Oversight Framework

An organizational tool for authorizers

September 2024

The Annual Report Toolkit is a product of CA 2.0—Advancing Equity and Access through Quality Authorizing, an initiative led by the California Charter Authorizing Professionals (CCAP). WestEd's support in the initial development of the 2021 Toolkit is appreciated.

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Introduction

Scope of Oversight Work

In addition to the legal requirements outlined in the *Criteria for Inclusion in Oversight* below, Education Code Section 47604.32 states, “Each chartering authority will ensure that each charter school under its authority complies with all reports required of charter schools by law, including the *Local Control and Accountability Plan* and *Annual Update to the Local Control and Accountability Plan*.”  While procedures addressing this broad legal requirement vary widely across the state, authorizing agencies might consider establishing local oversight procedures documenting how their agency meets its oversight responsibilities. Further, eliciting input on local procedures from charter school leaders in the authorizer’s portfolio builds trust through transparency and collaboration.    Incorporate any findings into the annual ‘evaluation of core performance’ (e.g., *Annual Performance Report*).

To better support the authorizer's effort to gather oversight data, consider the suggested *Criteria for Inclusion in Oversight* listed in the following *Oversight Framework* to align local practice with the CA Charter Authorizing Professionals’ four core charter performance questions.

* Is the charter school’s education program a success?
* Is the charter school financially viable?
* Is the charter school operating and governed effectively?
* Is the charter school serving public policy purposes?

Criteria for Inclusion in Oversight1

1. Is the document specifically required in law to be submitted to the authorizer (E.C. 47604.32 and E.C. 47605)?
2. Is it necessary to monitor the school's fiscal condition (E.C. 47604.32 and E.C. 47604.33)?
3. Is it needed for the authorizer to fulfill its responsibilities under ED 47607 (Revocation)?
4. Is it necessary to ensure the authorizer complies with its required oversight responsibilities so it is not liable for the charter school's debts, obligations, performance of acts, errors, or omissions (E.C. 47604.3 and 47604(d))?
5. Is it necessary for the authorizer to make high-quality data-driven renewal/non-renewal decisions consistent with the requirements of 47605 and 47607.2?

The Purpose of Review

1. Public transparency
2. Repository- reference material function (e.g., MOU/Charter)
3. School certifies compliance
4. Content review: accept/reject v. approve/disapprove
5. Program and document review validation
6. Renewal requirements
7. Inform any Notice of Concern/Cure (e.g., safety)

Oversight Framework

Is the charter school’s education program a success?

|  |  |  |  |
| --- | --- | --- | --- |
| **Oversight Description (16 items)** | **Due Date** | **Action** | **Review Purpose** |
| ***Education Program*** | | | |
| Annual School Site Pre-Visit Report:  Local SBE Aligned Verified and Post-Secondary Data | 3 Weeks Prior | School Upload | 1, 5, 6 |
| Local Assessment Fidelity of Administration and Data Collection (Also see SBE May 2023 guidance for renewal data) | Aug 30 | School Certify | 3, 5 |
| Accreditation Information | Oct 1 | School Upload | 5 |
| Instructional Minutes- All Schools (EC 47612.5) | Oct 1 | School Upload/Cert | 4 |
| Review UC Doorways A-G Approved Courses- High Schools | Oct 30 | Authorizer Action | 5 |
| CA Dashboard Academic Achievement Indicators | Jan 30 | Authorizer Action | 6 |
| Samples of Student-Focused Academic/Support PD (Attendance, Agenda, Materials) | Feb 10 | School Upload | 5, 6 |
| Annual On-Site Visit (Ed Program) | Mar 30 | Authorizer On-Site | 5, 6 |
| ***Equity, Access & Protections*** | | | |
| SpEd Determination Letter (Two Most Recent) and/or SELPA Letter of Good Standing | Jun 30 | School Upload | 4, 5 |
| Rehabilitation Act 504 Policy | Sep 30 | School Upload2 | 1, 4 |
| Students with Disabilities Policy | Sep 30 | School Upload2 | 1, 4 |
| English Learner Policy | Sep 30 | School Uploads2 | 1, 4 |
| Student Discipline Policy | Sep 30 | School Upload2 | 1, 4 |
| Parent-Student Rights & Notifications | Sep 30 | School Certify | 1, 4 |
| On-Site Document Review:  Personally Identifiable Info (e.g., SpEd, 504) | Nov 30 | Authorizer On Site | 5, 7 |
| Lottery, Admissions & Disenroll Procedure/Disenrollment Data | Jan 30 | School Upload | 4, 7 |
| **Local Control and Accountability Plan (LCAP)** | | | |
| Review LCAP Annual Update | Sep 30 | Authorizer Action | 5 |

Is the charter school financially viable?

|  |  |  |  |
| --- | --- | --- | --- |
| **Oversight Description (10 items)** | **Due Date** | **Action** | **Review Purpose** |
| Adopted Annual Budget | Jul 1 | School Upload | 4 |
| Annual Apportionment (P-Annual) | Jul 15 | School Upload | 4 |
| Final Unaudited Actuals | Sep 15 | School Upload | 4 |
| Annual Budgets LCAP/Annual Update alignment EC 47607.33(b) | | Sep 30 | Authorizer Action | 1, 4, 7 |
| First Interim Report | Dec 15 | School Upload | 4 |
| P-1 Attendance Reports | Dec 15 | School Upload | 4 |
| Annual Audit Report | Jan 31 | School Upload | 4, 6 |
| Prior Year P-2 Amendment | Feb 10 | School Upload | 4 |
| Second Interim Report | Mar 15 | School Upload | 4 |
| P-2 Attendance Reports | Apr 30 | School Upload | 4 |

Is the charter school operating and governed effectively?

