



## LOS ANGELES UNIFIED SCHOOL DISTRICT CHARTER SCHOOLS DIVISION

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### **ANNUAL PERFORMANCE-BASED OVERSIGHT VISIT PREPARATION GUIDE 2017-2018**

#### **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**

(3) Document Review

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

(4) Fiscal Review<sup>1</sup>

See section on preparation for fiscal review below.

Prior to the annual oversight visit, your CSD assigned administrator, in consultation with the charter school's leadership, and the CSD Fiscal Team member assigned to the school, 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 the CSD visiting team:

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

**PREPARATION FOR INTERVIEW/DISCUSSION**

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. CSD staff will use the guiding questions to lead discussion with the school leadership team during the Morning Meeting on the day of the visit.

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<sup>1</sup> 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. charter operator offices). The school/charter operator will be notified directly by the Fiscal Team, usually four weeks in advance of the scheduled annual performance-based oversight visit.

**Example of Guiding Questions (please wait to receive your school specific guiding 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? How is the governing board assessing the overall performance of the charter 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? What are some effective practices, supported by data analysis that the school has observed?

Organizational Management, Programs, and Operations: How is the school monitoring, analyzing, and increasing the effectiveness of the school's implementation of the California 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.

**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, ESSA Qualifications, Mandated Reporter Training Requirements and Bloodborne Pathogen training

**Note:** All independent charter schools are expected to prepare Binder 3A documentation (ESSA grid) and complete and submit both the *Certification of Clearances, Credentialing and Mandated Reporter Training Form (ESSA grid)* for Binder 3A and the first *Compliance Monitoring Certification* form to the CSD by Friday of the 7<sup>th</sup> week of school. This is designed to be consistent with the timeframe of Child Abuse Training by the sixth week of school established by AB1432.

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 Organizational 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  
Include evidence that agendas and minutes are on the school's website
- 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) Include evidence of School Site Council and ELAC meetings (for applicable schools)
- 7 Evaluation of School Leadership  
Evidence of a system of evaluation for chief executive and school administrator(s)
- 8 Brown Act Training  
Documentation of recent Brown Act training for Governing Board members, including all new members
- 9 Agenda Posting Procedures  
Documentation the Board meeting agenda posting procedures, including evidence of implementation (Include evidence that agendas and minutes are on the school's website)
- 10 Parent-Student Handbook(s)  
Current and complete Parent-Student Handbook(s)
- 11 Uniform Complaint Procedures  
Complete documentation of school/organization's Uniform Complaint Procedures (UCP) policy and forms that meet State and Federal requirements

**NOTE:** Each charter school must have its own UCP as well as the District's UCP brochure (for special education purposes). The UCP is specific to complaints that could be possible violations of federal, state laws, or regulations. Independent charter schools should maintain evidence of UCP logs and compliant implementation of regulatory timelines in the event the school is audited. An independent charter school is requested to review and be familiar with UCP requirements and guidance on the California Department of Education (CDE) website (<http://www.cde.ca.gov/re/cp/uc/>), and additionally compare its UCP documents to the LAUSD UCP documents provided on the LAUSD website at [lausd.net](http://lausd.net), in the *Offices* tab, at the *Educational Equity Compliance Office*.

**NOTE:** The UCP policy, procedures, and documents have also been added to the *COMPLIANCE MONITORING AND CERTIFICATION OF BOARD COMPLIANCE REVIEW* document for the governing board's annual review and certification.

**CSD review of the charter school's UCP documents will include:**

- An English version and if applicable, translated version when 15% or more of students enrolled speak a primary language other than English
- The name/address of whom the parent sends the complaint in the charter organization
- The position that will investigate the complaint
- Policy description (See CDE guidance) and step-by-step procedures regarding handling of UCP complaints. Policy should include language that encourages complainants to file directly with the school first, rather than CDE.
- Timelines for the investigation (60 calendar days). Timeline language should additionally explain to complainants a written report of findings will be received within 60 calendar days, unless the complainant agrees in writing to an extension of the timeline (except in the case of pupil fees complaints where no extensions can be obtained).
- Appeals process and timelines including to whom, at the CDE, an appeal is sent including the original complaint and the Charter School's findings
- A Civil Remedies section explaining that civil remedies "may" be available (injunction, restraining order) for discrimination, harassment, intimidation and/or bullying laws
- The UCP information including to whom in the school organization to send complaints to is on the school's website, complaint forms and notice/brochures and are available free of charge (e.g., school main office)
- The categorical and other specific programs that are under the UCP jurisdiction for your charter school(s) applicable to the school's level/funding (i.e., an elementary would not include Adult Education)

