



Compliance Component

November 1, 2016

Ohio | Department
of Education

Agenda

- Establish outcomes for today's training
- Overview of the Compliance Component
- Develop the Quality Improvement Plan
- Review the Quality Improvement Plan template
- Examples
- Questions on the QIP for quality practices

Outcomes



- Understand the **five-step process**
- Understand how to complete the **Quality Improvement Plan** template
- Understand steps to improve oversight of Compliance with ALL Laws and Rules

What is Compliance?

Requirements



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

The Ohio Department of Education 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 is broken down into two parts:



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



Overseeing and monitoring the compliance of your schools

Where do I start?

What administrative laws and rules apply to sponsors?

Look through ORC Chapter 3314

- Familiarize yourself with the entire chapter

Some questions to ask yourself

- As the sponsor, are you selling goods or services to your schools?
- Are you timely uploading the annual assurances?
- Are you reporting special education services and expenditures in EMIS?

Some questions to ask yourself

- Are you providing monitoring, oversight and technical assistance to your schools?
- Are you participating in meetings between the Auditor of State and your schools?
- Are you timely reporting and uploading information in Epicenter?

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

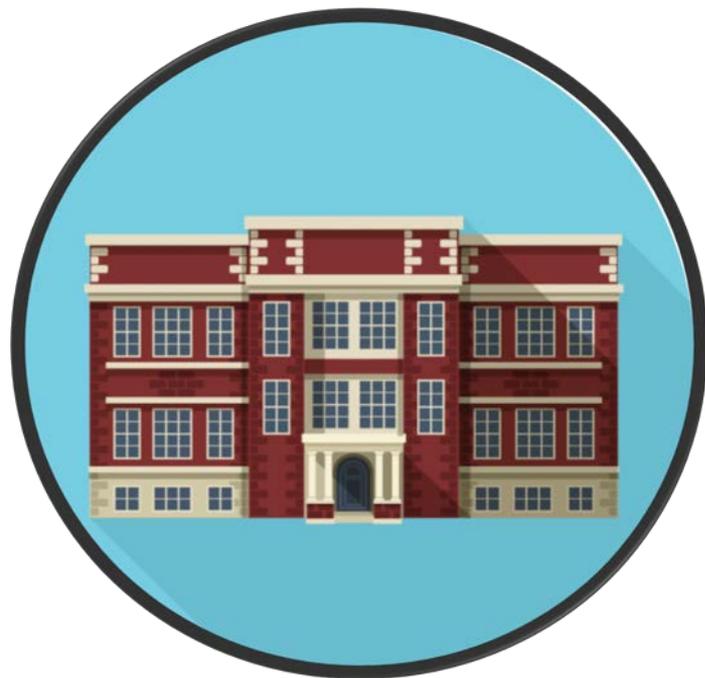
3314.023 Monitoring, oversight, and technical assistance; school closure.



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

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

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



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

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

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

(B) Con't -- The evaluation of a school's academic and fiscal performance shall be based on the performance requirements specified in the contract between the sponsor and the governing authority under section [3314.03](#) of the Revised Code, the state report cards issued for the school under section [3302.03](#) or [3314.017](#) of the Revised Code, and any other analysis conducted by the department of education.

(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;

(D) 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;

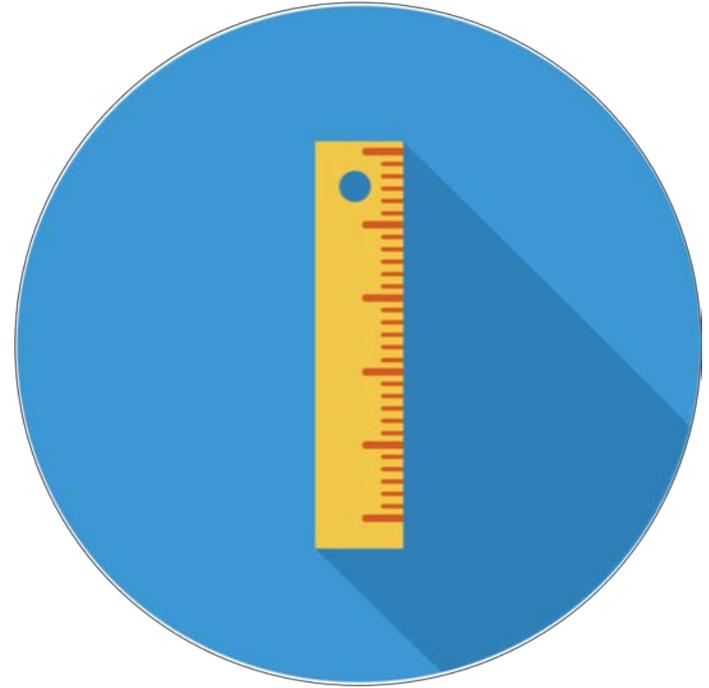
(F) Having in place a plan of action to be undertaken in the event the community school experiences financial difficulties or closes prior to the end of a school year.

