



Charter School Accountability and Support  
2012-2013

**SOUTH BRONX CLASSICAL CHARTER SCHOOL  
ANNUAL COMPREHENSIVE REVIEW REPORT**

**2012-2013 SCHOOL YEAR**

## Part 1: School Overview & History

### School Overview and History

South Bronx Classical Charter School (SBCCS) is an elementary school currently serving approximately 310 students<sup>1</sup> in grades K-5 during the 2012-13 school year. The school will begin its expansion to middle school grades<sup>2</sup> in 2013-14, adding grade 6. Grade 7 will be added in 2014-15 and the expansion would be complete in the first year of its next charter term<sup>3</sup>, should the school be renewed. It opened in 2006-2007, and is under the terms of its second charter. The school is located in public<sup>4</sup> space at 977 Fox Street in the Bronx within CSD 12.<sup>5</sup>

The table below details the school's performance on the NYC DOE Progress Report.<sup>6</sup>

Progress Report Grade	2008-09	2009-10	2010-11	2011-12
Overall		D	A	A
Student Progress		F	A	A
Student Performance		B	A	A
School Environment		B	A	A
Closing Achievement Gap Points		0	1	1.9

SBCCS enrolls new students in grade K. There were 652 students on the waitlist after the Spring 2012 lottery.<sup>7</sup>

The average attendance rate for the 2012-13 school year to date is 96.5%.<sup>8</sup>

On the 2011-12 NYC DOE School Survey the school scored Above Average compared to other elementary schools citywide in the Academic Expectations and Communication sections of the survey, Average on the Safety & Respect section, and Below Average on the Engagement section. One hundred percent of the school's parents and 100.0% of the school's teachers responded to the survey.<sup>9</sup>

SBCCS was renewed for a second five year charter term, with conditions, in the 2010-11 school year. Conditions included improved student achievement as indicated by percentile ranking on the NYC DOE Progress Report, improved oversight and evaluation of school leadership by the Board of Trustees, and attainment of charter goals.

Lester Long is the founder and current school leader of SBCCS. In addition to the school's expansion to middle school grades, South Bronx Classical Charter School II, a replication of SBCCS authorized by the Board of Regents of the New York State Education Department (NYSED), will open in 2013-14.

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

<sup>2</sup> The school revised its charter to expand to middle school grades, a revision approved by the NYC DOE CSAS and the NYS Board of Regents in February 2012.

<sup>3</sup> NYC DOE internal data.

<sup>4</sup> NYC DOE internal data.

<sup>5</sup> NYC DOE Location Code Generating System database.

<sup>6</sup> NYC DOE Progress Report – <http://schools.nyc.gov/progressreport>

<sup>7</sup> Self-reported information from school-submitted Data Collection Form.

<sup>8</sup> Self-reported information from school-submitted Data Collection Form.

<sup>9</sup> NYC 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 Framework<sup>10</sup>.

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,

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<sup>10</sup>[http://www.qualitycharters.org/assets/files/images/stories/pdfs/publications/Performance\\_Framework\\_Fall\\_2012\\_Draft.pdf](http://www.qualitycharters.org/assets/files/images/stories/pdfs/publications/Performance_Framework_Fall_2012_Draft.pdf), page 38-59

- Student, staff, and Board turnover,
- 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:

- Richard Larios, DOE
- Gabrielle Mosquera, DOE
- Kamilah O'Brien, DOE

## Part 3: Findings

### Summary of Findings

Based on CSAS review, the following findings are made. To date, SBCCS:

- has demonstrated academic achievement and progress (pp. 6-8).
- has a partially developed governance structure and organizational design (p. 9).
- has partially developed a stable school culture (pp. 9-10).
- is in a strong position to meet near-term financial obligations and is financially sustainable based on current practices (p. 11).
- is in compliance with some charter laws and regulations but not others (p. 12).
- has plans to complete its expansion to middle school grades in its next charter term (p.13).

This review included a desk audit of public and school submitted documents but did not include a school visit in 2012-13.

## **Essential Question 1: Is the School an Academic Success?**

To date, SBCCS has demonstrated academic achievement and progress.

- SBCCS has participated in the NYS Assessment system since its initial grade 3 cohort tested in the spring of 2009.
- In 2011-12, 90.4% of its students in its tested grades (3-5) scored at Level 3 or 4 on the NYS ELA assessment and 98.4% of its students scored at Level 3 or 4 in Math.
- The school received an Overall Grade of A on its 2011-12 NYC DOE Progress Report, which followed an A on its previous PR. (See page 2.)
- It also received an A in Student Progress in 2011-12, after an A the previous year.
- The school earned a grade of A for Performance on its 2011-12 Progress Report, after an A on its previous Progress Report.
- SBCCS's overall 2011-12 proficiency rates in ELA and Math were well above its district of location, CSD 12. In 2011-12 the school outperformed its district by 58.3 percentage points in ELA and was 55.7 percentage points above the district in Math.
- Overall proficiency scores increased at SBCCS by 21.2 percentage points in ELA and by 6.7 percentage points in Math proficiency from the prior year: 69.2% to 90.4% in ELA and 91.7% to 98.4% in Math.
- SBCCS received 1.9 Closing the Achievement Gap points on its 2011-12 Progress Report.

