

Charter School

Annual Oversight Checklist

Joel D. Montero
Chief Executive Officer

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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 users, provided additional fields for users who prefer to provide explanations next to individual items rather than one explanation at the end of a section, and added new tasks based on the local control and accountability plan (LCAP).

Established in 1992 by the Legislature as an independent and external state-funded entity, FCMAT's primary mission is to help California's local K-14 educational agencies fulfill their financial and managerial responsibilities by providing fiscal and data management assistance, professional development, product development, and other related school business and data services. FCMAT's work ranges from state policy to operations at schools. This checklist is an example of FCMAT's direct support, assistance and leadership provided to educational agencies statewide, including K-12 schools, community colleges, county offices of education, charter schools, the State Superintendent of Public Instruction, and the Legislature.

This checklist has been developed to assist local educational agencies (LEAs) and the charter schools they authorize in addressing annual oversight responsibilities. The checklist includes several areas, with identified criteria in each that include best practices for operation and oversight and can help users evaluate areas in which an authorized charter school is either operating effectively or may need support. The intent of the document is to serve as an initial tool in outlining 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 and creates no procedural or substantive rights for any individual, group, or entity.

The checklist can be used for periodic reviews throughout the year, or annually. It is intended to serve as an internal oversight review document. FCMAT's goal when developing the checklist was to lend support as LEAs 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 information about why the answer indicated was provided. The findings and recommendations fields at the end of each section may be used to provide a more in-depth analysis and recommendations if desired. LEAs are at liberty to modify the tool's format or content to address their specific situation and needs.

This checklist is not intended to be used as the sole determiner of whether a charter school will continue to be authorized or supported in the future. Rather, FCMAT provides the Charter School Annual Oversight Checklist as a template and tool for authorizing LEAs and their charter schools to use. FCMAT is not responsible for the answers produced by other entities in response to items on the checklist.

Suggestions about how to improve this document and make it more useful are always welcome.

Acknowledgements

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 checklist will occur as needed.

Questions about or suggestions regarding this checklist should be directed to Michelle Plumbtree, FCMAT Chief Management Analyst, or submitted via the online request for assistance form on FCMAT's website at www.fcmat.org.

Background and Legal Basis

Since it was 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 whether adequate management controls are in place for the school's operations, and whether the charter school is meeting the requirements of its petition and the memorandum of understanding between it and the authorizing agency.

This oversight checklist can be used by charter authorizers, or by a charter school to conduct a self-assessment. The intent of the document is to help outline some of the key responsibilities that both a charter school and its authorizer should consider by providing an objective overview of and checklist for a charter school's operations. 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. This is in alignment with FCMAT's mission and purpose (see About FCMAT below).

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 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 part of the public school system but differ from traditional public schools because they are exempt from many state laws relating to specific educational programs. 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 is following 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. An authorizing agency may revoke a charter school's charter for material violations, including 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; or any violation of any provision of the law. 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.

About FCMAT

FCMAT's primary mission is to assist California's local K-14 educational agencies to identify, prevent, and resolve financial, human resources and data management challenges. FCMAT provides fiscal and data management assistance, professional development training, product development and other related school business and data services. FCMAT's fiscal and management assistance 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 requested to provide fiscal crisis or management assistance by a school district, charter school, community college, county office of education, the state Superintendent of Public Instruction, or the Legislature.

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

FCMAT has continued to make adjustments in the types of support provided based on the changing dynamics of K-14 LEAs and the implementation of major educational reforms.

FCMAT also develops and provides numerous publications, software tools, workshops and professional development 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) and also maintains DataGate, the FCMAT/CSIS software LEAs use for CSIS services. FCMAT was created by Assembly Bill (AB) 1200 in 1992 to assist LEAs to meet and sustain their financial obligations. AB 107 in 1997 charged FCMAT with responsibility for CSIS and its statewide data management work. AB 1115 in 1999 codified CSIS' mission.

Areas Reviewed

The areas reviewed in this document are checked below.

- ☐ **General Requirements**
- ☐ **Fiscal and Business Operations**
- ☐ **Educational Program: Local Control and Accountability Plan (LCAP)**
- ☐ **Educational Program and Ongoing Assessment**
- ☐ **Facilities, Maintenance and Operations**
- ☐ **New Resource Center/Facilities Form**
- ☐ **Governance**
- ☐ **Personnel**
- ☐ **Student Services**

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.**

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GENERAL REQUIREMENTS

		Yes	No	Not Applicable
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)]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Who is the designated contact person?	-----		
	<i>Comments</i>			
2.	The authorizer has made a schedule or plan to visit the charter school at least annually. [EC 47604.32 (b)]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<i>Comments</i>			
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 (c) and 47604.33]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<i>Comments</i>			
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(c)]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<i>Comments</i>			

GENERAL REQUIREMENTS

		Yes	No	Not Applicable
5.	The authorizer has identified the individual or entity responsible for monitoring the fiscal condition of the charter school. [EC 47604.32(d)]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<i>Comments</i>			
6.	If applicable, legally required notifications pursuant to EC 47604.32(e) have been provided to the California Department of Education (CDE) in a timely manner regarding the following:			
	a. Whether a renewal of the charter school is granted or denied.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	b. Whether the charter school is revoked.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	c. Whether the charter school will cease operation for any reason.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<i>Comments</i>			
7.	The authorizer has performed oversight duties required by EC 47604.32 using the supervisory oversight fees collected pursuant to EC 47613.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	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 LCFF revenues, or 3 percent if the charter school is provided substantially rent-free facilities from the authorizer.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<i>Comments</i>			