|  |  |  |  |
| --- | --- | --- | --- |
| **Oversight Description (47 items)** | **Due Date** | **Action** | **Review Purpose** |
| ***Governance*** | | | |
| Board Packet | Varies | School Upload | 1, 4 |
| Articles of Incorporation | Varies | School Upload2 | 1, 4 |
| Petition & MOU- As Oversight/Ops Reference Tools | Varies | Authorizer Upload | 2 |
| Board Meeting Calendar | Jun 30 | School Upload | 1, 4 |
| Board Member Profiles with Qualifications Reviewed & Updated | Aug 30 | School Certify3 | 1, 5 |
| Approved Minutes: Adopted LCAP/Public Hearing & Local Indicators | Sep 30 | School Upload | 1, 4 |
| Bylaws | Sep 30 | School Upload2 | 1, 4 |
| Board Training Attendance & Materials | Mar 1 | School Upload | 1, 4 |
| Board Meeting Observation | Mar 30 | Authorizer Action | 1, 4 |
| School Leader Evaluation Date and Process | May 30 | School Upload | 4, 5 |
| ***Governance Transparency*** | | | | |
| Public Records Act Policy | | Sep 30 | School Upload2 | 1, 4, 7 |
| Conflict of Interest Policy and Code | | Nov 1 | School Upload | 1, 4, 7 |
| Website Review for Required Postings | | Mar 30 | Authorizer Action | 1 |
| Board and Leadership Form 700 | | Apr 2 | School Upload | 1, 4 |
| ***Operations- Fiscal*** | | | | |
| Independent Auditor Selection Certification | | Apr 30 | School Upload | 3 |
| Form 990s | | May 31 | School Upload | 4 |
| ***Operations- Health and Safety*** | | | |
| Facilities List Updates | Aug 30 | School Update | 1 |
| Health and Safety Policy | Sep 30 | School Upload2 | 1, 4, 7 |
| Transportation Policy | Sep 30 | School Upload2 | 1, 4, 7 |
| Certificate of Insurance | Sep 30 | School Upload | 4, 7 |
| Building Occupancy Approval | Oct 30 | School Upload | 4, 7 |
| Contracting Entities Provide Criminal Records | Oct 30 | School Certify | 4, 7 |
| Universal Meal Service Certification | Oct 31 | School Certify | 3 |
| Facility Inspection (e.g., FIT) | Dec 15 | School Upload | 4 |
| Vision, Hearing, Scoliosis Screening & Immunizations | Jan 31 | School Certify | 4 |
| Position Specific (e.g., coach, food) Safety Training | Jan 31 | School Upload | 4 |
| Fire Marshal Inspection | Feb 10 | School Upload | 4, 7 |
| Safety Plan: May include a physical check at visit | Apr 1 | School Certify | 4, 7 |
| ***Operations- Student Programs*** | | | |
| Independent Study (IS) Master Agreement Legal Compliance | Sep 1 | Schools Certify | 3 |
| Roster of Leadership Reviewed & Updated3 | Sep 30 | School Certify | 3 |
| Annual Professional Development Calendar | Sep 30 | School Upload | 4 |
| Parent/Student Handbook(s) | Oct 1 | School Upload | 1, 4 |
| Audit Report- Review Independent Study Audit | May 31 | Authorizer Action | 4 |
| ***Operations- Personnel*** | | | |
| Employee Screening and Training | Sep 30 | School Upload | 4, 7 |
| Employment Related MOUs | Sep 30 | School Upload | 4 |
| Employee Policy | Sep 30 | School Upload2 | 1, 4 |
| Staff Evaluation Calendar | Sep 30 | School Upload | 4 |
| Employee Handbook | Sep 30 | School Upload2 | 4 |
| Staff Credentials & Authorizations | Oct 15 | School Upload | 4, 7 |
| On-Site Document Review:  Personally Identifiable Info (e.g., SpEd & HR files) | Nov 30 | Authorizer On Site | 5, 7 |
| CALSAAS Determination Report | | Jan 15 | School Upload | 4, 7 |
| ***Operations- Leadership Transparency*** | | | |
| LCAP Submitted to Authorizer and COE EC 47604.33 | Jul 1 | School Upload | 2 |
| LCAP Review- Alignment with Instructions | Sep 30 | Authorizer Action | 4 |
| Disclosure of Claims/Litigation | Jan 31 | School Upload | 1, 4 |
| LCAP Mid-Year Update to Board- Agenda | Feb 28 | School Upload | 1, 4 |
| Website Review for Required Postings | Mar 30 | Authorizer Action | 1 |
| CDE Annual Charter School Cert of Information | Varies  Mar-May | School Certify | 3 |

Is the charter school serving public policy purposes?

|  |  |  |  |
| --- | --- | --- | --- |
| **Oversight Description (3 items)** | **Due Date** | **Action** | **Review Purpose** |
| ***Fulfilling the Intent of the Charter*** | | | |
| Annual Pre-Site Visit Report:  Evidence-Based Public Policy Purpose Reflection | 3 Weeks Prior | School Upload | 1, 5 |
| Demographic Composition Aligned with Charter | Mar 30 | Authorizer Action | 4, 6 |
| Recruitment Materials Used- Current Year Enrollment | Sep 1 | School Upload | 4, 6 |

1School uploads in the first year and certifies no changes were made or reloads a revised copy thereafter

2Additional items may be reviewed/requested to differentiate oversight based on identified need

3 These submission requests are marked as ‘School Certify’ based on the presumptions that authorizers are using Epicenter. The intent is for authorizers to make the best use of the online platform by requiring this information to be readily available on the platform's Board Center and School Center pages. Board biographies can be added to each member's profile's ‘Notes’ section. If the authorizer is not using Epicenter, change these items to ‘School Upload.’