Progress Towards Attainment of Academic Goals.<sup>11</sup>

- According to its 2011-12 Annual Report to NYSED, the school met 2 of 3 of its charter-identified Progress Toward Attainment of Academic Goals, with one goal waiting results—proficiency of 4<sup>th</sup> Grade NYS Science exam.

Based on document review, the following is also noted:

- School leadership reported that its interim assessment data for reading (Fountas Pinnell [F&P] Running Records and DIBELS) indicated that students were making greater progress, as of the time of the submission of documents to CSAS, than compared to the same time in years previous. According to F&P data, students had averaged more than half a year of growth in less than half a year of schooling. According to DIBELS assessments, 95% of K-2 students had attained Benchmark targets.
- School leadership identified the following areas for improvement, differentiating instruction for English Language Learners and the developing of a strong Character Education curriculum to support the school's stated mission to develop "citizens of impeccable character."

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<sup>11</sup> Goal analysis is considered a neutral point for the purposes of this evaluation.

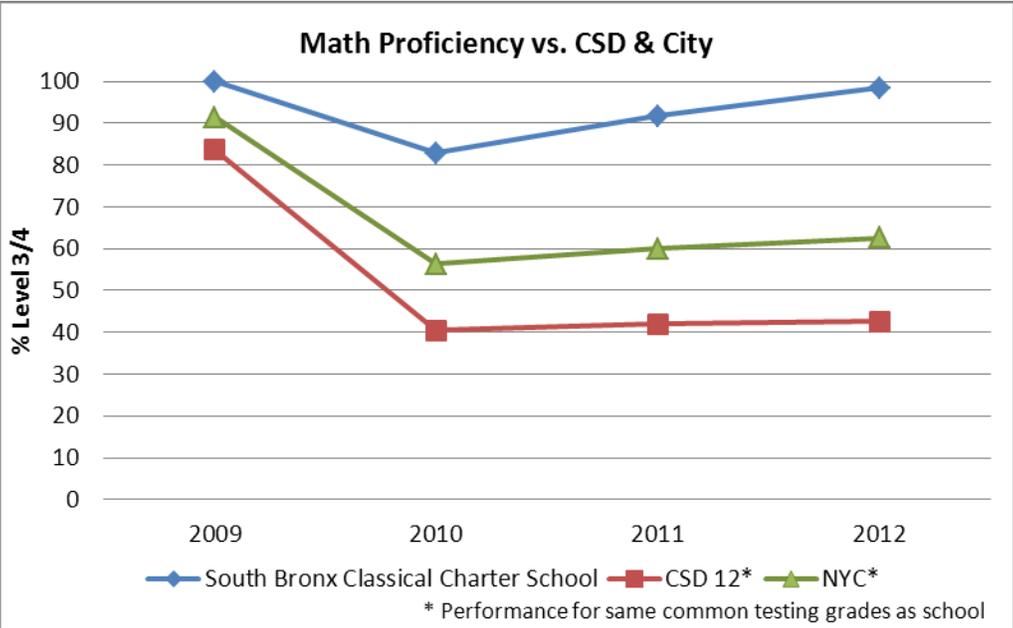
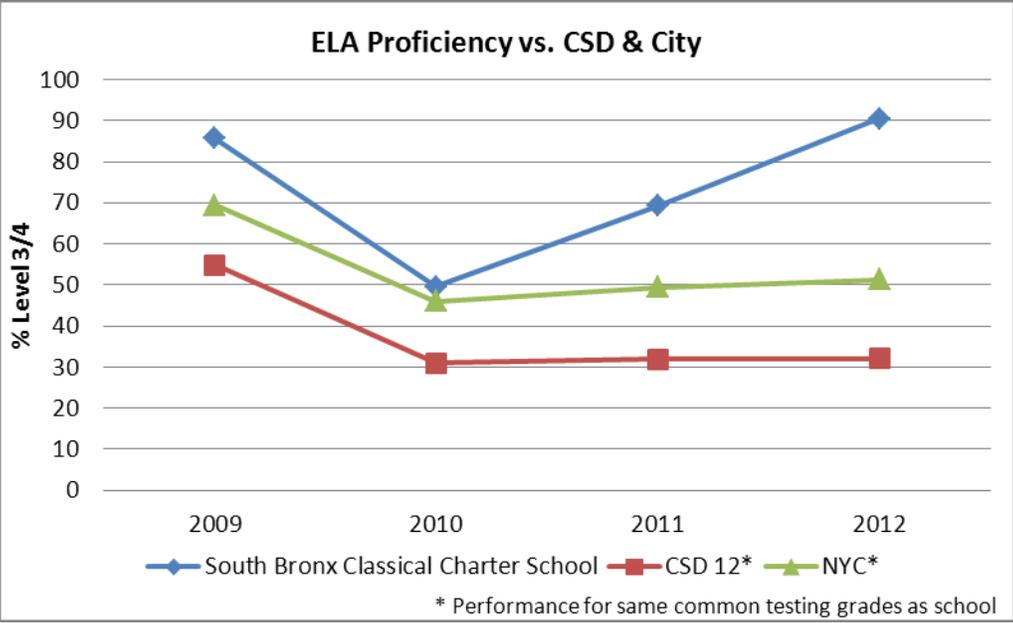
<b>South Bronx Classical Charter School Percent of Students Scoring at or above Level 3 - Whole School</b>				
<b><u>ELA</u></b>	<b><u>2009</u></b>	<b><u>2010</u></b>	<b><u>2011</u></b>	<b><u>2012</u></b>
South Bronx Classical Charter School	85.7	49.5	69.2	90.4
CSD 12*	54.8	30.9	31.9	32.1
<b><u>Math</u></b>	<b><u>2009</u></b>	<b><u>2010</u></b>	<b><u>2011</u></b>	<b><u>2012</u></b>
South Bronx Classical Charter School	100.0	82.8	91.7	98.4
CSD 12*	83.7	40.5	42.0	42.7