GENERAL REQUIREMENTS

		Yes	No	Not Applicable
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.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<i>Comments</i>			
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.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<i>Comments</i>			
2.	There is no credible evidence that the charter school has violated the assurances in their charter petition — listed in EC 47605(d) — stating that the charter school:			
	a. Shall be nonsectarian in programs admission policies, employment practices, and all other operations.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	b. Shall not charge tuition.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	c. Shall not discriminate against any pupil on the basis of ethnicity, national origin, gender, gender identity, gender expression, or disability.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	d. Shall admit all students who reside in California who wish to attend (up to the charter school's capacity based upon space, staff, or charter school policy).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

GENERAL REQUIREMENTS

	Yes	No	Not Applicable
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.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
f. Shall, in the event of a drawing, make reasonable efforts to accommodate the growth of the charter school and not take any action to impede the charter school from expanding enrollment to meet demand.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
g. Shall notify the superintendent of the charter school district of the pupil's last known address within thirty (30) days if a pupil is expelled or leaves the charter school without graduating or completing the school year for any reason.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
h. 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.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Comments

3.	There is evidence that the charter school is providing support and services that are consistent with its stated mission as written in the charter petition.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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Comments

GENERAL REQUIREMENTS

		Yes	No	Not Applicable
4.	The charter school responds to the authorizer's reasonable requests for information.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<i>Comments</i>			
C. Memorandum of Understanding				
1.	There is a current MOU 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:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	a. The MOU includes a process for agreeing on what services will be provided by the authorizer and how the authorizer shall be reimbursed.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	b. The MOU outlines other expectations and responsibilities of the two parties, such as the following:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Student performance expectations.			
	• Frequency of school site visits.			
	• Financial reporting requirements.			
	• Services provided by the sponsoring agency.			
	• Insurance coverage requirements.			
	• Indemnification.			
	• Annual or semiannual reports to the authorizer.			
	• Special education programs.			

GENERAL REQUIREMENTS

Yes No Not Applicable

- Homeless education programs.
- Independent study programs.
- Compliance with the Political Reform Act, Public Records Act, Brown Act, and other legal requirements.
- Required documentation.
- Charter school students/enrollment.
- Required disclosures.
- Facilities.
- Food service and transportation.
- Accountability for academic performance.
- Material revisions to charter.
- Charter school renewal, revocation, and school closure.

Comments

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

General Requirements— Risk Analysis

1. Total the number of items in this section that received a response of “No.”
2. Use the key below to determine the level of risk to the charter school’s operations.

0 – 2

Low

3– 4

Moderate

6

High

7 +

Extremely High

Total “No” Responses

Findings:

Recommendations Based on Above Findings:

Review Conducted by:_____ **Date:**_____

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FISCAL AND BUSINESS OPERATIONS

Yes No Not
Applicable

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.

☐☐☐

Comments

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

☐☐☐

Comments

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

☐☐☐

Comments

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

☐☐☐

Comments

FISCAL AND BUSINESS OPERATIONS

	Yes	No	Not Applicable
6. The charter school has a process to monitor and ensure compliance with the requirements for minimum instructional minutes.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
a. Who is responsible for monitoring compliance?	-----		
<i>Comments</i>			
7. There are a minimum of 175 instructional days.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Comments</i>			
8. The charter school maintains class lists that include all students.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Comments</i>			
9. There is an assigned individual responsible for taking student attendance daily.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Comments</i>			
10. Absences are excluded from the apportionment days.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Comments</i>			

FISCAL AND BUSINESS OPERATIONS

Yes	No	Not Applicable
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11. Attendance records are maintained for audit.

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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Comments

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

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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Comments

13. Average daily attendance (ADA) is claimed only for teachers who hold an appropriate certificate, permit or other document issued by the Commission on Teacher Credentialing (CTC). [EC 47605(l)]

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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Comments

14. Projected enrollment and ADA is realistic.

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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Comments

Student Attendance – Independent Study

1. Records are maintained for audit.

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
--------------------------	--------------------------	--------------------------

Comments

FISCAL AND BUSINESS OPERATIONS

	Yes	No	Not Applicable
2. Independent study ADA appears to meet all state requirements.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Comments</i>			
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 average daily attendance as reported at the second principal apportionment in the prior year, in the county or counties in which the charter school operates.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Comments</i>			
4. The charter school adheres to the geographic restrictions set forth in EC 47605.1(c), if applicable.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Comments</i>			
5. The charter school has written policies related to independent study that indicate compliance with EC 51747.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Comments</i>			

FISCAL AND BUSINESS OPERATIONS

	Yes	No	Not Applicable
--	-----	----	-------------------

- | | | | | |
|----|--|--------------------------|--------------------------|--------------------------|
| 6. | The charter school has records that demonstrate adherence to policies related to EC 51747. | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|----|--|--------------------------|--------------------------|--------------------------|

Comments

B. Cash Receipts

- | | | | | |
|----|--|--------------------------|--------------------------|--------------------------|
| 1. | There are approved policies regarding cash receipts. | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|----|--|--------------------------|--------------------------|--------------------------|

Comments

- | | | | | |
|----|--|--------------------------|--------------------------|--------------------------|
| 2. | Receipts are issued for all monies received. | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|----|--|--------------------------|--------------------------|--------------------------|

Comments

- | | | | | |
|----|---|--------------------------|--------------------------|--------------------------|
| 3. | An audit trail is maintained to ensure the deposit of all monies. | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|----|---|--------------------------|--------------------------|--------------------------|