**Example- Programs that use categorical funds\***

- a. Adult Education
- b. After School Education and Safety (ASES)
- c. Agricultural Vocational Education
- d. American Indian Education Centers and Early Childhood Education Program Assessments
- e. Bilingual Education
- f. California Peer Assistance and Review Programs for Teachers
- g. Career Technical and Technical Education and Career Technical and Technical Training

- h. Child Care and Development
- i. Child Nutrition
- j. Consolidated Categorical Aid Programs
- k. Economic Impact Aid\*
- l. Every Student Succeeds Act
- m. Foster and Homeless Youth Services [The LEA shall post a standardized notice of the educational rights of foster and homeless youth, as specified in E.C. §§48853, 48853.5, 49069.5, 512225.1, 51225.2; the notice shall include complaint process information, as applicable.]
- n. Migrant Education
- o. No Child Left Behind Act (2001) programs, including but not limited to, improving academic achievement, compensatory education, limited English proficiency, and migrant education
- p. Regional Occupational Centers and Programs
- q. School Safety Plans
- r. Special Education
- s. Tobacco-Use Education

\*Some of these programs may not be applicable to your charter school(s)

**UCP also addresses complaints for:**

- Discrimination, Harassment, Intimidation, And/Or Bullying (of protected classes)
  - Unauthorized Charging of Pupil Fees
  - Elementary School Adopted Course of Study for Physical Education (if applicable)
  - Failure To Comply With Legal Requirements As To Development, Adoption and Annual Update Of The LCAP And LCFE
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- 12 Stakeholder Complaint Procedure(s)  
Evidence of other stakeholder complaint procedure(s) for complaints outside regulatory scope of UCP, including the school's complaint form(s)
  
  - 13 Human Resources Policies and Procedures  
Evidence of policies and procedures specifically related to:
    - 13.1 Staff Due Process
    - 13.2 ESSA 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 demonstrate the extent to which the school's numerically significant subgroups as well as its schoolwide student 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 English Language Arts Test Results (CDE)
  - 1.2 **SBAC Subgroup Math:** CAASPP Smarter Balanced Mathematics Test Results (CDE)
  - 1.3 **SBAC Schoolwide ELA:** CAASPP Smarter Balanced English Language Arts Test Results (CDE)
  - 1.4 **SBAC Schoolwide Math:** CAASPP Smarter Balanced Mathematics 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)

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

  - 1.6 Long Term English Learners (Secondary) and "At-Risk" English Learners (Elementary and Secondary Schools) Include most recent Numbers and Percentage of Students identified by CDE as LTELS (Secondary) or most recent Number and Percent of Students identified by CDE as "At-Risk" English Learners 4-5 years (Elementary and Secondary)



- 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  
**Please note: The 2.1 Internal Assessment data is only to be included as evidence for a new charter school or for charter schools which serve grade levels K, 1, 2, 9 and 10 which are not administered the CAASPP)**
  - 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. SBAC Block Assessments, 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)

**NOTE: California School Dashboard**

For your awareness, the oversight report will include the school's ratings on the California School Dashboard. The school's dashboard ratings *will not* impact the overall Student Achievement and Educational Performance Rating for 2017-2018 oversight, but will provide informational areas of focus. California School Dashboard Indicators will, however, figure into next year's 2018-2019 oversight ratings.

- 4 California School Dashboard printout for the following indicators (as applicable)
  - Priority 4-3.1 Student Achievement Academic Indicator (Grades 3-8) Distance from Level 3 English Language Arts
  - Priority 4-3.2 Student Achievement Academic Indicator (Grades 3-8) Distance from Level 3 Mathematics

- Priority 4-3.5 Student Achievement English Learner Progress Indicator
- Priority 5-3.7 Student Engagement- Chronic Absenteeism Indicator (this indicator will be available Fall 2018)
- Priority 6-3.8 School Climate- Suspension Rate Indicator
- Priority 2.5 Suspension and Expulsion Rates

**HIGH SCHOOLS ONLY:**

- Priority 4-3.3 Student Achievement Academic Indicator (Grade 11) Distance from Level 3 English Language Arts (status and change)
- Priority 4-3.4 Student Achievement Academic Indicator (Grade 11) Distance from Level 3 Mathematics (status and change)
- Priority 5-3.6 Student Engagement-Graduation Rate Indicator
- Priority 7 & 8-3.9 Access to and Outcomes in a Broad Course of Study-College /Career Indicator (status, *this indicator will be available Fall 2017*)

