



# 2011–2012 Federal Program Monitoring

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## LEA Resolution Process Update

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State Superintendent  
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# Training Objectives

- Demonstrate use of the updated CAIS resolution process.



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# CAIS 2.6.1 Updates

- Eliminate use of the Proposed Resolution of Findings (PRF) form.
- New CAIS resolution steps for LEAs.
- Certification statement selected when LEA uploads resolution documents.



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# Resolution of Findings

During the exit meeting, the Regional Team Leader will provide guidance to the LEA on the resolution process.



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# Resolution of Findings

With this new process, LEAs do not submit a PRF form when uploading resolution documents. Using CAIS, LEAs are required to select the certification below prior to resubmitting an item.

The screenshot displays a user interface for finding resolution. At the top, a green header reads "II-EL 07: Translation Notices, Reports, Statements, Records" with a speech bubble icon. Below this, a blue section titled "State Findings" contains a "SEA Status" of "Does Not Meet Requirements" and a "Comments by SEA" field. To the right, a light green box shows a "DUE DATE : 01/13/2012" and two buttons: "Resolution Agreement Request" and "Resubmit Item". Below these buttons, a light blue box contains a checkbox and the text: "The LEA or applicable agency certifies that all corrective actions specified below have been or will be implemented at all sites in the LEA and ensures that the new procedures will be used in the future." A large purple arrow points from the left towards this certification text.



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# Resolution of Findings

When a finding **cannot** be resolved within the initial 45 calendar day period, the LEA may request a Resolution Agreement.

The LEA must submit a comment requesting the additional days and reason for the Agreement.



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# Resolution Agreement Requests

- Resolution Agreement requests will be approved or denied using a comment at the instrument item level.
- Resolution Agreement requests will be approved or denied within five calendar days of posting on CAIS.
- Resolution Agreement requests cannot be granted beyond 180 days from the NOF due date.



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# Resolution of Findings

- An approved Resolution Agreement suspends, for the duration of the approved agreement, any enforcement actions that the CDE might otherwise perform.
- Upon expiration of the Resolution Agreement, CDE will resume enforcement actions.



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# Resolution of Findings

- LEA uploads resolution documents at the instrument item identified as “Does Not Meet Requirements.”
- Instrument item is selected.
- Paper clip under “Required and Suggested Documents” is selected.

The screenshot displays a compliance dashboard with the following elements:

- III. Funding** (1 of 1 completed (1 not in compliance))
  - III-ITQ 03: ITQ Funding III** (Compliance Status: ❗ Does Not Meet Requirements) - A purple arrow labeled '1' points to the status, and another purple arrow labeled '2' points to the item title.
- IV. Standards, Assessment and Accountability** (2 of 2 completed (1 not in compliance))
  - IV-ITQ 04: ITQ Funding Highly Qualified Teachers** (Compliance Status: Not Monitored) - A purple arrow labeled '3' points to a paper clip icon with the number '5' next to it, located under the heading "Required and Suggested Documents (5)".

The text "Green Column" is written in green below the paper clip icon.



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# Resolution of Findings

After the LEA has uploaded documents, they must post a comment at the item level describing the documents. The LEA selects “Resubmit Item.”

The screenshot displays the 'SEA Status' interface for 'II-EL 04: Identification, Assessment, and Notification'. The status is 'Does Not Meet Requirements'. A purple arrow labeled '1' points to a comment icon. Below, the 'Comments by SEA' section shows a 'DUE DATE : 01/13/2012'. Two buttons are visible: 'Resolution Agreement Request' and 'Resubmit Item'. A purple arrow labeled '2' points to the 'Resubmit Item' button. Below the buttons is a checkbox with a checkmark and the text: 'The LEA or applicable agency certifies that all corrective actions specified below have been or will be implemented at all sites in the LEA and ensures that the new procedures will be used in the future.'



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# Resolution of Findings

The instrument item status change is depicted below.

▼ [II. Governance and Administration](#) 2 of 2 completed (2 not in compliance)

↳ [II-EL 04: Identification, Assessment, and Notification](#) 1

Compliance Status: 🔴 Resubmitted for Review

A purple arrow points from the left margin to the 'II-EL 04: Identification, Assessment, and Notification' entry.

CAIS will send a notification e-mail regarding this status change to all staff associated with the program instrument.



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# Resolution Process

When a finding has been resolved, the program reviewer will change the program instrument “SEA Status” to “Resolved” and post a comment at the program instrument item level informing the LEA of this resolution when other findings remain.

IV-ITQ 05: ITQ Funding V

State Findings

SEA Status Resolved

Comments by SEA

1

2

3



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# Resolution Process

When all findings in a program instrument have been resolved, program reviewers will change the program instrument status from “Needs Further Action” to “Accepted.”