Comments

- | | | | | |
|----|--|--------------------------|--------------------------|--------------------------|
| 4. | Cash is stored in a secure place prior to deposit. | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|----|--|--------------------------|--------------------------|--------------------------|

Comments

FISCAL AND BUSINESS OPERATIONS

	Yes	No	Not Applicable
5. Deposits are made in a timely manner.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Comments</i>			
6. Cash is counted by at least two employees, and both or all of these employees are required to sign documentation.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Comments</i>			
7. There is a segregation of duties for receipt of monies, deposit of monies, and reconciliation of bank statements.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Comments</i>			
8. Records are maintained for the independent auditor.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Comments</i>			
C. Disbursements			
1. There are approved policies regarding disbursements.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Comments</i>			

FISCAL AND BUSINESS OPERATIONS

	Yes	No	Not Applicable
2. Disbursements require the following:			
a. An original invoice from the vendor.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. A receiving document.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c. Appropriate approval of the purchase.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Comments</i>			
3. The accounting software permits encumbrances to be made.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Comments</i>			
4. Checks are signed by authorized employees.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Comments</i>			
5. How many signatures are required on outgoing checks?	<hr/>		
<i>Comments</i>			

FISCAL AND BUSINESS OPERATIONS

	Yes	No	Not Applicable
6. Only actual signatures are used (no signature stamp).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
a. If no, under what circumstances is a signature stamp used?	<hr/>		
<i>Comments</i>			
7. 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.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Comments</i>			
8. There is a system to maintain vendor payment information for preparation of 1099s.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Comments</i>			
9. There is a segregation of duties among purchasing, receiving, and accounts payable.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Comments</i>			
10. Disbursements are approved/ratified by the governing board.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Comments</i>			

FISCAL AND BUSINESS OPERATIONS

	Yes	No	Not Applicable
--	-----	----	-------------------

- | | | | | |
|-----|-----------------------------------|--------------------------|--------------------------|--------------------------|
| 11. | Records are maintained for audit. | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|-----|-----------------------------------|--------------------------|--------------------------|--------------------------|

Comments

D. Records Retention

- | | | | | |
|----|---|--------------------------|--------------------------|--------------------------|
| 1. | Records retention policies comply with 5 CCR, sections 16023-16026. | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|----|---|--------------------------|--------------------------|--------------------------|

Comments

E. Payroll

- | | | | | |
|----|---|--------------------------|--------------------------|--------------------------|
| 1. | The approved salary schedule is reflected in board minutes. | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|----|---|--------------------------|--------------------------|--------------------------|

Comments

- | | | | | |
|----|--|--------------------------|--------------------------|--------------------------|
| 2. | Federal and state tax deposits are made in accordance with the quarterly payment schedule. | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|----|--|--------------------------|--------------------------|--------------------------|

Comments

- | | | | | |
|----|---|--------------------------|--------------------------|--------------------------|
| 3. | Earnings subject to retirement are reported to Social Security, PERS, and STRS. | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|----|---|--------------------------|--------------------------|--------------------------|

Comments

FISCAL AND BUSINESS OPERATIONS

	Yes	No	Not Applicable
4. The charter school has a system in place to provide employee earnings records, including STRS and PERS data, to the authorizing LEA.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Comments</i>			
5. There is a system to maintain employee earnings records for preparation of W-2s.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Comments</i>			
6. There is segregation of duties among staff who process and maintain employee data, salary schedules, and payroll payments.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Comments</i>			
7. Records are maintained for audit.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Comments</i>			
8. The charter school uses a position control system or spreadsheet that reconciles with budget and payroll.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Comments</i>			

FISCAL AND BUSINESS OPERATIONS

		Yes	No	Not Applicable
F. Budget, Accounting, and Financial Reporting				
1.	The accounting system used to record financial transactions is in accordance with EC 41010.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<i>Comments</i>			
2.	The charter school submits accurate data for CALPADS and meets CALPADS deadlines.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<i>Comments</i>			
3.	There are approved policies regarding budget, long-term debt, accounting and financial reporting. These include policies regarding implementation of the Local Control Funding Formula (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.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<i>Comments</i>			

FISCAL AND BUSINESS OPERATIONS

	Yes	No	Not Applicable
4. The budget has been approved by the governing board and includes sufficient expenditures to implement the LCAP.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Comments</i>			
5. There is a process to review and revise the budget for changes in student enrollment and operations.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
a. Enrollment projections are reasonable and based on a waiting list or other significant event.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Comments</i>			
6. Budget revisions are approved/ratified by the governing board.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Comments</i>			
7. Contracts and purchase orders are approved/ratified by the governing board in accordance with approved policies and procedures.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Comments</i>			

FISCAL AND BUSINESS OPERATIONS

	Yes	No	Not Applicable
8. Financial obligations are indicated in the budget.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
a. The charter school maintains a list of short- or long-term debt obligations.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Comments</i>			
9. Separate accounts are maintained for unrestricted and restricted revenues and expenditures in accordance with the California School Accounting Manual (CSAM).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Comments</i>			
10. Financial reports are prepared accurately and are reviewed by the charter's governing board regularly.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
a. What financial system does the charter school use for accounting and financial reporting?	_____		
<i>Comments</i>			
11. Financial reports are provided to the authorizing LEA regularly and on time.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Comments</i>			

