

**Guidelines and Recommended Procedures for OECN Data Acquisition Sites  
Compliance Worksheet**

*If the answer to any of the questions below is NO, an explanation is to be provided in the comments section.*

Governance and Organization

1. Does each of the school districts that are considered as consortium member districts by the Data Acquisition Site have a vote in deciding governance issues affecting the consortium? Yes\_\_\_ No\_\_\_  
[ 3301-3-02(B) & 3301-3-04(B) ]

Evidence:

An answer of YES requires that at least ONE of the following conditions exists:

Each district's representative has a vote -

(a) On the consortium's governing assembly

or

(b) On the consortium's governing board/board of directors/executive board

or

(c) In electing the members of the consortium's governing board/board of directors/executive board.

2. Has the consortium's organizational governance document been ratified by the governing body (i.e. board of education) of each (proposed) participating consortium member district? Yes\_\_\_ No\_\_\_  
[ 3301-3-03(A)(1) & 3301-3-04(A)(1) ]

Evidence:

Copies, on file at the Data Acquisition Site, of appropriate resolutions and/or authenticating documentation from all consortium member district boards of education.

3. Is the consortium's current governance document in compliance with Sections 3301.075 & 3313.92 of the Ohio Revised Code, and with the OECN line item appropriation language contained in the most recent budget enacted by the Ohio General Assembly? Yes\_\_\_ No\_\_\_  
[ 3301-3-07(A)(1) & 3301-3-07(C)(1)(b) ]

4. Has the consortium's current governance document received the approval of the Superintendent of Public Instruction? Yes\_\_\_ No\_\_\_  
[ 3301-3-07(A)(1) ]

Evidence:

Cover page of current governance document signed by the Superintendent of Public Instruction.

5. Does the consortium have a member base of at least eight consortium member districts which are provided with continuous on-line computerized electronic communications services? Yes\_\_\_ No\_\_\_  
[ 3301-3-03(A)(3) & 3301-3-04(A)(1) ]

Evidence:

Derived mainly from staff and user interviews/surveys. Each member district must have guaranteed access for electronic communications services, with at least a dedicated dialup capability.

6. Is the aggregate ADM of all consortium member districts at least fifteen thousand students? Yes\_\_\_ No\_\_\_  
[ 3301-3-03(A)(3) & 3301-3-04(A)(1) ]

7. Does the consortium's governance document include provisions for a governing assembly, a board of directors/governing board, an executive committee, or a combination of these entities? Yes\_\_\_ No\_\_\_  
[ 3301-3-07(A)(2) ]

Evidence:  
Content of current governance document.

8. Does the governance document include provisions which encourage participation by end user representatives? Yes\_\_\_ No\_\_\_  
[ 3301-3-07(A)(3) ]

Evidence:  
Document content which provides for user representation. Examples include user groups, advisory committees, ad hoc committees, and/or the participation of end users on the governing bodies of the consortium.

9. Does the governance document define the responsibilities of each component of the organizational structure? Yes\_\_\_ No\_\_\_  
[ 3301-3-07(A)(4) ]

Evidence:  
Document content that defines the responsibilities/duties of the following:  
(a) Governing Assembly  
(b) Board of Directors/Governing Board/Executive Board  
(c) Operating Committee  
(d) Fiscal Agent

10. Does the consortium's governing authority (including legislative and managerial authority) rest with the board of directors/governing board or the governing assembly rather than the fiscal agent? Yes\_\_\_ No\_\_\_  
[ 3301-3-07(A)(5) ]

Evidence:  
(a) An answer of YES requires that the "powers and duties" of the governing assembly and/or the board of directors/governing board, as listed in the governance document, reflect -APPROVAL- authority for establishing budgets, fees, hiring/firing employees, etc.. instead of simply functioning as -RECOMMENDATION- groups with final decisions/actions relegated to the fiscal agent.  
(b) Responses from staff and user interviews/surveys.  
(c) Review of minutes from official meetings of governing groups.

11. Does the governance document identify the process of change and define how organizational changes are to occur? Yes\_\_\_ No\_\_\_  
[ 3301-3-07(A)(6) ]

Evidence:

Document content which describes procedures for the following organizational changes:

- (a) Amending the agreement (governance document).
- (b) Adding or withdrawing district membership.
- (c) Changing officers (of governing groups).
- (d) Changing the fiscal agent.

