



LOS ANGELES UNIFIED SCHOOL DISTRICT CHARTER SCHOOLS DIVISION

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ANNUAL PERFORMANCE-BASED OVERSIGHT VISIT PREPARATION GUIDE 2016-2017

OVERVIEW

As part of our continuing efforts to provide performance-based oversight and to support the success of all students enrolled in LAUSD-authorized charter schools, the Charter Schools Division (CSD) observes and monitors each school's performance in view of state and federal law, District policy, and the school's charter. While CSD staff members often make a number of informal visits to their assigned schools and may attend governing board meetings and admission lotteries throughout the academic year as part of year-round oversight, in accordance with California Education Code § 47604.32 the CSD annually conducts at least one formal school site visit - the "annual performance-based oversight visit" - that focuses on charter school performance in the following four categories:

- Category I: Governance
- Category II: Student Achievement and Educational Performance
- Category III: Organizational Management, Programs and Operations
- Category IV: Fiscal Operations

The CSD provides the following guidance to assist charter schools in preparing for this year's CSD annual performance-based oversight visit. We hope that this information will clearly communicate our expectations and thus enable each school to make sufficient advanced preparation to ensure a smooth, productive, and efficient visit experience for all.

The CSD annual performance-based oversight visit typically encompasses the following activities, which provide opportunities to gather evidence (information and data) related to the performance indicators as well as to share "educator-to-educator" information and insights (required activities are in bold):

(1) Interview/Discussion

- **"Morning Meeting"** with school leadership, which includes reflection and discussion of school academic achievement data and other key aspects of school performance
- **Interviews/discussions with organization and school-site leadership** on specific topics (e.g. special education) and as needed to clarify and/or augment information already gathered
- Interviews of stakeholder groups (students, parents, staff)
- **Debriefing of visit**

(2) Observation

- **Classroom observation**
- **Site observation**/tour of school facility

(3) Document Review

- **Review of documentation provided by school (see guidance below)**
- Request and review of additional documentation

(4) Fiscal Review¹

See section on preparation for fiscal review below.

Prior to the annual oversight visit, your CSD assigned administrator, in consultation with charter school leadership, the CSD Fiscal Team member assigned to the school, and other CSD staff, will determine and communicate the specific activities and schedule for the visit.

LOGISTICS

In order to facilitate a productive and efficient review process, the CSD requests each charter school to provide appropriate space(s) for the following visit activities: (1) a small confidential work area containing a table and chairs with at least one nearby electrical outlet, for the use of the CSD visiting team to conduct document review and other team activities; (2) a room or other space in which the CSD team and the school leadership team can gather together for the Morning Meeting and visit debriefing; and (3) if the school has been notified in advance that the visit will include stakeholder focus group interviews, a room or other space appropriate for conducting these confidential interviews. A single room or space may be appropriate, of course, to serve multiple purposes.

Visitor Information

Please have the following items ready in a separate folder for each CSD visiting team member:

- Visit Schedule
- Master Schedule
- Staff Roster
- Site Map
- Bell Schedule
- School Contact Information
- CMO Staff Roster and Contact Information

PREPARATION FOR INTERVIEW/DISCUSSION

The CSD provides below a standard set of general reflection questions, organized by performance category, which may assist schools in preparing for discussion during the visit. In addition, in the weeks prior to the scheduled visit, your CSD administrator will be providing school-specific guiding questions that focus on performance in one or more of the four assessment categories.

¹ Note: The fiscal review component of the annual oversight visit may take place on a different day and/or at a different location (e.g. CMO offices). The school/CMO will be notified directly by the Fiscal Team, usually two weeks in advance of the scheduled annual performance-based oversight visit.

CSD staff will use the reflection and guiding questions to lead discussion with the school leadership team during the Introductory Meeting on the morning of the visit.

Reflection Questions

Governance: In what specific ways does the Governing Board fulfill its fiduciary responsibility to effectively direct and provide oversight of the charter public school?

Student Achievement and Educational Performance: How is the school demonstrating appropriate levels of academic achievement and progress for all students, including students in subgroups? How is your school keeping on track to meet the renewal eligibility criteria set forth in Education Code § 47607(b), Senate Bill 1290 requirements, and the renewal criteria provided in Ed. Code § 47605(b)? How is the school measuring and monitoring student academic achievement and progress in preparation for the CAASPP?