**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 **School Safety and Operations (School Safety Plan & Procedures)**
  - 1.1 **Visitor's Policy:** Copy of policy in Parent-Student Handbook and evidence that policy is posted for the public
  - 1.2 **School Safety Plan:** Comprehensive Health, Safety, and Emergency Preparedness Plan, staff roles and assignments, including evacuation route maps (that complies with co-location requirements if co-located) Includes Threat Assessment protocol. **For Co-locations, include copy of District school's Safe Schools Plan incorporating the charter school**
  - 1.3 **Emergency Drills and Training:** Documentation of evidence of conducting safety drills and emergency preparedness staff training
  - 1.4 **Emergency Supplies:** Evidence of provision and location of onsite emergency supplies (industry standard is 3 days of food/water)
  - 1.5 **Child Abuse Mandated Reporter Training:** (please include employee training documentation in Binder 3A) Documentation of Child Abuse Mandated Reporter training for all staff and other persons working on behalf of the school who are mandated reporters

- 1.6 **Suicide Prevention Policy for schools serving students in grades 7-12:** inclusive, including evidence of board adoption of the policy; how stakeholders and mental health experts were consulted when developing the policy; professional development on suicide awareness and prevention; and any other activities that support AB 2246.
  
- 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 **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.
  
  - 2.3 **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
  
- 3 School Instructional Programs
  - 3.1 **Standards-Based Instructional Program:** Evidence of implementation of grade-level-appropriate California academic standards-based instructional program, which is aligned in accordance with the California Common Core State Standards and the new English Language Development standards *and the State’s transition to the California Next Generation Science Standards.*
  
  - 3.2 **LCAP:** Copy of the school’s current Local Control Accountability Plan (LCAP)
  
  - 3.3 **(New schools only) CAASPP Technology Readiness:** Evidence of technology readiness to administer CAASPP (SBAC) assessments (If existing schools are experiencing difficulty in this area, please notify your CSD administrator)
  
  - 3.4 **WASC Accreditation Notification letter**
  
  - 3.5 **UC Doorways:** Evidence that all A-G high school courses have been approved through UC Doorways (UCOP printout)

- 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 the state's transition to implementing the California Next Generation Science Standards*, and 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/high achievers
- 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 9<sup>th</sup> graders) :** 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 "SER300 (printed out the week of the oversight visit)
    - ◆ Professional Development- Evidence of staff professional development about Special Education (include in section 3.7)
  - 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
  - ♦ Complaint Procedure - Evidence that school provides a complaint procedure for stakeholders related to school climate and school discipline system
- 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 and related meeting agendas
  - ♦ Parent Engagement – Evidence of parent engagement, including parent involvement policy and compact per Title I (ESSA) 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 **Stakeholder Communication and Transparency:** Evidence that the school demonstrates informational transparency to stakeholders via documents available both manually and electronically (website preferred) in the following areas:
- ♦ Complaint procedures\*\*
  - ♦ Title IX information in accordance with SB1375\*\*
  - ♦ AB 2246 Suicide Prevention applicable posting (Gr 7-12)\*\*
  - ♦ Applicable categories described in LAUSD Charter School Transparency Resolution (*schools may provide evidence of other electronic means for this item, if means other than website are utilized*)\*\*required on website

- 4.5 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** (Please note that the ESSA grid will be submitted to the CSD assigned administrator at the end of the school's 7<sup>th</sup> week of operation (designed to be aligned with the six week deadline for Child Abuse Mandated Reporter training). The ESSA grid will be reviewed again at the oversight visit.

**DOCUMENTATION OF COMPLIANCE WITH CLEARANCE, CREDENTIALING, ESSA 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 (ESSA Grid):** The original signed document and one full-sized copy of the school's completed and signed "Certification of Clearances, Credentialing, ESSA Qualifications, and Mandated Reporter Training 2017-2018" form (often informally referred to as the "ESSA Grid"), on which the school, through its Custodian of Records, certifies compliance with criminal background clearance, tuberculosis (TB) risk assessment/clearance, ESSA teacher and paraprofessional qualifications, credentialing, child abuse mandated reporter training requirements, and blood borne pathogen training for all staff.

**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 the 7<sup>th</sup> week 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" and "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, and Mandated Reporter Training 2017-2018" and Bloodborne Pathogen Training documents.

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

- **Criminal Background Clearance Certification:** Completed and signed "Criminal Background Clearance Certification" certifying criminal background clearance prior to employment or in any capacity.

**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 type of 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 ESSA Grid), please provide:

- **Criminal Background Clearance Certification:** Completed and signed "Criminal Background Clearance Certification" certifying criminal background clearance prior to employment or in any capacity.

**NOTE:** Please ensure that any Social Security Numbers recorded on these forms are redacted

- 4 Employee Child Abuse Training Documentation and Bloodborne Pathogen Training Documentation: For all staff members include the supporting documentation of completion of Child Abuse Training within timelines specified in AB1432. Include the supporting documentation for all staff members' completion of Bloodborne Pathogen training.
  
