



Charter Schools Accountability and Support
2012-2013

**LEFFERTS GARDENS CHARTER SCHOOL
ANNUAL COMPREHENSIVE REVIEW REPORT**

2012 – 2013 SCHOOL YEAR

Part 1: School Overview & History

School Overview and History

Lefferts Gardens Charter School is an elementary school serving approximately 306 students¹ in grades K-3 during the 2012-13 school year. It opened in 2010-2011, and is under the terms of its first charter. The school's projected full grade span is K-5, which it's expected to reach in 2014-2015.² The school is located in public³ facilities in Brooklyn within CSD 17.⁴

The school has not yet earned a grade on the NYC DOE Progress Report.⁵

Lefferts Gardens Charter School enrolls new students in grades K through 3. There were 387 students on the waitlist after the Spring 2012 lottery.⁶ The average attendance rate for the 2012-13 school-year to date is 92.9%.⁷

On the 2011-2012 NYC DOE School Survey, the school scored Below Average on the Safety & Respect section, Below Average on the Communication section, Below Average on the Engagement section, and Well Below Average on the Academic Expectations section. Eighty-six percent of the school's parents and 100.0% of the school's teachers responded to the survey.⁸

The school's leadership is currently undergoing a transition. Wendy Ramos, Director of Operations, began in April 2013, and served as Interim School Leader until the new school leader was hired. Michael Windram, the new school leader, started with the school on June 10, 2013. Mr. Windram is the school's fifth leader. For the first two years of the charter, Marc Magnus-Sharpe was the school's leader. During the 2012-2013 school year, Deborah Bartley-Carter, who succeeded Mr. Margnus Sharpe, left the school. After Ms. Bartley-Carter's departure, the school had three interim leaders: Karen Palmer, (the school's founding Director of Operations), Marc Dicus, (the school's former Director of Finance) and Wendy Ramos.

¹ Enrollment based on ATS data from 3/8/13.

² NYC DOE internal data.

³ NYC DOE internal data.

⁴ NYC DOE Location Code Generating System database.

⁵ NYC DOE Progress Report – <http://schools.nyc.gov/progressreport>

⁶ Self-reported information from school-submitted data collection form on 2/20/13.

⁷ Self-reported information from school-submitted data collection form on 2/20/13.

⁸ NYC DOE School Survey – <http://schools.nyc.gov/survey>

Part 2: Annual Review Process Overview

Rating Framework

The New York City Department of Education (NYC DOE) Charter Schools Accountability & Support Team (CSAS) performs a comprehensive review of each NYC DOE-authorized charter school to investigate three primary questions: is the school an academic success; is the school a fiscally sound, viable organization; and is the school in compliance with its charter and all applicable laws and regulations? To ascertain matters of sustainability and strategic planning, CSAS inquires about the school's plans for its next charter term.

This review is conducted by analyzing student performance data and collecting and evaluating school-submitted documents during the 2012-2013 school year. The report outlines evidence found during this review.

As per the school's monitoring plan, CSAS may also conduct a visit to a school. Visits may focus on academic outcomes, governance, organizational structure, operational compliance, fiscal sustainability or any combination of these as necessary.

In addition, a school's charter goals are reviewed. The progress that a school has made towards achieving its goals at this particular point during its charter period is noted. However, as this is an interim review before the end of the charter term, progress towards goals is not used as part of this evaluation.

Essential Questions

Is the school an academic success?

To assess whether a school is an academic success, CSAS considers performance measures, including, but not limited to the following:

- Overall NYC DOE Progress Report score,
- New York State ELA and Math results and/or New York State Regents exams,
- ELA and Math proficiency compared to the district for elementary and middle schools, and graduation rates compared to the city for high schools,
- New York State Alternate Assessment (NYSAA) or other approved alternate assessments, and
- Performance data pertaining to college and career readiness.