Organizational Management, Programs, and Operations: How is the school monitoring, analyzing, and increasing the effectiveness of the school's implementation of Common Core State Standards, the specific educational and other goals and actions described in the school's charter and LCAP, and the instructional program set forth in the charter? How has the school established a positive school culture and effective student discipline system consistent with the principles of the District's Discipline Foundation Policy?

Fiscal Operations: How is your school being a good steward of the public resources entrusted to your care? In what ways does the development and implementation of the charter school budget support and advance the instructional program of the charter school? How are your current fiscal policies and controls facilitating the appropriate use and management of public funds?

PREPARATION FOR DOCUMENT REVIEW

As an integral part of every annual oversight visit, the CSD reviews documentation in order to gather information and evidence regarding the school's performance in the four categories set forth above.

NOTE: As a learning organization, the CSD continuously engages in a reflective improvement cycle to seek ways to increase our effectiveness and efficiency. Based on our ongoing reflection and consideration of feedback from CSD staff and charter school leaders during the current year, we have revised the following document preparation guidance with the twin goals of streamlining document preparation for organizations that operate multiple schools (e.g. CMOs) and increasing the efficiency and effectiveness of our document review. Our intention and hope is that these changes also will enable the staffs of both the charter school and the CSD to focus more time on interactive activities on the day of the visit. We look forward to continuing to receive your valuable feedback on these changes and other aspects of our oversight practice in the coming year.

Binder Preparation

In order to facilitate the document review process, it is important to assemble and organize the school's documentation for the first three performance categories into the following binders:

Binder 1: Governance Documentation

Binder 2: Student Achievement and Educational Performance Documentation

Binder 3: Organizational Management, Programs, and Operations Documentation

Binder 3A: Documentation of Compliance with Clearance, Credentialing, NCLB
Qualifications, and Mandated Reporter Training Requirements

The following sections of this guide provide brief descriptions of the specific documentation needed for each performance category. Please include all documentation applicable to the grade levels served by the school.

Preparation of Fiscal Operations Documentation

As outlined more fully below, all documentation for the fourth performance category, Fiscal Operations, should be submitted electronically to the Fiscal Team member assigned to your school two weeks prior to the fiscal site visit, which is usually a component of the annual oversight visit but may be scheduled for a different day.

BINDER 1

GOVERNANCE DOCUMENTATION

Please organize the documentation provided in this binder in the order listed below. Please include tabbed dividers numbered in accordance with the numbering shown below.

- 1 Organization Chart
Current and complete organization chart (including Governing Board)
- 2 Bylaws
Current Governing Board bylaws
- 3 Board Members
Current roster of Governing Board members with contact information
- 4 Board Meeting Agendas and Minutes
Board meeting agendas and minutes for all meetings held in the last 12 months
- 5 Board Meeting Calendar
Calendar(s) of regular meetings of Governing Board
- 6 Committee(s)/Council(s) Meeting Calendars & Agendas
Calendar(s) and Agenda(s) of Committee(s)/Council(s)
- 7 Evaluation of School Leadership
Evidence of a system of evaluation for chief executive and school administrator(s)
NOTE: Evaluation of School Staff: For CMOs with multiple schools, **if all schools in the CMO use essentially the same system for evaluating school certificated and non-certificated staff, please also include documentation of the staff evaluation system here.** If each school in the CMO has its own system for staff evaluation, however, please include documentation of the school-specific staff evaluation system within the appropriate section of Binder 3 prepared for each individual school.
- 8 Brown Act Training
Documentation of recent Brown Act training for Governing Board members
- 9 Agenda Posting Procedures
Documentation the Board meeting agenda posting procedures, including evidence of implementation
- 10 Parent-Student Handbook(s)
Current and complete Parent-Student Handbook(s)
NOTE: For Governing Boards/CMOs with multiple schools, please include representative Parent-Student Handbook(s) in this binder **only if** all schools, or all schools of a given level such as elementary, in the organization use essentially the same handbook (i.e. the organization only allows non-material variances such as name of school and contact information). If each school in the organization has its own separate Parent-Student Handbook(s), however, please include the school-specific handbook within the appropriate section of Binder 3 prepared for each individual school.
- 11 Uniform Complaint Procedure
Documentation of school/organization's Uniform Complaint Procedure (UCP)
NOTE: Each charter school must have its own UCP as well as the District's UCP brochure
- 12 Stakeholder Complaint Procedure(s)