12. Does the governance document contain language that holds harmless the fiscal agent for liabilities, obligations, claims, damages, etc.. relating to the operation and activities of the consortium? Yes\_\_\_ No\_\_\_  
[ 3301-3-07(A)(7) ]

Evidence:

Appropriate language contained in..

- (a) The current governance document  
or
- (b) A separate contract/agreement between the consortium and the fiscal agent district.

13. Are all governance policies, procedures, and daily site operations conducted in accordance with the consortium's current by-laws and/or agreement(s)? Yes\_\_\_ No\_\_\_  
[ 3301-3-07(A)(8) ]

Evidence:

- (a) Review of existing consortium policies/procedures.
- (b) Responses from staff and user interviews/surveys.
- (c) Review of minutes from official meetings of governing groups.

14. Does the Data Acquisition Site meet all the responsibilities specified in Rule 3301-3-06(A)? Yes\_\_\_ No\_\_\_  
[ 3301-3-06(A) ]

Fiscal Operations

15. Are all financial transactions and accounting procedures associated with Data Acquisition Site operations performed in compliance with requirements of the Revised Code and the Auditor of State? Yes\_\_\_ No\_\_\_  
[ 3301-3-07(B)(1)(a)(I) ]

Evidence:

Review of audit report from latest applicable financial audit.

16. Are the financial accounting records of Data Acquisition Site activities separately maintained and capable of being audited? Yes\_\_\_ No\_\_\_  
[ 3301-3-07(B)(1)(a)(ii) ]

Evidence:

Review of audit report from latest applicable financial audit.

17. Does the fiscal agent, on behalf of the member districts, or the council of governments (COG) hold title to all equipment owned by the Data Acquisition Site? Yes\_\_\_ No\_\_\_  
[ 3301-3-07(B)(1)(a)(iii) ]

Evidence:

- (a) Appropriate language in current governance document.  
(b) Review of language in DAS past or present equipment acquisition documents (i.e. lease/lease-purchase/purchase).

18. Are procedures defined and followed for receipting, expending and accounting for Data Acquisition Site funds? Yes\_\_\_ No\_\_\_  
[ 3301-3-07(B)(1)(a)(iv) ]

Evidence:

Review of audit report from latest applicable financial audit.

19. Do the consortium's appropriate governing bodies (i.e. the governing assembly, board of directors, etc..) approve all fee assessments, contracts, employee compensation and benefits, as well as initial and modified appropriations, and are these actions evidenced by official meeting minutes? Yes\_\_\_ No\_\_\_  
[ 3301-3-07(B)(1)(b) ]

Evidence:

Review of minutes from official meetings of governing groups.

20. Are members of the consortium's governing assembly or board of directors provided access to detailed fiscal reports at each regular meeting, as well as other reports upon request? Yes\_\_\_ No\_\_\_  
[ 3301-3-07(B)(1)(c) ]

Evidence:

- (a) Review of agendas/handouts from previous meetings.  
(b) Responses from staff and user interviews/surveys.  
(c) Review of minutes from official meetings of governing groups.

21. Do the amortization periods for the retirement of any consortium indebtedness not exceed the recommended schedules for depreciation as established by the Internal Revenue Service? Yes\_\_\_ No\_\_\_  
[ 3301-3-07(B)(2)(a) ]

Evidence:

The amortization period for any DAS debt(s) incurred after 6/30/95.

22. Does the Data Acquisition Site maintain a minimum cash balance equivalent to the higher of the following?  
(a) An average of thirty days' expenditures for the previous twelve-month period,  
or  
(b) anticipated expenditures for the next sixty days. Yes\_\_\_ No\_\_\_  
[ 3301-3-07(B)(2)(b) ]

Evidence:

Cash balance entries from the annual financial detail report.

Services

23. Does the Data Acquisition Site maintain an accurate schedule of services and written service contracts for execution between the Data Acquisition Site and consortium member districts? Yes\_\_\_ No\_\_\_  
[ 3301-3-03(A)(2) & 3301-3-04(A)(1) ]

Evidence:

- (a) Existence of an accurate service/fee schedule.  
(b) Existence of written service contract(s).