Academic success is rated as **Demonstrated, Partially Demonstrated, or Not Yet Demonstrated**. If a school does not yet have a NYC DOE Progress Report, it is rated as Not Yet Demonstrated.

Is the school a fiscally sound, viable organization?

To assess whether a school is a fiscally sound, viable organization, CSAS focuses on three areas: Governance Structure & Organizational Design, School Climate & Community Engagement, and Financial Health. This includes an analysis of the school's audited financial statements, based on the NACSA (National Association of Charter School Authorizers) Financial Framework⁹.

CSAS also considers a variety of supporting materials and data, including but not limited to the following:

- Board of Trustee bylaws,
- Board of Trustee meeting minutes,
- Annual Reports submitted by schools to New York State Education Department (NYSED),
- NYC DOE School Survey,
- Data collection sheets provided by schools,
- Student, staff, and Board turnover,

⁹ http://www.qualitycharters.org/assets/files/images/stories/pdfs/publications/Performance_Framework_Fall_2012_Draft.pdf, page 38-59

- Authorized enrollment numbers, and
- Annual financial audits.

A school's Governance Structure & Organizational Design and Climate & Community Engagement are rated as **Developed, Partially Developed, or Not Yet Developed**. A school's Financial Health is rated to indicate whether there are concerns about the near-term financial obligations and the financial sustainability of the school.

Is the school compliant with its charter and all applicable law and regulations?

As it pertains to compliance, CSAS identifies areas of compliance and noncompliance with all applicable laws and regulations.

Staff Representatives

The following staff representatives participated in the review of this school's documents as detailed above and conducted a full visit to the school on May 15, 2013:

- Daree Lewis, DOE
- Maria Campo, DOE
- Jorge Cruz, DOE
- Simeon Stolzberg, Consultant

Part 3: Findings

Summary of Findings

Based on CSAS review, the following findings were made. To date, the school:

- has not yet demonstrated academic achievement or progress, because it has not yet generated accountability data (i.e. no state assessment results and no graded NYC DOE Progress Report) (pp. 6-7),
- has a developed governance structure and organizational structure (p. 8),
- has not yet developed a stable school culture (pp. 8-9),
- is in a strong position to meet near-term financial obligations but there are concerns about the financial sustainability of the school (p. 10),
- is in compliance with some applicable laws and regulations, but not others (p. 11),
- has plans to continue adding grades until the school reaches full capacity as a K-5 (p. 12).

This review included a desk audit, a self-evaluation completed by the school, a school visit by CSAS staff, and follow up communication via phone and email. CSAS visited the school on May 15, 2013.

Essential Question 1: Is the School an Academic Success?

To date, the school has not yet demonstrated academic achievement or progress, because it has not yet generated accountability data (i.e. no state assessment results and no graded NYC DOE Progress Report).

- The school is in its third year of operation and is currently serving students in grades K-3. The 3rd grade took state tests for the first time this year and at the time of the report, test results were not yet available and growth data will not be available for another year.
- Fountas and Pinnell (F&P) testing was administered school wide in September and January; 66% of 3rd grade students were reading at or above the state standard, which falls short of the school's charter goal target of 75%.

Progress Towards Attainment of Academic Goals¹⁰

- The school has five academic-specific charter goals that pertain to their students' performance on the New York State (NYS) Math and ELA assessments. Currently these goals are not applicable, since this is the first year of testing and the results are not yet available.

