

2016-2017 Sponsor Evaluations (Quality Component) Critical Area A: Commitment and Capacity

Office of Community Schools · February 2017



Quality Practices Component

Six Critical Areas:

- A Commitment and Capacity
- B Application Process and Decision-Making
- C Performance Contracting
- D Oversight and Evaluation
- E Termination and Renewal Decision-Making
- F Technical Assistance





Critical Area A

Commitment and Capacity

A. Commitment and Capacity

Critical Area Evaluates:

- Sponsorship capacity
- Sponsor's internal processes for improvement
- Sponsor's resources
- Sponsor's roles and responsibilities clearly delineated from those of its school(s)

A. Commitment and Capacity

7 Standards:

- A.01 Mission and Strategic Plan
- A.02 Goals and Self-Evaluation
- A.03 Roles and Responsibilities
- A.04 Conflicts of Interest
- A.05 Staff Expertise
- A.06 Staff Development
- A.07 Allocation of Resources



The sponsor has a clear mission and a strategic plan for sponsoring community schools.

Key Indicators

 The mission cites sponsoring practices and is available on the sponsor's website.

 The strategic plan articulates clear sponsoring priorities, measurable goals and time frames for achievement.

A.01 – Mission and Strategic Plan: The sponsor has a clear mission and a strategic plan for sponsoring community schools.

Key Indicators:

- The mission cites sponsoring practices and is available on the sponsor's website.
- The strategic plan articulates clear sponsoring priorities, measurable goals and time frames for achievement

FAILURE OF THE SPONSOR TO SUBMIT EVIDENCE OF A SPONSORING MISSION WILL RESULT IN THE SPONSOR RECEIVING 0 POINTS FOR THIS STANDARD.

1 Point	2 Points	3 Points	4 Points
The sponsor submitted a	The sponsor submitted a	2-Point Requirements –and–	3-Point Requirements –and–
mission that cites sponsoring -but-	mission that cites sponsoring -and-	The sponsor submitted a strategic plan that includes	The goals in the strategic plan are measurable and
The mission is not available on the sponsor's website.	The mission is available on the sponsor's website.	sponsoring goals.	include time frames for achievement.

Document Upload Guidance for the 2016-2017 Sponsor Evaluation, Quality Practices Component

A. Commitment and Capacity			
Quality Rubric Standard	Examples of Relevant Documents	Examples of Unacceptable Documents	
A.01 – Mission and Strategic Plan The sponsor has a clear mission and a strategic plan for sponsoring community schools.	- Website screenshot with sponsoring mission - Sponsor's strategic plan	- School's mission statement - School's strategic plan	
A.02 – Goals and Self-Evaluation The sponsor uses a defined improvement process to evaluate its work and to implement strategic actions based on the findings.	- Template for sponsor's improvement process - Minutes from meetings pertaining to use of improvement process and/or self-evaluation (with dates) - Evidence of creation and completion of action steps resulting from the improvement process	- School-level improvement plan	
A.03 – Roles and Responsibilities The sponsor provides guidance and offers training to assist schools in understanding the roles and responsibilities outlined in the contract.	 Guidance document that defines sponsor and school roles and responsibilities Emails clarifying the roles and responsibilities of each party Certification forms from the school indicating staff members understand each party's roles and responsibilities Attendance sheets, presentation materials, etc. from a sponsor-led training on roles and responsibilities 	- School staff job descriptions	
A.04 – Conflicts of Interest No conflicts of interest exist between the sponsor and its community schools or within the sponsor's board or staff, and the sponsor collects signed conflict of interest statements from its staff and board members.	Sponsor's conflict of interest policy Signed conflict of interest statements from sponsor's board members, sponsor's staff, and/or contracted employees	- Community school contracts - School's conflict of interest policy - Signed conflict of interest policies from school staff	

Documentation Guidance:

A. Commitment and Capacity			
Quality Rubric Standard Examples of Relevant Documents Examples of Unacceptable			
A.01 – Mission and Strategic Plan The sponsor has a clear mission and a strategic plan for sponsoring community schools.	- Website screenshot with sponsoring mission - Sponsor's strategic plan	- School's mission statement - School's strategic plan	

The sponsor uses a defined improvement process to evaluate its work and to implement strategic actions based on the findings.

Key Indicators

- The improvement process occurs annually according to a defined process.
- The sponsor uses the findings from this process to develop goals and implement strategic action steps.
- The sponsor uses this process to evaluate its work against national standards for community school sponsors (e.g. National Association of Charter School Authorizers - NACSA).

