



# Improvement Plan: Compliance Component

*Natasha Ewing, Office of Community Schools*

# Review: Compliance Component

Establish  
outcomes

5 step  
process

Overview  
of  
compliance  
component

Develop  
the QIP

Review  
the QIP  
template

Examples

# Compliance Outcomes

- Understand the **five-step process**
- Understand how to **complete the QIP template** for compliance
- Understand **steps to improve oversight and monitoring** of Compliance with **ALL** Laws and Rules



# 5 Step Development Process for QIP

Development

Implementation Plan

Monitoring

Evaluation

Analysis

# What is compliance?

# Compliance Requirements



Community school sponsors are required to comply with **ALL** laws and administrative rules.

The department is required to implement an evaluation system and rate the sponsor's compliance with all laws and administrative rules.

**How does a sponsor  
comply with all laws and  
administrative rules?**

# Sponsor compliance consist of two parts:



**Complying** with all laws and rules that relate to sponsors, and



**Overseeing** and **monitoring** the compliance of your schools

# What laws and administrative rules apply to community school sponsors?

Review ORC 3314  
and OAC 3301-102

- Familiarize yourself with the **ENTIRE** chapters

**What type of oversight is  
required of schools?**

# ORC 3314.023 Monitoring, oversight, and technical assistance; school closure.



A sponsor shall provide monitoring, oversight and technical assistance to **each** school that it sponsors

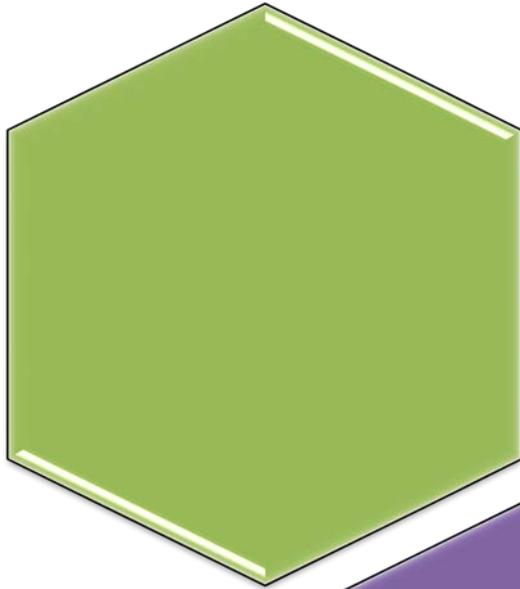
# ORC 3314.023 Monitoring, oversight, and technical assistance; school closure.

Review the financial  
and enrollment records  
of the school **at least  
once every month**



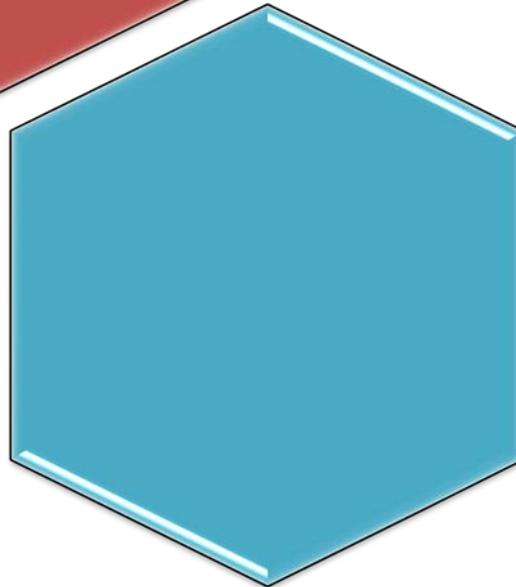
**Did you have a school close?**

# School Closure



Prior to 7/1/17 – Did you submit fully completed closing assurance?

Between 7/1/17 – 7/1/1- You are responsible!



**“Monitoring, oversight,  
and technical  
assistance” includes the  
following:**

# 3314.023

(A) **Monitoring** the community school's **compliance** with **all laws** applicable to the school and with the **terms** of the contract;

# 3314.023

**(B) Monitoring and evaluating the academic and fiscal performance and the organization and operation of the community school on at least an annual basis.**

# 3314.023

**(C) Reporting on an annual basis the results of the evaluation conducted under division (D)(2) of section [3314.03](#) of the Revised Code to the department of education and to the parents of students enrolled in the community school;**

# 3314.023

**(D) Providing technical assistance**  
to the community school in complying  
with laws applicable to the school and  
terms of the contract;

