

## **2016-17 Legal Compliance Plan, Process and Schedule & Protocols**

The following items will be reviewed based on schedule below. Submission items are noted in italics. Item on this list may be reviewed more frequently due to updates throughout the year (e.g., staff licensure for new hires). In addition, the ODE plans to update its legal compliance list, so this Plan may be modified from time to time.

The list includes references to the requirement numbers on the attached Ohio Department of Education Compliance Evaluation Spreadsheet, and the School may refer to this spreadsheet for the statutory reference and a description of the particular review item. This schedule may be revised upon updates to the Compliance Evaluation Spreadsheet by the Ohio Department of Education.

This Plan includes this Schedule, the ODE Compliance List with cross-references to this Plan, and supporting guidance and checklists of the Sponsor. The Sponsor checklist overlap into Legal compliance and are therefore included as additional checks and balances.

**Governing Authority, Student, and Staff Formal Surveys will be conducted annually. Informal data will be collected regarding parent satisfaction with the School. Since Findlay Digital Academy is an e-school, formal classroom observations are not possible. However, the Site Visit Team will informally interview the Instructional Coaches and students working in the lab at the time of the site visits in regard to student progress and staff/student satisfaction. Both formal announced and unannounced Site Visits will take place during the school year.**

### **Monthly Financial and Enrollment Review**

- Financial Reporting and Records Format (11, 18, 91)
  - Five Year Forecast Submission (October and May) (20)
  - Budget Adoption
  - STRS Deductions
- EMIS Data
  - Timely, Complete, Accurate Submissions (8, 30)
  - Implementation of Submission Guidelines
  - *Report of Expenditures*
  - Enrollment Reports for Casino Funding (October and May) (39)
  - *Appropriate Reporting for Students who did not Take Assessments*
- Special Funding
  - Economically Disadvantaged Funds Usage (21)
  - Bullying Prevention Initiatives (89)
- Borrowing and Expenditures (30)
- Audit (18, 164)

### **Governing Authority Meetings (ongoing)**

- Compliance with Open Meetings Law (110)
  - *Governing Authority Minutes and Meeting Notices (All)*

- *Participation at Meetings*

### **July/August Sponsor Assurance Site Visit**

- Special Education Service Delivery Plan (132)
- **2016-17 Testing Calendar**
- Staff Licensure and Background Checks
  - Teacher Licenses and Permits (52, 55, 61, 131)
  - Criminal Record Checks of Employees (50-51)
  - Criminal Record Checks of Private Contract Employees (42)
- Fiscal Officer Qualifications (15)
  - Treasurer Bond\*
  - Treasurer License
- Liability Insurance (28)
  - Provides for Defense of an Employee (106)
- School Calendar
  - **2016-17 School Calendar**
    - Confirm accuracy, availability, and 920 hours (27)
  - School Consults Before Changing Calendar (143)

### **Site Visit 1: Fall/June- September**

- Student Admissions and Enrollment
  - Admissions Practices
    - Enrollment Documentation – Random File Review (67)
    - Enrollment Policy Implementation (69, 96)
  - Required Notices and Information
    - Statement on Testing and Compulsory Attendance (64)
    - Most Recent Report Card (70)
    - Informational Programs related to Missing Children Issues (87)\*
  - Missing Children Obligations (111)
- Staff Qualifications and Training
  - Fiscal Officer Background (163)
  - *Ethics Law Compliance and Training Records (112)*
  - *Child Abuse Training (108)*
  - Heimlich Maneuver Training (205)
  - Fraud Reporting (91)\*
  - *AED Training (238)*
- Maintenance of Accurate Employment and Payroll Records (57)
- Staff Benefits (49, 234)
- Governing Authority
  - *Signed Conflict of Interest Statements (33)*
  - *Ethics Law Compliance and Training Records (112)*

- Public Records and Open Meetings Law Training (22)
- Publication on Website (23)\*

### **Site Visit 2: Winter #1/December**

- *2015-16 Annual Report Submission*
- Education Plan Implementation (71)
- State Required Assessment Implementation and Administration (29, 114, 115, 117, 196)
  - Testing Accommodations
  - Shipment of Assessments to ODE
  - Compliance with Testing Security Procedures\*
- Student Interventions
  - Intervention Services to Students Not Proficient (117)
  - Identification and Intervention for Students At Risk of Dropping Out (187)
- Racial and Ethnic Balance (66)
- Public Records Law Implementation (109)\*
- Student Record Confidentiality
  - Directory Information (100)\*
  - Multistate Consortium (93)\*
- Student Reporting Requirements – Special Circumstances
  - Students Enrolled in a Separate Career Technical Program (136)
  - Students Living in a Residential Treatment Facility or Residential Center (65, 257)
- Resident Educator Program Compliance (53) NA – Purchased Service
- *Local Professional Development Committee (54)*
- Food Service – NA E-school
  - Sale of a la Carte Beverages (207)
- ITC Participation (72, 235, 236)\*

