



Preparing for Compliance Checklist Review

WHAT TO REVIEW

Please consult the Illinois State Board of Education Early Childhood Block Grant 3-5 Compliance Checklist carefully to prepare all required documents. Link to the compliance checklist:

<https://www.isbe.net/Documents/PFA-Compliance-Checklist.pdf>. Take time to read each item and description carefully. Pay attention to information highlighted. As you study the list, **please review the documentation examples provided**.

WHAT TO DO AHEAD OF TIME

- Notify relevant staff of the upcoming monitoring visit including teachers, paraprofessionals, principal, superintendent, secretary, school nurse, etc.
- Assemble and organize all required materials and documents for the monitor in a binder in the order of the compliance checklist items.
- Have someone available to cover for teacher, if needed, to answer follow-up questions.
- Inform parents and children of the upcoming visit.
- Arrange a private, on-site location where the assessor can review documents.
- Health Records and other child-specific data should be gathered at the location of the site visit per district policy.
- Please advise the assessor where district records are located if not kept onsite.
- During the monitoring visit, be sure there is someone available onsite who can access any electronic documents (like the portfolios).

INFORMATION YOU WILL PROVIDE

The information below includes reminder tips about important documents that must be ready for viewing during your upcoming monitoring visit. These should be kept together in a binder or may be electronic, as long as they are available for viewing. Child-level documents may be housed in assessment portals. All documents should be available for viewing during the monitoring visit.

District and Program Items

It will be the administrator's responsibility to prepare the required documentation, make sure all information is updated, and have it ready for review in the district/program binder or electronically. For binders, please arrange the documents in order of the items of the compliance checklist. The assessor will review the documentation in order. The district binder should contain the following:

- **#1 Waiting Lists** – Include waiting list or process for waiting list of children waiting to enter program.
- **#3 Homeless Policy** – Include a written plan for homeless students (applies to school districts).

- **#7 Calendar** – School or district calendar with start and finish dates for PFA/PFAE.
- **#8 DCFS License** – DCFS license should be posted if applicable.
- **#9 Mission Statement** – Mission statement must be displayed.
- **#11 Menus** – Snack and meal schedules.
- **#13 a) Transition Plan, b) Expulsion/Suspension** – Written transition plan for children entering kindergarten. Written policy prohibiting expulsion and suspension.
- **#14 Community Collaboration and MOU/Head Start** – MOU with local Head Start program (If there is not one in the community, the MOU should be with the Head Start that is the closest in distance to the program). The written collaboration plan must be updated yearly. This is a one-to-two-page plan outlining collaboration.
- **#15 Teaching Credentials and Staff Development Plan** – Teacher and paraprofessional licenses and endorsements/approvals/credentials that show the ROE of registration and match the county where the program is housed. Individual professional development plan for each teacher and paraprofessional.
- **#16 Parent Ed/Involvement/Communication** – Documentation of parent/guardian participation, including meeting notes or agendas, sign-in sheets, volunteer activities, assistance with newsletters, etc. Documentation of ongoing two-way communication with parent/guardians (emails, notebooks, newsletters, conferences, parent meetings)
- **#18 District Screening Policy for ELL** – Prescribed screening procedures for English language proficiency (school districts only). (See 23 Ill. Adm. Code 228.10). Documentation of home language surveys.
- **#19 Annual Program Assessment and CQIP** – Written annual program self-assessment materials. Written annual continuous quality improvement plan (CQIP). This may be a previous CQIP that is updated or revised.

Classroom Level Documents

Child-level information to verify item 2 and 12 will be reviewed for the seven selected children from each classroom. Some online systems like the Early Learning Scale or Teaching Strategies GOLD may require a secure login. Classroom level documents should include the following:

- **Note:** The daily schedule should be posted in each classroom.
- **#2 Child Files** – Item 2 requires for each child:
 - Child’s name, address and phone number.
 - Birth certificate showing age eligibility.
 - Completed physical exam and immunization record.
 - Vision and hearing screening results.
 - Developmental screening results or IEP.
 - Signed parent/guardian permission form for screening.
 - Copy of referrals for further evaluation if appropriate.

