



---

# **FY24 Illinois Prevention Initiative Monitoring Guide**

## Table of Contents

Welcome .....	3
Assessment Tools.....	4
Prevention Initiative Monitoring Process Overview.....	4
PI Monitoring Process.....	5
Data Survey.....	5
Scheduling Email.....	5
Preparation Meeting and SharePoint Window.....	5
Quality and Compliance Assessments .....	5
On-Site Visit and Exit Summary.....	5
Disease Prevention Protocol.....	6
What Happens After Monitoring is Complete? .....	6
Quality Assessment Process for Prevention Initiative Monitoring.....	7
HOVRS-3 Observations .....	7
ITERS-R Observations and Interview.....	7
PIQET Interview and Survey.....	7
Compliance Assessment Process for Prevention Initiative Monitoring.....	8
PICC Documentation.....	8
PICC Child/Family File Review and Documentation.....	9
Child/Family File Review Protocol.....	9
Documentation Uploading to SharePoint .....	11
Instructions for Accessing SharePoint.....	11
Accessing Grantee SharePoint Folders.....	11
Locating Files and Uploading Documents.....	12

## Welcome

The Illinois State Board of Education (ISBE) funds Grantees to provide Prevention Initiative (PI) education and support services through the Early Childhood Block Grants award. Monitoring fulfills the state's legal obligations to ensure adequate oversight of its Grantees. Grantee monitoring addresses compliance and program quality.

The Illinois State Board of Education is responsible for complying with Illinois Administrative Rules for monitoring to support quality improvement and maintain compliance with Early Childhood Block Grant Administrative Rules, Part 235, Subpart A and the current fiscal year PI Request for Proposals (RFP). ISBE contracted with Vander Weele Group (VWG) to monitor Grantees funded through the ISBE PI Birth to Three grants program. VWG is a national grants monitoring firm based in Chicago.

This guide provides an overview of monitoring for Prevention Initiative (PI) Grantees scheduled for monitoring during Fiscal Year 2024.

## Assessment Tools

PI Grantees are monitored for quality and compliance using the assessment tools shown in the table below. For additional information on the tools used for PI Monitoring, please see the companion document, FY24 Illinois PI Assessment Tool Guide posted on the ISBE Early Childhood Prevention Initiative website.

PI Assessment Tools		
<p><b>All Grantees</b></p> <p>Prevention Initiative Compliance Checklist (PICC) and Prevention Initiative Quality Evaluation Tool (PIQET)</p>	<p><b>Grantee with Home Visiting Programs</b></p> <p>Home Visit Rating Scales (HOVRS-3)</p>	<p><b>Grantees with Center Based Programs</b></p> <p>Infant Toddler Environment Rating Scale (ITERS-R)</p>

## Prevention Initiative Monitoring Process Overview

PI Grantees are monitored with a streamlined, five-step approach outlined in the following section.



## PI Monitoring Process

### Data Survey

Programs selected by ISBE for monitoring during FY24 receive an electronic survey from VWG to collect Grantee information such as demographics and other details. This survey is sent at the start of the FY24 monitoring season.

### Scheduling Email

A VWG Assessor is assigned to the Grantee. The Assessor works closely with the Grantee throughout the monitoring process, from Scheduling to the Exit Summary. Once assigned, the VWG Assessor emails the Grantee at the start of the monitoring season (after the PICC has been posted on ISBE's Website) with monitoring dates for selection. All Compliance and Quality Assessments occur during the scheduled monitoring window (in some cases, more time will be needed to complete all ITERS-R observations).

### Preparation Meeting and SharePoint Window

Grantees provide documentation electronically. Each Grantee is given a specified window of time for uploading documentation, otherwise referred to as the SharePoint Window. Grantees begin their SharePoint Window with an individualized virtual Preparation Meeting, which may take one to two hours. During the SharePoint Window, Grantees upload PICC and PIQET documentation and HOVRS-3 observation recordings (for Grantees with home visiting programs) to the organized folders on the secure Microsoft SharePoint drive. The length of the SharePoint Window depends upon the program size and is determined during scheduling. The Preparation Call is intended to provide Grantees with everything needed to navigate monitoring.

VWG Assessors walk Grantees through the entire monitoring process. The meeting starts with the VWG Assessor sharing the link to the Grantee's SharePoint folder and demonstrating how to upload documentation as needed. Grantees are given guided practice uploading documentation, and the Assessor walks through what is required in each folder, as needed. Before the end of the call, dates for the quality assessments and exit visit are confirmed.

