

Entitlement Audit Overview

January 2024

Purpose

- The purpose of this webinar is to explain the Entitlement Audit process, including:
 - Why entitlement audits are required
 - Overview of audit process and timeline
 - How institutions will be notified they are under audit
 - Requirements for institutions being audited
 - Important deadlines

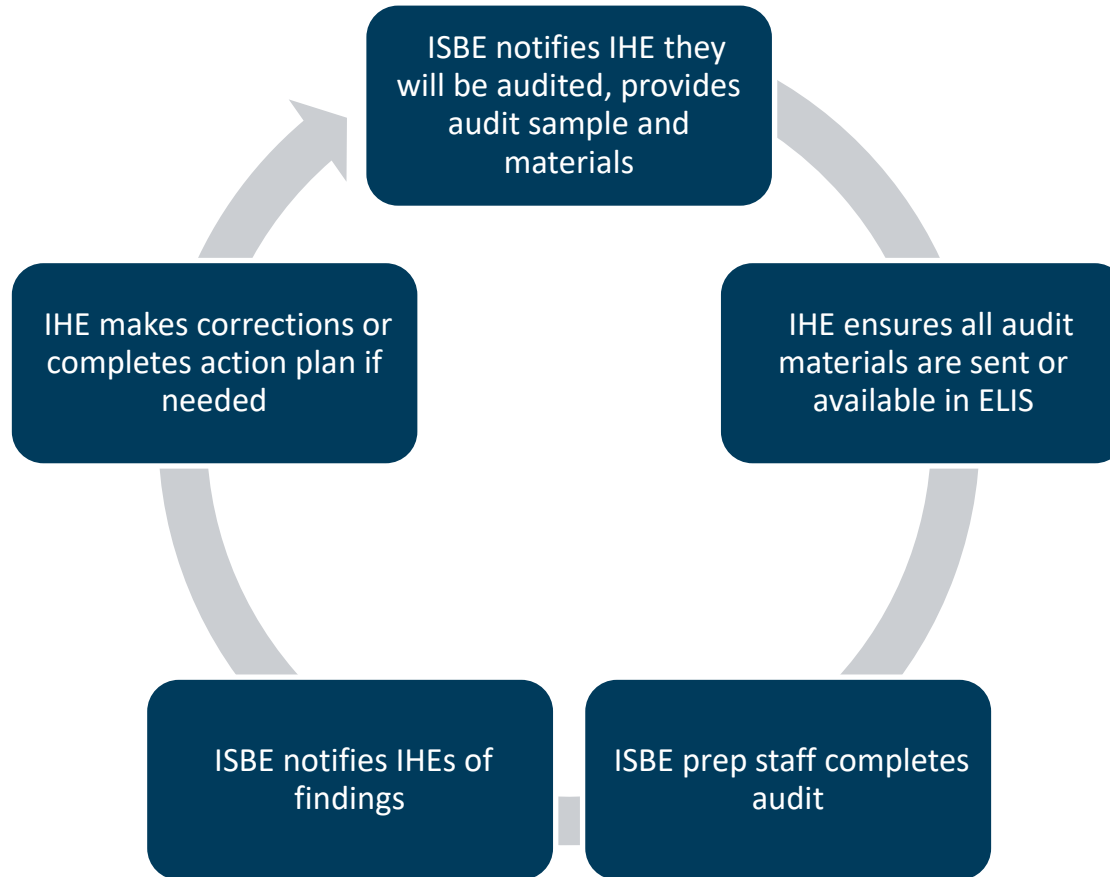
Agenda

- Statutory Authority for Entitlement Audits
- Overview of Entitlement Audit Process
- Timeline
- Institution Notification
- Entitlement Audit Forms
- Requirements for Institutions
- What Information is Audited
- Questions