Representatives of the CSAS visited the school on May 15, 2013. Based on interviews, document review, and observation the following was noted:

- The school has experienced leadership turnover and at the time of the visit was operating with interim leadership. At the time of the visit, a new school leader had been hired by the Board, but did not start until June. However, the school's interim school leader reported that the newly hired school leader was beginning to participate in leadership decision-making, such as hiring.
- The school continues to develop its curriculum. Last summer, it focused on integrating curriculum and is at the time of the visit, was in the process of building monthly science themed units.
- School leaders indicated that they have initiated data meetings this year and provided trainings to staff in scoring and the use of data.
- The school has a Response to Intervention process in place that relies heavily on the co-teaching model to provide support for students. Staff has been provided with professional development in this area and the school is developing a progress monitoring template to track student performance.
- The school's interventions are reportedly becoming more coherent and coordinated with general education instruction. An Academic Intervention Specialist (AIS) was hired in February to increase academic gains for students who have been identified as below level. The school also created an after-school academic enrichment program (LEAP) to provide students with an opportunity for additional academic support.
- Due to leadership turnover, the amount of teacher observation and feedback on instruction and lesson plans has been limited.
- The school is developing a teacher evaluation system and is working with consultants to implement the Framework for Teaching developed by Danielson.
- Eleven classrooms were observed, including AIS and Spanish, with the school's Interim School Leader, Dean of Culture, and Director of Curriculum Instruction, and the following was noted:
 - In most classrooms two adults delivered instruction and primarily used the lead and assist or lead and monitor models of co-teaching.
 - In most classrooms questioning that focused on basic recall or explanation, with some evidence of questioning that challenged students to demonstrate higher order thinking, was observed.
 - Teachers used a variety of techniques to check for understanding, including questioning, observation, polling, and formal assessments.
 - Limited evidence of differentiation, such as scaffolded questioning, was observed.
 - Students were not consistently on task and engaged in lessons. While many students were attentive and volunteered, when called upon they did not always recall the question

¹⁰ Goal analysis is considered a neutral point and is not used as part of the evaluation.

being asked. In addition, slow pacing in some classes led some students to be disengaged and teachers were not always effective in re-directing.

- On the day of the visit, twelve teachers and staff members were interviewed.
 - Not all teachers interviewed teachers were familiar with the school's expectations and procedures for teacher evaluation.
 - Some of the interviewed teachers reported less team teaching because of behavior issues. They reported that there were not clear policies or consequences for students in terms of behavior management. Teachers expressed the need for a behavior ladder with clear and consistent consequences.
 - Teachers reported the use of leveled small group instruction, such as guided reading.
 - All interviewed teachers reported that they collect data and administer assessments, but that they do not have a systematic approach to using the data to inform instruction. All interviewed teachers discussed their grade team meetings, but most reported a need for more time for planning.
 - Most teachers reported a need for more differentiated professional development.
 - The comments of teachers interviewed did not fully align to the school's self-evaluation and statements made during the leadership team meeting in regards to teacher evaluations, co-teaching standards, and data usage.

Essential Question 2: Is the School a Fiscally Sound, Viable Organization?

Governance Structure & Organizational Design

To date, the Board of Trustees has a developed governance structure and organizational design.

- The Board currently has six board members, having added two new members this year. The Board has experienced some turnover, with three members who left and one who was removed, and is working to bolster its number to 10 or 11 members in an effort to add skills, particularly in development.
- The Board votes consistently, demonstrating a quorum, as recorded in meeting minutes.
- The Board has held eight meetings, as of March 2013, as indicated by the posted meeting minutes, and will hold at least two more in keeping with the Board's bylaws that state the Board should have no fewer than ten meetings per year.
- The School leader updates Board on academic progress and operations at the school, as recorded in the meeting minutes.
- Currently, officer positions outlined in the Board's bylaws are filled, with the exception of the Secretary position.
- There are clear lines of accountability between Board and school leadership, as evidenced by the school's organization chart and school leadership's monthly updates on academic, financial and operational performance to the Board and its committees, as recorded in Board meeting minutes.
- The Board has active committees, as recorded in meeting minutes.
- The Board has provided CSAS with timely submission of accountability reporting documents, including its annual report and financial audits, as well as Board minutes.

