country, please attach a justification for travel.

<b>Personnel Attending Information</b>		
<i>Personal Attending</i>	<i>Position</i>	<i>Reason for Attending*</i>

\*Please indicate how this activity will help benefit your program meet its professional development needs.

\_\_\_\_\_

Signature of Contact Date

<b>Office Use Only</b>	
<input type="checkbox"/> Approved <input type="checkbox"/> Denied <input type="checkbox"/> Needs Amendments	
Comments: _____ _____	
Assoc. Director for AEFL/Staff Development and Marketing	Date





## Illinois Community College Board National Reporting System (NRS) Goals By Level

For STAIRS reporting that drives the National Reporting System (NRS) accountability initiative a reasonable short term goal should be specified as the Primary Goal and optional Secondary Goal.

NRS incentive dollars are linked to achievement of the following goals – Obtain a job, Retain Current Job, Earn a secondary school diploma or GED, Enter Postsecondary Education/Training.

Specifying a goal listed as OK in the table as the Primary Goal is recommended.

For the Secondary Goal providers may use a goal marked with a question mark (?) or the other personal goal.

Providers are asked to help students choose a Primary Goal that the individual has a reasonable chance of accomplishing within the program year.

Providers are asked to consider the average length of time students spend in their program as the short term Primary Goal and optional Secondary Goal is established.

If a student chooses a primary and secondary goal, both goals will be tracked. Thus the secondary goal should only be selected if necessary.

<u>Literacy Level</u>	<u>Obtain a Job</u>	<u>Retain current job</u>	<u>Improve current job</u>	<u>Earn a</u>	<u>Enter</u>	<u>Improve</u>	<u>Improve</u>	<u>Obtain</u>	<u>Achieve</u>	<u>Other</u>
				<u>secondary school diploma or GED Certificate</u>	<u>post-secondary education or training</u>	<u>basic literacy skills</u>	<u>English language skills</u>	<u>citizenship skills</u>	<u>work-based project learner goal</u>	<u>personal goal</u>
ABE Beginning Literacy	?	If working	If working	No	No	OK	?	?	?	S
ABE Beginning Basic Education	?	If working	If working	No	No	OK	?	?	?	S
ABE Intermediate Low	?	If working	If working	No	No	OK	?	?	?	S
ABE Intermediate High	OK	If working	If working	?	?	?	?	?	OK	S
ASE Low	OK	If working	If working	?	?	No	?	?	OK	S
ASE High	OK	If working	If working	OK	OK	No	?	?	OK	S
ESL Beginning Literacy	?	If working	If working	No	No	OK	OK	OK	?	S
ESL Beginning	?	If working	If working	No	No	OK	OK	OK	?	S
ESL Intermediate Low	?	If working	If working	No	No	OK	OK	OK	?	S
ESL Intermediate High	OK	If working	If working	?	?	?	OK	OK	OK	S
ESL Advanced	OK	If working	If working	?	?	No	OK	OK	OK	S

**OK = generally an acceptable goal for individuals at this skill level.**

**? = could be an acceptable goal for individuals at this skill level. Only use if goals marked OK are not applicable.**

**No = generally not an acceptable goal for individuals at this skill level. Do not use.**

**If Working = goal may be applicable for individuals who are currently employed. Working individuals are not required to choose this goal.**

**S = recommended for use as the secondary goal only.**



**ICCB ADULT EDUCATION AND FAMILY LITERACY  
FINAL EXPENDITURE REPORT  
INSTRUCTIONS**

The Final Expenditure Report can be found on the ICCB website: [www.iccb.state.il.us](http://www.iccb.state.il.us). Select “What We Do”, then select “Adult Education & Literacy”.

**YOU MUST USE INTERNET EXPLORER.**

Choose your provider name and funding source. The screen will show your total allocation for that funding source. Enter your expenditures for each line item **plus your total instructional funds generated** from the final STAIRS enrollment report. Click on “Calculate” to continue or “Back” to return to the previous screen.

Once you choose calculate, the next screen will show subtotals, total expenditures, and total receipts as well as the information you entered on the previous screen. Scrolling down will show a summary of the policies and rules (page 43 of the Provider Manual) as they apply to your expenditures and instructional funds generated. Continuing to scroll down will show the amount of refund, if any, due to the ICCB. At this point, you may click on “Back” to make changes. The system will retain the data you have entered, even if you exit the system. You can return to it and make changes at any time as long as you have not hit the “Submit” button.

When you choose submit, your data will be electronically transmitted. A new screen will appear showing expenditures, the summary, and any refund due **plus** a signature and date line. Please print this screen, have it signed and dated, and mail it to the name and address at the bottom of the form. Refunds should be made payable to “Illinois Community College Board” and remitted as quickly as possible but no later than September 15<sup>th</sup>.

**You will only be allowed to submit electronically once.** If a problem arises after you have submitted, or if your audit disagrees with your report, contact the ICCB immediately to resolve the situation.

You must submit electronically by 5:00 p.m. on July 31<sup>st</sup>. Hard copies and refunds should follow as quickly as possible but no later than September 15<sup>th</sup>.

If you have questions or problems, please contact Liz Becker at 217-785-0251 or [lbecker@iccb.state.il.us](mailto:lbecker@iccb.state.il.us).



**TIME DISTRIBUTION SHEET - SAMPLE**

Name:														Position:																		
Month/Year														Submission Date:																		
Employee Signature														Supervisor Signature																		
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	Activity	Funding Source

Activities:

- |                    |                                |
|--------------------|--------------------------------|
| 1- Recruitment     | 8. Data/Information Services   |
| 2- Retention       | 9. Transportation              |
| 3-Instruction      | 10. Professional Development   |
| 4- Assessment      | 11. Program Planning           |
| 5- Counseling      | 12. Fiscal                     |
| 6 - Administration | 13. Clerical                   |
| 7. Childcare       | 14. Transitional/Job Placement |

Funding Sources:

- 1- Federal Adult Education
- 2- EL/Civics
- 3- WIA - Title I
- 4- Even Start
- 5 - State Adult Education
- 6. State Public Assistance
- 7. Other State Funds
- 8 - Local Funds

## Instructions

This form should be completed by persons who are being paid from two Federal Sources of Funds.

1. Use one form for each month.
2. Each sheet should include the employee name, position, month and year covered, signature of employee, date of submission and signature of supervisor.
3. In the box under the date, enter the percentage of time spent that day on a particular task for a Funding Source. The total for the day should equal 100%. A person who spent 20% of the time assessing Federal Students, 15% recruitment for Public Assistance Students, 30% of the time entering students into STAIRS (50% of students were Federal Students and 50% were State Students) and 35% of the time Instructing EL/Civics Students would complete the form by indicating

20%	Assessment	Federal
15%	Data Entry	Federal
35%	Instruction	EL/Civics
30%	Various	State Adult Education

Note the total time spent equals 100%

4. Programs may use numbers or abbreviations that are appropriate to their organization detail for the activities and for the funding source. If the detail for a staff member indicates work under Federal Funding that involves travel, there must be correlation between the time distribution sheets and the travel documents for Federal Funding.