A.02 – Goals and Self-Evaluation: The sponsor uses a defined improvement process to evaluate its work and to implement strategic actions based on the findings.

Key Indicators:

- The improvement process occurs annually according to a defined process.
- The sponsor uses the findings from this process to develop goals and implement strategic action steps.
- The sponsor uses this process to evaluate its work against national standards for community school sponsors (e.g. National Association of Charter School Authorizers - NACSA).

FAILURE OF THE SPONSOR TO SUBMIT EVIDENCE OF EVALUATING ITS SPONSORING OBLIGATIONS WILL RESULT IN THE SPONSOR RECEIVING 0 POINTS FOR THIS STANDARD.

1 Point	2 Points	3 Points	4 Points
The sponsor submitted evidence that it evaluates its sponsoring obligations -but- The sponsor did not submit evidence of using a defined improvement process to do so.	The sponsor submitted evidence that it uses a defined improvement process to evaluate its sponsoring obligations -and- The sponsor has written goals for improvement.	2-Point Requirements –and– The sponsor submitted evidence that it develops and implements action steps based on the findings from its improvement process.	3-Point Requirements –and– The improvement process includes a way for the sponsor to compare its work to national standards for sponsoring.

Optional: The sponsor may submit a narrative explanation of how the submitted documents support the sponsor's practice as it pertains to this standard. Evaluators may use narrative explanations in the scoring process if they are substantiated by documentary evidence.

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OPTIONAL Narrative Evidence in Support of Submitted Documentation for the Quality Component of the 2016-17 Sponsor Evaluation

The sponsor may submit a narrative explanation of how the submitted documents support the sponsor's practice as it pertains to this standard. Evaluators may use narrative explanations in the scoring process if they are substantiated by documentary evidence.

Standard Number _____ Standard Title _____

NOTE: Evaluators will only consider narrative explanations on Page 1 of this document. No changes to font or margin size are permitted. Evaluators will only consider narrative explanations for the standards that have been identified on the Quality Practices rubric.

OPTIONAL Narrative Evidence in Support of Submitted Documentation for the Quality Component of the 2016-17 Sponsor Evaluation

The sponsor may submit a narrative explanation of how the submitted documents support the sponsor's practice as it pertains to this standard. Evaluators may use narrative explanations in the scoring process if they are substantiated by documentary evidence.

Standard Number _____ Standard Title _____

Documentation Guidance:

A. Commitment and Capacity			
Quality Rubric Standard	Examples of Relevant Documents	Examples of Unacceptable Documents	
A.02 – Goals and Self-Evaluation The sponsor uses a defined improvement process to evaluate its work and to implement strategic actions based on the findings.	- Template for sponsor's improvement process - Minutes from meetings pertaining to use of improvement process and/or self-evaluation (with dates) - Evidence of creation and completion of action steps resulting from the improvement process	- School-level improvement plan	

The sponsor provides guidance and offers training to assist schools in understanding the roles and responsibilities outlined in the contract.

Key Indicators

- The sponsor publishes guidance that complements the contract and delineates and defines the roles and responsibilities of the sponsor and the school.
- The sponsor shares this guidance and offers training to school leaders and/or governing authority members.

A.03 – Roles and Responsibilities: The sponsor provides guidance and offers training to assist schools in understanding the roles and responsibilities outlined in the contract.

Key Indicators:

- The sponsor publishes guidance that complements the contract and delineates and defines the roles and responsibilities of the sponsor and the school.
- The sponsor shares this guidance and offers training to school leaders and/or governing authority members.

FAILURE OF THE SPONSOR TO SUBMIT EVIDENCE OF GUIDANCE PROVIDED AS A COMPLEMENT TO THE CONTRACT THAT DELINEATES THE ROLES AND RESPONSIBILITIES OF THE SPONSOR AND THE SCHOOL WILL RESULT IN THE SPONSOR RECEIVING 0 POINTS FOR THIS STANDARD.

1 Point	2 Points	3 Points	4 Points
The sponsor submitted evidence of communicating information that complements the contract and delineates the roles and responsibilities of the sponsor and the school –but– The sponsor did not submit a formal guidance document.	The sponsor submitted evidence of having formal guidance that complements the contract and delineates the roles and responsibilities of the sponsor and the school.	2-Point Requirements –and– The sponsor submitted evidence of sharing the formal guidance with its schools ¹ .	3-Point Requirements –and– The sponsor submitted evidence of offering training on the formal guidance for school leaders and/or school governing authority members.