FISCAL AND BUSINESS OPERATIONS

	Yes	No	Not Applicable
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.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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?	-----		
<i>Comments</i>			
13. Cash flow projections are provided to the LEA regularly and on time	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Comments</i>			
14. Revenues are calculated accurately given actual ADA and funding formulas.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Comments</i>			

FISCAL AND BUSINESS OPERATIONS

Yes	No	Not Applicable
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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

FISCAL AND BUSINESS OPERATIONS

	Yes	No	Not Applicable
<p>3. An audit schedule/timeline has been developed, and on or before December 15 of the subsequent fiscal year the annual audit was submitted to the charter school, the charter school's authorizer, the State Controller's Office (SCO), the California Department of Education and the local county office of education.</p> <p><i>Comments</i></p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p>4. 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 EC 47605.6(m) and 41020(h).</p> <p><i>Comments</i></p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p>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.</p> <p><i>Comments</i></p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

FISCAL AND BUSINESS OPERATIONS

	Yes	No	Not Applicable
<p>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 EC 41020.3.</p> <p><i>Comments</i></p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p>7. The prior year's audit recommendations have been implemented.</p> <p><i>Comments</i></p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p>8. Records are properly maintained for audit.</p> <p><i>Comments</i></p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
H. Financial Condition			
<p>1. A prudent level of reserves is maintained for economic uncertainties.</p> <p><i>Comments</i></p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p>2. Multiyear financial projections are prepared.</p> <p><i>Comments</i></p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

FISCAL AND BUSINESS OPERATIONS

		Yes	No	Not Applicable
3.	The projections and assumptions are reasonable.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<i>Comments</i>			
4.	All long-term debt obligations have been included in the multiyear financial projection.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<i>Comments</i>			
5.	Copies of all long-term debt and/or other obligations have been provided to the authorizing LEA.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<i>Comments</i>			
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.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<i>Comments</i>			

FISCAL AND BUSINESS OPERATIONS

Yes	No	Not Applicable
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I. Equipment Inventory

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

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
--------------------------	--------------------------	--------------------------

Comments

2. An equipment inventory is:

- a. Maintained and on file at main office.

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
--------------------------	--------------------------	--------------------------

- b. Conducted physically at each site.

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
--------------------------	--------------------------	--------------------------

Comments

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

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
--------------------------	--------------------------	--------------------------

Comments

4. Records are maintained for audit purposes.

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
--------------------------	--------------------------	--------------------------

Comments

FISCAL AND BUSINESS OPERATIONS

	Yes	No	Not Applicable
J. Other			
1. The charter school is complying 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.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Comments</i>			
2. All required documentation has been submitted to the authorizer in a timely manner during each reporting cycle.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Comments</i>			
3. The charter school is complying with conflict of interest laws, if applicable.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Comments</i>			
4. No commingling or personal use of charter funds is evident.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Comments</i>			

Fiscal and Business Operations — Risk Analysis

- 1. Total the number of items in this section that received a response of “No.”
- 2. Use the key below to determine the level of risk to the charter school’s operations.

0 – 14	15 – 26	27 – 42	43 +
Low	Moderate	High	Extremely High

Total “No” Responses

Findings:

Recommendations Based on Above Findings:

Review Conducted by:_____ **Date:**_____

Educational Program: Local Control and Accountability Plan (LCAP)

Yes	No	Not Applicable
-----	----	-------------------

A. Timely Submission

1. The charter school completed and submitted an LCAP (or annual update) to the charter school authorizer by July 1, in accordance with EC 47605.

☐
☐
☐

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

☐
☐
☐

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 all areas in the state board of education template (far right column of template lists state priorities).

☐
☐
☐

- a. Priority 1: credentials, materials and facilities.

☐
☐
☐

- b. Priority 2: academic standards, including English learners (EL).

☐
☐
☐

- c. Priority 3: parental involvement.

☐
☐
☐

Educational Program: Local Control and Accountability Plan (LCAP)

	Yes	No	Not Applicable
d. Priority 4: pupil achievement.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
e. Priority 5: pupil engagement.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
f. Priority 6: school climate.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
g. Priority 7: course of study.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
h. Priority 8: other pupil outcomes.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Comments</i>			
2. Any omissions in item No. 1 above are due to alignment with the grades served by the charter school.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Comments</i>			
3. Omissions in item No. 1 above are appropriate for the nature of the charter school's program.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Comments</i>			
4. Omissions in item No. 1 above are appropriate for laws that are not explicitly applicable to charter schools.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Comments</i>			

Educational Program: Local Control and Accountability Plan (LCAP)

	Yes	No	Not Applicable
5. Schoolwide goals are included for the applicable priorities.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Comments</i>			
6. All applicable subgroups are listed, based on prior year demographic data.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
a. Racial/ethnic subgroups.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. Socioeconomically disadvantaged.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c. English learners.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d. Pupils with disabilities.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
e. Foster youth.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Comments</i>			
7. Subgroup goals are included for the applicable priorities.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Comments</i>			
C. Prepared with Stakeholder Consultation			
1. Meetings or events were held to consult with the following stakeholder groups:			
a. Teachers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Educational Program: Local Control and Accountability Plan (LCAP)

	Yes	No	Not Applicable
b. Principal/administrators	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c. Other school personnel	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d. Parents	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
e. Pupils	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Comments</i>			
2. Events were publicized in a manner likely to be effective (media, languages).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Comments</i>			
3. Charter school governing board members received stakeholder input directly.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Comments</i>			
4. Documentary evidence of stakeholder consultation was provided.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Comments</i>			