\*CSD data represents only common testing grades, for all years presented

<b>Percent of Students Scoring at or above Level 3 - By Grade</b>				
<b>Grade 3</b>				
<b><u>ELA</u></b>	<b><u>2009</u></b>	<b><u>2010</u></b>	<b><u>2011</u></b>	<b><u>2012</u></b>
South Bronx Classical Charter School	85.7	50.9	64.2	89.4
CSD 12*	54.8	34.7	30.3	30.8
<b><u>Math</u></b>	<b><u>2009</u></b>	<b><u>2010</u></b>	<b><u>2011</u></b>	<b><u>2012</u></b>
South Bronx Classical Charter School	100.0	84.2	88.7	95.7
CSD 12*	83.7	40.3	36.1	37.8

<b>Grade 4</b>				
<b><u>ELA</u></b>	<b><u>2009</u></b>	<b><u>2010</u></b>	<b><u>2011</u></b>	<b><u>2012</u></b>
South Bronx Classical Charter School		47.2	66.7	93.0
CSD 12*		27.1	35.3	32.5
<b><u>Math</u></b>	<b><u>2009</u></b>	<b><u>2010</u></b>	<b><u>2011</u></b>	<b><u>2012</u></b>
South Bronx Classical Charter School		80.6	92.2	100.0
CSD 12*		40.7	45.6	45.5

<b>Grade 5</b>				
<b><u>ELA</u></b>	<b><u>2009</u></b>	<b><u>2010</u></b>	<b><u>2011</u></b>	<b><u>2012</u></b>
South Bronx Classical Charter School			82.8	88.6
CSD 12*			30.2	33.0
<b><u>Math</u></b>	<b><u>2009</u></b>	<b><u>2010</u></b>	<b><u>2011</u></b>	<b><u>2012</u></b>
South Bronx Classical Charter School			96.6	100.0
CSD 12*			44.4	44.7



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

### **Governance Structure & Organizational Design**

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

- The Board has 9 members, all voting, and its membership has been stable, with no attrition in 2011-12 and 2012-13. One member was added during this year to improve capacity.
- As recorded in meeting minutes, Board votes consistently demonstrate a quorum.
- As evidenced by the Board meeting minutes, the Board has held to date 1 annual meeting and 5 regular meetings, which is fewer than the 9 regular meetings specified in its bylaws.
- There are clear lines of accountability between the Board, School leadership, and school staff as evidenced by the school's organizational chart, and school leadership's regular updates on academic, financial and operational performance to the Board and its committees, as recorded in Board meeting minutes.
- The Board has active committees additional to those outlined in its bylaws. These are the Development, Real Estate, and Executive committees.

### **School Climate & Community Engagement**

The school has partially developed a stable school culture.

