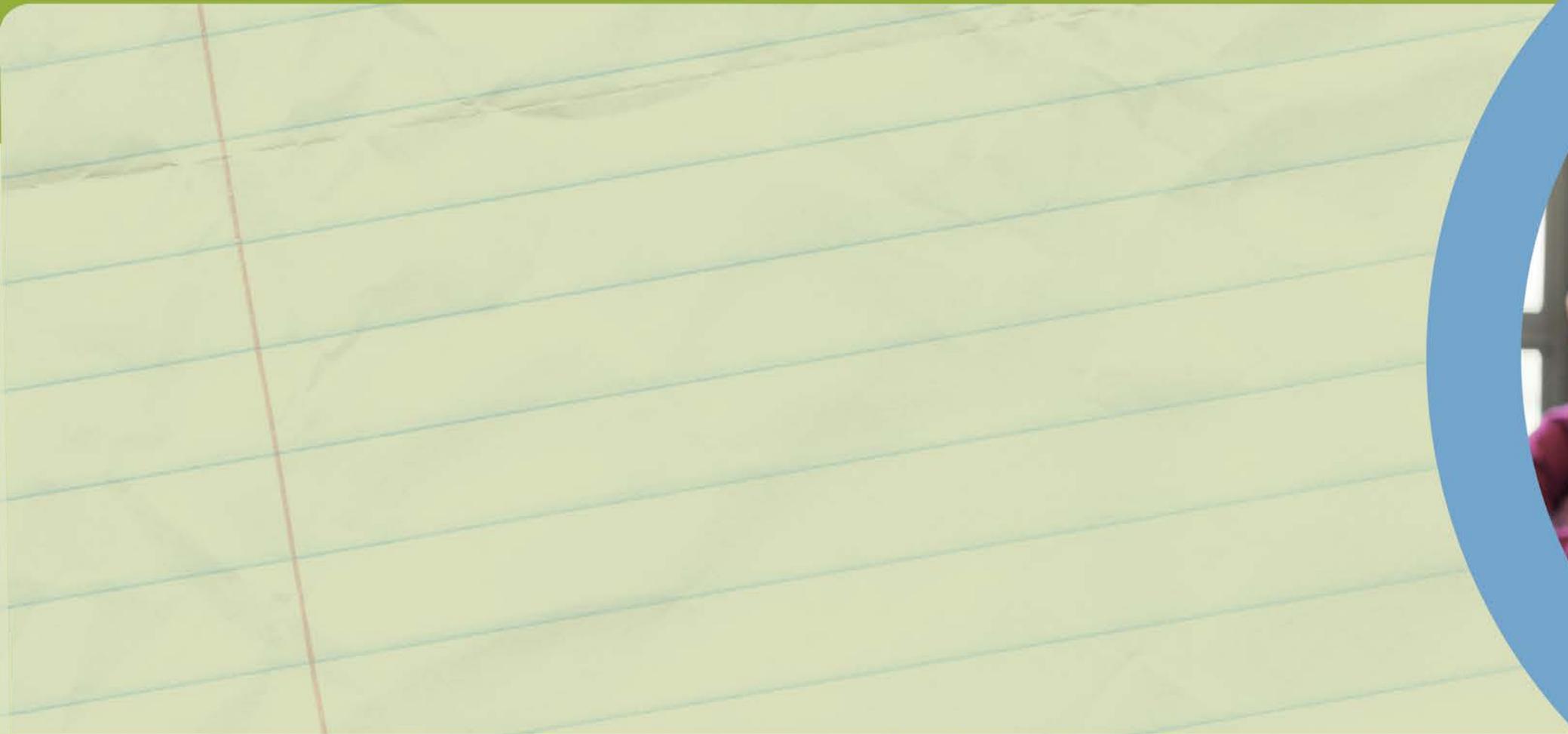


2020-2021 Community School Sponsor Evaluation: Compliance Component



Center for Performance and Impact
July 2020



Sponsor Evaluation: Compliance Component

Changes to 2020-2021 compliance process

Sponsor certification determination

Evidence submission

Validation review process

Onsite review

Preliminary results and adjustment review

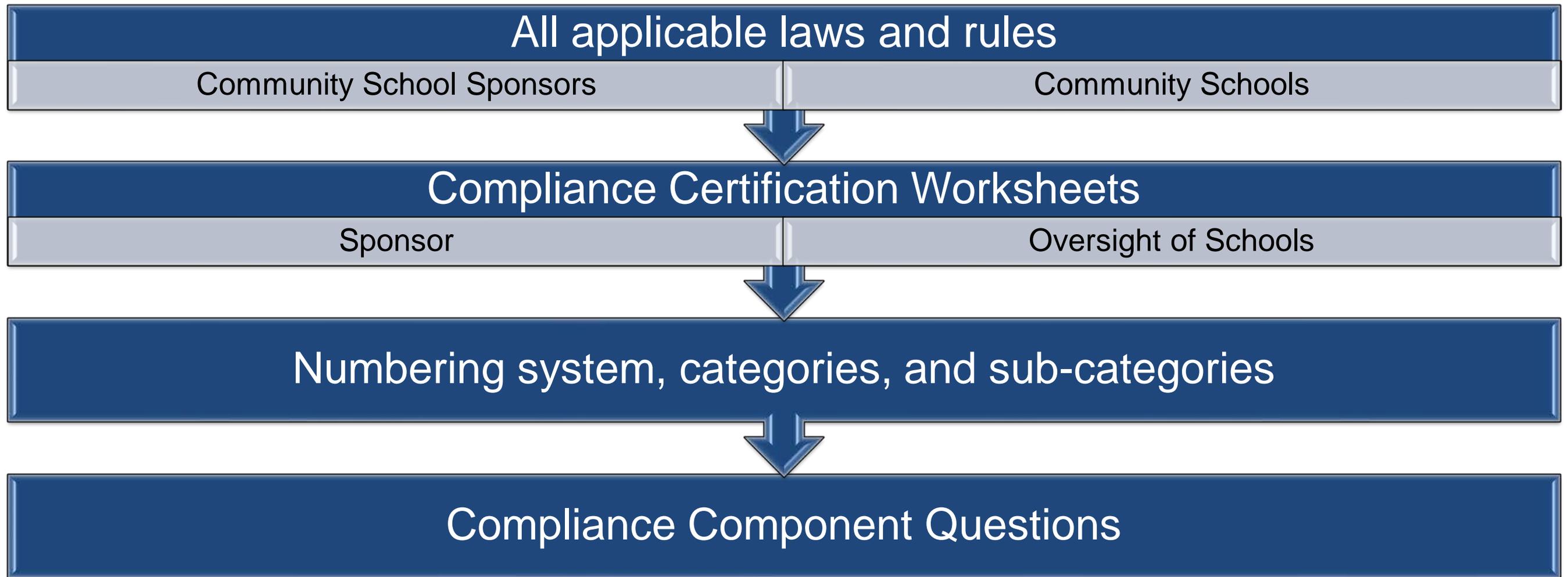
Compliance calculations and publication of the final results



Changes to 2020-2021 Compliance Process

- New compliance items
- Edits to compliance items
- Certification-only method
- Worksheet Efficiency Chart

Compliance Certification Worksheets – “The Lists”



2020-2021 Sponsor Evaluation Resources

Community Schools | Ohio Department of Education

education.ohio.gov/Topics/Community-Schools

Ohio Department of Education

ADMINISTRATORS TEACHERS PARENTS TOPICS HOW DO I? ABOUT MEDIA BLOG CONTACT

Community Schools

Home > Community Schools

HOW DO I?

- » Find a directory of community schools and sponsors?
- » View annual reports?
- » View Community School Sponsor Ratings?
- » Find information on community school legislation and history?

Contact Information

OFFICE CONTACT INFORMATION
(P) 614-466-7058
Community.Schools@education.ohio.gov
25 S. Front Street, Mail Stop 307
Columbus, Ohio 43215

General Information

Ohio's community schools offer additional choices for families seeking nontraditional, K-12 public educational settings for their children. Tuition-free for Ohio students, these learning institutions are public, nonprofit, nonreligious schools that receive state and federal funds but are independent of traditional school districts.

- » Directory of Schools, Sponsors and Operators
- » Community School Annual Report
- » Community Schools FAQ
- » Charter School Program (CSP) Grant

Parents

Parents in Ohio are empowered with multiple education options that allow them to make informed decisions to best meet their children's individual needs. This supports the idea that one size doesn't fit all and Ohio's children deserve a high-quality education that is tailored to their needs.