Representatives of the CSAS visited the school on May 15, 2013. Based on interviews, document review, and observation we note the following:

- The Board recently held its annual board retreat and defined various areas of action:
 - Greater alignment of the charter's mission and vision and how these define expectations of the school leader.
 - Hold a board training session with the Parents' Association and senior administration regarding the charter's mission and vision and sharing heightened expectations the board has in preparation for the charter renewal next year.
 - Support leadership team in conveying higher expectations in assessment, evaluation and accountability to all staff in preparation for the charter renewal next year.

School Climate & Community Engagement

To date, the school has not yet developed a stable school culture.

- The school has experienced leadership turnover during the 2012-2013 school year. At the time of the visit was operating with an interim leadership team. A new school leader was hired and will not officially begin until June. However, the new school leader did participate in leadership decision-making, such as hiring before the official start date.
- The school has experienced significant leadership turnover between last school year and this current school year. Since the start of this school year, the Principal, who was new to the school, the Director of Operations and the Director of Finance have all left the school.
- Staff turnover was 26%, with 6 out of 23 instructional staff choosing not to return this school year from last year. According to data provided by the school in February, three teachers have left and two have been let go during the 2012-2013 school year.
- Student turnover was 9% from last school year to the beginning of this school year. Student enrollment was 324 at the beginning of the year and 304 at the time of the visit, the school experienced 6% student turnover during the school year.
- On its 2011-2012 NYC DOE School Survey, compared to elementary schools citywide, Lefferts Gardens Charter School earned a Well Below Average satisfaction result on the Academic

Expectations section and a Below Average on the Safety & Respect, Communication, and Engagement sections.

- The school's survey participation results were above citywide averages for all constituencies surveyed: Parents (86% to 53%) and Teachers (100% to 82%).

Progress Towards Attainment of Accountability Goals¹¹

- The school has maintained an average daily student attendance rate of 92.9%, as of the date of the visit, which is lower than their stated charter goal of maintaining an average daily student attendance rate of at least 95%.

Representatives of the CSAS visited the school on May 15, 2013. Based on interviews, document review, and observation we note the following:

- The school is continuing to develop an environment that is conducive to learning. School leaders reported a focus on improving classroom management, transitions and pacing. The school is using Responsive Classroom techniques with support from consultants.
- School leaders indicated a conscious effort to increase the ratio of student-centered and student-run learning activities. This was evident in the use of computers in the classroom with self-paced programs.

¹¹ Goal analysis is considered a neutral point and is not used as part of the evaluation.

Financial Health

Overall, the school is in a strong position to meet near-term financial obligations and is financially sustainable based on current practices.

Based on the school's 2011-2012 Audited Financial Statements:

- The school is in a strong position to meet all of its liabilities in the next 12 months.
- The school is in a position to cover all of its expenses for approximately 45 days without an infusion of cash.
- The school is meeting its enrollment target, indicating a stable budget.
- The school is meeting its debt obligations.
- As per the last audited financial statements, which cover FY 2011-2013, the school is operating at a deficit. At the time of the visit on May 15, 2013, the school submitted unaudited financials that indicate the school was operating with a surplus.
- The school's debt-to-asset ratio indicates that it has more assets than it has liabilities.
- The school has a cash flow that is trending upward.
- The school received a clean financial audit with no material findings.

Based on document review and an interview during the May 15, 2013 visit to the school, the following was noted:

- The school has a weakness in its internal controls, in that only a single signature is required for signing checks because the school was in the middle of a leadership transition. School officials stated that they will update the signatory once the new school leader is onboard.

Essential Question 3: Compliance with Charter and All Applicable Laws and Regulations

To date, the school is in compliance with some applicable laws and regulations, but not others.

The Board is in compliance with:

- Board membership size falls within the range outlined in the school's charter and in the Board's bylaws.
- The Board has held the required number of board meetings.
- Board minutes and agenda items have been provided via the school's website for inspection by the public.
- The Board has provided timely submission of accountability reporting documents.
- All Board members have submitted conflict of interest and financial disclosure forms, and do not demonstrate conflicts of interest.