**This is a sample form that may be used or modified by the program. Time distribution is not required to be documented in this format. However, it must reflect the appropriate activity and amount of time spent on activities funded with Federal Sources. Each day must account for 100% of the employee's time and activities. Expenditure claims for charges to the Federal Funding Source should align with the information included on the time distribution sheets.**

## Outcome Measures Definitions

### *Educational Functioning Level Descriptors - Adult Basic Education Levels*

<b>Literacy Level</b>	<b>Basic Reading and Writing</b>	<b>Numeracy Skills</b>	<b>Functional and Workplace Skills</b>
<p><b><u>Beginning ABE Literacy</u></b></p> <p>Test Benchmark: TABE Reading or Math</p> <p style="padding-left: 40px;">Grade Level Equivalency 0 - 1.9</p> <p style="padding-left: 40px;">Form 7/8 - Reading Scale Score 160-367, Math Scale Score 313 or below</p> <p style="padding-left: 40px;">Form 9/10 - Scale Score 367 or below, Math Scale Score 313 or below</p>	<p>Individual has no minimal reading and writing skills. May have little or no comprehension of how to print corresponds to spoken language and may have difficulty using a writing instrument. At the upper range of this level, individual can recognize, read and write letters and numbers, but has a limited understanding of connected prose and may need frequent re-reading. Can write a limited number of basic sight words and familiar words and phrases; may also be able to write simple sentences or phrases, including very simple messages. Can write basic personal information. Narrative writing is disorganized and unclear; inconsistently uses simple punctuation (e.g., periods, commas, question marks); contains frequent errors in spelling.</p>	<p>Individual has little or not recognition of numbers or simple counting skills or may have only minimal skills, such as the ability to add or subtract single digit numbers.</p>	<p>Individual has little or no ability to read basic signs or maps, can provide limited personal information on simple forms. The individual can handle routine entry level jobs that require little or no basic written communication or computational skills and no knowledge of computers or other technology.</p>
<p><b><u>Beginning Basic Education</u></b></p> <p>Test Benchmark: TABE Reading or Math</p> <p style="padding-left: 40px;">Grade Level Equivalency 2-3.9</p> <p style="padding-left: 40px;">Form 7/8 or 9/10 - Reading Scale Score 368-460, Math Scale Score 314-441</p>	<p>Individual can read simple material on familiar subjects and comprehend simple and compound sentences in single or linked paragraphs containing a familiar vocabulary; can write simple notes and messages on familiar situations, but lacks clarity and focus. Sentence structure lacks variety, but shows some control of basic grammar (e.g., present and past tense), and consistent use of punctuation (e.g., periods, capitalization).</p>	<p>Individual can count, add and subtract three digit numbers, can perform multiplication through 12; can identify simple fractions and perform other simple arithmetic operations.</p>	<p>Individual is able to read simple directions, signs and maps, fill out simple forms requiring basic personal information, write phone messages and make simple change. There is minimal knowledge of, and experience with, using computers and related technology. The individual can handle basic entry level jobs that require minimal literacy skills; can recognize very short, explicit, pictorial texts, e.g. understands logos related to worker safety before using a piece of machinery; can read want ads and complete simple job applications.</p>

<p><b><u>Low Intermediate Basic Education</u></b></p> <p>Test Benchmark: TABE Reading or Math</p> <p>Grade Level Equivalency 4-5.9</p> <p>Form 7/8 or 9/10 - Reading Scale Score 461-517, Math Scale Score 442-505</p>	<p>Individual can read text on familiar subjects that have simple and clear underlying structure (e.g., clear main idea, chronological order); can use context to determine meaning; can interpret actions required in specific written directions, can write simple paragraphs with main idea and supporting detail on familiar topics (e.g., daily activities, personal issues) by recombining learned vocabulary and structures; can self and peer edit for spelling and punctuation errors.</p>	<p>Individual can perform with high accuracy all four basic math operations using whole numbers up to three digits; can identify and use all basic mathematical symbols.</p>	<p>Individual is able to handle basic reading, writing and computational tasks related to life roles, such as completing medical forms, order forms or job applications; can read simple charts, graphs, labels and payroll stubs and simple authentic material if familiar with the topic. The individual can use simple computer programs and perform a sequence of routine tasks given direction using technology (e.g., fax machine, computer operation). The individual can qualify for entry level jobs that require following basic written instructions and diagrams with assistance, such as oral clarification; can write a short report or message to fellow workers; can read simple dials and scales and take routine measurements.</p>
<p><b><u>High Intermediate Basic Education</u></b></p> <p>Test Benchmark: TABE Reading or Math</p> <p>Grade Level Equivalency 6-8.9</p> <p>Form 7/8 or 9/10 - Reading Scale Score 518-566, Math Scale Score 505-565</p>	<p>Individual is able to read simple descriptions and narratives on familiar subjects or from which new vocabulary can be determined by context; can make some minimal inferences about familiar texts and compare and contrast information from such texts, but not consistently. The individual can write simple narrative descriptions and short essays on familiar topics; has consistent use of basic punctuation, but makes grammatical errors with complex structures.</p>	<p>Individual can perform all four basic math operations with whole numbers and fractions; can determine correct math operations for solving narrative math problems and can convert fractions to decimals and decimals to fractions; can perform basic operations on fractions.</p>	<p>Individual is able to handle basic life skills tasks such as graphs, charts and labels, and can follow multi-step diagrams; can read authentic materials on familiar topics, such as simple employee handbooks and payroll stubs; can complete forms such as a job application and reconcile a bank statement. Can handle jobs that involves following simple written instructions and diagrams; can read procedural texts, where the information is supported by diagrams, to remedy a problem, such as locating a problem with a machine or carrying out repairs using a repair manual. The individual can learn or work with most basic computer software, such as using a word processor to produce own texts; can follow simple instructions for using technology.</p>



**Educational Functioning Level Descriptors - Adult Secondary Levels**

<b>Literacy Level</b>	<b>Basic Reading and Writing</b>	<b>Numeracy Skills</b>	<b>Functional and Workplace Skills</b>
<p><b><u>Low Adult Secondary Education</u></b></p> <p>Test Benchmark: TABE Reading or Math</p> <p>Grade Level Equivalency 9-10.9</p> <p>Form 7/8 or 9/10 - Reading Scale Score 567-595, Math Scale Score 566-594</p>	<p>Individual can comprehend expository writing and identify spelling, punctuation and grammatical errors; can comprehend a variety of materials such as periodicals and non-technical journals on common topics; can comprehend library reference materials and compose multi-paragraph essays; can listen to oral instructions and write an accurate synthesis of them; can identify the main idea in reading selections and use a variety of context issues to determine meaning. Writing is organized and cohesive with few mechanical errors; can write using a complex sentence structure; can write personal notes and letters that accurately reflect thoughts.</p>	<p>Individual can perform all basic math functions with whole numbers, decimals and fractions; can interpret and solve simple algebraic equations, tables and graphs and can develop own tables and graphs; can use math in business transactions.</p>	<p>Individual is able or can learn to follow simple multi-step directions, and read common legal forms and manuals; can integrate information from texts, charts and graphs; can create and use tables and graphs; can complete resumes; can perform jobs that require interpreting information from various sources and writing or explaining tasks to other workers; is proficient using computers and can use most common computer applications; can understand the impact of using different technologies; can interpret the appropriate use of new software and technology.</p>
<p><b><u>High Adult Secondary Education</u></b></p> <p>Test Benchmark: TABE Reading or Math</p> <p>Grade Level Equivalency 11-12.9</p> <p>Form 7/8 - 9/10 Reading Scale Score 596+, or Math Scale Score 595+</p>	<p>Individual can comprehend, explain and analyze information from a variety of literacy works, including primary source materials and professional journals; can use context cues and higher order processes to interpret meaning of written material. Writing is cohesive with clearly expressed ideas supported by relevant detail; can use varied and complex sentence structures with few mechanical errors.</p>	<p>Individual can make mathematical estimates of time and space and can apply principles of geometry to measure angles, lines and surfaces; can also apply trigonometric functions.</p>	<p>Individuals are able to read technical information and complex manuals; can comprehend some college level books and apprenticeship manuals; can function in most job situations involving higher order thinking; can read text and explain a procedure about a complex and unfamiliar work procedure, such as operating a complex piece of machinery; can evaluate new work situations and processes, can work productively and collaboratively in groups and serve as facilitator and reporter of group work. The individual is able to use common software and learn new software applications; can define the purpose of new technology and software and select appropriate technology; can adapt use of software or technology to new situations and can instruct others, in written or oral form on software and technology use.</p>

