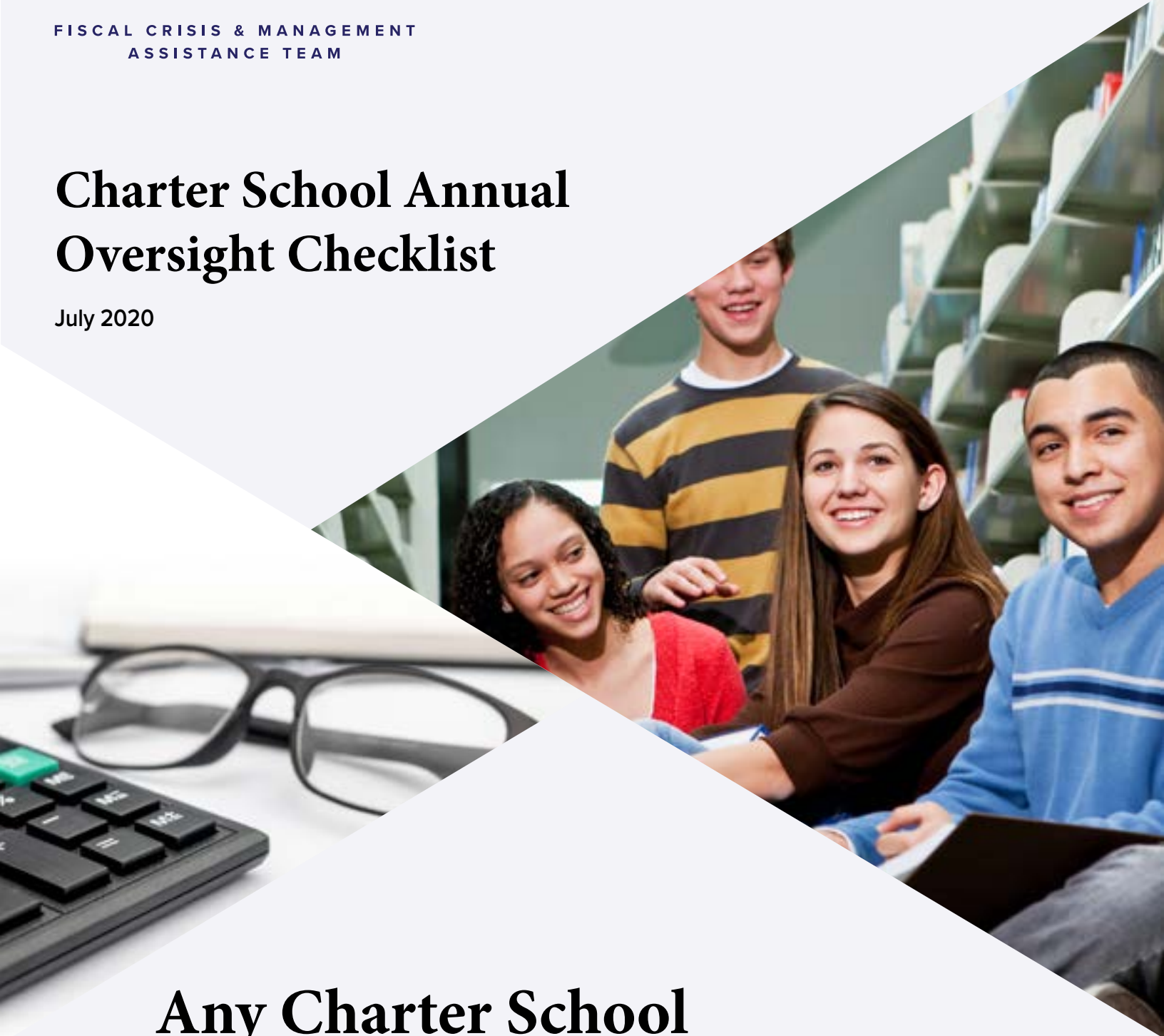


FCMAT

FISCAL CRISIS & MANAGEMENT
ASSISTANCE TEAM

Charter School Annual Oversight Checklist

July 2020



Any Charter School

Michael H. Fine
Chief Executive Officer

Introduction

The Fiscal Crisis and Management Assistance Team (FCMAT) is pleased to present an updated version of the Charter School Annual Oversight Checklist. In this revision, FCMAT has added information in response to suggestions from the field and updates to laws and regulations.

This checklist has been developed to assist local educational agencies (LEAs) and the charter schools they authorize in performing annual oversight responsibilities. The checklist includes several areas, with identified criteria in each that include best practices for operation and oversight. These can help users evaluate areas in which an authorized charter school is either operating effectively or may need support. The document's intent is to outline some of the key issues that both charter schools and authorizers should consider by providing an objective overview of the effectiveness of a charter school's operations. It is not intended to be an exhaustive list of necessary charter school operations and tasks.

In developing the checklist, FCMAT's goal was to support LEAs as they continue to provide thoughtful, conscientious oversight to the charter schools they have authorized. Because the primary goal of authorizing a charter school is to form a partnership to provide quality education for students, charter school operators and authorizers should consider using this checklist collaboratively and sharing the outcome as a helpful communication tool for internal review purposes.

The comments field after each numbered item is optional and may be used to provide an explanation or additional information. The summary fields at the end of each section may be used to provide analysis and additional explanation, if needed. The checklist can be modified in format or content to address specific situations and needs.

FCMAT gratefully acknowledges the original work and significant contributions of the California County Offices of Education Charter Authorizers forum and the Riverside County Office of Education in creating much of the content for this checklist. Periodic revisions to this document will occur as needed.

Questions about or suggestions regarding this checklist should be directed to Michelle Giacomini, FCMAT Deputy Executive Officer, or submitted via the online request for assistance form on FCMAT's website at <https://www.fcmat.org/request-fcmat-assistance>.

Background and Legal Basis

Since first published in September 2013, the primary focus of the Charter School Annual Oversight Checklist has been to provide charter authorizing agencies and charter schools with a tool to help determine the following:

- Whether adequate management controls are in place for the school's operations.
- Whether the charter school meets the requirements of its petition and the memorandum of understanding between it and the authorizing agency.
- Whether the charter school maintains compliance with laws and regulations, including conflict of interest provisions.