Note: The sponsor must submit evidence for a specific set of its sponsored schools, which was randomly selected by the vendor. The list includes at least one of each type of sponsored school (i.e. e-schools, Dropout Prevention and Recovery (DOPR) schools, etc.). All sponsors received a list of the selected schools and the list is available to sponsors in Epicenter.

Note: The sponsor must submit evidence for a specific set of its sponsored schools, which was randomly selected by the vendor. The list includes at least one of each type of sponsored school (i.e. e-schools, Dropout Prevention and Recovery (DOPR) schools, etc.). All sponsors received a list of the selected schools and the list is available to sponsors in Epicenter.

Note: For the 2017-18 Quality Review, sponsors must submit evidence of sharing formal guidance that complements the contract and delineates the roles and responsibilities of the sponsor and the school prior to the first day of school in order to meet the 3-Point Requirements.

Documentation Guidance:

A. Commitment and Capacity			
Quality Rubric Standard	Examples of Relevant Documents	Examples of Unacceptable Documents	
A.03 – Roles and Responsibilities The sponsor provides guidance and offers training to assist schools in understanding the roles and responsibilities outlined in the contract.	 Guidance document that defines sponsor and school roles and responsibilities Emails clarifying the roles and responsibilities of each party Certification forms from the school indicating staff members understand each party's roles and responsibilities Attendance sheets, presentation materials, etc. from a sponsor-led training on roles and responsibilities 	- School staff job descriptions	

No conflicts of interest exist between the sponsor and its community schools or within the sponsor's board or staff, and the sponsor collects signed conflict of interest statements from its staff and board members.

Key Indicators

 The sponsor has a written policy to disclose potential or existing conflicts of interest.

• The sponsor has an established process it follows if a conflict of interest is discovered.

 No conflicts of interest exist between the sponsor and its community schools.

Key Indicators (continued)

No conflicts of interest exist within the sponsor's board or staff.

 Staff members, employees, contractors, and board members must sign an annual conflict of interest statement

A.04 – Conflicts of Interest: No conflicts of interest exist between the sponsor and its community schools or within the sponsor's board or staff, and the sponsor collects signed conflict of interest statements from its staff and board members.

Key Indicators:

- The sponsor has a written policy to disclose potential or existing conflicts of interest.
- The sponsor has an established process it follows if a conflict of interest is discovered.
- No conflicts of interest exist between the sponsor and its community schools.
- No conflicts of interest exist within the sponsor's board or staff.
- Staff members, contractors, and board members must sign an annual conflict of interest statement.

FAILURE OF THE SPONSOR TO SUBMIT EVIDENCE OF A CONFLICT OF INTEREST POLICY OR IDENTIFICATION OF AN UNADDRESSED CONFLICT OF INTEREST WILL RESULT IN THE SPONSOR RECEIVING 0 POINTS FOR THIS STANDARD.

1 Point	2 Points	3 Points	4 Points
The sponsor submitted a conflict of interest policyand- There is no evidence of an unaddressed conflict of interest.	1-Point Requirement –and– The submitted policy addresses internal AND external conflicts of interest between the sponsor and its community school(s) and within the sponsor's board, staff and contractors.	2-Point Requirements –and– The sponsor submitted evidence of collecting signed conflict of interest statements from its staff members, contractors and board members annually.	3-Point Requirements –and– The sponsor submitted an established policy that prescribes the process it follows if a conflict of interest is discovered.

NOTE: The entire body of submitted documentation may be taken into account during the review of this standard.

Optional: The sponsor may submit a narrative explanation of how the submitted documents support the sponsor's practice as it pertains to this standard. Evaluators may use narrative explanations in the scoring process if they are substantiated by documentary evidence.

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NOTE: The entire body of submitted documentation may be taken into account during the review of this standard.

Documentation Guidance:

A. Commitment and Capacity			
Quality Rubric Standard	Examples of Relevant Documents	Examples of Unacceptable Documents	
A.04 – Conflicts of Interest	- Sponsor's conflict of interest policy	- Community school contracts	
No conflicts of interest exist between the sponsor and its community schools or within the sponsor's board or staff, and the sponsor collects signed conflict of interest statements from its staff and board members.	- Signed conflict of interest statements from sponsor's board members, sponsor's staff, and/or contracted employees	School's conflict of interest policy Signed conflict of interest policies from school staff	

The sponsor has sufficient expertise and sponsoring experience to carry out its responsibilities (i.e. reviewing applications, overseeing school performance and legal compliance, making renewal decisions and providing technical assistance).