- » Family Overview
- » Community School Report Cards
- » FAQs - Families Affected Community School Closures
- » Dropout Recovery Report Cards
- » Ohio School Options

<http://education.ohio.gov/Topics/Community-Schools>

NOTE: By law, the Department is not permitted to make changes to the 2020-2021 sponsor evaluation system after July 15, 2020.

Community School Sponsors Exempt from 2020-2021 Sponsor Evaluation Review

For sponsors that are exempt from the sponsor evaluation review for the 2020-2021 review cycle per [ORC 3314.016\(B\)\(7\)\(b\)](#), documentation must be maintained as required by law for audit purposes and to fulfill their legal responsibilities for their sponsored schools.

Community school sponsors must ensure their schools are adhering to **ALL** applicable laws and rules regardless of their participation status in the sponsor evaluation review process.



Sponsor Compliance Certification Determination

Worksheet columns aid in compliance certification determination by the sponsor

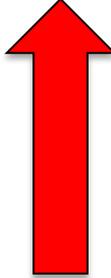
Upload **one** *Sponsor* worksheet for sponsor-level compliance items

Upload **one** *Oversight of Schools* worksheet for **each** sponsored school for school-level compliance items

Worksheet Columns: Oversight of Schools/Sponsor

Item Number	ORC Section	ORC 3314 reference	OAC Section	OAC/ORC Section Title	Applies To	Category	Sub-Category	OAC/ORC Effective Date	OAC/ORC Description
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Compliance Component Question 1	Answer to Question 1	Compliance Component Question 2	Answer to Question 2	Certification Determination	Corrective Action Plan	Answer Regarding CAP
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Oversight of Schools spreadsheet only

Certification Determination Results

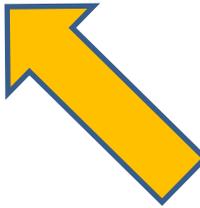
Sponsor Certified Compliant

Sponsor Certified Not Compliant

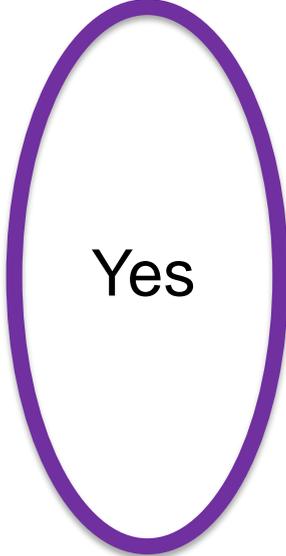
Sponsor Certified Not Applicable

Compliance Item Certification

Single Component Question Example - #171

Compliance Component Question 1	Answer to Question 1	Compliance Component Question 2	Answer to Question 2	Certification Determination	Corrective Action Plan	Answer Regarding CAP
Does the school have written policies and procedures regarding students with disabilities and ensures that services are provided to the students as required by OAC 3301-51-05? Yes/No	No 			Sponsor Certified Not Compliant		<p>If the Certification Determination is <i>Sponsor Certified Not Compliant</i>, did the sponsor previously identify the non-compliance and place the school on a Corrective Action Plan? <i>CAP Copy Required</i></p>

Columns Q and R: Corrective Action Plan

Certification Determination	Corrective Action Plan	Answer Regarding CAP
Sponsor Certified Not Compliant	If the Certification Determination is <i>Sponsor Certified Not Compliant</i> , did the sponsor previously identify the non-compliance and place the school on a Corrective Action Plan? <i>CAP Copy Required</i>	 Yes

Reminders about Corrective Action Plans

Should bring school to compliance status by the next review cycle

MUST contain:

Actionable steps

Dates and deadlines

Address **SPECIFIC** compliance item

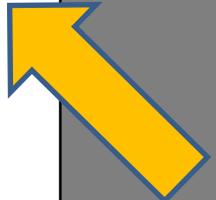
Previously submitted CAPs will be reviewed by evaluators and are included in 2020-2021 review