### Quality and Compliance Assessments

All Grantee program types are monitored with the PICC and quality assessment tools. All programs upload documentation for the PICC. Interviews and surveys for the PIQET are conducted between the Preparation Call and the Exit Summary. Grantees with home-visiting programs are observed (via video upload) using the HOVRS-3 tool, and Grantees with center-based programs receive classroom observations using the ITERS-R tool. See the FY24 Illinois PI Assessment Tool Guide for more information on these assessment tools.

### On-Site Visit and Exit Summary

The Monitoring Process concludes with the On-Site Visit (see Disease Prevention Protocol). During this visit, the VWG Assessor provides the Grantee with a list of any outstanding documentation in the form of an Exit Summary and allows a final opportunity to submit documentation. Spot-checking of files may occur as needed. Only documentation not submitted is reviewed and agreed upon before the Assessor leaves the site—both the Assessor and the designated official sign the Exit Summary.

**Note:** During the Exit Summary, the VWG Assessor does not disclose information about documentation that fails to meet compliance requirements according to the PICC. The final summary report is written after concluding the entire Monitoring Process and a comprehensive documentation review. Only the final summary report contains details about compliance and non-compliance.

## Disease Prevention Protocol

On-site visits are a requirement of PI Monitoring. VWG Assessors follow the Disease Prevention Protocol of the site. Please inform the Assessor of current requirements. If an On-Site Visit or observation cannot take place due to an outbreak, notify the Assessor immediately. If an entire monitoring period needs to be rescheduled, inform your Assessor, and both parties (VWG and the Grantee) must inform ISBE for a determination on how to proceed.

## What Happens After Monitoring is Complete?

After completing the monitoring cycle, the VWG Assessors objectively analyze all information gathered during the Monitoring Phase and complete a report. VWG Assessors are trained to be reliable on all the assessments. The rules of each tool are followed to maintain an unbiased approach. The report is sent to ISBE within eight weeks after the last Exit Visit or ITERS-R observation and includes quality and compliance results.

The summary report includes information about the PICC requirements found out of compliance and additional details about the determination. Although some of the findings may meet the requirements of a chosen program model, they may not meet ISBE's requirements as described in the PICC. ISBE makes the final determination of compliance for the items listed in the report.

An ISBE Principal Consultant follows up with each Grantee at the end of the Monitoring Phase to share results. A third-party vendor of ISBE provides technical assistance. Once the monitoring is complete, the VWG Assessor is no longer the main contact. ISBE should be contacted via email about questions and concerns at [PICQIP@ISBE.net](mailto:PICQIP@ISBE.net).

Review all ISBE Early Childhood Prevention Initiative website materials for the most up-to-date information on Prevention Initiative Monitoring.

## Quality Assessment Process for Prevention Initiative Monitoring

Detailed information about the assessments for monitoring is found in the FY24 PI Assessment Tool Guide and the ISBE Early Childhood Prevention Initiative website.

### HOVRS-3 Observations

VWG Assessors observe and score home visits using a measurement tool called the Home Visit Observation Rating Scale (HOVRS-3). The HOVRS-3 is a research-based tool that describes the quality of home visits according to best practices and is developed with input from practitioners and supervisors in home visiting programs.

During scheduling, Grantees are instructed that all Home Visitors should obtain family consent and record at least one home visit. Grantees upload home visit recordings to a secure SharePoint folder (unless another method is needed) when their SharePoint window begins. Recorded observations are randomly selected for assessment from those submitted and across all Home Visitors. Other methods, such as in-person observations, can be arranged as needed. HOVRS-3 videos can be submitted up until the Exit Visit.

### ITERS-R Observations and Interview

VWG Assessors observe classrooms for quality using the Infant/Toddler Environment Rating Scale (ITERS-R). The ITERS-R measures environmental provisions and teacher-child interactions that affect the broad developmental milestones of infants and toddlers, including language, cognitive, social-emotional, and physical development, and concern for health and safety.

Classrooms are randomly selected, with observations occurring during the monitoring window. Observations may need to be completed after the Exit Visit, if this is needed, the window will be lengthened, and grantees notified. Grantees are not given exact dates for the classroom observations.

### PIQET Interview and Survey

VWG Assessors collect information about quality programming using the Prevention Initiative Quality Evaluation Tool (PIQET). PIQET questions are posted on the ISBE Early Childhood Prevention Initiative website.

The PIQET is conducted as an interview with the program supervisor, manager, or authorized official and takes about an hour to complete. There are also questions for program staff, with responses collected using a survey link provided during the Preparation Meeting. The PIQET interview and survey must be completed by the close of the on-site visit.

Documentation for the PIQET is requested by VWG Assessors for upload to SharePoint as described below, including but not limited to:

- Evidence of an annual independent budget review or audit
- Business or strategic plan
- Community Resource Guide
- Evidence of community involvement or positions held
- Policies and procedures for performance assessment, administrative and reflective supervision, and the process to guide staff in making referrals.

