What is an ALE Compliance Review?

ESSB 6002 (2014)

The Office of Superintendent of Public Instruction (OSPI) was granted funding in 2014 under ESSB 6002 to perform compliance reviews of the Alternative Learning Experience (WAC 392-550) and Open Doors Reengagement (WAC 392-700) programs. These reviews support school districts by:

- ensuring that the documentation requirements are met, and
- providing guidance and promising practice to improve efficacy of these components toward student engagement and achievement.

Location/Process

Compliance Reviews can occur either as on-site reviews, or as electronic desk reviews using secure email and videoconferencing.

The OSPI ALE & Reengagement Compliance Manager will meet with program staff as available, either in person or via videoconferencing. Program staff involved in the review can include program administrator, lead teacher and/or case manager, office manager, and registrar. We recommend connecting with your whole team ahead of time to identify questions they may have.

Benefits

The benefits of a compliance review are:

1. Program verification of compliance with the state laws and rules;
2. Pre-audit preparation for formal audits from the State Auditor's Office (SAO);
3. Guidance for best practices in documentation;
4. Opportunity to share techniques and strategies to help similar alternative programs.

What can I expect?

Pre-Visit Review

Before looking at student records, we will review the following items:

- Enrollment and CEDARS data
- Program website information
- Program handbook and other linked documents from the website, if available
- Online program approval documents

Typical Schedule

During our visits, we usually follow these schedules.

On-site reviews

- These generally take 2-3 hours, depending on questions and conversations about compliance and program implementation:
    1. Introduction to the program, short tour and staff/student introductions as available, questions you may have about ALE rules compliance (~1/2 hr);
    2. Review of student records – usually just the Compliance Manager and the files at a table (about 1-2 hrs, depending on complexity of the files and their availability) – see review components listed below;
    3. Debrief and conversations about the records review, further discussion about questions you may have (~1/2-1 hr).
    4. Follow-up: Written report completed and emailed to program leads (~1-2 weeks later).

Desk reviews

- These generally take 2-6 weeks, depending on the complexity and availability of program and student documentation, and program response time:
    1. Pre-review emails with questions about the program and expected records to be reviewed;
    2. Videoconference meeting with staff, questions you may have about ALE rules compliance (~1 hr);
    3. Review of student records – all sent via secure email (time varies depending upon program response time);
    4. Draft report and reconnection via videoconferencing if needed to debrief and to discuss the records review, and answer remaining questions from program staff;
    5. Final written report completed and emailed to program leads.

Student Records Review

For the student records review, we review the following items:

For the time period of [[*approx. 4-5 months' time*]]:

A copy of [[*designated month's*]] enrollment

Please have ready the requested 6-8 student files, selected per reviewer's instructions, from the [[*designated month's*]] enrollment. The selection should include a range of grade levels, one or two with choice transfers if you have them. You will be welcome to include any additional files about which you may have questions or concerns. These are the ones that provide the best conversations.

- FTE claimed
- Written Student Learning Plan
- Course enrollment

- Evidence of direct personal weekly contact
- Monthly Progress Reviews
- Intervention Plans and documentation of student participation
- Full-day Kindergarten (FDK) requirements
- Choice Transfer, if applicable

Course information and staffing

- A syllabus should be available for each course included in the requested student records. Samples will be reviewed.
- A class schedule, if available.
- Staffing information, to include:
  - List of instructional staff employed during the above time period, their endorsements and FTE;
  - List of non-instructional staff, if any, employed during the above time period and their FTE/responsibilities;
  - List of contracted instructors, if any, and their qualifications;
  - Date of school board out-of-endorsement assignment waivers, if applicable.

Post-Review Report

The post-review report includes the following topics:

About (Name of Program):

[information about the program's type, offerings, classes, facilities, etc.]

Highlights:

[compliance-based highlights of documentation, record-keeping, requirements; evidence of connection to student supports and achievement]

Staffing:

[information about certificated staff, non-certificated support staff, contracted staff]

Student Files:

[detail of WSLP checklist items compliance]

[review of monthly progress reviews, intervention plans, and weekly contact]

School Board requirements:

[ALE and related board policies, annual reporting, curriculum approvals]

Handbook/Website:

[overview of publicly-available information about the program]

Questions from program:

[Q & A, as discussed via email, onsite meeting, or videoconferencing]

Recommendations and Follow-up Timeline:

[bulleted items that may include enrollment corrections, forms modifications, student contact practices, curricular support, school board policy updates, etc.]

[timeline for program response to the review, corrections, and recommendations]

Requesting a Compliance Review

Contact Liz Quayle, ALE & Reengagement Compliance Manager
Liz.Quayle@k12.wa.us, (360) 688-8104

Compliance reviews initiated by OSPI include new programs, programs previously identified for compliance concerns, and programs in geographical proximity to other scheduled visits. It is our goal to review a majority of Alternative Learning Experience programs in Washington State.