



## **STANDARD OPERATING PROCEDURE 3.3**

### **PROCEDURE TITLE: Annual Compliance Onsite Review Process**

**Department: Compliance Department**

**Proposed by: VP Director of Sponsorship**

**Effective Date: 09/01/2013**

#### **PURPOSE**

The ANNUAL COMPLIANCE ONSITE REVIEW PROCESS provides for consistency in review of school documentation necessary to maintain the school's compliance with all applicable laws, rules, and applicable contractual obligations. The goal of the annual compliance on-site review visits is to assist schools in achieving overall compliance in all areas.

#### **SCOPE**

The ANNUAL COMPLIANCE ONSITE REVIEW PROCESS is relevant to all CSS partner schools that are sponsored by St. Aloysius and applies to all CSS staff conducting reviews.

#### **PROCEDURE**

The ANNUAL COMPLIANCE ON-SITE REVIEW PROCESS is conducted according to the following procedures:

1. The Compliance Department will finalize and distribute all applicable on-site review tools and provide training to CSS staff and schools prior to annual compliance on-site review.

The ANNUAL COMPLIANCE ON-SITE REVIEW shall consist of a virtual meeting to review compliance documentation and an onsite file review. Each school will receive a virtual review of compliance documents and an on-site file review, in either the first half or the second half of the school year in coordination with the School Improvement Team's OAR schedule. The School Improvement Team and Compliance Department will coordinate to ensure each



school has an on-site visit in each half of the school year. CSS staff completing the reviews will coordinate with the school leadership to collect all the necessary compliance documents noted in the Fall/Winter Review spreadsheet. After completing a desk review of the compliance documentation, the CSS staff will follow-up with questions or request additional documentation needed resulting from the desk review.

1. CSS staff will review the school's previous year's annual compliance on-site review documentation, which includes relevant policies and procedures, inspections, and other documentation required to show the school's overall compliance with all rules, laws and applicable contractual obligations and compare to the school's current documentation. If the documentation has changed from the previous year, CSS staff will collect new documentation electronically.
2. Assigned CSS staff will complete an on-site file review with the school. Upon arrival at the school, CSS staff will meet with the school administrator/principal and other relevant staff to review the procedures for data collection. During the ANNUAL COMPLIANCE ON-SITE REVIEW:  
CSS staff review the school's compliance and collects data relative to all rules, laws and applicable contractual obligations as provided in the compliance spreadsheets, staff roster, and student files.
  - a. CSS staff reviews a sample of general education student files to ensure collection of documentation for students relative to all rules, laws and applicable contractual obligations.
  - b. CSS staff reviews a sample of special education student files to ensure collection of documentation for students relative to all rules, laws and applicable contractual obligations.
3. During the on-site review, CSS staff shall interview and collect data from at least three stakeholder groups, including but not limited to: the school administrator/principal, academic coaches, administrative staff, EMIS personnel, school support staff, intervention specialists, career advisor, the school's governing authority members, students, parents, treasurer, management company staff, board counsel, etc.
  - a. When an interview is conducted, the following should be considered:
    - i. Reviewer should use compliance spreadsheets, staff roster and/or student records checklist to guide questions.





school leader/principal, governing authority legal counsel and management company representative (if applicable), and the CSS Office Manager to be included in the school's next board meeting documentation, as a part of the Annual Compilation report

- a. This written report will include the information collected during the site visit, a summary of findings, areas needing improvement (if applicable), recommendations, and areas of strength.
  - i. If an area needing improvement is identified, the school shall receive a corrective action plan (CAP) per SOP 3.9 which will include the steps or time frames for resolving the deficiency.
  - ii. The Compliance Department will request relevant status updates from the school regarding its progress in resolving the deficiency.
  - iii. The Compliance Department and/or Legal Department will review relevant status updates from the school regarding its progress in the area.
  - iv. The Compliance Department will also review areas needing improvement and determine if technical assistance should be provided to the school.

## **DOCUMENTATION/VERIFICATION**

All ANNUAL COMPLIANCE ONSITE REVIEW PROCESS documents will be saved as working copies and will be saved as distribution copies when available for proofing. Once the assigned staff member uploads to the distribution folder on the Shared drive, the Compliance Department will verify accuracy and consistency in formatting. The Compliance Department will resave the final versions to an annual compliance assessment process folder identifying the school's name on each Excel and PDF file.

*Location of documentation:*

S:/SITE VISITS

## **DOCUMENT HISOTRY**

Orig. Date May 2012  
Rev. September 2012  
Rev. September 2015  
Rev. February 2016



Rev. March 2017  
Rev. October 2018  
Rev. August 2019  
Rev. July 2022  
Rev. June 2024

### **REVIEW AND APPROVAL**

Reviewer of the ANNUAL COMPLIANCE ONSITE REVIEW PROCESS is as follows:

Reviewed By: Management Team

Date: 06/21/2024

Approved By: President David L. Cash, Jr.

Date: 06/21/2024

The effective date is as of the date signed above. Processes are consistently reviewed and revised as necessary throughout the term. The ANNUAL COMPLIANCE ONSITE REVIEW PROCESS may be implemented as currently written and will be formally evaluated