Educational Program: Local Control and Accountability Plan (LCAP)

		Yes	No	Not Applicable
D. Proportional Expenditures and Outcomes				
1.	The LCAP includes a description of the use of supplemental and concentration funds.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<i>Comments</i>			
2.	If the LCAP describes use of such funds in a charterwide manner, a reasonable justification of such use is included.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<i>Comments</i>			
3.	The LCAP includes the percentage by which services for unduplicated pupils must be increased or improved compared to the services for all pupils.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<i>Comments</i>			
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.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<i>Comments</i>			

Educational Program: Local Control and Accountability Plan (LCAP)

		Yes	No	Not Applicable
5.	The description of services for low-income pupils, foster youth, and English learners is consistent with other portions of the LCAP.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<i>Comments</i>			
6.	The description of how services will increase or improve proportional to additional funding is reasonable.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<i>Comments</i>			
E.	Budget Alignment			
1.	The supplemental and concentration revenue shown in the LCAP is consistent with the budget.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<i>Comments</i>			
2.	The actions in the LCAP are in the budget assumptions (e.g., class size, schedule or calendar changes, staffing ratios, new positions).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<i>Comments</i>			

Educational Program: Local Control and Accountability Plan (LCAP)

	Yes	No	Not Applicable
3. The expenditures associated with the actions in the LCAP are consistent with the budget.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Comments			

Local Control and Accountability Plan — Risk Analysis

1. Total the number of items in this section that received a response of “No.”
2. Use the key below to determine the level of risk to the charter school’s operations.

0 – 4	5 – 7	8 – 10	11 +
Low	Moderate	High	Extremely High

Total “No” Responses

Findings:

Recommendations Based on Above Findings:

Review Conducted by: _____ Date: _____

EDUCATIONAL PROGRAM AND ONGOING ASSESSMENT

	Yes	No	Not Applicable
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 has been updated to include the new requirements regarding the Local Control Funding Formula (LCFF) and requirements to adopt a local control and accountability plan (LCAP). The plan includes the following, if applicable:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
a. Implementing the Common Core State Standards (CCSS).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Aligning curriculum with student performance standards.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. Improving student achievement, graduation rates, and school performance.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Providing services for English learner (EL) students, low income (LI) students, and students in foster care.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Using instructional design or strategies based on successful practice or research to support students who are not meeting pupil outcomes.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c. Increasing student participation in college preparation, advanced placement (AP), and career technical education courses that align with state board-approved career technical educational standards and frameworks.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d. Employing qualified teachers, providing sufficient instructional materials, and maintaining facilities.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
e. Providing opportunities for parent involvement.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Comments

EDUCATIONAL PROGRAM AND ONGOING ASSESSMENT

		Yes	No	Not Applicable
2.	The charter school staffing is sufficient to carry out the educational program.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<i>Comments</i>			
3.	All students have school materials available to them.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<i>Comments</i>			
4.	Students who are achieving either significantly below or significantly above grade level are receiving instruction that addresses their learning differences.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<i>Comments</i>			
5.	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.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<i>Comments</i>			
6.	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.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<i>Comments</i>			

EDUCATIONAL PROGRAM AND ONGOING ASSESSMENT

		Yes	No	Not Applicable
7.	The charter school has requested or has accreditation through the Western Association of Schools and Colleges (WASC) or other sources.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<i>Comments</i>			
8.	A cross-reference with budget indicates there is sufficient funding to operate the program the charter petition describes as addressing the mission of the charter school.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<i>Comments</i>			
9.	If it includes grades 9-12, the charter school offers courses that meet the University of California (UC) and the California State University (CSU) A–G admission criteria.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<i>Comments</i>			
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.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<i>Comments</i>			

EDUCATIONAL PROGRAM AND ONGOING ASSESSMENT

	Yes	No	Not Applicable
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:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
a. Appropriate placement for students who are enrolling with IEPs.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. Referral and assessment of students believed to require special education and related services.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c. Compliance with timelines related to special education.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d. Compliance with legal requirements for scheduling and conducting IEPs and interim IEPs.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Comments</i>			
3. Students who are identified as eligible for special education are receiving services required by their IEPs.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Comments</i>			
4. Regular education teachers who serve special needs students in their classrooms have access to those students' IEPs.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Comments</i>			

EDUCATIONAL PROGRAM AND ONGOING ASSESSMENT

		Yes	No	Not Applicable
5.	The charter school provides for the inclusion of all required members in IEP team meetings.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<i>Comments</i>			
6.	The charter school has a plan for providing transportation for special education students who require this related service.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<i>Comments</i>			
7.	The charter school has a process for determining a student's eligibility for services under Section 504 of the Rehabilitation Act of 1973.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<i>Comments</i>			
8.	The charter school develops and implements accommodation plans for students who are eligible under Section 504.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<i>Comments</i>			
9.	The charter school ensures that special education funds are not used to serve students identified under Section 504.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<i>Comments</i>			

EDUCATIONAL PROGRAM AND ONGOING ASSESSMENT

		Yes	No	Not Applicable
10.	The charter school demonstrates an understanding of and capacity to comply with state and federal requirements regarding identifying and educating English learner (EL) students.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<i>Comments</i>			
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.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<i>Comments</i>			
12.	The charter school has implemented a means to designate gifted and talented (GATE) and/or high achieving students and provides specific instruction to meet their needs.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<i>Comments</i>			
C.	Curricular Materials			
1.	The charter school has on site and uses state standards-based instructional materials and includes an implementation plan for the Common Core State Standards.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<i>Comments</i>			