- Documentation of weighted eligibility with multiple risk factors.
- Proof of income documentation for all children. Income not required from families who are documentation of homeless, foster, or undocumented status
- Family demographics along with emergency contact information.
- Behavior support or program transition plan if applicable.
- Names and contact information for child release.
- Home language survey (school districts only).
- **#4/5 Screening Procedures/Screening Instruments/Tools –**
 - Parent/guardian permission form for screening and a blank copy so monitor will know what to look for in files.
 - Parent/guardian interview questionnaire with a blank copy so monitor will know what to look for in files.
 - Documentation of screening and/or IEP, parental interview, and signed parental permission to screen.
 - List of screening instrument(s) used.
- **#6 Weighted Eligibility –** Include weighted eligibility criteria with multiple risk factors, including for those children with IEP's.
- **#10 Lesson Plans –** Must include six weeks of the most current plans.

#12 Portfolios – Documentation includes the following:

Portfolios: Individualized collections must include an anecdotal note and may include work samples, photos, videos, or audio recordings that reflect the IELDS or indicators from the program's research-based assessment tool that is aligned with the IELDS. The samples for each child must demonstrate two benchmarks each for language arts, math, social-emotional, science, social studies, physical, fine arts, and ELL if applicable for each reporting period. At least two types of documentation are needed for each child to accurately represent the two benchmarks for each area and for each reporting period.

- If you are monitored for the fall, you need to document two benchmarks per child in each domain for the fall reporting period.
- If you are monitored in the winter, documentation is needed for two benchmarks per child in each domain for the fall and winter reporting periods.
- If you are monitored in the spring, documentation is needed for two benchmarks per child in each domain for the fall, winter, and spring reporting periods.

Narrative summary: For each child, you need one narrative summary for the year-to-date, not one narrative summary for each reporting period.

Assessments: For item 12, you need a copy of the research-based assessment tool that measures progress over time for the three reporting periods for each of the seven children.

For more information: Please read the compliance checklist and detailed requirements for item 12 documentation.

- **#17 Home Language Survey** – Documentation of home language survey for each child.
- **#18 Screening Results for ELL** – If the home language survey indicates that a child should be screened for English proficiency, please upload the screening results, such as the Pre- IPT.

Note: Item 1: Ratio and Item 20: Services for children with IEPs will be covered in an interview.

Preschool for all Expansion

For programs that are Preschool for All Expansion funded, the following are required:

- **#21 PFAE Hours/District Kindergarten Hours** – Indicate instructional time provided by the first-grade teacher.
- **#22 Meals/ Nutrition Education**
- **#23 Weighted Eligibility Criteria**
- **#24 Recruitment Plan/Outreach**
- **#25 Social-Emotional Model**
- **#26 Sixty-Minute Physical Activity**
- **#27 Community Partnership/Head Start & Social Service**
- **#28 Mental Health, Physical, Dental Screening**
- **#29 Staff Salaries/Training in Screening, Curriculum, Assessment, and Diversity**
- **#30 Instructional Leader Credentials, Expertise/Resume, Caseload, Responsibilities**
- **#31 Family Educator Credentials, Resume, Caseload, Responsibilities**
- **#32 Comprehensive Services/Child Case Notes/Written Plan**
- **#33 Parent Advisory Council** * This item includes member lists, sign-in sheets, agendas, schedules, and family leadership opportunities.
- **#34 Family Education Opportunities**
- **#35 Transition to Kindergarten for Families**
- **#36 Enrollment of Children with Special Needs** – This item includes the percentage of children enrolled with active IEPs or that are currently in the referral process. This should also include documentation of a recruitment, referral, and assessment plan.
- **#37 IEP Services Coordinated with Local Partners** –This item includes a written plan that guides collaboration and coordination of services to children and documents that physical activities provide accommodations for children with special needs.

