# Compliance Review of the Sponsor Evaluation: Completing the Certification Worksheets
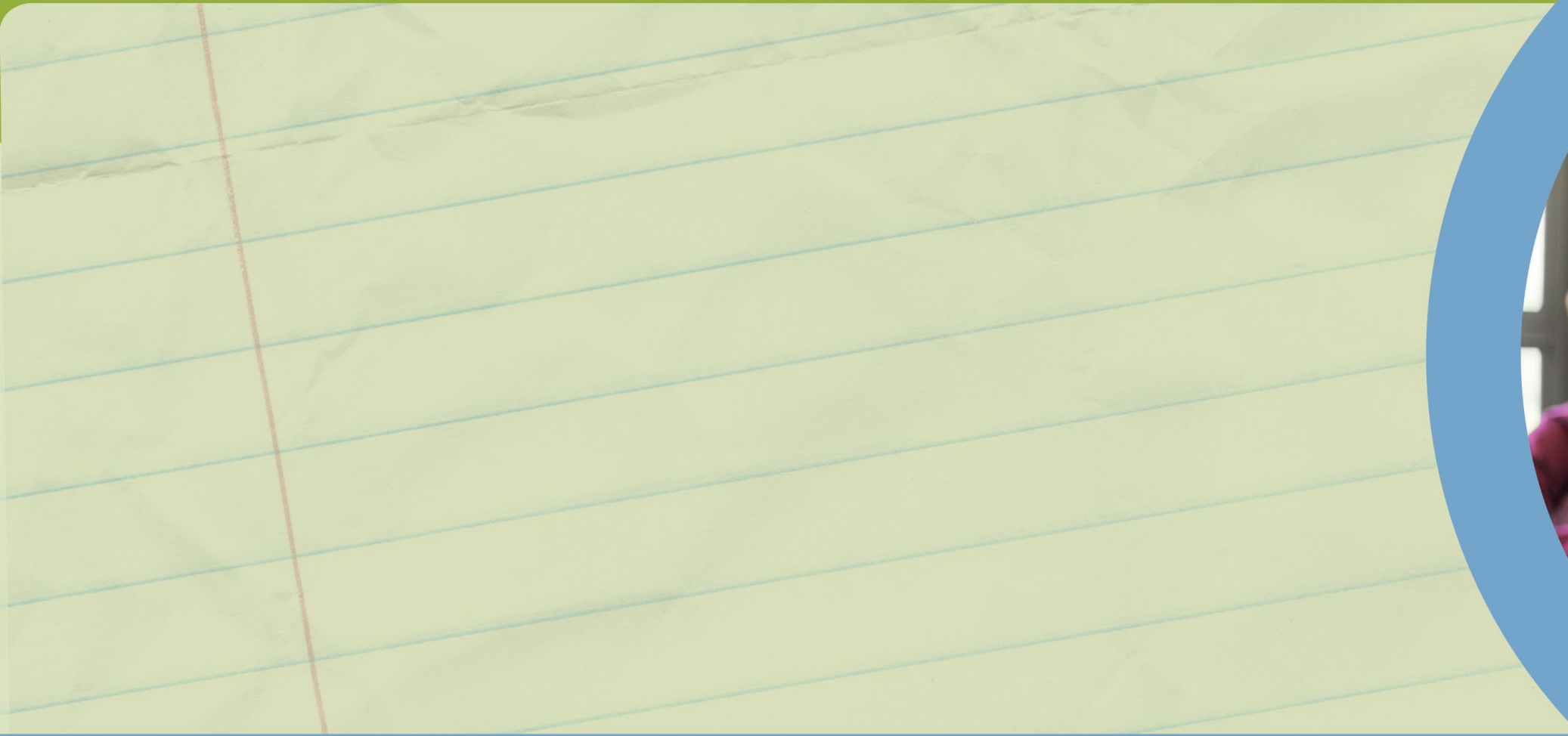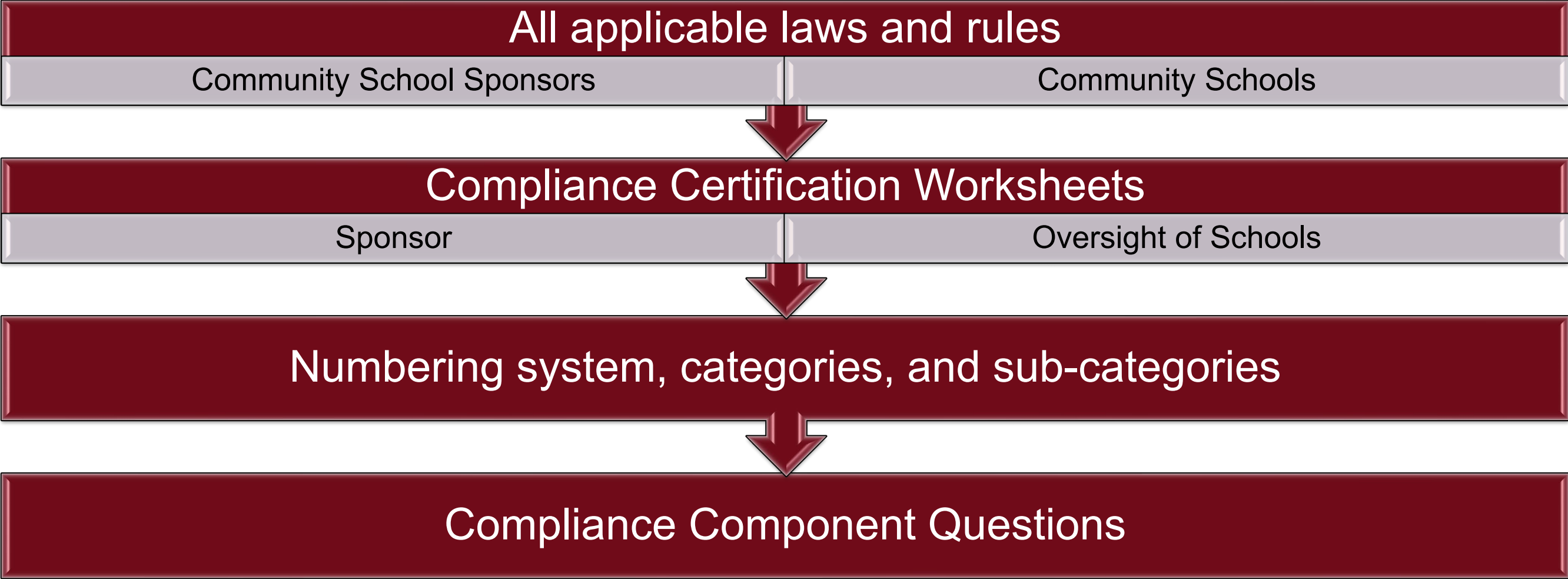
Office of Accountability · July 2022

