eProve™ COMPLIANCE MONITORING

July 15, 2019 – July 19, 2019
ALABAMA CONFERENCE

October 1-2, 2019

Frazer Memorial United Methodist Church
Montgomery, Alabama
COMPLIANCE MONITORING TRAINING

• Compliance Monitoring Process
• District Compliance Monitoring Diagnostic
• Review Team Compliance Monitoring Diagnostic
• Workflow & Notifications
• Reports & Findings
• Q&A
# ROLES AND RESPONSIBILITIES

<table>
<thead>
<tr>
<th>State</th>
<th>Institutions (Districts)</th>
<th>Review Team</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 schedule reviews</td>
<td>Makes available the completed self-assessment for the review team</td>
<td>Completes review team assessment and create Findings, for compliance monitoring review</td>
</tr>
<tr>
<td>Review 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>
COMPLIANCE MONITORING PROCESS

- Self-Assess
- Review
- Evaluate
- Improve

Monitor Progress
MY DIAGNOSTIC DASHBOARD

Features of eProve diagnostic dashboard

- View all diagnostics created within your organization and down within your hierarchy
- Filter to narrow down your view of diagnostics by a diagnostic template or by the status of a diagnostic
- Federated search by keywords
- Sort and rearrange the headers on the dashboard
- Navigate to the content library and manage users
### Manage Users in Diagnostics

**Manage Users**

- **Apply to Selected**
- **Filter by** All Users

<table>
<thead>
<tr>
<th></th>
<th>User</th>
<th>Institution</th>
<th>Status</th>
<th>Role</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Admin_ALSDE, Owner</td>
<td>Alabama Department of Education (ALSDE)</td>
<td>Enabled</td>
<td>Admin</td>
</tr>
<tr>
<td></td>
<td><a href="mailto:owneradmin_ALSDE@yopmail.com">owneradmin_ALSDE@yopmail.com</a></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>chen2, srin2</td>
<td>Alabama Department of Education (ALSDE)</td>
<td>Enabled</td>
<td>User</td>
</tr>
<tr>
<td></td>
<td><a href="mailto:schennady@advanc-ed.org">schennady@advanc-ed.org</a></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>districtviewer, nktest</td>
<td>Alabama Department of Education (ALSDE)</td>
<td>Enabled</td>
<td>Admin</td>
</tr>
<tr>
<td></td>
<td><a href="mailto:nktestdistrict2@gmail.com">nktestdistrict2@gmail.com</a></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>GMail, Manisha</td>
<td>Alabama Department of Education (ALSDE)</td>
<td>Enabled</td>
<td>Admin</td>
</tr>
<tr>
<td></td>
<td><a href="mailto:manisharamak@gmail.com">manisharamak@gmail.com</a></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

- **Options**
  - **Edit**
  - **Resend Invitation**
  - **Disable**
  - **Delete**
COMPLIANCE MONITORING DIAGNOSTIC

Self-Assess → Review → Evaluate → Improve

State:
- Start self-assessment administration in eProve diagnostics
- Assign districts self-assessment diagnostic
- Assign a due date and publish the administration
- Monitor progress and completion status

Districts:
- Unlock the self-assessment in eProve diagnostics
- Respond to self-assessment and upload evidences
- Lock the self-assessment diagnostic
- Send completed self-assessment from eProve diagnostics to eProve workspace
DISTRICT SELF-ASSESSMENT
eProve Diagnostics - Notification Reminder

qa-emailtest@advanc-ed.org <qa-emailtest@advanc-ed.org>
qa-emailtest
Wednesday, June 5, 2019 at 5:00 PM
Show Details

This is a reminder to collaborate on ["Diagnostics Template Name"] diagnostic as an admin. The ["Diagnostic template Name"] was started by ["Institution Owner name"] with the End date of ["End date"].

Login to access the eProve diagnostic.

If you cannot view the links in this email, please copy and paste this URL into your browser:
http://qadiagnostics.advanc-ed.org:8082/diagnostics/#/log-in
## ACCESSING DIAGNOSTIC

A screenshot of the My Diagnostics page showing a table with diagnostic entries. The table includes columns for Name, Institution, Creator, Last Modified Date, and Date. Each row details information about a diagnostic, including its status, phase, and creator information.

<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 Kentucky Department of Education (KDE)</td>
<td>Feb 04 2019</td>
<td>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>Administered by: Kentucky Department of Education (KDE)</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 03222019_07:53</td>
<td>Kentucky Department of Education (KDE)</td>
<td>Jeff Harding Kentucky Department of Education (KDE)</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>
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.

LEA Accounting and Reporting

The Policy and Budget division within the Alabama State Department of Education is responsible for reviewing and approving local school system budgets, program applications, amendments, financial statements, various state and federal program expenditure reports, as well as disbursing state and federal funds. Other activities include technical assistance and training for local school personnel in fiscal planning, budgeting and reporting; preparing financial and statistical reports to various state and federal agencies; answering requests regarding school system finances; and calculating major federal formula grant allocation amounts to local school systems. Verifying the compliance with existing federal and state laws is a critical part of this work.