The school is in compliance with:

- The school has submitted required documentation for safety plan, compliance with AED/CPR certification, fingerprint clearance, teacher certification, and appropriate insurance documents.
- All staff members have appropriate fingerprint clearance, and the school is compliant with state requirements for teacher certification.
- The school has the required number of staff with AED/CPR certification.

The school is out of compliance with:

- To date, the school's immunization completion rate of 97.7% is below the threshold established by the NYC Department of Health of 98.8%.

Representatives of the CSAS visited the school on May 15, 2013. Based on interviews, document review, and observation, the following was noted:

- The school maintains a checklist for student and staff files.
- The school uses Vanguard as part of its student recruitment efforts.
- The school participates in the online lottery system as well as utilizing paper applications.
- The school has established a separation of duties, with defaults to the Board.
- Expenditures over \$25,000 require board approval, though dual signatures are not required.
- The school relies on an outside vendor, CSBM, Inc. for reconciliations and monitors reports.

Essential Question 4: What are the School's Plans for the Next Charter Term?

As reported by school leadership, the following is noted about the school's plans for its next charter term:

- The school's new leader, starting in June 2013, will be determining a number of decisions that remain from the frequent leadership turnover. He is in regular communication with interim leadership and intends to assess staff and programs.
- Next academic year, the school will continue its practice of staffing in the co-teaching model for two of three 4th grade classrooms, in order to maintain a strong academic focus and to support the students with special needs.
- The school is seeking to add new environmental science field partnerships for the coming academic year.

Part 4: Essential Questions and Accountability Framework

The CSAS Accountability Framework

To help NYC DOE authorized charter schools better understand what we mean by success for charter schools, the NYC DOE's Charter Schools Accountability & Support (CSAS) has developed an Accountability Framework build around four essential questions for charter school renewal:

1. Is the school an academic success?
2. Is the school a fiscally sound, viable organization?
3. Is the school compliant with its charter and all applicable law and regulations?
4. What are the school's plans for its next charter term?

1. Is the School an Academic Success?

1a. High Academic Attainment and Improvement

Schools that are academic successes have many of the characteristics below:

- Meet absolute performance goals
- Meet student progress goals
- Are closing the achievement gap for at risk students, including special needs and ELL students
- Are surpassing performance of DOE identified peer-schools
- Are surpassing performance district and city proficiency or better averages
- Are meeting other rigorous academic and non-academic goals as stated in school's charter

Evidence for success might include, but not be limited to, the following depending on school configurations:

- Grades 3-8 NYS ELA Results (absolute performance, individual student progress, comparative performance to similar schools, home district or city averages, progress for at-risk populations)
- Grades 3-8 NYS Math Results (absolute performance, individual student progress, comparative performance to similar schools, home district or city averages, progress for at-risk populations)
- Grades 4 and 8 NYS Science Results (absolute performance, individual student progress, comparative performance to similar schools, home district or city averages, progress for at-risk populations)
- Grades 8-12 NYS Regent Exam Results
- When applicable, NYSAA or other approved alternate assessments results
- HS 4- and 6-Year Graduation Rates (absolute and progress, overall, for at-risk student populations)
- Grades 8-12 College Readiness Credit Accumulation
- Percentage of Students Applying to and Being Admitted to College
- Percentage of Students Taking AP Courses and/or Percentage of Students Passing AP Courses
- Results on state accountability measures
- Charter School Academic and Non-Academic Goals
- NYC Progress Reports

1b. Mission and Academic Goals

Schools with successful missions and goals have many of the characteristics below:

- Have an animating mission statement that staff, students and community embrace
- Set ambitious academic and non-academic goals that entire school community knows and embraces
- Have processes for regular monitoring and reporting on progress toward school goals
- Have processes for adjusting strategies in support of goals as appropriate in response to monitoring data