#EachChildOurFuture

Ohio | Department of Education

# Presentation Focus

- This presentation focuses on how to complete the compliance worksheets

- Refer to the Compliance Component presentation for the school year in question for updates to the compliance process and deadlines for document submission

# Compliance Certification Worksheets

| All applicable laws and rules | |
|---|---|
| Community School Sponsors | Community Schools |

| Compliance Certification Worksheets | |
|---|---|
| Sponsor | Oversight of Schools |

## Numbering system, categories, and sub-categories

## Compliance Component Questions

Ohio | Department of Education

# Where to Find the Worksheets

# 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 |
|---|---|---|---|---|---|---|---|---|---|

| Compliance Component Question 1 | Answer to Question 1 | Compliance Component Question 2 | Answer to Question 2 | Certification Determination | Corrective Action Plan | Answer Regarding CAP | Validation Documentation (If Item is Selected for Validation) |
|---|---|---|---|---|---|---|---|
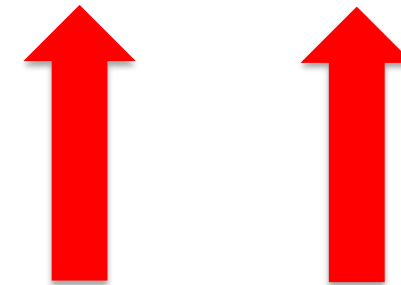
**These two columns appear on the Oversight of Schools spreadsheet only**

Ohio | Department of Education

# Certification Determination Results

Sponsor Certified Compliant

Sponsor Certified Not Compliant

Sponsor Certified Not Applicable

Ohio | Department of Education

# 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 | If the Certification Determination is *Sponsor Certified Not Compliant*, did the sponsor previously identify the non-compliance and place the school on a Corrective Action Plan? *CAP Copy Required* | Yes |

