

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.

Contents

Introduction	1
Scope of Oversight Work	1
Criteria for Inclusion in Oversight ¹	1
The Purpose of Review	1
Oversight Framework	1
Is the charter school’s education program a success?	1
Is the charter school financially viable?	2
Is the charter school operating and governed effectively?	2
Is the charter school serving public policy purposes?	4

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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 Upload ²	1, 4
Students with Disabilities Policy	Sep 30	School Upload ²	1, 4
English Learner Policy	Sep 30	School Uploads ²	1, 4
Student Discipline Policy	Sep 30	School Upload ²	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 Upload ²	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 Certify ³	1, 5
Approved Minutes: Adopted LCAP/Public Hearing & Local Indicators	Sep 30	School Upload	1, 4
Bylaws	Sep 30	School Upload ²	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 Upload ²	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 Upload ²	1, 4, 7
Transportation Policy	Sep 30	School Upload ²	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 & Updated ³	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 Upload ²	1, 4
Staff Evaluation Calendar	Sep 30	School Upload	4

Employee Handbook	Sep 30	School Upload ²	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.’