**Educational Functioning Level Descriptors - English-As-A-Second Language Levels**

<b>Literacy Level</b>	<b>Speaking and Listening</b>	<b>Basic Reading and Writing</b>	<b>Functional and Workplace Skills</b>
<p><b><u>Beginning ESL Literacy</u></b>            Test Benchmark:            BEST Literacy                Scale Score 0-7            Reading and Writing SPL 0-1            BEST Plus                Scale Score 400 and below</p>	<p>Individual cannot speak or understand English, or understands only isolated words or phrases.</p>	<p>Individual has no or minimal reading or writing skills in any language. May be able to recognize and copy letter, numbers and a few words (e.g. own name). May have little or no comprehension or how print corresponds to spoken language and may have difficulty using a writing instrument.</p>	<p>Individual functions minimally or not at all in English and can communicate only through gestures or a few isolated words. May recognize only common signs or symbols (e.g., stop sign, product logos). Can handle only very routine entry-level jobs that do not require oral or written communication in English. May have no knowledge or use of computers.</p>
<p><b><u>Low Beginning ESL</u></b>            Test Benchmark:            BEST Literacy                Scale Score 8-35            Reading and Writing SPL 2            BEST Plus                Scale Score 401-417</p>	<p>Individuals can understand basic greetings, simple phrases and commands. Can understand simple questions related to personal information, spoken slowly and with repetition. Understands a limited number of words related to immediate needs and can respond with simple learned phrases to some common questions related to routine survival situations. Speaks slowly and with difficulty. Demonstrates little or no control over grammar.</p>	<p>Individual can read numbers and letters and some common sight words. May be able to sound out simple words. Can read and write some familiar words and phrases, but has limited understanding of connected prose in English. Can write basic personal information (e.g., name, address, telephone number) and can complete simple forms that elicit this information.</p>	<p>Individual functions with difficulty in social situations and in situations related to immediate needs. Can provide limited personal information on simple forms, and can read very simple common forms of print found in the home and environment, such as product names. Can handle routine entry level jobs that require very simple written or oral English communication and in which jobs tasks can be demonstrated. May have limited knowledge and experience with computers.</p>
<p><b><u>High Beginning ESL</u></b>            Test Benchmark            BEST Literacy                Scale Score 36-46            Reading and Writing SPL 3            BEST Plus                Scale Score 418-438            CELSA                Raw Score 20-23</p>	<p>Individual can understand common words, simple phrases, and sentences containing familiar vocabulary, spoken slowly with some repetition. Individual can respond to simple questions about personal everyday activities, and can express immediate needs, using simple learned phrases or short sentences. Shows limited control of grammar.</p>	<p>Individual can read most sight words, and many other common words. Can read familiar phrases and simple sentences but has a limited understanding of connected prose and may need frequent re-reading.             Individual can write some simple sentences with limited vocabulary. Meaning may be unclear. Writing shows very little control of basic grammar, capitalization and punctuation and has many spelling errors.</p>	<p>Individuals can function in some situations related to immediate needs and in familiar social situations. Can provide basic personal information on simple forms and recognizes simple common forms of print found in the home, workplace and community. Can handle routine entry level jobs requiring basic written or oral English communication and in which job tasks can be demonstrated. May have limited knowledge or experience using computers.</p>

<p><b><u>Low Intermediate ESL</u></b></p> <p>Test Benchmark  BEST Literacy  Scale Score 47-53  Reading and Writing SPL 4  BEST Plus  Scale Score 439-472  CELSA  Raw Score 24-29</p>	<p>Individual expresses basic survival needs and participates in some routine social conversations, although with some difficulty. Understands simple learned phrases easily and some new phrases containing familiar vocabulary spoken slowly with repetition. Asks and responds to questions in familiar contexts. Has some control of basic grammar.</p>	<p>Individual can read simple material on familiar subjects and comprehend simple and compound sentences in single or linked paragraphs containing familiar vocabulary. Individual can write simple notes and messages on familiar situations but may lack variety in sentence structure, clarity and focus of writing. Shows some control of basic grammar (e.g., present and past tense) and spelling. Uses some punctuation consistently (e.g., periods, commas, questions marks, capitalization, etc.)</p>	<p>Individual can interpret simple directions, schedules, signs and maps, etc. Completes simple forms but needs support on some documents that are not simplified. Can handle routine entry level jobs that involve some written or oral English communication but in which job tasks can be clarified orally or through demonstration. Individual may be able to use simple computer programs and can perform a sequence of routine tasks given directions (e.g., fax machine, computer).</p>
<p><b><u>High Intermediate ESL</u></b></p> <p>Test Benchmark  BEST Literacy  Scale Score 54-65  Reading and Writing SPL 5  BEST Plus  Scale Score 473-506  CELSA  Raw Score 30-41</p>	<p>Individual participates in conversation in familiar social situations. Communicates basic needs with some help and clarification. Understands learned phrases and new phrases containing familiar vocabulary. Attempts to use new language but may be hesitant and rely on descriptions and concrete terms. May have inconsistent control of more complex grammar.</p>	<p>Individual can read text on familiar subjects that have a simple and clear underlying structure (e.g., clear main idea, logical order). Can use word analysis skills and context clues to determine meaning with texts on familiar subjects. Individual can write simple paragraphs with main ideas and supporting details on familiar topics (e.g., daily activities, personal issues) by recombining learned vocabulary and structures. Can self- and peer-edit for spelling, grammar and punctuation errors.</p>	<p>Individual can meet basic survival and social demands, and can follow simple oral and written instructions. Has some ability to communicate on the telephone on familiar subjects. Can write messages and notes related to basic needs and complete basic medical forms and job applications. Can handle jobs that involve basic oral instructions and written communication in tasks that can be clarified orally. Individual can work with or learn basic computer software, such as word processing, and can follow simple instructions for using technology.</p>
<p><b><u>Advanced ESL</u></b></p> <p>Test Benchmark  BEST Literacy  Scale Score 66-72  Reading and Writing SPL 6  BEST Plus  Scale Score 507-540  CELSA  Raw Score 42-70</p>	<p>Individual can understand and communicate in a variety of contexts related to daily life and work. Can understand and participate in conversation on a variety of everyday subjects, including some unfamiliar vocabulary, but may need repetition or rewording. Can clarify own or others' meaning by rewording. Can understand the main points of simple discussions and informational communication in familiar contexts. Shows some ability to go beyond learned patterns and construct new sentences. Shows control of basic grammar but has difficulty using more complex structures. Has some basic fluency of speech.</p>	<p>Individual can read moderately complex text related to life roles and descriptions and narratives from authentic materials on familiar subjects. Uses context and word analysis skills to understand vocabulary, and uses multiple strategies to understand predictions, and compare and contrast information in familiar texts. Individual can write multi-paragraph text (e.g., organizes and develops ideas with clear introduction, body and conclusion), using some complex grammar and a variety of sentence structures. Makes some grammar and spelling errors. Uses a range of vocabulary.</p>	<p>Individual can function independently to meet most survival needs and to use English in routine social and work situations. Can communicate on the telephone on a familiar subject. Understands radio and television on familiar topics. Can interpret routine charts, tables and graphs and can complete forms and handle work demands that require non-technical oral and written instructions and routine interactions with the public. Individual can use common software, learn new basic applications, and select the correct basic technology in familiar situations.</p>



## ICCB ADULT EDUCATION and FAMILY LITERACY EQUIPMENT REPORT INSTRUCTIONS

The Equipment Report can be found on the ICCB website: [www.iccb.state.il.us](http://www.iccb.state.il.us). Select “What We Do”, then select “Adult Education & Literacy”.

