



**Illinois**  
**Department of Commerce**  
& Economic Opportunity



**ILLINOIS WORKS**

Department of Commerce & Economic Opportunity (DCEO)

# Illinois Works Pre-Apprenticeship Program

2023 Grantee Manual Session III



**ILLINOIS WORKS**  
Pre-Apprenticeship Program





# Course Overview



This training is the third and final installation of this three-part series that reviews each section of the **2022 Grantee Manual** to ensure grantees can effectively implement their pre-apprenticeship program.

In sessions I and II, we covered sections one through eight in the 2022 Grantee Manual. This webinar is a continuation of the series and will cover the remaining six sections.





# ILW Pre-Apprenticeship Team



- Dr. Norman Ruano, Deputy Director of Illinois Works
- Ms. Christine Flynn, Grant Management Analyst
- Mr. Dan Martinez, Grant Management Analyst
- Dr. Gia Suggs, NIU Training Analyst
- Dr. Vera Lee Robinson, Program Coach





# Course Description

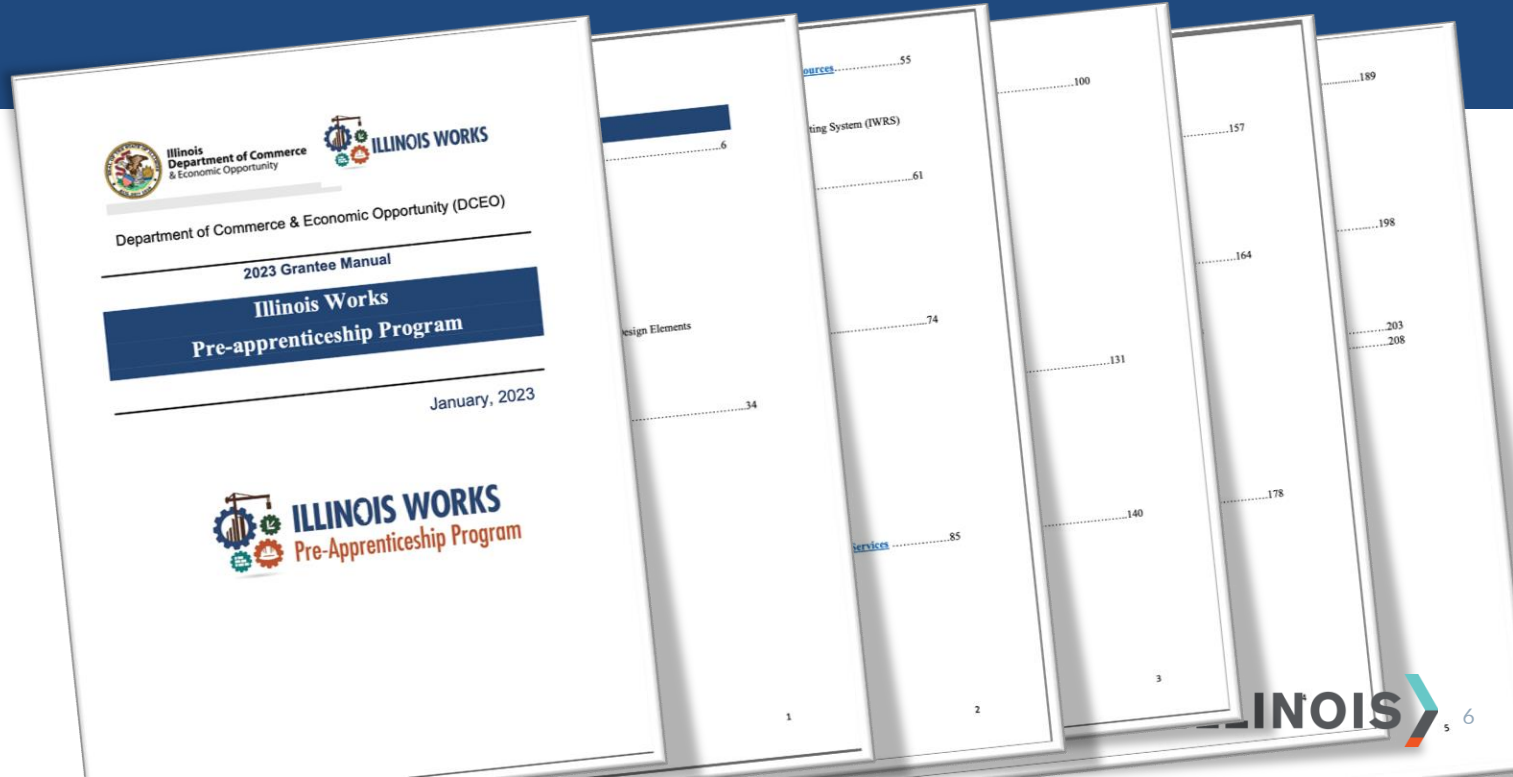


Illinois Works was created as a result of Governor Pritzker's historic \$45 billion capital plan and his commitment to expanding equity in the Illinois' construction workforce. As an Illinois Works grantee, you are now a part of this exciting new initiative that will create opportunities for Illinois residents, businesses, communities, and families. Illinois Works consists of three key programs. The first being the Apprenticeship Initiative. The Illinois Works Pre-Apprenticeship Program is the second program that was implemented. And the Bid Credit Program will debut later this year.

This training is the third of a three-part series that reviews each section of the 2023 Grantee Manual to ensure grantees can effectively implement their pre-apprenticeship program.



# 2023 Grantee Manual



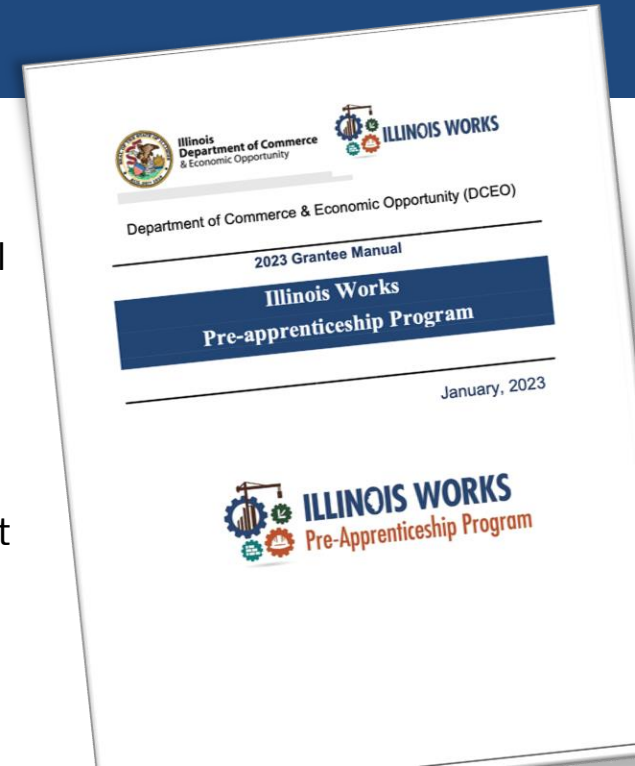


# Course Overview



**2023 Grantee Manual: Session III** will cover the following:

- Section 9: Professional Development / Technical Assistance
- Section 10: Grantee's Data Management
- Section 11: Finances, Records, and Reports
- Section 12: Using Data for Program Management and Improvement
- Section 13: Programmatic Monitoring
- Section 14: Audit Requirements





# Course Objectives

By the end of this training, learners will be able to:

- Describe the strategic role of professional development and technical assistance to support program success.
- Adhere to the guidelines of their program's track.
- Incorporate the ILW data management process into their program processes.
- Enter data from each data category into the IWRS.
- Utilize recordkeeping best practices.







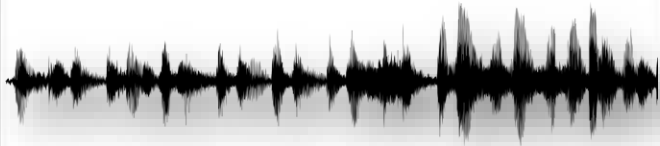
# Course Objectives Cont.

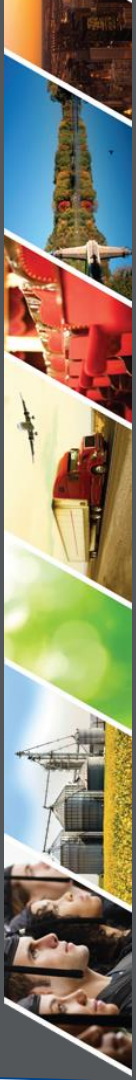
By the end of this training, learners will be able to:

- Maintain participant files.
- Access GATA standard reports.
- Comply with the ILW payment model guidelines.
- Effectively use data to support program management.
- Incorporate a continuous program improvement model.
- Adhere to ILW programmatic monitoring.
- Comply with appropriate audit requirements.



*This Session is Being Recorded*





CEO.ILWorks@Illinois.Gov



# Module 2: Welcome and Introduction

By the end of this section, you will be able to:

- Identify their follow session participants.
- Use the Webex features and functions to fully participate in the training.
- Identify what they hope to learn.





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- Your Name
- Organization/Agency
- Role
- Geographic Location
- Attended Session I, add an asterisk by name, attended I & II, add two asterisk



2023 Grantee Manual Webinar  
III

Introductions





# Webex Tutorial

The screenshot displays a Webex meeting window. At the top, there's a title bar with 'Webex', 'Meeting info', and 'Show menu bar'. The main area shows a grid of six participants. On the left, a sidebar contains 'Feature Planning Meeting' with 'Host: Clarissa Smith', 'Copy meeting link', and 'Invite and remind' buttons. Below that are 'General' and 'Security' tabs, and a 'Meeting link' section with a URL and MTID. At the bottom, a control bar includes icons for Mute, Stop video, Share, Record, and other functions. Red arrows point to the Mute, Stop video, and the bottom-right corner of the control bar.