Evidence for successful missions and goals might include, but not be limited to, the following:

- Mission statement, charter, external documents (parent and family handbooks, school website, etc.)
- Annual reports, school improvement plans, leadership board reports
- Board agendas and minutes
- Parent, student, and teacher satisfaction surveys
- Participation at parent-teacher conferences, school advocacy events, participation in academic goal related programs

1c. Responsive Education Program

Schools with successful education programs have many of the characteristics below:

- Are self-reflective and examine practice based on outcomes against goals
- Have well-thought out curricular programs that are aligned with NYS learning outcomes as described by state standards and the new Common Core Curriculum.
- Use instructional models and resources consistent with school mission and that are flexible in addressing the needs of all learners
- Have defined strategies that they can measure and monitor for closing the achievement gap
- Offer defined opportunities for remediation and acceleration
- Implement a coherent and effective interim assessment system (e.g., use of formative, interim, and summative assessment data) for monitoring progress, predicting performance, and adjusting instruction
- Have an effective process for supporting improved classroom instruction, including frequent observation and feedback
- Have effective strategies and quality instructional programs for addressing students with special needs and ELLs
- Use a defined process for evaluating curricular tasks, programs and resources for effectiveness and fit with school mission and goals

Evidence for successful education programs, in addition to positive results, may include, but not be limited to, many of the following:

- Instructional planning documents (alignments, scope and sequences, curriculum maps, unit and lesson plans, etc)
- Student/teacher schedules
- Classroom observations
- Student Intervention / Response to Intervention program description and resources
- Interim assessment results
- Student and teacher portfolios
- Data findings; adjusted lesson plans
- Self-assessment documentation
- Professional development plans and resources

1d. Learning Environment

Schools with successful learning environments have many of the characteristics below:

- Have a strong culture that connects high academic and behavioral expectations in a way that motivates students to give their best effort academically and socially
- Use a comprehensive approach to student management, including positive behavioral expectations and a clear discipline policy to build and sustain a safe, orderly, and supportive classroom environment
- Provide for safe, respectful, efficient transitions, hallways, cafeteria, yard, etc.
- Have classrooms where academic risk-taking and student participation is encouraged and supported

- Provide opportunities for students to actively engage in their own learning and in the life of the school
- Have a formal or informal character education, social development, or citizenship program that provides opportunities to develop as individuals and citizens

Evidence for successful learning environments may include, but not be limited to, many of the following:

- School mission and articulated values
- Student management plan (code of conduct, school values, discipline policy, positive incentive system, etc.)
- Student attendance and retention rates
- Student discipline data
- DOE School Survey student results
- DOE School Survey parent and teacher safety and respect results
- Self-administered satisfaction survey results
- Leadership, staff, and, if appropriate, student interviews
- Classroom observations
- Scheduled student engagement opportunities (e.g., student advisory, internships, student government, student led conferences, peer tutoring, peer mediation, etc.)

2. Is the School a Fiscally Sound, Viable Organization?

2a. Governance Structure and Organizational Design

Schools with successful governance and organizational design structures have many of the characteristics below:

- Operate with a clearly articulated governance structure, compliant with its charter and all applicable laws and regulations
- Have a capable Board of Trustees with appropriate blend of skills and experiences to provide oversight and strategic direction to fulfill the mission and goals of its charter
- Have a Board that is fully compliant with all applicable laws and regulations, particularly but not limited to open-meeting laws and conflict of interest regulations
- Have developed a succession plan for board and school leadership, consistent with the charter and Board by-laws, to ensure continuity of direction and leadership over time and despite circumstance
- Implements a school leadership structure that is aligned with charter and that is sufficient to fulfill school's mission and achieve its accountability goals; it also has clear lines of accountability for leadership roles, accountability to Board, and, if applicable, relationship with a charter management organization
- Have timely and appropriate access to legal counsel
- Implemented a process for monitoring and evaluating the effectiveness of the school's organization and leadership structure
- Have instructional leadership staffing and support structures that holds staff accountable for student learning outcomes and provide regular feedback on instruction to teachers

