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:

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

2. **Overseeing** and **monitoring** the compliance of your schools
What laws and administrative rules apply to community school sponsors?

- Familiarize yourself with the ENTIRE chapters

Review ORC 3314 and OAC 3301-102
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

Timing

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

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

Carryover items
“Monitoring, oversight, and technical assistance” includes the following:
(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.
(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;
Providing technical assistance to the community school in complying with laws applicable to the school and terms of the contract;
(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;
(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 to 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?
<table>
<thead>
<tr>
<th>Quality Improvement Plan</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Determine general compliance</strong></td>
</tr>
<tr>
<td><strong>Determine areas where sponsor or their school(s) were not compliant</strong></td>
</tr>
<tr>
<td><strong>Review previous QIP plan and/or corrective action plan submitted (if applicable)</strong></td>
</tr>
<tr>
<td>------------------</td>
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<td></td>
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</table>

### Action Step(s)

<table>
<thead>
<tr>
<th>Year 1</th>
<th>Year 2</th>
<th>Person(s) Responsible</th>
<th>Estimated Date of Completion</th>
<th>Documentation / Evidence of Completion</th>
</tr>
</thead>
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<tr>
<td></td>
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<td>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.</td>
<td>Enter the estimated date on which the stated improvement goal will be met</td>
<td>Describe the documentation that will be used as evidence of completion of the stated improvement goal and individual action steps</td>
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<tr>
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<td>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.</td>
<td>Enter the name and/or role of the person(s) responsible for meeting the stated improvement goal</td>
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<td></td>
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</table>

### March 2018 Progress Report

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.

### May 2018 Progress Report

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.
Performance Component

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

Academic? Compliance? Quality?
<table>
<thead>
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<th>Performance Measure/Standard</th>
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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)

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

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.

Is your stated improvement goal SMART?
Strategy

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

Enter the strategy the sponsor will take to meet the stated Improvement Goal.
## Action Step(s)

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**What are the action steps that the sponsor will take to meet the stated goal? When do they occur?**
### Person(s) Responsible

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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

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

Enter the estimated date on which the stated improvement goal will be met.
What **specific** documents will you use as evidence of completion? Did you meet your target of compliance?
**QIP Progress Reports**

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How are you **progressing toward meeting** your stated compliance goals?
<table>
<thead>
<tr>
<th>Plan Line Number</th>
<th>Performance Component</th>
<th>Performance Measure/ Standard</th>
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<td>Number plan lines consecutively</td>
<td>Enter the applicable Performance Component(s) (i.e. Academic, Compliance or Quality)</td>
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<tr>
<td>1</td>
<td>Compliance</td>
<td>#707 – The school allows students in the school to use a metered dose inhaler or dry powder inhaler to alleviate asthmatic symptoms.</td>
</tr>
<tr>
<td>SMART Improvement Goal</td>
<td>Strategy</td>
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<td>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.</td>
<td>Sponsor will collect the school’s documentation and file in its electronic management system.</td>
<td>• Sponsor will provide schools with submission deadlines. • Sponsor representatives will monitor submission, ensuring documents are accessible and accurate. • Policy implementation will be discussed during site visits.</td>
</tr>
</tbody>
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### Example

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<td><strong>Designated sponsor representatives; administrative professional</strong></td>
<td>• By (date), 75% of the schools’ policies will be uploaded to the electronic management system&lt;br&gt;• By (date), 100% of the schools’ policies will be uploaded to the electronic management system</td>
<td>Sponsor will file and maintain records.&lt;br&gt;Sponsor will upload documents to Epicenter as required.</td>
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TBD
Questions?

Submit questions regarding quality improvement plans to:

community.schoool@education.ohio.gov
Join the Conversation

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OhioEdDept