- Mute/Unmute
- Stop/Start Video
- Raise Hand
- Emojis
- Chat



# Question:

*“Is there anything in particular you are hoping we cover today?”*







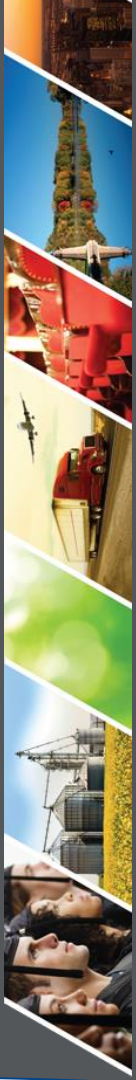
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Comments, feedback, or questions?

Email us at:

[CEO.IllinoisWorks@Illinois.Gov](mailto:CEO.IllinoisWorks@Illinois.Gov)



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# Module 3: Section 9 Professional Development / Technical Assistance



## Section 9: Professional Development and Technical Assistance

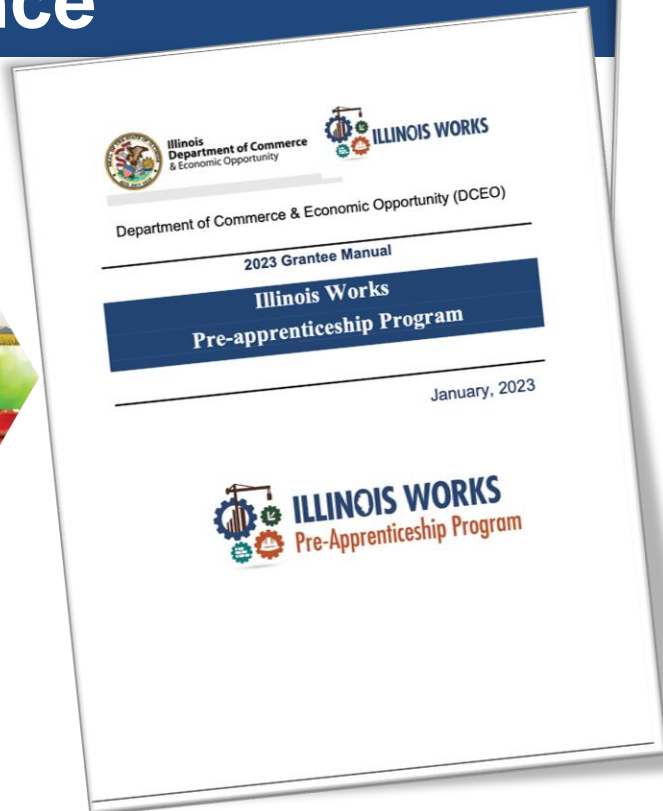
### Section Overview

By the end of Section 9, you will be able to:

- Identify the **professional development opportunities** provided by The Office of Illinois Works. 
- Reference professional development expectations for **Grantees**. 
- Save the dates for the upcoming **professional development** sessions. 
- Ensure internal professional development offerings are responsive to linguistic cultural needs. 



# Section 9: Professional Development/Technical Assistance



<p><b>Section 1:</b> Dep Ove Ben Innc Thre</p> <p>Illin</p> <p>Def Add</p> <p><b>Section 2:</b> Prog Prog Too Illin</p> <p>Div</p> <p>Leg</p> <p>Equ Prog Add</p>	<p><b>Section 3: Partnerships, Provi</b> Program Partnerships and Role Definitions Partner and Provi Tracking Partner I Leveraged Resources Additional Information, L</p> <p><b>Section 4: Outreach and Recru</b> Outreach and Recruitme Effective Outreach Tracking Participa Participant Leads Pre-screen Asses Outreach and Recruitme Outreach and Recruitme Additional Information, L</p> <p><b>Section 5: Program Application</b> Application Process Eligibility Require Program Applicati Referral Sheet Standardized Inter Enrollment Decisi Administrative W Participant Skimm Drug Testing Intake Building Rapport Assessing Particip Additional Information, I</p> <p><b>Section 6: Participant Wrap-Ar</b> Wrap-Around Services Wrap-Around Ser Supporting Participants w Tracking Wrap-around Se Performance-Based Sige Additional Consid Student Support Services Student Support A ADA Requirements</p>	<p>Additional Information, Links, and Documents</p> <p><b>Section 7: Training, Instruction, and Certifications</b> ..... 100 Why Training? Staying in Scope Orientation Orientation Agenda Career Assessment Commitment Agreement Illinois Works Pre-apprenticeship Curriculum Requirements Additional Certifications and Training Considerations Employability Skills Additional Content Considerations Training Modalities Instructional Planning Curriculum Approval Alternate Curriculum Evaluating Instruction Kirkpatrick Model for Training Evaluation Additional Information, Links, and Documents</p> <p><b>Section 8: Program Completion, Transition Services, and Follow Up</b> ..... 131 Program Completion Participant Satisfaction Survey Transition Services Pre-transition Career Assessment Transition Plan Transition Staff Expected Outcomes and Deliverables Follow Up Additional Information, Links, and Documents</p> <p><b>Section 9: Professional Development/Technical Assistance</b> ..... 140 Grantee Training and Professional development Expectations Illinois Works Professional Development Offerings Webinar Sessions Program Coaching Technical Assistance Toolbox Tuesdays Regional Meetings ILW Annual Conference</p>
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# Professional Development/Technical Assistance





# Professional Development





# Professional Development



**Webinar Session**

These can be either trainings or informational sessions facilitated virtual and recorded for future viewing.



**Coaching**

Tailored proactive and preventive one-on-one support, driven by a needs analysis and coaching plan.



**Technical Assistance**

Tailored one-on-one intervention, corrective action, and compliance support, driven by program reports.



**Annual Conference**

Subject matter experts share and exchange ideas, information, experiences, new technologies, theories, etc. to advance the mission of Illinois Works



# Webinar Sessions



**Webinar Session**

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**Annual Conference**

Subject matter experts share and exchange ideas, information, experiences, new technologies, theories, etc. to advance the mission of Illinois Works





# Program Coaching



**Webinar Session**

These can be either trainings or informational sessions facilitated virtual and recorded for future viewing.



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**Technical Assistance**

Tailored one-on-one intervention, corrective action, and compliance support, driven by program reports.



**Annual Conference**

Subject matter experts share and exchange ideas, information, experiences, new technologies, theories, etc. to advance the mission of Illinois Works



# Program Coaching



- Instructional Certifications
- Pre-apprenticeship Lifecycle
- Business Development





# Program Coaching





# Track Designations





# Professional Development and Coaching Plans



- Track 1: Internal Professional Development Plan
- Track 2: Coaching Plan





# ILW Annual Conference



**Webinar Session**

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**Coaching**

Tailored proactive and preventive one-on-one support, driven by a needs analysis and coaching plan.



**Technical Assistance**

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**Annual Conference**

Subject matter experts share and exchange ideas, information, experiences, new technologies, theories, etc. to advance the mission of Illinois Works



# Conference Sessions





# Technical Assistance (TA)



**Webinar Session**

These can be either trainings or informational sessions facilitated virtual and recorded for future viewing.



**Coaching**

Tailored proactive and preventive one-on-one support, driven by a needs analysis and coaching plan.



**Technical Assistance**

Tailored one-on-one intervention, corrective action, and compliance support, driven by program reports.



**Annual Conference**

Subject matter experts share and exchange ideas, information, experiences, new technologies, theories, etc. to advance the mission of Illinois Works





# Program Coaching Verses Technical Assistance

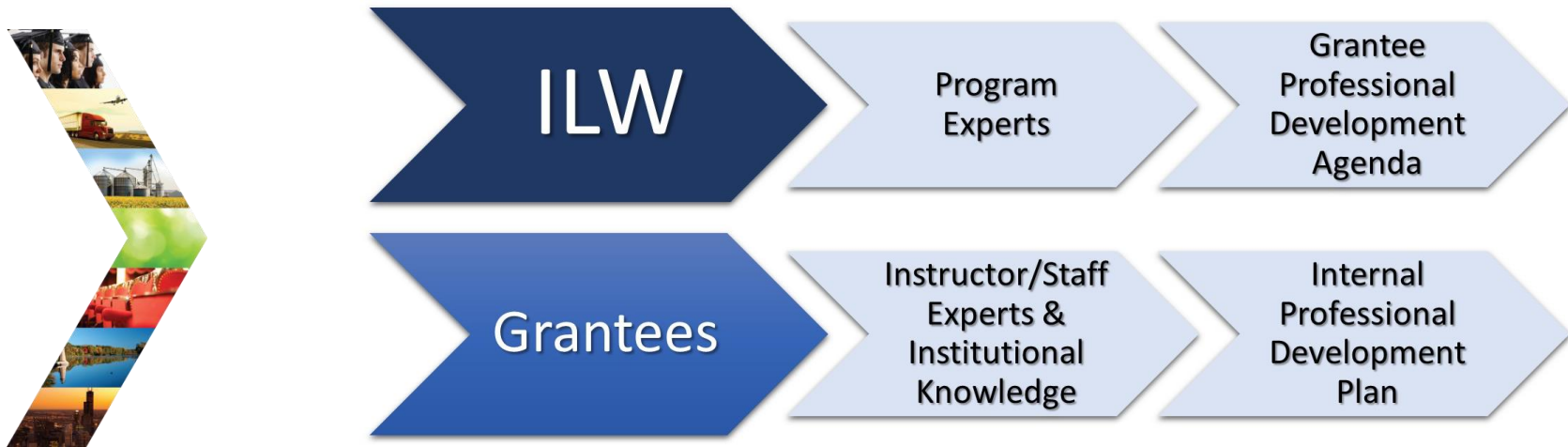


**Table 24: Coaching vs. Technical Assistance**

<b>Coaching</b>	<b>Technical Assistance</b>
<b>Proactive</b>	Responsive/Reactive
<b>Prevention/Mitigation</b>	Intervention/Course Correction
<b>Preemptive Supporting</b>	Troubleshooting/Problem Solving
<b>Driven by Needs Analysis</b>	Driven by Program Reports
<b>Regularly Scheduled</b>	As-needed Basis