# 3314.023

(E) Taking steps to **intervene** in the school's operation **to correct problems** in the school's overall performance, **declaring** the school to be on probationary status pursuant to section [3314.073](#) of the Revised Code, **suspending the operation** of the school pursuant to section [3314.072](#) of the Revised Code, or **terminating the contract** of the school pursuant to section [3314.07](#) of the Revised Code as determined necessary by the sponsor;

# 3314.023

**(F) Having in place a plan of action to be undertaken in the event the community school experiences financial difficulties or closes prior to the end of a school year.**

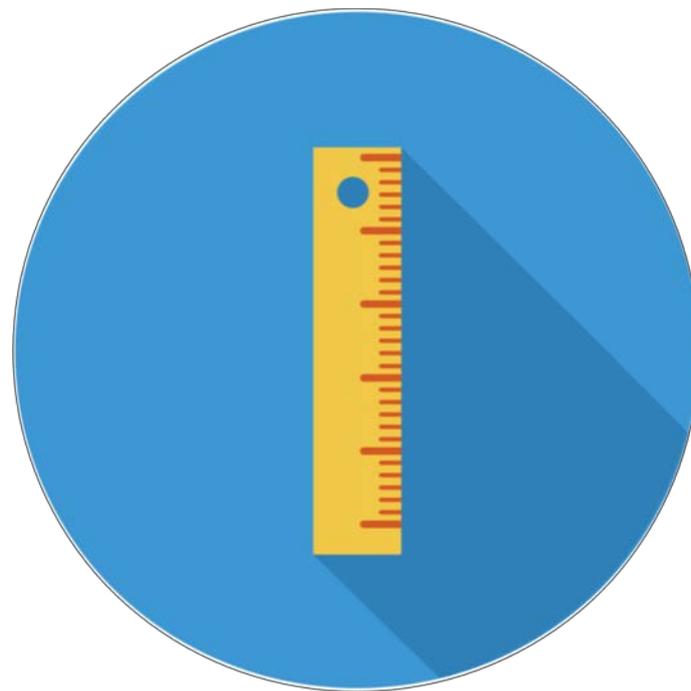
**3314.023**

(G) Other **activities** designed to specifically **benefit the community school** the entity sponsors.

**Where do I start in  
creating an improvement  
plan for compliance?**

# Sponsor Evaluation Results

Use as your sponsor's **baseline performance measure** on each compliance item.



**Target** for each item is **certified compliant.**



Baseline performance measure less than compliant?

A quality improvement plan for specific item focuses on a path towards **compliance.**

# Questions to Consider

---

As the sponsor, are you selling goods or services to your schools?

---

Are you timely uploading the annual assurances? Are they fully completed?

---

Are you reporting special education services and expenditures in EMIS?

---

Are you participating in meetings between the Auditor of State and your schools?



# Questions to Consider



---

What are you doing when a school is not in compliance?

---

What measures do you have in place to determine non-compliance?

---

How often are you reviewing compliance? Weekly, monthly, annually?

---

Is there a calendar from which you are working?

---

Do you regularly meet with the school superintendents and governing board?

# More Areas to Check



---

When are corrective action plans completed or written up? Are they reviewed? What documentation do you have?

---

Are you providing monitoring, oversight, and technical assistance to your schools?

---

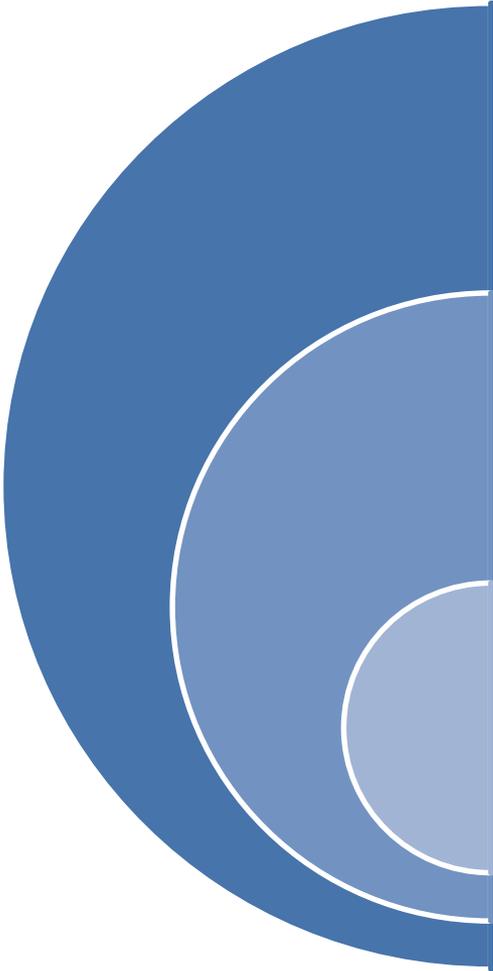
Are you timely reporting and uploading information in Epicenter?