Ohio | Department of Education

# 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 2022-2023 review

⬇

All CAPs are uploaded to Epicenter under one submission type

# 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 | Yes | Sponsor Certified Compliant | | |

**Ohio** | **Department** of **Education**

# 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 |

Ohio | Department of Education

# 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 – 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 |
|---|---|---|---|---|---|---|
| Are you planning to open a new startup or conversion community school during the upcoming school year? Yes/No | | If yes, did you receive a proposal and enter into a preliminary agreement and adopt and execute a contract pursuant to ORC 3314.02, OR are you exempt from this provision? Yes/No | | | | |

# 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

Ohio | Department of Education

# Worksheet Efficiency Chart

| | | School Name: | Enter School IRN to the right | | School IRN: | |
|---|---|---|---|---|---|---|
| | | Sponsor Name: | Enter Sponsor IRN to the right | | Sponsor IRN: | |

Enter School IRN and Sponsor IRN here

## Worksheet Efficiency

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.
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.

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.

| | | Number of Affected Items | Items to which the Answer to Compliance Component | Compliance Component Efficiency Question | Answer to Efficiency Question | Outcome of Efficiency Question Responses |
|---|---|---|---|---|---|---|
| Q1 | Internet or Computer-Based School | 11 | 106, 115, 186, 218, 219, 302, 317, 430, 437, 717, 953 | Is the school an internet or computer-based school? Yes/No | | |
| Q2 | Site-based School | 3 | 110, 408, 766, 957 | Is the school a site-based school? Yes/No | | |
| Q3 | School with Grades 6 or Greater | 2 | 111, 112, 167 | Does the school offer grades 6 or greater? Yes/No | | |
| Q4 | School Serves Grade 3 | 2 | 116, 117 | Does the school serve grade 3? Yes/No | | |
| Q5 | School Offers Grades 9-12 / High School / Secondary School | 18 | 119, 122, 123, 126, 128, 131, 137, 156, 157, 159, 160, 161, 163, 164, 165, 168, 197, 717, 956 | Does the school serve any of the grades 9-12 (high school, secondary school)? Yes/No | | |
| Q6 | School Offers Preschool | 6 | 147, 149, 150, 627, 635, 642 | 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, 820 | 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 | | |
| Q9 | School uses *ONLY* Public Transit Vehicles or Commercial Carriers (Answer this question only if you've answered Yes to Q8 above) | 14 | 637, 638, 639, 640, 803, 804, 805, 806, 807, 810, 811, 813, 816 | If a school is responsible for the transportation of any of its students, does it ONLY use public transit vehicles and/or commercial carriers to meet those transportation needs? Yes/No | | |

Enter answers to the efficiency questions in the *Answer to Efficiency Question* column

# Column R: Validation Documentation

Item will be validated during a school site visit

Information reviewers will be looking at during the school site visit

Item will be validated by documents that sponsors will submit

Documentation that sponsors will need to submit through Epicenter by specified deadline

Item will be validated by using data that the Department already has on file from the school or sponsor

| Validation Documentation (If Item is Selected for Validation) |
| --- |
| Onsite Review<br><br>Board meeting minutes showing adoption of resolution AND the resolution |
| |
| Document Submission<br><br>Copy of the guidelines the school developed |
| Onsite Review<br><br>Available evidence, which may include samples of notifications to parents, website postings, etc. |
| Department Data |

Ohio | Department of Education

# Reminders

- Be sure to complete the identification fields (school IRN, sponsor IRN, etc.) at the top of the Efficiency Questions tab

- Each compliance item should display a certification determination

- Upload all applicable corrective action plans as one submission

- Use only the worksheets found on the Department's website for the appropriate school year

- Do not change or edit the worksheets

# What Happens after the Worksheets are Completed?

- Sponsors submit the completed worksheets into Epicenter by the 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 then submit documented evidence for the selected items by the specified deadline

- Reviewers will complete the validation process by examining documentation submitted by sponsors, through an onsite visit to the school and/or by using data provided by the Department

Ohio | Department of Education

# Questions?

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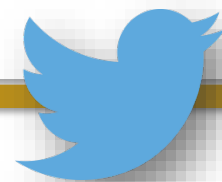**sponsor.evaluation@education.ohio.gov**

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

Celebrate educators!

# #OhioLovesTeachers