# Grantee Internal Professional Development

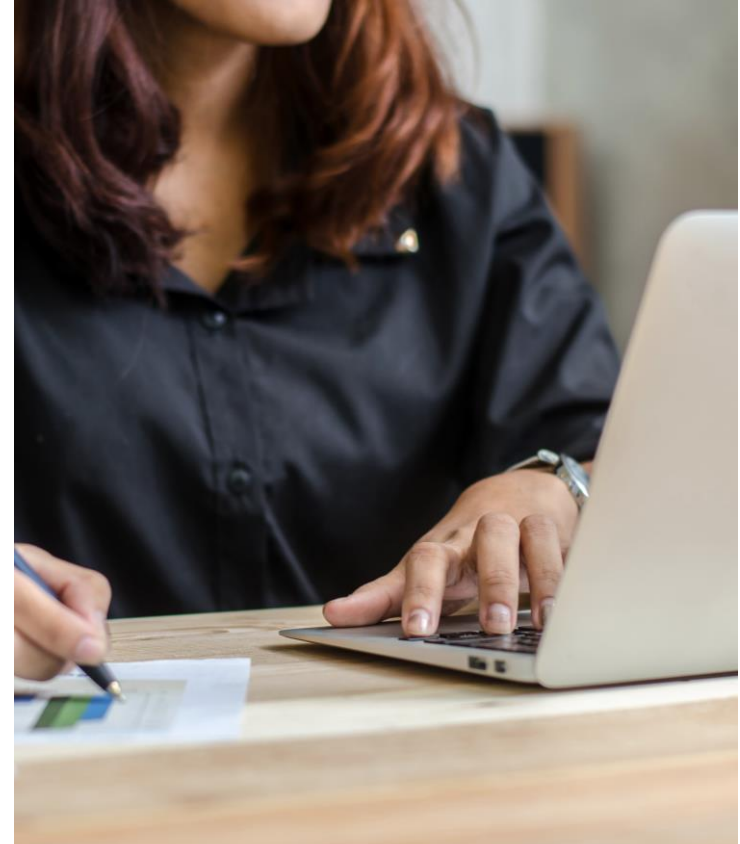




# Internal Professional Development Plan



- Title/Role Expectations
- Professional Development
- Events
- Approved Staff



# Question:



*“What type of professional development opportunities have you planned or are you planning for your staff?”*





# Linguistic and Cultural Skills



## STEP 1

- Refrain from Judgment

## STEP 2

- Clarify Understanding

## STEP 3

- Seek First to Understand

# Question:



*“What are you doing to prepare your staff to respond to linguistic and cultural differences?”*











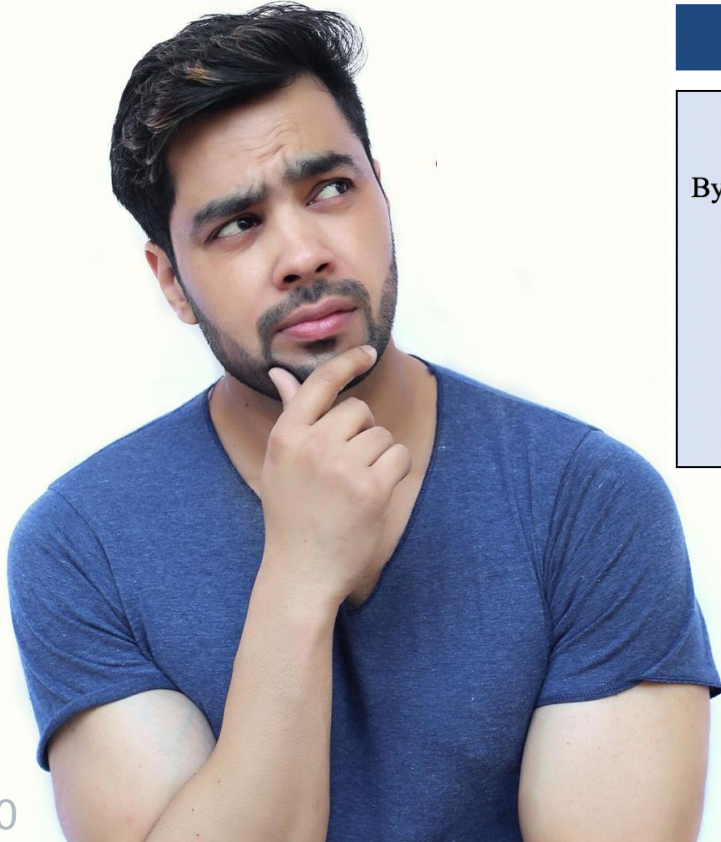
# Module 4: Section 10 Grantee's Data Management

## Section 10: Grantee's Data Management

### Section Overview

By the end of Section 10, you will be able to:

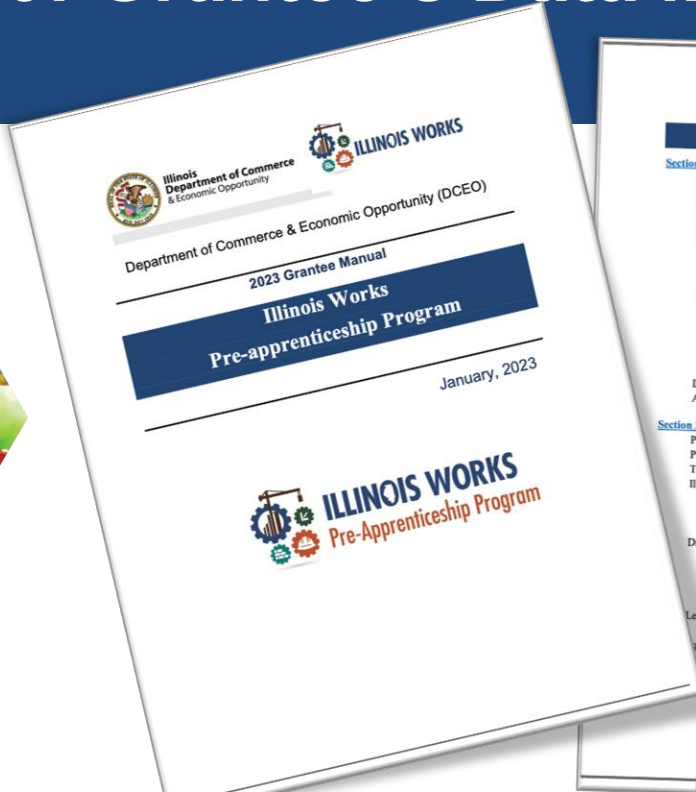
- Articulate the first three steps in the **data management process**. 
- Collect **relevant data for each stage of the Pre-apprentice LifeCycle**. 
- Identify data entry staff. 
- Implement **quality control measures** to ensure data integrity. 







# Section 10: Grantee's Data Management



<b>Section 1: Introduction</b>	Additional Information	
<b>Section 2: Program Overview</b>	<b>Section 3: Partner Roles</b>	
<b>Section 3: Outreach and Recruitment</b>	<b>Section 4: Outreach and Recruitment</b>	
<b>Section 4: Program Application</b>	<b>Section 5: Program Application</b>	
<b>Section 5: Program Evaluation</b>	<b>Section 6: Participant Support</b>	
<b>Section 6: Data Management</b>	<b>Section 7: Training and Professional Development</b>	
<b>Section 7: Financials, Records, and Reports</b>	<b>Section 8: Program Compliance</b>	
<b>Section 8: Using Data for Program Management and Improvement</b>	<b>Section 9: Professional Development</b>	
<b>Section 9: Grantee's Data Management</b>	<b>Section 10: Grantee's Data Management</b>	157
	<b>Section 11: Financials, Records, and Reports</b>	164
	<b>Section 12: Using Data for Program Management and Improvement</b>	178





# Why Is Data Important?



# Question:



*“How is your program currently planning to use data?”*





# Data Management Process





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# Data Entry Coordinator (DEC)