## Instrument Overview

Status: **Accepted** ←

Criteria Questions: None

State Item Status	Updated
Meets requirements: 6	Last update: 1/26/2011 12:16:30 PM
Does not meet requirements: 0	by Nava, Ramiro
In progress: 0	
Not Monitored: 0	



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# Resolution Process

The LEA will receive a notification via an e-mail that all findings have been resolved within the 45 day calendar day period.

## COMMENT DETAILS

< Newer 1 of 12 Older >

[✖ Remove Comment](#)

Posted by Shobhana Rishi

On 6/27/2011 3:20:56 PM

Emailed to Donna Colosky, Will Lee, Dave Mobley, Ramiro Nava, Trenae Nelson, Shobhana Rishi, Matthew Schulenberg

Comment This email is being sent to notify you that the English Learner monitoring instrument status for Apple Valley Unified - 36750770000000 has been changed to Accepted by Shobhana Rishi at CDE.

The Accepted status indicates that the state is finished with all work for the instrument and does not expect any further action from the lea.

If you have any questions about using the system, please contact technical support at [caishelp@cde.ca.gov](mailto:caishelp@cde.ca.gov).



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# Resolution Process

When resolution documents do not resolve a finding, the program reviewer changes the program instrument item status from “Resubmitted for Review” to “Does Not Meet Requirements” and posts a comment.

**DUE DATE : 09/09/2011**

[Resubmit Item](#)

▼ **State Findings**

SEA Status **Does Not Meet Requirements** ←

Comments by SEA



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# Resolution Agreement Request

LEA requests a Resolution Agreement.

LEA posts a comment requesting the additional days and reason for the Agreement.

The screenshot displays a web interface for tracking educational findings. At the top, a green header reads "II-EL 07: Translation Notices, Reports, Statements, Records" with a comment icon. Below this, a section titled "State Findings" is expanded. Underneath, the "SEA Status" is "Does Not Meet Requirements". A "Comments by SEA" section is visible. On the right, a light green box contains a "DUE DATE : 01/13/2012" and a "Resolution Agreement Request" button, which is highlighted by a purple arrow. Below this is a "Resubmit Item" button. At the bottom, a checkbox is followed by the text: "The LEA or applicable agency certifies that all corrective actions specified below have been or will be implemented at all sites in the LEA and ensures that the new procedures will be used in the future."



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# Resolution Agreement Approval

When the program reviewer approves a Resolution Agreement request, the program instrument item status remains at “Resolution Agreement Requested” and reviewer posts an approval comment.





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# Resolution Agreement Due Date

Within five calendar days the program reviewer will input the “Resolution Agreement Due Date” in the program instrument item to reflect the date on the approved Resolution Agreement request.

The screenshot displays a software interface for tracking program instrument items. At the top, the title is "II-EL 07: Translation Notices, Reports, Statements, Records" with a comment icon showing 1 comment. Below this is a section for "State Findings". A table lists the status of items, with one item highlighted: "SEA Status Resolution Agreement Requested". A purple arrow points from this status to a light green box on the right that contains the text "DUE DATE : 01/13/2012". Below this box are two buttons: "Resolution Agreement Request" and "Resubmit Item". At the bottom of the interface, there is a checkbox with the text: "The LEA or applicable agency certifies that all corrective actions specified below have been or will be implemented at all sites in the LEA and ensures that the new procedures will be used in the future."



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# Resolution Agreement Denial

When the program reviewer denies a Resolution Agreement request, the program instrument item status is changed from “Resolution Agreement Request” back to “Does Not Meet Requirements” and reviewer posts a comment with a reason for the denial.

**DUE DATE : 09/09/2011**

[Resubmit Item](#)

▼ **State Findings**

SEA Status **Does Not Meet Requirements**

Comments by SEA



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Criteria Questions: None


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Meets requirements: 6	Last update: 1/26/2011 12:16:30 PM
Does not meet requirements: 0	by Nava, Ramiro
In progress: 0	
Not Monitored: 0	



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# Resolution Process

The LEA will receive a notification via an e-mail that all findings have been resolved at the conclusion of the Resolution Agreement.

 **COMMENT DETAILS** < [Newer 1 of 12](#) [Older](#) >

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[✕ Remove Comment](#)

**Posted by** Shobhana Rishi

**On** 6/27/2011 3:20:56 PM

**Emailed to** Donna Colosky, Will Lee, Dave Mobley, Ramiro Nava, Trenae Nelson, Shobhana Rishi, Matthew Schulenberg

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# Contact Information

## **Federal Program Monitoring Office**

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## **CAIS Help Desk**

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