---

Are you following a cross-walk between the quality and compliance?

**How do I complete an  
improvement plan for  
compliance using the  
QIP template?**

# Quality Improvement Plan



Determine **general compliance**

Determine areas where **sponsor** or their **school(s) were not compliant**

Review **previous QIP plan** and/or **corrective action plan** submitted (if applicable)

Plan Line Number	Performance Component	Performance Measure/ Standard	Exemplary Standard	S.M.A.R.T. Improvement Goal	Strategy
<i>Number plan lines consecutively</i>	<i>Enter the applicable Performance Component(s) (i.e. Academic, Compliance or Quality)</i>	<i>Enter the name of the applicable Performance Measure, Quality Practices Standard, or Compliance Item(s) with Item Number(s) (List Compliance item numbers only if individual or group of items are being addressed)</i>	<i>Enter the applicable Exemplary Standard from the Quality Practices rubric (for Quality Practices items only)</i>	<i>Enter the sponsor's improvement goal for the listed performance measure or standard. Each goal must be a S.M.A.R.T. (Specific, Measurable, Attainable, Relevant/Realistic and Time-Bound) goal.</i>	<i>Enter the strategy the sponsor will take to meet the stated Improvement Goal.</i>

Action Step(s)		Person(s) Responsible	Estimated Date of Completion	Documentation / Evidence of Completion
Year 1	Year 2			
<i>Enter the action steps the sponsor will take by June 30, 2018 to meet the stated Improvement Goal. Include the timeline for each action step. Note: The majority of action steps must occur by June 30, 2018.</i>	<i>Enter the action steps the sponsor will take between July 1, 2018 and June 30, 2019 to meet the stated Improvement Goal. Include the timeline for each action step.</i>	<i>Enter the name and/or role of the person(s) responsible for meeting the stated improvement goal</i>	<i>Enter the estimated date on which the stated improvement goal will be met</i>	<i>Describe the documentation that will be used as evidence of completion of the stated improvement goal and individual action steps</i>

March 2018 Progress Report	May 2018 Progress Report
<i>Describe the progress made toward meeting the stated improvement goal, as of March 30, 2018. This progress report must be uploaded into Epicenter by March 30, 2018.</i>	<i>Describe the progress made toward meeting the stated improvement goal, as of May 31, 2018. This progress report must be uploaded into Epicenter by May 31, 2018.</i>

# Performance Component

<b>Performance Component</b>
<i>Enter the applicable Performance Component(s) (i.e. Academic, Compliance or Quality)</i>

Academic?  
**Compliance?**  
Quality?

# Performance Measure/Standard

Performance Measure/ Standard
<i>Enter the name of the applicable Performance Measure, Quality Practices Standard, or Compliance Item(s) with Item Number(s) (List Compliance item numbers only if individual or group of items are being addressed)</i>

Be specific!  
Identify the **compliance item** by number(s) if addressing individually.

# SMART Improvement Goal

S.M.A.R.T. Improvement Goal
<i>Enter the sponsor's improvement goal for the listed performance measure or standard. Each goal must be a S.M.A.R.T. (Specific, Measurable, Attainable, Relevant/Realistic and Time-Bound) goal.</i>

Is your  
stated  
improvement  
goal  
**SMART?**

# Strategy

Strategy
<i>Enter the strategy the sponsor will take to meet the stated Improvement Goal.</i>

Does your **strategy align** with the SMART goal for compliance item improvement?

# Action Step(s)

Action Step(s)	
Year 1	Year 2
<p><i>Enter the action steps the sponsor will take by June 30, 2018 to meet the stated Improvement Goal. Include the timeline for each action step. Note: The majority of action steps must occur by June 30, 2018.</i></p>	<p><i>Enter the action steps the sponsor will take between July 1, 2018 and June 30, 2019 to meet the stated Improvement Goal. Include the timeline for each action step.</i></p>

**What are the action steps** that the sponsor will take to meet the stated goal? **When** do they occur?

# Person(s) Responsible

Person(s) Responsible

*Enter the name and/or role of the person(s) responsible for meeting the stated improvement goal*

**Who is responsible for what? What is their role in achieving the SMART goal for compliance?**

# Estimated Date of Completion

Estimated Date of Completion
<i>Enter the estimated date on which the stated improvement goal will be met</i>

What is the **timeframe and deadline** for achieving your compliance improvement goal?

