



Indiana Department of Education

Glenda Ritz, NBCT
Indiana Superintendent of Public Instruction

2014-2015 A-F AUDIT **Guidance & Information for Schools/Corporations**

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1. General Information

- a. Per IC 20-31-8-4(b), before the Indiana State Board of Education (SBOE) may place a school in an A-F category the Indiana Department of Education (IDOE) must provide each school the opportunity to review, add to, or supplement the data, and correct any errors in the data.
 - i. Opportunity to Review: Schools are given the opportunity to review the data during the collection window and during the signoff period for each respective data collection.
 - ii. Opportunity to Supplement: Schools are given the opportunity to supplement the data during the collection window and during the signoff period for each respective data collection.
 - iii. Opportunity to Correct Errors in Data: Schools are given the opportunity to correct errors in data during the A-F audit.
- b. Errors in Data are defined by the IDOE as incomplete or inaccurate data utilized for A-F purposes that is due to a miscalculation, or non-inclusion of data in the calculation.
- c. The following data components may be addressed in this audit process:
 - i. 2015 Attendance (DOE-AT)
 - ii. 2015 LEP/ISTEP+ (DOE-LE)
 - iii. 2015 Enrollment/Mobility (DOE-RT/EM)
 - iv. 2015 Course Completion (DOE-CC)

- v. 2014 College and Career Readiness Data (industry certification, international baccalaureate, advanced placement)
- d. **The IDOE will not review any requests to audit a school's 2014 graduation rate or cohort.** Schools were afforded the opportunity to correct errors in data with the 2014 graduation rate during the IDOE's graduation rate audit conducted in Spring 2015.
- e. Any non-data related issues will be addressed through the [SBOE's appeals process](#). **Only data-related issues are addressed through the IDOE's A-F audit.**
- f. Questions concerning the audits should be submitted to schoolaccountability@doe.in.gov.

2. Timeline Information

- a. The online portal for submissions will open on **December 1, 2015** for all schools and corporations.
- b. All documentation must be submitted to the online portal and received by the IDOE no later than **11:59pm on December 15, 2015**.
- c. Audits will be conducted by the IDOE from **December 1 through December 31, 2015**. Schools will receive notice of the IDOE's findings upon completion of the IDOE's review.
- d. The IDOE will be recalculating grades once ISTEP+ rescore data is available. If the recalculation results in a lowered grade for a school then the IDOE will extend a second audit window opportunity to these schools.
- e. An extension of time for submission may be granted by the IDOE if the IDOE finds that the school has demonstrated good cause for an extension of time.

3. Submission Requirements

- a. Schools must submit the audit request via IDOE Online Portal found here: <https://accountability.doe.in.gov>. Only audits submitted via DOE Online by the stated deadline will be considered.
- b. Any audit requests received by post, email or fax **will not be accepted**.
- c. Only one audit may be submitted per school.
- d. An audit request must include the data correction files as well as supporting documentation.
- e. Each piece of supporting documentation provided must be clearly labeled with the student's STN and first and last name to be considered by the IDOE.
- f. Schools will be contacted by the IDOE if there are one or more issues identified during the submission process and/or with the documentation itself. The IDOE will inform the school of the nature of the issue(s) with the audit submission and/or documentation.
- g. For further guidance on documentation requirements, please refer to the section on [Documentation](#).

4. How to Submit an Audit

- a. Please see below for the outlined process of submitting an A-F audit request:
 - i. STEP ONE: Review Learning Connection Report Card Rosters.
 - ii. STEP TWO: Download and complete required supplemental files from Learning Connection
 1. Student Data Worksheet
 - a. Download the file from Learning Connection (*School Accountability Community > Files and Bookmarks > A-F Audits & Appeals Process > IDOE A-F Audits > Student Data Worksheet*)
 - b. Insert student records on the appropriate tabs.
 - i. A full record should be submitted for each student.
 - ii. Requested update should be reflected in the record submitted to the DOE.
 - iii. Note: the pre-formatted file allows users to copy records directly from the excel export from Learning Connection.
 - c. File should be stored electronically to allow for file upload.
 - iii. STEP THREE: Complete online audit submission.
 1. Login to <https://accountability.doe.in.gov>
 - a. Use DOE Online username and password
 - b. User must have corporation administrator role (traditional and charter public schools) or school administrator role (nonpublic schools)
 - c. Additional information concerning roles, including how to request specific roles, can be found on the DOE Online Help site:
http://pod.doe.in.gov/groups/doeonlinehelp/wiki/28efb/DOEOnline_Roles.html
 2. Create new audit request
 - a. Click "Create New A-F Audit Request" button
 - b. Review instructions, corresponding documentation and deadline information
 - c. Select "school" or "corporation" depending on which will be audited
 - d. Select the data component/s to be audited
 - e. Populate the description area with a brief overview of the audit.
 - f. Review data entered and click "Continue"
 - g. Upload applicable files
 - i. Student data worksheet (**REQUIRED**)
 1. Student level records must be submitted on the formatted Student Data Worksheet supplied by the IDOE.
 2. Complete records should be submitted for each student, including the identified error and requested change
 - ii. Evidence/Documentation (**REQUIRED**)
 1. Data and/or documentation to support the audit request
 - h. Ensure all files are uploaded and click "Continue"
 - i. Verify the audit information
 - i. Review Requestor Information. Use "Back" button to correct data as needed.