Statutory Authority

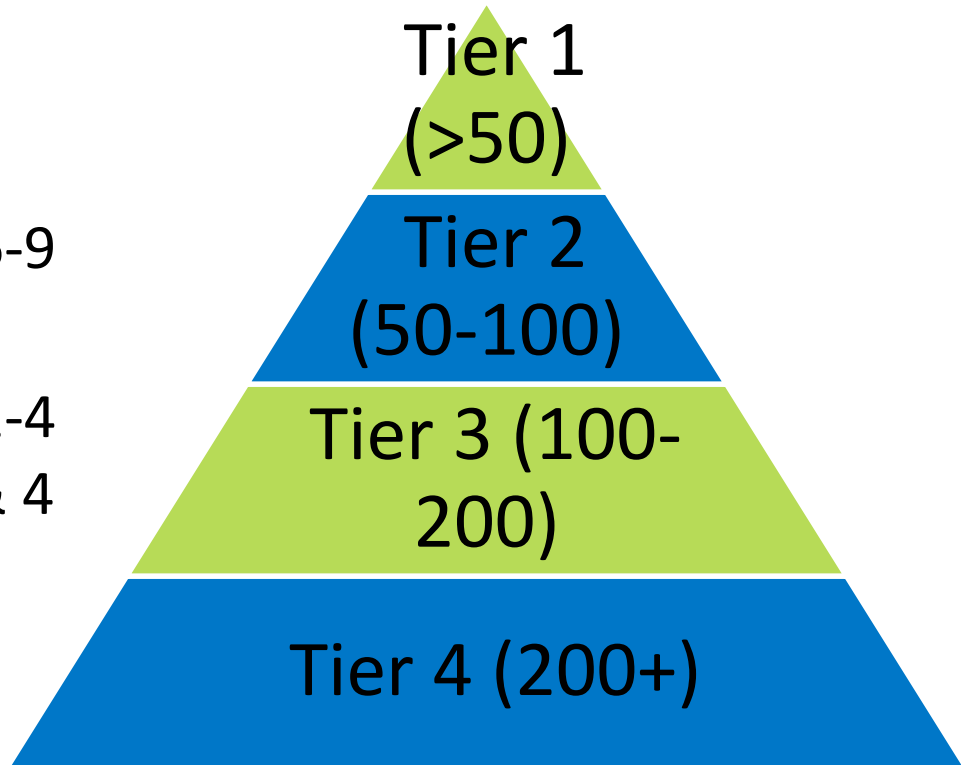
- 21B – 20
 - *Recognized institutions approved to offer educator preparation programs shall be trained to add endorsements to licenses issued to applicants who meet all of the requirements for the endorsement or endorsements, including passing any required tests. The State Superintendent of Education shall randomly audit institutions to ensure that all rules and standards are being followed for entitlement or when endorsements are being recommended.*
- 23 Illinois Administrative Code, Part 25, Section 25.127(k)
 - This section delineates that every institution with licensure programs must be audited at least once every five years, and that once materials are requested, which will formally happen at the beginning of January, that institutions have six weeks to submit the requested students, IEIN's, and licensure endorsement areas, and supporting materials back to ISBE for audit.

Overview of Process



Institution Selection

- 10-13 institutions are audited yearly
 - Random selection of 6-9 EPPs from Tier 1
 - Random selection of 1-4 EPPs from Tiers 2, 3, & 4
- Universities were separated into “tiers” based on the average reported number of completers in APR data



Timeline

<p>EPPs complete and submit required documentation to ISBE:</p> <ul style="list-style-type: none"> • Evidence (transcripts, field experience logs, cooperating teacher/mentor verification) uploaded into individual ELIS accounts • <i>Entitlement Policies, Procedures, Practices</i> • <i>Entitlement Audit Checklist</i> 	<p>Due: February 16, 2024</p>
<p>ISBE conducts audits and prepares <i>Entitlement Audit Report</i></p>	<p>45 Days</p>
<p><i>Entitlement Audit Report</i> sent to EPPs</p>	<p>By April 1, 2024</p>
<p>EPP prepares and submits rejoinder/supplemental materials to ISBE (if applicable)</p>	<p>Due: April 30, 2024</p>
<p>ISBE reviews rejoinder and supplemental materials and prepares findings letter</p>	<p>No later than May 30, 2024</p>
<p>EPPs review findings and submit Remediation Plan (if applicable)</p>	<p>No later than June 30, 2024</p>

Selected Institutions Receive:

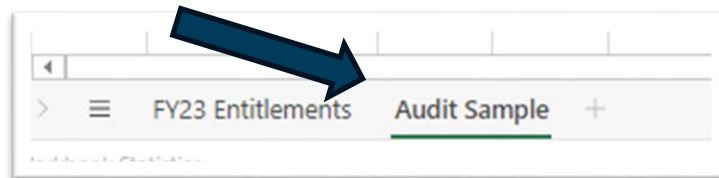
- Engagement Letter
- Entitlement Data Spreadsheet
- Guide to Entitlement Audit Document
- Entitlement Audit Checklist
- Entitlement Policies, Procedures, and Practices Document (EP3)

Engagement Letter

- ISBE Preparation Team liaisons will send initial **engagement letter** in January to officially notify IHEs they will be audited
- **Engagement letter** will be sent directly to Licensure Officers and Deans/Departments Heads (as listed in APR)
- It will be up to these individuals to notify any applicable staff at their IHE

Entitlement Data Spreadsheet

- ISBE will provide IHEs with an **entitlement data spreadsheet**, which will include info for all individuals entitled by the institution between **9/1/2022 - 8/31/2023**.
- **Entitlement data spreadsheet** will include full name, IEIN, entitlement date, status (CP, I, D, PR), endorsement code(s), and grade range(s) for each entitled candidate.
- **Second tab will contain actual audit sample:**
 - A random sample of 10% of all individuals entitled by the EPP
 - Only the candidates in the audit sample will be reviewed during the audit



Guide to Entitlement Audit

- This document provides details about the overall audit process and specifics about other documents that IHEs are required to complete.
- This guide is a valuable “how-to” resource and should be your first stop for any questions.