**If you own no equipment fitting the following criteria**, after entering your provider name, choose “Not Applicable” from the drop list on the second screen, and hit enter. Nothing further is required.

The following items must be reported in the Equipment Report:

- Items purchased with Adult Education and Family Literacy funds, either in the current year or in a previous year under ISBE administration, **AND**
- Items with a value of **more than \$5,000 per unit**. *For example, a computer monitor is one unit, the hard drive is another unit, the printer is a separate unit.*

Items of equipment included in this report:

- Must be used in conjunction with ICCB Adult Education and Family Literacy programs;
- Are subject to the guidelines found in the Code of Federal Regulations, 34 CFR 80.32;
- Must be shared, if possible, for use on other federal programs if purchased with federal funds;
- May not be used to generate revenue; AND
- Disposition of the items must be recorded with the ICCB, following the guidelines in 34 CFR 80.32. *(Disposition must also be pre-approved by the ICCB.)*

### **Field Descriptions**

**Item number:** This should be the serial number, if present. If not present, this should be a local cataloging or reference number.

**Source:** This is the place of purchase (i.e., STAPLES, XYZ Office Supply).

**Acquisition Date:** Date of purchase – this can be prior to current year.

**Initial Cost:** The price agreed upon for the item on the date of purchase.

**Cost Paid with ICCB funds:** The amount of ICCB Adult Education and Family Literacy funds used to purchase the item.

**Location:** The current location of the item (i.e. street address, building name).

**Condition:** Rate the item on a scale from 1-5, with 1 being very poor and 5 being like new.

**Date of Last Physical Inventory:** Each item of equipment must be inventoried at least every two years.

**Safe-guarded Against Theft or Damage:** List whether the item is: (I) insured, (SL) in a safe location, as in a locked room, and (SH) secure from hazard, such as water damage? (For each item, this line could contain one of these, a combination of these, or none of these.)

**Date of Last Maintenance:** In the Code of Federal Regulations, providers are responsible for providing maintenance on equipment.

**Disposition Date:** List the date of disposition, 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.

**Sale Price:** If the item was sold in the current year, and is no longer owned by the Adult Education and Family Literacy program, list the sale price.

Items purchased with **state** funds (State Basic, State Public Assistance, or State Performance funds) must be listed on the **State** report.

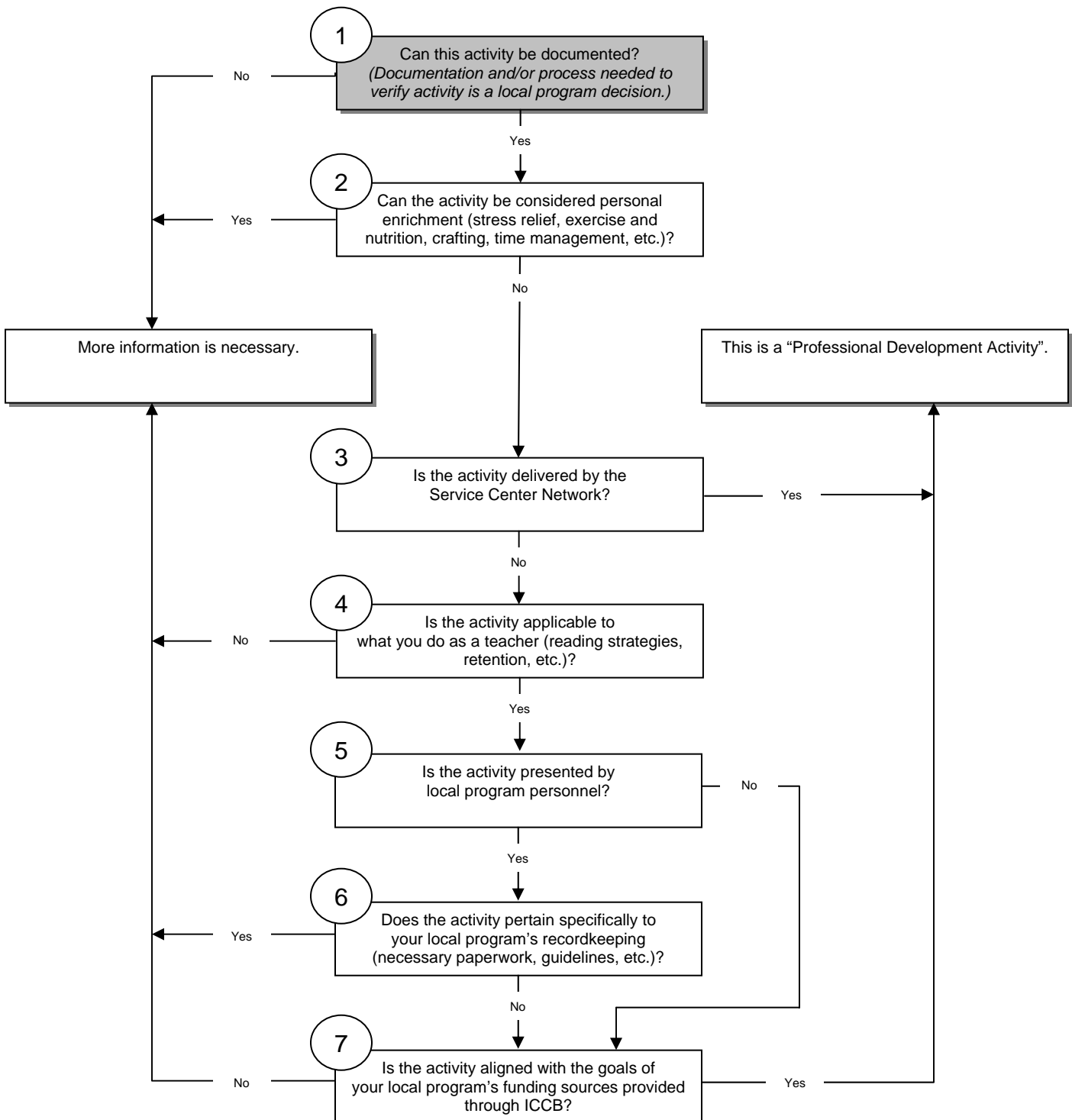
Those items purchased with **federal** funds (Federal Basic or EL/Civics funds) must be listed on the **Federal** report.

**This report must be submitted by October 31.** This report is online submission only; no hard copy is required.

- For questions, please contact Annie Fisher at 217-558-5669 or [anne.fisher@illinois.gov](mailto:anne.fisher@illinois.gov).

## 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.



## 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

### University Class

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 not 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.

### Regional Workshop

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 *Is the activity presented by local program personnel?* No. Continue to question .
- 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”.

### Staff Meeting

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.

# New Teacher Orientation

## I. Characteristics of Adult Learners

### A. General Characteristics: Adult Education Learners

1. Define adult learners as stated by the U.S. Department of Education.
2. Define eligibility for GED in Illinois.
3. Compare statistics about adult learners nationwide.
4. Compare numbers of learners in Illinois: ESL, ABE, GED.
5. Explain the ways adult learners differ from learners in K-12 classrooms.
6. Differentiate between ABE, GED, and ESL learners.

### B. General Characteristics: Adult Education Programs

1. List the various types of institutions that host adult education classes.
2. List the various kinds of class structures in adult education programs.