Key Indicators

- The organizational chart and/or job descriptions indicate a clear structure of sponsoring responsibilities and reflect designated staff for each sponsoring responsibility.
- Résumés and/or bios demonstrate the sponsor has some staff members with several years of sponsoring experience, and its regular staff includes a member who is a licensed school treasurer (or its equivalent).

Key Indicators (continued)

• The sponsor's staff has expertise in the areas pertinent to sponsoring obligations, or it contracts with external sources as needed. The areas of expertise include: curriculum, instruction, assessment, special education, school accountability, school governance, and, as needed, ELL instruction, school facilities, and community school law.

A.05 – Staff Expertise: The sponsor has sufficient expertise and sponsoring experience to carry out its responsibilities (i.e. reviewing applications, overseeing school performance and legal compliance, making renewal decisions, and providing technical assistance).

Key Indicators:

- The organizational chart and/or job descriptions indicate a clear structure of sponsoring responsibilities and reflect designated staff for each sponsoring responsibility.
- Résumés and/or bios demonstrate the sponsor has some staff members with several years of sponsoring experience, and its regular staff includes a member who is a licensed school treasurer (or its equivalent).
- The sponsor's staff has expertise in the areas pertinent to sponsoring obligations, or it contracts with
 external sources as needed. The areas of expertise include: curriculum, instruction, assessment, special
 education, school accountability, school governance, and, as needed, ELL instruction, school facilities, and
 community school law.

FAILURE OF THE SPONSOR TO SUBMIT AN ORGANIZATIONAL CHART WITH A CLEAR STRUCTURE OF SPONSORING RESPONSIBILITIES WILL RESULT IN THE SPONSOR RECEIVING 0 POINTS FOR THIS STANDARD.

1 Point	2 Points	3 Points	4 Points
The sponsor's submitted	1-Point Requirements –and–	2-Point Requirements –and–	3-Point Requirements –and–
organizational chart and/or job descriptions indicate a clear structure of sponsoring responsibilities.	Sponsoring responsibilities are designated to specific staff and/or contractors.	The sponsor submitted evidence that at least one of its staff members has two or more years of sponsoring experience, and that it has a staff member who is a licensed school treasurer or its equivalent	The sponsor submitted evidence that at least two staff members each have three or more years of experience in sponsoring community schools.
		-and-	
		There is evidence that staff members have expertise in the areas of curriculum, instruction, assessment, special education, school accountability, school governance, and, as needed, ELL instruction, school facilities, and community school law.	

Documentation Guidance:

A. Commitment and Capacity			
Quality Rubric Standard	Examples of Relevant Documents	Examples of Unacceptable Documents	
A.05 – Staff Expertise The sponsor has sufficient expertise and sponsoring experience to carry out its responsibilities (i.e. reviewing applications, overseeing school performance and legal compliance, making renewal decisions, and providing technical assistance).	 Sponsor's organizational chart, which specifies positions related to sponsoring responsibilities Résumés from sponsor's staff members, including relevant responsibilities and dates of service Résumés for sponsor's contracted employees (e.g. treasurer, legal counsel, etc.) 	 Sponsor organizational chart that is not specific to sponsoring jobs/duties School organizational chart School personnel résumés Résumé that does not clearly indicate sponsor staff member's relevant responsibilities from current and previous positions Résumés that do not include dates of positions held 	

A.06 – Staff Development

The sponsor makes evidence-based selections of professional development activities that align to sponsoring responsibilities for its staff members.

Key Indicators

- The sponsor's staff members regularly participate in professional development that is aligned to sponsoring responsibilities (e.g. compliance monitoring of current community school laws and rules; state and federal funding, including grants; educational programs; instructional delivery, including blended and online; requirements of special education; governance; state assessments; health and safety).
- The sponsor uses evidence (e.g. needs survey, details from staff résumés, goals from the strategic plan, school performance data, etc.) to select professional development activities for its staff members.



A.06 – Staff Development: The sponsor makes evidence-based selections of professional development activities that align to sponsoring responsibilities for its staff members.

Key Indicators:

- The sponsor's staff members regularly participate in professional development that is aligned to sponsoring responsibilities (e.g. compliance monitoring of current community school laws and rules; state and federal funding, including grants; educational programs; instructional delivery, including blended and online; requirements of special education; governance; state assessments; health and safety).
- The sponsor uses evidence (e.g. needs survey, details from staff résumés, goals from the strategic plan, school performance data, etc.) to select professional development activities for its staff members.

FAILURE OF THE SPONSOR TO SUBMIT EVIDENCE OF ITS STAFF PARTICIPATING IN PROFESSIONAL DEVELOPMENT WILL RESULT IN THE SPONSOR RECEIVING () POINTS FOR THIS STANDARD.