- ii. Review Component/s to be Audited and Description information. Use “Back” button to correct data as needed.
 - iii. Review Uploaded Files. Use “Back” button to correct data as needed.
- j. Submit Audit Request
 - i. Click to affirm that the Superintendent or School Leader approves of the submission.
 - ii. By clicking the “submit” button, the submitter certifies the audit is accurate and complete.
 - iii. Additional changes cannot be made following the audit submission.

5. Documentation & Examples of Audit Issues

a. Documentation

- i. For the IDOE to determine whether an audit finding should be approved, the school must provide sufficient evidence to support the request. For example, if a school requests an audit of the college and career readiness component because some students are not counted as receiving dual credit, the school should provide documentation to demonstrate that the students did in fact receive the dual credit (transcript documenting at least 3 dual credits received).
- ii. If a school does not provide sufficient evidence to support the school’s request then the IDOE may not approve of the requested data change.

b. Examples

- i. Some examples of data issues that may be addressed through the audit include:
 - 1. Students were not appropriately included in the A-F accountability roster because of data issues with attendance and enrollment showing student enrolled for at least 162 days.
 - 2. Foreign exchange student that was appropriately reported in the STN center was included in accountability when they should have been excluded.
 - 3. STN discrepancies
 - 4. Coding errors for School of Accountability field
 - 5. Student received dual credit, industry certification, or passed an IB or AP assessment but was not included in the A-F accountability roster.

6. Audit Review Process

- a. There will be two (2) tiers of review in an audit. The Tier 1 review is an initial review of the documentation. Based on this review, a primary determination will be made as to whether the documentation sufficiently demonstrates that there was an error in data. The Tier 2 review examines the documentation alongside the primary determination to ensure accuracy and consistent determinations, and confirms or denies the Tier 1 findings. A Tier 3 review may be implemented if there is a discrepancy between the Tier 1 and Tier 2 reviews.

- b. Audits may be approved or denied in whole or in part. Additionally, the findings of an audit may or may not alter the final outcome as it relates to the A-F accountability calculations. Audits will be conducted as received.
- c. All findings and determinations from the audits will be used in the calculation of A-F grades. These grades will be taken to the SBOE for final placement based on the findings of the audit.
- d. Any reviewer that may have a conflict of interest (including, but not limited to, having family members employed by the school or corporation being audited or having a child that attends the school or corporation being audited) will not be assigned to that school's audit.
- e. Reviewers maintain confidentiality of all audits and do not discuss or disclose the contents of audits with anyone during the audit other than the IDOE staff necessary to the completion of the audit.
- f. The IDOE reserves the right to audit the entire data collection of a school or corporation during the review process.

7. State Board of Education Appeals

- a. At its March 12, 2015 business meeting, the SBOE adopted a resolution outlining the process for A-F appeals. This resolution outlining the process may be under the IDOE - School Accountability community here:
Files and Bookmarks > A-F Audits & Appeals Process > SBOE A-F Appeals > A-F Appeals Process.pdf
- b. A school may appeal its final placement by the SBOE based on the following grounds: error in data; significant demographic change in student population; and other significant issues.
- c. Some examples of appealable issues include:
 - i. Influx of student population.
 - ii. Fairness of system, negative impact on schools based on configuration.
 - iii. Act of God and other actions interrupting testing windows.
 - iv. Anything that may have impacted student performance on statewide assessments.
 - v. Applicability of administrative rule, or questions regarding the administrative rule.
- d. For more information on this process, please contact the SBOE staff sboe_comment@sboe.in.gov or (317) 232-2000.