### C. Reasons Students Come to Class

1. Describe the motivations students have for attending adult education classes – why they come.
2. Explain the expectations students have when enrolling in adult education classes – what they want to achieve.
3. Contrast the types of curriculums that will be relevant and understandable to adults.
4. Describe classroom groupings and approaches that are optimal for adults.

### D. Retention Issues

1. Draw conclusions from the reasons adults give for leaving classes before completion.
2. Present hypotheses of underlying reasons for adults leaving classes before completion.
3. List strategies that can be taken to encourage students to stay in class by administration and by teachers.
4. Consider the affects of these various strategies on adult learners.

### E. Barriers to Success

1. Define success in the adult education classroom (see NRS).
2. Enumerate some of the barriers to success for adult learners in adult education classes.
3. Describe ways for teachers to lessen these barriers to success.
4. Describe the effects of these options on adult learners.
5. Relate the barriers to learning that adults face in adult education classes to the barriers to learning faced in the outside world.

## **II. Adult Education Programming**

### **A. Published or Proposed Standards for Adult Education**

1. Identify the general purposes of educational standards.
2. Analyze the function of educational standards in developing classroom instruction.
3. Display the ability to access state standards at the Adult Education Content Standards Warehouse website: [www.adultedcontentstandards.org/about\\_warehouse.asp](http://www.adultedcontentstandards.org/about_warehouse.asp).
4. Identify the Illinois Content Standards and explain their use in instruction.

### **B. NRS**

1. Explain the purpose of NRS goal setting.
2. List the five core NRS goals.
3. List the five additional NRS goals.
4. Describe educational functioning levels in general terms.
5. Examine how the educational functioning levels relate to student placement and achievement.

### **C. Standardized Assessments**

1. Describe the purpose of standardized assessments.
2. Distinguish standardized assessments from classroom assessments.
3. Explain the format and administration of tests appropriate for the instructor's specialization:
  - a. ESL instructors: BEST Literacy, BEST Plus and CELSA
  - b. ABE/GED instructors: TABE 7/8 and TABE 9/10
4. Clarify why it is important for test givers to conform to the instructions and timing guidelines that accompany each test.

### **D. GED**

1. Explain the purpose of the GED.
2. List the requirements to be able to enroll in GED classes and take the GED exam.
3. List the five tests of the GED.
4. Briefly describe the formats of GED tests.
5. Demonstrate knowledge of the Illinois requirement of all GED test takers to pass an additional section on American patriotism and the principles of representative government.

### **E. Structures of Adult Education Classes**

1. Compare the various structures of adult education programs:
  - a. Fixed enrollment
  - b. Open-entry/open-exit
2. Compare the various structures of adult education classrooms:
  - a. Self directed (GED)
  - b. Specialized study groups
  - c. Distance learning
  - d. Lab classes

### **III. Effective Instructional Practices**

#### **A. Foundations**

1. Explain the function of the “Foundations for Effective Instruction” developed by the ICCB State Service Centers focusing on the instructor’s specific class: ABE, GED, or ESL.
2. Use the Self-Evaluation form in the Professional Development Planner to select appropriate foundations for development of teaching skills.
3. Prioritize the foundations selected.
4. Select workshops based on the foundations selected using current Service Center flyers.

#### **B. Developing Lessons**

1. Learning Styles
  - a. Define student learning approaches.
  - b. Analyze how the variety of learning approaches affects student success.
  - c. Analyze how the teacher’s learning styles affects teaching.
  - d. Compose some examples of some possible learning styles and teaching techniques.
  - e. Broaden the definition of learning styles by including how individuals’ emotional make up and culture and affects learning.
2. Philosophies of Teaching
  - a. Outline the elements and give examples of traditional teaching.
  - b. Outline the elements and give examples of constructivist teaching.
  - c. Describe the communicative philosophy of teaching ESL and give examples.
3. Lesson Planning
  - a. Describe the function of lesson objectives.
  - b. Build on a previous lesson by using the process of Review/Re-teach.
  - c. Describe and give examples of the Presentation stage of lesson creation.
  - d. Describe and give examples of the Practice stage of lesson creation.
  - e. Describe and give examples of the Application/Production stage of lesson creation.
4. Multi-Level Classrooms
  - a. Define multi-level classes.
  - b. Compare the benefits and problems of multi-level classes.
  - c. Identify approaches to dealing with multi-level classes.
5. Materials selection
  - a. Contrast published materials with teacher-created materials.
  - b. Define copyright.
  - c. Give examples of materials in book form, on the Internet, downloadable, in video format, on tape and on CD’s and DVD’s.
  - d. Describe how content, level, age, and English ability influences material selection.
6. Materials for students online
  - a. Describe how to find Internet sites where students can learn online.
  - b. Describe how to find materials for students that can be downloaded from the Internet.

## **IV. Professional Development**

### **A. Service Center Trainings**

1. Obtain current staff development information from the ICCB State Service Centers.
2. Register for ICCB Service Center mailing lists.
3. Show knowledge of online training available from ICCB Service Centers.
4. Find the date of the annual regional Adult Education Conference.
5. Describe other staff development choices offered by ICCB Service Centers.
6. Define the hours of professional development required by ICCB yearly.

### **B. Other Training Opportunities**

1. Identify professional organizations in the instructor's specialized area and the websites of these organizations.
2. Explain how to access the websites of the chosen professional organizations in order to determine time, costs, and locations of annual regional and national conferences.
3. List of journals, magazines, and books published by the chosen professional organizations.
4. Describe other journals and periodicals that are concerned with adult education.

### **C. Online Training for Teachers**

1. Detail the process of finding Internet sites that support and extend instructor knowledge in their area of specialization.
2. List a few basic resource sites for adult educators.
3. Describe how to find online courses are available for adult educators from professional organizations and from universities.

## **ABBREVIATIONS**

<b>ABE</b>	<b>Adult Basic Education</b>
<b>ADA</b>	<b>Americans with Disabilities Act</b>
<b>AEFL</b>	<b>Adult Education and Family Literacy</b>
<b>ALRC</b>	<b>Adult Learning Resource Center</b>
<b>APC</b>	<b>Area Planning Council</b>
<b>BEST</b>	<b>Basic English Skills Test</b>
<b>CBO</b>	<b>Community Based Organization</b>
<b>CCR&amp;R</b>	<b>Child Care Resource and Referral</b>
<b>CELSA</b>	<b>Combined English Language Skills Assessment</b>
<b>CFDA</b>	<b>Catalog of Federal Domestic Assistance</b>
<b>CIPDC</b>	<b>Central Illinois Professional Development Center</b>
<b>CIPs</b>	<b>Classification of Instructional Programs</b>
<b>DCFS</b>	<b>Illinois Department of Children and Family Services</b>
<b>DHS</b>	<b>Department of Human Services</b>
<b>EDGAR</b>	<b>Education Department General Administrative Regulations</b>
<b>ELS</b>	<b>English Literacy Specialist</b>
<b>ESL/EL</b>	<b>English as a Second Language/English Literacy</b>
<b>ETS</b>	<b>Educational Testing Service</b>
<b>GED</b>	<b>General Education Development Exam</b>
<b>IACEA</b>	<b>Illinois Adult and Continuing Educators Association</b>
<b>IBHE</b>	<b>Illinois Board of Higher Education</b>
<b>ICCB</b>	<b>Illinois Community College Board</b>
<b>IDOC</b>	<b>Illinois Department of Corrections</b>
<b>IMRF</b>	<b>Illinois Municipal Retirement Fund</b>
<b>IPDPC</b>	<b>Illinois Professional Development Partnership Center</b>
<b>IPEDS</b>	<b>Integrated Postsecondary Educational Data System</b>
<b>ISBE</b>	<b>Illinois State Board of Education</b>
<b>IWIB</b>	<b>Illinois Workforce Investment Board</b>
<b>K-12</b>	<b>Kindergarten through twelfth grade</b>
<b>LEAs</b>	<b>Local educational agencies</b>
<b>LWIB</b>	<b>Local Workforce Investment Board</b>
<b>MELT</b>	<b>Mainstream English Language Training</b>
<b>MIS</b>	<b>Management Information System</b>
<b>OERI</b>	<b>Office of Educational Research and Improvement</b>
<b>OMB</b>	<b>Office of Management and Budget</b>
<b>OVAE</b>	<b>U.S. Office of Vocational and Adult Education</b>
<b>PCS</b>	<b>Program Classification System</b>
<b>RFP</b>	<b>Request for Proposal</b>
<b>ROE</b>	<b>Regional Office of Education</b>
<b>SERS</b>	<b>State Employees' Retirement System</b>
<b>SIPDC</b>	<b>Southern Illinois Professional Development Center</b>
<b>SURS</b>	<b>State University Retirement System</b>
<b>TABE</b>	<b>Test of Adult Basic Education</b>
<b>TANF</b>	<b>Temporary Assistance to Needy Families</b>
<b>TESOL</b>	<b>Teachers of English of Other Languages</b>
<b>TESOL-BE</b>	<b>Teachers of English to Speakers of Other Languages and Bilingual Education</b>
<b>TRS</b>	<b>Teachers' Retirement System</b>
<b>USDOE</b>	<b>United States Department of Education</b>
<b>WIA</b>	<b>Workforce Investment Act</b>