Education Code Section 47604 states that an agency approving a petition for a charter school that is to be operated by a nonprofit public benefit corporation shall not be liable for the debts or obligations of the charter school, or for claims arising from the performance of acts, errors or omissions by the charter school, if the agency has complied with all oversight responsibilities required by law.

Senate Bill (SB) 430, which became law in 2006, permitted a county superintendent of schools to request that FCMAT review the fiscal or administrative condition of a school district or charter school under his or her jurisdiction. The bill also permitted a charter school to request assistance from FCMAT.

California Education Code Section 47600, also known as the Charter Schools Act of 1992, was enacted to allow teachers, parents, students and community members to establish and maintain schools that operate independently from existing K-12 school districts and to do all of the following:

- Improve student learning.
- Increase learning opportunities for all students.
- Encourage the use of different and innovative teaching methods.
- Create new professional opportunities for teachers.
- Provide parents and students with additional opportunities.
- Allow for performance-based accountability systems.
- Provide rigorous competition with the public school system to stimulate continual improvement in all public schools.

Charter schools are independently run public schools that are given greater operational flexibility in exchange for greater performance-based accountability. Specific goals and operating procedures are detailed in agreements (e.g., charter petitions and memoranda of understanding) between the authorizing agency and the charter school organizers.

The charter school's authorizing agency is responsible for adequate and appropriate oversight, including determining if a charter school follows prudent business practices and generally accepted accounting principles when accounting for revenues and expenditures and preparing financial reports. The authorizing agency may be a school district, a county office of education, or the California State Board of Education (SBE).

Pursuant to Education Code Section 47607, an authorizing agency may revoke a charter school's charter for material violations, through a showing of substantial evidence, including the following:

- Gross financial mismanagement that jeopardizes the charter school's financial stability.
- Illegal or substantially improper use of charter school funds for the personal benefit of any officer, director, or fiduciary of the charter school.
- Substantial and sustained departure from measurably successful academic practices that would deny the educational development of the school's pupils.
- Any violation of any provision of the law.

About FCMAT

FCMAT's primary mission is to help California's local K-14 educational agencies identify, prevent and resolve financial, operational and data management challenges by providing management assistance and professional learning opportunities. FCMAT's services are used not just to help avert fiscal crisis, but to promote sound financial practices, support the training and development of chief business officials, and help to create efficient organizational operations. FCMAT's data management services are used to help local educational agencies (LEAs) meet state reporting responsibilities, improve data quality, and inform instructional program decisions.

FCMAT may be asked to provide fiscal crisis or management assistance by any of the following: school district, charter school, community college, county office of education, or state Superintendent of Public Instruction. FCMAT may also be assigned by the state Legislature.

When a request or assignment is received, FCMAT works closely with the LEA to define the scope of work, assemble a team, conduct on-site fieldwork and provide a written report with findings and recommendations to help identify and resolve issues, overcome challenges and plan for the future.

FCMAT's support has evolved based on the changing needs of K-14 LEAs and the implementation of major educational reforms.

FCMAT continues to develop and provide numerous publications, software tools, workshops, and professional learning opportunities to help LEAs operate more effectively and fulfill their fiscal oversight and data management responsibilities.

The California School Information Services (CSIS) division of FCMAT assists the California Department of Education with the implementation of the California Longitudinal Pupil Achievement Data System (CALPADS). CSIS also hosts and maintains the Ed-Data website (www.ed-data.org) and provides technical expertise to the Ed-Data partnership: the California Department of Education, EdSource and FCMAT.

FCMAT was created by Assembly Bill (AB) 1200 in 1991 to help LEAs meet and maintain their financial obligations. AB 1200 also provided a framework for county offices of education and school districts to work together locally to improve fiscal procedures and accountability standards.

AB 107, enacted in 1997, charged FCMAT with responsibility of the newly formed CSIS and its statewide data management work. AB 1115 in 1999 codified CSIS' mission.

The governor approved AB 139 in October 2001, which authorizes a county superintendent to call for a review or audit of an LEA if he or she has reason to believe that fraud, misappropriation of funds, or other illegal fiscal practices may have occurred that merit examination. FCMAT conducts the majority of this work.

In 2004, AB 2756 added responsibilities for districts with qualified and negative certifications relative to collective bargaining disclosures and assigned FCMAT added responsibilities with regard to districts that have received emergency state appropriations.

In January 2006, Senate Bill (SB) 430 (charter schools) and AB 1366 (community colleges) became law and expanded FCMAT's services to those types of LEAs.

On September 17, 2018, AB 1840 was signed into law. This legislation changed how fiscally insolvent districts are administered once an emergency appropriation has been made, shifting the former state-centric system to be more consistent with the principles of local control, and assigning new responsibilities to FCMAT associated with the process.

Since 1992, FCMAT has engaged in more than 1,200 reviews for LEAs, including school districts, county offices of education, charter schools and community colleges. The team is funded by appropriations in the state budget and a modest fee schedule of charges to requesting agencies.

Areas Reviewed

The areas reviewed in this document are checked below.

- I. General Requirements**
- II. Fiscal and Business Operations**
- III. Educational Program: Local Control and Accountability Plan (LCAP)**
- IV. Educational Program and Ongoing Assessment**
- V. Facilities, Maintenance and Operations**
- VI. Governance**
- VII. Personnel**
- VIII. Student Services**
- IX. Other Observations or Recommendations**

Authorizing LEA _____

Charter School _____

Date of this Review _____

Review Team Members: **

Initial Petition Approved:

Date _____

Current Petition Renewal Through: _____

Date _____

** The review team as a whole or its individual members have reviewed the items on the checklist with the LEA and have confirmed all responses before completing any specific area.