- Evidence of other stakeholder complaint procedure(s) for complaints outside regulatory scope of UCP
- 13 Human Resources Policies and Procedures
Evidence of policies and procedures specifically related to:
 - 13.1 **Staff Due Process**
 - 13.2 **NCLB Qualification, Credentialing, and Clearance Requirements**
- 14 Data-Based Decision-Making
Evidence of a system for Governing Board review and analysis of school data to inform and support sound decision-making
- 15 Fiscal Management and Accountability
Evidence of a system for Governing Board establishment, review and monitoring of fiscal policies, procedures, budget and finances to ensure sound fiscal management

BINDER 2

STUDENT ACHIEVEMENT AND EDUCATIONAL PERFORMANCE

Please organize the documentation provided in this binder, as applicable to the grade levels served by the school, in the order listed below. Please analyze and discuss the school's results and any other relevant sources of quantitative performance data that demonstrates the extent to which the school's numerically significant subgroups as well as its students population as a whole have experienced increases in academic achievement. Please include tabbed dividers numbered in accordance with the numbering shown below.

1 **State Assessment Data**

Data reports (as applicable) based on state assessment results, including:

- 1.1 **SBAC Subgroup ELA:** CAASPP Smarter Balanced Mathematics and English Language Arts Test Results (CDE)
- 1.2 **SBAC Subgroup Math:** CAASPP Smarter Balanced Mathematics and English Language Arts Test Results (CDE)
- 1.3 **SBAC Schoolwide ELA:** CAASPP Smarter Balanced Mathematics and English Language Arts Test Results (CDE)
- 1.4 **SBAC Schoolwide Math:** CAASPP Smarter Balanced Mathematics and English Language Arts Test Results (CDE)
- 1.5 **Reclassification:** Most recent Number and Percent of Students Reclassified to FEP report (CDE)
 - 1.5.1 **CELDT:** Most recent CELDT Criterion reports (Initial Assessment and Annual Assessment)(CDE)
 - 1.5.2 **Title III AMAOs:** Most recent Title III Accountability Data – LEA Level Data report (CDE)

NOTE: If the school is part of a consortium for purposes of Title III accountability, please provide the School-Level Data report (CDE)

2 **School Assessment Data (with analysis of results)**

Additional quantitative performance data and information gathered and/or produced by the school related to academic performance and progress assessment, monitoring, and **analysis**, such as:

- 2.1 **Internal Assessments:** Internal periodic assessments in core subjects
- 2.2 **Subgroup Performance:** Student subgroup achievement and growth
- 2.3 **English Language Development:** EL language acquisition

NOTE: For purposes of evaluation of school performance for this indicator, the CSD considers only such data that is derived from standards-based high quality standardized or widely accepted assessments (e.g. NWEA, DIBELS, or Stanford 10) and/or other assessment instruments for which the school can demonstrate validity/reliability

High schools only:

- 2.4 **AP:** Advanced Placement examination participation and passage
- 2.5 **A-G:** Completion of and progress toward A-G requirements
- 2.6 **College:** College acceptance

3 **Four-Year Cohort Graduation Rate (High Schools Only)**

- 3.1 **Four-Year Cohort Graduation Rate:** Most recent Numbers and Percentages of School Graduation Data (CDE)

BINDER 3

ORGANIZATIONAL MANAGEMENT, PROGRAMS, AND OPERATIONS DOCUMENTATION

Please organize the documentation provided in this binder, as applicable to the grade levels served by the school, in the order listed below. Please include tabbed dividers numbered in accordance with the numbering shown below.

- 1 **Parent-Student Handbook(s)**
Current and complete Parent-Student Handbook(s)
NOTE: Please provide the Parent-Student Handbook here only if it was not provided in Binder 1; please see note in Binder 1 section above.

- 2 **Health and Safety**
 - 2.1 **COO:** Current and appropriate Certificate(s) of Occupancy (COO) or equivalent for all non-District sites on which the school operates
 - 2.2 **School Safety Plan:** Comprehensive Health, Safety, and Emergency Preparedness Plan, including evacuation route maps (that complies with co-location requirements if co-located)
 - 2.3 **Emergency Drills and Training:** Documentation of evidence of conducting safety drills and emergency preparedness staff training
 - 2.4 **Emergency Supplies:** Evidence of provision and location of onsite emergency supplies
 - 2.5 **Student Immunization and Health Screening:** Evidence that the school provides for the immunization and health screening of its students, including but not limited to screening for vision, hearing, and scoliosis, to the same extent as would be required if the students were attending a non-charter public school
NOTE: Please do not provide individual student information.
 - 2.6 **Epi-Pen:** Documentation that the school maintains an epinephrine auto-injector (“epi-pen”) onsite and has provided training to volunteer staff in the storage and use of the epi-pen
 - 2.7 **Child Abuse Mandated Reporter Training:** Documentation of Child Abuse Mandated Reporter training for all staff and other persons working on behalf of the school who are mandated reporters
 - 2.8 **Bloodborne Pathogens Training:** Documentation of Bloodborne Pathogens training for all staff