# Question:



*“Have you identified a Data Entry Coordinator (DEC)?”*





# Categories of Data



- Grantee actions
- Participant actions
- Financials





# Pre-Apprentice LifeCycle







# Data Entry

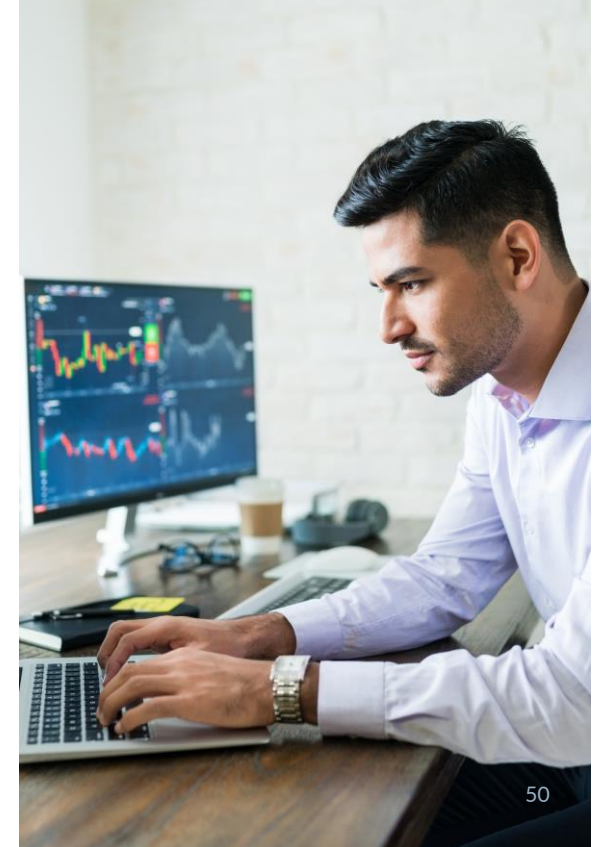
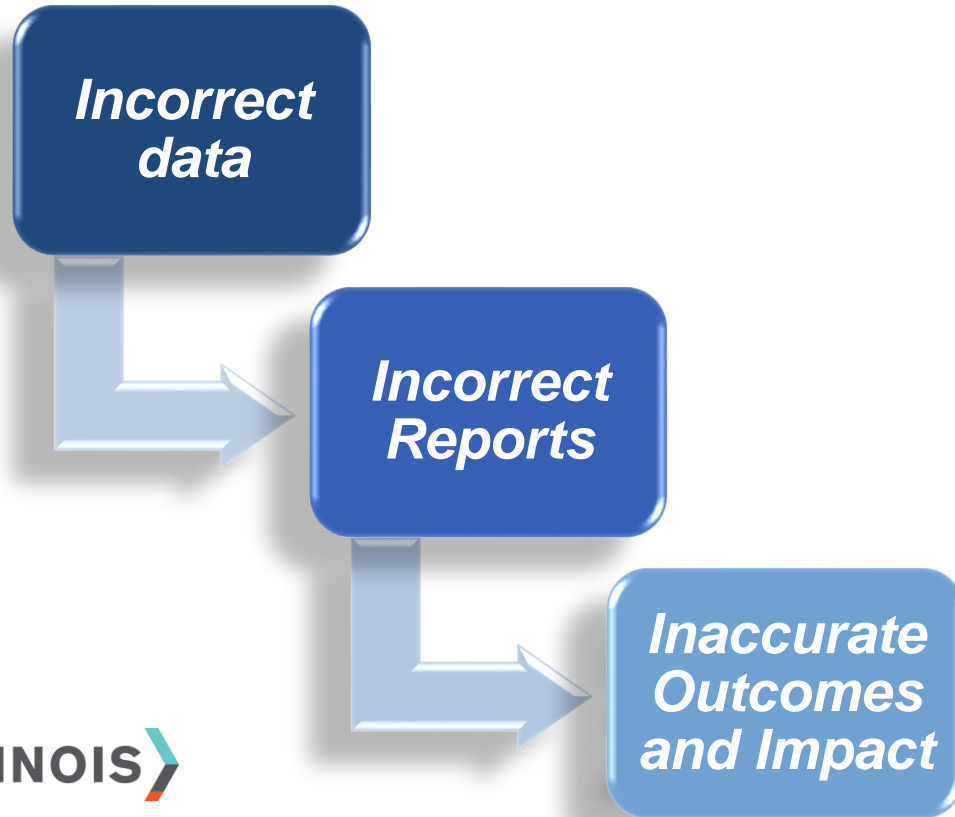


While **data collection** is focused on sources of information, **data entry** is where grantees demonstrate their progress and that of their participants.





# Data Entry





# Illinois workNet



## STATE OF ILLINOIS WORKFORCE PORTAL



### Employer

Explore resources, connect to job seekers, & register to receive personalized services to help your business recover, expand, & grow.

[Explore Resources >](#)

[Set Up Virtual Job Fair >](#)

### Job Seeker

Explore virtual job fairs, resources, available services, & register to receive alerts to the latest info on finding a job.

[Explore Resources >](#)

[Layoff Assistance >](#)

### Virtual Job Fair

Explore virtual job fair resources and opportunities or get access to assistance to easily set up your own virtual job fair.

[Set Up Virtual Job Fair >](#)

[Search Virtual Job Fairs >](#)

### Training & Services

Find training programs as well as local work support services to develop skills for high demand roles.

[Find Training >](#)

[Find Local Services >](#)





# Section 11: Records and Reports



## Section 11: Finances, Records, and Reports

### Section Overview

By the end of Section 11, you will be able to:

- Differentiate between **reporting and recordkeeping**.
- Reference tips for file organization and maintenance.
- Utilize the **Participant File Checklist** to collect and maintain required documents.
- Comply with **Grant Accountability and Transparency Act (GATA)** requirements.
- Accurately and timely submit required standardized GATA reports tied to grant agreement.
- Utilize the **Periodic Financial Report (PFR)** to submit monthly expenses.
- Understand how the **ILW performance-based payment model** was designed and is applied to grant reimbursement.
- Submit a **Performance-based Payment Appeal Form**
- Determine the appropriate use of funds, how to request an **advance or budget modification**, and how to **establish a procurement policy**.



# Section 11: Finances, Records, and Reports



<b>Section 1:</b>	Additional Info	
<b>Section 2:</b>	<b>Section 3: Partner</b>	
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	Regional	
	ILW An	
	<b>Section 10: Grantee's Data Management</b>	
	Why Is Data Important?	
	Data Management Process	
	Data Collection	
	Data Entry	
	Quality Control	
	Illinois Works Reporting System (IWRSS)	
	Additional Information, Links, and Documents	
	<b>Section 11: Finances, Records, and Reports</b>	164
	Recordkeeping vs. Reporting	
	Participant Records and Files	
	Participant File Organization and Maintenance	
	Other Illinois Works Reporting	
	Grant Accountability and Transparency Act (GATA) Requirements	
	GATA Standardized Reports	
	The Appropriate Use of Funds	
	Advances	
	Allowable Costs	
	Budget Modifications	
	Procurement Policy	
	Performance-Based Payment Model	
	Funding Benchmarks and Funding Formula	
	Performance-based Payment Appeal	
	Additional Information, Links, and Documents	
	<b>Section 12: Using Data for Program Management and Improvement</b>	178
	Illinois Works' Continuous Program Improvement Model	
	Program Performance and Measure Outcomes	
	Benchmark Performance Outcomes Against Program Goals	
	Brainstorming Strategies for Improvement	
	Implement New Strategies/Program Improvement Plan	
	Program Evaluation	
	Longitudinal Study	
	Role of Grantee	
	Additional Information, Links, and Documents	



# Recordkeeping vs. Reporting

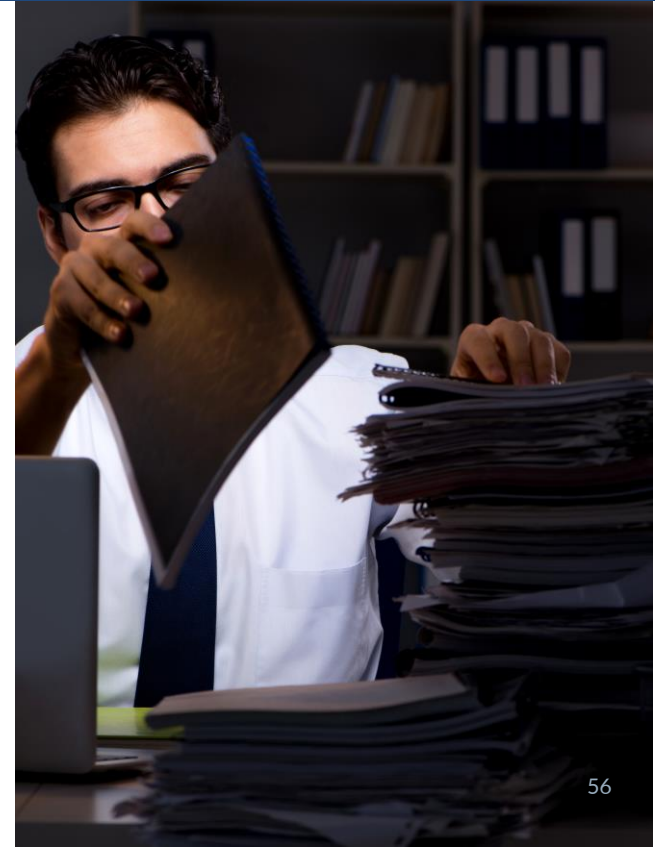




# Recordkeeping vs. Reporting



- Documentation of completed work
- Program planning
- Program operations
- Program evaluation
- Ongoing monitoring/Self-assessment
- Continuous improvement
- Communication
- Knowledge transfer
- Institutional memory
- Legal issues
- Risk management
- Leadership continuity





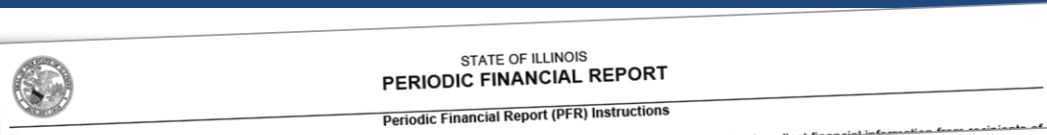


# Participant Records and Files





# Periodic Performance Report (PPR)



The Periodic Financial Report (PFR) is a standard, uniform statewide state grant awards. Unless statutorily exempt as documented in the subject to periodic financial reporting.