I. GENERAL REQUIREMENTS

Yes No N/A

A. Authorizer Requirements

- 1. The authorizer has identified at least one staff person who will be the contact person for the charter school. [EC 47604.32 (a)(1)]

Designated contact person and title _____

Comments

- 2. The authorizer has made a schedule or plan to visit the charter school at least annually. [EC 47604.32 (a)(2)]

Date(s) of annual visit(s) _____

Comments

- 3. The authorizer has identified the individual or entity responsible for ensuring that the charter school submits all fiscal reports required by law. [EC 47604.32 (a)(3) and 47604.33]

Name and title of individual or entity _____

Comments

- 4. The authorizer has identified the individual or entity responsible for ensuring that the charter school completes all data submissions as required by law. [EC 47604.32(a)(3)]

Name and title of individual or entity _____

Comments

- 5. The authorizer has identified the individual or entity responsible for monitoring the charter school's fiscal condition. [EC 47604.32(a)(4)]

Name and title of individual or entity _____

Comments

- 6. The authorizer has identified the individual or entity responsible for monitoring compliance with the memorandum of understanding (MOU) (special education, food services, training, fiscal, etc.) and charter petition deliverables.

Name and title of individual or entity _____

Comments

- 7. The authorizer has performed oversight duties required by Education Code Section 47604.32 using the supervisory oversight fees collected pursuant to Education Code Section 47613.

- a. The authorizer has ensured that the oversight fee does not exceed the lower of actual costs of supervisory oversight, not to exceed 1 percent of the charter's revenues, or 3 percent if the charter school is provided substantially rent-free facilities from the authorizer.

Revenues are defined as the amount received in the current fiscal year from the Local Control Funding Formula (LCFF) as base grant + supplemental grant + concentration grant + targeted instructional improvement grant (if applicable) + home-to-school transportation (if applicable).

Section 5 California Code of Regulations (CCR) 11969.7 defines facilities costs and definition of substantially rent-free.

Comments

8. The authorizer and the charter school have an agreement that, upon inactivation or closure, the charter school will provide the authorizer with access to the data used for state and federal reporting, and any other student or financial records and safeguard all records from being destroyed, abandoned, or mutilated.

Comments

B. Charter School Education Code Requirements

1. Material revisions to the approved charter have been approved by the governing board of the charter school and the authorizing LEA.

Comments

2. The charter school complies with the assurances in its charter petition, or as listed in Education Code Section 47605, stating that the charter school:
 - a. Shall be nonsectarian in programs admission policies, employment practices, and all other operations.
 - b. Shall not charge tuition and shall not require parental volunteer hours as a criterion for admission or continued enrollment.
 - c. Shall not discriminate against any pupil on the basis of disability, gender, gender identity, gender expression, nationality, race or ethnicity, religion, sexual orientation, immigration status, or association with a person or group with one or more of these actual or perceived characteristics.
 - d. Shall admit all students who reside in California who wish to attend (up to the charter school's capacity based on space, staff, or charter school policy).

- e. Shall determine by public random drawing which students, other than those already enrolled, will be allowed to enroll if the number of pupils who wish to attend the charter school exceeds the charter school's capacity, extending preference as detailed in the charter. Preferences do not result in limiting the enrollment access for pupils with disabilities, academically low-achieving pupils, English learners, neglected or delinquent pupils, homeless pupils, or pupils who are economically disadvantaged, as determined by eligibility for any free or reduced-price meal program, foster youth, or pupils based on nationality, race, ethnicity, or sexual orientation.
- f. Shall notify the superintendent of the school district of the pupil's last known address within thirty (30) days if a pupil who is subject to compulsory education per Education Code Section 48200 is expelled or leaves the charter school without graduating or completing the school year for any reason.
- g. Shall, upon request, provide the student's new school district or charter school with a copy of the student's cumulative record, including a transcript of grades or report card, and health information.
- h. Will follow all federal, state, and local laws and regulations that apply to the charter school.
- i. Shall be deemed the exclusive public school employer of the charter school employees for purposes of the Educational Employment Relations Act (EERA). The charter school shall comply with the EERA.
- j. Shall meet or exceed the legally required minimum of school days. [Ref. Title 5 CCR 11960]

Comments

- 3. There is evidence that the charter school provides support and services that are consistent with its stated mission as written in the charter petition.

Comments

4. The charter school promptly responds to all reasonable inquiries from the authorizer, the local county office of education, or the Superintendent of Public Instruction and consults with same regarding any inquiries. [EC 47604.3]

Comments

5. The charter school cooperates with any monitoring of and/or investigation into the operations of the charter school that are conducted by the local county office of education based on complaints by parents or other information. [EC 47604.4]

Comments

C. Memorandum of Understanding

1. A current MOU is on file that the parties have negotiated to meet mutual needs, outlining the parties' agreements about their respective fiscal and administrative responsibilities and legal relationship, including, but not limited to, the following:
 - a. The MOU includes what services, if any, will be provided by the authorizer and how the authorizer shall be reimbursed.
 - b. The MOU outlines other expectations and responsibilities of the two parties, such as the following:
 - Frequency of school site visits.
 - Financial reporting requirements. (Financial statements, budget, and cash flow reporting monthly/quarterly and annual requirements)
 - Transparent disclosure/posting on the charter school website all independent audit reports, nonprofit tax returns (990/199, etc.) board minutes and agendas, and authorizer notices of concern, notices to cure and remedies.
 - Insurance coverage requirements.
 - Indemnification.
 - Annual or semiannual reports to the authorizer.

- Special education programs.
- Homeless education programs.
- Independent study programs, if applicable.
- Compliance with the Political Reform Act, Public Records Act, Brown Act, and all other legal requirements.
- Charter school students/enrollment.
- Required disclosures.
- Facilities.
- Food service and transportation.
- Material revisions to charter.
- Charter school revocation and school closure procedures.

Comments

2. What school years does the current MOU cover? _____

Comments

Findings:

Recommendations Based on Above Findings:

Review Conducted by: _____ Date: _____

II. FISCAL AND BUSINESS OPERATIONS

Yes No N/A

A. Student Attendance

1. What attendance accounting system is used?

Comments

2. The charter school has ensured that the staff person primarily responsible for attendance reporting is adequately trained in CALPADS and attendance software.

Comments

3. Does the charter school have documentation that it has completed the “determination of funding”? [EC 47634.2; Title 5, 11963.2-11963.7]

Comments

4. There are approved board policies that address student attendance, including short-term independent study, if applicable.