All CAPs are uploaded to Epicenter under one submission type

Compliance Item Certification

Single Component Question Example - #171

Compliance Component Question 1	Answer to Question 1	Compliance Component Question 2	Answer to Question 2	Certification Determination	Corrective Action Plan	Answer Regarding CAP
Does the school have written policies and procedures regarding students with disabilities and ensures that services are provided to the students as required by OAC 3301-51-05? Yes/No	Yes					



Compliance Item Certification

Single Component Question Example - #171

Compliance Component Question 1	Answer to Question 1	Compliance Component Question 2	Answer to Question 2	Certification Determination
Does the school have written policies and procedures regarding students with disabilities and ensures that services are provided to the students as required by OAC 3301-51-05? Yes/No	Yes			Sponsor Certified Compliant

Compliance Item Certification

Double Component Question Example - #102

Compliance Component Question 1	Answer to Question 1	Compliance Component Question 2	Answer to Question 2	Certification Determination
Is the school a party to an agreement for joint education program(s)? Yes/No	Yes	If yes, does the school ensure that it does not charge tuition and/or fees to students participating in the joint education program(s)? Yes/No	Yes	Sponsor Certified Compliant

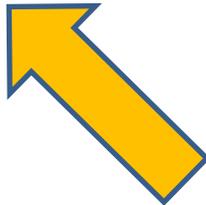
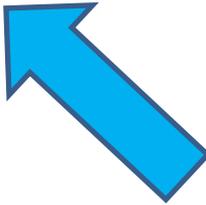
Compliance Item Certification

Double Component Question Example - #102

Compliance Component Question 1	Answer to Question 1	Compliance Component Question 2	Answer to Question 2	Certification Determination	Corrective Action Plan	Answer Regarding CAP
Is the school a party to an agreement for joint education program(s)? Yes/No	Yes	If yes, does the school ensure that it does not charge tuition and/or fees to students participating in the joint education program(s)? Yes/No	No	Sponsor Certified Not Compliant	If the Certification Determination is <i>Sponsor Certified Not Compliant</i> , did the sponsor previously identify the non-compliance and place the school on a Corrective Action Plan? <i>CAP Copy Required</i>	

Compliance Item Certification

Double Component Question Example - #102

Compliance Component Question 1	Answer to Question 1	Compliance Component Question 2	Answer to Question 2	Certification Determination
Is the school a party to an agreement for joint education program(s)? Yes/No	No 	If yes, does the school ensure that it does not charge tuition and/or fees to students participating in the joint education program(s)? Yes/No		Sponsor Certified Not Applicable 

Compliance Item Certification – AND

Oversight of Schools Item #402

Compliance Component Question 1	Answer to Question 1	Compliance Component Question 2	Answer to Question 2	Certification Determination	Corrective Action Plan	Answer Regarding CAP
Did the school have any cases of truancy? Yes/No		If yes, did the attendance officer institute proceedings for violations of compulsory education laws AND keep records? Yes/No				

Compliance Item Certification – AND

Compliance Component Question 2	Answer to Question 2
If yes, did the attendance officer institute proceedings for violations of compulsory education laws AND keep records? Yes/No	

Compliance Item Certification – AND

Compliance Component Question 2	Answer to Question 2
<p>If yes, did the attendance officer institute proceedings for violations of compulsory education laws AND keep records? Yes/No</p>	

Compliance Item Certification - AND

Compliance Component Question 2	Answer to Question 2
<p>If yes, did the attendance officer institute proceedings for violations of compulsory education laws AND keep records? Yes/No</p>	<p>Yes</p> <p>+</p> <p>Yes</p> <p>=</p> <p>Yes</p>

Compliance Item Certification - AND

Compliance Component Question 2	Answer to Question 2
<p>If yes, did the attendance officer institute proceedings for violations of compulsory education laws AND keep records? Yes/No</p>	<p>No + No = No</p>

Compliance Item Certification - AND

Compliance Component Question 2	Answer to Question 2
<p>If yes, did the attendance officer institute proceedings for violations of compulsory education laws AND keep records? Yes/No</p>	<p>Yes</p> <p>+</p> <p>No</p> <p>=</p> <p>No</p>

Compliance Item Certification - AND

Compliance Component Question 2	Answer to Question 2
<p>If yes, did the attendance officer institute proceedings for violations of compulsory education laws AND keep records? Yes/No</p>	<p>No + Yes = No</p>