24. Are financial management software services offered, including general ledger accounting with generally accepted accounting principles (GAAP) reporting, payroll, and asset accounting? Yes\_\_\_ No\_\_\_  
[ 3301-3-07(C)(2)(a) ]

25. Are student data management services offered with provisions for student scheduling, grade reporting, attendance tracking, and tracking of special education needs? Yes\_\_\_ No\_\_\_  
[ 3301-3-07(C)(2)(b) ]

26. Are state-mandated data submission services (i.e. electronic submission of EMIS reports) offered? Yes\_\_\_ No\_\_\_  
[ 3301-3-07(C)(2)(c) ]

27. Are electronic communication services offered which permit data extraction, file transfer, and electronic messaging? Yes\_\_\_ No\_\_\_  
[ 3301-3-07(C)(2)(d) ]

28. Are consortium member officials provided access to appropriate Ohio Department of Education databases? Yes\_\_\_ No\_\_\_  
[ 3301-3-07(C)(2)(e) ]

Evidence:

At a minimum, the following ODE informational programs must be READILY AVAILABLE to consortium member districts via the on-line menu of offerings provided by the DAS:

- (a) Vital Statistics  
(b) Staff Profiles  
(c) Teacher Certification Data  
(d) Fall Enrollment

29. Does the Data Acquisition Site offer technical advice and recommendations to user entities? Yes\_\_\_ No\_\_\_  
[ 3301-3-07(C)(2)(f) ]

Evidence:

- (a) Responses from staff and user interviews/surveys.  
(b) Copies of past newsletters, current DAS policies, or other appropriate documentation on file.

30. Are instructional technology resources, as defined by the Ohio Department of Education, offered to consortium member districts? Yes\_\_\_ No\_\_\_  
[ 3301-3-07(C)(2)(g) ]

Evidence:

- (a) The phrase "instructional technology resources" is currently defined by ODE as Internet access for staff and students.  
(b) Review of current DAS policies and/or other documentation relative to Internet access.  
(c) Responses from staff and user interviews/surveys.

Data Communications

31. Is there at least one (1) data communications link to every district in the Data Acquisition Site's geographic service region for which the Data Acquisition Site receives funding? Yes\_\_\_ No\_\_\_  
[ 3301-3-07(D)(1) ]

32. Does the data communications link (see Item 31 above) provide each district in the Data Acquisition Site's geographic service region with EMail access to the OECN? Yes\_\_\_ No\_\_\_  
[ 3301-3-07(D)(1) ]

33. Is the speed and reliability of the consortium's data communications network commensurate with industry standards and does it provide for efficient end-user processing? Yes\_\_\_ No\_\_\_  
[ 3301-3-07(D)(2) ]

Evidence:

- (a) Current interpretation is a network consisting of "2400 baud minimum speeds for single users with similar throughput for multiple user circuits."
- (b) Review of actual capabilities re. the data comm network.
- (c) Existence of a network topology map which would not only define speeds, but also the number of devices supported across any given link.

34. Does the Data Acquisition Site support industry standard transmission protocols? Yes\_\_\_ No\_\_\_  
[ 3301-3-07(D)(3) ]

Evidence:

- Current interpretation is that at least ONE of the following protocols must be functional at the DAS:
- (a) TCP/IP
  - (b) DECnet
  - (c) LAT

35. Does the Data Acquisition Site facilitate the repair and maintenance of the consortium's data communications equipment? Yes\_\_\_ No\_\_\_  
[ 3301-3-07(D)(4) ]

Evidence:

- (a) Copies of appropriate equipment maintenance contract(s).
- (b) Responses from staff and user interviews/surveys.
- (c) Copies of other pertinent documentation.

36. Are options available to user districts which include LAN to WAN connectivity to the OECN? Yes\_\_\_ No\_\_\_  
[ 3301-3-07(D)(5) ]

Evidence:

- (a) Review of DAS service offerings, policies, and procedures.
- (b) Responses from staff and user interviews/surveys.
- (c) Copies of other pertinent documentation.