Comments

5. There is a board-approved charter school calendar.

Comments

6. There is an approved class (bell) schedule.

Comments

7. The charter school has a process to monitor and ensure compliance with the requirements for minimum instructional minutes.

a. Who is responsible for monitoring compliance? _____

Comments

8. There are a minimum of 175 instructional days, unless reduced by statute or law due to extraordinary circumstances.

Comments

9. The charter school provides the required instructional minutes by grade.

K – 36,000

1-3 – 50,400

4-8 – 54,000

9-12 – 64,800

Comments

10. The charter school maintains class lists that include all students.

Comments

11. There is an assigned individual responsible for taking student attendance daily.

Comments

12. Absences are excluded from the apportionment days.

Comments

13. Attendance records are maintained for audit.

Comments

14. There is a process to compile schoolwide average daily attendance (ADA).

Comments

15. Projected enrollment and ADA is realistic.

Comments

Student Attendance – Independent Study (if applicable)

1. Records are maintained for audit.

Comments

2. Certificated teachers perform all evaluations of pupil work product for time-value for apportionment purposes. [EC 51747.5(b), 5 CCR 11700(b)(2) and (l), 5 CCR 11703(b)(4)]

Comments

3. The charter school's ratio of ADA to full-time equivalent (FTE) certificated employees is equal to or less than one of the following:

25-to-1,

or,

the ratio of pupils to FTE certificated employees for all other educational programs operated by the largest unified school district, as measured by ADA as reported at the second principal apportionment in the prior year, in the county or counties where the charter school operates.

Comments

4. The charter school adheres to the geographic restrictions established in Education Code Section 47605, if applicable.

Comments

5. The charter school has written policies related to independent study that indicate compliance with Education Code Section 51747.

Comments

6. The charter school has records that demonstrate adherence to policies related to Education Code Section 51747.

Comments

B. Cash Receipts

1. There are approved policies and/or procedures regarding cash receipts.

Comments

2. Receipts are issued for all cash, cashier's checks, and money orders received.

- Receipts are prenumbered/sequentially generated.
- Receipts are reconciled to the deposit.

Comments

3. An audit trail is maintained to ensure the deposit of all monies.

Comments

4. Cash is stored in a secure place prior to deposit.

Comments

5. Deposits are made in a timely manner.

Comments

6. At least two employees count cash, and both or all of these employees are required to sign documentation.

Comments

7. Duties are segregated for receipt of monies, deposit of monies, and reconciliation of bank statements.

Comments

8. Records are maintained for the independent auditor.

Comments

C. Disbursements

1. There are approved policies regarding disbursements.

Comments

2. Disbursements require the following:
 - a. An original invoice from the vendor.
 - b. A receiving document.
 - c. Appropriate preapproval of the purchase.

Comments

3. Encumbrances are recorded, tracked, and relieved as appropriate.

Comments

4. Checks are signed by authorized employees and require two signatures.

Comments

5. Only actual signatures are used (no signature stamp).

- a. If no, use the comments section below to explain under what circumstances a signature stamp is used.

Comments

6. If credit or debit cards are issued under the charter school's name, there are approved policies regarding their use and who is authorized to use them.

Comment

7. Does the charter school have a method to calculate and pay use tax for online purchases?

Comments

8. There is a system to maintain vendor payment information for preparation of 1099s.

Comments

9. There are approved policies and/or procedures for segregation of duties among purchasing, receiving, and accounts payable.

Comments

10. The governing board approves/ratifies disbursements.

Comments

11. Records are maintained for audit.

Comments

12. Related party vendors/contractors/organizations/entities/individuals are identified for possible disclosure in the audit report and to the authorizer.

Comments

D. Records Retention

1. The charter school has adopted and follows records retention policies, particularly for student records.

Comments

E. Payroll

1. The approved salary schedule(s) is (are) reflected in board minutes and posted for public review.

Comments

- 2. Federal and state tax deposits are made in accordance with the monthly/quarterly payment schedule.

Comments

- 3. Earnings subject to retirement are reported to Social Security, California Public Employees' Retirement System (CalPERS), and California State Teachers Retirement System (CalSTRS).

Comments

- 4. The charter school has a system to provide employee earnings records, including CalSTRS and CalPERS data, to the authorizing LEA, and/or county office of education.

Comments

- 5. There is a system to maintain employee earnings records for preparation of W-2s.

What is the name of payroll software and payroll processor (i.e., third party processor)?

Comments

- 6. There is segregation of duties among staff who process and maintain employee data, salary schedules, and payroll payments.

Comments

7. Records are maintained for audit.

Comments

8. The charter school uses a position control system or spreadsheet that reconciles with budget and payroll.

Comments

F. Budget, Accounting, and Financial Reporting

1. Does the charter school use a back-office provider for budget, accounting, and financial reporting?

What financial system does the charter school use for accounting and financial reporting? _____

Comments

2. The charter school submits data for CALPADS and meets CALPADS deadlines.

Comments

3. There are approved policies regarding budget, short-term/long-term debt, accruals, accounting and financial reporting. These include policies regarding implementation of the LCFF and the charter school's annual requirement to update the local control and accountability plan (LCAP) to account specifically for the expenditures of the supplemental and concentration grant funds generated by English learners, low-income students, or students in foster care.

Comments

- 4. The budget has been approved, within the appropriate timelines, by the governing board and includes sufficient expenditures to implement the LCAP.

Comments

- 5. There is a process to review and revise the budget for changes in student enrollment and operations.
 - a. Enrollment projections are reasonable and based on a waiting list or other significant event.

Comments

- 6. The governing board approves/ratifies budget revisions.

Comments

- 7. The governing board approves/ratifies contracts and purchase orders in accordance with approved policies and procedures.

Comments

- 8. Financial obligations are indicated in the budget.
 - a. The charter school maintains a list of short- or long-term debt obligations.

Comments

- 9. Separate accounts are maintained for unrestricted and restricted revenues and expenditures in accordance with the California School Accounting Manual (CSAM).

Comments

- 10. Financial reports are prepared accurately, and the charter’s governing board reviews them regularly (regularly means monthly, quarterly, or as defined in board policy.)

How often is financial reporting required (monthly/quarterly, etc.)? _____

Comments

- 11. Financial reports are provided to the authorizing LEA regularly and on time.