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
RESPONDING TO ASSURANCES

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/receiving monthly reports. In some cases, administrators may have access to run their own reports.

   Comments
   Attachments

3. Is the Request for Federal Funds (ES-2) being prepared and submitted monthly to the State Department of Education only if expenditures are incurred and application is approved?

   Review ES-2 file at the SDE and in e-Gap. Compare application approval date to ES-2 request for timeliness.

   Comments
   Attachments
RESPONDING TO NON-ASSURANCES

G. Least Restrictive Environment

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

Upload a list of all separate facilities (e.g., separate building on the school campus for students with disabilities only, building on a campus with no non-disabled 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

Select N/A and enter the value in the comment field below

Comments

20

1c. LRE justification for each student

Upload a list of student names. The ALSDE will monitor records using SETS.
UPLOAD EVIDENCES / ATTACHMENTS

Upload or enter a URL for an external link related to your responses. File size is limited to 10 MB. Standard document, image, spreadsheet, and presentation files are acceptable. Please do not attach audio or video files at this time.

- Attach Files
- External Link

**Attach Files**

![Drag & drop files](image)

**Select File(s)**

**Attachment Name**
Enter a file name

**Description**
Enter a short description for this file
UPLOAD EVIDENCES /ATTACHMENTS

<table>
<thead>
<tr>
<th>ALSDE Compliance Monitoring 2019-2020_07082019_09:05</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Settings</strong></td>
</tr>
<tr>
<td><strong>1a. Separate Facilities in the L...</strong></td>
</tr>
<tr>
<td><strong>1b. Number of students served...</strong></td>
</tr>
<tr>
<td><strong>1c. LRE justification for each st...</strong></td>
</tr>
<tr>
<td><strong>2a. School Setting Provide the ...</strong></td>
</tr>
<tr>
<td><strong>2b. Number of students served...</strong></td>
</tr>
<tr>
<td><strong>2c. LRE justification for each st...</strong></td>
</tr>
<tr>
<td><strong>3a. Age Appropriate Peers Prov...</strong></td>
</tr>
<tr>
<td><strong>3b. Number of students not se...</strong></td>
</tr>
<tr>
<td><strong>3c. LRE justification for each st...</strong></td>
</tr>
<tr>
<td><strong>4a. Shortened School Day Prov...</strong></td>
</tr>
<tr>
<td><strong>4b. Number of students who h...</strong></td>
</tr>
<tr>
<td><strong>4c. LRE justification for each st...</strong></td>
</tr>
<tr>
<td><strong>4d. Number of students who h...</strong></td>
</tr>
<tr>
<td><strong>4e. LRE justification for each st...</strong></td>
</tr>
</tbody>
</table>

**Attachments**

Select the item(s) that are associated to this attachment. Items are optional. If no items are added, this attachment will be listed under the attachment library, which is found at the bottom of this diagnostic.

Add Item(s)

Select a section  
Select an item  
Add

Added Items:

- G. Least Restrictive...  
- 1c. LRE justification for each student: Upload a list of student names. The A...X
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

Select N/A and enter the value in the comment field below

› Comments

1c. LRE justification for each student

Upload a list of student names. The ALSDE will monitor records using SETS.

› Comments
› Attachments (1)
## Attachments

<table>
<thead>
<tr>
<th>Attachment Name</th>
<th>Associated Items</th>
</tr>
</thead>
<tbody>
<tr>
<td>test</td>
<td>- G. Facility Review/Safety, 2b. Does the program area facility review indicate that the...</td>
</tr>
<tr>
<td>Testing Special Education</td>
<td>- G. Least Restrictive Env., 1c. LRE justification for each student. Upload a list of stud...</td>
</tr>
<tr>
<td></td>
<td>- G. Least Restrictive Env., 2c. LRE justification for each student. Upload a list of stud...</td>
</tr>
</tbody>
</table>
CHANGE STATUS OF DIAGNOSTIC

Status Change

Enable owner notifications for this administration

Describe the reason for the change in status (optional).

Add a snapshot of this diagnostic to the log

250 Characters Left

Cancel  Save

Last modified 3/21/2019, 3:36 pm

Lock Diagnostic
SEND TO WORKSPACE

Diagnostic is not complete

Do you still want to send to workspace?