1 Point	2 Points	3 Points	4 Points
The sponsor submitted evidence that demonstrates at least one member of the sponsoring staff participates in at least one professional development session.	The sponsor submitted evidence that demonstrates a majority of the sponsoring staff participates in at least one professional development session.	2-Point Requirements –and– The professional development sessions attended align to sponsoring responsibilities.	3-Point Requirements –and– The sponsor submitted evidence that it uses data or other documentation to select professional development activities for its staff.

NOTE: The entire body of submitted documentation may be taken into account during the review of this standard.

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Documentation Guidance:

A. Commitment and Capacity					
Quality Rubric Standard	Examples of Relevant Documents	Examples of Unacceptable Documents			
A.06 – Staff Development The sponsor makes evidence-based selections of professional development activities that align to sponsoring responsibilities for its staff members.	 Sponsor's organizational chart, which specifies positions related to sponsoring responsibilities List of all sponsor staff and contracted employees Attendance sheets and/or professional development materials from trainings attended by sponsor staff related to sponsoring responsibilities Staff résumés, staff evaluations, strategic improvement plan, or other evidence used by the sponsor to select professional development activities for staff 	- Attendance sheets and/or professional development materials from trainings attended by school staff - Attendance sheets and/or professional development materials that took place prior to July 1, 2016			

The sponsor has a budget commensurate with its sponsoring responsibilities and has a plan to allocate resources to support its priorities and the needs of its school(s).

Key Indicators

- The budget is balanced and the revenues are sufficient for fulfilling sponsoring responsibilities.
- The sponsor's fees and/or separate agreements do not include inducements, incentives, or disincentives that compromise its judgment in approval and accountability decision-making.
- The sponsor uses data and information about its schools' needs to allocate resources to support school improvement and fulfill its responsibilities.



A.07 – Allocation of Resources: The sponsor has a budget commensurate with its sponsoring responsibilities and has a plan to allocate resources to support its priorities and the needs of its school(s).

Key Indicators:

- The budget is balanced and the revenues are sufficient for fulfilling sponsoring responsibilities.
- The sponsor's fees and/or separate agreements do not include inducements, incentives, or disincentives that compromise its judgment in approval and accountability decision-making.
- The sponsor uses data and information about its schools' needs to allocate resources to support school
 improvement and fulfill its responsibilities.

FAILURE OF THE SPONSOR TO SUBMIT A BUDGET THAT REFLECTS REVENUES AND EXPENDITURES THAT RELATE TO SPONSORING RESPONSIBILITIES WILL RESULT IN THE SPONSOR RECEIVING 0 POINTS FOR THIS STANDARD.

1 Point	2 Points	3 Points	4 Points
The sponsor submitted a budget that reflects revenues and expenditures related to sponsoring —but—	The sponsor submitted a budget that reflects revenues and expenditures related to sponsoring —and—	2-Point Requirements –and– The sponsor's budget reflects sufficient funds for fulfilling its sponsoring responsibilities.	3-Point Requirements –and– The sponsor submitted evidence of making data- driven decisions regarding resource allocation.
The sponsor's fees and/or separate agreements contain inducements, incentives or disincentives that may compromise its objective judgment.	There is no evidence of the sponsor's fees and/or separate agreements creating a potential conflict of interest.		

NOTE: The entire body of submitted documentation may be taken into account during the review of this standard.

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Documentation Guidance:

A. Commitment and Capacity				
Quality Rubric Standard	Examples of Relevant Documents	Examples of Unacceptable Documents		
A.07 – Allocation of Resources The sponsor has a budget commensurate with its sponsoring responsibilities and has a plan to allocate resources to support its priorities and the needs of its school(s).	 Sponsor's annual budget, with detailed line items indicating revenues and expenditures Meeting minutes, strategic plan goals, school data, and/or other evidence the sponsor considers data to make budget and staffing decisions 	- School's budget - Sponsor budget that does not contain clear and complete revenues and expenditures		

A. Commitment and Capacity

- Clear mission and strategic plan for sponsoring
- Defined improvement process to evaluate work and implement strategic actions
- Guidance and training on roles and responsibilities
- Process in place to deal with conflicts of interest
- Sufficient staff expertise

A. Commitment and Capacity

- Evidence-based professional development aligned to sponsoring staff needs and responsibilities
- Budget commensurate with its sponsoring responsibilities and a plan to allocate resources to schools

2016-17 Evaluation Document Submission

Document submission window in Epicenter:

Quality Practice: February 3 – April 30

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