Compliance Monitoring

Facilitators:
Dr. Milanda Dean
Education Administrator, Federal Programs Section
Dr. Mark Quintana
Vice President for State Services
Brought to you by Alabama State DOE

AdvancED and Measured Progress are now
Knowledge is Opportunity

Cognia is a global nonprofit that has the knowledge to help schools improve outcomes for all learners.
Training agenda

• Why Compliance Monitoring
• How it works
• State administration
• District activities
• Review team functions
• Workflow and notifications
• Reports and findings
Why Compliance Monitoring

• Provides an easy and consistent way to provide evidence of practice and outcomes aligned to state and federal legislation

• Connects your identified practices with actions for continuous improvement

• Merges process and documentation tools
# Roles and Responsibilities

<table>
<thead>
<tr>
<th><strong>State</strong></th>
<th><strong>Institutions (Districts)</strong></th>
<th><strong>Review Team</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>Oversees the development and management of compliance monitoring assurances</td>
<td>Conducts self-assessment and provides evidence to support compliance monitoring</td>
<td>Reviews the district/institution self-assessment and evidences</td>
</tr>
<tr>
<td>Builds criteria for selecting district/institution and schedules reviews</td>
<td>Makes available the completed self-assessment for the review team</td>
<td>Completes review team assessment and creates findings for compliance monitoring review</td>
</tr>
<tr>
<td>Reviews reports on the outcome of the review and outlines areas for continuous improvement</td>
<td>Provides additional evidence and supportive feedback in communication with review team</td>
<td>Provides ongoing feedback and monitors district/institution responses</td>
</tr>
</tbody>
</table>
How it works

Self-assess → Review → Evaluate → Improve

Monitor progress
Self-assessment

1. **Self-Assess**
   - Start self-assessment administration in eProve diagnostics
   - Unlock the self-assessment in eProve diagnostics

2. **Review**
   - Assign districts self-assessment diagnostic
   - Respond to self-assessment and upload evidences

3. **Evaluate**
   - Assign a due date and publish the administration
   - Lock the self-assessment diagnostic

4. **Improve**
   - Monitor progress and completion status
   - Send completed self-assessment from eProve diagnostics to eProve workspace

State:
- Districts:

---

8
District activities

Self-assessment diagnostic
Notification

You are invited to collaborate on the UAT Compliance Monitoring 2019-2020 diagnostic as an Admin. The UAT Compliance Monitoring 2019-2020 was started by Test Demo ALSDE District with a due date of 07/20/2019.

Login to access the eProve diagnostic.

If you cannot view the links in this email, please copy and paste this URL into your browser: https://uatdiagnostics.advanc-ed.org/diagnostics/#/log-in

CONFIDENTIALITY NOTICE
This message is intended exclusively for the individual or entity to which it is addressed. This communication may contain information that is proprietary, privileged, confidential or otherwise legally exempt from disclosure. If you are not the named addressee, you are not authorized to read, print, retain, copy or disseminate this message or any part of it.

If you have received this message in error, please notify AdvancED immediately by phone (888.413.3669) and delete all copies of this message.
My Diagnostics dashboard
## Add users

### Manage Users

<table>
<thead>
<tr>
<th>User</th>
<th>Institution</th>
<th>Status</th>
<th>Role</th>
</tr>
</thead>
<tbody>
<tr>
<td>Admin ALSDE, Owner</td>
<td>Alabama Department of Education (ALSDE)</td>
<td>Enabled</td>
<td>Admin</td>
</tr>
<tr>
<td>chen2, srin2</td>
<td>Alabama Department of Education (ALSDE)</td>
<td>Enabled</td>
<td>User</td>
</tr>
<tr>
<td>districtviewer, nktest</td>
<td>Alabama Department of Education (ALSDE)</td>
<td>Enabled</td>
<td></td>
</tr>
<tr>
<td>Gmail, Manisha</td>
<td>Alabama Department of Education (ALSDE)</td>
<td>Enabled</td>
<td></td>
</tr>
</tbody>
</table>