- 3 **School Instructional Programs**
 - 3.1 **Standards-Based Instructional Program:** Evidence of implementation of grade-level-appropriate California academic standards-based instructional program, including instruction aligned to the Common Core State Standards and the new English Language Development standards
 - 3.2 **LCAP:** Copy of the school’s current Local Control Accountability Plan (LCAP)
 - 3.3 **CAASPP Technology Readiness:** Evidence of technology readiness to administer CAASPP (SBAC) assessments
 - 3.4 **WASC Accreditation**

- 3.5 **UC Doorways:** Evidence that all A-G high school courses have been approved through UC Doorways
 - 3.6 **Transitional Kindergarten:** Evidence that the school has implemented TK
 - 3.7 **Professional Development:** Evidence of implementation of the school's professional development plans and programs (e.g., school PD, CMO PD, and educator conferences) to support teachers and other school instructional staff in meeting the needs of all students, including English Learners and students with disabilities
 - 3.8 **Intervention and Support:** Evidence of implementation of interventions and supports to meet the learning needs of all students, including implementation of the school's Master Plan for English Learners as well as programs and activities to serve foster youth, socio-economically disadvantaged/students eligible for free and reduced price meals, students performing above and below grade level, students with disabilities, and GATE students
 - 3.9 **Key Features of Educational Program:** Evidence of implementation of the key features of the educational program set forth in the charter
 - 3.10 (Schools Serving 9th graders only) – evidence of compliance with the Mathematics Placement Act
- 4 **School Management and Operations**
- 4.1 **Special Education:** Evidence of provision of special education programs, services, and procedures in compliance with MCD, including
 - ◆ DVR - Documentation of the results of school's most recent District Validation Review (DVR)
 - ◆ Self-Review Checklist - Copy of the school's current/up-to-date Special Education Self-Review Checklist
 - ◆ Welligent Reports – Copy of the school's most current/up-to-date "IEP200 – Annual and Triannual IEP Report" and the "SER311 – 30 Day Service Report" (copied the week of the oversight visit)
 - 4.2 **School Climate and Student Discipline:** Evidence of implementation of school climate and student discipline system that aligns with the principles of the District's Discipline Foundation Policy, including:
 - ◆ Tiered Behavior Intervention – Evidence of the school's tiered system of behavioral supports and interventions, such as SST and/or COST
 - ◆ Alternatives to Suspension - Evidence of the alternatives to suspension implemented by the school
 - ◆ Schoolwide Positive Behavior Support System – Evidence of the school's recognition/incentive program(s) and/or other practices that provide positive behavior reinforcement and support
 - ◆ Data Monitoring - Evidence that school collects, analyzes, and responds to data related to school climate and student discipline
 - 4.3 **Stakeholder Communication and Parent Engagement:** Evidence of a stakeholder communication system for gathering input, encouraging and facilitating parent involvement, sharing information, and resolving concerns, including:

- ◆ Stakeholder Consultation - Evidence of stakeholder consultation regarding the school's educational programs and its LCAP
 - ◆ Parent Engagement – Evidence of parent engagement, including parent involvement policy and compact per Title I requirements
 - ◆ Information Sharing – Evidence that the school shares accessible and relevant data and information regarding individual student and school-level performance and progress with all stakeholders (parents/guardians, students, teachers, and community members) as appropriate
 - ◆ Stakeholder Complaints - Evidence of communication of information regarding complaint resolution process(es)
 - ◆ Transferability of Course Credit/Courses - Evidence that parents are informed about transferability of courses/course credit to other public high schools and the eligibility of courses to meet college entrance requirements
 - ◆ Access to Approved Charter – Evidence that the school provides ready access to the school's approved charter to all stakeholders
- 4.4 **Staff Evaluation:** Evidence of a system of evaluation for faculty and other staff

NOTE: Please provide this documentation here only if it is not included in Binder 1; see note in Binder 1 section above.

BINDER 3A

DOCUMENTATION OF COMPLIANCE WITH CLEARANCE, CREDENTIALING, NCLB QUALIFICATIONS AND MANDATED REPORTER TRAINING REQUIREMENTS

Please organize the documentation provided in this binder into the following four sections. Please include tabbed dividers numbered in accordance with the numbering shown below.