- 5 Contracting Entities Documentation: For each contracting entity/independent contractor ("vendor") (organized in the same order as the ESSA 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.

**NOTE:** AB 949 (2017), which amends Education Code section 45125.1 to address criminal background clearance procedures for sole proprietors, becomes effective law on January 1, 2018.
  
- 6 Volunteer Clearances Certification: (if applicable)
  - **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

**PLEASE NOTE:** To assist our schools and our team with preparing for efficient and effective oversight visits, we have provided the list below to identify material 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 for appropriate staff review. 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. Please number and name the electronic documents to be provided to the Fiscal Team member in correspondence with the items enumerated below. If an item listed below does not apply, or requires you to prepare something in addition to what is normally prepared in the regular operation of the school, please inform the CSD Fiscal Team member assigned to your school.

- 1 **Most current** fiscal reports presented to the charter school's board (provide reports presented at one of the meetings held in 2017-2018)
  - 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 fiscal reports were presented to the charter school's governing board
- 3 Minutes of the meeting when the 2017-2018 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 of the most current independent audit report and resolution of any audit findings, including material weaknesses or deficiencies
- 7 Minutes of the meeting reflecting the receipt, review, and approval of fiscal reports submitted to LAUSD
- 8 Minutes of the meeting reflecting the discussion and resolution of complaints received from staff or vendors, if any

- 9 Minutes of the meeting reflecting the receipt, review, and discussion of the most current Annual Performance-Based Oversight Visit report (this does not apply to charter schools that were not in operation for the 2016-2017 school year)
- 10 A copy of the most current fiscal policies and procedures
  - a. If the most current fiscal policies and procedures do not include procurement guidelines, please provide a copy of the most current procurement policies and procedures that include, but are not limited to, competitive bidding thresholds for the procurement of goods and services, retention of contract records, and adequate segregation of duties
- 11 Minutes of the meeting reflecting approval of the current fiscal policies and procedures and if applicable, minutes of the meeting reflecting approval of the current procurement policies and procedures
- 12 A copy of the charter school's organizational chart that depicts the current reporting structure of the charter school, including but not limited to, any board member or school employee, who has responsibilities outlined within the charter school's fiscal policies and procedures
- 13 A description of the relationship between the charter school and any related party<sup>2</sup>, and the business purpose of the related party
- 14 A copy of all contracts with related parties (e.g., management contracts, service agreements, license agreements, affiliation agreements, etc.)
  - a. If the charter school incurs management fees, licensing fees, or any other related party fees, please provide the following information in Microsoft Excel format:
    - i. The percentage and/or rate of the fees;
    - ii. The basis used to calculate the total fees;
    - iii. The terms of the services provided; and
    - iv. A rationale for the percentage and/or rate of the fees and the basis used to calculate the total fees
- 15 If applicable, minutes of the meeting reflecting approval of the management fees, licensing fees, or any other related party fees

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<sup>2</sup> Related parties may include a) affiliates of the entity, b) principal owners of the entity and members of their immediate families, c) management of the entity and members of their immediate families, 4) other parties which the entity may deal if one party controls or can significantly influence the management or operating policies of the other to an extent that one of the transacting parties might be prevented from fully pursuing its own separate interests, and 5) other parties that can significantly influence the management or operating policies of the transacting parties or that have an ownership interest in one of the transacting parties and can significantly influence the other to an extent that one or more of the transacting parties might be prevented from fully pursuing its own separate interests.

- 16 If the charter school has a sole statutory member, please provide the following:
  - a. A copy of the sole statutory member's by-laws
  - b. A copy of the sole statutory member's articles of incorporation
  
- 17 Check registers for the prior 12 months in Microsoft Excel format
  
- 18 All credit card statements for the prior six months, and the following:
  - a. A list of all credit cards in Microsoft Excel format that includes the last four digits of the credit card number, and the name and job title of the credit card holder
  
- 19 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, a description of the purpose of the account (e.g., operating, nutrition, ASB, etc.) 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
  - c. If applicable, a list of all debit cards in Microsoft Excel format that includes the last four digits of the debit card number, and the name and job title of the debit card holder
  
- 20 Student body financial records (budget, cash flow, bank statement with reconciliation, audit reports and other fiscal reports)
  
- 21 Equipment inventory (asset tag number, purchase date, purchase price, book value, asset life, location of asset, etc.)
  
- 22 A link to the charter school's website where the EPA allocation and expenditures are posted
  
- 23 If applicable, the signed and executed agreement related to the factoring of receivables, and the minutes of the meeting reflecting the review and approval of the agreement
  
- 24 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 fiscal 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.
- 25 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.