- **Apply to Selected**
- **Add User**
- **Upload Multiple**

- **Filter by**: All Users
Access the diagnostic

<table>
<thead>
<tr>
<th>Name</th>
<th>Institution</th>
<th>Creator</th>
<th>Last Modified</th>
<th>Date</th>
<th>Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>Corporation Assurances_02042019_14:48</td>
<td>Kentucky Department of Education (KDE), Frankfort, Kentucky</td>
<td>Neha Kumar</td>
<td>Feb 04 2019</td>
<td>Created: May 15 2018</td>
<td></td>
</tr>
<tr>
<td>Phase Three: Comprehensive Improvement Plan for Schools, 07272018_09:02</td>
<td>Kentucky Department of Education (KDE), Frankfort, Kentucky</td>
<td></td>
<td>Feb 04 2019</td>
<td>Created: Sept 3 2018, Start: October 31 2018, End: December 21 2018</td>
<td></td>
</tr>
<tr>
<td>School Quality Factors_01222019_07:53</td>
<td>Kentucky Department of Education (KDE), Frankfort, Kentucky</td>
<td>Jeff Harding</td>
<td>Jan 22 2019</td>
<td>Created: October 31 2018, Start: December 30 2018, End: January 30 2019</td>
<td>Draft</td>
</tr>
</tbody>
</table>
Complete the diagnostic

ALSDE Compliance Monitoring 2019-2020

The objective of the LEA Compliance Monitoring program is to adequately monitor all K-12 school systems in Alabama for compliance with state and federal regulations and State Board of Education mandates. Our goal continues to be one that will protect your school system as well as the state from any financial charge back that could possibly be imposed as a result of non-compliance of legal requirements that may be identified through the annual audit process performed by the Alabama Department of the Examiners of Public Accounts or by your system’s private audit firm. Our monitoring efforts have been designed to protect your system’s financial interest as specified in the cooperative agreement each of you have with the United States Department of Education.
A. Basic Accounting Procedures - Financial Management

1. Is magnetic media, reporting financial information from each school, being received from each of the schools monthly and being incorporated into the system’s books on a monthly basis?
   - Nextgen software users should have a report that indicates whether magnetic files from the local schools are being loaded.
   - Comments
   - Attachments

2. Are monthly financial reports being sent to or made available to each of the program coordinators for review and program corrections, if any?
   - Check with program directors. They should have files of the budget variance report. Directors should sign verification that they have received/are receiving monthly reports. In some cases, administrators may have access to run their own reports.
   - Comments
   - Attachments
Respond to value questions

G. Least Restrictive Environment

1a. Separate Facilities in the LEA where students with disabilities are served

Upload a list all separate facilities (e.g., separate building on the school campus for students with disabilities only, building on a campus with no nondisabled students, alternative school for students with disabilities only) in the public education agency where students with disabilities are served.

Comments

Attachments

1b. Number of students served in Separate Facilities

Value Response Needed: You must select N/A and enter the value in the comment field below.

Comments

25
Upload and attach evidence/links
Associate evidence with questions
G. Least Restrictive Environment

1a. Separate Facilities in the LEA where students with disabilities are served

Upload a list all separate facilities (e.g., separate building on the school campus for students with disabilities only, building on a campus with no nondisabled students, alternative school for students with disabilities only) in the public education agency where students with disabilities are served.

<table>
<thead>
<tr>
<th>Attachment Name</th>
<th>Associated Items</th>
</tr>
</thead>
<tbody>
<tr>
<td>Testing Special Education</td>
<td>- G. Least Restrictive Env. &gt;1a. Separate Facilities in the LEA where students with dis...</td>
</tr>
<tr>
<td></td>
<td>- G. Least Restrictive Env. &gt;1c. LRE Justification for each student Upload a list of stud...</td>
</tr>
<tr>
<td></td>
<td>- G. Least Restrictive Env. &gt;2b. LRE Justification for each student Upload a list of stud...</td>
</tr>
</tbody>
</table>
## Attachments

<table>
<thead>
<tr>
<th>Attachment Name</th>
<th>Associated Items</th>
<th>Functions</th>
</tr>
</thead>
<tbody>
<tr>
<td>text</td>
<td>• G. Facility Review/Safety 1b. Does the program area facility review indicate that th...</td>
<td></td>
</tr>
<tr>
<td>Testing Special Education</td>
<td>• G. Least Restrictive Env. 2c. LIE justification for each student Upload a list of stud...</td>
<td></td>
</tr>
</tbody>
</table>

### Add Attachment
Lock and unlock diagnostic
Send completed diagnostic to Workspace
Watch for possible prompts
Download completed report

