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 392-121-182) 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 file transfer protocol (SFTP).

The OSPI ALE & Reengagement Compliance Manager will meet with program staff as available. 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 visiting the site, we will review the following items:

- Enrollment and CEDARS data
- Program website information
- Program handbook and other linked documents from the website, if available
Typical Schedule
During our visits, we usually follow this schedule. Reviews 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;
2. Review of student records – usually just the Compliance Manager and the files at a table (about one hour) – see review components listed below;
3. Debrief and conversations about the records review, further discussion about questions you may have.

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
- Evidence of direct personal weekly contact
- Monthly Progress Reviews
- Course enrollment
- Choice Transfer, if applicable

Course information and staffing
- A syllabus should be available for each course included in the requested student records.
- 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 endorsement waivers, if applicable

Post-Review Report
The post-visit report includes the following topics:

About (Name of Program):
[information about the program’s type, offerings, classes, facilities, etc.]

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

Student Files:
[detail of WSLP checklist items compliance]
[review of monthly progress reviews and weekly contact]

Questions from program:
[Q & A, plus snips from sample forms as needed]

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

Recommendations and Follow-up Timeline:
[bulleted items that may include enrollment corrections, forms modifications, student contact practices, curricular support, 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.