## ICCB Adult Education ABE/ASE/ESL Generic Course List

(including 2 digit ID codes)

PCS/CIP Codes for College Use ONLY

### **Adult Basic Education (ABE 1.7)**

#### **Beginning Level (0 - 5.9 Grade Level)**

<u>Course CIP</u>	<u>ID</u>	<u>Description</u>
32.0110		<b>Basic Skills, General.</b> Courses which may include basic skills, such as literacy, reading, communication, and computational skills; library and study skills; and family education skills.
	06	Beginning ABE Literacy (Grade 0 to 1.9)
	09	Beginning Basic Education ABE (Grade 2.0 to 3.9)
	10	Low Intermediate Basic Education ABE (Grade 4.0 to 5.9)
32.0113		<b>Reading, Literacy, and Communication Skills.</b> 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.
	06	Beginning ABE Literacy (Grade 0 to 1.9)
	09	Beginning Basic Education ABE (Grade 2.0 to 3.9)
	10	Low Intermediate Basic Education ABE (Grade 4.0 to 5.9)
32.0114		<b>Computational Skills.</b> 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
	06	Beginning ABE Literacy (Grade 0 to 1.9)
	09	Beginning Basic Education ABE (Grade 2.0 to 3.9)
	10	Low Intermediate Basic Education ABE (Grade 4.0 to 5.9)
32.0115		<b>Workforce Skills.</b> 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.
	06	Beginning ABE Literacy (Grade 0 to 1.9)
	09	Beginning Basic Education ABE (Grade 2.0 to 3.9)
	10	Low Intermediate Basic Education ABE (Grade 4.0 to 5.9)
32.0116		<b>Life Skills.</b> 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.
	06	Beginning ABE Literacy (Grade 0 to 1.9)
	09	Beginning Basic Education ABE (Grade 2.0 to 3.9)
	10	Low Intermediate Basic Education ABE (Grade 4.0 to 5.9)

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<u>Course CIP</u>	<u>ID</u>	<u>Description</u>
32.0117		<b>Career Exploration/Awareness Skills.</b> Courses that describe the linkage between individual capabilities and the job market. Includes instruction in the variety and scope of available employment, how to access job information, and techniques of self-analysis.
	06	Beginning ABE Literacy (Grade 0 to 1.9)
	09	Beginning Basic Education ABE (Grade 2.0 to 3.9)
	10	Low Intermediate Basic Education ABE (Grade 4.0 to 5.9)
32.0118		<b>Workplace Literacy.</b> 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.
	06	Beginning ABE Literacy (Grade 0 to 1.9)
	09	Beginning Basic Education ABE (Grade 2.0 to 3.9)
	10	Low Intermediate Basic Education ABE (Grade 4.0 to 5.9)
32.0119		<b>Family Literacy.</b> 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.
	06	Beginning ABE Literacy (Grade 0 to 1.9)
	09	Beginning Basic Education ABE (Grade 2.0 to 3.9)
	10	Low Intermediate Basic Education ABE (Grade 4.0 to 5.9)

### **Adult Basic Education (ABE 1.7)**

#### **High Intermediate Level (6.0 to 8.9 Grade Level)**

<u>Course CIP</u>	<u>ID</u>	<u>Description</u>
32.0120		<b>Basic Skills, General.</b> Courses which may include basic skills, such as literacy, reading, communication, and computational skills; life skills; library and study skills; and family education skills.
	20	High Intermediate Basic Education (Grade 6.0 to 8.9)
32.0123		<b>Reading, Literacy, and Communication Skills.</b> 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.
	20	High Intermediate Basic Education (Grade 6.0 to 8.9)

<u>Course CIP</u>	<u>ID</u>	<u>Description</u>
32.0124		<b>Computational Skills.</b> 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.
	20	High Intermediate Basic Education (Grade 6.0 to 8.9)
32.0125		<b>Workforce Skills.</b> 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.
	20	High Intermediate Basic Education (Grade 6.0 to 8.9)
32.0126		<b>Life Skills.</b> 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.
	20	High Intermediate Basic Education (Grade 6.0 to 8.9)
32.0127		<b>Career Exploration/Awareness Skills.</b> 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.
	20	High Intermediate Basic Education (Grade 6.0 to 8.9)
32.0128		<b>Workplace Literacy.</b> 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.
	20	High Intermediate Basic Education (Grade 6.0 to 8.9)
32.0129		<b>Family Literacy.</b> 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.
	20	High Intermediate Basic Education (Grade 6.0 to 8.9)

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### **Adult Secondary Level (ASE 1.8)**

#### **(9.0 to 12.9 Grade Level)**

<u>Course CIP</u>	<u>ID</u>	<u>Description</u>
32.0130		<b>Basic Skills, General.</b> 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.
	25	Low Adult Secondary Education ASE (Grade 9.0 to 10.9)
	30	High Adult Secondary Education ASE (Grade 11.0 to 12.9)

<u>Course CIP</u>	<u>ID</u>	<u>Description</u>
32.0132		<b>Academic and Intellectual Skills.</b> 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)
	25	Low Adult Secondary Education ASE (Grade 9.0 to 10.9)
	30	High Adult Secondary Education ASE (Grade 11.0 to 12.9)
32.0133		<b>Reading, Literacy, and Communication Skills.</b> Courses that include the study of English, including literature and composition, speech, pre-writing and writing skills.
	25	Low Adult Secondary Education ASE (Grade 9.0 to 10.9)
	30	High Adult Secondary Education ASE (Grade 11.0 to 12.9)
32.0134		<b>Computational Skills.</b> Courses that describe the development of computing and other mathematical reasoning abilities. Includes courses in basic mathematical principles and concepts, algebra, geometry and trigonometry.
	25	Low Adult Secondary Education ASE (Grade 9.0 to 10.9)
	30	High Adult Secondary Education ASE (Grade 11.0 to 12.9)
32.0135		<b>Workforce Skills.</b> 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.
	25	Low Adult Secondary Education ASE (Grade 9.0 to 10.9)
	30	High Adult Secondary Education ASE (Grade 11.0 to 12.9)
32.0136		<b>Life Skills.</b> 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.
	25	Low Adult Secondary Education ASE (Grade 9.0 to 10.9)
	30	High Adult Secondary Education ASE (Grade 11.0 to 12.9)
32.0137		<b>Career Exploration/Awareness Skills.</b> 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.
	25	Low Adult Secondary Education ASE (Grade 9.0 to 10.9)
	30	High Adult Secondary Education ASE (Grade 11.0 to 12.9)