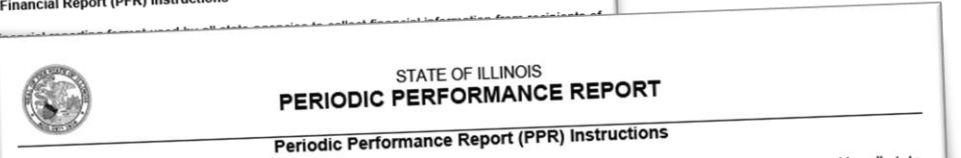
General instructions for completing the PFR are contained below. P agency's point of contact specified in the "State Agency Contacts" section.

**Report Submission**

- The grantee must submit the PFR and any forms required by to or supplement the PFR as necessary.
- The PFR must be submitted to the attention of the state agency with the requirements established in the award document.

**Reporting Requirements**

- Unless statutorily exempt as documented in the Catalog of State with the terms established in the UGA.
- The Category / Program Expenses or line items of the PFR to be included in the approved budget should be included in the PFR.
- Use "N/A" for Not Applicable if a data field in Sections (a) through field is relevant.
- The frequency of the PFR is specified in the Notice of Funding approval will be considered "late" if it is more than 15 calendar approved extensions.)
- Under the terms of the Grant Funds Recovery Act (30 ILCS 7 requirement reports." If the report is more than 30 calendar days the Illinois Stop Payment List. (Refer to the Grantee Compliance <https://www.illinois.gov/sites/GATA/Pages/ResourceLibrary.aspx>



The Periodic Performance Report (PPR) is a standard, uniform statewide performance progress reporting format used by all state agencies to collect performance information from recipients of state grant awards. Unless statutorily exempt as documented in the Catalog of State Financial Assistance and the Grant Agreement (UGA), all grant awards are subject to periodic performance reporting.

General instructions for completing the PPR are contained below. **PLEASE READ ALL INSTRUCTIONS BEFORE COMPLETING THE PPR.** Please contact the state agency's points of contact specified in the "State Agency Contacts" section of your UGA if additional support is needed completing the PPR.

If the UGA specifies an alternative file or external database for grant performance reporting, the grantee should mark the shaded box in the PPR accordingly. In the *File Name or Database Source* field, enter the name of the alternative file or database utilized. The grantee is not required to complete Sections 14 - 22 if the information is provided in an alternative format specified in the UGA.

**Report Submission**

- The grantee must submit the PPR cover page and any forms required by the awarding state agency as specified in the UGA.
- The PPR must be submitted to the attention of the state agency's points of contact specified in the "State Agency Contacts" section of your UGA in accordance with the requirements established in the award document.
- If additional space is needed to support the PPR, supplemental pages should be attached. As indicated on the PPR, responses to Sections 14 - 22 may be provided in a separate format. If additional pages are provided, the pages should be numbered and must reference:
  - Grant number
  - Grantee organization
  - DIINS number



# The Appropriate Use of Funds



**Funds** must be used for the purpose of implementing the Illinois Works Pre-apprenticeship.

**Budget modifications** must be approved by the ILW Deputy Director Grantee Manager.



# Question:

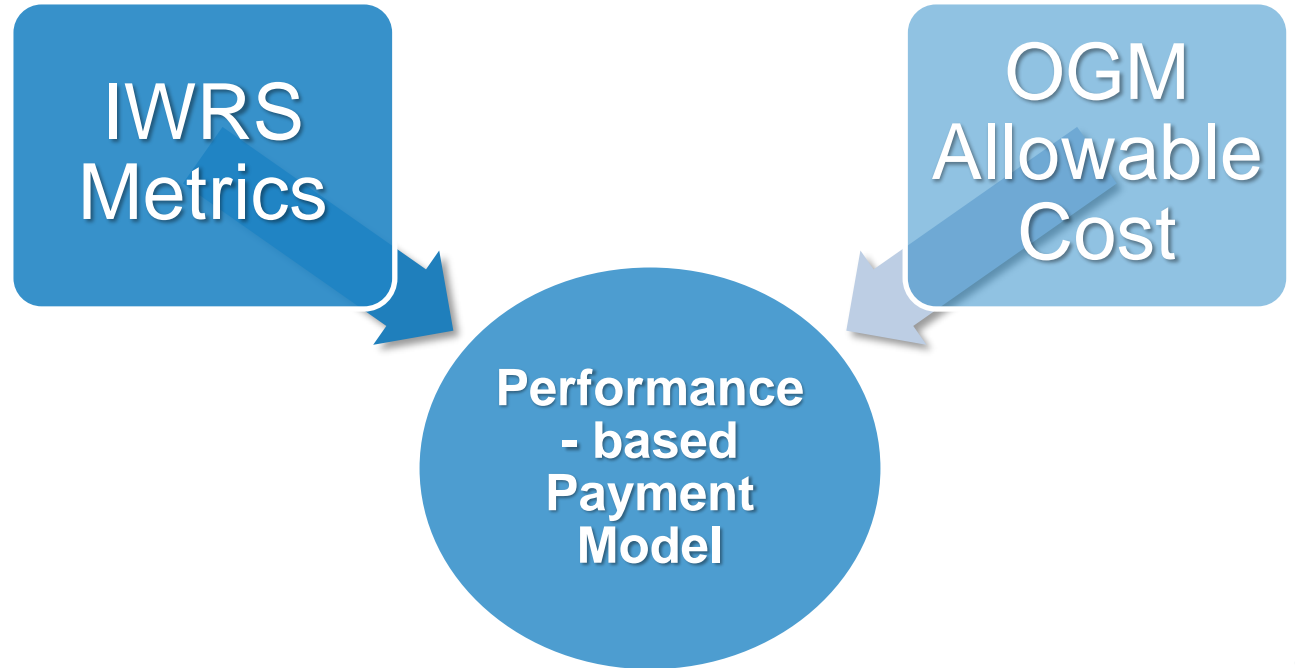


*“Who has previously managed a performance-based grant?”*





# Performance-Based Payment Model





# Key Aspects



- If grantees exceed their metrics, they can earn funding beyond their initial grant award.
- Due to live, real-time, reporting through the Illinois Works Reporting System (IWRS), DCEO will make disbursements on a monthly basis.
- Grantees have the right to appeal to ILW if a grantee believes that they missed their outcome metrics due to variables outside of their control.





# Funding Benchmarks

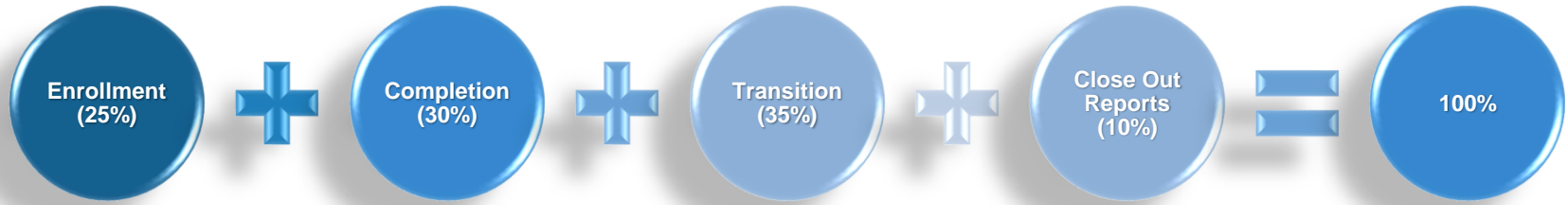


- Enrollment
- Completion
- Transition
- Close out reports





# Funding Formula







# Monthly Outcome Reviews and Fund Disbursement



**Example 1a: Per participant allotment**

**Enrollment goal: 25 participants; Enrollment amount: \$100,000**

**$\$100,000/25 \text{ participants} = \$4,000 \text{ per participant allotment}$**



# Monthly Compliance Reviews



At the end of each month, the ILW Grant Manager will check each grantee's outcome metrics and based on the organization's progress toward their goal will alert OGM of the maximum amount available for reimbursement.



# Monthly Reimbursements





# Performance-based Payment Appeal

ILW allows grantees to request an advance on a portion of their grant award. These advances can be up to 10% of the overall grant award.

To request a grant advance, the grantee must email a formal letter on organization letterhead to their assigned ILW Grant Manager no later than the second Friday of January. This letter must outline the advance request and the amount being requested.







# Section 12: Using Data for Program Management and Continuous Improvement



## Section 12: Using Data for Program Management and Continuous Improvement

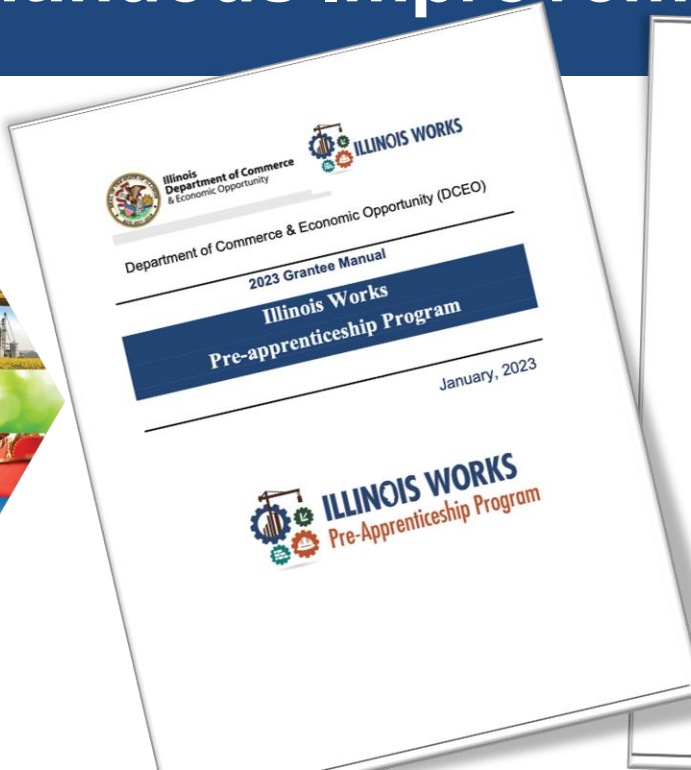
### Section Overview

By the end of Section 12, you will be able to:

- Understand Illinois the Works **Continuous Program Improvement Model**.
- Utilize the **Program Improvement Plan** template to execute continuous improvement for your program.
- Apply each step in the **performance management process**.
- Identify different approaches for **pre-apprenticeship program evaluation**.
- Ensure all participants take the **Participant Satisfaction Survey** and learn how to utilize the results of the survey to strengthen your program.