Compliance Item Certification – OR

Sponsor-Level Item S-605

Compliance Component Question 1	Answer to Question 1	Compliance Component Question 2	Answer to Question 2	Certification Determination	Corrective Action Plan	Answer Regarding CAP
Did you open or are you planning to open a new or conversion community school during the current school year? Yes/No		If yes, did you receive a proposal and enter into a preliminary agreement pursuant to ORC 3314.015, OR are you exempt from this provision? Yes/No				

Compliance Item Certification – OR

Compliance Component Question 2	Answer to Question 2
<p>If yes, did you receive a proposal and enter into a preliminary agreement pursuant to ORC 3314.015 OR are you exempt from this provision? Yes/No</p>	<p>Yes OR No = Yes</p>



Worksheet Efficiency Chart

- Batch-filled responses to Question 1 on compliance items
 - Have similar Question 1 criteria (and thereby can be grouped together)
 - Have a response of “No” to Question 1 (and are therefore not applicable to the school)
- Sponsor must answer questions through the chart that precedes the actual worksheet items
- If entry is made directly into the answer cell for any listed compliance item or an answer is deleted, *the auto-fill formula will no longer be active for that item*
- Items included in the batch fills are indicated on the Worksheet Efficiency Chart
- Using auto-fill DOES NOT release the sponsor from its responsibility to review all laws and rules or to ensure that the worksheet has been accurately completed

Worksheet Efficiency Chart

Worksheet Efficiency					NOTE: This method of batch-filling the answer to Question 1 for identified items is offered as an efficiency for items that may not apply to the school being reviewed. It does NOT release the sponsor from its responsibility to review all laws and rules or ensure that the worksheet has been accurately completed.				
<p>Answering the questions below will batch-fill the answer to Question 1 on identified items for which the item would be Not Applicable based on that answer. The item questions that may be affected by batch-fill are highlighted in pale yellow throughout the worksheet.</p> <p>NOTE: If the answer is deleted in the Efficiency area, the auto-filled answer will be deleted from all associated items. If an entry is made directly into the answer cell for any listed item or an answer is deleted, the batch-fill formula will no longer be active for that item.</p>									
					Number of Affected Items	Items to which the Answer to Compliance Component Question 1 will be Copied	Compliance Component Efficiency Question	Answer to Efficiency Question	
Q1	Internet or Computer-Based School				11	106, 115, 186, 218, 219, 302, 317, 430, 437, 953	Is the school an internet or computer-based school? Yes/No		
Q2	Site-based School				3	110, 301, 408, 957	Is the school a site-based school? Yes/No		
Q3	School with Grades 6 or Greater				2	111, 112	Does the school offer grades 6 or greater? Yes/No		
Q4	School Serves Grade 3				2	116, 117	Does the school serve grade		
Q5	School Offers Grades 9-12 / High School / Secondary School				17	119, 122, 123, 126, 128, 131, 137, 156, 157, 159, 160, 161, 162, 163, 165, 197, 956	Does the school serve any of the grades 9-12 (high school, secondary school)? Yes/No		
Q6	School Offers Preschool				5	147, 149, 150, 627, 635	Does the school offer preschool? Yes/No		
Q7	School Holds a Credit Card Account				5	522, 523, 524, 525, 526	Does the school hold a credit card account? Yes/No		
Q8	School Provides Transportation				19	637, 638, 639, 640, 801, 803, 804, 805, 806, 807, 808, 809, 810, 811, 813, 814, 815, 816, 818	Does the school (not the local district), or do employees of the school or contracted vendors provide transportation for any of its students? Yes/No		

Put answers for Q1 – Q8 in this column



Certification-Only Process

- Sponsors submit only the completed worksheets by specified deadline
- After the worksheet submission deadline, the Department provides sponsors with a list of items for which sponsors must provide documented evidence for validation
- Sponsors would then submit documented evidence for the selected items; this could also include onsite reviews at the school
- Reviewers will examine submitted documents to carry out the validation process



Certification-Only Process

- **June 30, 2021:** Deadline for sponsors to submit completed certification worksheets
- **July 1, 2021:** The Department releases the vendor's list of randomly-selected validation items to sponsors and schedules the items for Epicenter submission
- **July 23, 2021:** Deadline for sponsors to submit documentation for selected validation items