Comments

- 12. Cash flow projections are prepared and updated regularly to ensure that sufficient funds are available to meet the charter school’s financial obligations. These projections correlate to financial reports.

- a. The charter school’s financial condition is such that it will not require short-term borrowing for the current fiscal year from the sale of receivables or other financing mechanisms.

- b. If answer to a. above was ‘no,’ what level of funding will be required to sustain the charter school’s cash flow to meet its current financial obligations? _____

- c. What is the source of repayment? _____

Comments

13. Cash flow projections are provided to the authorizer regularly and on time.
- Cash flow reconciles with ending fund balance/net assets. (To reconcile, the charter should include an accrual column in their cash flow analysis.)

Comments

14. Revenues are calculated accurately given actual ADA and funding formulas.

Comments

15. Expenditure projections are reasonable based on actual ADA, FTE and operational expenses.

Comments

G. Audit

1. Which independent audit firm from the State Controller's Office approved list has been selected? _____

Comments

2. The first annual independent audit occurred after the charter school first spent or received any money (from any source), obtained its first asset and/or incurred its first obligation (in most cases the first annual audit will be due the first fiscal year ending after the charter petition is approved).

Comments

3. An audit schedule/timeline has been developed.

Comments

4. On or before December 15 of the subsequent fiscal year, a copy of the audit for the prior year has been provided to the authorizing LEA, the county superintendent of schools of the county in which the charter school is located, the State Controller's Office, and the California Department of Education, in accordance with Education Code Sections 47605 and 41020.

Comments

5. Audit adjustments, restatements, or financial corrections identified by the auditors have been recorded in the financial records so that the general ledger, ending fund balance, and all other accounts are appropriately recorded.

Comments

6. A corrective plan of action has been developed and implemented for each audit finding and recommendation. The action plan has been presented to the governing board by January 31 each year in accordance with Education Code Section 41020.3.

Comments

7. The prior year's audit recommendations have been implemented.

Comments

8. Records are properly maintained for audit.

Comments

H. Financial Condition

1. A prudent level of reserves is maintained for economic uncertainties. The charter school meets or exceeds the reserve level defined in the charter petition. Where no reserve level is established in the charter petition, the reserve level follows 5 CCR §15450, based on the number of ADA.

Comments

2. Multiyear financial projections are prepared.

Comments

3. The projections and assumptions are reasonable.

Comments

4. All long-term debt obligations have been included in the multiyear financial projection.

Comments

5. Copies of all long-term debt and/or other obligations have been provided to the authorizing LEA.

Comments

- 6. Based on the projections, the charter school will be able to meet its financial obligations, maintain a positive fund balance and maintain a prudent level of reserves in the current and two subsequent fiscal years.

Comments

- 7. Based on the projections, the charter school will have sufficient cash reserves to meet its financial obligations in the current and two subsequent fiscal years.

Comments

I. Equipment Inventory

- 1. There are approved policies regarding the purchase and maintenance of equipment.

Comments

- 2. An equipment inventory is:
 - a. Maintained and on file at the main office.
 - b. Conducted physically at each site.

Describe how often (annually, every two years, etc.) _____

Comments

- 3. Equipment purchased with federal funds or donations is identified.

Comments

4. Records are maintained for audit purposes.

Comments

5. The expenditures of the charter school are for an educational purpose.

Comments

J. Other

1. The charter school complies with the plan described in the charter petition, from both a fiscal and operational standpoint, and has done so from the inception of the charter.

Comments

2. All required documentation has been submitted to the authorizer in a timely manner during each reporting cycle.

Comments

3. If the charter school receives federal funds, does it comply with the posting on its website in a prominent, conspicuous location, the Title IX information, including the name and contact number/email for the Title IX Coordinator for that school (EC 221.61)?

Comments

- 4. If the charter school receives funds from the Education Protection Account (EPA), does the governing board determine the use of the EPA funds at an open public meeting?

Date of meeting _____

Comments

- 5. If the charter school receives funds from the EPA, does it comply with posting Article XIII, Section 36, Subdivision (e), Paragraph (6) of the California Constitution which requires all districts, counties and charter schools to report on their websites an accounting of how much money was received from the EPA and how that money was spent?

Comments

- 6. No commingling or personal use of charter funds is evident.

Comments

Findings:

Recommendations Based on Above Findings:

Review Conducted by: _____ Date: _____

III. Educational Program: Local Control and Accountability Plan (LCAP)

Yes No N/A

A. Timely Submission

1. The charter school completed, held a public hearing, and submitted an LCAP (or annual update) to the charter school authorizer by July 1, in accordance with Education Code Section 47606.5.

AB 77 eliminates this requirement for the 2020-21 school year. Instead, charter schools are required to adopt a learning continuity and attendance plan by September 30, 2020.

- a. The charter school used the current State Board of Education LCAP template.

Beginning July 1, 2020, the public hearing and the approval of the LCAP must be on separate calendar days with the public hearing preceding the approval.

Comments

2. The signed certification was included, indicating charter school governing board approval prior to submission.

Comments

B. Complete Plan

1. The charter school LCAP addresses each of the following state priorities.
 - a. Priority 1: credentials, materials and facilities.
 - b. Priority 2: academic standards, including English learners (EL).
 - c. Priority 3: parental involvement.
 - d. Priority 4: pupil achievement.
 - e. Priority 5: pupil engagement.

- f. Priority 6: school climate.
- g. Priority 7: course of study.
- h. Priority 8: other pupil outcomes.

Comments

2. Any omissions in item 1 above are due to alignment with the grades served by the charter school.

Comments

3. Omissions in item 1 above are appropriate for the nature of the charter school's program.

Comments

4. Omissions in item 1 above are appropriate for laws that are not explicitly applicable to charter schools.

Comments

5. Schoolwide goals are included for the applicable priorities.

Comments

6. The following subgroups are listed, based on prior year demographic data:

- a. Racial/ethnic subgroups.
- b. Socioeconomically disadvantaged.

- c. English learners.
- d. Pupils with disabilities.
- e. Foster youth.

Comments

- 7. Subgroup goals are included for the applicable priorities.