- The school is under the leadership of its founder Lester Long, who has been the executive director since its inception.
- According to the school's ACR Data Collection Form, 11 of the school's approximately 314 students enrolled at the end of 2011-12 did not return to the school in 2012-13.
- Average daily attendance for 2012-13, as of submission of the school's ACR Data Collection Form, is 95.89%.
- SBCCS NYC DOE School Survey participation results were above citywide elementary school averages for its two constituencies: Parents (100% to 53%) and Teachers (100% to 82%).
- On its 2011-12 School Survey, and compared to elementary schools citywide, SBCCS earned Above Average satisfaction results for the Academic Expectations and Communications sections, Average on the Safety & Respect section and Below Average results for the Engagement section.
- According to the school's ACR Data Collection Form, 14 of the 31 instructional staffers from the end of the 2011-12 school year did not return or were not asked to return in 2012-13, which is an instructional staff attrition rate of 45%.

Progress Towards Attainment of Charter Goals.<sup>12</sup>

- According to the school's 2011-12 Annual Report to NYSED, the average daily student attendance rate was 94.92%, which they represented as an unmet charter goal (95%). (See above for 2012-13 attendance to date.)
- The school met its charter goal related to Safety and Communication as 99% of parents agreed or strongly agreed with the following statements: 1. My child is safe at school; 2. The school clearly communicates its expectations for my child's learning to me and my child; 3. My child's teacher(s) give helpful comments on class work and tests.

Based on document review, the following is noted:

- The school attributes its teacher attrition rate to its heavy reliance on Teach for America. A significant number of corps members have either voluntarily left the program or moved closer to their homes. The school employed a new marketing strategy in 2011 aimed at recurring teaching candidates that have matriculated from more traditional teaching programs.

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<sup>12</sup> Goal analysis is considered a neutral point and is not used as part of the evaluation.

- The school also created the role of Grade Team Leader to provide additional support to new staff, foster increase collaboration, and provide growth opportunities for teachers.

## **Financial Health**

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

- SBCCS received a clean financial audit with no material findings.
- 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 its future expenses for the foreseeable future without an infusion of cash.
- The school is meeting its enrollment target, indicating a stable budget.
- The school is meeting its debt obligations.
- The school is operating at an 18% surplus indicating an ability to create a strong reserve to support ongoing growth.
- SBCCS has a low debt-to-asset ratio.
- The school has a strong cash flow that has trended upward.
- The school has a fully funded escrow account.

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

To date, the school is compliant with some of its charter and applicable laws and regulations but not others.

- To date, the Board is in compliance with:
  - The Board's membership size falls within the range outlined in the school's charter and in the Board's bylaws.
  - All Board members have submitted conflict of interest and financial disclosure forms and do not demonstrate conflicts of interest.
  - The standing committee outlined in the Board's bylaws (Finance) is active as evidenced by Board minutes.
  - The officer positions outlined in the Board's bylaws are filled.
  
- To date, the school is in compliance with:
  - The school has provided timely submissions of accountability reporting documents to the CSAS team.
  - The school has submitted required documentation for staff-fingerprint clearance, and all staff members have appropriate fingerprint clearance.
  - The school has submitted required documentation for teacher certification and is compliant with state requirements for teacher certification.
  - The school has the required number of staff with AED-CPR certification.
  - The school has submitted appropriate insurance documents.
  - The school submitted its required immunization documentation and is in compliance with Department of Health standards of 98.8% for immunization.
  
- To date, the Board is out of compliance with:
  - The Board has not held the required number of Board meetings. The Board's bylaws state that 9 regular meetings shall be held each year in addition to its annual meeting in June. The Board held 5 regular meetings and 1 annual meeting in 2012.

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

As reported by the school's leadership, the following was noted:

- If approved and renewed, the school plans to complete its expansion to middle school grades in its next charter term.

## 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 and 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

<p>school</p> <ul style="list-style-type: none"> <li>• Have a formal or informal character education, social development, or citizenship program that provides opportunities to develop as individuals and citizens</li> </ul>
<p>Evidence for successful learning environments may include, but not be limited to, many of the following:</p> <ul style="list-style-type: none"> <li>• School mission and articulated values</li> <li>• Student management plan (code of conduct, school values, discipline policy, positive incentive system, etc.)</li> <li>• Student attendance and retention rates</li> <li>• Student discipline data</li> <li>• DOE School Survey student results</li> <li>• DOE School Survey parent and teacher safety and respect results</li> <li>• Self-administered satisfaction survey results</li> <li>• Leadership, staff, and, if appropriate, student interviews</li> <li>• Classroom observations</li> <li>• Scheduled student engagement opportunities (e.g., student advisory, internships, student government, student led conferences, peer tutoring, peer mediation, etc.)</li> </ul>

**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 CSO's requirements for reporting changes in board membership and securing approval for new board members.
- Informed NYCDOE CSO, and where required, received CSO 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