# Documentation/Evidence of Completion

Documentation / Evidence of Completion
<i>Describe the documentation that will be used as evidence of completion of the stated improvement goal and individual action steps</i>

What **specific** documents will you use as **evidence of completion**? Did you **meet your target of compliance**?

# QIP Progress Reports

March 2018 Progress Report	May 2018 Progress Report
<p><i>Describe the progress made toward meeting the stated improvement goal, as of March 30, 2018. This progress report must be uploaded into Epicenter by March 30, 2018.</i></p>	<p><i>Describe the progress made toward meeting the stated improvement goal, as of May 31, 2018. This progress report must be uploaded into Epicenter by May 31, 2018.</i></p>

How are you **progressing toward meeting** your stated compliance goals?

# Example

Plan Line Number	Performance Component	Performance Measure/ Standard
Number plan lines consecutively	Enter the applicable Performance Component(s) (i.e. Academic, Compliance or Quality)	Enter the name of the applicable Performance Measure, Quality Practices Standard, or Compliance Item(s) with Item Number(s) (List Compliance item numbers only if individual or group of items are being addressed)
1	Compliance	<i>#707 – The school allows students in the school to use a metered dose inhaler or dry powder inhaler to alleviate asthmatic symptoms.</i>

# Example

SMART Improvement Goal	Strategy	Action Step(s)
<p>Enter the sponsor's improvement goal for the listed performance measure or standard. Each goal must be a S.M.A.R.T. (Specific, Measurable, Attainable, Relevant/Realistic and Time-Bound) goal.</p>	<p>Enter the strategy the sponsor will take to meet the stated Improvement Goal.</p>	<p>Enter the action steps the sponsor to meet the stated Improvement Goal. Include the timeline for each action step.</p>
<p><i>By (date) 100% of sponsors' schools will provide the sponsor with their policy governing the use of metered dose inhalers and dry powder. Once the policy is received from the school, the sponsor will file in its' office.</i></p>	<p><i>Sponsor will collect the school's documentation and file in its electronic management system.</i></p>	<ul style="list-style-type: none"><li>• <i>Sponsor will provide schools with submission deadlines.</i></li><li>• <i>Sponsor representatives will monitor submission, ensuring documents are accessible and accurate.</i></li><li>• <i>Policy implementation will be discussed during site visits.</i></li></ul>

# Example

Person(s) Responsible	Estimated Date of Completion	Documentation / Evidence of Completion
<p>Enter the name and/or role of the person(s) responsible for meeting the stated improvement goal</p>	<p>Enter the estimated date on which the stated improvement goal will be met</p>	<p>Describe the documentation that will be used as evidence of completion of the stated improvement goal and individual action steps</p>
<p><i>Designated sponsor representatives; administrative professional</i></p>	<ul style="list-style-type: none"> <li>• <i>By (date), 75% of the schools' policies will be uploaded to the electronic management system</i></li> <li>• <i>By (date), 100% of the schools' policies will be uploaded to the electronic management system</i></li> </ul>	<p><i>Sponsor will file and maintain records. Sponsor will upload documents to Epicenter as required.</i></p>

# Example

March 2018 Progress Report	May 2018 Progress Report
<p>Describe the progress made toward meeting the stated improvement goal, as of March 30, 2018. This progress report must be uploaded into Epicenter by March 30, 2018.</p>	<p>Describe the progress made toward meeting the stated improvement goal, as of May 31, 2018. This progress report must be uploaded into Epicenter by May 31, 2018.</p>
<h1>TBD</h1>	

# Questions?

Submit questions regarding  
quality improvement plans

to:

[community.schools@education.  
ohio.gov](mailto:community.schools@education.ohio.gov)



# Office of Community Schools

25 S. Front Street, Mail Stop 307  
Columbus, Ohio 43215

614-466-7058

877-644-6338 (toll-free)

[community.schools@education.ohio.gov](mailto:community.schools@education.ohio.gov)

<http://education.ohio.gov/Topics/Quality-School-Choice/Community-Schools>

# Join the Conversation



**OHEducation**



**OHEducation**



**@OHEducation**

**@OHEducationSupt**



**OhioEdDept**