Validation Items

- 30 school-level items will be selected for validation
 - Some items will be validated by documentation submitted by the sponsor
 - Some items will be validated based on data available at the Department
- Only for schools selected for site visits, 5 school-level items will be selected for validation on site
- 6 sponsor-level items will be selected for validation

Submitting Documentation to Epicenter

Items selected for validation- documentation required

- Items that are on the list released by the Department on July 1 for which sponsors must submit documentation in Epicenter
- If not applicable or not compliant, enter narrative in Epicenter to satisfy the requirement and remove from sponsor's task queue
- If not compliant, a corrective action plan can be submitted, if the sponsor placed the school on one

Items selected for validation- no documentation required

- For some of the items, the Department will use documentation that is already available to validate sponsors' certifications
- No documentation submission is required for items selected for onsite visits

Corrective action plan(s)

- One submission type in Epicenter for **ALL** schools for items certified as Not Compliant

Contain confidential personally identifiable information?

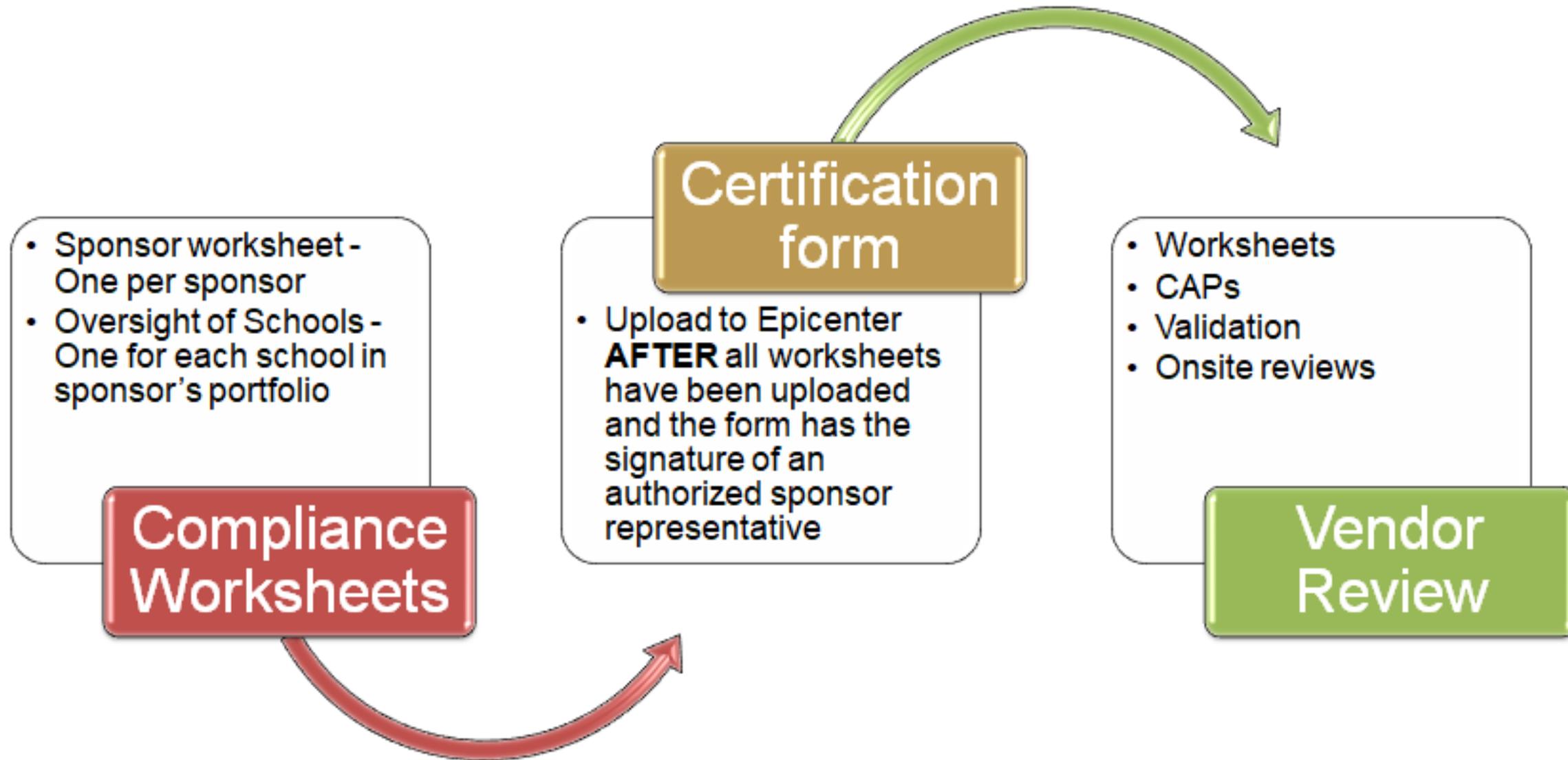
- **STOP!!! Do not upload ANY confidential or personally identifiable information!**
- Questions? Contact the Department **PRIOR** to uploading documentation to Epicenter.