<u>Course CIP</u>	<u>ID</u>	<u>Description</u>
32.0138		<b>Workplace Literacy.</b> 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.
	25	Low Adult Secondary Education ASE (Grade 9.0 to 10.9)
	30	High Adult Secondary Education ASE (Grade 11.0 to 12.9)
32.0139		<b>Family Literacy.</b> 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.
	25	Low Adult Secondary Education ASE (Grade 9.0 to 10.9)
	30	High Adult Secondary Education ASE (Grade 11.0 to 12.9)

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### **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.*

<u>Course CIP</u>	<u>ID</u>	<u>Description</u>
32.0140		<b>Beginning ESL.</b> Courses that may include instruction in listening, speaking, reading, and writing using the English language. Includes life skills, career exploration, and workforce skills.
	36	Beginning ESL Literacy (CELSA NA/ Best Literacy 0-7)
	40	Beginning ESL (CESLA 20-23/ Best Literacy 8-46)
32.0148		<b>Workplace Literacy.</b> 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.
	36	Beginning ESL Literacy (CELSA NA/ Best Literacy 0-7)
	40	Beginning ESL (CESLA 20-23/ Best Literacy 8-46)
32.0149		<b>Family Literacy.</b> 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.
	36	Beginning ESL Literacy (CELSA NA/ Best Literacy 0-7)
	40	Beginning ESL (CESLA 20-23/ Best Literacy 8-46)

## 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.*

<u>Course CIP</u>	<u>ID</u>	<u>Description</u>
32.0150		<b>Intermediate ESL.</b> Courses that may include instruction in listening, speaking, reading, and writing using the English language. Includes life skills, career exploration, and workforce skills.
	45	Low Intermediate ESL (CELSA 24-29/Best Literacy 47-53)
	50	High Intermediate ESL (CELSA 30-41/Best Literacy 54-65)
32.0158		<b>Workplace Literacy.</b> 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.
	45	Low Intermediate ESL (CELSA 24-29/Best Literacy 47-53)
	50	High Intermediate ESL (CELSA 30-41/Best Literacy 54-65)
32.0159		<b>Family Literacy.</b> 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.
	45	Low Intermediate ESL (CELSA 24-29/Best Literacy 47-53)
	50	High Intermediate ESL (CELSA 30-41/Best Literacy 54-65)

## English as a Second Language (ESL)

**Advanced Level** - *For students who possess 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.*

<u>Course CIP</u>	<u>ID</u>	<u>Description</u>
32.0160		<b>Advanced ESL.</b> Courses that may include instruction in listening, speaking, reading, and writing using the English language. Includes life skills, career exploration, and workforce skills.
	55	Low Advanced ESL (CELSA 42-53/Best Literacy 66+)
	60	High Advanced ESL (CELSA 54+/Best Literacy NA)
32.0168		<b>Workplace Literacy.</b> 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.
	55	Low Advanced ESL (CELSA 42-53/Best Literacy 66+)
	60	High Advanced ESL (CELSA 54+/Best Literacy NA)

<u>Course CIP</u>	<u>ID</u>	<u>Description</u>
32.0169		<b>Family Literacy.</b> 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.
	55	Low Advanced ESL (CELSA 42-53/Best Literacy 66+)
	60	High Advanced ESL (CELSA 54+/Best Literacy NA)

### **English as a Second Language (ESL)**

**Citizenship Activities** - Courses that prepare individuals for citizenship and describe how citizens may engage in civic activities.

<u>Course CIP</u>	<u>ID</u>	<u>Description</u>
33.0102		<b>American Citizenship Education.</b> Courses that prepare individuals to take the oath of United States citizenship and to exercise the attendant rights and responsibilities of citizenship. Includes preparation for the state-mandated Constitution examination.
	45	Low Intermediate ESL (CELSA 24-29/Best Literacy 47-53)
	50	High Intermediate ESL (CELSA 30-41/Best Literacy 54-65)
	55	Low Advanced ESL (CELSA 42-53/Best Literacy 66+)
	60	High Advanced ESL (CELSA 54+/Best Literacy NA)





ILLINOIS COMMUNITY COLLEGE BOARD  
ADULT EDUCATION AND FAMILY LITERACY  
AUDIT REQUIREMENTS

## Table of Contents

A. General Audit Requirements for Adult Education and Family Literacy.....	1
B. Specific Requirements - ICCB State Grant Compliance Section.....	2
C. Specific Requirements - Federal Financial and Compliance Audit.....	2
D. Audit Program Guide.....	5
1. The Grant Program Funds.....	5
2. Units of Instruction ( <i>To be provided before the end of FY2007, effective with FY2007 audit</i> ).....	
E. Schedule of Federal Financial Assistance (Sample).....	10
F. State Grant Compliance Reports (Sample).....	13
G. Certification of Units of Instruction ( <i>Effective with FY2007 audit</i> ).....	18
H. Reconciliation of Units of Instruction ( <i>Effective with FY2007 audit</i> ).....	20

A. GENERAL AUDIT REQUIREMENTS FOR ADULT EDUCATION AND FAMILY LITERACY

- All providers will be subject to the same basic audit standards.
- Financial audits will focus on eligibility of expenditures and compliance with certain specific restrictions on expenditures, such as:
  - A minimum of 45% each of total State Basic, Public Assistance, Federal Basic, and EL/Civics funds must be spent on Instruction.
  - A maximum of 9% each of State Basic, Public Assistance, and Performance grant funds may be expended for General Administration expenses.
  - A maximum of 30% each of Federal Basic and EL/Civics grant funds may be used for Program Support.
  - A minimum of 5% each of Federal Basic and EL/Civics grant funds must be used for Improvement of Instructional Services.
- 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.
- Two copies of the annual State Grant Compliance audit must be submitted to the ICCB by October 15 following the end of the grant period. Additionally, two copies 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.
- 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. Adult Education and Family Literacy Grant allocations can be found on the ICCB website at [www.iccb.state.il.us/HTML/adulted/adulted.html](http://www.iccb.state.il.us/HTML/adulted/adulted.html).

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
- 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 13)
- ICCB Compliance Statement for the Adult Education and Family Literacy Grants
- Notes to the financial statements

#### C. Federal Financial and Compliance Audit

Each provider receiving federal funds is required to submit two copies of its annual financial and compliance audit of these funds 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. This report may be included in, or attached to, the provider's regular audit report.

In order to meet this requirement, the provider must 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.

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

- 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 Non-major Federal Financial Assistance Programs (Specific and General Requirements)
- Study and Evaluation of Internal Accounting Controls Used in Administering Federal Financial Assistance Programs
- Background information on grant activity

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”

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 then 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.

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.

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

Childcare 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. A minimum of 5% of the grant must be used for Improvement of Instructional Services.
3. Program Support must not exceed 30% of the grant.

EL/Civics:

1. A minimum of 45% of the grant must be for Instruction.
2. A minimum of 5% of the grant must be used for Improvement of Instructional Services.
3. Program Support must not exceed 30% of the grant.

State Basic:

1. A minimum of 45% of the grant must be for Instruction.



2. General Administration costs must not exceed 9% of the grant.

Public Assistance:

1. A minimum of 45% of the grant must be for Instruction.
2. General Administration costs must not exceed 9% of the grant.