EDUCATIONAL PROGRAM AND ONGOING ASSESSMENT

		Yes	No	Not Applicable
2.	The charter school uses instructional curricula and materials that address the specific needs of special education students.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<i>Comments</i>			
3.	The charter school uses instructional curricula and materials that address the specific needs of English learners.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<i>Comments</i>			
4.	The charter school provides access to grade-level core curricula for English learners as measured by the California English Language Development Test (CELDT) or any subsequent assessment of English proficiency, as certified by the State Board of Education.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<i>Comments</i>			
5.	The charter school uses materials and strategies that address the needs of gifted students.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<i>Comments</i>			
6.	The charter school refrains from using faith-based instructional materials.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<i>Comments</i>			

EDUCATIONAL PROGRAM AND ONGOING ASSESSMENT

		Yes	No	Not Applicable
D.	Professional Development and Teacher Qualifications			
1.	The charter school staff have received legally required trainings.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<i>Comments</i>			
2.	Charter school staff are provided with opportunities for professional development needed to carry out the instructional program.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<i>Comments</i>			
3.	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.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<i>Comments</i>			
4.	The charter school has an ongoing professional development program to ensure that teaching and nonteaching staff maintain the skills required to perform their jobs.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<i>Comments</i>			

EDUCATIONAL PROGRAM AND ONGOING ASSESSMENT

Yes	No	Not Applicable
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5. The charter school participates in professional development trainings made available through the sponsoring LEA or county office, or other 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. The charter school has submitted a school accountability report card (SARC) containing the required elements, and it is posted to the school's website.

☐
☐
☐

Comments

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

☐
☐
☐

Comments

EDUCATIONAL PROGRAM AND ONGOING ASSESSMENT

	Yes	No	Not Applicable
<p>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.</p> <p><i>Comments</i></p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p>5. Students whose academic achievement is either significantly below or above their grade level are receiving instruction that addresses their learning differences.</p> <p><i>Comments</i></p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p>6. The charter school presents evidence that it uses measures, targets and other student data to show academic performance.</p> <p><i>Comments</i></p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p>7. When areas of improvement are identified, the charter school identifies specific plans to address all areas needing improvement.</p> <p><i>Comments</i></p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p>8. If the charter school is a direct-funded charter school with one (or more) of its school sites identified as being in Program Improvement (PI) status, it has implemented the following requirements.* (see guidance below)</p> <p>a. Parent notification</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

EDUCATIONAL PROGRAM AND ONGOING ASSESSMENT

	Yes	No	Not Applicable
b. School choice	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c. Supplemental educational services	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d. School restructuring	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Comments			
9. For a locally-funded charter school with one (or more) of its school sites identified as being in PI (Program Improvement) status, the charter school has provided school choice options with paid transportation to non-PI schools within its LEA as listed in the guidance below. **	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Comments			

Notes

*Direct-funded charter schools, with the assistance of the charter authorizer, must inform the parents of students enrolled in the charter school of the option to return to the local public school within the attendance area in which the student resides. If the local public school is in Program Improvement (PI) status, the parent may contact their local educational agency (LEA) with an attendance area in which the student resides to obtain information about transferring to a non-PI school within the LEA, with paid transportation provided by that LEA.

If parents choose to have their child remain at the charter school, direct-funded charter schools in Year 1 of PI may also offer supplemental educational services to students who need additional help.

To the extent practicable, the direct-funded charter school (as a charter school LEA) must enter into an agreement with a neighboring LEA if no school choice options are available in the attendance area of the LEA in which the student resides or in the direct-funded charter school. (CDE Guidance)

**An LEA with a locally-funded charter school that is in PI must provide school choice options with paid transportation to non-PI schools within the LEA. The LEA may list locally-funded charter schools that are not in PI as choice options for students transferring from PI schools within the LEA. An LEA may also enter into an agreement with a non-PI direct-funded charter school within its geographic area to allow for student transfers. To the extent practicable, the LEA must enter into an agreement with a neighboring school district if no school choice options are available within the LEA.

If there are no choice options within the LEA, the LEA may also offer supplemental educational services for those students who choose to remain at the school during Year 1. LEAs and schools that choose to offer supplemental educational services during Year 1 are not required to use approved supplemental educational services providers.

Educational Program and Ongoing Assessment — Risk Analysis

1. Total the number of items in this section that received a response of “No.”
2. Use the key below to determine the level of risk to the charter school's operations.

0 – 7

Low

8 – 13

Moderate

14 – 20

High

21 +

Extremely High

Total “No” Responses

Findings:

Recommendations Based on Above Findings:

Review Conducted by:_____ **Date:**_____

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FACILITIES, MAINTENANCE AND OPERATIONS

	Yes	No	Not Applicable
A. Facilities' Adequacy to Meet Educational Program Requirements			
1. A designated position is responsible for overseeing facilities maintenance and operations.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
a. If yes, what is the name of the position?	_____		
<i>Comments</i>			
2. There is a custodial schedule that indicates appropriate and timely attention to providing students with a clean and safe learning environment.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Comments</i>			
3. Classrooms, grounds and other facilities are clean and maintained to provide students with a safe and orderly learning environment.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Comments</i>			
4. The charter school uses a staffing formula or formulas to guide its custodial, grounds and other facilities staffing and ensure they are sufficient at each location.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Comments</i>			