![Image of diagnostic tool]

<table>
<thead>
<tr>
<th>Name</th>
<th>Institution</th>
<th>Creator</th>
<th>Last Modified</th>
<th>Date</th>
<th>Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>Phase One: Continuous Improvement</td>
<td>Kentucky School for the Deaf</td>
<td>Shanna-Kae Mallett</td>
<td>Feb 21 2019</td>
<td>Created: Mar 21 2018</td>
<td>Draft</td>
</tr>
</tbody>
</table>
Early Learning Assurances

A. Early Learning Assurances

1. AdvancED Policies and Procedures
   a. The institution has read, understands, and complies with the AdvancED Policies and Procedures.
      - Yes
      - No
      - N/A

   COMMENTS
   I love cheese, especially manchego red leicester. Chalk and cheese say cheese ricotta pepper jack boursin cheese triangles ricotta say cheese. Cheese on toast emmental goat pepper jack monterey jack fromage frais roquefort say cheese. Pecorino cheese slices cauliflower cheese cheesy feet who moved my cheese edam queso the big cheese. Cheese on toast mascarpone blue castello caerphilly cheese triangles manchego mascarpone fondue. Paneer dolcelatte roquefort camembert de normandie.

   ATTACHMENTS
   Attachment Name
   - Student performance Results 2019
   - Signed Document of Assurance

2. Substantive Changes
   a. The institution has reported all substantive changes in the institution that affect the scope and/or have an impact on the institution's ability to meet the AdvancED Standards and Policies. Such changes include, but are not limited to:
      - Restructuring (merging, opening or closing) of the institution or institution(s) within its jurisdiction
      - Mission and purpose of the institution
      - Governance structure of the institution, including changing to a charter school/school system, being the subject of a state takeover, or a change in ownership
      - Grade levels served by the institution
      - Staffing, including administrative and other non-teaching professional personnel
      - Available facilities, including upkeep and maintenance
      - Level of funding
      - School day or school year
Transition to Workspace

Institution tasks:

- Send completed diagnostics to the workspace
- Identify contributors to correspond with the review team
- Locate the diagnostic in eProve workspace
- Respond to review findings
- Add notes and attachments to the responses
Review

Self-Assess → Review → Evaluate → Improve

**Districts**
- Reviews the Findings
- Address Findings; adding notes and evidences
- Send updated notes and evidences to review team

**Review Team**
- Reviews the Findings
- Ongoing communication with district
- Monitors and update the status of Findings

Notes and evidences in eProve workspace
Workspace Functions
### Federal Programs Part 1

**Item Number and Description**

1. **Does the LEA have all required program evaluations:** Core ESL Program? Castaneda v. Pickard 
   - Team Response: Y
   - Finding: N
   - Comments: N/A

2. **Does the LEA have all required program evaluations:** Migrant? Section 1301
   - Team Response: Y
   - Finding: N
   - Comments: N/A

3. **Does the LEA have all required program evaluations:** Migrant? Section 1301
   - Team Response: Y
   - Finding: N
   - Comments: N/A

4. **Does the LEA have all required program evaluations:** Migrant? Section 1301
   - Team Response: Y
   - Finding: N
   - Comments: N/A
Add comments
Add findings
RESPOND TO THE DIAGNOSTIC
Notification to the district

Your institution has been assigned one or more findings to respond to from the <Name of the Diagnostic> portion of the <Review Information>.

<Finding Title> <Finding Due Date>
<Finding Title> <Finding Due Date>
<Finding Title> <Finding Due Date>
<br />
Please log into workspace to see your findings and additional information regarding your review.

Log into workspace

CONFIDENTIALITY NOTICE
This message is intended exclusively for the individual or entity to which it is addressed. This communication may contain information that is proprietary, privileged, confidential or otherwise legally exempt from disclosure. If you are not the named address, you are not authorized to read, print, retain, copy or disseminate this message or any part of it.