Entitlement Audit Checklist

- This checklist is shared so that you can keep track of all documentation you are required to provide for each candidate who is being audited, including:
 - Transcripts (your institution and any transfer institutions)
 - Field experience logs
 - Cooperating teacher verifications
 - Other

Entitlement Audit Checklist

Use the following table as a checklist to ensure appropriate documentation has been uploaded into the "images" section of an individual's ELIS account. Copy and paste each individual's IEIN, last name, and first name from the provided audit data spreadsheet. See the example in blue below.

This document shall be completed by the licensure officer and verified by a second representative from the institution (preferably the Dean/Department Head who maintains oversight of all educator preparation programs at the institution).

Institution			
Completed by		Title: Licensure Officer	
Verified by		Title:	

Entitlement Process, Procedures & Policies

- This document allows IHEs to explain how entitlements at their institution are handled, faculty and staff who are part of the process, and how requirements are met by candidates.
- It is a narrative of each IHE's entitlement process.
- ISBE Auditors may provide feedback on each IHE's entitlement process.

Entitlement Policies, Procedures and Practices

The information collected on this form will provide the Illinois State Board of Education (ISBE) with the policies, procedures and/or practices an institution has in place to ensure that individuals have met all requirements necessary to be recommended for entitlement by an institution.

This document shall be completed by the licensure officer and verified by a second representative from the institution (preferably the Dean/Department Head who maintains oversight of all educator preparation programs at the institution).

Providing Documentation

- Evidence requested by ISBE specific to each individual candidate will be uploaded by the IHE into the “Images” section of candidates’ ELIS accounts.
- The **Guide to the Entitlement Audit** explains specifically how to upload documents (transcripts, logs, etc.) to ELIS and how to label them for audit purposes.

What is Audited?

- ISBE Preparation Staff look for evidence that all licensure requirements are met for every individual in the audit sample for each institution.
- Audits must be completed by ISBE staff within 60 days of receiving materials from IHEs.

What is Audited?

- ✓ Timeline of entitlement (entered into PC, entitled after degree conferred, etc)
- ✓ Degree conferred date matches transcript
- ✓ PEL coursework
- ✓ Content-specific coursework
- ✓ Field experience logs
- ✓ Student teaching or internship
- ✓ Cooperating teacher
- ✓ Content tests
- ✓ Distributions for specific endorsements
- ✓ Correct grade range

Entitlement Audit Report

- ISBE Preparation Staff will compile an **Entitlement Audit Report** that contains two sections:
 - **Opportunities for Improvement:** Suggestions for improving entitlement processes; no real punitive impact, but areas to be monitored
 - **Individual Candidate Inadequacies:** Identifies specific entitlement issues for individual candidates where documentation or evidence is missing (might require a response from IHE and/or Remediation Plan if recurring finding)

Individual Candidate Identified Inadequacies

IEIN:	Name:	Inadequacy Identified:	Additional Information Requested: <i>(completed by ISBE)</i>
999999	Smith, Jane	1. Could not verify completion of coursework for Reading in the Content or Reading Methods. 2. Entitlement grade range entered as 6-12, instead of 9-12. 3. No degree date <u>was entered</u> in ELIS.	1. Provide verification of meeting requirement. 2. Provide a narrative to explain why candidate was entitled for 6-12 as opposed to 9-12. 3. Date <u>was added</u> upon discovery (no further action required).
Institution Response: <i>(Please provide narrative to address the additional information requested in the space below.)</i>			
1. Uploaded transcripts from Rock Solid Community College to educator's ELIS Account verifying completion of coursework. 2. Institution was not aware of the rule regarding proper entitlement for secondary candidates and has adjusted the policy to ensure candidates are properly entitled moving forward. 3. N/A			

Next Steps for IHEs

- Institutions that receive audit reports with identified inadequacies are asked to provide more context and/or documentation to show that requirements were met. LOs will upload or submit additional information back to ISBE.
- Once that supplemental information is reviewed by ISBE staff:
 - If all inadequacies are “cleared,” then no further action is required.
 - If inadequacies remain and are egregiously outside of Illinois rules about entitlements, then a remediation plan must be submitted.

Remediation Plans

- If inadequacy remains:
 - 25.127(k)(2)(B)(iv) states that institutions identified as in violation of Section 21B-100 of the School code must submit a remediation plan within 60 days after a written notice has been received by the institution.
 - The plan and timeline shall be approved by the State Board of Education staff prior to implementation.
 - The plan shall include:
 - Remedies identified by ISBE staff and SEPLB;
 - Internal procedures for improvement; and
 - A timeline for implementation of the plan

Questions?

Thank you