Close  Yes

Lock Diagnostic

Pick one of the following workspaces:

- Abigail - Test SEA Continuous Improvement Review (2018-02-05 - 2019-02-06)
  Alabama Department of Education (ALSDE)
  Alabama Department of Education (ALSDE)
  Alabama Department of Education (ALSDE)
  Alabama Department of Education (ALSDE)

Close  Send
DOWNLOADING REPORTS
DISTRICT SAMPLE PDF Report

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
**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
COMPLIANCE MONITORING 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

*eProve workspace*
### Select workspace

**Which workspace would you like to view?**

<table>
<thead>
<tr>
<th>Name</th>
<th>Institution</th>
<th>Location</th>
<th>Dates</th>
<th>Created By</th>
<th>Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>Lamar County Board of Education Compliance Monitoring</td>
<td>Lamar County Board of Education Alabama Department of Education (ALDE)</td>
<td>Vernon Alabama 67388</td>
<td>Start: Sep 23, 2018 End: Sep 26, 2018</td>
<td>Brittonie Donahue</td>
<td>Active</td>
</tr>
</tbody>
</table>
REVIEW FINDINGS NOTIFICATION

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

<Action Title> <Action Due Date>
<Action Title> <Action Due Date>
<Action Title> <Action Due Date>
<Action Title> <Action Due Date>
<Action Title> <Action 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.
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>
Review Diagnostic 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 LEA 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.
DISTRICT - ADD NOTES TO FINDINGS
An update has been made to the below finding from the <Action Plan Name> portion of the <Review Information>.

<Action title> <Action Due Date>

Please log into workspace to see your finding and additional information regarding your review.
Administrative and Finance Findings
Coosa County School District

1. Donut chocolate tootsie roll chocolate lollipop.

Statement

Description

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

Notes

<table>
<thead>
<tr>
<th>Date Created</th>
<th>Created by</th>
<th>Actions</th>
<th>Functions</th>
</tr>
</thead>
<tbody>
<tr>
<td>5/7/2019</td>
<td>Linda Erzah - Behrensmeyer</td>
<td>Accepted</td>
<td></td>
</tr>
<tr>
<td>4/12/2019</td>
<td>Abigail Ellis</td>
<td>Implemented</td>
<td></td>
</tr>
<tr>
<td>2/20/2019</td>
<td>Linda Erzah - Behrensmeyer</td>
<td>Rejected</td>
<td></td>
</tr>
<tr>
<td>2/18/2019</td>
<td>Abigail Ellis</td>
<td>In Progress</td>
<td></td>
</tr>
</tbody>
</table>

2. Donut chocolate tootsie roll chocolate lollipop.

Statement

Description
### FINDINGS & MONITORING

#### Resources

- Search by resource name and created by

#### Folders & Findings

<table>
<thead>
<tr>
<th>Finding</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>3</td>
<td>James Buchanan Barnes (1 more)</td>
<td></td>
</tr>
<tr>
<td>Federal Program Findings</td>
<td>5</td>
<td>Steve Rogers (12 more)</td>
<td></td>
</tr>
<tr>
<td>Counseling and Guidance Findings</td>
<td>1</td>
<td>Natalia Romanova</td>
<td></td>
</tr>
<tr>
<td>Instructional Services/Library Media Findings</td>
<td>3</td>
<td>Anthony Stark</td>
<td></td>
</tr>
<tr>
<td>Prevention and Support Services - Safe Schools Findings</td>
<td>2</td>
<td>Wanda Maximoff</td>
<td></td>
</tr>
<tr>
<td>Health Services Findings</td>
<td>3</td>
<td>Sam Wilson (2 more)</td>
<td></td>
</tr>
</tbody>
</table>

#### Findings Summary (33)

<table>
<thead>
<tr>
<th>Title</th>
<th>Status</th>
<th>Due Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Technology Compliance</td>
<td>Complete</td>
<td>7/1/2019</td>
</tr>
<tr>
<td>2. Technology 1:1 Computer Classroom Use</td>
<td>In Progress</td>
<td>7/1/2019</td>
</tr>
<tr>
<td>3. Technology Strategy 2020</td>
<td>Not started</td>
<td>7/1/2019</td>
</tr>
</tbody>
</table>

- Counseling and Guidance Transcript Audit Findings | 4 | Steven Strange |
- Counseling and Guidance Part I Findings | 6 | Carol Danvers |
- Technology Plan Findings | 3 | Bruce Banner |
- Classroom Improvements and Supports Findings | 1 | Peter Parker (7 more) |
- Data Governance Findings | 2 | Stan Lee |

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[Images: Advanced,Measured Progress]
MONITOR ADMINISTRATION
• **Administration status monitoring report (CSV):** contains information for a specified diagnostic administered to selected institutions; can be filtered by status or completion percent

• **Output of the self-assessment diagnostic (PDF):** displays the responses to the individual self-assessment diagnostic in a pdf format

• **Output of the self-assessment diagnostic (CSV):** contains all the responses to the individual self-assessment diagnostic in a spreadsheet format

• **Output of Review Team Diagnostic (PDF):** displays the responses to the team compliance diagnostic in a pdf format.

• **Output of Review Team Diagnostic (CSV):** contains all the responses to the team compliance diagnostic in a spreadsheet format

• **Summary of Findings Report (CSV):** contains an aggregated view of all the actions generated within a review of a single institution

• **Individual of Findings Report (CSV):** contains view of all individual program diagnostic actions generated a single institution

  *Summary & individual of Findings Reports available to review team and district contributors*

Additional custom reports: Can be requested. Requires additional statement of work
DISTRICT IMPROVEMENT
CONTINUOUS IMPROVEMENT
Thank You!

Connecting school quality and student outcomes