37. Does the Data Acquisition Site make available electronic communication capabilities to any State Board of Education member who resides within the Site's geographic service area? N/A\_\_\_ Yes\_\_\_ No\_\_\_  
[ 3301-3-07(D)(6) ]

Hardware and Software

38. Does the Data Acquisition Site provide for repair and maintenance of the computer systems equipment which is utilized to support services to multiple districts?  
[ 3301-3-07(E)(1) ] Yes\_\_\_ No\_\_\_

Evidence:  
Copies of appropriate equipment maintenance contract(s).

39. Is the performance and reliability of the computer systems equipment commensurate with user expectations and industry standards?  
[ 3301-3-07(E)(2) ] Yes\_\_\_ No\_\_\_

Evidence:  
Responses from user interviews/surveys.

40. Does the computer systems equipment enable the Data Acquisition Site to offer the basic services as described in Rule 3301-3-07(C)(2)?  
[ 3301-3-07(E)(3) ] Yes\_\_\_ No\_\_\_

41. Is the current version of each software package, based on the providers' standards for continued support, available for access by user personnel?  
[ 3301-3-07(F)(1) ] Yes\_\_\_ No\_\_\_

42. Is all software provided by the Ohio Department of Education maintained and utilized without modification in any respect, unless prior written approval for software modification has been received from the Superintendent of Public Instruction or his designee?  
[ 3301-3-04(A)(2) ] Yes\_\_\_ No\_\_\_

43. Does the Data Acquisition Site have support services available from each software provider or designee?  
[ 3301-3-07(F)(2) ] Yes\_\_\_ No\_\_\_

44. Does the Data Acquisition Site have an established procedure, approved by its governing body, for suggesting changes to the software providers?  
[ 3301-3-07(F)(3) ] Yes\_\_\_ No\_\_\_

Evidence:  
Copy of written "change procedure" approved by the DAS governing body.

Computer Center Operations

45. Are backups done at regular intervals and stored at a secure location?  
[ 3301-3-07(G)(1) ] Yes\_\_\_ No\_\_\_

46. Are backups done in such a manner that it is possible to reliably restore the data as needed?  
[ 3301-3-07(G)(1) ] Yes\_\_\_ No\_\_\_

47. Is the computer system scheduled for user access seven days per week on a regular basis?  
[ 3301-3-07(G)(2) ] Yes\_\_\_ No\_\_\_

48. Is the computer system scheduled for user access at least 95 per cent of the time during prime time working hours (7 a.m. to 5 p.m. Monday through Friday)?  
[ 3301-3-07(G)(3) ] Yes\_\_\_ No\_\_\_

49. Has a written disaster recovery plan been formulated, reviewed regularly by the Data Acquisition Site's governing body, and filed with the ODE Division of Information Management Services? Yes\_\_\_ No\_\_\_  
[ 3301-3-07(G)(4) ]

Evidence:  
Copy of written disaster recovery plan.

50. Has a written security policy been implemented which specifies the methods for obtaining, processing, reporting and storing data? Yes\_\_\_ No\_\_\_  
[ 3301-3-07(G)(5)(a) ]

Evidence:  
Copy of written security policy in effect at the DAS.

51. Has a written security policy been implemented which prohibits access to the computer systems and services by unauthorized personnel? Yes\_\_\_ No\_\_\_  
[ 3301-3-07(G)(5)(b) ]

Evidence:  
(a) Copy of written security policy in effect at the DAS.  
(b) Responses from staff and user interviews/surveys.  
(c) On-site review of data center facilities.

52. Are Data Acquisition Site staff members bonded for the faithful performance of their duties? Yes\_\_\_ No\_\_\_  
[ 3301-3-07(G)(6) ]

Evidence:  
Copy of appropriate insurance policy/policies.

53. Does the Data Acquisition Site have insurance coverage for all of its fixed assets? Yes\_\_\_ No\_\_\_  
[ 3301-3-07(G)(7) ]

54. Has a data retention policy been written, implemented and communicated to all user districts? Yes\_\_\_ No\_\_\_  
[ 3301-3-07(G)(8) ]

Evidence:  
Copy of existing written policy re. data retention.