Reminders: Evidence Submission

- Required submission types are listed in the sponsor's task queue.
- Ensure the correct documentation is uploaded to the appropriate submission type.
- Documents can be replaced (if needed) until the document submission deadline.
- Ensure uploaded files can be opened, are easy to read and in the appropriate format.
- Use **ONLY** the compliance worksheets that are provided by the Department.
- Technical difficulties? Contact the Department and/or the Epicenter Help Desk!

Sponsor Certification



Compliance Validation Process & Onsite Reviews

OAC 3301-102-08

- Allows Department validation of compliance items

Randomly selected for BOTH sponsor-level and school-level compliance items

- Include onsite review and/or documentation review
- Community school sponsors with multiple schools could have different compliance items selected for each sponsored school

Items selected for validation

- Possible pool posted to the Department website
- Selected items will be announced after the June 30, 2021 submission deadline

Onsite reviews

- Random selection of 10 percent of schools in sponsor portfolio
 - Each type included
 - Selected schools will be announced after the June 30, 2021 submission deadline

Reminders: Onsite Reviews

BOTH the schools and the validation items selected for each school will be published after the submission deadline

- For items where validation will occur onsite: Notification will occur after scheduling, but before visit

Representatives from the sponsoring organization are permitted to attend the onsite review. However **ONLY** the school should respond to the evaluator and provide requested documentation.





Preliminary Sponsor Evaluation Rating Results: Adjustment Review

ORC 3314.016(B)

Sponsor Evaluation Components

- Academic Performance of Sponsored Schools
- Adherence to Quality Practices
- Compliance with All Applicable Laws and Rules

Preliminary Compliance Results

Accessible via Epicenter

Two submission types:

- Sponsor file
- Oversight of Schools file

Available files

- Sponsor
- Oversight of Schools

Adjustment Review Period

10 business days

Sponsor Adjustment Request Form

- Submitted in Epicenter
- Contains four tabs:
 - Sponsor Academic
 - Sponsor Quality
 - Sponsor Compliance
 - School Compliance

Department review and final determination

Compliance Scoring

Reviewer Response to Initial Score	Final Reviewer Rating	Justification
------------------------------------	-----------------------	---------------

Compliant
Not Compliant
Not Applicable

Compliance Component Calculations

Compliant

Not Compliant

Not Applicable

Sponsor
(S-615)

Percentage of Substantiated Compliance Items

Final Compliance Component Score/Rating

Vendor Determination + Adjustment Results

Oversight of Schools
(ALL)

Sponsor Item S-615

Weighted (0 to 4 points)

- Percentage of substantiated items
- Incorporates all school-level items for **ALL** schools in sponsor portfolio

School-Level Scoring (S-615)

Points	Percentage of Substantiated Items
4	98-100%
3	96-97.9%
2	94-95.9%
1	92-93.9%
0	Less than 92%

The school-level percentage of substantiated items determine the points a sponsor receives for Item S-615 at the sponsor level.

Overall Compliance Component Rating

Points	Percentage of Compliant Items	2020-2021 Rating
4	92-100%	Exceeds Expectations
3	87-91.9%	Meets Expectations
2	84-86.9%	Progressing Toward Expectations
1	80-83.9%	Below Expectations
0	0-79.9%	Significantly Below Expectations

Score is determined by equally weighing 22 of the 23 sponsor-level items (1 point each) and weighing S-615 (0 to 4 points).