Comments

C. Prepared with Stakeholder Consultation

- 1. Meetings or events were held to consult with the stakeholder groups, as applicable.

Comments

- 2. Events were publicized in a manner likely to be effective (media, languages).

Comments

- 3. Charter school governing board members received stakeholder input directly.

Comments

D. Proportional Expenditures and Outcomes

1. The LCAP includes a description of the use of supplemental and concentration funds.

Comments

2. If the LCAP describes use of such funds in a charterwide manner, a reasonable justification of such use is included.

Comments

3. The LCAP includes the percentage that services for unduplicated pupils must be increased or improved compared to the services for all pupils.

Comments

4. The LCAP describes how the services for low-income pupils, foster youth, and English learners provide for increased or improved services in proportion to the increase in funding.

Comments

5. The description of services for low-income pupils, foster youth, and English learners is consistent with other portions of the LCAP.

Comments

6. The LCAP includes a reasonable description of how services will increase or improve in proportion with increased funding.

Comments

E. Budget Alignment

1. The supplemental and concentration revenue shown in the LCAP is consistent with the budget.

Comments

2. The expenditures associated with the actions in the LCAP are consistent with the budget.

Comments

Findings:

Recommendations Based on Above Findings:

Review Conducted by: _____ Date: _____

IV. EDUCATIONAL PROGRAM AND ONGOING ASSESSMENT

Yes No N/A

A. Educational Program

1. The charter school is following its curricular and instructional plan as presented in the approved charter petition, enabling pupils to become self-motivated, competent, lifelong learners. The plan includes the following, if applicable:
 - a. Implementing state standards.
 - b. Improving student achievement, graduation rates, California Assessment of Student Performance and Progress (CAASPP), and school performance.
 - Providing services for English learner (EL) students, low-income (LI) students, and students in foster care.
 - Using instructional design or strategies based on successful practice or research to support students who are not meeting pupil outcomes.
 - c. Employing qualified teachers, providing sufficient instructional materials, and maintaining facilities.
 - d. Providing opportunities for parent involvement.

Comments

2. The charter school staffing is sufficient to carry out the educational program.

Comments

3. All students have school materials available to them.

Comments

- 4. Parents of charter high school students are informed about the transferability of courses to other public high schools and the eligibility of courses to meet college entrance requirements, including A-G requirements.

Comments

- 5. The charter school is implementing a framework for instructional design that is aligned with the needs of the students identified as the target population in the approved charter petition.

Comments

- 6. A cross-reference with budget indicates there is sufficient funding to operate the program the charter petition describes as the mission of the charter school.

Comments

B. Services to Special Populations

- 1. The charter school can provide evidence that it is committed to serving all students, especially the highest needs students: those who require special education services; those who are English learners; those who are eligible for services under Section 504 of the Rehabilitation Act of 1973; and those who are gifted and talented.

Special education local plan area (SELPA) name/location: _____

Comments

2. The charter school has adopted policies and practices that demonstrate understanding of and compliance with all laws related to the identification and education of students with disabilities, including the following:
 - a. Appropriate placement for students who are enrolling with individualized education programs (IEPs).
 - b. Referral and assessment of students believed to require special education and related services.
 - c. Compliance with timelines related to special education.
 - d. Compliance with legal requirements for scheduling and conducting IEPs and interim IEPs.

Comments

3. Students who are identified as eligible for special education are receiving services required by their IEPs.

Comments

4. Regular education teachers who serve special needs students in their classrooms have access to those students' IEPs.

Comments

5. The charter school provides for the inclusion of all required members in IEP team meetings.

Comments

6. The charter school has a plan for providing transportation for special education students who require this related service.

Comments

7. The charter school has a process for determining a student's eligibility for services under Section 504 of the Rehabilitation Act of 1973.

Comments

8. The charter school develops and implements accommodation plans for students who are eligible under Section 504.

Comments

9. The charter school ensures that special education funds are not used to serve students identified under Section 504.

Comments

10. The charter school demonstrates an understanding of and capacity to comply with state and federal requirements regarding identifying and educating English learner students.

Comments

11. The charter school follows a process to identify, monitor and reclassify students who are English learners, and can provide reclassification data to measure success.

Comments

C. Curricular Materials

1. The charter school has available and uses state standards-based instructional materials.

Comments

2. The charter school uses instructional curricula and materials that address the specific needs of English learners.

Comments

3. The charter school provides access to grade-level core curricula for English learners as measured by the English Language Proficiency Assessments for California (ELPAC) or any subsequent assessment of English proficiency, as certified by the State Board of Education.

Comments

4. The charter school refrains from using faith-based instructional materials.

Comments

D. Professional Learning and Teacher Qualifications

1. Charter school staff have access and opportunity for professional learning needed to carry out the instructional program.

Comments

2. Students identified as eligible for special education and/or as English learners are receiving services from teachers holding the legally required credentials, certificates and/or authorizations.

Comments

3. The charter school has an ongoing professional learning program to ensure that teaching and nonteaching staff maintain the skills required to perform their jobs.

Comments

4. The charter school participates in professional learning trainings that provide technical assistance.

Comments

E. Ongoing Assessment

1. The charter school participates in statewide assessments as required by the State Board of Education for all K-12 schools in California.

Comments

2. By February 1, annually, the charter school has submitted a school accountability report card (SARC) containing the required elements and posted it to the school's website.

Comments

3. Student achievement data is regularly reported to board, parents, and staff.

Comments

4. The charter school is implementing a plan for collecting, analyzing and reporting data on pupil achievement and using the data continually to monitor and improve its educational program.

Comments

5. Students who achieve either significantly below or significantly above grade level receive instruction that addresses their learning differences.

Comments

6. The charter school presents evidence that it uses measures, targets, and other student data to show academic performance.

Comments

7. When areas of improvement are identified, the charter school identifies specific plans to address all areas needing improvement.

Comments

Findings:

Recommendations Based on Above Findings:

Review Conducted by: _____ Date: _____

V. FACILITIES, MAINTENANCE AND OPERATIONS

Yes No N/A

A. Facilities' Adequacy to Meet Educational Program Requirements

1. A designated position is responsible for overseeing facilities maintenance and operations.

a. If yes, what is the name of the position? _____

Comments

2. There is a custodial schedule that indicates appropriate and timely attention to providing students with a clean and safe learning environment.