## Compliance Assessment Process for Prevention Initiative Monitoring

### PICC Documentation

The PICC is updated yearly and posted by September first of each monitoring year. Grantees can find the most up-to-date documentation and compliance requirements by reviewing ISBE's PICC tool, which is located on the ISBE Early Childhood Prevention Initiative website.

Documentation for the PICC is uploaded to SharePoint during the scheduled window. See the uploading instructions at the end of this document. SharePoint folders are organized with a folder structure reflecting the PICC requirements for documentation, but the order may be reorganized and grouped according to documentation types. The VWG Assessor reviews the folder structure and documentation requirements during the Preparation Meeting.

The PICC is divided into three different tables with compliance requirements that apply depending on the types of programs the Grantee operates with PI funding.

PICC Tables:

- Prevention Initiative
- Home Visiting (includes Supplemental Doula Services)
- DCFS Licensed Center Based and DCFS Family Child Care Homes

When reviewing the PICC, see the middle column labeled Documentation to determine the kinds of documentation that are acceptable to submit for each PICC Issue. Typically, only one example of documentation from the list is required to determine compliance unless otherwise specified by the VWG Assessor.

Prevention Initiative		
PI1. Identification of the Prevention Initiative program, HV, CB		
Compliance	Documentation	Notes
A. PI Program Type: <input type="checkbox"/> PI Home Visiting <input type="checkbox"/> Doula Services PI Center-Based <input type="checkbox"/> DCFS Licensed Child Care <input type="checkbox"/> DCFS Licensed Family Child Care Homes		<a href="#">Prevention-Initiative-Program-HV-CB-Criterion.pdf (isbe.net)</a>  <a href="#">Early Childhood Block Grant Family Child Care Model</a>
B. Program services for children and families operate on the following schedule: <input type="checkbox"/> 165 or more working days providing services to children	<input type="checkbox"/> Program calendar <input type="checkbox"/> Pay stubs <input type="checkbox"/> Schedule within a program manual/handbook <input type="checkbox"/> Schedule within a staff manual/handbook <input type="checkbox"/> Schedule within program brochures <input type="checkbox"/> Other (describe in notes):	<a href="#">[23 Ill. Adm. Code 235.20(c)(13)]</a>

## PICC Child/Family File Review and Documentation

Grantees upload a selection of child/family files randomly chosen by the assessor to SharePoint for compliance review during the scheduled window. Files are selected from currently enrolled children and those that have exited within the current fiscal year (July 1, 2023, to June 30, 2024). In addition, a selection of active child/family files is randomly selected on the day of the on-site visit as caseload size allows. Twelve files are the maximum amount required for review per site. During the on-site visit, all physical files from the fiscal year must be available for spot-checking. See the table below for an estimate of selection methods for child/family files.

Total Files per Site	Uploaded		On-Site Active
	Active	Exited	
12	8	2	2

### Child/Family File Review Protocol

#### Caseload Lists

During the Preparation Call, VWG Assessors request caseload lists of currently active children/families and those that exited within the current fiscal year. Prenatal clients are also subject to file review.

Caseload lists are required to include the following information, but not limited to:

- List of children screened but not enrolled
- If applicable, the current waiting list, sorted by eligibility points
- Currently enrolled and exited PI children

A spreadsheet is provided to Grantees prior to the Preparation Meeting for submitting lists of enrolled and exited children. The SharePoint folders are secure for storing sensitive information.

Note: Files from the current fiscal year are reviewed *unless additional information is required*. Child files are selected randomly from both currently enrolled children/families and any child/family with an exit date of July 1, 2023, or later. If any PICC documentation is Not Applicable due to the random selection process, additional documents must be submitted, including but not limited to program policies, signed statements from a PI supervisor, and/or additional child files from any fiscal year. If staff serve children/families identified as Prevention Initiative, they are subject to PI monitoring regardless of the funding stream.

#### Child/Family File Documentation

Grantees submit child/family file documents, including but not limited to the following categories. Review the PICC for child file documentation options.

- Home Visit Plan
- Developmental Screenings, consent, and results summary forms
- Consent forms for developmental screenings
- Evidence that screening results are shared
- Proof of eligibility, such as income verification
- Parent Interview Form
- Individualized Family Goal Plan
- Transition Plan
- Referrals

***Multisite Grantees***

Twelve files will be selected at random per site if caseload allows.

***Supplemental Doula Services***

Caseload information for programs with supplemental doula services is required. At least two doula/prenatal files are selected for review for programs with doula services.

## Documentation Uploading to SharePoint

It is highly recommended that Grantees prepare ahead of the scheduled monitoring to ensure a positive experience. A well-organized system for documentation benefits the Grantee. Upload documentation according to the instructions from your assigned VWG Assessor.