FACILITIES, MAINTENANCE AND OPERATIONS

	Yes	No	Not Applicable
<p>5. The charter school maintains adequate insurance coverage, including liability insurance.</p> <p><i>Comments</i></p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p>6. All facilities in which the charter school is housed meet federal requirements for school facilities, including those in the Americans with Disabilities Act (ADA).</p> <p><i>Comments</i></p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p>7. 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).</p> <p><i>Comments</i></p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p>8. There is a process for providing routine maintenance to ensure that charter school facilities, including playgrounds, remain in good condition.</p> <p><i>Comments</i></p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p>9. If facilities are not in good condition or need maintenance, there is a schedule for making needed improvements.</p> <p><i>Comments</i></p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

FACILITIES, MAINTENANCE AND OPERATIONS

	Yes	No	Not Applicable
10. The charter school's facilities have been modified during the past year.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Comments</i>			
11. 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.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Comments</i>			
12. The charter school has the following on file:			
a. Certificate of occupancy.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. Conditional use permit for each site.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Comments</i>			
13. The charter school's facilities are free from mold and other hazardous substances.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Comments</i>			
14. If the charter school has plans to modernize or add facilities to its existing site, it has notified the authorizer of any material changes.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Comments</i>			

FACILITIES, MAINTENANCE AND OPERATIONS

	Yes	No	Not Applicable
<p>15. The charter school plans to add a new site or may occupy a new or different facility. (If yes, please complete the New Resource/ Facilities Form at the end of this section.)</p> <p><i>Comments</i></p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p>16. The charter school has requested facilities pursuant to Proposition 39 and EC section 47614.</p> <p><i>Comments</i></p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p>17. If the charter school has requested facilities pursuant to Proposition 39, the district has responded as required by law.</p> <p><i>Comments</i></p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p>18. The charter school has received funding under the Charter School Facilities Incentive Grant for the purchase, renovation or lease of facilities.</p> <p><i>Comments</i></p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p>19. The charter school is able to pay back any funds it has borrowed from the Charter School Revolving Loan Fund through the California School Finance Authority (CSFA) to improve facilities, in accordance with EC 41365.</p> <p><i>Comments</i></p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Facilities and Operations — Risk Analysis

1. Total the number of items in this section that received a response of “No.”
2. Use the key below to determine the level of risk to the charter school's operations.

0 – 3

Low

4 – 5

Moderate

6-9

High

10 +

Extremely High

Total “No” Responses

Findings:

Recommendations Based on Above Findings:

Review Conducted by: _____ Date: _____

New Resource Center/Facilities Form

Before opening a new resource center or before an existing charter school may occupy a new or different facility, the authorizer may conduct a site review to determine whether the facilities are clean, safe, in compliance with the Americans with Disabilities Act (ADA), and have the required local approvals to operate. A charter school may not operate in the facility until the authorizer has granted approval to do so. Please submit this form for facilities that may be under consideration. This form has been developed to serve as guidance in complying with facilities requirements per the Education Code and Title 5, and will assist in communication between a charter school and the authorizer.

Charter School Name: _____ Date: _____

New proposed location address: _____

Anticipated date of occupancy at new address: _____

School contact person to arrange an authorizer facilities visit: _____

Phone number of school contact person: _____

Was there a material revision for the new facility? ☐ Yes ☐ No

Please explain the need for the new or different facility:

Upon acquiring this new facility, will the charter school cease operations at another? ☐ Yes ☐ No

If yes, address of facility that will no longer be in use by charter school: _____

If yes, anticipated date operation will cease at facility: _____

Required Attachments

Attach the lease agreement and all local approvals [EC 47610(d)] including applicable fire marshal clearances, certificates of occupancy, signed building permit inspections, and approved zoning variances.

Attach a copy of the board minutes related to the acquisition of the new facility.

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GOVERNANCE

Yes No Not
Applicable

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. LLCs, foundations, management organizations).

☐
☐
☐

If b, describe the structure.

Comments

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 IRS form 1023 and the official IRS determination letter are available to the authorizer.

☐
☐
☐

Comments

4. There is a current list or roster of governing board members.

☐
☐
☐

Comments

GOVERNANCE

		Yes	No	Not Applicable
5.	The governing board has a comprehensive plan to conduct an annual oversight of the academic program that reflects the goals and objectives of the local control and accountability plan.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<i>Comments</i>			
6.	The governing board is equipped to execute its fiduciary responsibility with regard to the disbursement of public funds.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<i>Comments</i>			
7.	The governing board understands the annual budget and demonstrates knowledge of the charter school's short- and long-term financial outlook.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<i>Comments</i>			
8.	The organizational structure of the charter school clearly delineates and distinguishes between the responsibilities of its governing board and those of its management staff.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<i>Comments</i>			
9.	The charter school has a complete, accurate and up-to-date organizational chart that aligns with the school's bylaws.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<i>Comments</i>			

GOVERNANCE

	Yes	No	Not Applicable
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B. Capacity/Composition

1. Some of the governing board members have previous governance experience.

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
--------------------------	--------------------------	--------------------------

Comments

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

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
--------------------------	--------------------------	--------------------------

Comments

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

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
--------------------------	--------------------------	--------------------------

Comments

4. The governing board members have expertise in key fields such as finance, legal, real estate, fundraising and education.