Comments

3. Classrooms, grounds and other facilities are clean and maintained to provide students with a safe and orderly learning environment.

Comments

4. The charter school maintains insurance coverage as agreed in the MOU.

Comments

5. All facilities in which the charter school is housed meet federal requirements for school facilities, including those in the Americans with Disabilities Act (ADA).

Comments

6. The charter school conducts regular inspections of the facilities and has developed a management plan in accordance with the Asbestos Hazard Emergency Response Act (AHERA).

Comments

7. There is a process for providing routine maintenance to ensure that charter school facilities, including playgrounds, remain in good condition.

Comments

8. If charter-owned facilities are not in good condition or need maintenance, there is a schedule for making needed improvements.

Comments

9. The charter school's facilities are adequate for the number of students and types of programs assigned to each site and are located in an area properly zoned for operation of a school.

Comments

10. The charter school has the following on file:

- a. Certificate of occupancy.
- b. Conditional use permit for each site.

Comments

11. If the charter school has plans to modernize or add facilities to its existing site, it has notified the authorizer of any material changes.

Comments

12. If the charter school has plans to add a new site or occupy a new facility, has it applied for or received approval of a material revision to the charter petition (EC 47605)?

Comments

Findings:

Recommendations Based on Above Findings:

Review Conducted by: _____ Date: _____

VI. GOVERNANCE

Yes No N/A

A. Organizational Management

1. The charter school is structured as:
 - a. Solely a charter school.
 - b. A charter school with other associated entities (e.g., limited liability companies, foundations, management organizations).

If b, describe the structure. _____

Comments

Beginning July 1, 2019, Education Code Section 47604 prohibits charter schools from being operated as or by a for-profit entity. If a current charter school is operated as or by a for-profit entity, it must change to nonprofit upon a material revision or renewal or cease operation.

2. If the charter school is constituted as a nonprofit corporation, the corporate papers, including articles of incorporation, are available to the authorizer?

Comments

3. If the charter school is considered a nonprofit 501(c)(3) organization, a copy of Internal Revenue Service (IRS) form 1023 and the official IRS determination letter are available to the authorizer.

Comments

4. Does the authorizer annually receive copies of IRS form 990?

Comments

5. There is a current list or roster of governing board members that accurately reflects the composition outlined in the petition.

Comments

6. The governing board has a comprehensive plan to conduct an annual oversight of the academic program that reflects the goals and objectives of the LCAP.

Comments

7. The governing board is equipped to execute its fiduciary responsibility regarding the disbursement of public funds.

Comments

8. The governing board regularly reviews the budget and financial statements of the charter school and demonstrates knowledge of the charter school's short- and long-term financial outlook.

Comments

9. The organizational structure of the charter school clearly delineates and distinguishes between the responsibilities of its governing board and those of its management staff.

Comments

10. The charter school has a complete, accurate and up-to-date organizational chart that aligns with the school's bylaws.

Comments

B. Capacity/Composition

1. Do all board members attend training on the budget and governance at least every two years?

Comments

2. The governing board is free of real or perceived conflicts of interest.

Comments

3. The governing board represents strong diversity relevant to the community and the charter school population.

Comments

C. Structure

1. The composition of the governing board is consistent with the approved charter.

Comments

2. The governing board has comprehensive bylaws that are updated regularly.

Comments

3. The governing board appears to fully understand the bylaws and the MOU and their implications.

Comments

4. The governing board has identified officers.

Comments

5. There are written job descriptions for board officers that clearly describe the roles and responsibilities of each.

Comments

6. The bylaws delineate committees and provide detailed job descriptions for these committees.

Comments

D. Clarity

1. The governing board actively discusses which elements of key decisions are governance vs. management.

Comments

2. The charter school leadership team demonstrates a strong understanding of their role related to effective governance.

Comments

3. The governing board members understand their role in developing, supporting, and evaluating the charter school leader.

Comments

4. There is a strong working relationship among the charter school leader, board chair and full board.

Comments

E. Meetings

1. The governing board conducts public meetings as frequently as is needed to ensure that it addresses the business required to provide sufficient direction to the charter school.

Comments

2. The governing board complies with the following:
 - a. Regularly scheduled meetings with appropriate public notice, including agendas posted in advance on the charter school's website.
 - b. Brown Act training and meeting compliance.
 - c. Availability of meeting minutes.

Comments

3. The governing board has resolutions and board-adopted policies including, but not limited to, the following:
 - a. Conflict of interest in accordance with Government Codes 1090-1099 and 87100-91014.

- b. Handbooks/manuals – parent, student, employee, accounting policies and procedures, purchasing, equipment.
- c. Student and employee discipline and due process.
- d. Parent complaint resolution and due process.
- e. Internal controls policies and related forms and systems.
- f. Bank signature authorizations.
- g. Harassment – student, staff.
- h. Safety plan.
- i. Section 504 (of the Rehabilitation Act of 1973) compliance.
- j. Allowable purchases and purchasing authority.
- k. Wellness policy.
- l. Suicide prevention policy. [EC 215]

Comments

- 4. Material revisions to the charter have been approved by the governing board and submitted to the authorizing agency for approval.

Comments

- 5. The governing board has reviewed and approved the LCAP annually.

Comments

F. Parent and Staff Involvement

1. There is a process that ensures the charter school regularly consults and engages with students, parents, guardians, community members and staff about the school's operations and education program, and that allows all stakeholders to provide input regarding the effectiveness of the charter school.

Comments

Findings:

Recommendations Based on Above Findings:

Review Conducted by: _____ Date: _____

VII. PERSONNEL

Yes No N/A

A. All Employees

1. The charter school has documentation of Department of Justice background checks on all employees.

Comments

2. The charter school has policies or procedures related to hiring practices.

Comments

3. The charter school has an employee handbook.

Comments

4. The charter school has documentation of tuberculosis (TB) test results for all employees.

Comments

5. The charter school has approved personnel policies that cover such issues as sick leave, personal necessity leave, and overtime.