- Prepare documentation in an electronic format ahead of your scheduled Monitoring for easy upload to SharePoint. Please note that Google Drive is not compatible with SharePoint.
- Organize all active child files and exited files from the current fiscal year to ensure each file has the documentation readily available for random selection.
- Keep all paper copies organized by PICC number and ready for the Assessor to check during the on-site visit, as necessary.
- One person should be appointed to review all the Grantee folders in SharePoint before the end of the monitoring window to ensure that each folder has the correct documentation, the information is easy to see, and no files are corrupted.
- In cases when something is missing for a PICC requirement from a child's folder or other documentation folder, the Grantee should upload a statement in each folder stating what is missing and why. No folders should be left empty to ensure the most accurate review.

### Instructions for Accessing SharePoint

The following instructions are provided to Grantees for access to the VWGLLC web-based portal, SharePoint. The VWG Assessors provide guidance and complete instructions during the Preparation Call on the first day of your monitoring window. A link is sent to the main Grantee contact to access SharePoint, set up an account, or sign into an existing Microsoft account.

When setting up the account (if required), it should be registered to the main point person at your organization or the individual responsible for uploading documents for monitoring. Again, VWG Assessors are available to support Grantees with this process.

### Accessing Grantee SharePoint Folders

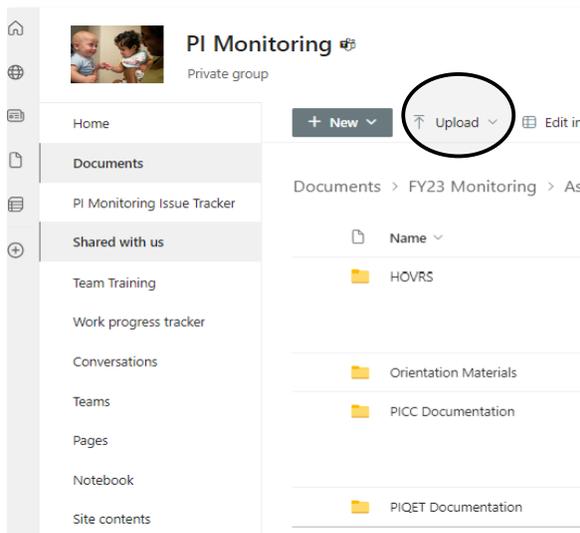
- The main Grantee contact receives an email with a personalized link to SharePoint on the day of the Preparation Call. This link can only be used by the individual(s) with permission to access the folder.
- Click on the provided link.
- You are prompted to log in. Either:
  - Create a new account with Microsoft 365 by following the prompts.
  - Login using an email address that is registered to Microsoft365.

## Locating Files and Uploading Documents

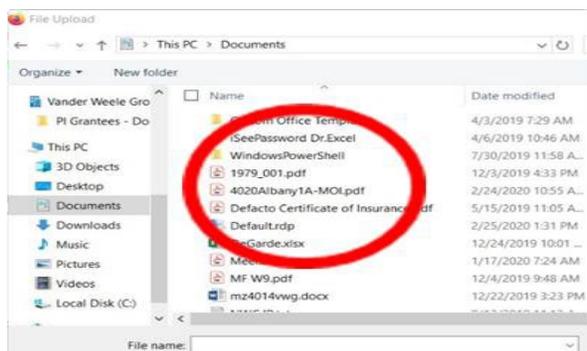
Three or four folders are visible when the Grantee enters SharePoint using the link provided, depending on program type. Orientation Materials contains helpful documents. PICC Documentation is where Grantees navigate to upload documentation. The PIQET folder is where the required PIQET documentation is uploaded. The HOVRS folder is where recorded observations are uploaded (for home-visiting programs only).

### Select Files to Upload

Click on the PICC Documentation folder, then select the appropriate folder or subfolder labeled with the PICC item number. Open each folder to check for subfolders. Select *Upload* from the top navigation bar.



A drop-down menu opens to select the type of item to upload (Files, Folder, or Template). Select Files. Another window opens for the location of your documents. Choose the file you would like to upload and click *Open*. The upload status is indicated on the top right of the SharePoint screen. Check the folder to ensure the upload is completed and all documentation is uploaded correctly.



# THANK YOU!

Thank you for taking the time to review this guide in preparation for your FY24 Monitoring. Our team looks forward to working with you this fiscal year! Grantee satisfaction surveys are sent at the conclusion of your monitoring period to help us strive for a positive monitoring experience.

Remember to review all materials on the ISBE Early Childhood Prevention Initiative website for the most up-to-date information on Prevention Initiative Monitoring.

[Return to Top of the Document.](#)