# Section 12: Using Data for Program Management and Continuous Improvement



Section 1: Introduction	Additional Information	Section 7: Training, Instruction, and Orientation	Grantee Internal Professional Development Linguistic and Cultural Skills in Professional Development Additional Information, Links, and Documents	
Section 2: Program Design and Development	Section 3: Partner Roles and Responsibilities	Section 8: Program Completion and Transition	Section 10: Grantee's Data Management	157
Section 4: Outreach and Recruitment	Section 5: Program Application and Eligibility	Section 9: Professional Development	Why Is Data Important? Data Management Process Data Collection Data Entry Quality Control Illinois Works Reporting System (IWRSS) Additional Information, Links, and Documents	
Section 6: Participant Support and Wrap-Around	Section 6: Participant Support and Wrap-Around	Section 11: Finance, Records, and Reports	Recordkeeping vs. Reporting Participant Records and Files Participant File Organization and Maintenance Other Illinois Works Reporting Grant Accountability and Transparency Act (GATA) Requirements GATA Standardized Reports The Appropriate Use of Funds Advances Allowable Costs Budget Modifications Procurement Policy Performance-Based Payment Model Funding Benchmarks and Funding Formula Performance-based Payment Appeal Additional Information, Links, and Documents	164
Section 7: Program Evaluation and Continuous Improvement	Section 7: Program Evaluation and Continuous Improvement	Section 12: Using Data for Program Management and Improvement	Illinois Works' Continuous Program Improvement Model Program Performance and Measure Outcomes Benchmark Performance Outcomes Against Program Goals Brainstorming Strategies for Improvement Implement New Strategies/Program Improvement Plan Program Evaluation Longitudinal Study Role of Grantee Additional Information, Links, and Documents	178



# Pre-Apprentice LifeCycle







# Program Improvement Plan



# Question:



*“How has your program previously used continuous program improvement models?”*





# Continuous Program Improvement Model



# Question:

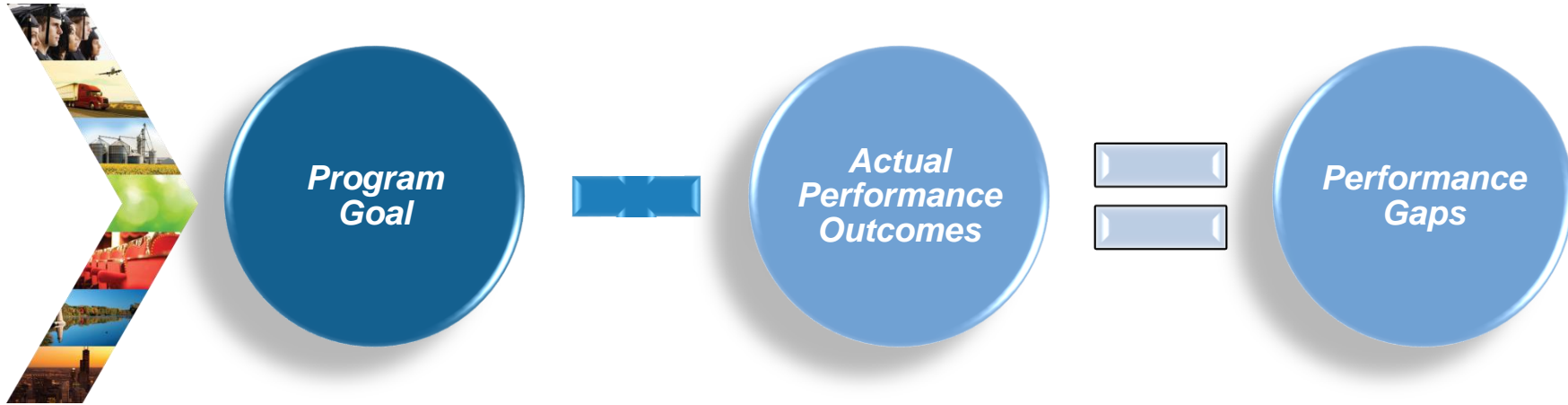


*“What techniques do you use to generate new/innovative ideas to support program success?”*





# Performance Gaps





# Programmatic Dashboard



- Red Flags
- Intake
- Participant Engagement
- Earned Credentials
- Completion Information
- Pre-Apprenticeship Program Completion /Transitional Services
- Provider and Employer/Sponsor Relationships





# Follow-up Dashboard



- Post-Program Active Tracking
- Long-term Tracking





# Key Outcome Metrics



- At least 85% of individuals enrolled will successfully complete the pre-apprenticeship training program
- At least 70% of individuals enrolled will be hired and enroll in a DOL-registered apprenticeship program





# Current Standing



- Not Meeting Expectation
- Meeting Expectations
- Exceeding Expectations





# Participation Satisfaction Survey



- Excellence
- Good
- Average
- Poor
- Very Poor



# Program Evaluation



- Implementation Studies
- Outcome Studies
- Impact Studies

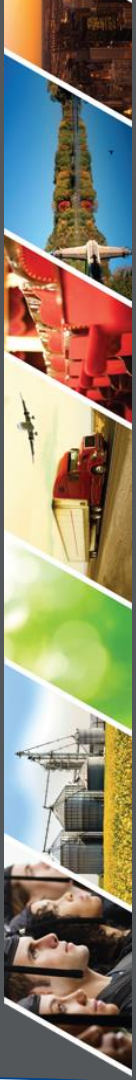




# Longitudinal Study



- Prepared pre-apprentices for entry into construction and the building trades;
- Increased the entry of women, people of color, and veterans into construction and building trades apprenticeships; and
- Increased the likelihood that women, people of color, and veteran apprentices will complete apprenticeships in construction and the building trades.



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# Section 13: Programmatic Monitoring



## Section 13: Programmatic Monitoring

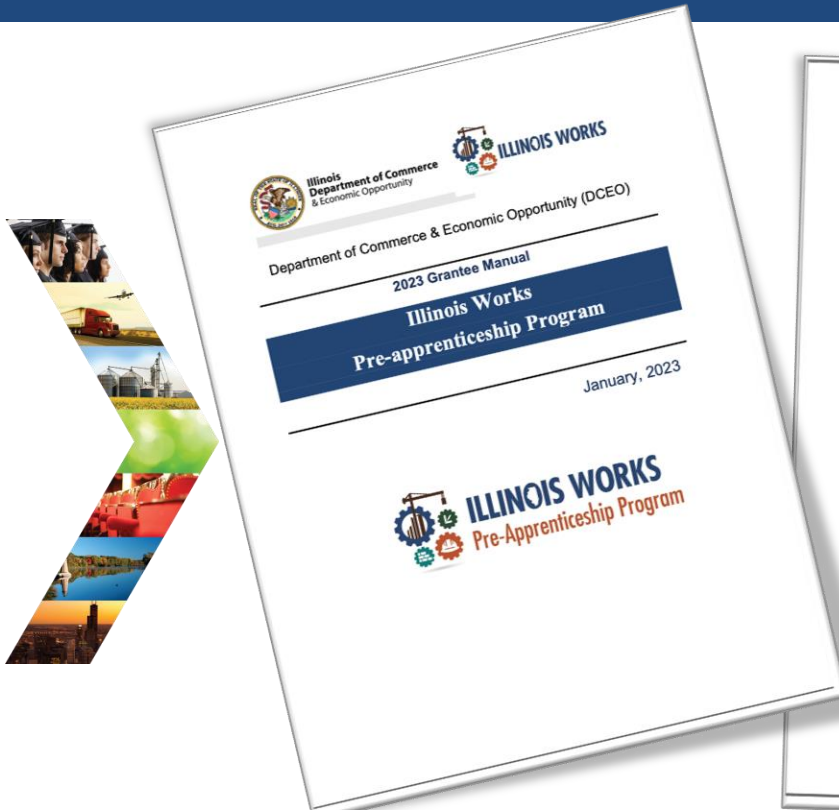
### Section Overview

By the end of Section 13, you will be able to:

- Describe the importance of **program monitoring**.
- Adhere to the Illinois Works **compliance review process**.
- Understand **two-level verification** for completion and transition metrics.
- Navigate the **grant renewal process and carryover credits**.
- Respond to the **progressive corrective action process**.
- Create and implement **corrective action plans** to get off the watch list and probation status and return to program compliance.
- Attend **Quarterly Administrator Meetings** to learn about network updates and provide feedback on programmatic progress.