55. Does the data retention policy (see item 54) specify how the data is stored, how it can be restored and the method for disposal of this data? Yes\_\_\_ No\_\_\_  
[ 3301-3-07(G)(8) ]

Evidence:  
Review of content - written policy re. data retention.

56. Is the computer system reviewed at regular intervals to ensure sufficient system performance and data security? Yes\_\_\_ No\_\_\_  
[ 3301-3-07(G)(9) ]

57. Does the Data Acquisition Site have a signed service contract with every user entity which lists the services used and the basis for calculating the charges for those services? Yes\_\_\_ No\_\_\_  
[ 3301-3-07(G)(10) ]

Evidence:  
Copy of current signed service contract(s) with every user entity.



58. Is the billing procedure for user services performed in a regular and timely manner? Yes\_\_\_ No\_\_\_  
[ 3301-3-07(G)(10) ]

Evidence:

- (a) Review of DAS billing procedures & cash flow history.
- (b) Bills cannot carry over into the ensuing fiscal year.
- (c) Responses from staff and user interviews/surveys.

59. Are Data Acquisition Site staff members accessible by user personnel via telephone or electronic mail? Yes\_\_\_ No\_\_\_  
[ 3301-3-07(G)(11) ]

Evidence:

Responses from staff and user interviews/surveys.

60. Has the Data Acquisition Site implemented software which will automatically disable inactive user sessions? Yes\_\_\_ No\_\_\_  
[ 3301-3-07(G)(12) ]

Evidence:

Review of existing DAS system software capabilities.

Computer Center Physical Facilities

61. Is the environment for the computer systems in compliance with the computer manufacturer's standards for installation, power, and maintenance? Yes\_\_\_ No\_\_\_  
[ 3301-3-07(H)(1) ]

62. Is the physical security of the Data Acquisition Site adequate to prevent unauthorized access to the computer systems? Yes\_\_\_ No\_\_\_  
[ 3301-3-07(H)(2) ]

63. Is there an area available to provide training for the Data Acquisition Site services described in Rule 3301-3-07(C)(2)? Yes\_\_\_ No\_\_\_  
[ 3301-3-07(H)(3) ]

Data Acquisition Site Personnel

64. Are staffing levels sufficient, as measured by user and staff satisfaction, to meet the service needs of the user? Yes\_\_\_ No\_\_\_  
[ 3301-3-07(I)(1) ]

Evidence:

Responses from staff and user interviews/surveys.

65. Do the Data Acquisition Site director and all managers/supervisors meet the staff qualifications requirements as detailed in Rule 3301-3-07(I)(2)(a-c)? Yes\_\_\_ No\_\_\_  
[ 3301-3-07(I)(2)(a-c) ]

66. Do all staff members have the training and/or experience necessary to perform the duties contained in their job descriptions? Yes\_\_\_ No\_\_\_  
[ 3301-3-07(I)(2)(d) ]

67. Have all Data Acquisition Site staff been given the appropriate training for the task(s) assigned? Yes\_\_\_ No\_\_\_  
[ 3301-3-07(I)(3)(a) ]

68. Are all Data Acquisition Site staff members engaged in an ongoing program of inservice in the areas of assignment? Yes\_\_\_ No\_\_\_  
[ 3301-3-07(I)(3)(b) ]

69. Has each staff member earned a minimum of one and one-half CEU's during the previous fiscal year? Yes\_\_\_ No\_\_\_  
[ 3301-3-07(I)(3)(b) ]

Training of Users

70. Is an ongoing comprehensive program of training for users available for each of the services supported by the Data Acquisition Site? Yes\_\_\_ No\_\_\_  
[ 3301-3-07(J)(1) ]

Evidence:

- (a) Review of DAS user training schedule(s) for past year.
- (b) Review of agendas & attendee rosters from previous user training sessions.
- (c) Responses from staff and user interviews/surveys.

71. Do all appropriate user training programs follow the CEU guidelines as specified by the Ohio Department of Education? Yes\_\_\_ No\_\_\_  
[ 3301-3-07(J)(2) ]

Evidence:

Review of existing user training programs (CEU guidelines to be made available by ODE).