### **Site Visit 3: Winter #2/March**

- Special Education Program Implementation (118-125)\*
  - Notice for Jon Peterson and Autism Scholarship (133)
  - Transportation of Children with Disabilities (160) – NA E-school
  - Transition Services (169)
  - Eye Exams upon Diagnosis (126) NA-E-school
  - Assessment of Reading and Writing Skills for Students with Visual Impairment (134)
  - *Contract with Board of Developmental Disabilities (127)*
  - Home Instruction (130) NA-E-school – all work done from home
- Medical Care/Safety
  - Immunization Records (80)
  - Diabetes Care (76)

- Tuberculosis Screening (77)
- Eye Protective Devices (90) NA-E-School
- *Health and Safety Policy Review (88)*
- Facilities
  - Emergency Management Plan (31)
  - Doorway Blocking Devices (92) NA – E-School
  - PERPP Compliance (56)
  - Lead Paint/Abatement (83)
  - Pesticide Use (82)
  - Mercury or Mercury-Added Devices (140) NA- E-School
  - Display of American Flag and USA/Ohio Motto (242-243)
- *Workers' Compensation (58) NA- through Purchased Service Agreements for all employees*

#### **Site Visit 4: Spring/February- April**

- Discipline Procedure Implementation
  - Suspension/Expulsion Procedures (5)\*
  - Truancy (1-2)
  - Corporal Punishment Policy Implementation (86)\*
- Education Plan Implementation (71)
  - Graduation Requirements (195)
  - Student Promotion (116)
  - *Academic Prevention/Intervention Services Policy Update (185)*
- State Required Assessment Implementation and Administration (29, 114, 115, 117, 196)
  - Testing Accommodations
  - Shipment of Assessments to ODE
  - Compliance with Testing Security Procedures\*
- *Ohio Means Jobs Notification (199)*
- College Credit Plus Program Implementation
  - Data Reporting and Funding (162, 212, 218, 223)
  - Teacher Qualifications (222) – All teachers are a purchased service
  - Student Participation (213-215, 220, 224-227)
  - Notice Requirements (211, 214, 217, 219)
  - Course Credit (216, 221)
- Special Programs
  - Advanced Standing (188)
  - Distance Learning Courses (141)
  - Joint Education Program (73)
- 22+ High School Diploma Program (254)

#### **End of Year Verification**

- Staff Criminal Actions or Investigations, Misconduct Reporting (43- 45)
- Employment/Hiring Practices (59-60)
- Field Trips (4)
- Data Verification from Cleveland Scholarship, Jon Peterson, Autism Scholarship, and Educational Choice (170, 190, 202, 210)
- Admission of Permanently Excluded Student (68)
- Disposal of Property (10)
- Raffles (85) NA-E-School – we don't have fund raisers
- Continuing Nonprofit Status (36)\*
- Attorney for Contract or Modification (48)

### **Policy Review (ongoing)\***

The following policies or documents are already on file with the Sponsor. Any update should be submitted to the Sponsor within two weeks of update or approval.

- Community School Contract (12, 47, 49, 96-98)
- Comprehensive Plan (97)
- Public Records and Open Meetings (109-110)
- Inhaler/EpiPen Maintenance and Procurement (74-75, 240-41)
- Admissions and Enrollment (95-96)
- Special Education Policies and Procedures (118-125)
- Food Standards and Sale of Food (206, 209) NA- E-School
- Peanut and Food Allergies (101)
- Assessment Security (115)
- Positive Behavior Intervention and Supports (99)
- Attendance, Truancy, and Withdrawal (35)
- Student Discipline (86, 102-103)
- Student Records and Release of Information (37, 100)
- Missing and Absent Children (87)
- Anti-Harassment, Intimidation, and Bullying (102)
- Eye Protective and Classroom Safety (90) NA- E-School
- Graduation and Curriculum Requirements (184, 193-194)
- Promotion and Retention (104)
- Career Advising and Student Success Plans (186)
- Parental and Foster Caregiver Involvement (105)
- Ethics and Conflict of Interest (33-34, 112)
- Jury Duty (107)
- Child Abuse and Neglect (108)
- Whistleblower/Fraud Reporting (91)
- College Credit Plus and Advanced Standing Programs (162, 211)

### **Ongoing Review or Submission**

- Staff Licensure, Background Checks, and Training for New Hires or New Contract Employees
- *LPDC Minutes for 2016-17 Meetings (54)NA- All Staff are purchased services – they work with the LPDC through the organization they are hired by.*