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

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

Sponsor Evaluation Results

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



**Development of
the Quality
Improvement
Plan must include
five steps:**

Development

Implementation Plan

Monitoring

Evaluation

Analysis



1

Development should be a collaborative approach within the organization to develop goals, strategies, action steps and tasks.

Step One

During the **Development** phase, ask the following questions:

- Who** is responsible?
- What** actions are needed?
- Why** is the organization considering these changes?
- When** will the actions take place?
- How** will actions occur?

Think about the What...

1. Looking internally at your procedures and processes for timely reviewing compliance with laws
2. Determining how you are ensuring school level compliance with laws
3. What are you doing when a school is not in compliance?
4. What measures to you have in place to determine non-compliance?

Think about the How...

- How 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?

On the School level

- Do you ensure that the school remains in compliance with laws?
- Is someone checking in on the schools or are you just taking reports from the school superintendent, governing board or operator?
- Do you follow-up on performance improvement plans?
- How are you dealing with non-compliance?

Look Deeper...

- Are you aware of which laws apply to your schools?
- School policies – are they being regularly reviewed? Do your policies comply or reference the revised ORC sections? Are the non-mandatory sections clear? For example, the use of AEDs or inhalers...Is this documented?
- Are you providing oversight or trusting the work of a management company or operator?

More Areas to Check

- Is transportation provided by the school – and, if so, are the statutory trainings being provided?
- Are the schools providing professional development or is the management company/operator? If it is left to the management companies, are you aware of what is being offered?

More Areas to Check

- Are you ensuring that documentation is uploaded properly?
- When are corrective action plans completed or written up? Are they reviewed? What documentation do you have?
- Are you following a cross-walk between the quality and compliance?



2

Implementation Plan requires defined strategies, action steps and tasks that are directly related to achieving the goals.

3

Monitoring requires gathering data while using established metrics, timelines and benchmarks to determine progress.





4

Evaluation requires a review of the gathered data by the organization to determine if the plan assisted in meeting the goals.



5

Analysis requires the organization to determine if the strategies, action steps and/or tasks need to be revised to meet the goals.

How do I complete the Quality Improvement Plan for Compliance?

Quality Improvement Plan

- Determine **general compliance**
- Determine areas where you or your **schools were weak**
- Look at the plan you uploaded for 2016-2017 for compliance

Filling out the Compliance Section of the Quality Improvement Plan

<p>Performance Component</p>	<p>Performance Measure/ Standard</p>	<p>Exemplary Standard</p>	<p>Improvement Goal</p>
<p>Select the applicable Performance Component</p>	<p>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)</p>	<p>Enter the applicable exemplary standard from the Quality Practices rubric (for Quality Practices plan items only)</p>	<p>Enter the sponsor's improvement goal for the listed performance measure or standard</p>

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Strategy / Action(s)	Person(s) Responsible	Estimated Date of Completion	Documentation / Evidence of Completion
Enter the Strategy and/or Action Steps the sponsor will take to meet the stated Improvement Goal	Enter the name and/or role of the person(s) responsible for meeting the stated improvement goal	Enter the estimated date on which the stated improvement goal will be met	Describe the documentation that will be used as evidence of completion of the stated improvement goal or individual action(s)

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Example

Plan Line Number	Performance Component	Performance Measure/ Standard	Exemplary Standard
Number plan lines consecutively	Select the applicable Performance Component	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)	Enter the applicable exemplary standard from the Quality Practices rubric (for Quality Practices plan items only)
1	Compliance	Sponsor Plan for Compliance – The Sponsor Monitors the Schools Compliance with all applicable Laws	

Example

Improvement Goal	Strategy / Action(s)	Person(s) Responsible
Enter the sponsor's improvement goal for the listed performance measure or standard	Enter the Strategy and/or Action Steps the sponsor will take to meet the stated Improvement Goal	Enter the name and/or role of the person(s) responsible for meeting the stated improvement goal

Example

Estimated Date of Completion	Documentation / Evidence of Completion	February 2017 Progress Report	May 2017 Progress Report
Enter the estimated date on which the stated improvement goal will be met	Describe the documentation that will be used as evidence of completion of the stated improvement goal or individual action(s)	Describe the progress made toward meeting the stated improvement goal, as of February 2017	Describe the progress made toward meeting the stated improvement goal, following February 2017

Questions?

Submit questions regarding completing improvement plans to:

Community.Schools@education.ohio.gov

education.ohio.gov

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