1 **Certifications and Related School Information**

In the first section of this binder, please provide:

- 1.1 **Certification (NCLB Grid):** The original signed document and one full-sized copy of the school's completed and signed "Certification of Clearances, Credentialing, NCLB Qualifications, and Mandated Reporter Training 2016-2017" form (often informally referred to as the "NCLB Grid"), on which the school, through its Custodian of Records, certifies compliance with criminal background clearance, tuberculosis (TB) risk assessment/clearance, NCLB teacher and paraprofessional qualifications, credentialing, and child abuse mandated reporter training requirements

NOTE: All school employees as well as all contracting entities/independent contractors ("vendors") providing school-site or student services must be included on the completed form

NOTE: The completed certification document should be ready and available for CSD review no later than 60 days after the first day of school. In the event that the school makes any subsequent personnel/vendor changes, the form needs to be updated to reflect current staff and vendors

- 1.2 **Staff Roster:** Current and complete school staff roster that shows all current assignment(s) for each staff member
- 1.3 **Master Schedule:** Master schedule that also indicates which teachers instruct ELs, and which subjects/courses are identified as "core" or "college preparatory" in the school's approved charter
- 1.4 **Special Education Staff Roster and Caseload:** List of RSP and SDC teachers that identifies the number of students in each SWD eligibility category served by each teacher

NOTE: Please do not include individual student names or other identifying information.

- 1.5 **Custodian of Records:** Documentation that the school has at least one Custodian of Records who has been confirmed by the California Department of Justice (e.g., DOJ confirmation letter; DOJ Custodian of Records notification)

Please organize and tab the remaining three sections of this binder by last name of individual staff members or by contracting entity name, organized in the same order provided on the completed "Certification of Clearances, Credentialing, NCLB Qualifications, and Mandated Reporter Training 2016-2017" document.

- 2 **Certificated Employee Documentation:** For each certificated employee, please provide (organized in the same order as the NCLB Grid):

- **Criminal Background Clearance Certification:** Completed and signed “Criminal Background Clearance Certification” certifying criminal background clearance prior to employment
NOTE: Please ensure that any Social Security Numbers recorded on these original forms are redacted
 - **Credential(s):** Copy of current credential(s) (copy of original certificate(s) or print-out from CTC website), showing issuance and expiration dates, type of credential, subject matter authorization, and EL authorization, for each position/assignment performed by the staff member
 - **Additional Authorization Documentation:** Any additional documentation necessary to authorize certificated service – e.g., CBEST documentation for any employee with a one-year credential
- 3 **Non-Certificated Employee Documentation:** For each classified or non-certificated employee (organized in the same order as the NCLB Grid), please provide:
- **Criminal Background Clearance Certification:** Completed and signed “Criminal Background Clearance Certification” certifying criminal background clearance prior to employment
NOTE: Please ensure that any Social Security Numbers recorded on these forms are redacted
- 4 **Contracting Entities Documentation:** For each contracting entity/independent contractor (“vendor”) (organized in the same order as the NCLB Grid), please provide:
- **Clearances and Credentialing Certification:** Current documentation from vendor certifying timely compliance with applicable criminal background and TB risk assessment/clearance requirements for vendor employees, and credentialing requirements for certificated vendor employees, with an appended list of the specific vendor employees covered by the certification.
NOTE: The charter school is responsible for ensuring that vendors provide the *Vendor Certification of Criminal Background Clearance, Tuberculosis Clearance, and Credential Verification* signed form to the charter school prior to the provision of services to the school
- 5 **Volunteer Clearances Certification:**
- **Clearances Certification:** Documentation certifying that the school has conducted volunteer clearances in accordance with applicable law and policy, including criminal background clearances for all volunteers who perform school-site services while not under the direct supervision of a school employee, and tuberculosis (TB) risk assessments/clearances for all volunteers with frequent or prolonged contact with students per the requirements of AB 1667, with an appended list of the names of the specific volunteers covered by the certification

NOTE: To ensure adherence to HIPAA requirements and purposes, CSD staff will not review individual school staff member tuberculosis clearances or medical records. The CSD reserves the right to review such records as needed on a case-by-case basis and as permitted by law.

FISCAL OPERATIONS DOCUMENTATION

NOTE: The list below identifies materials and reports that the school needs to submit electronically to the Fiscal Team member assigned to the school two weeks prior to the fiscal site visit. All fiscal reports should be in Microsoft Excel unprotected format. All of the materials requested are intended to be documents routinely prepared by the charter school as a part of the regular operation of the school. If an item listed below requires you to prepare something in addition to what is normally prepared in the regular operation of the school, please confer with the CSD Fiscal Team member assigned to your school.