Evidence for school governance and organizational design may include, but are not limited to, the following:

- School charter
- Board by-laws, roster, trustee resumes, meeting agenda and minutes
- Annual conflict of interest forms
- Staff roster, job descriptions, staff handbook, operations manual
- School calendar, professional development plan

2b. School Climate and Community Engagement

Schools with a sustaining school climate and engaged parent and community support have many of the characteristics below:

- A healthy professional school climate that is collaborative, student centered, and open to parents and community support
- An effective process for recruiting, hiring, supporting, and evaluating leadership and staff
- A flexible, data-driven approach to professional development for all staff
- An effective way of measuring and monitoring core constituency satisfaction (parent, staff, and, when age appropriate, student), including the DOE School Survey
- Effective home-school communication practices to ensure meaningful parent involvement in the learning of their children
- Strong community-based partnerships and advocacy for the school

Evidence for school climate and community engagement may include, but not be limited to, the following:

- DOE School Survey satisfaction parent, teacher, and, if appropriate student results
- Student retention and wait list data
- Staff retention data
- Leadership, staff, parent, student interviews
- Student and staff attendance rates
- Parent attendance at parent-teacher conferences
- Parent association meeting calendar and minutes
- Community partnerships and sponsored programs

2c. Financial and Operational Health

Schools that are responsible stewards of public funds and effective, sustaining organizations have many of the characteristics below:

- Consistently meet its student enrollment and retention targets
- Annual budgets that meets all short- and long-term financial responsibilities with available revenues
- School leadership and Board that oversee financial and operational responsibilities in a manner that keeps the school's mission and academic goals central to decision-making
- Boards and school leadership that maintain effective internal controls of finances to ensure integrity of financial management and a proactive approach to mitigating risk
- Consistently clean financial audits
- If applicable, strong, accountable partnerships with management organizations and other partners and significant vendors to support delivery of chartered school design and academic program
- A safe, clean and appropriately resourced educational facility with all appropriate services specified in charter and mandated by appropriate law and regulations

Evidence for a financially sound, viable organization may include, but not be limited to, the following:

- School budget, P&Ls, and monthly/quarterly cash-flow reports
- Appropriate insurance documents
- Required facility documents (lease, certificate of occupancy, fire and safety inspections, etc.)
- Financial audits
- Financial leader(s) resume and accountability documents
- Operational policies and procedures
- Operational org chart
- Secure storage areas for student and staff records
- Policies/protocols for maintaining secure records
- School safety plan

3. Is the School in Compliance with its Charter and All Applicable Law and Regulations?

3a. Approved Charter and Agreement

Schools in substantial compliance with their charter and agreement have:

- Implemented the key features of their charter as described in the original charter and as modified in approved revisions to their charter, including but not limited to mission, academic program, school organization, grade configuration, enrollment, goals, etc.
- Ensure that update-to-date charter is publicly available to staff, parents, and school community
- Implemented comprehensive academic, behavioral, oversight, management, and operational policies and procedures that are substantially aligned with the charter and the school's stated mission and vision

Evidence for a school's compliance with the terms of its charter and charter agreement may include, but not be limited to, the following:

- Authorized charter and signed agreement
- Charter revision request approval and documentation
- School mission
- School policies and procedures
- Site visits
- Board meetings, agendas and minutes
- Leadership/board interviews

3b. Applicable Federal and State Law

Schools in substantial compliance with federal and state law have:

- Met all legal requirements for Title I and IDEA regulations and reporting
- Comparable enrollment of FRL, ELL and Special Education students to those of their district of location *or* are making documented good faith efforts to reach comparable percentages
- Implemented school policies related to student discipline and promotion and retention that are fully compliant with laws and regulations related to students with disabilities and due process regulations
- Conducted independently verified fair and open lottery and manage with integrity enrollment process and annual waiting lists
- Employed instructional staff with appropriate security clearances and certification requirements