Comments

6. The charter school has clear guidelines that differentiate between employees and independent contractors.

Comments

7. The charter school provides professional learning opportunities to staff.

Comments

8. Employee evaluations are completed regularly and on time.

Comments

9. Personnel actions are approved by the governing board.

Comments

10. The charter school has records that indicate it has trained employees regarding blood-borne pathogens, child abuse reporting, staff and student relationships, and sexual harassment issues.

Comments

B. Collective Bargaining

1. All parties to bargaining agreements, including the charter school, have properly notified the public of their bargaining proposals for the current year (“sunshined”).

Comments

2. The charter school has analyzed the fiscal effects of agreements reached with its employee bargaining units.

Comments

C. Certificated Employees

1. Teachers who provide instruction in core classes hold the credential(s) required by the California Commission on Teacher Credentialing.

Comments

2. All teachers in charter schools have a certificate of clearance and satisfy the requirements for professional fitness pursuant to Education Code Sections 44339, 44340, and 44341.

Comments

3. Teachers and professionals have the credentials and certifications required to comply with the federal Every Student Succeeds Act.

Comments

4. Teachers have the legally required Crosscultural, Language and Academic Development (CLAD); Bilingual, Crosscultural, Language and Academic Developemnt (B-CLAD); or other appropriate English learner authorization to provide instruction to the students enrolled in their classes.

Comments

5. Teachers who are providing core college preparatory classes have the correct credential(s) and certification or permit, per the Commission on Teacher Credentialing.

Comments

6. Teachers who provide special education and related services have the appropriate credentials and certifications.

Comments

Education Code Section 47605.4: (a) Notwithstanding subdivision (l) of Section 47605, teachers employed by charter schools during the 2019–20 school year shall have until July 1, 2025, to obtain the certificate required for the teacher’s certificated assignment.

D. Classified Employees

1. Classified employees who provide instructional support in the areas of special education and English language learner services meet the qualifications for these positions in compliance with the federal Every Student Succeeds Act.

Comments

2. The charter school employs enough classified staff to ensure that the necessary clerical and recordkeeping tasks are completed in a timely manner.

Comments

3. The charter school provides adequate staffing for the following, as outlined in the charter petition:

- a. Custodial
- b. Food service

- c. Information technology
- d. Lunch/break supervision
- e. Other

Comments

Findings:

Recommendations Based on Above Findings:

Review Conducted by: _____ Date: _____

VIII. STUDENT SERVICES

Yes No N/A

A. Admissions

1. The charter school is complying with the admissions practices described in the approved charter.

Comments

2. The charter school facilitates admissions for a student with an IEP in the same manner as for a student without an IEP.

Comments

3. If the charter school is an independent study charter school, it facilitates admissions for a student with an IEP in the same manner as for a student without an IEP and in accordance with Education Code Section 51746 (b) and 5 CCR 11700 related to the enrollment of students with IEPs in an independent study program.

Comments

4. The charter school enrollment forms indicate compliance with all applicable laws and with the approved charter.

Comments

5. If the charter school has needed to use a lottery system to determine which students will be allowed to enroll, there is documentation that the process was held in the manner described in the approved petition.

Comments

6. The charter school has records documenting immunizations to the extent required for enrollment in charter schools.

Comments

7. The charter school has documented efforts to have its enrollment reflect a balance of racial and ethnic pupils, special education pupils, and English learner pupils, including redesignated fluent English proficient pupils, as defined by the evaluation rubrics in Education Code Section 52064.5, that is reflective of the general population residing within the territorial jurisdiction of the school district to which the charter petition is submitted. [EC 47605 (b)(5)G]

Comments

8. Student cumulative files are accurate and have pertinent data regarding court documents, IEPs, 504 plans and assessment records.

Comments

B. Discipline

1. The governing board has policies regarding student discipline, including the following:
- a. A list of the offenses for which students may be suspended or expelled.
 - b. Procedures for suspension or expulsion and a means to provide students with due process.
 - c. Procedures by which parents and students will be informed about the reasons for suspension or expulsion.
 - d. Procedures for suspension or expulsion that protect the required due process rights of students with IEPs or 504 plans.

- e. Procedures to ensure that parents and students will be informed of their due process rights in regard to suspension or expulsion and that demonstrate an awareness that charter school students are entitled to the same due process rights as students enrolled in noncharter public schools.

Comments

- 2. The charter school provides the authorizer with accurate data regarding suspensions and expulsions.

Comments

- 3. The charter school has sound discipline policies and practices, safety procedures, and a crisis plan to deal with violence and threats of violence as well as bullying.

Comments

C. Health & Safety

- 1. The charter school has a method for conducting legally required criminal background checks on potential employees, contractors and volunteers to ensure that it does not hire any person who has been convicted of a violent or serious felony.

Comments

- 2. By March 1 annually, the charter school has reviewed and updated (if necessary), its comprehensive health, safety, disaster preparedness and emergency plan for students and employees that addresses seismic safety, natural disasters, fire emergencies, earthquakes, civil disorder, accidents, injuries, and other threats to the health and safety of students and staff.

Evidence that the School Safety Plan includes all of the topics listed in Education Code Sections 32282 and 47605.

Date of last review _____

Date of last update _____

Comments

3. There is evidence that staff have been trained in health, safety, disaster preparedness and emergency procedures.

Comments

4. The charter school maintains a calendar of emergency drills for each site at which it operates.

Comments

5. The charter school has a policy related to supervision of students before and after school while on campus and during student pick-ups, as well as a procedure for visitors to enter and leave campus.

Comments

6. The charter school conducts the following to ensure the health and safety of its pupils and staff to the same extent as would be required by law if the pupils attended a noncharter public school:

- a. Vision screening
- b. Hearing screening
- c. Scoliosis screening

Comments

7. Did the charter school provide each needy pupil, as defined in Education Code Section 49552, with one nutritionally adequate free/reduced-price meal.
[EC 47613.5]

Comments

8. Records indicate that staff have been trained to meet students' health needs, including the administration of required medication.

Comments

Findings:

Recommendations Based on Above Findings:

Review Conducted by: _____ Date: _____

IX. Other Observations or Recommendations

Findings:

Recommendations Based on Above Findings:

Review Conducted by: _____ Date: _____

Appendix A

List of Documents Reviewed