- 1 **Most current** financial reports presented to the charter school's board (provide reports presented at one of the meetings held in 2016-2017.)
 - a. Balance Sheet, at a minimum include the categories of assets, liabilities, and net assets used in the audited financials
 - b. Income Statement (Statement of Activities), at a minimum include the categories of revenue and expenses used in the audited financials
 - c. Cash Flow Statement (including actual receipts and payments) to the end of the current fiscal year and through the next two fiscal years showing detailed sources of revenue and detailed expenditures. The cash flow projection for the current year should include actuals for the months where available and projections for the remaining months of the year. The cash flow should detail the revenue and expense categories for each month. These categories should, at a minimum, be the same as the categories on the income statement listed above. Accruals for revenues and expenses should also be shown.
- 2 Minutes of the meeting when the above financial reports were presented to the charter school's governing board
- 3 Minutes of the meeting when the 2016-2017 budget was adopted
- 4 If the school is offering STRS, PERS, and/or Social Security benefits to its employees, evidence that this is done in a manner that is consistent with the charter terms and the Charter Schools Act (Education Code 47611)
- 5 Minutes of the meeting reflecting the selection of the independent auditor
- 6 Minutes of the meeting reflecting the discussion and resolution of any audit findings, including material weaknesses or deficiencies
- 7 Minutes of the meeting reflecting the receipt, review, and approval of financial reports submitted to LAUSD
- 8 Minutes of the meeting reflecting the discussion and resolution of complaints received from staff or vendors, if any
- 9 A copy of the most current financial policies and procedures
- 10 Minutes of the meeting reflecting approval of the current financial policies and procedures
- 11 A copy of all contracts with related parties (e.g., management contracts, service agreements, license agreements, affiliation agreements, sole statutory membership relationship, and any subsidiary or parent group affiliated with the charter school's nonprofit corporation). Please also provide a description of the relationship between the charter school and the related party, and the business purpose of the related party
- 12 Check registers for the prior 12 months in Microsoft Excel format

- 13 All credit card statements for the prior six months
- 14 Monthly bank statements and reconciliations for the prior six months, and the following:
 - a. A list of all school bank accounts in Microsoft Excel format that includes the type of account (e.g., checking, savings, money market, etc.), the last four digits of the account, and the most current ending bank balance for that account
 - b. The bank statements are from the financial institution and must show all deposits, withdrawals, transfers, electronic expenditures/transfers, use of debit cards, and cancelled checks
- 15 Student body financial records (budget, cash flow, bank statement with reconciliation, audit reports and other financial reports)
- 16 Equipment inventory (asset tag number, purchase date, purchase price, book value, asset life, location of asset, etc.)
- 17 Disclosure of Legal Issues

NOTE: Any reference to “Charter School” shall be considered to include Charter Management Organizations, nonprofits, foundations, or other organizations that participate in the management or operation of the “charter school”. Paid contractors are excluded unless the suit is brought by or against the Charter Management Organization, nonprofit, foundation, or other organization that participates in the management or operation of the “charter school.”

NOTE: Disclosures should include civil or criminal cases filed in state or federal court; civil or criminal investigations by local, state, or federal law enforcement authorities; and enforcement proceedings or investigation by local, state, or federal regulatory agencies. The information provided must include relevant dates, the nature of the allegation(s), and the outcome.

 - Disclose material information relating to any legal or regulatory proceeding or investigation in which the Charter School is or has been a party and which might have a material impact on the financial viability of the Charter School. Such disclosures should include any parent, subsidiary, Limited Liability Company, Limited Liability Partnership related to the management or operation of the charter school, or affiliate of the Charter School.
 - Disclose any civil, criminal, or regulatory action in which the Charter School, or any current board members, senior officers, senior management personnel, or employee has been named a defendant in such action in the past five years. Also, include any actions older than five years that remain unresolved.
 - If the charter school has nothing to disclose, per the above, the charter school is to provide a written statement, signed by the board president or the chief administrator that indicates the charter school has nothing to disclose.
- 18 Any other Fiscal reports presented to the charter school’s governing board (e.g., grants, bonds, independent audit reports, etc.)

NOTE: If you have any questions about preparation for document review, please contact your CSD assigned Fiscal Team member, as appropriate, well before your scheduled visit date.