Final Ratings and Publication

Mid to late September 2021

- Window for the Department to release preliminary 2020-2021 sponsor ratings

Late September to Early October 2021

Adjustment Request Period

- 10 business days from the release of the preliminary ratings

Mid October to November 2021

Review & Calculate Final Results

- Department review of submitted adjustment requests, final calculations and conduct QA

November 15, 2021

- Final ratings are publicly available on Department's website, e-mailed individually to community school sponsors, and are also available in Epicenter

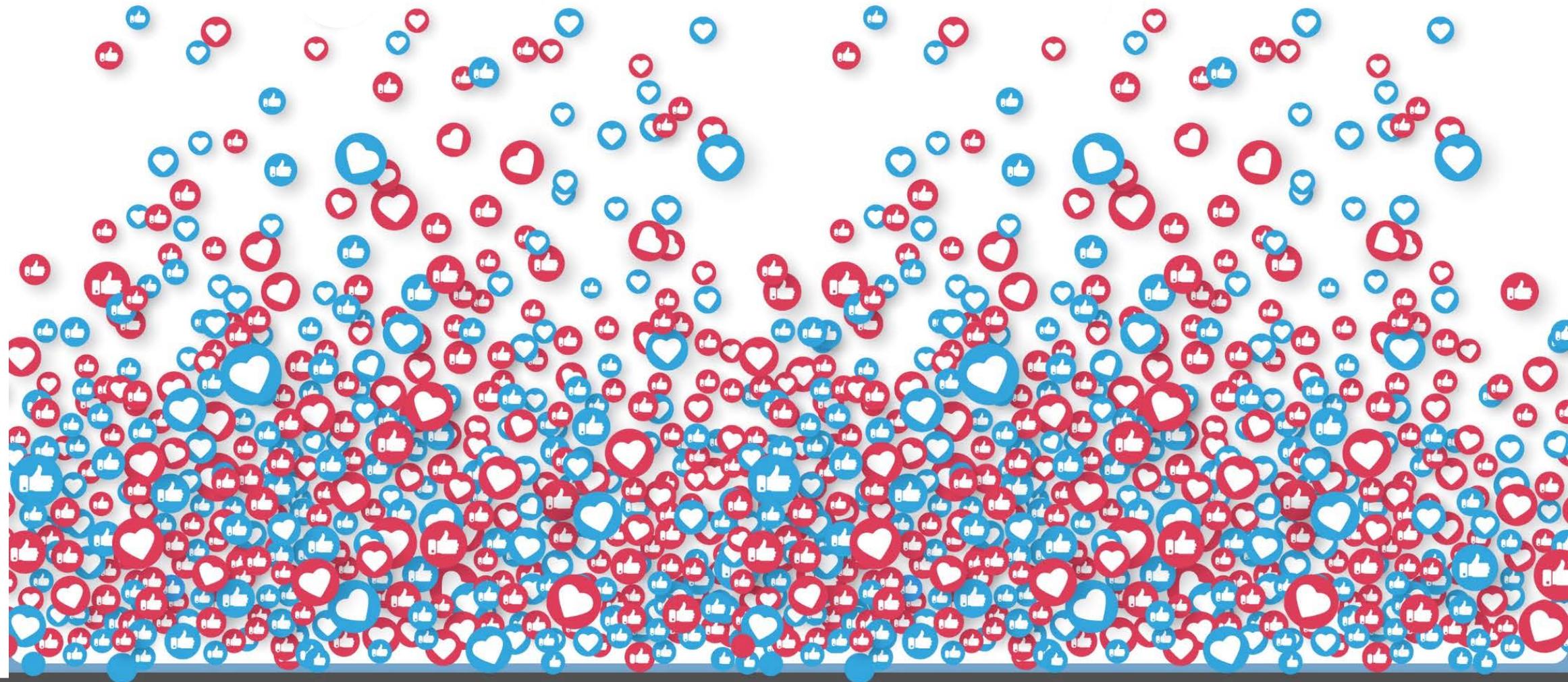
Questions?

Submit questions to the
Sponsor Evaluation mailbox:
sponsor.evaluation@education.ohio.gov





@OHEducation



**Share your learning
community with us!**
#MyOhioClassroom



Celebrate educators!

#OhioLovesTeachers