# Section 13: Programmatic Monitoring



Section 3: Part	Additional	Grantee Internal Professional Development
Section 4: Out	Section 7: Train	Section 13: Programmatic Monitoring
Section 5: Prog	Section 10: Grant	Section 14: Audit Requirements
Section 6: Part	Section 11: Finan	References
Section 9: Profes	Section 12: Usin	Appendix
Section 10: Grant	Section 13: Programmatic Monitoring	
Section 11: Finan	Section 14: Audit Requirements	
Section 12: Usin	References	
Section 13: Programmatic Monitoring	Appendix	
Section 14: Audit Requirements		
References		
Appendix		



# Program Monitoring





# Question:



*“What safeguards has your program put in place to ensure compliance?”*

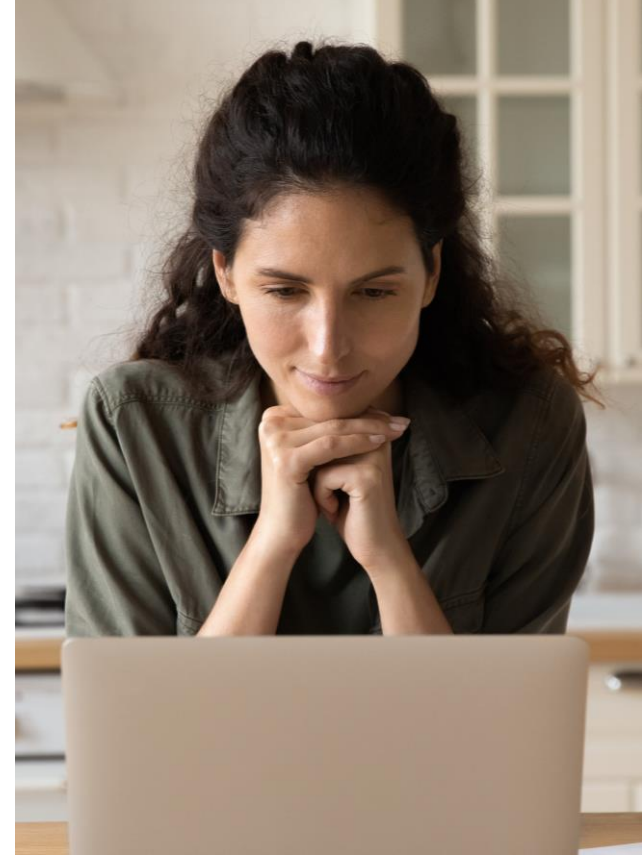




# Completion and Transition Verification



- Preliminary Verification
- Final Verification





# Third Party Documentation





# Communicating Compliance Ratings and Findings



- Monthly Compliance Progress Report
- Monthly Compliance Payment Worksheet



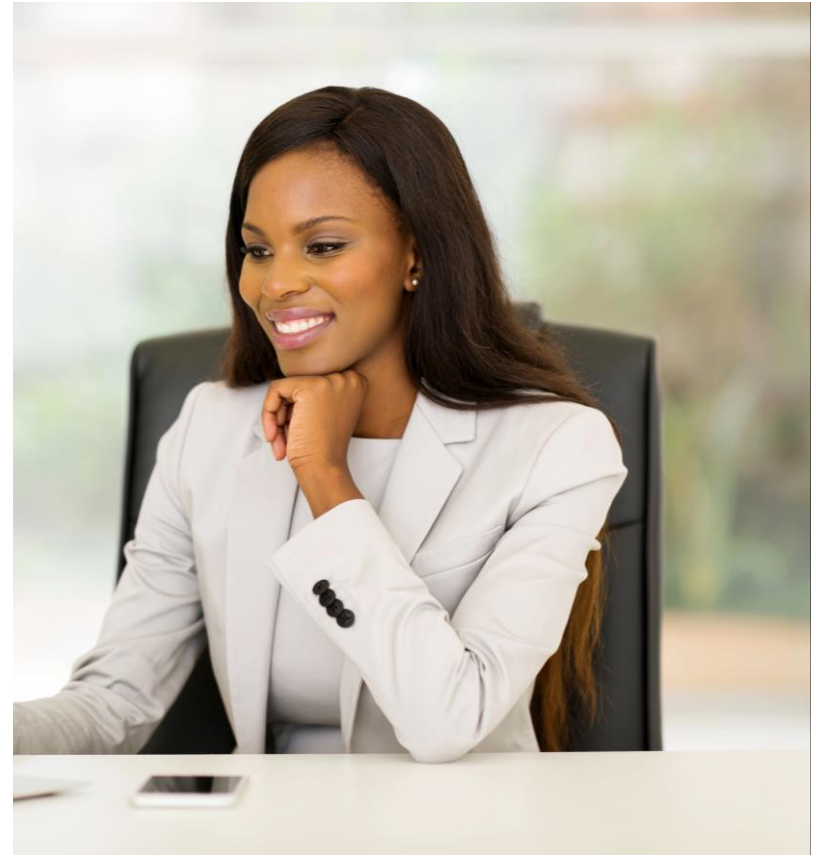


# Grantee Renewal Process



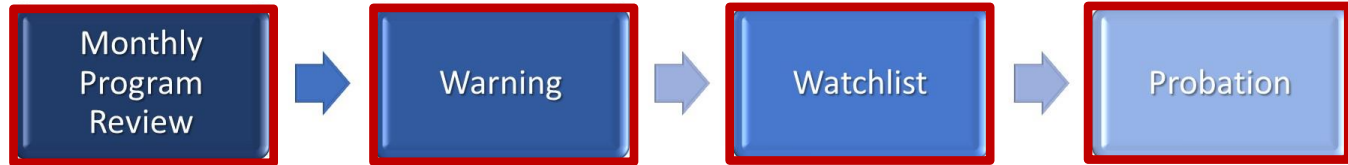


# Carryover Credit





# Progressive Corrective Action





# Quarterly Administrator Meetings

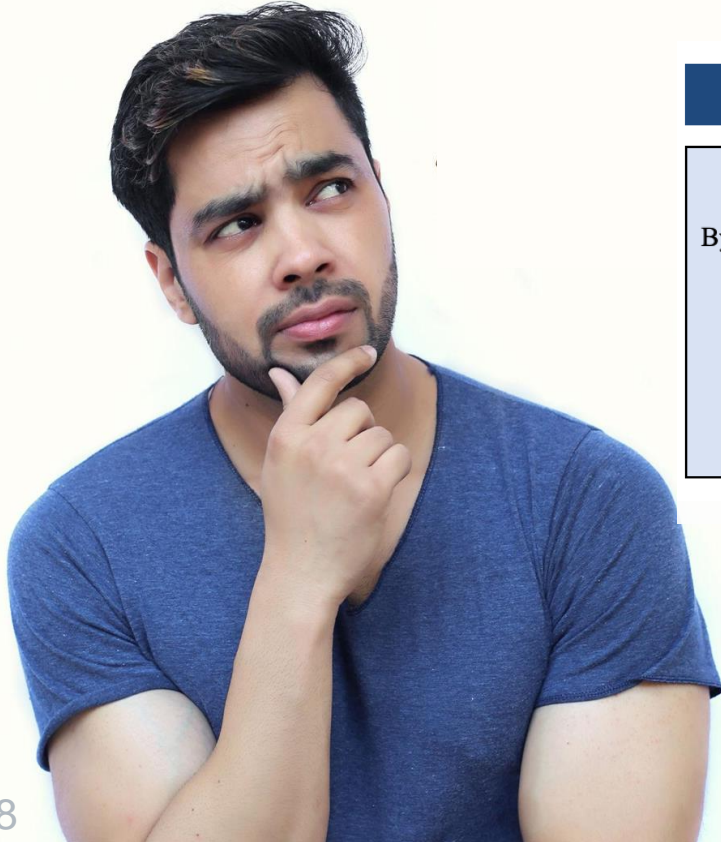








# Section 14: Audit Requirements



## Section 14: Audit Requirements

### Section Overview

By the end of Section 14, you will be able to:

- Articulate **GATA, 2 CFR 200, and the Illinois Administrative Code.**
- Articulate **audit types.**
- Understand **audit submission** requirements.





# Section 14: Audit Requirements



<a href="#">Section 3: Part</a>	Additional		
<a href="#">Section 4: Out</a>	Leverage	Why Train	Grantee Internal Professional Development
<a href="#">Section 5: Prog</a>	Additional	Orientation	
<a href="#">Section 6: Part</a>	Outreach	Illinois W	
<a href="#">Section 7: Train</a>	Outreach	Re	
<a href="#">Section 8: Progra</a>	Additional	Ad	
<a href="#">Section 9: Profes</a>	Support	En	
<a href="#">Section 10: Grant</a>	Tracking	Ad	
<a href="#">Section 11: Finan</a>	Perform	Illinois W	
<a href="#">Section 12: Usin</a>	Additional	Additional	
<a href="#">Section 13: Programmatic Monitoring</a>	Program Monitoring	Ins	
<a href="#">Section 14: Audit Requirements</a>	Compliance Review	Recordkeep	
<a href="#">References</a>	Monthly Compliance Review	Participati	
<a href="#">Appendix</a>	Grantee Renewal Process	Evaluating	
	Carryover Credit	Key	
	Progressive Corrective Action	Additional	
	Quarterly Administrator Meetings	Program C	
	Additional Information, Links, and Documents	Par	
		Transition	
		Pre	
		Tr	
		Tr	
		Ex	
		Follow Up	
		Additional	
		Wrap-A	
		Support	
		Tracking	
		Perform	
		Student	
		ADA Re	