Evidence for compliance with applicable federal and state law may include, but not be limited to, the following:

- School reporting documents
- School's Annual Report
- Student recruitment plan and resources
- Student management policies and promotion and retention policies
- Student discipline records
- Lottery policy, resources, and records; enrollment procedures and records
- Staff roster, fingerprint clearance for all staff, certification status of all instructional staff

3c. Applicable Regulations

Schools in substantial compliance with applicable regulations have:

- Safe and secure facilities with no significant compliance concerns with applicable regulations
- Consistently clean annual audits, up-to-date escrow accounts, and have completed all other financial reporting as required
- Boards that meet requirements for size, meeting frequency, public notice, applicable open-meeting and conflict of interest regulations, as well as complying with NYC DOE CSAS's requirements for reporting changes in board membership and securing approval for new board members.
- Informed NYCDOE CSAS, and where required, received CSAS approval for changes in significant partnerships, such as dropping/replacing a management organization
- Effectively engaged parent associations

Evidence for compliance with applicable regulations may include, but not be limited to, the following:

- School or building safety plan; appropriate inspection documents
- Annual audits, escrow accounts, other financial reporting documents
- Board roster, calendar, agenda and minutes, conflict of interest documents, notification of changes/approval of new member request documents
- Charter revision requests, revised or new contracts
- Parent association calendar of meetings, identified officers, parent association agenda and minutes, parent satisfaction survey results
- Interviews

4. What Are the School's Plans for its Next Charter Term?

4a. School Expansion or Model Replication

In anticipation of a new charter term schools may be considering various growth options: replication, expansion to new grades or increased enrollment or altering their model in some significant way. Successful schools generally have processes for:

- Conducting needs/opportunity assessments
- Forming Board and leadership committees or subcommittees to investigate options, develop action plans, ensure capacity and resources are aligned, etc.
- Engaging school community in articulating charter revisions (or a new charter in cases of replication) to address the proposed growth plans
- Ensuring that the final proposal is ambitious but realistic in its plans
- Creating a well-reasoned and documented prospective for the school's new charter term and, if applicable, a new charter proposal (for replication)

Evidence for likely success in planning for school growth in a new charter term may include, but not be limited to, the following:

- Application Part I: Retroactive Analysis, including performance results and analyses of the current charter term
- Application Part II: Prospective Analysis, including mission, program description, governance, organization, budget, etc. for new term
- Leadership and Board interviews

4b. Organizational Sustainability

Successful schools consistently perform despite change. While there is no single path for ensuring sustainability, successful schools often have the following features:

- School anticipates organizational opportunities/needs and plans for resource development (human resource policies for growing your own talent, for example, or fundraising or budget management to take care of anticipated capital needs and to mitigate risks for the unexpected, or board development to bring new talent or specific needs-based expertise to the school)

Evidence for organizational sustainability may include, but not be limited to, the following:

- Board roster and resumes
- Board committees and minutes
- School organization chart
- Staff rosters
- Staff handbook
- Leadership and staff interviews
- Budget

4c. School or Model Improvements

Successful schools are thoughtful about the continued appropriateness of school design features and elements of their models. They:

- Review performance carefully and even if they don't make major changes through expansion or replication, they are careful to adjust elements to ensure continued and improved success.
- Develop plans to improve the school learning environment, including improving their facilities to expand program offerings and/or developing new partnerships to further the school's mission.

Evidence for successful improvements to a school's program or model may include, but not be limited to, the following:

- Application Part I: Retroactive Analysis, including performance results and analyses of the current charter term
- Application Part II: Prospective Analysis, including mission, program description, governance, organization, budget, etc. for new term
- Leadership and board interviews
- MOUs or contracts with partners