Performance:

1. General Administration costs must not exceed 9% 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 this 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 the summary of ICCB grants distributed throughout the year.
4. Test a representative sample of expenditures for compliance with ICCB requirements for Restricted Grant Expenditures and Reporting.
5. Test grant records for the following:

Federal Basic:

1. A minimum of 45% of the grant must be for Instruction.
2. A minimum of 5% of the grant must be used for Improvement of Instructional

Services.

3. Program Support must not exceed 30% of the grant.

EL/Civics:

1. A minimum of 45% of the grant must be for Instruction.

2. A minimum of 5% of the grant must be used for Improvement of Instructional Services.

3. Program Support must not exceed 30% of the grant.

State Basic:

1. A minimum of 45% of the grant must be for Instruction.

2. General Administration costs must not exceed 9% of the grant.

Public Assistance:

1. A minimum of 45% of the grant must be for Instruction.

2. General Administration costs must not exceed 9% of the grant.

Performance:

1. General Administration costs must not exceed 9% 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).

E. SCHEDULE OF FEDERAL FINANCIAL ASSISTANCE

<Provider Name>

SCHEDULE OF FEDERAL FINANCIAL ASSISTANCE  
FOR THE YEAR ENDED JUNE 30, 20XX  
(sample)

<u>Federal Grantor/Pass-Through Grantor/ Program Title</u>	<u>Federal CFDA Number</u>	<u>Pass-Through Grantor's Number</u>	<u>Program Beginning or Award Amount</u>	<u>Program Beginning Fund Balance July 1, 20XX</u>	<u>Revenues</u>	<u>Ending Expenditures</u>	<u>Fund Balance June 3, 20XX</u>
<b>U.S. Department of Education (DOE)</b>							
Pass-through Illinois Community College Board:							
Adult Education State Grant Program (aka Federal Basic)	84.002A	NA	\$xxx,xxx	-0-	\$xxx,xxx	\$xxx,xxx	-0-
EL/Civics Program	84.002A	NA	\$xxx,xxx	-0-	\$xxx,xxx	\$xxx,xxx	-0-
223 Leadership	84.002A	NA	<u>\$xxx,xxx</u>	<u>-0-</u>	<u>\$xxx,xxx</u>	<u>\$xxx,xxx</u>	<u>-0-</u>
TOTAL U.S DOE			\$xxx,xxx	-0-	\$xxx,xxx	\$xxx,xxx	-0-

## 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

AUDITOR'S REPORT ON COMPLIANCE WITH STATE REQUIREMENTS  
FOR THE ADULT EDUCATION AND FAMILY LITERACY GRANT

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*)

<u>ASSETS</u>	<u>State Basic</u>	<u>Public Aid</u>	<u>Performance</u>	<u>Total (Memorandum Only)</u>
Cash				
Accounts Receivable				
Deferred Expenditures				
TOTAL ASSETS				
 <u>LIABILITIES AND FUND BALANCE</u>				
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)

	<u>State Basic</u>	<u>Public Aid</u>	<u>Performance</u>	<u>Total (Memorandum Only)</u>
<b>Revenues:</b>				
Grant Revenue				
<b>Expenditures by Program:</b>				
Instruction				
Social Work Services				
Guidance Services				
Assistive and Adaptive Equipment				
Assessment and Testing				
Student Transportation Services				
Literacy Services				
Childcare Services				
<b>Subtotal Instructional and Student Services</b>				
Improvement of Instructional Services				
General Administration				
Operation and Maintenance of Plant Services				
Workforce Coordination				
Data and Information Services				
Approved Indirect Costs				
<b>Subtotal Program Support</b>				
<b>TOTAL COSTS</b>				
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 (9% Maximum Allowed)		

State Public Assistance	Audited Expenditure Amount	Actual Expenditure Percentage
Instruction (45% Minimum Required)		
General Administration (9% Maximum Allowed)		

State Performance	Audited Expenditure Amount	Actual Expenditure Percentage
General Administration (9% 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 and 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)/Kid Care Assist, non-assistance food stamps, and non-custodial 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. Certification of Units of Instruction  
*Effective with FY2007 Audit*

**Effective with FY2007 Audit**

<Provider Name>

**CERTIFICATION OF ADULT EDUCATION AND FAMILY LITERACY PROGRAM  
UNITS OF INSTRUCTION AND OTHER BASES UPON WHICH CLAIMS ARE FILED  
FOR THE YEAR ENDED JUNE 30, 20XX**

<u>Total Unduplicated Enrollment</u>

<u>Total Units of Instruction</u>								
Performance Level, Instructional, or Other Area	<u>Restricted<sup>(2)</sup></u>						<u>Non AEFL Funds</u>	
	Fed Basic	EL/Civics <sup>(3)</sup>	State Basic	Public Assistance	Performance <sup>(3)</sup>	<u>Total Restricted</u>	Other Non-AEFL restricted	Unrestricted <sup>(1)</sup>
Beginning Literacy to Beginning ESL								
Low Intermediate ESL to High Intermediate ESL								
Low Advanced ESL to High Advanced ESL								
Beginning Literacy to Beginning ABE								
Low Intermediate ABE to High Intermediate ABE								
Low Advanced ASE to High Advanced ASE								
Vocational								
Other Units (generated from students who were not tested)								
<b>TOTAL<sup>(Note 4)</sup></b>								

NOTE 1) Unrestricted units where direct instructional costs are supported with 50% or more of unrestricted sources of funding

NOTE 2) Restricted units where direct instructional costs are supported with more than 51% of restricted sources (i.e. Adult Education and Family Literacy grant) of funding.

NOTE 3) Units supported with 51% or more of AEFL Performance and EL/Civics funds must be excluded.

NOTE 4) Total of unrestricted and restricted should equal the STAIRS record totals.

Signatures

\_\_\_\_\_  
Chief Executive Officer (CEO)

\_\_\_\_\_  
Chief Financial Officer (CFO)

H. Reconciliation of Units of Instruction  
*Effective with FY2007 Audit*

**Effective with FY2007 Audit**

<Provider Name>  
 ADULT EDUCATION AND FAMILY LITERACY PROGRAM  
 UNITS OF INSTRUCTION AND OTHER BASES UPON WHICH CLAIMS ARE FILED  
 FOR THE YEAR ENDED JUNE 30, 20XX

<u>Total Unduplicated Enrollment Certified to the ICCB</u>	<u>Audited Total Unduplicated Enrollment</u>	<u>Difference</u>

<u>Total Units of Instruction</u>						
Performance Level, Instructional, or Other Area	<u>Restricted<sup>2,3)</sup> Units Certified to the ICCB</u>	<u>Audited Restricted<sup>2,3)</sup> Units</u>	<u>Difference</u>	<u>Unrestricted<sup>(1)</sup> Units Certified to the ICCB</u>	<u>Audited Unrestricted<sup>(1)</sup> Units</u>	<u>Difference</u>
Beginning Literacy to Beginning ESL						
Low Intermediate ESL to High Intermediate ESL						
Low Advanced ESL to High Advanced ESL						
Beginning Literacy to Beginning ABE						
Low Intermediate ABE to High Intermediate ABE						
Low Advanced ASE to High Advanced ASE						
Vocational						
Other Units (generated from students who were not tested)						
<b>TOTAL <sup>(Note 4)</sup></b>						

NOTE 1) Unrestricted units where direct instructional costs are supported with 50% or more of unrestricted sources of funding

NOTE 2) Restricted units where direct instructional costs are supported with more than 51% of restricted sources (i.e. Adult Education and Family Literacy grant) of funding.

NOTE 3) Units supported with 51% or more of AEFL Performance and EL/Civics funds must be excluded.

NOTE 4) Total of unrestricted and restricted should equal the STAIRS record totals.