# Audit Types

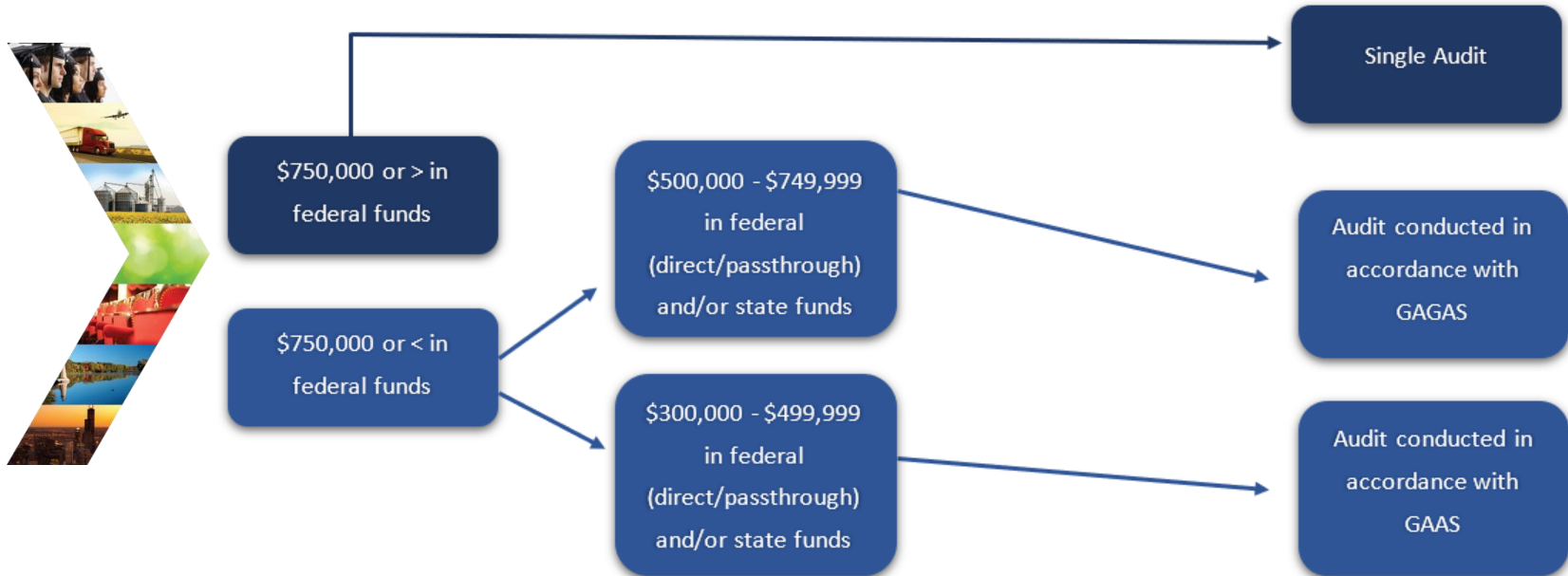


- Single Audit
- Audit Conducted in Accordance with GAGAS  
(between 500,000 - 749,999)
- Audit Conducted in Accordance with GAAS  
(between 300,000 - 499,999)





# Audit





# Audit Reporting Documentation



- Single Audit Reporting Package
- Financial Statement Audit
- Audit Not Required and No Audit Conducted



# Question:

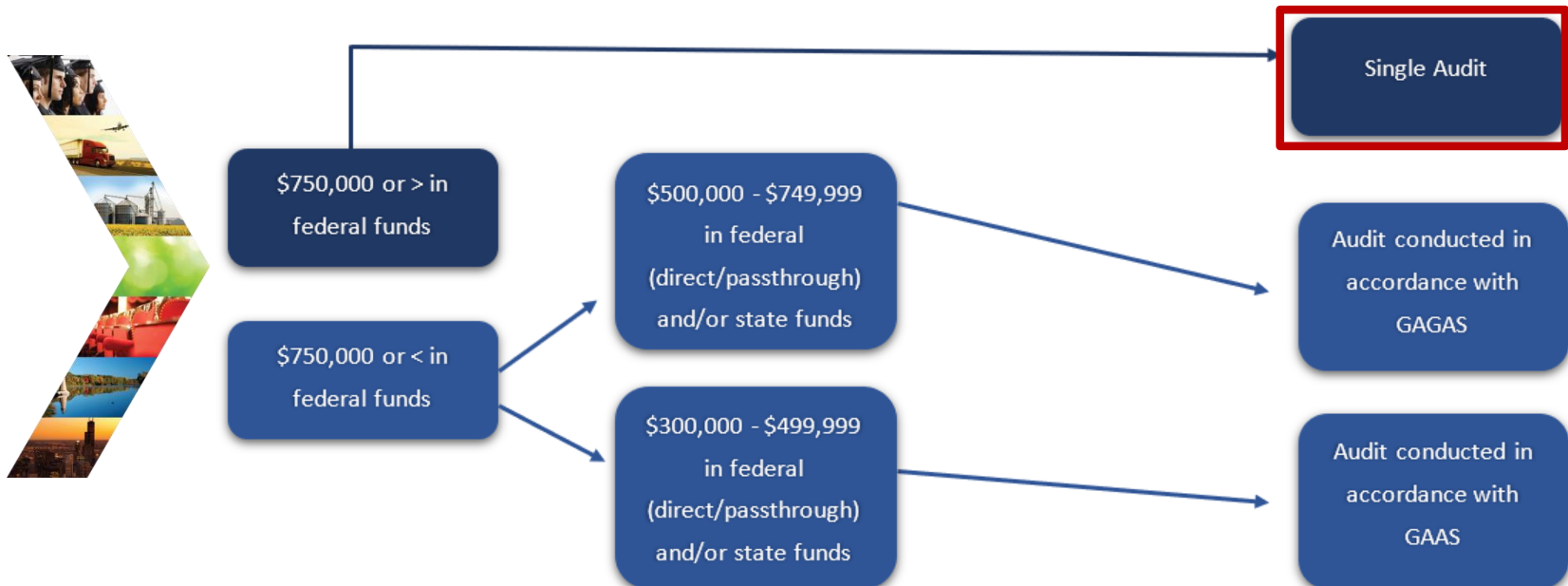


*“Which is your audit type?”*





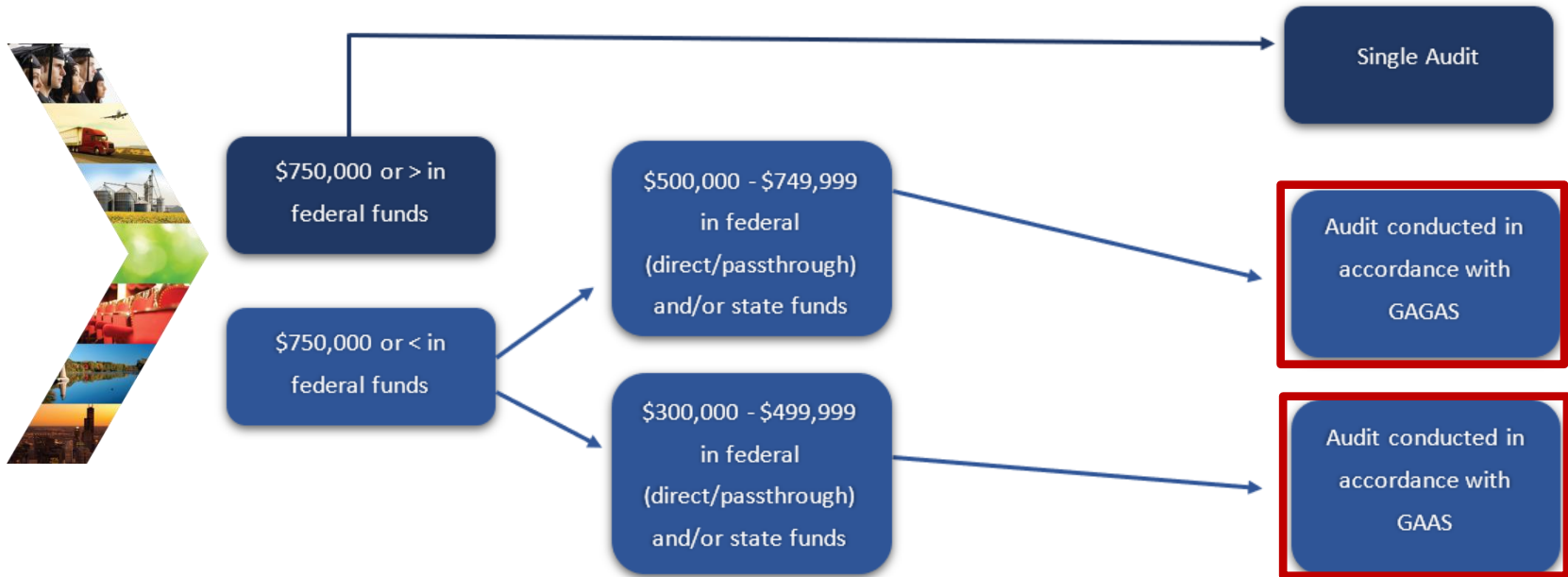
# Single Audit Reporting Package







# Financial Statement Audit





# Audit Not Required and No Audit Conducted



For grantees that are not required to complete an audit because the previous criteria discussed does not apply, grantees must still submit the following document(s):

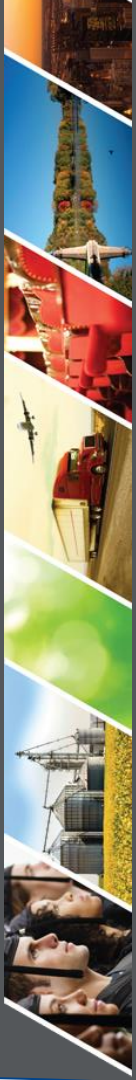
- Consolidated Year End Financial Report (due 30 days after completion but no later than six (6) months after the end of the grantee's fiscal year-end)





# Audit Submission





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# Feedback ~ We want to hear from you



# Thank You!



**Illinois**  
**Department of Commerce**  
& Economic Opportunity  
JB Pritzker, Governor