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
--------------------------	--------------------------	--------------------------

Comments

C. Structure

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

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
--------------------------	--------------------------	--------------------------

Comments

GOVERNANCE

	Yes	No	Not Applicable
2. The governing board has governed in such a manner that there has been no cause for the authorizer to believe that the board either has too few or too many members to support effective governance. <i>Comments</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. The governing board has bylaws that are comprehensive and that include a reasonable term limit. <i>Comments</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. The governing board appears to fully understand the bylaws and their implications. <i>Comments</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. The governing board has identified officers. <i>Comments</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. There are written job descriptions for board officers that clearly describe the roles and responsibilities of each. <i>Comments</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

GOVERNANCE

Yes	No	Not Applicable
-----	----	-------------------

7. 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

GOVERNANCE

Yes No Not
Applicable

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.
 - 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 (preferably in accordance with Government Code 1090).
 - b. Handbooks – parent, student, employee.
 - 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.

☐ ☐ ☐

☐ ☐ ☐

☐ ☐ ☐

☐ ☐ ☐

☐ ☐ ☐

☐ ☐ ☐

GOVERNANCE

	Yes	No	Not Applicable
g. Harassment – student, staff.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
h. Safety plan.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
i. Immunization records.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
j. Family Educational Rights and Privacy Act (FERPA) – policy and notices.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
k. Section 504 (of the rehabilitation act of 1973) compliance.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
l. Allowable purchases and purchasing authority.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
m. Wellness policy.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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 the governing board has reviewed and approved the local control and accountability plan (LCAP) annually.

☐ ☐ ☐

Comments

GOVERNANCE

Yes No Not
Applicable

F. Parent and Staff Involvement

1. There is a process in place 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

Governance — Risk Analysis

1. Total the number of items in this section that received a response of "No."
2. Use the key below to determine the level of risk to the charter school's operations.

0 – 5

6 – 9

10 – 14

15 +

Low

Moderate

High

Extremely High

Total "No" Responses

Findings:

Recommendations Based on Above Findings:

Review Conducted by:_____ **Date:**_____

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PERSONNEL

Yes No Not
Applicable

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

PERSONNEL

	Yes	No	Not Applicable
6. Employee contracts indicate that employees are “at will.”	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Comments</i>			
7. The charter school has clear guidelines that differentiate between employees and independent contractors.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Comments</i>			
8. The charter school provides professional development opportunities to staff.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Comments</i>			
9. Employee evaluations are completed regularly and on time.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Comments</i>			
10. Personnel actions are approved by the governing board.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Comments</i>			

PERSONNEL

Yes	No	Not Applicable
-----	----	-------------------

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

☐
☐
☐

Comments

B. Collective Bargaining

1. One or more of the charter school's employee groups has unionized.

☐
☐
☐

Comments

2. All parties to bargaining agreements, including the charter school, have properly sunshined (that is, made public) their bargaining proposals for the current year.

☐
☐
☐

Comments

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

☐
☐
☐

Comments

PERSONNEL

Yes	No	Not Applicable
-----	----	-------------------

C. Certificated Employees

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

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
--------------------------	--------------------------	--------------------------

Comments

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

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
--------------------------	--------------------------	--------------------------

Comments

3. Teachers have the legally required CLAD or B-CLAD certification to provide instruction to the students enrolled in their classes.

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
--------------------------	--------------------------	--------------------------

Comments

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

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
--------------------------	--------------------------	--------------------------

Comments

PERSONNEL

	Yes	No	Not Applicable
--	-----	----	-------------------

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

☐
☐
☐

Comments

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 a sufficient number of 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

☐
☐
☐

PERSONNEL

	Yes	No	Not Applicable
e. Other	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Comments</i>			

Personnel — Risk Analysis

- 1. Total the number of items in this section that received a response of “No.”
- 2. Use the key below to determine the level of risk to the charter school’s operations.

0 – 4	5 – 7	8 – 11	12 +
Low	Moderate	High	Extremely High

Total “No” Responses

Findings:

Recommendations Based on Above Findings:

Review Conducted by: _____ Date: _____

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STUDENT SERVICES

Yes No Not Applicable

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 Individualized Education Program (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 EC 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

STUDENT SERVICES

Yes No Not Applicable

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 the racial and ethnic balance of enrollment districtwide.

☐ ☐ ☐

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.

☐ ☐ ☐

STUDENT SERVICES

	Yes	No	Not Applicable
b. Procedures for suspension or expulsion and a means to provide students with due process.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c. Procedures by which parents and students will be informed about the reasons for suspension or expulsion.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d. Procedures for suspension or expulsion that protect the required due process rights of students with IEPs or 504 plans.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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 non-charter public schools.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Comments</i>			
2. The charter school provides the authorizer with accurate data regarding suspensions and expulsions.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Comments</i>			
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.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Comments</i>			

STUDENT SERVICES

Yes No Not Applicable

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. The charter school has a 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.

☐ ☐ ☐

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

STUDENT SERVICES

Yes No Not Applicable

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 follows procedures 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 non-charter public school.

☐ ☐ ☐

Comments

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

☐ ☐ ☐

Comments

D. Parent Notifications

1. The charter school notifies all parents/guardians regarding their rights under the Family Educational Rights and Privacy Act (FERPA).

☐ ☐ ☐

Comments

STUDENT SERVICES

	Yes	No	Not Applicable
2. Parents are provided with a copy of the charter school's parent handbook.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Comments</i>			

Student Services — Risk Analysis

1. Total the number of items in this section that received a response of “No.”
2. Use the key below to determine the level of risk to the charter school’s operations.

0 – 3
Low

4 – 6
Moderate

7 – 9
High

10 +
Extremely High

Total “No” Responses

Findings:

Recommendations Based on Above Findings:

Review Conducted by:_____Date:_____

Appendix A

List of Documents Reviewed