If you have received this message in error, please notify AdvancedED immediately by phone (888.413.3669) and delete all copies of this message.
Manage resources

Resources

Search by resource name and created by

<table>
<thead>
<tr>
<th>Folders</th>
<th>Findings</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name</td>
<td>Created By</td>
</tr>
<tr>
<td>▶️ ▫️ Team Only Folder</td>
<td></td>
</tr>
<tr>
<td>▶️ ▫️ Shared Folder with Kalamazoo RESA</td>
<td></td>
</tr>
</tbody>
</table>
Use findings

Resources

Search by resource name and created by

<table>
<thead>
<tr>
<th>Folders</th>
<th>Findings</th>
</tr>
</thead>
<tbody>
<tr>
<td>Finding</td>
<td>Number of Findings</td>
</tr>
</tbody>
</table>

No Findings Assigned
When findings are added, they will be listed here.
Review findings

Administrative and Finance Findings
Coosa County School District


1. Donut chocolate tootsie roll chocolate lollipop.  
Due Date: 7/1/2019
Not Started

Statement

Description

Items
1.2 Does the LIA have all required program evaluations? Migrant?
1.5 Lorem ipsum dolor sit amet, consectetur adipiscing elit. Aenean commodo ligula eget...
1.9 Lorem ipsum dolor sit amet, consectetur adipiscing elit. Aenean commodo ligula eget...

Notes

No Notes Found
When notes are added, they will be listed here.
Add district notes to findings
Notification for review findings updates

eProve Workspace - Finding Notification

qa-emailtest@advanc-ed.org <qa-emailtest@advanc-ed.org>
qa-emailtest
Thursday, May 9, 2019 at 8:29 AM
Show Details

eProve workspace

eProve Workspace - Finding Update Notification

An update has been made to the below finding from the <Findings Name> portion of the <Review Information>.

<Finding Title> <Finding Due Date>

Please log into workspace to see your findings and additional information regarding your review.

Log into workspace

CONFIDENTIALITY NOTICE
This message is intended exclusively for the individual or entity to which it is addressed. This communication may contain information that is proprietary, privileged, confidential or otherwise legally exempt from disclosure. If you are not the named addressee, you are not authorized to read, print, retain, copy or disseminate this message or any part of it.

If you have received this message in error, please notify AdvancED immediately by phone (888.413.3669) and delete all copies of this message.
Communicate findings
# Monitor findings

## Resources

<table>
<thead>
<tr>
<th>Folders</th>
<th>Findings</th>
<th>Number of Findings</th>
<th>Team Contact(s)</th>
<th>Functions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Administrative and Finance Findings</td>
<td></td>
<td>3</td>
<td>James Buchanan Barnes (1 more)</td>
<td></td>
</tr>
<tr>
<td>Federal Program Findings</td>
<td></td>
<td>5</td>
<td>Steve Rogos (2 more)</td>
<td></td>
</tr>
<tr>
<td>Counseling and Guidance Findings</td>
<td></td>
<td>1</td>
<td>Natalia Romanova</td>
<td></td>
</tr>
<tr>
<td>Instructional Services/Library Media Findings</td>
<td></td>
<td>3</td>
<td>Anthony Stark</td>
<td></td>
</tr>
<tr>
<td>Prevention and Support Services - Safe Schools Findings</td>
<td></td>
<td>2</td>
<td>Wanda Maxmoff</td>
<td></td>
</tr>
<tr>
<td>Health Services Findings</td>
<td></td>
<td>3</td>
<td>Sam Wilson (1 more)</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Title</th>
<th>Status</th>
<th>Due Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Technology Competence</td>
<td>Complete</td>
<td>7/1/19</td>
</tr>
<tr>
<td>2. Technology 1.1 Computer Classroom Use</td>
<td>In Progress</td>
<td>7/1/19</td>
</tr>
<tr>
<td>3. Technology Portfolio 2019</td>
<td>Not started</td>
<td>7/1/19</td>
</tr>
</tbody>
</table>

- Counseling and Guidance Transcript Audit Findings: 4 (Steven Strange)
- Counseling and Guidance Part I Findings: 6 (Carol Duners)
- Technology Plan Findings: 3 (Bruce Banner)
- Classroom Improvements and Supports Findings: 1 (Peter Parker [2 more])
- Data Governance Findings: 2 (Stan Lee)
Alignment to ACIP
Support
Connect with questions

Dr. Milanda Dean
Education Administrator, Federal Programs Administrator
mdean@alsde.edu

Cognia Customer Care
CustomerCare@advance-ed.org
1-888-413-3669

Dr. Mark Quintana
Vice President, State Services
mquintana@advance-ed.org

Dr. Vicky Smith
Senior Programmer, State Services
vsmith@advance-ed.org